



# LEGISLATIVE ETHICS COMMISSION STATE OF NEW YORK

MAIL: LEGISLATIVE OFFICE BUILDING • BOX 75 • ALBANY, NY 12247  
LOCATION: ALFRED E. SMITH STATE OFFICE BUILDING • SUITE 1431 • ALBANY, NY 12247  
PHONE: (518) 432-7837/7838 FAX: (518) 426-6850

**RECEIVED**

## ANNUAL STATEMENT OF FINANCIAL DISCLOSURE

For Calendar Year 2013

APR 20 2014  
BY [Signature]  
LEG. ETHICS COMM.

1. Name STEPHEN M. HAWLEY
2. (a) Title of Position NYS ASSEMBLY PERSON  
 (b) Department, Agency or other Governmental Entity NYS ASSEMBLY  
 (c) Address of Present Office 121 N MAIN ST SUITE 100, ALBANY, N.Y. 14411  
 (d) Office Telephone Number 585-589-5780
3. (a) Marital Status DIVORCED. If married, please give spouse's full name including maiden name where applicable.  
 \_\_\_\_\_  
 (b) List the names of all unemancipated children.  
NONE  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Answer each of the following questions completely, with respect to calendar year 2013, unless another period or date is otherwise specified. If additional space is needed, attach additional pages.

Whenever a "value" or "amount" is required to be reported herein, such value or amount shall be reported as being within one of the following Categories in Table I or Table II of this subdivision as called for in the question: A reporting individual shall indicate the Category by letter only.

Whenever "income" is required to be reported herein, the term "income" shall mean the aggregate net income before taxes from the source identified.

The term "calendar year" shall mean the year ending the December 31st preceding the date of filing of the annual statement.

4. (a) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Position	Organization	State or Local Agency
	NONE	

- (b) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the spouse or unemancipated child of the reporting individual, with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Position	Organization	State or Local Agency
	NOT APPLICABLE	

5. (a) List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above), trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Position	Name & Address of Organization	Description	State or Local Agency
OWNER	STEPHEN M. HAWLEY & ASSOCIATES, LLC 50 MAIN ST. BATAVIA, N.Y. 14020	SALE & SERVICE INSURANCE PRODUCTS	FINANCIAL SERVICES
Real Estate Sales	BOB HARRIS REALTY 6 ELLIOTT AVE. Batavia, N.Y. 14020	REAL ESTATE SALES	DEPT OF STATE

- (b) If the spouse or unemancipated child of the reporting individual was engaged in any occupation, employment, trade, business or profession which activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name, address and description of such occupation, employment, trade, business or profession and the name of any such agency.

Position	Name & Address of Organization	Description	State or Local Agency
NOT APPLICABLE			

6. List any interest, in EXCESS of \$1,000, held by the reporting individual, such individual's spouse or unemancipated child, or partnership of which any such person is a member, or corporation, 10% or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract. Do NOT include bonds and notes. Do NOT list any interest in any such contract on which final payment has been made and all obligations under the contract except for guarantees and warranties have been performed, provided, however, that such an interest must be listed if there has been an

ongoing dispute during the calendar year for which this statement is filed with respect to any such guarantees or warranties. Do NOT list any interest in a contract made or executed by a local agency after public notice and pursuant to a process for competitive bidding or a process for competitive requests for proposals.

Self, Spouse or Child	Entity Which Held Interest in Contract	Relationship to Entity and Interest in Contract	Contracting State or Local Agency	Category of Value of Contract
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(In Table II)

NONE

7. List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the election law. The term "political organization" means any party or independent body as defined in the election law or any organization that is affiliated with or a subsidiary of a party or independent body.

VICE CHAIRPERSON - TOWN OF BATAVIA REPUBLICAN COMMITTEE  
MEMBER EXECUTIVE COMMITTEE - GENESEE COUNTY REPUBLICAN COMMITTEE

8. (a) If the reporting individual practices law, is licensed by the department of state as a real estate broker or agent or practices a profession licensed by the department of education, or works as a member or employee of a firm required to register pursuant to section one-e of the legislative law as a lobbyist, give a general description of the principal subject areas of matters undertaken by such individual. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation.

LICENSED REAL ESTATE SALES AGENT

(b) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE: If the reporting individual personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), then identify each client or customer to whom the

reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period for such services rendered in direct connection with:

- (i) A proposed bill or resolution in the senate or assembly during the reporting period;
- (ii) A contract in an amount totaling \$50,000 or more from the state or any state agency for services, materials, or property;
- (iii) A grant of \$25,000 or more from the state or any state agency during the reporting period;
- (iv) A grant obtained through a legislative initiative during the reporting period; or
- (v) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period.

For purposes of this question, "referred to the firm" shall mean: having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual's firm or knowingly solicit or direct to the reporting individual's firm in whole or substantial part, a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined in subparagraphs (i) through (v) of this paragraph, as the result of such procurement, solicitation or direction of the reporting individual. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

The disclosure requirement in this question shall not require disclosure of clients or customers receiving medical or dental services, mental health services, residential real estate brokering services, or insurance brokering services from the reporting individual or his or her firm. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, or domestic relations matters. With respect to clients represented in other matters, where disclosure of a client's identity is likely to cause harm, the reporting individual shall request an exemption from the joint commission pursuant to paragraph (i) of subdivision nine of section ninety-four of the executive law. Only a reporting individual who first enters public office after July first, two thousand twelve, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

Client	Nature of Services Provided
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NONE

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(c) List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's spouse had an investment in excess of \$1,000 excluding investments in securities and interests in real property.

NOT APPLICABLE

9. List each source of gifts, EXCLUDING campaign contributions, in EXCESS of \$1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse or unemancipated child from the same donor, EXCLUDING gifts from a relative. INCLUDE the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in item 10. Indicate the value and nature of each such gift.

Self, Spouse or Child	Name of Donor	Address	Nature of Gift	Category of Value of Gift (In Table I)
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NOT APPLICABLE

10. Identify and briefly describe the source of any reimbursements for expenditures, EXCLUDING campaign expenditures and expenditures in connection with official duties reimbursed by the state, in EXCESS of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by nongovernmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or factfinding events. The term "reimbursements" does NOT include gifts reported under item 9.

Source	Description
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NOT APPLICABLE

11. List the identity and value, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans (other than retirement plans of the state of New York or the city of New York), and deferred compensation plans

(e.g., 401, 403(b), 457, etc.) established in accordance with the internal revenue code, in which the REPORTING INDIVIDUAL held a beneficial interest in EXCESS of \$1,000 at any time during the preceding year. Do NOT report interests in a trust, estate or other beneficial interest established by or for, or the estate of, a relative.

Identity Category  
of Value\*  
(In Table II)

DEFERRED COMPENSATION - ICMA RETIREMENT CORP -	D
IRA - RELI STAR LIFE (ING) -	D
RETIREMENT 401(K) ACCOUNT + PROFIT SHARE -	L

\* The value of such interest shall be reported only if reasonably ascertainable.

12. (a) Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence):

NONE

(b) Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the REPORTING INDIVIDUAL in EXCESS of \$1,000 from a prior employer OTHER THAN the State. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buy-out agreements; severance payments; etc.)

NOT APPLICABLE

13. List below the nature and amount of any income in EXCESS of \$1,000 from EACH SOURCE for the reporting individual and such individual's spouse for the taxable year last occurring prior to the date of filing. Nature of income includes, but is not limited to, all income (other than that received from the employment listed under Item 2 above) from compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in the case of real estate rents and otherwise by the name of the entity and not by the

name of the individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

Self/ Spouse	Source	Nature	Category of Amount (In Table I)
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SELF	INSURANCE PRODUCTS SALES + CONTINGENCIES		L
SELF	REAL ESTATE SALES COMMISSIONS		D
SELF	REAL ESTATE OFFICE LEASE TO ABSTRACT CO., CITY CENTER, BATAVIA		D

14. List the sources of any deferred income (not retirement income) in EXCESS of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

Source	Category of Amount (In Table I)
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NOT APPLICABLE

15. List each assignment of income in EXCESS of \$1,000, and each transfer other than to a relative during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

Item Assigned or Transferred	Assigned or Transferred to	Category of Value (In Table I)
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NOT APPLICABLE

16. List below the type and market value of securities held by the reporting individual or such individual's spouse from each issuing entity in EXCESS of \$1,000 at the close of the taxable year last

occurring prior to the date of filing, including the name of the issuing entity exclusive of securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed ONLY IF the reporting individual has knowledge thereof except where the reporting individual or the reporting individual's spouse has transferred assets to such trust for his or her benefit in which event such securities shall be listed unless they are not ascertainable by the reporting individual because the trustee is under an obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual. Securities of which the reporting individual or the reporting individual's spouse is the owner of record but in which such individual or the reporting individual's spouse has no beneficial interest shall not be listed. Indicate percentage of ownership ONLY if the reporting person or the reporting person's spouse holds more than five percent (5%) of the stock of a corporation in which the stock is publicly traded or more than ten percent (10%) of the stock of a corporation in which the stock is NOT publicly traded. Also list securities owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. For the purpose of this item the term "securities" shall mean mutual funds, bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in limited or general partnerships and certificates of deposits (CDs) and such other evidences of indebtedness and certificates of interest as are usually referred to as securities. The market value for such securities shall be reported only if reasonably ascertainable and shall not be reported if the security is an interest in a general partnership that was listed in item 8 (a) or if the security is corporate stock, NOT publicly traded, in a trade or business of a reporting individual or a reporting individual's spouse.

Self/ Spouse	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of pub- licly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
SELF	EASTMAN KODAK	Common Stock		B
SELF	DISNEY	COMMON STOCK		B
SELF	GENERALELECTRIC	COMMON STOCK		D
SELF	NIKE	COMMON STOCK		D

17. List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in

which any vested or contingent interest in EXCESS of \$1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

Self/ Spouse/ Corporation	Location	Size	General Nature	Acquisition Date	Percentage of Ownership	Category of Market Value (In Table II)
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SELF	HAWLEY DRIVE, BATAVIA, NY	VACANT LAND	1 ACRE	1990	100%	D
SELF	8303 BANK STRD., BATAVIA, NY	VACANT LAND	3 ACRES	1990	100%	D
SELF	BANK STRD BATAVIA, NY	VACANT LAND	40 ACRES	2006	33 1/3%	E
SELF	8249 BANK STRD BATAVIA, NY	FATHER'S RESIDENCE	3 ACRES		20%	G
SELF	50 MAIN ST. BATAVIA, NY	OFFICE	4200 ft.	2005	100%	J

18. List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in EXCESS of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in item 16 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

Name of Debtor	Type of Obligation, Date Due, and Nature of Collateral, if any	Category of Amount (In Table II)
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NOT APPLICABLE

19. List below all liabilities of the reporting individual and such individual's spouse, in EXCESS of \$10,000 as of the date of filing of this statement, other than liabilities to a relative. Do NOT list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or by any proprietorship, partnership or corporation in which the reporting individual or such individual's spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse. Include the name of the creditor and any collateral pledged by such individual to secure payment of any such liability. A reporting individual shall not list any obligation to pay maintenance in connection with

a matrimonial action, alimony or child support payments. Any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances shall be excluded. If any such reportable liability has been guaranteed by any third person, list the liability and name the guarantor.

Name of Creditor or Guarantor	Type of Liability and Collateral, if any	Category of Amount (In Table II)
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NOT APPLICABLE

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The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference of unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements.

*Robert G. ...*  
(Signature of Reporting Individual)

4-28-14  
Date (month/day/year)

[CATEGORY OF INCOME TABLES]

TABLE I

Category A	none
Category B	\$ 1 to under \$ 1,000
Category C	\$ 1,000 to under \$ 5,000
Category D	\$ 5,000 to under \$ 20,000
Category E	\$ 20,000 to under \$ 50,000
Category F	\$ 50,000 to under \$ 75,000
Category G	\$ 75,000 to under \$ 100,000
Category H	\$ 100,000 to under \$ 150,000
Category I	\$ 150,000 to under \$ 250,000
Category J	\$ 250,000 to under \$ 350,000
Category K	\$ 350,000 to under \$ 450,000
Category L	\$ 450,000 to under \$ 550,000
Category M	\$ 550,000 to under \$ 650,000
Category N	\$ 650,000 to under \$ 750,000
Category O	\$ 750,000 to under \$ 850,000
Category P	\$ 850,000 to under \$ 950,000
Category Q	\$ 950,000 to under \$1,050,000
Category R	\$1,050,000 to under \$1,150,000
Category S	\$1,150,000 to under \$1,250,000
Category T	\$1,250,000 to under \$1,350,000
Category U	\$1,350,000 to under \$1,450,000
Category V	\$1,450,000 to under \$1,550,000
Category W	\$1,550,000 to under \$1,650,000

Category X	\$1,650,000 to under \$1,750,000
Category Y	\$1,750,000 to under \$1,850,000
Category Z	\$1,850,000 to under \$1,950,000
Category AA	\$1,950,000 to under \$2,050,000
Category BB	\$2,050,000 to under \$2,150,000
Category CC	\$2,150,000 to under \$2,250,000
Category DD	\$2,250,000 to under \$2,350,000
Category EE	\$2,350,000 to under \$2,450,000
Category FF	\$2,450,000 to under \$2,550,000
Category GG	\$2,550,000 to under \$2,650,000
Category HH	\$2,650,000 to under \$2,750,000
Category II	\$2,750,000 to under \$2,850,000
Category JJ	\$2,850,000 to under \$2,950,000
Category KK	\$2,950,000 to under \$3,050,000
Category LL	\$3,050,000 to under \$3,150,000
Category MM	\$3,150,000 to under \$3,250,000
Category NN	\$3,250,000 to under \$3,350,000
Category OO	\$3,350,000 to under \$3,450,000
Category PP	\$3,450,000 to under \$3,550,000
Category QQ	\$3,550,000 to under \$3,650,000
Category RR	\$3,650,000 to under \$3,750,000
Category SS	\$3,750,000 to under \$3,850,000
Category TT	\$3,850,000 to under \$3,950,000
Category UU	\$3,950,000 to under \$4,050,000
Category VV	\$4,050,000 to under \$4,150,000
Category WW	\$4,150,000 to under \$4,250,000
Category XX	\$4,250,000 to under \$4,350,000
Category YY	\$4,350,000 to under \$4,450,000
Category ZZ	\$4,450,000 to under \$4,550,000
Category AAA	\$4,550,000 to under \$4,650,000
Category BBB	\$4,650,000 to under \$4,750,000
Category CCC	\$4,750,000 to under \$4,850,000
Category DDD	\$4,850,000 to under \$4,950,000
Category EEE	\$4,950,000 to under \$5,050,000
Category FFF	\$5,050,000 to under \$5,150,000
Category GGG	\$5,150,000 to under \$5,250,000
Category HHH	\$5,250,000 to under \$5,350,000
Category III	\$5,350,000 to under \$5,450,000
Category JJJ	\$5,450,000 to under \$5,550,000
Category KKK	\$5,550,000 to under \$5,650,000
Category LLL	\$5,650,000 to under \$5,750,000
Category MMM	\$5,750,000 to under \$5,850,000
Category NNN	\$5,850,000 to under \$5,950,000
Category OOO	\$5,950,000 to under \$6,050,000
Category PPP	\$6,050,000 to under \$6,150,000
Category QQQ	\$6,150,000 to under \$6,250,000
Category RRR	\$6,250,000 to under \$6,350,000
Category SSS	\$6,350,000 to under \$6,450,000
Category TTT	\$6,450,000 to under \$6,550,000
Category UUU	\$6,550,000 to under \$6,650,000
Category VVV	\$6,650,000 to under \$6,750,000
Category WWW	\$6,750,000 to under \$6,850,000
Category XXX	\$6,850,000 to under \$6,950,000
Category YYY	\$6,950,000 to under \$7,050,000
Category ZZZ	\$7,050,000 to under \$7,150,000
Category AAAA	\$7,150,000 to under \$7,250,000
Category BBBB	\$7,250,000 to under \$7,350,000

Category CCCC	\$7,350,000 to under \$7,450,000
Category DDDD	\$7,450,000 to under \$7,550,000
Category EEEE	\$7,550,000 to under \$7,650,000
Category FFFF	\$7,650,000 to under \$7,750,000
Category GGGG	\$7,750,000 to under \$7,850,000
Category HHHH	\$7,850,000 to under \$7,950,000
Category IIII	\$7,950,000 to under \$8,050,000
Category JJJJ	\$8,050,000 to under \$8,150,000
Category KKKK	\$8,150,000 to under \$8,250,000
Category LLLL	\$8,250,000 to under \$8,350,000
Category MMMM	\$8,350,000 to under \$8,450,000
Category NNNN	\$8,450,000 to under \$8,550,000
Category OOOO	\$8,550,000 to under \$8,650,000
Category PPPP	\$8,650,000 to under \$8,750,000
Category QQQQ	\$8,750,000 to under \$8,850,000
Category RRRR	\$8,850,000 to under \$8,950,000
Category SSSS	\$8,950,000 to under \$9,050,000
Category TTTT	\$9,050,000 to under \$9,150,000
Category UUUU	\$9,150,000 to under \$9,250,000
Category VVVV	\$9,250,000 to under \$9,350,000
Category WWWW	\$9,350,000 to under \$9,450,000
Category XXXX	\$9,450,000 to under \$9,550,000
Category YYYY	\$9,550,000 to under \$9,650,000
Category ZZZZ	\$9,650,000 to under \$9,750,000
Category AAAAA	\$9,750,000 to under \$9,850,000
Category BBBBB	\$9,850,000 to under \$9,950,000
Category CCCCC	\$9,950,000 to under \$10,000,000
Category DDDDD	\$10,000,000 or over

TABLE II

Category A	none
Category B	\$ 1 to under \$ 1,000
Category C	\$ 1,000 to under \$ 5,000
Category D	\$ 5,000 to under \$ 20,000
Category E	\$ 20,000 to under \$ 50,000
Category F	\$ 50,000 to under \$ 75,000
Category G	\$ 75,000 to under \$ 100,000
Category H	\$ 100,000 to under \$ 150,000
Category I	\$ 150,000 to under \$ 250,000
Category J	\$ 250,000 to under \$ 500,000
Category K	\$ 500,000 to under \$ 750,000
Category L	\$ 750,000 to under \$1,000,000
Category M	\$1,000,000 to under \$1,250,000
Category N	\$1,250,000 to under \$1,500,000
Category O	\$1,500,000 to under \$1,750,000
Category P	\$1,750,000 to under \$2,000,000
Category Q	\$2,000,000 to under \$2,250,000
Category R	\$2,250,000 to under \$2,500,000
Category S	\$2,500,000 to under \$2,750,000
Category T	\$2,750,000 to under \$3,000,000
Category U	\$3,000,000 to under \$3,250,000
Category V	\$3,250,000 to under \$3,500,000
Category W	\$3,500,000 to under \$3,750,000
Category X	\$3,750,000 to under \$4,000,000
Category Y	\$4,000,000 to under \$4,250,000

Category Z	\$4,250,000 to under \$4,500,000
Category AA	\$4,500,000 to under \$4,750,000
Category BB	\$4,750,000 to under \$5,000,000
Category CC	\$5,000,000 to under \$5,250,000
Category DD	\$5,250,000 to under \$5,500,000
Category EE	\$5,500,000 to under \$5,750,000
Category FF	\$5,750,000 to under \$6,000,000
Category GG	\$6,000,000 to under \$6,250,000
Category HH	\$6,250,000 to under \$6,500,000
Category II	\$6,500,000 to under \$6,750,000
Category JJ	\$6,750,000 to under \$7,000,000
Category KK	\$7,000,000 to under \$7,250,000
Category LL	\$7,250,000 to under \$7,500,000
Category MM	\$7,500,000 to under \$7,750,000
Category NN	\$7,750,000 to under \$8,000,000
Category OO	\$8,000,000 to under \$8,250,000
Category PP	\$8,250,000 to under \$8,500,000
Category QQ	\$8,500,000 to under \$8,750,000
Category RR	\$8,750,000 to under \$9,000,000
Category SS	\$9,000,000 to under \$9,250,000
Category TT	\$9,250,000 to under \$9,500,000
Category UU	\$9,500,000 or over



THE TRUSTEES OF STEPHEN M. HAWLEY & ASSOC., LLC PROFIT SHARING PLAN

Contract Number: [REDACTED]

Retirement Account

Your retirement account value as of 03/31/2014
\$825,807.24

January 01, 2014 - March 31, 2014

Your personal rate of return

Table with 2 columns: Rate period and Rate percentage. Rows include: This period (2.00%), For last 12 months (9.87%), Since your account inception (Annualized) (6.16%)

This period

Table with 2 columns: Description and Amount. Rows include: Beginning balance (\$802,662.83), Money in (Employee money 4,865.41, Employer money 2,157.65), Net change\* (16,121.35), Ending balance (\$825,807.24)

\*Gain/loss for your account is net of the fees shown in the "Your summary of charges" section.

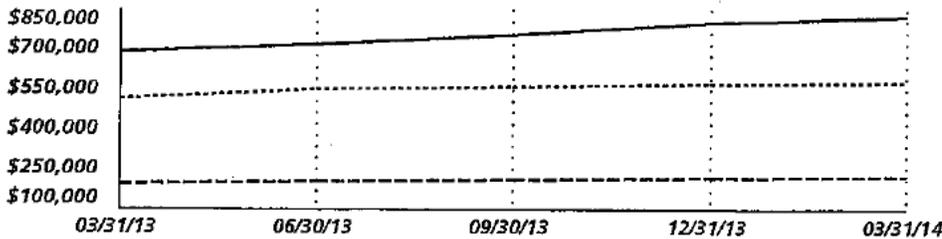
STEPHEN M. HAWLEY
ATTN: MARJORIE V. CHADDOCK

612261 F01P 1292 MIXED 9/12 104

STEPHEN M. HAWLEY

Looking back

Change in your account this period: \$23,144.41



You want to make sure your contributions continue working for the lifestyle you planned, both at retirement and beyond. Your plan contact can put you in touch with your local John Hancock New York representative to outline the many income-producing options open to you. Remember, you still have access to our website, where you can find a variety of resources, including articles, tools, calculators and more. Visit us online at www.jhnpensions.com.

Looking for help?

Important: Any inaccuracies in this statement must be reported to John Hancock New York within 45 days. See last page for details. For questions about your account with John Hancock New York, visit www.jhnpensions.com or 1-800-395-1113 (1-800-363-0530 Español) Monday - Friday, 8am - 8pm ET.

Changing jobs or retiring? Call 1-888-695-4472 if you have questions about your distribution options.



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Retirement account of:  
STEPHEN M. HAWLEY



Retirement Account  
January 01, 2014 - March 31, 2014  
Contract Number [REDACTED]

### Investment options and performance (continued)

Ongoing instructions	Fund code	Investment options	3 Months	1 Year	3 Years	5 Years	10 Year
10.00%	044	T. Rowe Price Spectrum Inc	2.23	3.34	5.42	9.75	5.0
5.00%	073	High Yield Fund	2.91	7.31	8.60	19.25	8.
		<b>Growth &amp; Income</b>					
10.00%	069	Mutual Global Discovery	2.13	18.32	10.77	14.02	9.
5.00%	062	Mutual Beacon	1.36	19.68	12.19	18.27	6.
15.00%	025	T. Rowe Price Equity Inc	1.48	18.08	12.85	20.85	7.
		<b>Growth</b>					
10.00%	123	Utilities Fund	6.35	16.53	13.29	20.87	13.
15.00%	136	JPM MidCap Value Fund	3.09	20.46	16.06	24.29	9.
		<b>Aggressive Growth</b>					
10.00%	063	Oppenheimer Developing Mkt	-1.79	6.35	2.06	19.60	14.

Investment options and performance are as of March 31, 2014.

\* Performance data for a sub-account for any period prior to the date introduced is hypothetical based on the performance of the underlying portfolio. All other performance data is actual. Returns for any period greater than one year are annualized. Performance data reflects changes in the prices of investments, reinvestment of any dividends and capital gains, and deductions for the Annual Investment Charge. Performance does not reflect any contract-level or participant recordkeeping charges, which would otherwise reduce the total return for an account. Past performance is no guarantee of future results. An investment in a sub-account will fluctuate in value to reflect the investment results of the underlying portfolio and, when redeemed, it be more or less than original cost.

Performance of John Hancock New York Funds prior to 1998 is hypothetical, and is derived from the historical performance information of the underlying fund.

### Your summary of charges

The plan's administrative expenses for the quarter were paid from the total annual operating expenses of the investment options in which you are invested. For information related to the total annual operating expenses for each investment option, refer to the Investment Comparative Chart available at [www.jhnpensions.com](http://www.jhnpensions.com). Speak to your plan administrator for details.

### Bulletin board

As a result of our ongoing monitoring and review processes, John Hancock makes changes to the investment options on our platform in the spring (April/May) and fall

(October/November). To learn if any of the funds available to you are/were impacted by these changes, call us at 1-800-395-1113 or speak with your plan administrator.

### Combine other retirement accounts into your plan

If you have other retirement accounts, such as a 401(k) plan with a former employer or an IRA, you can move those accounts into your 401(k) plan with John Hancock. It's easy, and we can help! Call 1-877-525-7655 to speak to a Consolidation Specialist. Note this service may not be available in some plans and plan restrictions apply.

Review this statement to ensure it accurately reflects your balances, investments, and any transactions during the period covered. You should report any discrepancies or inaccuracy to John Hancock New York within 45 days of the production date of this Statement. If you do not, you will be deemed to have approved of the accuracy of the Statement. John Hancock New York will not be responsible for any claimed damage resulting from a purported failure to carry out your investment instructions that is not brought to our attention within this 45 day period.

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Group annuity contracts and recordkeeping agreements are issued by: John Hancock Life Insurance Company of New York, 100 Summit Lake Drive, Valhalla, New York 10595. John Hancock Investment Management Services, LLC, a registered investment adviser, provides investment information relating to the contracts. Plan administrative services may be provided by John Hancock Retirement Plan Services LLC or a plan consultant selected by the Plan.

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NOT FDIC INSURED | MAY LOSE VALUE | NOT BANK GUARANTEED | NOT INSURED BY ANY GOVERNMENT AGENCY

{Apr 04, 2014}/Combo Summary Statement (R)



Retirement account of:  
STEPHEN M. HAWLEY

Retirement Account  
January 01, 2014 - March 31, 2014  
Contract Number: [REDACTED]

**What investment options make up your account (continued)**

You are allowed a maximum of two exchanges per month. After the exchange limit, you may move 100% of your account to a money market or stable value fund where it must remain for 30 days. Trading can resume only once the 30 days have expired. Also, additional restrictions may be imposed if it is determined that any exchange activity may disrupt or be potentially disruptive to an investment option, even though in compliance with our policy. For more information, visit [www.jhnypensions.com](http://www.jhnypensions.com). Also check with your Plan Administrator for additional restrictions that may be imposed by your plan. It is important for your long-term retirement security that your portfolio be well-balanced and diversified. If you invest more than 20% of your portfolio in any one industry or company, your savings may not be properly diversified. Market or other economic conditions generally have different impact on different asset categories. Although it is not a guarantee against loss, diversification among different types of investments can help you manage investment risk. In deciding how to invest your retirement savings, you should take into account all your assets, and other factors such as your financial goals, time horizons, and risk tolerance. It is also important to periodically review your investment portfolio, your investment objectives, and the investment options under the Plan to help ensure that your retirement savings will meet your retirement goals. For more information on individual investing and diversification, visit the Department of Labor's website at [www.dol.gov/ebsa/investing.html](http://www.dol.gov/ebsa/investing.html).

**Your summary of activity**

<b>Total Value on 01/01/2014</b>	<b>\$802,662.83</b>		
<b>Employee money</b>			
	<b>This period</b>	<b>Year-to-date since 01/01/2014</b>	<b>Since your account inception</b>
<b>Beginning balance</b>	<b>\$302,732.89</b>	<b>\$302,732.89</b>	<b>\$0.00</b>
Pre tax contributions			
EE ELECTIVE DEFERRAL	4,865.41	4,865.41	224,951.22
Net change*	6,143.71	6,143.71	88,794.79
Adjustments	0.00	0.00	-4.00
<b>Balance of employee money</b>	<b>\$313,742.01</b>		
<b>Employer money</b>			
<b>Beginning balance</b>	<b>\$499,929.94</b>	<b>\$499,929.94</b>	<b>\$0.00</b>
Employer contributions			
ER PROFIT SHARING	0.00	0.00	251,754.84
SAFE HARBOR MATCHING CONTRIBUTION	2,157.65	2,157.65	102,307.66
Transfers into the plan	0.00	0.00	745.16
Net change*	9,977.64	9,977.64	157,257.57
<b>Balance of employer money</b>	<b>\$512,065.23</b>		
<b>Total Value on 03/31/2014</b>	<b>\$825,807.24</b>		

Are you getting the most out of your plan? Take full advantage of its employer match by opting for a deferral amount that ensures the maximum matching contribution.

Your employer account balance may not be 100% vested. This means that if you terminate employment, you might not receive all of the money your employer has contributed to the plan on your behalf. Your plan contact has information on your vesting schedule.

If this option is available to your contract, your account transaction activity can be downloaded from our Web site using Intu Quicken® or Microsoft® Money personal finance software. Log on to [www.jhnypensions.com](http://www.jhnypensions.com) for details.

\*Gain/loss for your account is net of the fees shown in the "Your summary of charges" section.

**Investment options and performance**

Listed below are historical returns as of March 31, 2014 for your selected investment options in your group annuity contract. Past performance is no guarantee of future results. Historical returns may be helpful as a planning tool. Your actual results may vary. For more information, including the historical returns of all the investment options available to your group annuity contract, log on to [www.jhnypensions.com](http://www.jhnypensions.com).

Ongoing Instructions	Fund code	Investment options	3 Months	1 Year	3 Years	5 Years	10 Year
		<b>Income</b>					
10.00%	056	Short-Term Federal	0.24	-0.56	0.86	1.34	2.5
5.00%	096	PIMCO Total Return	1.18	-1.74	3.62	6.34	5.3
5.00%	067	Investment Qual Bond Fund	2.17	-0.10	4.71	6.68	4.6

(continued)



Retirement account of:  
STEPHEN M. HAWLEY



Retirement Account  
January 01, 2014 - March 31, 2014  
Contract Number [REDACTED]

## Your profile at a glance

### Your current portfolio allocation

Your current portfolio is following a balanced strategy. This strategy is designed to balance growth and security with a certain amount of risk in order to have the potential for higher returns. Your portfolio profile description may change as the value of some of your investment options change over time or if you change your strategy. Check your account profile periodically to help ensure that your current portfolio and your ongoing contributions are allocated in line with your desired investment strategy. Reviewing your strategy can be especially important if your financial circumstances or your life stage change. To make a change to your account, please call us at 1-800-395-1113 (English) or 1-800-363-0530 (Español), or go online at [www.jhnypensions.com](http://www.jhnypensions.com).

	Account value	% of account
Income	\$280,962.30	34.03%
Growth & Income	250,909.58	30.39
Growth	214,178.53	25.93
Aggressive Growth	79,756.83	9.65

Total account value **\$825,807.24**



Current

### Your ongoing contribution allocation

Your ongoing contributions are following a balanced strategy. This strategy is designed to balance growth and security with a certain amount of risk in order to have the potential for higher returns. Your portfolio profile description may change as the value of some of your investment options change over time or if you change your strategy.

% of ongoing contributions
35.00%
30.00
25.00
10.00



Ongoing

## What investment options make up your account

	Current portfolio	Ongoing instructions††	Units held as of		Unit value as of *		Value as of	
			01/01/14	03/31/14	01/01/14	03/31/14	01/01/14	03/31/14
<b>Income</b>								
Short-Term Federal	9.57%	10.00%	4,393.066119	4,432.437013	\$17.782388	\$17.825408	\$78,119.23	\$79,010.02
PIMCO Total Return	4.79	5.00	1,597.652501	1,611.942485	24.254694	24.540160	38,750.59	39,557.35
Investment Qual Bond Fund	4.88	5.00	1,517.421532	1,530.844182	25.761103	26.319014	39,090.47	40,290.33
T. Rowe Price Spectrum Inc High Yield Fund	9.82	10.00	2,776.361002	2,800.949036	28.312930	28.942594	78,606.94	81,066.75
	4.97	5.00	1,203.110614	1,213.672411	32.858036	33.812944	39,531.88	41,037.85
<b>Growth &amp; Income</b>								
Mutual Global Discovery	10.11	10.00	1,019.825050	1,028.768313	79.431652	81.125250	81,006.41	83,459.11
Mutual Beacon	5.04	5.00	921.062537	929.163457	44.152684	44.751992	40,667.40	41,581.93
T. Rowe Price Equity Inc	15.24	15.00	2,159.338561	2,178.218926	56.944024	57.785063	122,961.45	125,868.54
<b>Growth</b>								
Utilities Fund	10.34	10.00	2,403.381120	2,424.430209	33.131444	35.234324	79,627.51	85,423.17
JPM MidCap Value Fund	15.59	15.00	2,745.167661	2,768.663544	45.111327	46.504511	123,838.18	128,755.36
<b>Aggressive Growth</b>								
Oppenheimer Developing Mkt	9.65	10.00	1,231.992989	1,243.448675	65.311052	64.141619	80,462.77	79,756.83
<b>Total account</b>	<b>100.00%</b>	<b>100.00%</b>					<b>\$802,662.83</b>	<b>\$825,807.2</b>

†† Your allocation instructions, as of 03/31/2014, are shown above.

\* A unit value is the value of a unit in a sub-account (or Fund). Contributions to a sub-account purchase units of that Fund. A unit represents a portion of the sub-account's total assets.

(continued)