

UCCRC

Ulster County Capital Resource Corporation
P.O. Box 4265, Kingston, NY 12402-4265

April 21, 2021 - 10:30 AM

via Zoom - <https://us02web.zoom.us/j/81641119687> Meeting ID: 816 4111 9687

One tap mobile - +16465588656, 81641119687# US (New York)

AGENDA

1. Call to Order
2. Roll Call **(Page 2)**
3. Mission Statement
4. Approval of the Minutes – March 17, 2021 Regular Meeting **(Page 3)**
5. Executive Session *(if necessary)*
6. Financials
 - February 2021 **(Page 7)**
 - March 2021 **(Page 9)**
7. Chair's Report
8. Chief Executive Officer's Report
9. Committee Reports
 - Audit
 - Finance
 - Governance
 - Discrimination/Harassment Prevention Policy and Sexual Harassment Prevention Policy Harassment Policy **(Page 11)**
10. Old Business
11. New Business
 - PPE Grant Applications for Board consideration **(Page 34)**
12. Public Comment (Agenda Items Only)
13. Adjournment

The mission of the Ulster County Capital Resource Corporation (UCCRC) is to promote community and economic development in Ulster County in ways that complement the work of Ulster County, primarily through issuing and selling bonds for non-profit institutions.

Item 2.

Roll Call

	<u>Present</u>	<u>Absent</u>
James Malcolm, Chair	_____	_____
Diane Eynon, Vice Chair/Treasurer	_____	_____
Michael J. Ham, Secretary	_____	_____
Faye Storms, Assistant Treasurer	_____	_____
Orlando Reece, Assistant Secretary	_____	_____
Daniel Savona, Assistant Secretary	_____	_____
Richard O. Jones, Member	_____	_____

Dated: March 22, 2021

UCCRC

Ulster County Capital Resource Corporation

ULSTER COUNTY CAPITAL RESOURCE CORPORATION MINUTES March 17, 2021

A regular monthly meeting of the Ulster County Capital Resource Corporation was held on Wednesday, March 17, 2021 immediately following the monthly Board meeting of the Ulster County Industrial Development Agency via Zoom.

Roll Call:

The following agency members were present:

James Malcolm	Chair
Dr. Diane Eynon	Vice Chair/Treasurer
Michael J. Ham	Secretary
Faye Storms	Assistant Treasurer
Orlando Reece	Assistant Secretary
Richard O. Jones	Member/Chief Financial Officer

The following agency members were absent with notice:

Daniel Savona	Assistant Secretary
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Additional Attendees:

Rose Woodworth	Chief Executive Officer
A. Joseph Scott, Esq.	Agency Counsel

The meeting was called to order at 11:11 A.M. by Chair James Malcolm.

Roll Call

Roll was called, and it was noted that a quorum was present.

READING OF THE UCCRC MISSION STATEMENT

The mission of the Ulster County Capital Resource Corporation (UCCRC) is to promote community and economic development in Ulster County in ways that complement the work of Ulster County, primarily through issuing and selling bonds for non-profit institutions.

MINUTES

Motion: Diane Eynon, seconded by Faye Storms, moved to approve the minutes of the February 17, 2021 meeting as presented.

Vote: The motion was unanimously adopted (6-0).

FINANCIALS

The CEO Rose Woodworth stated the Financials were omitted from packet when put together. There was not much activity that during the month other than PPE grant money going out. The CEO will present the February financials along side the March financials at the April meeting.

CHAIR'S REPORT

Same as discussed in the Industrial Development Agency's meeting.

Chief Executive Officer's Report

CEO Rose Woodworth reported that the PPE grant money is running out. The PPE Grant Program was extended until March 31, 2021, and the program has been a large cost to the IDA and CRC due to accounting processes and the Audit.

Motion: James Malcolm, seconded by Faye Storms, made a motion to accept the report as presented.

Vote: The motion was unanimously adopted (6-0).

COMMITTEE REPORTS

Audit Committee

Audit Committee Chair, Diane Eynon, reported that the Committee met with UHY to review the audited financials, which are still in draft form. Some of the supplemental information and highlighted areas will be complete as the PARIS Report comes together. The Auditor's Report shows no findings or issues. The CEO reviewed the audited financials with the Board. A copy of said document is on file.

Motion: Faye Storms, seconded by Richard O. Jones, made a motion to approve the 2020 Audited Financials as presented.

Vote: The motion was unanimously adopted (6-0).

Finance Committee

No report.

Governance Committee

No report.

OLD BUSINESS

None.

NEW BUSINESS

None.

PUBLIC COMMENT

None.

ADJOURNMENT

Motion: Orlando Reece, seconded by Michael J. Ham, moved to adjourn the meeting.

Vote: The motion was unanimously adopted (6-0).

The meeting was adjourned at 11:18 A.M.

Respectfully submitted,

Michael Ham, Secretary

Ulster County Capital Resource Corporation
Statement of Activity Budget vs. Actual
February & January through February 2021

	Feb 21	Jan-Feb 21	Budget	\$ Over Budget	% of Budget
Ordinary Income/Expense					
Income					
4000 · Charges for Services					
4025 · Annual Administrative Fees	0.00	3,250.00	2,250.00	1,000.00	144.44%
4030 · Application Fees	0.00	0.00	500.00	-500.00	0.0%
4090 · Project Admin Fees (Pass-Thru)	0.00	0.00	500.00	-500.00	0.0%
Total 4000 · Charges for Services	0.00	3,250.00	3,250.00	0.00	100.0%
Total Income	0.00	3,250.00	3,250.00	0.00	100.0%
Expense					
6000 · Professional Fees					
6010 · Administrative Staff Fees	-75.00	-125.00	8,000.00	-8,125.00	-1.56%
6030 · Legal Fees	0.00	0.00	1,000.00	-1,000.00	0.0%
6040 · Auditing Fees	0.00	0.00	4,500.00	-4,500.00	0.0%
6050 · Website/Marketing	0.00	0.00	5,000.00	-5,000.00	0.0%
6060 · Contracts for Other Services	0.00	0.00	1,000.00	-1,000.00	0.0%
Total 6000 · Professional Fees	-75.00	-125.00	19,500.00	-19,625.00	-0.64%
6100 · Project Admin Fees (Pass-Thru)	0.00	0.00	1,000.00	-1,000.00	0.0%
6200 · Other Expenses					
6210 · Office Expense & Postage	-1.53	-2.03	100.00	-102.03	-2.03%
6220 · Insurance	0.00	0.00	500.00	-500.00	0.0%
6230 · Travel/Meals	0.00	0.00	200.00	-200.00	0.0%
6240 · PPE Grants Program	7,941.17	12,991.67			
Total 6200 · Other Expenses	7,939.64	12,989.64	800.00	12,189.64	1,623.71%
Total Expense	7,864.64	12,864.64	21,300.00	-8,435.36	60.4%
Net Ordinary Income	-7,864.64	-9,614.64	-18,050.00	8,435.36	53.27%
Other Income/Expense					
Other Income					
7010 · Interest Income	134.43	279.60	8,400.00	-8,120.40	3.33%
7900 · Net Asset Appropriation	0.00	0.00	9,650.00	-9,650.00	0.0%
Total Other Income	134.43	279.60	18,050.00	-17,770.40	1.55%
Net Other Income	134.43	279.60	18,050.00	-17,770.40	1.55%
Net Income	-7,730.21	-9,335.04	0.00	-9,335.04	100.0%

Ulster County Capital Resource Corporation

Statement of Financial Position

03/04/21

As of February 28, 2021

Accrual Basis

	Feb 28, 21
ASSETS	
Current Assets	
Checking/Savings	
1010 · Cash, Checking (BOGC)	9,745.82
1050 · Cash, Savings (BOGC)	384,465.03
1090 · Rhinebeck Savings CD 9000	200,741.99
Total Checking/Savings	<u>594,952.84</u>
Total Current Assets	<u>594,952.84</u>
TOTAL ASSETS	<u>594,952.84</u>
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Other Current Liabilities	
2030 · Due to (from) UCIDA	100.00
Total Other Current Liabilities	<u>100.00</u>
Total Current Liabilities	<u>100.00</u>
Total Liabilities	100.00
Equity	
3000 · Unrestricted Net Assets	604,187.88
Net Income	-9,335.04
Total Equity	<u>594,852.84</u>
TOTAL LIABILITIES & EQUITY	<u>594,952.84</u>

Ulster County Capital Resource Corporation
Statement of Activity Budget vs. Actual
March & January through March 2021

	Mar 21	Jan-Mar 21	Budget	\$ Over Budget	% of Budget
Ordinary Income/Expense					
Income					
4000 · Charges for Services					
4025 · Annual Administrative Fees	0.00	3,250.00	2,250.00	1,000.00	144.44%
4030 · Application Fees	0.00	0.00	500.00	-500.00	0.0%
4090 · Project Admin Fees (Pass-Thru)	0.00	0.00	500.00	-500.00	0.0%
Total 4000 · Charges for Services	0.00	3,250.00	3,250.00	0.00	100.0%
Total Income	0.00	3,250.00	3,250.00	0.00	100.0%
Expense					
6000 · Professional Fees					
6010 · Administrative Staff Fees	4,025.00	3,900.00	8,000.00	-4,100.00	48.75%
6030 · Legal Fees	0.00	0.00	1,000.00	-1,000.00	0.0%
6040 · Auditing Fees	0.00	0.00	4,500.00	-4,500.00	0.0%
6050 · Website/Marketing	0.00	0.00	5,000.00	-5,000.00	0.0%
6060 · Contracts for Other Services	0.00	0.00	1,000.00	-1,000.00	0.0%
Total 6000 · Professional Fees	4,025.00	3,900.00	19,500.00	-15,600.00	20.0%
6100 · Project Admin Fees (Pass-Thru)	0.00	0.00	1,000.00	-1,000.00	0.0%
6200 · Other Expenses					
6210 · Office Expense & Postage	5.13	3.10	100.00	-96.90	3.1%
6220 · Insurance	407.19	407.19	500.00	-92.81	81.44%
6230 · Travel/Meals	0.00	0.00	200.00	-200.00	0.0%
6240 · PPE Grants Program	2,527.03	15,518.70			
Total 6200 · Other Expenses	2,939.35	15,928.99	800.00	15,128.99	1,991.12%
Total Expense	6,964.35	19,828.99	21,300.00	-1,471.01	93.09%
Net Ordinary Income	-6,964.35	-16,578.99	-18,050.00	1,471.01	91.85%
Other Income/Expense					
Other Income					
7010 · Interest Income	140.42	420.02	8,400.00	-7,979.98	5.0%
7900 · Net Asset Appropriation	0.00	0.00	9,650.00	-9,650.00	0.0%
Total Other Income	140.42	420.02	18,050.00	-17,629.98	2.33%
Net Other Income	140.42	420.02	18,050.00	-17,629.98	2.33%
Net Income	-6,823.93	-16,158.97	0.00	-16,158.97	100.0%

Ulster County Capital Resource Corporation

Statement of Financial Position

04/07/21

As of March 31, 2021

Accrual Basis

	<u>Mar 31, 21</u>
ASSETS	
Current Assets	
Checking/Savings	
1010 · Cash, Checking (BOGC)	2,782.00
1050 · Cash, Savings (BOGC)	384,497.67
1090 · Rhinebeck Savings CD 9000	200,849.24
Total Checking/Savings	<u>588,128.91</u>
Total Current Assets	<u>588,128.91</u>
TOTAL ASSETS	<u>588,128.91</u>
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Other Current Liabilities	
2030 · Due to (from) UCIDA	100.00
Total Other Current Liabilities	<u>100.00</u>
Total Current Liabilities	<u>100.00</u>
Total Liabilities	100.00
Equity	
3000 · Unrestricted Net Assets	604,187.88
Net Income	-16,158.97
Total Equity	<u>588,028.91</u>
TOTAL LIABILITIES & EQUITY	<u>588,128.91</u>

**ULSTER COUNTY CAPITAL RESOURCE CORPORATION
RESOLUTION APPROVING DISCRIMINATION/HARASSMENT
SEXUAL HARASSMENT POLICY**

A regular meeting of Ulster County Capital Resource Corporation (the “Corporation”) was convened on April 21, 2021 at 10:30 o’clock a.m., local time, in public session via video conference as authorized pursuant to Executive Order No. 202.1, as supplemented, issued by New York State Governor Andrew M. Cuomo, suspending provisions of Article 7 of the Public Officers Law that require public in-person access to public meetings and authorizing board members to participate in said meetings by conference call or similar service.

The meeting was called to order by the (Vice) Chair of the Corporation and, upon roll being called, the following members of the Corporation were:

PRESENT:

James Malcolm	Chair
Diane Eynon, Ph.D.	Vice Chair/Treasurer
Faye Storms	Assistant Treasurer
Michael J. Ham	Secretary
Orlando Reece	Assistant Secretary
Daniel Savona	Assistant Secretary
Richard O. Jones	Chief Financial Officer/Member

Each of the members present participated in the meeting telephonically pursuant to Executive Order No. 202.1, as supplemented, issued by New York State Governor Andrew M. Cuomo, suspending provisions of Article 7 of the Public Officers Law that require public in-person access to public meetings and authorizing board members to participate in said meetings by conference call or similar service.

ABSENT:

CORPORATION STAFF PRESENT INCLUDED THE FOLLOWING:

Rose Woodworth	Chief Executive Officer
A. Joseph Scott, III, Esq.	Corporation and Special Counsel

The following resolution was offered by _____, seconded by _____, to wit:

Resolution No. 0421-

**RESOLUTION APPROVING A DISCRIMINATION/HARASSMENT PREVENTION
POLICY AND A SEXUAL HARASSMENT PREVENTION POLICY OF THE ULSTER
COUNTY CAPITAL RESOURCE CORPORATION.**

WHEREAS, Ulster County Capital Resource Corporation (the “Corporation”) is authorized and empowered by the provisions of Section 1411 of the New York State Not-For-Profit Corporation Law (the “NFPCCL”) to take steps to relieve and reduce unemployment, promote and provide for additional and maximum employment, better and maintain job opportunities, instruct or train individuals to improve or develop their capabilities for such jobs, carry on scientific research for the purpose of aiding a community or geographical

area by attracting new industry to the community or area or by encouraging the development of, or retention of, an industry in the community or area, lessening the burdens of government and acting in the public interest; and

WHEREAS, the Corporation desires to adopt a policy that promotes a safe work environment which is free of discrimination and harassment (the “Discriminatory Harassment Prevention Policy”) sexual harassment (the “Sexual Harassment Prevention Policy”); and

WHEREAS, the NFPCL and the Corporation’s certificate of incorporation allow the Corporation to approve certain administrative matters; and

WHEREAS, as provided in the Corporation’s by-laws and the Governance Committee Charter, the members of the Governance Committee have reviewed the Discriminatory Harassment Prevention Policy and the Sexual Harassment Prevention Policy (collectively, the “Policies”) and made certain recommendations to the full board regarding the adoption of the Policies; and

WHEREAS, the members of the Corporation desire to adopt the Policies recommended by the Governance Committee;

NOW, THEREFORE, BE IT RESOLVED BY THE MEMBERS OF THE ULSTER COUNTY CAPITAL RESOURCE CORPORATION, AS FOLLOWS:

Section 1. The Corporation hereby takes the following action: Approves the adoption of the Policies, as described as Schedule A attached.

Section 2. The Corporation hereby authorizes the (Vice) Chair and the Chief Executive Officer to take all steps necessary to implement the matters described in Schedule A attached.

Section 3. This Resolution shall take effect immediately.

The question of the adoption of the foregoing resolution was duly put to vote on roll call, which resulted as follows:

James Malcolm	VOTING	_____
Diane Eynon, Ph.D.	VOTING	_____
Faye Storms	VOTING	_____
Michael J. Ham	VOTING	_____
Orlando Reece	VOTING	_____
Daniel Savona	VOTING	_____
Richard O. Jones	VOTING	_____

The resolution was thereupon declared duly adopted.

STATE OF NEW YORK)
) SS.:
COUNTY OF ULSTER)

I, the undersigned (Assistant) Secretary of Ulster County Capital Resource Corporation (the “Corporation”), DO HEREBY CERTIFY that I have compared the foregoing annexed extract of the minutes of the meeting of the members of the Corporation, including the Resolution contained therein, held on April 21, 2021 with the original thereof on file in my office, and that the same is a true and correct copy of said original and of such Resolution contained therein and of the whole of said original so far as the same relates to the subject matters therein referred to.

I FURTHER CERTIFY that (A) all members of the Corporation had due notice of said meeting; (B) said meeting was in all respects duly held; (C) pursuant to Article 7 of the Public Officers Law (the “Open Meetings Law”) except as modified by Executive Order 202.1, as supplemented, said meeting was open to the general public, and due notice of the time and place of said meeting was duly given in accordance with such Open Meetings Law; and (D) there was a quorum of the members of the Corporation present, either in-person or appearing telephonically in accordance with Executive Order 202.1, as supplemented, throughout said meeting.

I FURTHER CERTIFY that, as of the date hereof, the attached Resolution is in full force and effect and has not been amended, repealed, or rescinded.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of the Corporation this _____ day of April, 2021.

(Assistant) Secretary

(SEAL)

SCHEDULE A

DISCRIMINATION/HARASSMENT PREVENTION POLICY

DRAFT FOR DISCUSSION PURPOSES ONLY

DATED: APRIL 16, 2021

DISCRIMINATORY HARASSMENT PREVENTION
POLICY AND COMPLAINT PROCEDURE

Revised _____

I. POLICY STATEMENT

It is the policy of Ulster County Capital Resource Corporation (“UCCRC”) to provide and maintain a safe work environment which is free from all unlawful discrimination based on sex (with or without sexual conduct, and including gender identity, gender expression or transgender status), race, color, religion, national origin, age, disability, genetic information or predisposing genetic characteristic, marital status, familial status, military status, domestic violence victim status, and any other class protected by law. Harassment based on these protected characteristics (collectively referred to as “discriminatory harassment”) is a form of unlawful discrimination and is prohibited in each and every work environment and situation which directly impacts the work environment.

UCCRC will take appropriate steps to prevent and correct unlawful discriminatory harassment and discrimination as defined by federal, state and local law (if applicable.) This includes federal laws such as Title VII of the Civil Rights Act, the Age Discrimination in Employment Act, the Americans with Disabilities Act and the Genetic Information Non-Discrimination Act, as well as the New York State Human Rights Law.

UCCRC considers discrimination, discriminatory harassment and other conduct prohibited by this Policy to be a form of employee misconduct. UCCRC considers this type of misconduct to be a serious offense which will not be tolerated. Allegations of discrimination and discriminatory harassment will be investigated thoroughly and if substantiated, will be met with appropriate corrective and/or disciplinary action commensurate with the seriousness of the offense(s), and in accordance with the parameters of applicable collective bargaining agreements and/or state law.

Retaliation against any individual making a discrimination or harassment complaint or assisting in the investigation of such a complaint is forbidden. Retaliation is a serious violation of this Policy which may result in disciplinary action.

II. SCOPE

A. Who is covered by this Policy? This policy applies to all applicants, employees, interns (paid or unpaid), volunteers, contractors, and other non-employees conducting business with the UCCRC.

B. What does this Policy prohibit? This Policy prohibits discriminatory harassment, discrimination and retaliation

whether engaged in by fellow employees, by a supervisor or manager or by someone not directly connected to the UCCRC (e.g., an outside vendor, consultant, other non-employee or citizen).

- C. **Where can discrimination or discriminatory harassment occur?** Conduct prohibited by this Policy is unacceptable in the workplace and in any work-related setting outside the workplace, such as during business trips, business meetings, and business-related social events.
- D. All information gathered during an investigation of a complaint will be handled in a confidential manner, to the extent possible.
- E. This Policy does not preclude the filing of discrimination, discriminatory harassment or retaliation complaints with the New York State Division of Human Rights (DHR), the Federal Equal Employment Opportunity Commission (EEOC), or the pursuing of any other remedies as permitted by law.

III. DEFINITIONS OF PROHIBITED CONDUCT

A. Discrimination

Discrimination on the basis of any protected characteristic is prohibited. Discrimination includes any adverse employment action (termination, failure to hire, demotion, failure to promote, etc.) taken on the basis of sex (with or without sexual conduct, and including gender identity, gender expression or transgender status), race, color, religion, national origin, age, disability, genetic information or predisposing genetic characteristic, marital status, familial status, military status, domestic violence victim status, and any other class protected by law.

B. Discriminatory Harassment

Harassment on the basis of any protected characteristic is prohibited. Under this Policy, prohibited discriminatory harassment is verbal or physical conduct that is offensive to or shows hostility or aversion toward an individual because of a protected class or characteristic, and that: (i) has the purpose or effect of creating an intimidating, hostile or offensive work environment; (ii) has the purpose or effect of unreasonably interfering with an individual's work performance; or (iii) otherwise adversely affects an individual's employment opportunities.

Harassing conduct includes, but is not limited to: epithets, slurs or negative stereotyping; threatening, intimidating or hostile acts; denigrating jokes and display or circulation in the workplace (including through e-mail) of written or graphic material that denigrates or shows hostility or aversion toward an individual or group, based on an individual's protected class.

C. Retaliation

Retaliation against any individual for making a discriminatory or any harassment complaint or assisting in the investigation of such a complaint is prohibited by law and under this Policy. Unlawful retaliation can be any adverse

employment action, including being discharged, disciplined, discriminated against, or any action that would keep or discourage anyone covered by this Policy from coming forward to make or support a claim of discrimination or discriminatory harassment. Adverse action need not be job-related or occur in the workplace to constitute unlawful retaliation.

Any employee, intern, volunteer, and non-employee who believes they have been subjected to retaliation should report this conduct in accordance with the same reporting procedures as are outlined below. These complaints of retaliation will be investigated in accordance with the same procedures utilized and described below. Individuals also may file complaints of retaliation with the federal or state enforcement agencies (EEOC or New York State Division of Human Rights.)

Any individual found to have engaged in retaliation as defined in this Policy may be subject to disciplinary action up to and including termination, and/or other corrective or remedial action as necessary and permitted by an applicable collective bargaining agreement or state law.

IV. REPORTING PROCEDURES AND RESPONSIBILITIES

A. Reporting Procedures

Preventing harassment is everyone's responsibility. If an employee, intern, volunteer, or non-employee who witnesses or is subjected to a situation which he/she believes constitutes discriminatory harassment in violation of this Policy, UCCRC recommends that the person confront the harasser directly and advise the harasser that his/her behavior is not welcomed and will not be tolerated.

If an employee, intern, volunteer or non-employee who witnesses or is subjected to a situation which he/she believes constitutes discrimination or discriminatory harassment, he/she should file a complaint with the UCCRC CEO as set forth below. Anyone who witnesses or becomes aware of potential instances of discrimination or harassment should also report such behavior to the Personnel Officer.

- **Personnel Officer:** UCCRC CEO
- **In the event that the UCCRC CEO is the subject of the complaint, complaints are to be made to the UCCRC Chair**

Although encouraged, note that neither this Policy nor state or federal law requires that an individual tell an alleged harasser to stop his/her actions. Failure to do so does not preclude the individual from filing a complaint of discriminatory harassment. Individuals should feel free to keep written records of any actions which may constitute harassment, including time, date, location, names of others involved, witnesses (if any), and who said or did what to whom.

Complaints may be made verbally or in writing. **If made verbally, the complaint must be reduced to writing by the individual to whom it was reported.** The written report must be given to the Personnel Officer. A form for submission of a written complaint is attached to this Policy, and all employees, interns, volunteers, and non-employees conducting

business in the workplace are encouraged to use this complaint form. Individuals who are reporting discrimination or harassment on behalf of other employees, interns, volunteers or non-employees should use the complaint form and note that it is submitted on another person's behalf.

B. Employee Responsibilities

All employees, interns and volunteers are responsible for refraining from discrimination, discriminatory harassment or retaliation in the workplace. Anyone who witnesses discrimination, discriminatory harassment or retaliation may notify the person responsible that their behavior is inappropriate, and in any and all events, should notify the Personnel Officer.

C. Supervisory Responsibilities

All managerial and supervisory personnel of the UCCRC shall be responsible for enforcing this Policy and shall have particular responsibility for ensuring that the work environment under their supervision is free from discrimination, discriminatory harassment, and retaliation. Failure of a manager or supervisor to comply with this responsibility may result in disciplinary action.

All managerial and supervisory personnel who receive complaints of, observe directly, or otherwise become aware of or suspect that discrimination, discriminatory harassment or retaliation is occurring, will be responsible for immediately forwarding such complaints, in writing, to the Personnel Officer.

Supervisors and managers will be subject to discipline (or other remedial or appropriate action) for failing to report suspected discriminatory harassment or otherwise knowingly allowing the harassment to continue. Supervisors and managers will also be subjected to discipline (or other remedial or appropriate action) if found to have engaged in discrimination, discriminatory harassment, or retaliation.

D. Employer Responsibilities

UCCRC will conduct periodic mandatory training on the issues surrounding discrimination, discriminatory harassment, its effects and its appearances, and the role and responsibility of employees and managerial/supervisory personnel in preventing incidents of discrimination and harassment.

UCCRC will also distribute this Policy to all employees, interns and volunteers, and ensure that it is distributed to new employees as they are hired.

V. INVESTIGATION AND RESPONSE PROCEDURES

Discrimination and discriminatory harassment complaints will be investigated. The Personnel Officer and/or their designee(s) will conduct a prompt and thorough investigation commencing immediately and completed as soon as possible. The investigation will be confidential to the greatest extent possible.

Any employee, volunteer, intern or non-employee may be required to cooperate as needed in an investigation of suspected discriminatory harassment. As further set forth herein, UCCRC will not tolerate retaliation against those who file complaints, support another's complaint, or participate in the investigation of a complaint.

The nature and extent of an investigation may vary on a case by case basis dependent upon the circumstances and extent of the allegations. Generally, investigations should be conducted in accordance with the following steps:

- Upon receipt of complaint, the Personnel Officer or their designee will conduct an immediate review of the allegations, and take interim actions, as appropriate. If the complaint is oral, encourage the individual to complete the "Complaint Form" in writing. If he or she refuses, prepare a Complaint Form or other write up of the complaint based on the oral reporting.
- If documents, emails or phone records are relevant to the allegations, take steps to obtain and preserve them.
- Request and review all relevant documents, including all electronic communications.
- Interview all parties involved, including any relevant witnesses.
- Create (at a minimum) written documentation of the investigation (such as a letter, memo or email), which contains the following:
 - A list of all documents reviewed, along with a detailed summary of relevant documents;
 - A list of names of those interviewed, along with a detailed summary of their statements;
 - A timeline of events;
 - A summary of prior relevant incidents, reported or unreported; and
 - Recommendation(s) for the final resolution of the complaint, together with any recommendations for corrective or remedial actions to be taken.

- Keep the written documentation and associated documents in the employer's records.

Once the investigation is completed, the Personnel Officer or their designee will make a Final Determination as to whether the Policy has been violated.

The Personnel Officer or their designee shall promptly notify the complainant of the Final Determination, and also inform the complainant of their right to file a complaint or charge with the DHR or EEOC, or in an appropriate court.

If a complaint of discriminatory harassment, other harassment, or retaliation is determined to be founded, UCCRC will take disciplinary and/or corrective action in accordance with law and/or an applicable collective bargaining agreement. The Personnel Officer will be responsible for overseeing the implementation of any corrective or remedial actions.

If disciplinary charges are filed against an employee on the grounds that UCCRC has determined the employee is guilty of discrimination, discriminatory harassment or retaliation, the accused employee may exercise his/her rights through the disciplinary procedure provided for in his/her collective bargaining agreement, or state law, if applicable.

VI. FALSE REPORTS

Reporting of a false complaint is a serious act. In the event it is found that an individual bringing the complaint has knowingly made false allegations, UCCRC may take appropriate remedial action and/or disciplinary action in accordance with the provisions of applicable collective bargaining agreement and/or state law.

SEXUAL HARASSMENT PREVENTION POLICY

Revised _____

POLICY STATEMENT

The Ulster County Capital Resource Corporation (the “UCCRC”) is committed to maintaining a safe workplace free from sexual harassment, and has a zero-tolerance policy. Sexual harassment, which includes harassment on the basis of sex, self-identified or perceived sex or gender, sexual orientation, gender identity, gender expression or transgender status, is a form of workplace discrimination. Sexual harassment is a serious form of employee misconduct. All employees, interns, volunteers, and non-employees are required to work in a manner that prevents sexual harassment in the workplace. Any employee, intern, volunteer, or non-employee in the workplace who engages in sexual harassment or retaliation will be subject to remedial and/or disciplinary action, up to and including termination. This Policy is one component of UCCRC’s commitment to a discrimination-free work environment.¹

Sexual harassment is against the law. All persons have a legal right to a workplace free from sexual harassment. This right can be enforced by filing a complaint internally with UCCRC that will be investigated promptly and confidentially, and/or with a government Corporation or in court under federal, state or local antidiscrimination laws.

Sexual harassment is an offensive violation of our policies, unlawful, and will not be tolerated. Harassers may also be individually subject to liability. Those who engage in sexual harassment, and managers and supervisors who engage in sexual harassment or who knowingly allow such behavior to continue, will be subject to remedial action or discipline in accordance with law or an applicable collective bargaining agreement.

This Policy also prohibits retaliation against individuals who report or complain of sexual harassment or participate in the investigation of a sexual harassment complaint, as further described herein.

Complaints of sexual harassment must be submitted to the UCCRC CEO (the “Personnel Officer”).² The Personnel Officer or their Designee will conduct a prompt, thorough and confidential investigation that ensures due process for all parties, whenever an individual or managerial personnel receives a complaint about sexual harassment or retaliation, or otherwise knows of possible sexual harassment occurring. UCCRC will keep the investigation confidential to the extent possible, and will seek to protect and keep confidential the identities of alleged victims and harassers during investigations. Effective corrective action will be taken whenever sexual harassment or retaliation is found to have occurred. All persons covered by this Policy, including managers and supervisors, are required to cooperate with any internal investigation of sexual harassment.

We are all responsible for creating a safe and harassment free work environment. All employees, interns, volunteers, and non-employees are to report any harassment or behaviors that violate this Policy. Reports of sexual harassment may be made verbally, or in writing. UCCRC provides a complaint form for the reporting of harassment and filing of complaints. All members of the UCCRC and staff are required to report **any** complaint that they receive, or any harassment that they observe or become aware of in the workplace. Such reporting should be in written form to the Personnel Officer.

¹ Note that other forms of discrimination, as well as harassment based on protected classes or characteristics other than those covered under this policy are covered separately under UCCRC’s Discriminatory Harassment Policy.

² In the event that the Personnel Officer is the subject of the complaint, complaints must be made to one of the UCCRC Chair

Anyone subject to and/or covered by this Policy who feels harassed, or is concerned about potential harassment should inform their supervisor or the Personnel Officer so that any violation of this policy can be corrected promptly. Any harassing conduct, even a single incident, can be addressed under this policy. UCCRC encourages all who believe they may have been a victim of, or witness of any form of sexual harassment to report.

SCOPE

Who is covered by this Policy? This Policy applies to all employees, applicants for employment, interns, whether paid or unpaid, volunteers, non-employees and persons conducting business with UCCRC³.

Who can be a target of sexual harassment? Sexual harassment can occur between any individuals, regardless of their sex or gender, or standing within UCCRC. Federal and State Law protects employees, paid or unpaid interns, volunteers, and non-employees who provide services in the workplace.

Who can be a sexual harasser? A harasser can be a superior, a subordinate, a coworker or anyone in the workplace including an independent contractor, contract worker, vendor, client, customer or visitor, or anyone with whom the person interacts while conducting their job duties.

Where can sexual harassment occur? Unlawful sexual harassment is not limited to the physical workplace itself. It can occur while employees, interns and/or volunteers are traveling for business or at employer sponsored events or parties. Calls, texts, emails, and social media usage can constitute or contribute to unlawful workplace harassment, even if occurring away from the workplace premises or not during work hours.

DEFINITIONS OF PROHIBITED CONDUCT

What is sexual harassment?

Sexual harassment is a form of sex discrimination and is unlawful under federal, state, and (where applicable) local law. Sexual harassment includes harassment on the basis of sex, self-identified or perceived sex or gender, sexual orientation, gender identity, gender expression or transgender status.

Sexual harassment includes unwelcome verbal or physical conduct which is either of a sexual nature, or which is directed at an individual because of that individual's sex when:

- Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive work environment, even if the reporting individual is not the intended target of the sexual harassment;
- Such conduct is made either explicitly or implicitly a term or condition of employment;
- or*
- Submission to or rejection of such conduct is used as the basis for employment decisions affecting an individual's employment.

A hostile work environment consists of words, signs, jokes, pranks, intimidation or physical violence which are of a sexual nature, or which are directed at an individual because of that individual's sex, self-identified or perceived sex or gender, sexual orientation, gender identity, gender expression or transgender status. Sexual harassment also consists of any unwanted verbal or physical advances, sexually explicit derogatory statements or sexually discriminatory remarks made by someone which are offensive or objectionable to the recipient, which cause the recipient discomfort or humiliation, and/or which can interfere with the recipient's job performance.

³ Non-employees, as defined by law, includes contractors, vendors and consultants or those who are employees of the contractor, vendor or consultant.

Sexual harassment also occurs when a person in authority tries to offer job benefits for sexual favors. This can include hiring, promotion, continued employment or any other terms, conditions or privileges of employment. This is also called “quid pro quo” harassment.

Examples of sexual harassment

Sexual harassment under the law and prohibited by this Policy will include, but is not limited to, the following prohibited conduct:

- Physical assaults of a sexual nature, such as:
 - Touching, pinching, patting, grabbing, brushing against another person’s body or poking another person’s body; rape, sexual battery, molestation or attempts to commit these assaults (which should be reported to local authorities as promptly as is possible).
- Unwanted sexual advances or propositions, such as:
 - Requests for sexual favors accompanied by implied or overt threats concerning the target’s job performance evaluation, a promotion or other employment benefits or detriments; subtle or obvious pressure for unwelcome sexual activities.
- Sexually oriented gestures, noises, remarks, jokes or comments about a person’s sexuality or sexual experience, which can create a hostile work environment.
- Sex stereotyping, which occurs when conduct or personality traits are considered inappropriate or treated negatively simply because they may not conform to other people’s ideas or perceptions about how individuals of a particular sex should look or act.
- Sexual or discriminatory displays or publications anywhere in the workplace, such as:
 - Displaying pictures, posters, calendars, graffiti, objects, promotional material, reading materials or other materials that are sexually demeaning or pornographic. This includes such sexual displays on workplace computers or cell phones and sharing such displays while in the workplace or in a work-related gathering or setting.
- Hostile actions taken against an individual because of that individual’s sex, self-identified or perceived sex or gender, sexual orientation, gender identity, gender expression or transgender status, such as:
 - Interfering with, destroying or damaging a person’s workstation, tools or equipment, or otherwise interfering with the individual’s ability to perform the job;
 - Sabotaging an individual’s work;
 - Bullying, yelling, name-calling.

Retaliation

In addition to sexual harassment, retaliation for opposing or complaining of sexual harassment or participating in investigations of sexual harassment is prohibited by law and prohibited under this Policy. No person covered by this Policy shall be subjected to such unlawful retaliation. Unlawful retaliation can be any adverse employment action, including being discharged, disciplined, discriminated against, or any action that would keep or discourage anyone covered by this Policy from coming forward to make or support a sexual harassment claim. Adverse action need not be job-related or occur in the workplace to constitute unlawful retaliation.

The New York State Human Rights Law and this Policy protect any individual who has engaged in “protected activity.” Protected activity occurs when a person has:

- made a complaint of sexual harassment, either internally or with any anti-discrimination Corporation;
- testified or assisted in a proceeding involving sexual harassment under this Policy, the State Human Rights Law or other anti-discrimination law;

- opposed sexual harassment by making a verbal or informal complaint to UCCRC (including a supervisor or manager) or by simply informing a supervisor or manager of harassment;
- reported that another employee, intern, volunteer or non-employee covered by this Policy has been sexually harassed; or
- encouraged a fellow employee, intern, volunteer and/or non-employee covered by this Policy to report harassment.

Employees, interns, volunteers, and non-employees who believe they have been subjected to retaliation should report this conduct in accordance with the same reporting procedures as are outlined below. These complaints of retaliation will be investigated in accordance with the same procedures utilized to investigate a complaint of sexual harassment. Individuals also may file complaints of retaliation with the federal or state enforcement agencies (EEOC or New York State Division of Human Rights.)⁴ Any individual found to have engaged in retaliation as defined in this Policy will be subject to disciplinary action up to and including termination, and/or other corrective or remedial action as necessary.

REPORTING PROCEDURES AND RESPONSIBILITIES

Reporting Procedures

Preventing sexual harassment is everyone’s responsibility. UCCRC cannot prevent or remedy sexual harassment unless it knows about it. Any employee, intern, volunteer or non-employee who has been subjected to behavior that may constitute sexual harassment is strongly encouraged to report such behavior to a supervisor, manager, or the Personnel Officer. Anyone who witnesses or becomes aware of potential or perceived instances of sexual harassment should also report such behavior to a supervisor, manager, or the Personnel Officer.⁵ Managers and supervisors who have received reports are required to report the alleged harassment to the Personnel Officer.

Although encouraged, note that neither this Policy nor state or federal law requires that an individual tell an alleged harasser to stop his/her actions. Failure to do so does not preclude the individual from filing a complaint of sexual harassment. Individuals should feel free to keep written records of any actions which may constitute sexual harassment, including time, date, location, names of others involved, witnesses (if any), and who said or did what to whom.

Reports of sexual harassment may be made verbally or in writing. If made verbally, to a supervisor or the Personnel Officer, the complaint must be reduced to writing by the individual who it was reported to. A form for submission of a written complaint is attached to this Policy. Individuals who are reporting sexual harassment on behalf of others may report verbally to a supervisor or the Personnel Officer, or should use the complaint form and note that it is on another person’s behalf.

Employees, interns, volunteers or non-employees who believe they have been a target of sexual harassment may also seek assistance in other available forums, as explained below in the section on Legal Protections.

Supervisory Responsibilities

All managerial and supervisory personnel of UCCRC shall be responsible for enforcing this Policy and shall have particular responsibility for ensuring that the work environment under their supervision is free from sexual harassment and retaliation. In addition to being subject to discipline or other remedial action if they engaged in sexually harassing conduct themselves, all supervisors and managers who receive a complaint or information about

⁴ Contact information provided in §IX of this document.

⁵ In the event that the Personnel Officer is the subject of the complaint, complaints are to be made to one of the UCCRC Chair.

suspected sexual harassment, observe what may be sexually harassing behavior or for any reason suspect that sexual harassment is occurring, are required to report the same in writing, to the Personnel Officer. Supervisors and managers will be subject to discipline (or other remedial and appropriate action) for failing to take corrective action and report suspected sexual harassment or otherwise knowingly allowing sexual harassment to continue. Appropriate and attentive action to prevent the occurrence of sexual harassment is an expectation of all supervisors.

Supervisors and managers will also be subject to discipline or other appropriate remedial action for engaging in retaliation.

UCCRC Responsibilities

UCCRC will be responsible for ensuring that this Policy is provided to employees, interns, and volunteers, and that training on this Sexual Harassment Prevention Policy is conducted annually.

INVESTIGATION AND RESPONSE PROCEDURES

All complaints or information about suspected sexual harassment will be investigated, whether that information was reported in verbal or written form. Investigations will be conducted in a timely manner and will be confidential to the extent possible.

During an investigation of any complaint, the information and knowledge gathering of suspected sexual harassment will be prompt and thorough, commencing immediately and completed as soon as possible. The investigation will be confidential to the extent possible. All persons involved, including complainants, witnesses and alleged harassers will be accorded appropriate due process to protect their rights to a fair and impartial investigation.

Any employee, volunteer, intern or non-employee may be required to cooperate as needed in an investigation of suspected sexual harassment. As further set forth herein, UCCRC will not tolerate retaliation against those who file complaints, support another's complaint, or participate in the investigation of a complaint.

All investigations will be conducted by the Personnel Officer or their designee. The nature of an investigation may vary on a case by case basis dependent upon the circumstances and extent of the allegations. Generally, investigations should be conducted by the Personnel Officer or their designee in accordance with the following steps:

- Upon receipt of complaint, the Personnel Officer or their designee will conduct an immediate review of the allegations, and take interim actions, as appropriate. If the complaint is oral, encourage the individual to complete the "Complaint Form" in writing. If he or she refuses, prepare a Complaint Form or other write up of the complaint based on the oral reporting.
- If documents, emails or phone records are relevant to the allegations, take steps to obtain and preserve them.
- Request and review all relevant documents, including all electronic communications.
- Interview all parties involved, including any relevant witnesses;
- Create (at a minimum) written documentation of the investigation (such as a letter, memo or email), which contains the following:
 - A list of all documents reviewed, along with a detailed summary of relevant documents;
 - A list of names of those interviewed, along with a detailed summary of their statements;
 - A timeline of events;
 - A summary of prior relevant incidents, reported or unreported; and
 - Recommendation(s) for the final resolution of the complaint, together with any recommendations for corrective or remedial actions to be taken.

- Keep the written documentation and associated documents in a safe secure location within the employer's records.

Once the investigation is completed, the Personnel Officer or their designee will make a Final Determination as to whether the Policy has been violated.

The Personnel Officer or their designee shall promptly notify the complainant of the Final Determination, and also inform the complainant of their right to file a complaint or charge externally as outlined below.⁶

If and when a complaint of sexual harassment or retaliation is determined to be founded, UCCRC will take disciplinary and/or corrective action. The Personnel Officer will be responsible for overseeing the implementation of any corrective or remedial actions.

FURTHER CONFIDENTIALITY AND DISCLOSURE

In recognition of the personal nature of discrimination complaints and the emotional impact of alleged discrimination, UCCRC shall keep complaints as confidential as is consistent with a thorough investigation, applicable collective bargaining agreements, and other laws and regulations regarding employees and the workplace setting. For the protection of all individuals who make complaints or are accused of prohibited discrimination, every witness interviewed during an investigation under this Policy will be advised of the confidentiality requirement and instructed not to discuss the complaint, the investigation, or the persons involved. To the extent complaints made under this Policy implicate criminal conduct, UCCRC may be required by law to contact and cooperate with the appropriate law enforcement authorities.

The terms of any settlement or other resolution are subject to disclosure UNLESS the Complainant seeks confidentiality. This request for confidentiality may be revoked within a certain time period in accordance with State law.

FALSE REPORTS

Reporting of a false complaint is a serious act. In the event it is found that an individual bringing the complaint has knowingly made false allegations, UCCRC will take appropriate remedial action and/or disciplinary action in accordance with the provisions of applicable collective bargaining agreement and/or state law

LEGAL PROTECTIONS AND EXTERNAL REMEDIES

Sexual harassment is not only prohibited by UCCRC but is also prohibited by state, federal, and, where applicable, local law.

Aside from the internal process at UCCRC, individuals may also choose to pursue legal remedies with the following governmental entities **at any time**.

New York State Division of Human Rights (DHR)

The Human Rights Law (HRL), codified as N.Y. Executive Law, Art. 15, § 290 et seq., applies to employers in New York State with regard to sexual harassment, and protects employees, interns and non-employees. A complaint alleging violation of the Human Rights Law may be filed either with Division of Human Rights or in New York State Supreme Court. Complaints with DHR may be filed any time **within one year** of the harassment. If an

⁶ Where a complaint was filed regarding sexual harassment against an individual other than the person making the written complaint, the person against whom the harassment was directed will be treated as the complainant for purposes of this Policy.

individual did not file at DHR, they can sue directly in state court under the HRL, **within three years** of the alleged discrimination. An individual may not file with DHR if they have already filed an HRL complaint in state court.

Complaining internally to UCCRC does not extend the time for filing a complaint with DHR or in court. The one year or three years is counted from date of the most recent incident of harassment.

An individual does not need an attorney to file a complaint with DHR, and there is no cost to file with DHR.

DHR will investigate the complaint and determine whether there is probable cause to believe that discrimination has occurred. Probable cause cases are forwarded to a public hearing before an administrative law judge. If discrimination is found after a hearing, DHR has the power to award relief, which varies but may include requiring the employer to act to stop the harassment, or redress the damage caused, including paying monetary damages, attorney's fees and civil fines.

Contact DHR at (888) 392-3644 or visit dhr.ny.gov/complaint for more information about filing a complaint. The website has a complaint form that can be downloaded, filled out, notarized and mailed to DHR. The website also contains contact information for DHR's regional offices across New York State.

United States Equal Employment Opportunity Commission (EEOC)

The EEOC enforces federal anti-discrimination laws, including Title VII of the 1964 federal Civil Rights Act (codified as 42 U.S.C. § 2000e et seq.). An individual can file a complaint with the EEOC anytime within 300 days from the harassment. There is no cost to file a complaint with the EEOC. The EEOC will investigate the complaint and determine whether there is reasonable cause to believe that discrimination has occurred, at which point the EEOC will issue a Right to Sue letter permitting the individual to file a complaint in federal court.

The EEOC does not hold hearings or award relief but may take other action including pursuing cases in federal court on behalf of complaining parties. Federal courts may award remedies if discrimination is found to have occurred.

If an individual believes that he/she has been discriminated against at work, he/she can file a "Charge of Discrimination." The EEOC has district, area, and field offices where complaints can be filed. Contact the EEOC by calling 1-800-669-4000 (1-800-669-6820 (TTY)), visiting their website at www.eeoc.gov or via email at info@eeoc.gov

If an individual filed an administrative complaint with DHR, DHR will file the complaint with the EEOC to preserve the right to proceed in federal court.

Local Protections

Many localities enforce laws protecting individuals from sexual harassment and discrimination. An individual should contact the county, city or town in which they live to find out if such a law exists.

Contact your Local Law Enforcement Corporation

If the harassment involves physical touching, coerced physical confinement or coerced sex acts, the conduct may constitute a crime. Contact your local law enforcement Corporation.

ULSTER COUNTY CAPITAL RESOURCE CORPORATION
DISCRIMINATORY HARASSMENT PREVENTION COMPLAINT FORM

**(Submit
to
Personnel
Officer)**

This form may be used to file a charge of discriminatory harassment which is a form of discrimination prohibited by federal law, the New York State Human Rights Law, and UCCRC Policy.

Filing this complaint form with UCCRC in no way deprives you of the right to file a complaint with the US Equal Employment Opportunity Commission, New York State Division of Human Rights, and/or the Federal/State courts.

(PLEASE PRINT OR TYPE)

1. Name _____ Phone Number ____
Residence _____ Mailing Address (if different) _____

2. Department and Position _____

(Month/Day/Year)

(AN AFFIRMATIVE REPLY TO THIS QUESTION WILL IN NO WAY STOP A REVIEW OF YOUR COMPLAINT)

3. Alleged Discrimination Occurred on or about:

Month: _____ Day: _____ Year: _____ Time: _____

4. Indicate the name(s) of the alleged harasser(s) and their position in relationship to the harassed:

5. State the name(s) of any potential witness(s):

6. Has this Conduct been reported to any other individuals, if so to whom and when?:

7. Have you filed this charge with a Federal, State or local government Corporation?
YES/NO: _____ When _____ Where _____

(Month/Day/Year)

Have you instituted a suit or court action on this charge?

YES/NO: _____ When _____ Where _____

8. I swear or affirm that I have read the above related facts and that the statements are true and correct to the best of my knowledge, information and belief.

Date: _____

(Signature)

-INFORMATION PROVIDED HEREIN WILL BE CONFIDENTIALLY
MAINTAINED-

Ulster County Capital Resource Corporation

Completed PPE Grant Applications for Board Consideration on April 21, 2021

Business Name	City	NAICS Definition	Compliant Project	Years in UC	Max Allowed	Proposed expenses	Ownership	Entity Type	FTE calc	Date/Time Finalized	Notes
Hudson Valley Property Inspections	Saugerties	Building Inspection Services	No	12	\$ 1,632.95		N/A	Sole Prop	0	3/11/21 10:27 AM	
Sissy's Café	Kingston	Limited-Service Restaurants	No	8.5	\$ 2,500.00		Shan Francese-Smith 50%, Denee Francese-Smith 50%	S-Corp	1.07	3/12/21 3:30 PM	
High Falls Food Cooperative	High Falls	Supermarkets and Other Grocery (except Convenience) Stores	No	45	\$ 2,500.00		N/A co-op	C-Corp	18.39	3/19/21 12:46 PM	
Local Artisan Bakery	Kingston	Limited-Service Restaurants	no	3	\$ 541.85		N/A	Sole Prop	0.22	3/20/21 5:39 PM	
Ester Wine and Spirits	Kingston	Beer, Wine, and Liquor Stores	No	7	\$ 450.34		Robert Provenz 100%	S-Corp	2.38	3/20/21 7:45 PM	
Lyndsay von Miller	Kingston	Offices of All Other Miscellaneous Health Practitioners	No	2	\$ 1,442.73		N/A	Sole Prop	0	3/20/21 9:34 PM	
Sarah Hull Hallock Free Library	Milton	Libraries and Archives	No	134	\$ 859.29		N/A	NPO	2.41	3/22/21 12:15 PM	Received \$937.25 on 8/17/2020
The Anchor	Kingston	Full-Service Restaurants	No	9	\$ 2,500.00		Michael McGrath 51%, Brandy Walters 49%	S-Corp	7.81	3/22/21 12:39 PM	
Paper House Productions	Saugerties	Stationery and Office Supplies Merchant Wholesalers	No	38	\$ 2,500.00		Stanley Rosenzweig 65.09%, Brent Brown 23.27%, Donald Guidi 7.76%, Sarah Ardila 3.88%	S-Corp	19.37	3/22/21 2:34 PM	
Dixon Roadside	Woodstock	Full-Service Restaurants	No	<1	\$ 2,500.00		Michael Cioffi 100%	Sole Prop	7.50	3/22/21 4:45 PM	
J&R Eagle Inc.	Kingston	Full-Service Restaurants	No	7	\$ 2,500.00		Xuejun Zhang 50%, Rinchen Dolkar 50%	S-Corp	2.81	3/23/21 12:59 PM	
Menla Mountain Retreat	Phoenicia	Accommodations	No	19	\$ 2,500.00		N/A	NPO	18.63	3/24/21 12:19 PM	
Bistro-to-Go	Kingston	Full-Service Restaurants	No	27	\$ 644.03		Mary Anne Erickson 50%, Richard Ericson 50%	S-Corp	11.26	3/25/21 4:15 PM	Received \$1855.97 on 11/23/2020
MG Hurd & Sons Inc.	Clintondale	Apple Orchards	No	55	\$ 2,125.75	\$ 837.95	Charles Hurd 13%, Phil Hurd 87%	C-Corp	40.33	3/29/21 8:02 AM	\$1287.80 Actual Expenditure/\$837.95 Proposed Expenses
Hudson Valley Dentistry	Saugerties	Offices of Dentists	No	6	\$ 2,500.00		Gen Ohkawa 100%	Sole Prop	0.21	3/29/21 10:14 AM	
Alexander Milne DDS, PLLC	Kingston	Offices of Dentists	No	20	\$ 2,500.00		Alexander Milne 100%	Sole Prop	6.08	3/29/21 10:59 AM	
LT Begnal Motor Co, Inc.	Kingston	New Car Dealers	No	48	\$ 2,500.00		Lawrence Begnal 95%; Dorothy Begnal 5%	S-Corp	39.74	3/29/21 4:58 PM	
Olive's Country Store	Shokan	Limited-Service Restaurants	No	17	\$ 2,500.00		Denise Stier 99%/Alex Stier 1%	S-Corp	14.93	3/30/2021 11:10	
Stockade Tavern	Kingston	Drinking Places (Alcoholic Beverages)	No	11	\$ 1,957.54		Paul Maloney 49%, Giovana Vis 51%	S-Corp	1.38	3/30/21 12:32 PM	
Oppenheimer Dentistry	Kingston	Offices of Dentists	No	8	\$ 2,500.00		Dennis Oppenheimer 100%	Sole Prop	0.49	3/30/21 3:02 PM	
Stone House Tavern	Accord	Full-Service Restaurants	No	1	\$ 2,500.00		Alan Roberts 50%, Linda Bradford 50%	Partnership	5.15	3/30/21 5:24 PM	
Town & Country Liquors	Saugerties	Beer, Wine, and Liquor Stores	No	42	\$ 2,500.00		Peggy Schwartz 100%	S-Corp	6.93	3/31/21 9:27 AM	originally mailed 2/26/21 - lost by UPS
Keegan Ales	Kingston	Breweries	No	18	\$ 2,500.00		Thomas Keegan 100%	S-Corp	5.13	3/31/21 12:18 PM	
Broadway Lights Diner	Kingston	Full-Service Restaurants	No	10	\$ 1,865.15		Kornelia Chasin 100%	C-Corp	6.08	3/31/21 12:55 PM	
Kingston Athletics	Kingston	All other Personal Services	No	9	\$ 2,500.00		Ronnie Ridner 35%, Nicholas Krzywonos 30%, Christina Krzywonos 30%, Olivia Grimsland 5%	S-Corp	3.38	3/31/21 2:55 PM	
Woodstock Guild of Craftsmen, Inc.	Woodstock	Gift, Novelty, and Souvenir Stores	No	49+	\$ 581.21	\$ 581.21	N/A	NPO	3.20	3/31/21 2:56 PM	Received \$649.82 10/30/20 & \$989.90 12/29/20 - \$581.21 proposed expenses
PAKT Kingston LLC	Kingston	Full-Service Restaurants	No	5	\$ 2,500.00		Niels Nielsen 50%, Eryn Stutts 50%	Partnership	0.06	3/31/21 3:49 PM	
Onteora Mountain House Inc.	Boiceville	Bed-and-Breakfast Inns	No	30	\$ 1,902.95		Jong Mok Che 51%, Robert McBroom 49%	S-Corp	4.31	3/31/21 4:02 PM	
Hurds Family Farm LLC	Clintondale	Fruit and Vegetable Markets	No	26	\$ 2,500.00		Susan Hurd 100%	Sole Prop	3.96	3/31/21 4:10 PM	
Glorie Farm Winery	Marlboro	Wineries	No	1	\$ 639.72		Daniel Havens 50%, Jacqueline Ferrari Heavens 50%	Partnership	0.15	3/31/21 4:32 PM	
Christina's Restaurant	Kingston	Full-Service Restaurants	No	32	\$ 2,500.00		Peter Kyriacou 50%, Elizabeth Kyriacou 50%	S-Corp	3.45	4/1/21 10:00 AM	
The Woodstock School of Art	Woodstock	Fine Arts Schools	No	52	\$ 2,500.00	\$ 2,500.00	N/A	NPO	2.32	4/2/21 10:37 AM	
Bodhivastu	Big Indian	Religious Organizations	No	5	\$ 2,500.00	\$ 624.00	N/A	NPO	0	4/13/21 9:31 AM	\$1,876 Actual Expenditure/\$2,476.60 Proposed Expenses - up to \$2,500
					\$ 67,143.51	\$ 3,124.00					

Funds Available Before 4/21/21 Approvals*

\$46,578.00

*does not include future staff time issuing checks, postage mailing checks, etc.