



FOR INFORMATION

October 17, 2013

TO: The Directors
FROM: Kenneth Adams
SUBJECT: Annual Report on Jobs Created and Retained on ESD Grant and Loan Programs and Status Report on UDC Loan Portfolio

The Annual Report on Jobs Created and Retained details the performance of Empire State Development's ("ESD") economic development activities related to job growth and retention for the 2012 calendar year. Compliance with the employment requirements of the various loan and grant programs administered by ESD improved from 89% in 2011 to 90% in 2012.

For the calendar year ending December 31, 2012, 297 active projects, funded in 2012 and prior years, were subject to employment stipulations. Those projects had been funded with \$304,939,905 from various New York State investment sources. 266 (90%) of these projects were in compliance with the employment requirements in their financial assistance packages, which generally requires, at a minimum, that the project be within 15% of its stated employment goals. 219 of these projects met or exceeded their employment goals, while the remaining 47 projects came within 15% of their employment goals. For the 31 non-compliant projects, ESD applied repayment penalties on 20 projects, extended grant agreement terms on 9 projects, and waived penalties on 2 projects. For the 20 projects assessed penalties, ESD is seeking a combined repayment of \$3,896,401.

Since first receiving financial assistance, the companies receiving ESD program funding and which are still active have created approximately 20,759 new jobs in New York State, with their employment increasing from approximately 55,832 jobs to 76,591. The average cost per job created or retained is \$3,981.

Regions that experienced the most difficulty meeting employment goals are the Capital, North Country, and Finger Lake with non-compliance rates of 28.6%, 20% and 18.6%, respectively. The best performing region was Long Island, with a 100% compliance rate.

The UDC loan portfolio has an outstanding balance of \$149,874,857, with 111 active loans and a default rate of 6.8%. The outstanding balance of the portfolio increased by \$10,023,380, or 7.2%, since the last report to the Board of Directors.

More detailed information on the performance of ESD's economic development activities related to job growth and retention and on the UDC loan portfolio is included in the attached report.

**ANNUAL REPORT ON JOBS CREATED AND RETAINED
ON ESD GRANT AND LOAN PROGRAMS**

AND

STATUS REPORT ON ESD LOAN PORTFOLIO

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I. Annual Report on Jobs Created and Retained (State Funding)

This report details the performance of ESD's economic development activities related to job growth and retention for the 2012 calendar year.¹ ESD assisted companies in New York State performed relatively well in terms of meeting their respective employment goals. Compliance with the employment requirements of the various loan and grant programs administered by ESD improved to 90% in 2012 from 89% in 2011. The record compliance rate, coming up from a low of just 60% in 2003 is attributable to three main factors. First, the economy has stabilized from its dip into the worst recession since the Great Depression. Second, the enhanced grant disbursement policies continue to help reduce risk and exposure to defaults. Third, the application of the pro-rata recapture penalty has helped mitigate a pattern of chronic defaults by the same grantee.

a) Key Findings

The following are the key findings for 2012 with respect to the 297 active projects in the UDC commercial portfolio:

- 266 (90%) of the projects were in compliance with the employment requirements set forth in their financial assistance packages. 219 of these projects met or exceeded their employment goals, with the remaining 47 coming within 15% of their employment goals. 31 projects (10%) were not in compliance with the employment requirements set forth in their financial assistance packages. (See Attachment I)
- Since first receiving financial assistance, the companies receiving ESD program funds have created approximately 20,759 new jobs in New York State, with their employment increasing from approximately 55,832 jobs to 76,591. The average cost per job created or retained, net of two non-discretionary projects, is approximately \$3,981.²
- The worst performing sectors (with 10 or more projects), Financial Services, General Services and Technologies, had non-compliance rates of 28.6%, 22.2% and 20%, respectively. The best performing sectors (again with 10 or more

¹ All employment and grant recapture information for 2012 refers to information reported to ESD during Reporting Year 2013. Similarly, all employment and grant recapture information for 2011 refers to information reported to ESD during Reporting Year 2012.

²A separate listing detailing the two (2) non-discretionary projects for which employment is tracked is attached to this report. These two projects include the AMD/Global Foundries grant for \$650 million (U223) and one IBM project - a 300 million grant (V895) to the Research Foundation of SUNY, with International SEMATECH as the beneficiary.

projects) were the Biotech and Transportation Manufacturing Industries - both with 100% compliance. (See Attachment II).

- The regions that experienced the most difficulty meeting employment goals were the Capital, North Country, and Finger Lakes regions. The overall non-compliance rates for these regions were 28.6%, 20% and 18.6%, respectively. The best performing region was the Long Island Region with a compliance rate of 100% for 19 projects. (See Attachment III)
- Of the 31 non-compliant projects, ESD applied monetary penalties on 20 projects, extended the terms of 9 grant agreements, and waived penalties on 2 projects.

b) The Reporting and Recommendation Process

By February 1st of each year, each company with job goals is obligated to submit an Employment Report stating its quarter by quarter employment level for the previous year. Those companies that fall short of their employment goals are sent a letter in mid-March notifying them of the default. This letter provides the company with an opportunity to detail any extenuating circumstances that may have prevented the company from meeting its employment goals.

Portfolio Management staff members (“Staff”) are assigned defaulted projects by geographic region. As part of the review process, Staff is expected to: 1) request a letter explaining extenuating circumstances, 2) request financial statements, if not already submitted; 3) review financial statements; 4) contact and work with the ESD Regional Office/Strategic Business Division (“ROSB”) for the region in which the company is located; 5) discuss the employment and business climate with the company to gain perspective on the company’s current situation and develop a better understanding going forward; and 6) make a recommendation to ESD’s Workout Committee (the “Committee”) based on an analysis of the above information.

c) The Workout Committee

The Committee consists of the Chief Financial & Administrative Officer, General Counsel, Controller, Vice President of Loans & Grants, and Vice President of Capital Projects & Senior Counsel. For each project, the Committee evaluates the circumstances causing the default and seeks to apply one of several existing penalty options. These penalty options include:

Maximum Penalty - The grantee is required to repay the maximum amount due according to the schedule in the grantee’s Grant Disbursement Agreements (“GDA”). Factors considered include moving jobs out of New York State, job counts below starting levels, lack of a clear defense or mitigating circumstances, unwillingness to provide information, lack of cooperation, and profitability of company.

Negotiated Penalty - The grantee is required to repay an amount less than the amount stipulated in the GDA. Factors evaluated include company's ability to repay, feasibility of collection and operating status of company. A negotiated settlement is generally approved in conjunction with termination of the GDA.

Pro-Rata Penalty - The grantee is required to repay an amount less than the maximum allowable penalty under the GDA, which amount is calculated based on the amount of the employment shortfall relative to the required employment level. Once the penalty has been paid, the grantee's future employment target is lowered to reflect the number last reported or a higher figure. This penalty is most often applied in cases where circumstances causing the deficiency are beyond the owner's control (e.g., industry-wide economic deterioration, foreign competition, loss of major clients) and are unlikely to be cured in the foreseeable future.

Extend and Freeze - This penalty extends the terms of a grantee's GDA for one year and freezes the percentage of the grant ESD can recapture at the current level during the one year extension period. Determinative factors include the company's ability to reach its goals, economic climate and past history.

Multi-Year Extension ("MYE") – This penalty option was established for the 2009 year due to the effects of the severe recession on New York businesses. The option provides for an extension of the term of the GDA, for up to 3 years, and a reduction in the grantee's target to the level last reported or to the level at the time of the decision. The option was recommended at the discretion of staff, and grantees qualified for the option only if they met three of the four specific criteria which included: whether a grantee was in a distressed industry, had experienced a significant drop in sales, was located in a depressed region, and/or had unattainable employment goals.

Waiver - Due to extenuating circumstances, the Committee decides to waive all penalties for the current reporting year only. Factors include missing jobs by a small percentage, past history, and number of years remaining. A Fractional Waiver is offered to companies which are short of their respective compliance levels by less than one job.

Interest Rate Adjustments for Loans - If a borrower fails to achieve its employment target within a specified period, the interest rate on the loan may be increased up to a maximum rate of Prime+2. If the borrower subsequently achieves its employment projections, the interest rate is reduced to its original level.

d) Employment Results for 2012

For 2012, 219 (74%) projects met or exceeded their employment goals, 47 (16%) came within 15% of their targeted employment goals and 31 (10%) were not in compliance. Staff reviewed the 31 projects in default and made penalty recommendations to the Committee which resulted in the various penalties listed below.

PENALTIES	2012 PROJECTS	PERCENTAGE
Maximum	6	19.4%
Negotiated	5	16.1%
Pro-Rata	9	29%
Extend	9	29%
Waive	2	6.5%
Total	31	100%

e) Grant Recapture for 2012

After reviewing Staff's recommendations and supporting documentation, the Committee decided to demand maximum recapture on six projects, negotiated a settlement on five related projects and assessed pro-rata penalties on nine projects.

The maximum recapture penalties amounts range from \$44,274 to \$400,000, while \$2.7 million represents the total negotiated amount from one company for five related projects. The pro-rata amounts ranged from \$8,484 to \$47,596. The total recapture sought from grantees that were assessed a pro-rata penalty was \$195,127, or 14% of the maximum allowable amount of \$1,430,112.

In total, ESD is seeking repayment of \$3,896,401 from companies in default of their GDAs for 2012 of which \$3 million has already been recovered. Since 2001, ESD has recaptured over \$36 million in grant monies.

f) Comparison of 2011 and 2012 Employment Results

Based on the employment data submitted for 2012, most ESD assisted projects continue to meet or exceed their stated employment goals. The compliance rate improved to 90% from 89% in the previous year. The factors contributing to increased compliance from the previous year are: the stabilization of the economy, the Loans and Grants Department's multiple disbursement policy for grants and the application of the pro-rata penalty. The total net jobs created and retained amongst all of the companies which reported for both 2011 and 2012 is 79,401 and 76,591, respectively.

The following highlights the year over year comparison for 2011 and 2012:

- For 2012, the Committee assessed monetary penalties on 20 (65%) projects in default, which is far greater, in percentage terms, than the 9 projects (23%) penalized the previous year. Extensions were granted for 9 (29%) projects for 2012, which much less than the prior year when 20 projects received extension (50%).
- For 2012, the Committee waived penalties for 2 (6.5%) projects, as compared with 2011, when 6 projects (15%) received penalty waivers.
- There were no write-offs this year compared to 4 the previous year.

PENALTIES	2011 PROJECTS	PERCENTAGE	2012 PROJECTS	PERCENTAGE
Maximum	1	2.5%	6	19.4%
Negotiated	1	2.5%	5	16.1%
Pro-Rata	7	17.5%	9	29%
Extend	20	50%	9	29%
Waive	6	15%	2	6.5%
Write-Off	4	10%	0	0
Other	1	2.5%	0	0
Total	40	100%	31	100%

g) Recapture Results for 2011

For 2011, the Committee approved recapture of \$334,128.07 of grant monies, with \$317,408.08 collected and \$16,719.99 accounted for either by promissory notes or other repayment agreements.

In total, Staff has obtained repayment of 95% of the approved recapture amounts for 2011, with another 5% to be paid to ESD pursuant to promissory notes or other repayment agreements. This represents 100% success rate for recapture of penalties assessed.

II. World Trade Center Job Creation and Retention Grants Program (Federal Funding)

Through the World Trade Center Job Creation & Retention Grants Program (“JCRP” or the “Program”), ESD offers grants to firms committing to maintain, create or attract at least 200 jobs in lower Manhattan. Many of these businesses experienced a disruption of operations as a result of 9/11. The US Department of Housing and Urban Development (“HUD”) provided \$320,000,000 in funding for the Program, which is administered by ESD.

Each JCRP grant recipient is required to sign a GDA which requires it to retain and/or create a specific number of jobs for a specified number of years – a minimum of 7 years and up to 15 years in certain cases. The monitoring and workout process is identical to that followed for ESD grant defaults discussed above.

Since their initial receipt of financial assistance, these 40 companies have created a net total of 7,517 new jobs, and total employment increased from 50,610 to 58,127 jobs. With total investment by HUD of \$226,664,524, the average cost per job created or retained is \$3,899. (See Attachment IV)

For 2012, 5 of the 40 (13%) active JCRP projects were not in compliance compared with 3 projects (7%) for the previous year. The 5 projects not in compliance include Emblem Health Services, LLC (R349), Fitch Group, Inc. (Q574), Kenyon & Kenyon, LLP (Q310), Locke Lord, LLP (R745), and Stroock & Stroock & Lavan, LLP (P775). Fitch Group, Inc. received an extension. Kenyon & Kenyon, LLP and Locke Lord, LLP were both waived. Stroock & Stroock & Lavan, LLP has repaid the pro-rata sum of \$8,930. A decision on Emblem Health Services, LLC is pending.

PENALTIES	2012 PROJECTS	PERCENTAGE
Extension and Freeze	1	20%
Pro-rata	1	20%
Waive	2	40%
Pending	1	20%
Total	5	100%

III. Status of the New York State Urban Development Corporation's Loan Portfolio

a) Overview

Staff is responsible for monitoring employment requirements, as well as loan modifications and workouts, on UDC's Loan Portfolio.

The current outstanding balance of the UDC portfolio is \$149,874,857.36, which includes 111 loans funded from 20 different funding sources. The funding source with the highest volume of active loans, the ESD's Upstate Regional Blueprint Loan Fund, has 26 active loans, with an outstanding balance of \$15,165,624.40, or approximately 10% of the total portfolio. The 15 active loans funded from the Empire State ED Funds source have the highest outstanding principal balance of \$30,410,409.41.

In addition to the 111 active loans, Staff services and tracks repayments for companies that defaulted on their GDAs or under World Trade Center Disaster Recovery Program ("WTC") grant agreements, and were assessed a repayment penalty by the WTC Review Committee, and are repaying portions of their grants pursuant to promissory notes. Staff is currently servicing 11 UDC grantees, with \$374,207 in principal outstanding and 4 WTC grantees, with \$157,116 in principal outstanding.

15 projects in the UDC portfolio are delinquent. A loan is considered delinquent when it is more than 60 days in arrears. These delinquent loans have a current outstanding balance of \$10,164,621.63, or a delinquency rate of 6.8% (in terms of principal balance) down from 9% the previous year.

b) Recent Activity

In 2013, ESD has closed 4 new loans with total disbursements of \$1,210,000 and 2 loans have paid off a total balance of \$26,846. The four new loans were funded through the Upstate Regional Blueprint Fund

Attachment I

Empire State Development Corporation 2013 Annual Report of Employment

Project Name	Proj#	Funding Source Type	Closing Date	Original Investment	Start Employ	2012	2013	Diff	Required/13	Retained	Created	Lost	Region	Compliance	
														Diff	Diff
3 Kids Corp.	S476	ED-Fund G	07/13/09	93,750	0	17	26	9	0	26	0	26	0	MIDHUD	In Compliance
Ace Endico Corporation	P353	ED-Fund G	12/06/05	400,000	105	196	204	8	185	19	105	99	0	MIDHUD	Exceeds Compliance
Aceto Corporation	W909	ED-Fund G	09/20/12	244,500	80	0	84	84	80	4	80	4	0	LI	Exceeds Compliance
Active Motif, Inc.	U237	ED-Fund G	11/30/10	37,500	0	7	6	(1)	4	2	0	6	0	NCOUNTRY	Exceeds Compliance
Adecco USA, Inc.	V966	ED-Fund G	07/07/11	100,000	13	121	96	(25)	100	(4)	13	83	0	FNGERLKS	In 15% Range
ADH Health Products, Inc.	X210	ED-Fund G	12/14/11	250,000	58	74	73	(1)	58	15	58	15	0	MIDHUD	Exceeds Compliance
Adirondack Cookie Company, Inc.d/b/a Corso's Cookies	T724	ED-Fund G	09/25/07	22,500	14	22	48	26	25	23	14	34	0	CENTRAL	Exceeds Compliance
Advanced Coating Technologies	U542	ED-Fund G	05/11/11	250,000	35	93	88	(5)	35	53	35	53	0	MIDHUD	Exceeds Compliance
Advanced Energy Systems, Inc.	V597	ED-Fund G	11/17/09	150,000	25	37	43	6	36	7	25	18	0	LI	Exceeds Compliance
AERCO International, Inc.	W930	ED-Fund G	06/21/12	187,500	0	0	150	150	143	7	0	150	0	MIDHUD	Exceeds Compliance
AFC Industries, Inc.	U538	ED-Fund G	03/12/08	281,250	82	103	104	1	112	(8)	82	22	0	NYC	In 15% Range
Air Innovations, Inc.	W533	ED-Fund G	03/26/12	15,000	36	0	39	39	41	(2)	36	3	0	CENTRAL	In 15% Range
Alleson of Rochester, Inc. d/b/a Alleson Athletic	T706	ED-Fund G	02/08/11	112,500	76	117	116	(1)	101	15	76	40	0	FNGERLKS	Exceeds Compliance
Allred & Associates, Inc	W777	ED-Fund G	02/03/11	17,500	38	41	36	(5)	38	(2)	35	5	0	2 CENTRAL	In 15% Range
Alpla, Inc.	V624	ED-Fund G	07/09/09	100,000	0	56	49	(7)	30	19	0	49	0	CENTRAL	Exceeds Compliance
America Customer Care, Inc.	U714	JN-Fund G	07/13/10	137,500	0	76	52	(24)	50	2	0	52	0	STIER	Exceeds Compliance
American Packaging Corporation	W113	ED-Fund G	03/30/10	75,000	147	147	156	9	147	9	147	9	0	FNGERLKS	Exceeds Compliance
An-Cor Industrial Plastics, Inc.	P743	ED-Fund G	04/01/08	85,000	52	51	66	15	77	(11)	52	14	0	WNY	In 15% Range
APC-NY Paper/APC Paper Company of New York, Inc.	V038	ED-Fund G	07/29/08	500,000	54	57	56	(1)	54	2	54	2	0	NCOUNTRY	Exceeds Compliance
API Heat Transfer Inc.	W156	JN-Fund G	09/17/09	1,000,000	370	430	455	25	370	85	370	85	0	FNGERLKS	Exceeds Compliance
APS Healthcare, Inc.	V949	JN-Fund G	10/02/09	600,000	0	67	103	36	25	78	0	103	0	MIDHUD	Exceeds Compliance
Arch Chemicals, Inc.	X034	ED-Fund G	07/12/12	50,000	156	0	156	156	156	0	156	0	0	FNGERLKS	Exceeds Compliance
Ardagh Metal Packaging USA Inc./Impress USA	W020	ED-Fund G	10/20/11	500,000	0	52	48	(4)	50	(2)	0	48	0	STIER	In 15% Range
Ashton Potter (USA) Ltd	U577	ED-Fund G	05/17/11	100,000	140	145	190	45	175	15	140	50	0	WNY	Exceeds Compliance
Atlantis Energy Systems, Inc.	V769	ED-Fund G	11/17/09	37,500	12	24	26	2	12	14	12	14	0	MIDHUD	Exceeds Compliance
Austin Mohawk and Company, Inc.	V961	ED-Fund G	04/14/09	25,000	49	58	49	(9)	51	(2)	49	0	0	MOHAWK	In 15% Range
Avon Products, Inc..	P977	ED-Fund G	11/30/04	650,000	284	347	339	(8)	305	34	284	55	0	MIDHUD	Exceeds Compliance
AXA Equitable Life Insurance Company	S338	JN-Fund G	08/31/10	625,000	713	861	779	(82)	713	66	713	66	0	CENTRAL	Exceeds Compliance
BAE Systems Controls Inc.	V274	JN-Fund G	05/29/08	462,500	1,319	1,262	1,257	(5)	1,444	(187)	1,256	75	0	62 STIER	Not in Compliance
Bausch & Lomb, Incorporated	T346	ED-Fund G	10/23/07	600,000	1,305	1,293	1,316	23	1,505	(189)	1,305	11	0	FNGERLKS	In 15% Range
Beech- Nut Nutrition Corporation/ Hero Group, Inc.	V795	ED-Fund G	08/18/08	2,500,000	386	354	260	(94)	386	(126)	260	0	126 CAPITAL	Not in Compliance	

Project Name	Proj#	Funding Source Type	Closing Date	Original Investment	Start Employ	2012	2013	12/ 13 Required	Diff Required/13	Retained	Created	Lost	Region	Compliance
Beech-Nut Nutrition Corporation/Hero Group, Inc.	V392	JN-Fund G	01/22/09	5,000,000	386	437	260	(17)	491	(23)	260	0	126 MOHAWK	Not in Compliance
Benchmark Printing, Inc.	V937	ED-Fund G	01/26/11	90,000	72	82	77	(5)	72	5	72	5	0 CAPITAL	Exceeds Compliance
Bitzer Scroll, Inc.	V378	JN-Fund G	08/23/11	700,000	12	75	83	8	67	16	12	71	0 CENTRAL	Exceeds Compliance
Borg Warner Morse TEC Inc	V796	ED-Fund L	12/15/11	133,000	1,380	1,396	1,399	3	1,380	19	1380	19	0 STIER	Exceeds Compliance
Borg Warner Morse TEC Inc	V765	ED-Fund G	12/15/11	459,540	1,380	1,396	1,399	3	1,380	19	1380	19	0 STIER	Exceeds Compliance
Bretton Industries, Inc.	V889	ED-Fund G	04/09/10	200,000	106	107	108	1	116	(8)	106	2	0 MOHAWK	In 15% Range
Briggs & Stratton Power Products Group, LLC	V798	ED-Fund G	03/24/09	75,000	0	21	348	327	20	328	0	348	0 MOHAWK	Exceeds Compliance
Brinkman Precision, Inc.	W453	ED-Fund G	11/10/11	250,000	99	103	92	(11)	99	(7)	92.5	0	7 FNGERLKS	In 15% Range
Broadridge Financial Solutions	U859	JN-Fund G	01/20/11	1,000,000	1,606	1,872	1,924	52	1,756	168	1606	318	0 LI	Exceeds Compliance
Brunner International , Inc.	V967	ED-Fund G	11/16/12	150,000	265	0	394	394	315	79	265	129	0 FNGERLKS	Exceeds Compliance
Buffalo Lafayette LLC	X468	UCDFU G	10/09/12	2,000,000	30	0	596	596	100	496	30	566	0 WNY	Exceeds Compliance
Buffalo Wire Works Co, Inc.	W239	ED-Fund G	06/01/11	500,000	61	94	118	24	77	41	61	57	0 WNY	Exceeds Compliance
C Speed, LLC	W504	ED-Fund G	07/26/10	50,000	15	28	31	3	25	6	15	16	0 CENTRAL	Exceeds Compliance
CAF USA, INC.	K878	ED-Fund G	04/17/06	100,000	0	71	148	77	80	68	0	148	0 STIER	Exceeds Compliance
Campus Labs, LLC	X114	ED-Fund G	04/25/12	100,000	37	0	71	71	57	14	37	34	0 WNY	Exceeds Compliance
Capital Management Services, Inc.	U064	JN-Fund G	12/20/07	150,000	820	567	542	(25)	567	(25)	542.5	0	278 WNY	Not in Compliance
Cardinal Griffiss Realty	X081	G	02/09/12	1,000,000	86	0	143	143	120	23	86	57	0 MOHAWK	Exceeds Compliance
Carestream Health, Inc.	V322	JN-Fund G	04/29/10	1,500,000	800	1,147	1,117	(30)	1,175	(58)	800	317	0 FNGERLKS	In 15% Range
Cedar Knoll Log Homes,Inc	R724	ED-Fund G	07/08/05	50,000	23	9	7	(2)	9	(2)	7.25	0	16 NCOUNTRY	Not in Compliance
Center One, LLC	V604	JN-Fund G	04/27/09	375,000	10	98	116	18	202	(86)	10	106	0 WNY	Not in Compliance
Chautauqua County IDA/Raison	C272	REDS PA L	12/12/95	300,000	250	334	331	(3)	262	69	250	81	0 WNY	Exceeds Compliance
Chautauqua IDA/Cummins Engine	B931	REDS PA L	01/17/96	227,850	876	1,306	1,388	82	1,016	372	876	512	0 WNY	Exceeds Compliance
Citi Amherst, Inc.	U652	JN-Fund G	06/18/08	1,750,000	598	1,182	1,269	87	1,098	171	598	671	0 WNY	Exceeds Compliance
Cives Corporation d/b/a/Viking Cives USA	W231	ED-Fund G	09/23/10	25,000	80	93	94	1	84	10	80	14	0 NCOUNTRY	Exceeds Compliance
Cleveland Biolabs, Inc.	U712	ED-Fund G	05/28/08	220,000	0	46	40	(6)	25	15	0	40	0 WNY	Exceeds Compliance
CMP Advanced Mechanical Solutions	U617	ED-Fund G	08/05/11	135,000	54	107	89	(18)	90	(1)	54	35	0 STIER	In 15% Range
Coast Professional, Inc.	w221	JN-Fund G	12/07/10	200,000	0	80	110	30	100	10	0	110	0 FNGERLKS	Exceeds Compliance
Cold Spring Harbor Laboratory	W229	DS Down G	04/10/12	5,000,000	800	0	895	895	880	15	800	95	0 LJ	Exceeds Compliance
Complete Medical Supplies, Inc.	V870	ED-Fund G	04/10/12	2,000,000	800	0	895	895	880	15	800	95	0 LJ	Exceeds Compliance
Composite Panel Solutions (CATTICO)	V141	ED-Fund G	05/01/08	175,000	22	41	41	0	39	2	22	19	0 MIDHUD	Exceeds Compliance
Cooper & Clement, Inc.	R669	ED-Fund G	11/09/04	150,000	0	34	37	3	43	(6)	0	37	0 WNY	In 15% Range
Corning Incorporated Diesel Ceramic Manufacturing Facility	W179	ED-Fund G	02/08/10	55,000	17	34	31	(3)	22	9	17	14	0 CENTRAL	Exceeds Compliance
Corning Incorporated	U144	ED-Fund G	04/01/11	200,000	375	622	604	(18)	475	129	375	229	0 STIER	Exceeds Compliance
Crucible Industries LLC (Loan)	L384	JN-Fund G	10/07/06	625,000	50	622	604	(18)	300	50	554	0 STIER	Exceeds Compliance	
Cortland Plastics International,LLC	V935	ED-Fund G	04/16/10	70,000	20	43	50	7	40	10	20	30	0 CENTRAL	Exceeds Compliance
Cox & Company, Inc.	T639	ED-Fund G	11/18/09	432,000	130	187	205	18	190	15	130	75	0 LI	Exceeds Compliance
Crucible Industries LLC (Loan)	W923	ED-Fund L	12/08/09	5,330,000	120	301	303	2	170	133	120	183	0 CENTRAL	Exceeds Compliance
Crucible Industries LLC (loan)	W894	UB	02/08/10	2,670,000	120	301	303	2	170	133	120	183	0 CENTRAL	Exceeds Compliance

Project Name	Proj#	Funding Source Type	Closing Date	Original Investment	Start Employ	2012	2013	12/13 Required	Diff Required	Diff Retained	Created	Lost	Region	Compliance
Crucible Industries, LLC	W903	ED-Fund	G 09/17/10	1,500,000	120	301	303	2	170	133	120	183	0 CENTRAL	Exceeds Compliance
Crystal IS, Inc.	T287	ED-Fund	G 04/17/06	125,000	17	24	28	4	25	3	17	11	0 CAPITAL	Exceeds Compliance
Cummins Inc.	W481	ED-Fund	G 11/03/11	500,000	1,254	1,306	1,388	82	1,270	118	1254	134	0 WNY	Exceeds Compliance
Cummins, Inc.	V608	ED-Fund	G 04/08/08	500,000	1,100	1,306	1,388	82	1,100	288	1100	288	0 WNY	Exceeds Compliance
Curran Renewable Energy, LLC	V129	ED-Fund	G 08/09/12	125,000	50	0	100	100	75	25	50	50	0 NCOUNTRY	Exceeds Compliance
CURRENT Communications Services LLC	R557	JN-Fund	G 07/31/07	100,000	0	0	0	0	0	0	0	0	0 FNGERLKS	In Compliance
Curtis Screw Company, LLC	R292	ED-Fund	G 04/05/05	600,000	272	174	178	4	190	(12)	178	0	94 WNY	In 15% Range
CVD Equipment Corporation	V876	ED-Fund	G 10/13/09	100,000	107	136	151	15	127	24	107	44	0 LI	Exceeds Compliance
D. C. Sports, Inc.	U371	ED-Fund	G 07/16/09	62,500	0	28	30	2	20	10	0	30	0 CAPITAL	Exceeds Compliance
D4, LLC	X249	ED-Fund	G 12/10/12	37,500	55	0	70	70	55	15	55	15	0 FNGERLKS	Exceeds Compliance
D'Addario & Company, Inc.	T480	ED-Fund	G 08/22/08	977,666	700	750	760	10	700	60	700	60	0 LI	Exceeds Compliance
Dansville Properties, LLC	T247	JN-Fund	G 05/29/08	375,000	73	125	165	40	173	(8)	73	92	0 FNGERLKS	In 15% Range
Data Listing Services, LLC	V811	JN-Fund	G 01/06/11	525,000	0	162	238	76	375	(137)	0	238	0 WNY	Not in Compliance
Datrose, Inc.	W114	MWBDSL	L 04/12/10	160,000	130	119	102	(17)	130	(28)	102	0	28 FNGERLKS	Not in Compliance
Datrose, Inc.	W497	ED-Fund	G 05/14/10	14,000	130	119	102	(17)	130	(28)	102	0	28 FNGERLKS	Not in Compliance
DeCicco Enterprises, LLC	X089	ED-Fund	G 10/31/11	165,000	0	84	88	4	75	13	0	88	0 MIDHUD	Exceeds Compliance
Deltacraft Paper Company, LLC	T347	ED-Fund	G 07/07/06	75,000	50	31	0	(31)	28	(28)	0	0	50 WNY	Not In Compliance
DeMet's Candy Capital	W026	ED-Fund	G 05/26/10	500,000	0	324	220	(104)	141	79	0	220	0 STIER	Exceeds Compliance
Dresser-Rand Company	V734	JN-Fund	G 07/23/10	2,000,000	552	956	1,129	173	672	457	552	577	0 WNY	Exceeds Compliance
Dresser-Rand Group, Inc.	X136	ED-Fund	G 09/14/12	500,000	787	0	1,129	837	292	787	342	0 WNY	Exceeds Compliance	
E. T. Precision Optics, Inc.	W352	ED-Fund	G 08/07/09	87,500	64	48	44	(4)	64	(20)	44.25	0	20 FNGERLKS	Not in Compliance
East Harlem Abyssinian Triangle L.P./ Pathmark Stores	D229	MERF	L 12/15/00	8,822	0	146	130	(16)	125	5	0	130	0 NYC	Exceeds Compliance
Eastman Machine Company	W107	ED-Fund	G 03/25/09	150,000	98	107	116	9	103	13	98	18	0 WNY	Exceeds Compliance
Eaton Corporation	U665	ED-Fund	G 07/15/09	800,000	220	270	0	220	50	220	50	0 STIER	Exceeds Compliance	
ECR International Part II, Inc.	W581	ED-Fund	G 04/23/10	600,000	247	287	288	1	309	(21)	247	41	0 MOHAWK	In 15% Range
Edison Price Lighting, Inc.	T652	ED-Fund	G 02/11/08	200,000	100	82	85	3	110	(25)	85	0	15 NYC	Not in Compliance
Edwards Vacuum, Inc.	X195	ED-Fund	G 11/21/12	500,000	100	0	144	-	128	16	100	44	0 WNY	Exceeds Compliance
El Greco Woodworking, Inc.	T672	ED-Fund	G 03/21/08	100,000	14	36	34	(2)	34	0	14	20	0 WNY	Exceeds Compliance
Emerson Network Power Surge Protection, Inc.	V752	ED-Fund	G 10/05/10	162,500	56	54	52	(2)	56	(4)	51.5	0	4 STIER	In 15% Range
ENAP, Inc.	S139	ED-Fund	G 12/07/06	250,000	75	53	56	3	62	(6)	56	0	19 MIDHUD	Not in Compliance
EPCO Carbon Dioxide Products, Inc.	V927	ED-Fund	G 05/23/12	33,500	0	0	8	8	5	3	0	8	0 FNGERLKS	Exceeds Compliance
Epic Pharma, LLC	W220	ED-Fund	G 10/16/09	300,000	165	179	169	(10)	185	(16)	165	4	0 NYC	In 15% Range
FactSet Research System, Inc.	V325	JN-Fund	G 07/09/08	200,000	163	454	514	60	313	201	163	351	0 NYC	Exceeds Compliance
FAGE USA Dairy Industry, Inc.	S844	ED-Fund	G 07/23/09	300,000	0	237	247	10	60	187	0	247	0 MOHAWK	Exceeds Compliance
Ferris Industries/Briggs & Stratton Power Products Group LLC	U672	ED-Fund	G 07/28/08	250,000	298	402	348	(54)	328	20	298	50	0 CENTRAL	Exceeds Compliance
Fifty Door Partners, LLC d/b/a A & J Washroom Accessories	V917	ED-Fund	G 10/27/08	183,334	60	69	68	(1)	60	8	60	8	0 MIDHUD	Exceeds Compliance
First National Financial Group, Inc.	W786	UB	G 07/18/11	1,300,000	1,017	1,606	1,977	371	1,327	650	1,017	960	0 WNY	Exceeds Compliance
Fluid Power Service Corporation	V969	ED-Fund	G 04/14/09	33,600	36	43	46	3	40	6	36	10	0 WNY	Exceeds Compliance

Project Name	Proj#	Funding Source Type	Closing Date	Original Investment	Start Employ	2012	2013	12/13 Required	Diff Required/13	Retained	Created	Lost	Region	Diff Compliance	
Friendship Dairies, LLC	W235	ED-Fund G	11/15/12	200,000	218	0	257	257	(1)	218	39	0	WNY	In 15% Range	
Galvstar LLC	W539	ED-Fund G	08/03/12	100,000	0	0	25	25	20	5	0	25	0	WNY	Exceeds Compliance
GE Aviation Systems LLC	W789	ED-Fund L	09/12/12	1,270,000	200	0	256	256	200	56	200	56	0	LI	Exceeds Compliance
General Electric Company -GE Energy Div.	V819	JN-Fund G	04/29/10	5,000,000	500	620	600	(20)	500	100	500	100	0	CAPITAL	Exceeds Compliance
Getinge Sourcing LLC	T542	ED-Fund G	08/24/10	550,000	265	275	258	(17)	265	(7)	258	0	7	FNGERLKS	In 15% Range
GIS Information Systems, Inc. d/b/a Polaris Library Systems	W945	ED-Fund L	11/15/10	1,000,000	63	69	71	2	72	(1)	63	8	0	CENTRAL	In 15% Range
Goodyear Dunlop Tires North America, LTD	F341	ED-Fund G	06/13/01	2,000,000	1,200	1,247	1,232	(15)	1,268	(36)	1,200	32	0	WNY	Not in Compliance
Gordon Companies Inc	V397	ED-Fund G	06/11/12	75,000	15	0	60	60	45	15	15	45	0	WNY	Exceeds Compliance
Goulds Pumps Inc.	W339	ED-Fund G	04/09/12	1,350,000	680	0	893	893	740	153	680	213	0	FNGERLKS	Exceeds Compliance
Grant Meridian Printing,Inc. d/b/a GM Printing	V185	ED-Fund G	06/29/11	44,150	24	25	23	(2)	24	(1)	22,75	0	1	NYC	In 15% Range
Graphic Controls, LLC	V080	ED-Fund G	02/26/08	250,000	262	274	283	9	278	5	262	21	0	WNY	Exceeds Compliance
Griffiss Hangar 101/Commodore/ Empire Aero Center	R299	ED-Fund G	06/22/04	2,000,000	0	110	131	21	66	65	0	131	0	MOHAWK	Exceeds Compliance
Griffiss Local Development Corp	R300	JN-Fund G	05/18/04	1,000,000	0	110	131	21	66	65	0	131	0	MOHAWK	Exceeds Compliance
H@Lofts Capital	W952	UB L	12/29/10	400,000	40	42	47	5	40	7	40	7	0	WNY	Exceeds Compliance
Hamilton Printing Company	V143	ED-Fund G	03/28/11	100,000	95	88	71	(17)	88	(17)	71,25	0	24	CAPITAL	Not in Compliance
Harris Corporation-RF Communications Group	W790	ED-Fund G	03/27/12	4,000,000	2,000	0	2,494	2,494	2,000	494	2,000	494	0	FNGERLKS	Exceeds Compliance
Hartford Fire Insurance Company	V809	ED-Fund G	03/25/10	435,000	600	658	631	(27)	600	31	600	31	0	MOHAWK	Exceeds Compliance
Hartford Fire Insurance Company	V808	ED-Fund G	12/23/11	246,500	400	480	446	(34)	400	46	400	46	0	CENTRAL	Exceeds Compliance
Healthway Home Products, Inc.	W472	ED-Fund G	04/01/10	25,000	22	29	34	5	22	12	22	12	0	CENTRAL	Exceeds Compliance
Hero Group Inc./ Beech-Nut Nutrition Corp	V060	JN-Fund G	11/17/10	12,567,000	356	354	260	(94)	491	(231)	260	0	96	MOHAWK	Not in Compliance
Hero Group Inc./Beech-Nut Nutrition Corporation	V330	ED-Fund G	12/24/10	6,016,236	386	354	260	(94)	491	(231)	260	0	126	MOHAWK	Not in Compliance
Hero Group Inc/Beech-Nut Nutrition Corporation	W136	ED-Fund G	11/19/10	5,000,000	386	437	260	(177)	491	(231)	260	0	126	MOHAWK	Not in Compliance
High Falls Brewing Company, LLC	V176	ED-Fund G	05/13/08	1,500,000	331	519	513	(6)	421	92	331	182	0	FNGERLKS	Exceeds Compliance
Hill & Markes, Inc.	X001	UB L	08/17/12	616,213	0	168	168	141	27	0	168	0	0	MOHAWK	Exceeds Compliance
Hinspergers Poly Industries Inc.	W166	ED-Fund G	08/16/12	39,000	45	0	59	59	45	14	45	14	0	FNGERLKS	Exceeds Compliance
Hi-Tech Pharmacal, Inc.	W182	ED-Fund G	08/28/09	450,000	240	327	357	30	290	67	240	117	0	LI	Exceeds Compliance
Hope Lake Investors, LLC	T485	JN-Fund G	03/02/10	300,000	0	165	189	24	150	39	0	189	0	CENTRAL	Exceeds Compliance
Howes Cave Development LLC	X346	ED-Fund G	08/24/12	75,000	0	0	44	44	37	7	0	44	0	MOHAWK	Exceeds Compliance
Huhtamaki, Inc.	W908	ED-Fund G	11/21/12	500,000	631	0	582	582	631	(49)	581,5	0	49	CENTRAL	In 15% Range
Hydro-Air Components, Inc.	T988	JN-Fund G	07/23/08	800,000	114	154	136	(18)	140	(4)	114	22	0	WNY	In 15% Range
ICON Laboratories, Inc.	Q400	ED-Fund G	09/01/05	225,000	186	263	306	43	225	81	186	120	0	LI	Exceeds Compliance
IFC, LLC	R815	ED-Fund G	10/28/04	95,000	0	38	31	(7)	38	(7)	0	31	0	NCOUNTRY	Not in Compliance
Ingram Micro / Amherst Development Corp	C162	REDS PA L	08/20/97	300,000	539	1,360	1,458	98	1,139	319	539	919	0	WNY	Exceeds Compliance
Inscape (NY) Inc.	X061	ED-Fund G	12/09/11	75,000	66	86	89	3	78	11	66	23	0	WNY	Exceeds Compliance
International Paper Company/Ticonderoga Mill	V375	ED-Fund G	06/20/11	785,000	626	658	661	3	626	35	626	35	0	NCOUNTRY	Exceeds Compliance

Project Name	Proj#	Funding Source Type	Closing Date	Original Investment	Start Employ	2012	2013	12/13 Required	Dif ^f	Diff Required/13	Retained	Created	Lost	Region	Compliance
International SEMATECH Manufacturing Initiative	X204	CITYBY G	08/08/11	10,000,000	0	96	118	22	50	68	0	118	0	CAPITAL	Exceeds Compliance
International SEMATECH Manufacturing Initiative	X008	CITYBY G	08/08/11	3,750,000	0	96	118	22	50	68	0	118	0	CAPITAL	Exceeds Compliance
International SEMATECH Manufacturing Initiative, Inc.	W934	JN-Fund G	08/08/11	3,881,273	0	96	118	22	50	68	0	118	0	CAPITAL	Exceeds Compliance
Intrinsic Materials, Inc.	X065	ED-Fund G	11/07/12	1,200,000	0	0	8	8	8	0	8	0	0	FNGERLKS	Exceeds Compliance
INX International Inc Company	X203	ED-Fund G	07/24/12	75,000	50	0	56	56	53	3	50	6	0	WNY	Exceeds Compliance
iQor US Inc.	T883	ED-Fund G	02/14/11	250,000	50	52	39	(13)	50	(11)	39.25	0	11	WNY	Not in Compliance
Irving Tissue, Inc.	V918	ED-Fund G	02/08/11	600,000	278	333	332	(1)	278	54	278	54	0	CAPITAL	Exceeds Compliance
ITT Corporation	V596	ED-Fund G	05/29/08	1,000,000	119	152	196	44	169	27	119	77	0	MIDHUD	Exceeds Compliance
Jetro Cash & Carry Enterprises, LLC	X124	DS Down G	10/01/12	500,000	185	0	205	205	202	3	185	20	0	NYC	Exceeds Compliance
John Hassall, Inc.	U473	ED-Fund G	07/25/11	90,000	74	94	92	(2)	74	18	74	18	0	LI	Exceeds Compliance
Johnson and Hoffman, LLC	V177	ED-Fund G	04/17/08	100,000	79	72	69	(3)	79	(10)	69	0	10	LI	In 15% Range
Kaleida Health	X097	UB G	03/02/12	6,600,000	384	0	761	761	384	377	0	WNY	Exceeds Compliance		
KAS Production Center LLC	F243	ED-Fund L	06/25/08	500,000	28	51	0	28	23	28	23	0	NYC	Exceeds Compliance	
KAS Production Center, LLC	F241	ED-Fund G	10/20/09	450,000	28	51	0	28	23	28	23	0	NYC	Exceeds Compliance	
KAS Production Center, LLC(merf Loan)	F242	ED-Fund L	02/19/09	1,000,000	28	51	0	28	23	28	23	0	NYC	Exceeds Compliance	
Klein Steel Service, Inc.	W150	ED-Fund G	04/16/09	100,000	135	162	200	38	149	51	135	65	0	FNGERLKS	Exceeds Compliance
Knowlton Technologies, LLC	V774	ED-Fund G	04/02/09	425,000	101	124	129	5	111	18	101	28	0	NCOUNTRY	Exceeds Compliance
Kolmar Laboratories, Inc.	W756	CITYBY L	07/28/11	250,000	400	424	417	(7)	400	17	400	17	0	MIDHUD	Exceeds Compliance
Kolmar Laboratories, Inc.	X305	ED-Fund L	07/28/11	250,000	400	424	417	(7)	400	17	400	17	0	MIDHUD	Exceeds Compliance
Kolmar Laboratories, Inc.	X590	ED-Fund L	08/09/12	250,000	400	0	417	400	17	400	17	0	MIDHUD	Exceeds Compliance	
Kolmar Laboratories, Inc.	W331	ED-Fund L	03/25/11	2,000,000	400	424	417	(7)	400	17	400	17	0	MIDHUD	Exceeds Compliance
Kraft Foods Global, Inc.	W587	ED-Fund G	02/04/11	125,000	353	413	426	13	403	23	353	73	0	FNGERLKS	Exceeds Compliance
Kristi Trailers Industries, Inc.	R554	ED-Fund G	09/25/06	75,000	12	12	11	(1)	9	2	11	0	1	CENTRAL	Exceeds Compliance
L.D. McCauley, LLC	V692	ED-Fund G	04/29/09	350,000	154	155	175	20	154	21	154	21	0	WNY	Exceeds Compliance
La Belle Farm, Inc.	U319	ED-Fund G	08/18/10	176,205	47	113	68	(45)	65	3	47	21	0	MIDHUD	Exceeds Compliance
Landis Plastics, Inc./Berry Plastics	V383	ED-Fund G	1/18/09	105,750	145	144	126	(18)	145	(19)	125.5	0	19	CENTRAL	In 15% Range
Lanovara Food Distributors	V772	ED-Fund G	06/24/08	12,500	33	30	34	4	33	1	33	1	0	FNGERLKS	Exceeds Compliance
Lapp Insulators LLC	T801	ED-Fund G	04/04/07	300,000	156	126	(3)	156	(33)	122.625	0	33	FNGERLKS	Net in Compliance	
Lee Spring Company LLC	V724	ED-Fund G	04/02/09	350,000	95	92	82	(10)	95	(13)	82	0	13	NYC	In 15% Range
Legendary Auto Interiors, Ltd	U671	ED-Fund G	12/08/10	123,750	60	59	58	(1)	69	(11)	58.5	0	2	FNGERLKS	Net in Compliance
Life Technologies Corporation	S280	ED-Fund G	08/26/09	1,750,000	475	533	582	49	539	43	475	107	0	WNY	Exceeds Compliance
Love and Quiches, Inc.	V366	ED-Fund G	04/07/09	175,000	205	241	247	6	205	42	205	42	0	LI	Exceeds Compliance
LS&S, LLC	V920	ED-Fund G	07/23/09	70,000	0	17	0	0	0	17	0	17	0	WNY	In Compliance
Luyata/Auribus Buffalo, Inc.	V730	ED-Fund G	04/01/10	93,609	542	621	633	12	542	91	542	91	0	WNY	Exceeds Compliance
Marquardt Switches, Inc	E386	ED-Fund L	05/18/99	500,000	193	415	496	81	250	246	193	303	0	CENTRAL	Exceeds Compliance
Marquardt Switches, Inc.	W618	ED-Fund G	1/14/11	425,000	291	0	496	291	205	291	205	205	0	CENTRAL	Exceeds Compliance
Marquardt Switches, Inc.	V333	ED-Fund G	07/23/10	150,000	267	415	496	81	291	205	267	229	0	CENTRAL	Exceeds Compliance
Matrix Training Solutions, Inc.	V133	ED-Fund G	09/19/07	55,000	70	71	69	(2)	75	(6)	69	0	1	WNY	In 15% Range

Project Name	Proj#	Funding Source Type	Closing Date	Original Investment	Start Employ	2012	2013	12/13 Required	Diff Required/13	Retained	Created	Lost	Region	Compliance
Medline Industries, Inc.	U924	ED-Fund G	06/28/11	250,000	0	114	127	13	69	58	0	127	0	MIDHUD Exceeds Compliance
Medtek Devices, Inc. d/b/a Buffalo Filter	V956	ED-Fund G	12/06/11	125,000	60	64	70	6	60	10	60	10	0	WNY Exceeds Compliance
Mercury Print Productions, Inc.	X220	ED-Fund G	08/01/12	187,500	210	0	222	222	230	(8)	210	12	0	FNGERLKS In 15% Range
Mesorah Publications, Ltd	X437	ED-Fund G	12/18/12	120,000	101	0	110	110	108	2	101	9	0	NYC Exceeds Compliance
Metal Solutions, Inc.	W238	ED-Fund G	06/08/12	25,000	39	0	47	47	49	(2)	39	8	0	MOHAWK In 15% Range
Metro Door, Inc.	V357	ED-Fund G	01/14/10	150,000	86	102	105	3	86	19	86	19	0	LI Exceeds Compliance
Metro Paper Industries of N.Y., Inc.	W180	ED-Fund G	07/13/09	200,000	53	70	68	(2)	71	(3)	53	15	0	NCOUNTRY In 15% Range
Meyer Tool Middletown New York, Inc.	U858	ED-Fund G	09/01/10	112,500	0	31	34	3	35	(1)	0	34	0	MIDHUD In 15% Range
MOD-PAC CORPORATION	P657	ED-Fund L	01/16/04	200,000	246	373	376	3	436	(60)	246	130	0	WNY In 15% Range
Moldtech Incorporated	V124	ED-Fund G	05/28/09	202,500	45	64	62	(2)	65	(3)	45	17	0	WNY In 15% Range
Morris Northstar Hatchery, Inc.	V432	ED-Fund G	07/31/09	50,000	0	17	19	2	15	4	0	19	0	NCOUNTRY Exceeds Compliance
Mueller Services, Inc.	R792	ED-Fund G	04/27/05	100,000	160	344	377	33	260	117	160	217	0	WNY Exceeds Compliance
Multisorb Technologies, Inc.	V598	ED-Fund G	11/04/08	800,000	352	493	557	64	402	155	352	205	0	WNY Exceeds Compliance
MWI, Inc.	T601	ED-Fund G	08/19/10	75,000	63	110	93	(17)	87	6	63	30	0	FNGERLKS Exceeds Compliance
Nanz Custom Hardware, Inc.	V781	ED-Fund G	07/15/09	200,000	72	83	91	8	72	19	0	LI Exceeds Compliance		
New Era Cap Co., Inc.	T725	ED-Fund G	03/13/08	4,350,000	511	684	677	(7)	511	166	511	166	0	WNY Exceeds Compliance
New Era Cap Co., Inc.	X083	UB G	12/10/12	900,000	511	0	677	677	536	141	511	166	0	WNY Exceeds Compliance
New York Air Brake	W165	ED-Fund G	06/04/10	75,000	250	379	416	37	250	166	250	166	0	NCOUNTRY Exceeds Compliance
New York State Energy Research and Development Authority	W517	ED-Fund G	05/26/11	600,000	62	299	120	(179)	200	(80)	62	58	0	CAPITAL Not in Compliance
Newton Falls Fine Paper Company, LLC	O840	ED-Fund G	12/21/09	250,000	0	22	0	(22)	97	(97)	0	0	0	NCOUNTRY Not in Compliance
Niagara Ceramics Corporation	R680	JN-Fund G	08/06/04	500,000	0	82	106	24	180	(74)	0	106	0	WNY Not in Compliance
Niagara Sheets, LLC	W115	ED-Fund G	12/31/08	48,008	0	68	72	4	65	7	0	72	0	WNY Exceeds Compliance
NOCO Energy Corporation	T173	ED-Fund G	10/07/09	300,000	153	183	209	26	173	36	153	56	0	WNY Exceeds Compliance
Oldcastle Retail, Inc d/b/a Bonsai American	S485	ED-Fund G	04/17/08	25,000	0	15	13	(2)	13	0	0	13	0	LI Exceeds Compliance
Omni-ID USA, Inc.	X066	ED-Fund G	11/07/12	500,000	0	0	17	17	17	0	17	0	17	FNGERLKS Exceeds Compliance
Oneida Molded Plastics, LLC	V708	ED-Fund G	08/29/08	180,000	120	138	150	12	128	22	120	30	0	CENTRAL Exceeds Compliance
Oriskany Manufacturing LLC	V612	ED-Fund G	08/10/11	200,000	51	85	82	(3)	86	(4)	51	31	0	MOHAWK In 15% Range
Owens-Brockway Glass Container Inc.	U370	ED-Fund G	11/18/09	1,250,000	230	273	243	(30)	230	13	230	13	0	CENTRAL Exceeds Compliance
OXYVITA, INC	R291	BIOMED G	01/11/05	250,000	0	6	5	(1)	1	4	0	5	0	MIDHUD Exceeds Compliance
P&G Steel Products Co., Inc.	S154	ED-Fund G	03/17/08	50,000	67	83	90	7	46	44	67	23	0	WNY Exceeds Compliance
Packstar Group, Inc.	V822	ED-Fund G	08/09/12	250,000	65	0	126	126	105	21	65	61	0	WNY Exceeds Compliance
PAETEC Communications, Inc.	V810	ED-Fund G	02/08/11	250,000	656	608	702	94	706	(4)	656	46	0	FNGERLKS In 15% Range
Pall Corporation	V591	ED-Fund G	04/22/11	375,000	517	547	607	60	517	90	517	90	0	LI Exceeds Compliance
PCB Piezotronics, Inc.	X069	ED-Fund G	02/27/12	500,000	513	0	616	616	563	53	513	103	0	WNY Exceeds Compliance
PCS Technologies, Ltd	U366	ED-Fund G	05/05/09	30,000	14	14	19	5	14	5	14	5	0	NCOUNTRY Exceeds Compliance
Pentgroup Financial, LLC	U050	JN-Fund G	04/03/08	270,000	0	30	130	100	135	(5)	0	130	0	WNY In 15% Range
Pestech Exterminating, Inc.	T659	ED-Fund G	07/09/08	52,900	17	29	2	27	2	17	12	0	MIDHUD Exceeds Compliance	
PhyJohn Distributors, Inc D/B/A Gillette Creamery Plant, LLC	W899	ED-Fund G	09/22/11	600,000	72	78	81	3	79	2	72	9	0	MIDHUD Exceeds Compliance
W477	ED-Fund G		12/21/12	40,000	518	0	551	551	530	21	518	33	0	FNGERLKS Exceeds Compliance

Project Name	Proj#	Funding Source Type	Closing Date	Original Investment	Start Employ	2012	2013	Diff 12/13	Required	Required/13	Retained	Created	Lost	Region	Compliance
Polymer Conversions, Inc.	V737	ED-Fund G	04/17/09	375,000	75	86	87	1	75	12	75	12	0	WNY	Exceeds Compliance
Potsdam Specialty Paper, Inc.	W512	ED-Fund G	10/09/09	250,000	79	84	84	0	79	5	79	5	0	NCOUNTRY	Exceeds Compliance
Precisionmatics Co., Inc.	X328	ED-Fund G	12/12/12	100,000	47	0	68	68	52	16	47	21	0	MOHAWK	Exceeds Compliance
President Container, Inc.	w240	ED-Fund G	08/19/11	500,000	0	0	237	237	115	122	0	237	0	MIDHUD	Exceeds Compliance
Prinjet Precision Materials, Inc.	R514	ED-Fund G	09/21/06	75,000	0	32	26	(6)	30	(4)	0	26	0	STIER	In 15% Range
Prism Solar Technologies, Inc.	U288	JN-Fund G	02/25/10	300,000	0	19	16	(3)	20	(4)	0	16	0	MIDHUD	Not in Compliance
Protective Industries, Inc d/b/a Capplugs	R994	ED-Fund G	08/01/06	300,000	256	267	294	27	272	22	256	38	0	WNY	Exceeds Compliance
Quad Graphics Inc.	T469	ED-Fund G	09/14/07	250,000	940	745	736	(9)	775	(39)	736	0	204	CAPITAL	In 15% Range
Quintel USA, Inc.	X067	ED-Fund G	11/07/12	1,300,000	0	0	17	17	17	17	0	17	0	FNGERLKS	Exceeds Compliance
Regeneron Pharmaceuticals, Inc.	T903	ED-Fund G	08/09/12	2,000,000	565	0	1,329	1,329	565	764	565	764	0	MIDHUD	Exceeds Compliance
Remington Arms Company, Inc.	X070	ED-Fund G	02/09/12	1,655,000	892	0	1,276	1,276	970	306	892	384	0	MOHAWK	Exceeds Compliance
Remington Arms Company, Inc.	W173	JN-Fund G	07/03/09	1,500,000	600	1,071	1,350	279	700	650	600	750	0	MOHAWK	Exceeds Compliance
Rem-tronics, Inc.	W171	ED-Fund G	12/01/11	75,000	56	67	70	3	63	7	56	14	0	WNY	Exceeds Compliance
Richardson Brands Company	W615	ED-Fund G	08/25/11	500,000	128	158	208	50	143	65	128	80	0	MOHAWK	Exceeds Compliance
RNN News LLC	W609	ED-Fund G	02/04/11	200,000	0	85	86	1	45	41	0	86	0	MIDHUD	Exceeds Compliance
Roundabout Theatre Company	V814	ED-Fund G	03/25/10	250,000	0	97	49	(48)	103	(54)	0	49	0	NYC	Not in Compliance
Roycroft Campus Corporation	U293	ED-Fund G	08/27/10	1,500,000	97	104	114	10	110	4	97	17	0	WNY	Exceeds Compliance
S.J. McCullagh, Inc.	X134	ED-Fund G	12/01/11	40,000	42	40	36	(4)	42	(6)	36	0	6	WNY	In 15% Range
S.R. Sloan, Inc.	T649	ED-Fund G	04/14/09	87,500	55	50	52	2	60	(8)	51.5	0	3	MOHAWK	In 15% Range
San-Mar Laboratories, Inc.	W530	JN-Fund G	12/02/10	250,000	199	236	0	(236)	244	(244)	0	0	199	MIDHUD	Not in Compliance
Seal & Design Inc.	U903	ED-Fund G	03/10/08	50,000	57	76	79	3	62	17	57	22	0	WNY	Exceeds Compliance
Sealing Devices, Inc.	V779	ED-Fund L	08/25/11	47,240	127	161	151	(10)	147	4	127	24	0	WNY	Exceeds Compliance
Seneca Market I, LLC	U620	ED-Fund G	05/02/11	135,000	0	94	84	(10)	30	54	0	84	0	STIER	Exceeds Compliance
Sitel Operating Corporation	V275	JN-Fund G	08/09/12	750,000	0	0	349	349	300	49	0	349	0	STIER	Exceeds Compliance
SKF Aeroengine (SKF USA Inc.)	V434	ED-Fund G	04/23/09	275,000	395	620	630	10	395	235	395	235	0	WNY	Exceeds Compliance
SKF USA Inc. d/b/a SKF Aeroengine North America	W768	ED-Fund G	12/12/12	687,500	600	0	630	630	600	30	600	30	0	WNY	Exceeds Compliance
SKF USA Inc. d/b/a SKF Aeroengine North America	W769	UB	G 12/12/12	687,500	600	0	630	630	600	30	600	30	0	WNY	Exceeds Compliance
Sleepy's, LLC	U294	JN-Fund G	04/01/10	1,500,000	401	612	658	46	551	107	401	257	0	LI	Exceeds Compliance
SMG Har-Son, LLC	U624	ED-Fund G	12/06/07	50,000	15	19	20	1	21	(1)	15	5	0	WNY	In 15% Range
Snyder Transportation, LLC	W916	UCDPFU L	04/29/11	500,000	80	87	72	(15)	80	(8)	72.25	0	8	WNY	In 15% Range
SolEpoxy, Inc.	X194	ED-Fund G	07/24/12	400,000	40	0	53	49	4	40	13	0	WNY	Exceeds Compliance	
Sorrento Lactalis, Inc.	W159	ED-Fund G	08/29/11	500,000	510	524	554	30	510	44	510	44	0	WNY	Exceeds Compliance
Southern Tier Forest Products, Inc.	W187	ED-Fund G	05/22/12	20,000	23	0	23	23	0	23	0	0	0	WNY	Exceeds Compliance
Special Metals Corp.	V623	ED-Fund G	09/25/07	172,538	499	353	356	3	499	(143)	355.75	0	143	WNY	Not in Compliance
St. Gobain ADFOR'S	W200	ED-Fund G	08/21/12	65,000	152	0	179	179	172	7	152	27	0	FNGERLKS	Exceeds Compliance
Steel & O'Brien Manufacturing, Inc.	X072	ED-Fund G	08/16/11	100,000	47	74	79	5	57	22	47	32	0	FNGERLKS	Exceeds Compliance
Steubben Foods, Inc.	X129	ED-Fund G	08/01/12	1,650,000	426	0	508	426	82	426	82	0	0	WNY	Exceeds Compliance
Stuart Mill Acquisition, Inc. d/b/a The Page Seed Co., Inc.	V712	ED-Fund G	10/08/08	100,000	23	38	28	(10)	23	5	23	5	0	STIER	Exceeds Compliance

Project Name	Proj#	Funding Source Type	Closing Date	Original Investment	Start Employ	2012	2013	Diff 12/13	Required	Required/13	Retained	Created	Diff	Lost	Region	Compliance
StudentVoice LLC	T436	ED-Fund G	01/15/08	75,000	8	59	71	12	37	34	8	63	0	WNY	Exceeds Compliance	
Sutherland Global Services Inc.	X303	ED-Fund L	01/12/12	300,000	2,199	0	3,216	2,599	617	2199	1,017	0	FNGLRLKS	Exceeds Compliance		
Synergy Tooling Systems, Inc.	T646	ED-Fund G	10/15/08	75,000	26	24	28	4	26	2	2	0	WNY	Exceeds Compliance		
Syracuse Label Company, Inc.	X358	ED-Fund G	02/14/12	150,000	80	0	82	82	80	2	80	2	0	CENTRAL	Exceeds Compliance	
Taconic Farms, Inc.	U440	ED-Fund G	05/24/10	105,468	28	36	48	12	44	4	28	20	0	CAPITAL	Exceeds Compliance	
TAM Ceramics Group of NY, LLC	X047	ED-Fund G	02/03/11	300,000	50	58	71	13	50	21	50	21	0	WNY	Exceeds Compliance	
Taylor Biomass Energy, LLC	W873	DS Down L	04/13/12	2,000,000	21	0	44	44	40	4	21	23	0	MIDHUD	Exceeds Compliance	
Tessy Plastics Corporation	X003	UB L	04/11/11	1,300,000	593	725	683	(42)	623	60	593	90	0	CENTRAL	Exceeds Compliance	
The Brooklyn Brewery Corporation	W928	DS Down G	07/27/11	800,000	27	40	50	10	36	14	27	23	0	NYC	Exceeds Compliance	
The Eastern Company d/b/a Frazer & Jones Company	X028	UCDPFU G	12/22/11	214,500	120	187	225	38	120	105	120	105	0	CENTRAL	Exceeds Compliance	
The Raymond Corporation	W972	UB G	04/09/12	2,250,000	741	0	1,084	1,084	791	293	741	343	0	STIER	Exceeds Compliance	
The Research Foundation of SUNY/College of Nanoscale Science	X772	SP-APPR G	07/10/12	95,000,000	0	0	0	0	0	0	0	0	0	0	CAPITAL	In Compliance
Thermold Corporation	W423	ED-Fund G	11/10/11	25,000	35	65	95	30	40	55	35	60	0	CENTRAL	Exceeds Compliance	
Top Quality Hay Processors, LLC	V726	ED-Fund G	10/05/09	75,000	0	13	2	(11)	19	(17)	0	2	0	FNGLRLKS	Not in Compliance	
Top Markets, LLC	W005	JN-Fund G	11/18/09	1,200,000	145	307	321	14	285	36	145	176	0	WNY	Exceeds Compliance	
Towers Watson Pennsylvania Inc	W785	ED-Fund G	10/16/12	250,000	140	0	141	141	140	1	140	1	0	MIDHUD	Exceeds Compliance	
Town of Norwich Water & Sewer (Unison Industries)	C584	REDS PA L	03/05/02	168,753	265	329	334	5	334	265	69	0	0	0	STIER	Exceeds Compliance
Trayer Products, Inc.	S285	ED-Fund G	11/24/06	200,000	200	121	116	(5)	108	8	116,25	0	84	STIER	Exceeds Compliance	
Turbo Machined Products, LLC	W475	ED-Fund G	04/16/12	35,000	28	0	41	41	43	(2)	28	13	0	MOHAWK	In 15% Range	
Twin Marquis, Inc.	X038	ED-Fund G	05/04/12	33,000	170	0	258	258	170	88	170	88	0	NYC	Exceeds Compliance	
Ultra-Flex Packaging Corp.	V179	ED-Fund G	04/16/09	373,000	200	225	222	(3)	240	(18)	200	22	0	NYC	In 15% Range	
UniQuest Delaware, LLC	V785	COMMU G	11/05/09	4,914,000	0	112	122	10	70	52	0	122	0	WNY	Exceeds Compliance	
UniQuest Delaware, LLC	V806	ED-Fund G	11/06/96	1,886,000	0	112	122	10	70	52	0	122	0	WNY	Exceeds Compliance	
UniQuest Delaware, LLC	V784	ED-Fund G	11/05/09	4,200,000	0	210	211	1	140	71	0	211	0	WNY	Exceeds Compliance	
Upstate Niagara Cooperative, Inc.	V335	ED-Fund G	05/11/09	350,000	146	168	168	0	146	22	146	22	0	WNY	Exceeds Compliance	
US Optical LLC	V716	ED-Fund G	12/18/09	100,000	0	67	74	7	35	39	0	74	0	CENTRAL	Exceeds Compliance	
Village of Canastota	D854	ED-Fund L	04/08/02	250,000	253	346	0	(346)	0	0	0	0	0	253	CENTRAL	In Compliance
Voss Manufacturing Inc.	V697	ED-Fund G	07/23/09	225,000	78	83	90	7	83	7	78	12	0	WNY	Exceeds Compliance	
Wagner Nineveh, Inc.	V722	ED-Fund G	11/07/08	100,000	27	46	50	4	37	13	27	23	0	STIER	Exceeds Compliance	
Ward's Natural Science	J615	ED-Fund G	02/06/03	300,000	275	336	276	(60)	318	(42)	275	1	0	FNGLRLKS	Not in Compliance	
Washington/Walton Real Estate Company Inc.	W137	UCDPFU G	09/14/11	1,000,000	0	376	418	42	300	118	0	418	0	CENTRAL	Exceeds Compliance	
Washington/Walton Real Estate Company, Inc.	W106	UCDPFU L	05/24/12	2,000,000	0	0	418	418	300	118	0	418	0	CENTRAL	Exceeds Compliance	
Watkins Glen International Racetrack	W965	ED-Fund G	05/04/12	250,000	69	0	73	73	69	4	69	4	0	FNGLRLKS	Exceeds Compliance	
Welch Allyn, Inc.	V950	ED-Fund G	03/24/11	240,000	1,125	1,136	1,130	(6)	1,300	(170)	1125	5	0	CENTRAL	In 15% Range	
Westinghouse Air Brake Technologies Corp. d/b/a WABTEC	V119	ED-Fund G	11/09/11	200,000	45	68	84	16	65	19	45	39	0	NCOUNTRY	Exceeds Compliance	
Windham Professionals, Inc.	W663	ED-Fund G	12/28/11	210,000	60	174	168	(6)	160	8	60	108	0	WNY	Exceeds Compliance	

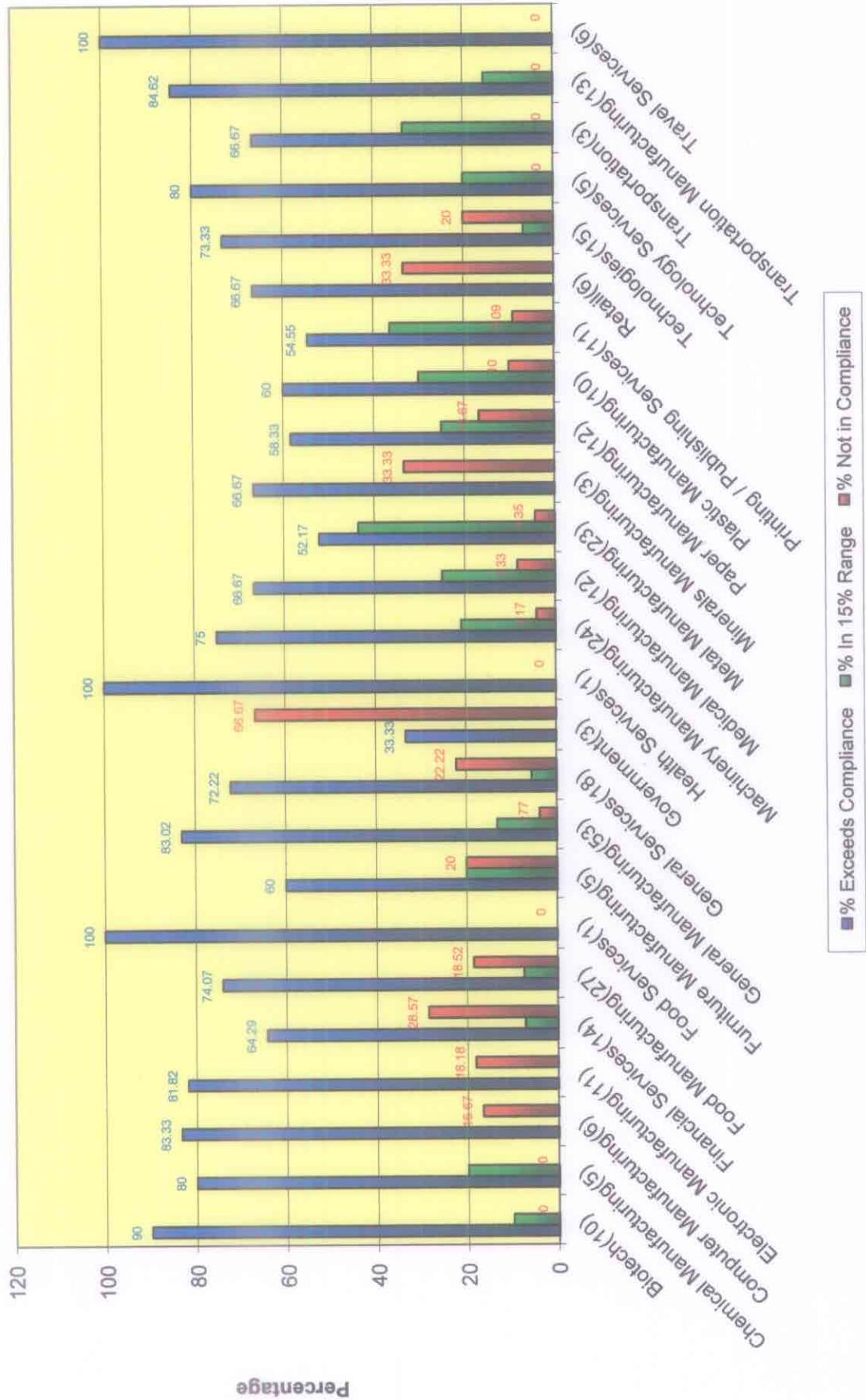
Project Name	Proj#	Funding Source	Closing Date	Original Investment	Start Employ	2012	2013	Diff 12/13	Required	Diff Required/13	Retained	Created	Lost	Region	Compliance
World Kitchen, L.L.C	X112	UB	G 10/01/12	1,500,000	452	0	632	632	511	121	452	180	0	STIER	Exceeds Compliance
Z-AXIS, Inc.	U739	ED-Fund	G 03/31/08	60,000	36	79	74	(5)	66	8	36	38	0	FNGERLKS	Exceeds Compliance
Zeller Corporation	W151	ED-Fund	G 02/04/11	350,000	63	146	145	(1)	113	32	63	82	0	FNGERLKS	Exceeds Compliance
Zotos International Inc.	V931	ED-Fund	G 05/27/10	229,500	394	339	368	29	394	(26)	368	0	26	FNGERLKS	In 15% Range
Non Duplicated Total	272	Grand Total 297 Projects		304,939,905	55,832	51,381	76,591	25,210	65,821	10,770	54,014	22,577	1,818		

Empire State Development Corporation

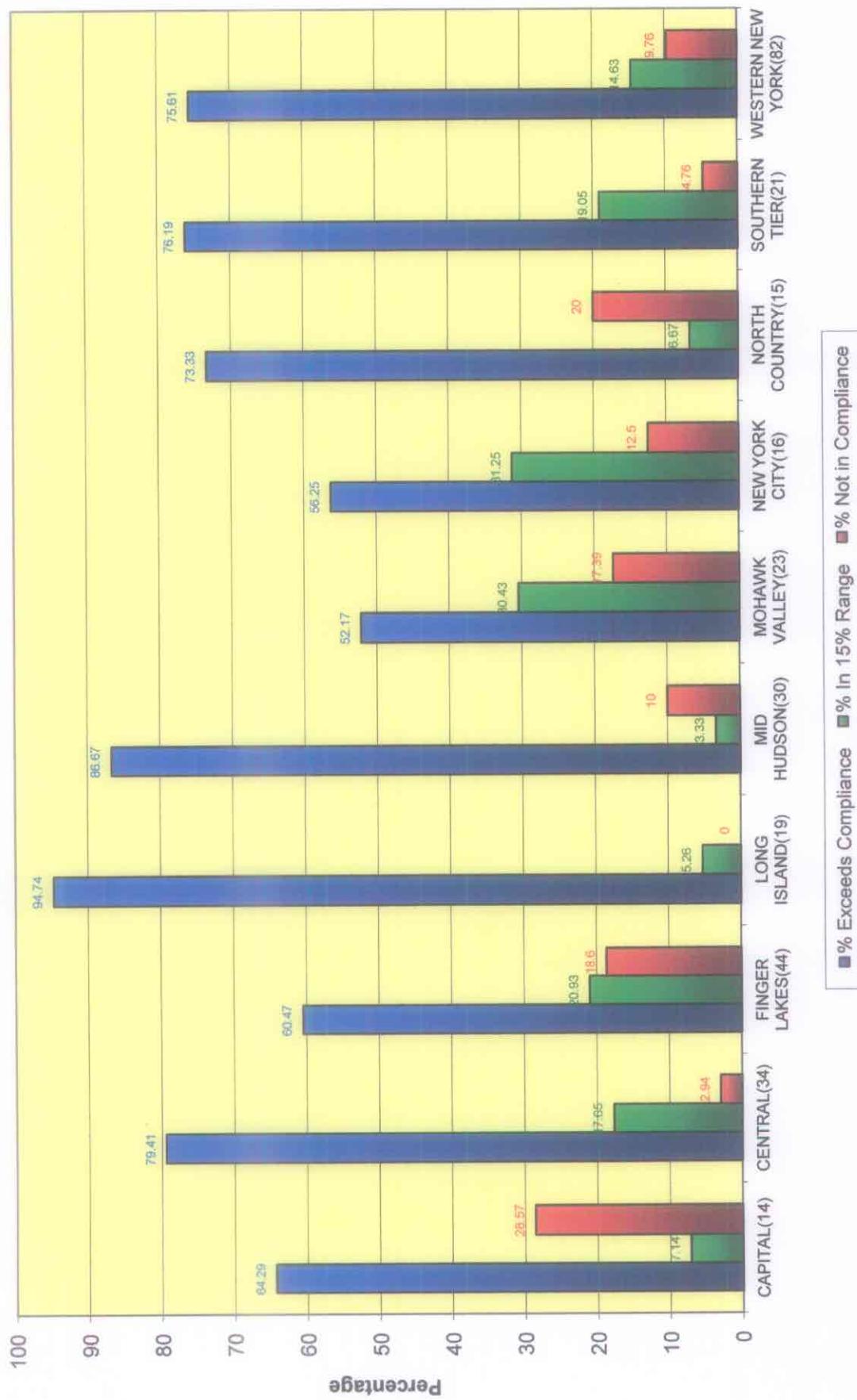
2013 Annual Report of Employment

Project Name	Proj#	Funding Source	Type	Closing Date	Original Investment	Start Employ	2012	2013	Diff 12/13	Required	Diff Required/13	Retained	Created	Lost	Region	Compliance
Advanced Micro Devices, Inc.	U223	SLA	G	03/16/10	650,124,484	0	1,061	1,900	839	0	1,900	0	1,900	0	0 CAPITAL	In Compliance
International SEMATECH	V895	SLA	G	05/19/08	300,000,000	250	700	700	0	700	0	250	450	0	0 CAPITAL	Exceeds Compliance
Non Duplicated Total	2	Grand Total	2 Projects		950,124,484	250	1,761	2,600	839	700	1,900	250	2,350	0		

Attachment II - Industry Performance



Attachment III -Region Performance



Attachment IV

Empire State Development Corporation 2013 Annual Report of Employment

Project Name	Funding Source	Type	Closing Date	Original Investment	Start Employ	2012	2013	12/13 Required	Required/13	Diff		Created	Lost	Region	Compliance
										Diff	Retained				
American Express Company	Q223 WTCJC	G	02/10/03	25,000,000	3,653	4,233	4,502	269	3,653	849	3,653	849	0	NYC	Exceeds Compliance
American Federation of Teachers d/b/a United Fed of Teacher	Q224 WTCJC	G	10/10/03	1,700,000	477	513	0	477	36	477	36	0	0	NYC	Exceeds Compliance
AON Service Corporation	Q362 WTCJC	G	03/19/04	4,235,000	619	872	859	(13)	855	4	619	240	0	NYC	In 15% Range
Bank of New York (NYC)	Q029 WTCJC	G	12/30/02	40,000,000	7,700	6,597	6,979	382	7,700	(721)	6979	0	721	NYC	In 15% Range
Beth Israel Medical Center/LJCH, St. LRGHC	R572 WTCJC	G	04/27/04	2,403,000	462	588	510	(78)	500	10	462	48	0	NYC	Exceeds Compliance
Brown Brothers Harriman & Co.	Q790 WTCJC	G	03/24/05	1,600,000	750	818	830	12	750	80	750	80	0	NYC	Exceeds Compliance
Cadwalader, Wickersham & Taft LLP	R590 WTCJC	G	05/21/04	5,789,000	757	670	653	(17)	757	(104)	653	0	104	NYC	In 15% Range
Cahill Gordon & Reindel, LLP	P810 WTCJC	G	03/14/03	1,500,000	517	502	525	23	525	517	8	0	0	NYC	Exceeds Compliance
Cantor Fitzgerald Group of Companies	R289 WTCJC	G	03/10/04	6,800,000	393	538	599	61	449	150	393	206	0	NYC	Exceeds Compliance
CDL (New York) d/b/a Millenium Hilton Hotel	R285 WTCJC	G	08/26/04	300,000	200	269	273	4	300	(27)	200	73	0	NYC	In 15% Range
Clearay, Gottlieb, Steen & Hamilton	P858 WTCJC	G	02/28/03	1,617,204	989	1,227	1,235	8	1,123	112	989	246	0	NYC	Exceeds Compliance
Computer Generated Solutions Inc.	R853 WTCJC	G	04/22/05	1,175,369	205	162	164	2	158	6	164	0	41	NYC	Exceeds Compliance
Deloitte & Touche LLP	P879 WTCJC	G	06/03/03	13,000,000	3,082	3,207	3,432	225	2,768	664	3,082	350	0	NYC	Exceeds Compliance
Deloitte Consulting, L.P.	Q205 WTCJC	G	09/25/03	1,000,000	203	1,041	1,168	127	308	860	203	965	0	NYC	Exceeds Compliance
Dow Jones & Company, Inc.	P834 WTCJC	G	06/09/04	1,402,250	404	0	0	0	0	0	0	0	404	NYC	In Compliance
EmblemHealth Services LLC/ Haelth Insurance Plan of GNY, Inc	R349 WTCJC	G	03/22/04	11,129,700	2,692	2,373	2,262	(111)	2,692	(430)	2,262	0	430	NYC	Not in Compliance
Fitch Group, Inc.& Subsidiaries (Fimalac, Inc. & Subsidiaries	Q574 WTCJC	G	07/01/04	1,923,000	523	667	612	(55)	750	(138)	523	89	0	NYC	Not in Compliance
GFI Group Inc.	R210 WTCJC	G	07/14/05	2,000,000	375	543	533	(10)	504	29	375	158	0	NYC	Exceeds Compliance
Goldman Sachs Group, Inc.	T177 WTCJC	G	01/02/07	23,000,000	8,100	8,484	8,437	(47)	8,900	(463)	8,100	337	0	NYC	In 15% Range
Interactive Data Corporation	W537 WTCJC	L	02/11/10	945,000	485	475	509	34	515	(6)	485	24	0	NYC	In 15% Range
Kenyon & Kenyon	Q310 WTCJC	G	09/12/03	465,000	376	348	343	(5)	406	(63)	343	0	33	NYC	Not in Compliance
Loeke Lord	R745 WTCJC	G	11/09/04	1,533,000	219	86	83	(3)	86	(3)	83	0	136	NYC	Not in Compliance
Milbank, Tweed, Hadley & McCloy LLP	P836 WTCJC	G	01/15/03	778,000	640	675	659	(16)	668	(9)	640	19	0	NYC	In 15% Range
Moody's Corporation	R049 WTCJC	G	11/13/03	2,680,000	967	1,838	1,971	133	967	1,004	967	1,004	0	NYC	Exceeds Compliance
Morgan Stanley	T448 WTCJC	L	05/25/06	16,000,000	2,697	3,383	3,228	(155)	3,275	(47)	2,697	531	0	NYC	In 15% Range
New York Law School	Q881 WTCJC	G	01/30/04	200,000	226	249	239	(10)	226	13	226	13	0	NYC	Exceeds Compliance
NYSARC, Inc d/b/a AHRC	T233 WTCJC	G	11/17/05	575,000	0	614	650	36	331	0	650	0	0	NYC	Exceeds Compliance
Oppenheimer Funds, Inc.	Q685 WTCJC	G	01/02/04	4,030,000	553	632	657	25	553	104	553	104	0	NYC	Exceeds Compliance
Royal Bank of Canada One Liberty Plaza Branch	P776 WTCJC	G	09/13/05	3,000,000	480	2,025	2,092	67	480	1,612	480	1,612	0	NYC	Exceeds Compliance
RR Donnelley/Bowne & Co.	T195 WTCJC	G	02/22/08	957,375	440	161	346	185	331	15	346	0	94	NYC	Exceeds Compliance
Standard Chartered Bank	P622 WTCJC	G	03/28/03	1,500,000	102	405	0	350	55	102	303	0	0	NYC	Exceeds Compliance
Stroock & Stroock & Lavan, LLP	P775 WTCJC	G	06/03/03	700,000	582	500	483	(17)	582	(99)	483	0	99	NYC	Not in Compliance

Project Name	Proj#	Funding Source	Type	Closing Date	Original Investment	Start Employ	2012	2013	Diff 12/13	Required	Diff Required/13	Retained	Created	Lost	Region	Compliance
Sullivan & Cromwell	Q222	WTCJC	G	02/24/03	1,200,000	1,362	1,453	1,438	(15)	1,362	76	1,362	76	0	NYC	Exceeds Compliance
Tannus Corporation and Deutsche Bank/Americas Holding Corp.	R205	WTCJC	G	07/21/03	34,500,000	5,500	5,874	5,674	(200)	5,500	174	5,500	174	0	NYC	In 15% Range
The McGraw -Hill Companies, Inc.	Q015	WTCJC	G	08/25/03	4,000,000	2,275	3,099	3,119	20	2,378	741	2,275	844	0	NYC	Exceeds Compliance
The New York Mercantile Exchange, Inc.	P755	WTCJC	G	12/30/02	5,000,000	470	401	416	15	470	(54)	416	0	54	NYC	In 15% Range
Topps Company, Inc.	Q244	WTCJC	G	02/11/03	250,000	202	133	139	6	123	16	139	0	63	NYC	Exceeds Compliance
Tradition (North America), Inc.	P992	WTCJC	G	06/03/03	350,000	361	537	370	(167)	370	361	9	0	NYC	Exceeds Compliance	
Willis North America Inc.	Q795	WTCJC	G	05/05/03	906,626	102	703	699	(4)	567	132	102	597	0	NYC	Exceeds Compliance
Zurich American Insurance Company	R074	WTCJC	G	04/07/05	1,600,000	470	542	521	(21)	470	51	470	51	0	NYC	Exceeds Compliance
Non Duplicated Total 40 Grand Total 40 Projects				226,664,524	50,610	57,437	58,127	690	52,284	5,843	48,431	9,696	2,179			