



September 23, 2013

The Honorable Andrew Cuomo
Governor, State of New York
State Capitol Executive Chamber
Albany, NY 12224

Re: Annual Program Report – Fiscal Year 2013-2014

Dear Governor Cuomo:

I am pleased to provide you with the Empire State Development (ESD) Annual Program Report for Fiscal Year 2013-2014, as required by statute. The report, which provides information on the status of proposals for assistance from ESD's economic development programs, is organized into the following sections:

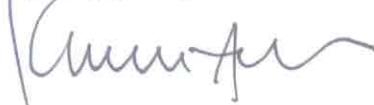
- Proposals for Assistance: Approved;
- Proposals for Assistance: Evaluated – Not Yet Approved; and
- Proposals for Assistance: Evaluated – No Further Action Recommended.

The following appropriation categories are included:

- Buffalo Regional Innovation Cluster
- Community Development Financial Institution Program
- Downstate Revitalization Fund
- Entrepreneurial Assistance Program
- Economic Development Purposes Fund
- Economic Transformation Program
- Empire State Economic Development Fund
- Job Development Authority
- JOBS Now Program
- Metropolitan Economic Revitalization Fund
- Minority- and Women-owned Business Development and Lending Program
- New York Works
- New York Works – Connect NY
- Regional Council Capital Fund
- Restore New York Communities Initiative
- Small Business Technology Investment Fund
- Urban and Community Development Program
- Upstate Regional Blueprint Fund

It has been a pleasure working together to foster your economic vision for New York State.

Very truly yours,

A handwritten signature in black ink, appearing to read 'Ken Adams', written over a vertical line that extends from the 'Very truly yours,' text.

Kenneth Adams
President & CEO, Empire State Development
Commissioner, NYS Department of Economic Development

- cc: Chairperson of the Senate Committee on Finance
Chairperson of the Senate Committee on Commerce, Economic Development and Small Business
Chairperson of the Senate Committee on Corporations, Authorities and Commissions
Chairperson of the Assembly Committee on Ways and Means
Chairperson of the Assembly Committee on Commerce, Industry, and Economic Development
Chairperson of the Assembly Committee on Corporations, Authorities and Commissions
Chairperson of the Assembly Committee on Small Business

As required by statute, this report contains the status of economic development programs administered by the Urban Development Corporation, doing business as Empire State Development (“ESD”). This report covers the fiscal year from April 1, 2013, through March 31, 2014. Projects contained in this report are comprised of Proposals for Assistance: Approved; Proposals for Assistance: Evaluated Not Yet Approved; and Proposals for Assistance: Evaluated No Further Action Recommended. During this fiscal period, the ESD Directors approved 226 projects totaling \$391,505,755 in funding commitments.

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- Project Detail by Region

Section 2: Proposals for Assistance Evaluated – Not Yet Approved

- Summary by Program and Region
- Project Detail by Region

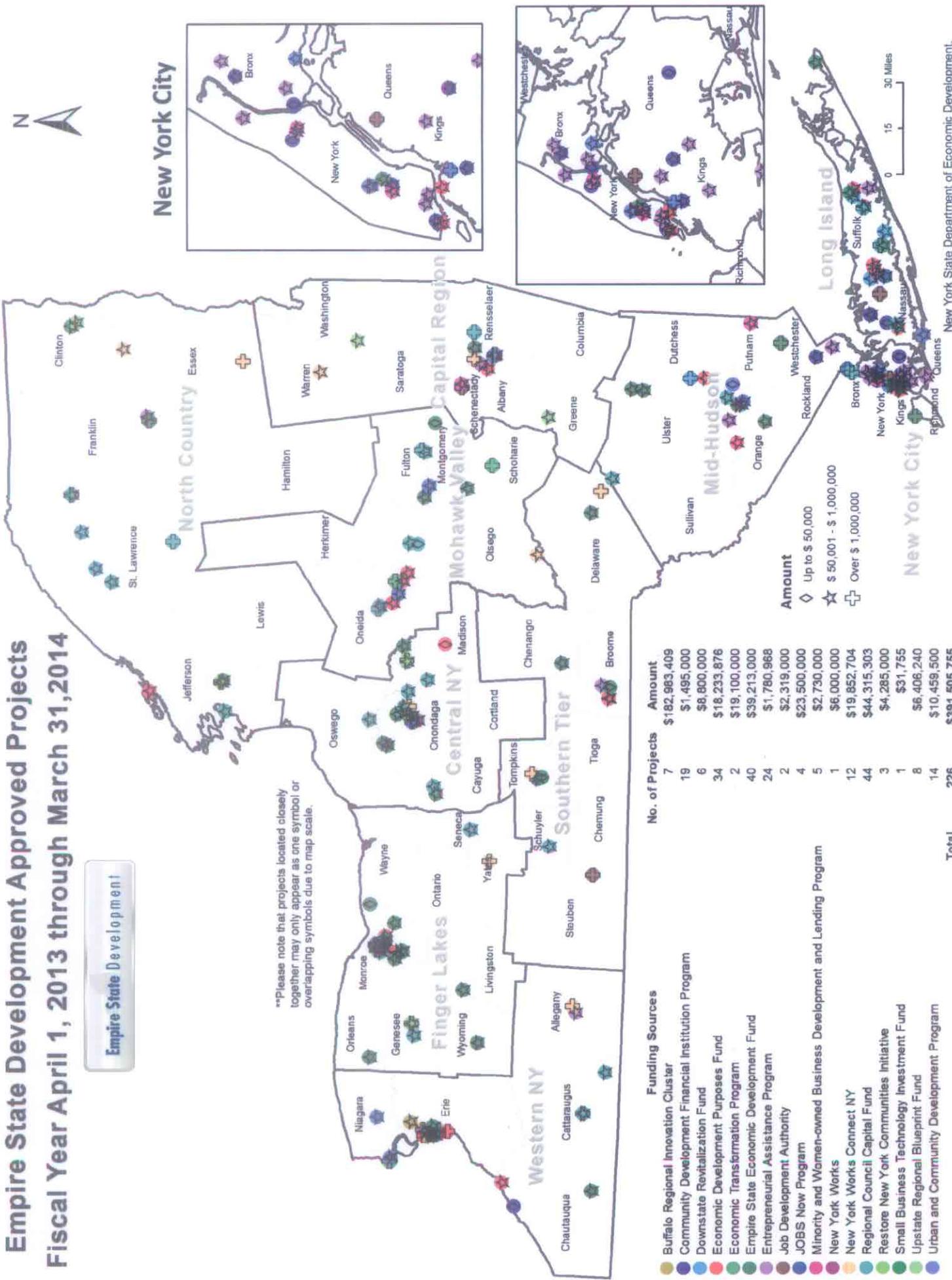
Section 3: Proposals for Assistance Evaluated – No Further Action Recommended

- Summary by Program and Region

Empire State Development Approved Projects Fiscal Year April 1, 2013 through March 31, 2014

Empire State Development

**Please note that projects located closely together may only appear as one symbol or overlapping symbols due to map scale.



Funding Sources	No. of Projects	Amount
Buffalo Regional Innovation Cluster	7	\$182,983,409
Community Development Financial Institution Program	19	\$1,495,000
Downstate Revitalization Fund	6	\$8,800,000
Economic Development Purposes Fund	34	\$18,233,876
Economic Transformation Program	2	\$19,100,000
Empire State Economic Development Fund	40	\$39,213,000
Entrepreneurial Assistance Program	24	\$1,780,988
Job Development Authority	2	\$2,319,000
JOBS New Program	4	\$23,500,000
Minority and Women-owned Business Development and Lending Program	5	\$2,730,000
New York Works	1	\$6,000,000
New York Works Connect NY	12	\$19,852,704
Regional Council Capital Fund	44	\$44,315,303
Restore New York Communities Initiative	3	\$4,285,000
Small Business Technology Investment Fund	1	\$31,755
Upstate Regional Blueprint Fund	8	\$6,408,240
Urban and Community Development Program	14	\$10,459,500
Total	226	\$391,505,755

Amount
 ◇ Up to \$ 50,000
 ☆ \$ 50,001 - \$ 1,000,000
 ⊕ Over \$ 1,000,000

ECONOMIC DEVELOPMENT PROGRAMS: APPROPRIATION CATEGORIES

Projects in this report are funded from the following appropriation categories (“Programs”):

- **Buffalo Regional Innovation Cluster (“BRIC”)** – an appropriation to create thousands of jobs and to spur at least \$5 billion in new investment and economic activity in Buffalo.
- **Community Development Financial Institution Program (“CDFI”)** – an annual appropriation that provides micro-loans to businesses that do not qualify for bank loans as well as one-on-one counseling and business development assistance to facilitate credit-readiness.
- **Downstate Revitalization Fund (“DRF”)** – a \$35 million appropriation enacted in FY 2008-09 to promote economic development by facilitating the creation and retention of jobs or other economic activity in downstate New York.
- **Entrepreneurial Assistance Program (“EAP”)** – two annual appropriations that establish and maintain Entrepreneurial Assistance Program Centers in local communities to provide instruction, training, technical assistance, and support services to individuals who have recently started their own business or are interested in starting a business.
- **Economic Development Purposes Fund (“EDPF”)** – a two-year appropriation established in the 2011-12 budget that made \$62.36 million of funding available for economic development across New York State for business investment, infrastructure investment, and economic growth investment initiatives.
- **Economic Transformation Program (“ETP”)** – a \$50 million appropriation created as part of the 2011-12 budget to assist communities affected by closures of the state's correctional and juvenile justice facilities.
- **Empire State Economic Development Fund (“EDF”)** – created in 1996 and generally funded annually, this appropriation provides assistance for projects that promote the economic health of New York State by facilitating the creation or retention of jobs or the increase of business activity.
- **Job Development Authority (“JDA”)** – this authority, which operates under the ESD umbrella, provides direct loans for the growth of manufacturing and other eligible businesses within New York State by financing a portion of the cost of real estate acquisition, renovation, or construction or for purchasing machinery and equipment. Funds to make loans are derived from the sale of State-guaranteed bonds.
- **JOBS Now Program (“JN”)** – this appropriation, created in 1998, promotes the state’s economic health and the increase of economic activity by encouraging the expansion of current businesses and attraction of new businesses, primarily targeting companies that create at least 300 new permanent, full-time private sector jobs, with 25% of funds allowed for the creation of 100-299 jobs.
- **Metropolitan Economic Revitalization Fund (“MERF”)** – a \$25 million fund created in 1996 to revive economically distressed neighborhoods in the Port District of New York by offering capital loans that will result in retention or creation of a significant number of private-sector jobs.

- **Minority and Women-owned Business Development and Lending Program (“MWBDL”)** – an annual appropriation that provides financial assistance to minority- and women-owned business enterprises via loan funding.
- **New York Works (“NY Works”)** – a \$75 million appropriation in the FY 2012-2013 budget to support economic development. This includes a \$25 million allocation to the Connect NY Broadband Program.
- **New York Works – Connect NY (“Connect NY”)** – a \$25 million appropriation from the New York Works Fund to promote and expand high-speed Internet access in rural upstate and underserved urban areas of the State.
- **Regional Council Capital Fund (“RCCF”)** – an appropriation established under the Governor’s Regional Economic Development Council Initiative to support capital-based economic development initiatives intended to create or retain jobs, prevent or reduce unemployment and underemployment and to increase business activity in a community or region.
- **Restore New York Communities Initiative (“Restore NY”)** – a \$300 million appropriation, awarded over three years (FY 2006-07, FY 2007-08, and FY 2008-09), that aids municipalities with real property in need of demolition/deconstruction, rehabilitation or reconstruction for both commercial and residential property.
- **Small Business Technology Investment Fund (“SBTIF”)** – \$15.3 million fund, established in 1982 from State and Federal sources that provides early stage, high-tech companies throughout New York State with potential sources of venture capital to promote new job creation and economic growth.
- **Urban and Community Development Program (“UCDP”)** – an annual appropriation that promotes economic development by encouraging economic and employment opportunities in targeted communities and urban areas.
- **Upstate Regional Blueprint Fund (“URB”)** – a one-time appropriation of \$120 million enacted in FY 2008-09 to promote economic development in upstate New York by facilitating the creation and retention of jobs or other economic activity.

SECTION 1: SUMMARY OF APPROVED ASSISTANCE FISCAL YEAR APRIL 1, 2013 – MARCH 31, 2014

Summary of Approved Assistance

Projects are categorized by funding program and detail the total amount of assistance approved by the ESD Directors during the Fiscal Year April 1, 2013 – March 31, 2014. If a recipient received more than one award or an award from more than one Program, each award is counted separately.

<u>Appropriation</u>	<u>Number of Projects</u>	<u>Amount</u>
Buffalo Regional Innovation Cluster	7	\$182,983,409
Community Development Financial Institution Program	19	\$1,495,000
Downstate Revitalization Fund	6	\$8,800,000
Entrepreneurial Assistance Program	24	\$1,780,968
Economic Development Purposes Fund	34	\$18,233,876
Economic Transformation Program	2	\$19,100,000
Empire State Economic Development Fund	40	\$39,213,000
Job Development Authority	2	\$2,319,000
JOB'S Now Program	4	\$23,500,000
Minority and Women-owned Business Development and Lending Program	5	\$2,730,000
New York Works	1	\$6,000,000
New York Works - Connect NY	12	\$19,852,704
Regional Council Capital Fund	44	\$44,315,303
Restore New York Communities Initiative	3	\$4,285,000
Small Business Technology Investment Fund	1	\$31,755
Urban and Community Development Program	14	\$10,459,500
<u>Upstate Regional Blueprint Fund</u>	<u>8</u>	<u>\$6,406,240</u>
TOTAL	226	\$391,505,755

Section 1: Proposals for Assistance - Approved 4/1/2013 - 3/31/2014

A. Summary by Program and Region

BUFFALO REGIONAL INNOVATION CLUSTER (BRIC)		
Region	# of Projects	Approved Assistance
Western New York	7	\$ 182,983,409
TOTAL BRIC	7	\$ 182,983,409

COMMUNITY DEVELOPMENT FINANCIAL INSTITUTION (CDFI)		
Region	# of Projects	Approved Assistance
Capital	1	\$ 85,000
Long Island	2	\$ 105,000
Mid Hudson	1	\$ 80,000
New York City	13	\$ 1,045,000
Southern Tier	1	\$ 140,000
Western New York	1	\$ 40,000
TOTAL CDFI	19	\$ 1,495,000

DOWNSTATE REVITALIZATION FUND (DRF)		
Region	# of Projects	Approved Assistance
Long Island	4	\$ 5,800,000
Mid Hudson	2	\$ 3,000,000
TOTAL DRF	6	\$ 8,800,000

ENTREPRENEURIAL ASSISTANCE PROGRAM (EAP)		
Region	# of Projects	Approved Assistance
Capital	1	\$ 74,207
Central	1	\$ 74,207
Finger Lakes	2	\$ 148,414
Long Island	2	\$ 148,414
Mid Hudson	2	\$ 148,414
Mohawk Valley	1	\$ 74,207
New York City	11	\$ 816,277
North Country	1	\$ 74,207
Southern Tier	1	\$ 74,207
Western New York	2	\$ 148,414
TOTAL EAP	24	\$ 1,780,968

Section 1: Proposals for Assistance - Approved 4/1/2013 - 3/31/2014

A. Summary by Program and Region

ECONOMIC DEVELOPMENT PURPOSES FUND (EDPF)		
Region	# of Projects	Approved Assistance
Capital	3	\$ 475,000
Central	2	\$ 143,600
Finger Lakes	4	\$ 5,725,001
Long Island	6	\$ 1,947,535
Mid Hudson	2	\$ 1,100,000
Mohawk Valley	4	\$ 912,570
New York City	2	\$ 650,000
North Country	1	\$ 100,000
Southern Tier	2	\$ 500,000
Western New York	8	\$ 6,680,170
TOTAL EDPF	34	\$ 18,233,876

ECONOMIC TRANSFORMATION PROGRAM (ETP)		
Region	# of Projects	Approved Assistance
Mohawk Valley	2	\$ 19,100,000
TOTAL ETP	2	\$ 19,100,000

EMPIRE STATE ECONOMIC DEVELOPMENT PROGRAM (EDF)		
Region	# of Projects	Approved Assistance
Capital	1	\$ 400,000
Central	7	\$ 2,190,000
Finger Lakes	11	\$ 6,770,000
Long Island	3	\$ 990,000
Mid Hudson	5	\$ 6,440,000
Mohawk Valley	3	\$ 348,000
New York City	2	\$ 15,100,000
North Country	3	\$ 5,550,000
Southern Tier	3	\$ 1,075,000
Western New York	2	\$ 350,000
TOTAL EDF	40	\$ 39,213,000

JOB DEVELOPMENT AUTHORITY (JDA)		
Region	# of Projects	Approved Assistance
Long Island	1	\$ 624,000
Mid Hudson	1	\$ 1,695,000
TOTAL JDA	2	\$ 2,319,000

Section 1: Proposals for Assistance - Approved 4/1/2013 - 3/31/2014

A. Summary by Program and Region

JOBS NOW (JN)		
Region	# of Projects	Approved Assistance
Capital	1	\$ 12,500,000
Long Island	1	\$ 3,500,000
New York City	1	\$ 6,000,000
Southern Tier	1	\$ 1,500,000
TOTAL JN	4	\$ 23,500,000

MINORITY AND WOMEN-OWNED BUSINESS DEVELOPMENT LENDING PROGRAM (MWBDL)		
Region	# of Projects	Approved Assistance
Capital	2	\$ 1,125,000
Mid Hudson	1	\$ 562,500
Multiple Locations	1	\$ 480,000
New York City	1	\$ 562,500
TOTAL MWBDL	5	\$ 2,730,000

NEW YORK WORKS (NY WORKS)		
Region	# of Projects	Approved Assistance
Finger Lakes	1	\$ 6,000,000
TOTAL NY WORKS	1	\$ 6,000,000

NEW YORK WORKS - CONNECT NY (CONNECT NY)		
Region	# of Projects	Approved Assistance
Capital	1	\$ 200,000
Central	1	\$ 1,999,584
Finger Lakes	1	\$ 2,407,049
Mohawk Valley	1	\$ 558,940
Multiple Locations	1	\$ 5,258,231
North Country	3	\$ 3,696,082
Southern Tier	2	\$ 4,048,000
Western New York	2	\$ 1,684,818
TOTAL CONNECT NY	12	\$ 19,852,704

REGIONAL COUNCIL CAPITAL FUND (RCCF)		
Region	# of Projects	Approved Assistance
Capital	2	\$ 5,125,000
Central	6	\$ 3,549,000
Finger Lakes	7	\$ 3,609,217
Long Island	2	\$ 2,700,000
Mid Hudson	2	\$ 3,000,000
Mohawk Valley	6	\$ 5,651,000
North Country	10	\$ 9,268,306
Southern Tier	2	\$ 400,000
Western New York	7	\$ 11,012,780
TOTAL RCCF	44	\$ 44,315,303

Section 1: Proposals for Assistance - Approved 4/1/2013 - 3/31/2014

A. Summary by Program and Region

RESTORE NEW YORK COMMUNITIES INITIATIVE (RESTORE NY)		
Region	# of Projects	Approved Assistance
Central	1	\$ 1,685,000
North Country	1	\$ 2,500,000
Western New York	1	\$ 100,000
TOTAL RESTORE NY	3	\$ 4,285,000

SMALL BUSINESS TECHNOLOGY INVESTMENT FUND (SBTIF)		
Region	# of Projects	Approved Assistance
Southern Tier	1	\$ 31,755
TOTAL SBTIF	1	\$ 31,755

URBAN AND COMMUNITY DEVELOPMENT PROGRAM (UCDP)		
Region	# of Projects	Approved Assistance
Capital	2	\$ 1,475,000
Central	1	\$ 2,000,000
Finger Lakes	1	\$ 3,500,000
Long Island	1	\$ 100,000
Mid Hudson	2	\$ 147,500
Multiple Locations	2	\$ 1,200,000
New York City	3	\$ 1,762,000
Statewide	1	\$ 150,000
Western New York	1	\$ 125,000
TOTAL UCDP	14	\$ 10,459,500

UPSTATE REGIONAL BLUEPRINT FUND (URB)		
Region	# of Projects	Approved Assistance
Capital	2	\$ 1,221,240
Central	1	\$ 950,000
Finger Lakes	4	\$ 3,860,000
North Country	1	\$ 375,000
TOTAL URB	8	\$ 6,406,240

Grand Total	226	\$ 391,505,755
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Section 1: Proposals for Assistance Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

CAPITAL REGION			
Project #	Project Name	Program	Approved Assistance
Y461	Capital - Path Through History Working Capital	EDPF	\$ 100,000
Y527	Capital Chamber Foundation EAP Center 13-14	EAP	\$ 74,207
X803	Center for Economic Growth Working Capital	EDPF	\$ 125,000
W548	Comfortex Capital	EDF	\$ 400,000
Y968	Community Loan Fund of the Capital Region CDFI 15	CDFI	\$ 85,000
Y595	Connect WC Thurman White Space	Connect NY	\$ 200,000
W601	GEMx Technologies Capital	JN	\$ 12,500,000
X023	GlaxoSmithKline URB Capital	URB	\$ 900,000
Y934	NYBDC Bridge to Success	MWBDL	\$ 562,500
Y562	NYSEDC Working Capital	UCDP	\$ 100,000
Y368	Smart Cities Technology Innovation Center Capital	RCCF	\$ 2,625,000
Y396	Smart Cities Technology Innovation Center UCDP	UCDP	\$ 1,375,000
Y898	State Employee Federal Credit Union	MWBDL	\$ 562,500
W985	Tech Meadows Industrial Park URB Capital	URB	\$ 321,240
X805	The United Group of Companies Capital	RCCF	\$ 2,500,000
X833	TVC Albany Capital	EDPF	\$ 250,000
TOTAL CAPITAL		16 Projects	\$ 22,680,447

CENTRAL REGION			
Project #	Project Name	Program	Approved Assistance
Y334	3Gi CNYIP Capital	RCCF	\$ 420,000
Y249	Agrana Fruit US Capital	EDF	\$ 600,000
X454	Anheuser-Busch Capital	EDF	\$ 900,000
Y302	Bo-Mer Plastics Capital	RCCF	\$ 100,000
W845	Canastota - RESTORE III - Growing Upstate Food Hub	RESTORE NY	\$ 1,685,000
Y450	Central NY - Path Through History Working Capital	EDPF	\$ 100,000
Y431	CNY Raceway Park Soft Costs Capital	RCCF	\$ 1,000,000
X335	D&W Diesel Capital	EDF	\$ 250,000
Y277	Growing Upstate Food Hub Capital	RCCF	\$ 810,000
X998	Growing Upstate Food Hub Feasibility Study Working Capital	EDPF	\$ 43,600
X546	Inficon Capital	EDF	\$ 100,000
W340	Inns at Armory Square	UCDP	\$ 2,000,000
X372	International Controls Corporation Capital	EDF	\$ 160,000
X363	Oneida Molded Plastics Capital	EDF	\$ 100,000
X782	Owera Vineyards Capital	RCCF	\$ 994,000
Y597	Parish Broadband	CONNECT NY	\$ 1,999,584
X090	POMCO URB	URB	\$ 950,000
X179	R.B. Woodcraft Capital	EDF	\$ 80,000
Y540	Syracuse University EAP Center 13-14	EAP	\$ 74,207
Y160	US Optical Capital	RCCF	\$ 225,000
TOTAL CENTRAL REGION		20 Projects	\$ 12,591,391

Section 1: Proposals for Assistance Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

FINGER LAKES REGION			
Project #	Project Name	Program	Approved Assistance
Y376	DichroTec Thin Films Capital	EDF	\$ 250,000
Y102	Drasgow Capital	EDF	\$ 125,000
X100	EnerPath Capital	EDF	\$ 60,000
Y455	Finger Lakes - Path Through History Working Capital	EDPF	\$ 100,000
X240	GM Components Holding - GenV Capital	EDF	\$ 3,000,000
X808	High Blood Pressure Collaborative Capital	EDPF	\$ 300,000
Y544	IBERO AAL EAP Center 13-14	EAP	\$ 74,207
Y445	Integrated Medical Technologies Capital	EDF	\$ 100,000
W973	Intrinsiq URB Capital	URB	\$ 340,000
Y174	Little Theatre Film Society Capital	RCCF	\$ 180,000
Y683	Naturally Scientific US Capital	EDF	\$ 2,000,000
Y682	Naturally Scientific US NY Works	NY WORKS	\$ 6,000,000
X810	NY Battery and Energy Storage Technology Consortium Capital	RCCF	\$ 1,000,000
X557	North American Breweries Capital	EDF	\$ 85,000
W974	Omni ID USA URB Capital	URB	\$ 1,020,000
Y586	Open Access Fiber Network	CONNECT NY	\$ 2,407,049
Y107	OptiPro Systems Capital	EDF	\$ 50,000
X556	ORAFOL Precision Technology Center Capital	EDF	\$ 200,000
Y265	PathStone Capital	RCCF	\$ 2,000,000
W975	Quintel USA URB Capital	URB	\$ 1,500,000
Y098	Quorum Group Capital	EDF	\$ 150,000
Y494	RED Rochester Capital	EDPF	\$ 3,600,000
Y495	RED Rochester Capital Loan	UCDP	\$ 3,500,000
X400	Rochester Precision Optics Capital	EDF	\$ 750,000
Y253	Seneca AgBio Green Energy Park Capital	RCCF	\$ 100,000
Y221	The Geva Theatre Center Capital	RCCF	\$ 100,000
Y541	Urban League of Rochester EAP Center 13-14	EAP	\$ 74,207
Y097	Val Tech Holdings Capital	RCCF	\$ 100,000
Y621	Western NY Science, Technology and Advanced Manufacturing Park Capital	EDPF	\$ 1,725,001
Y628	Western NY Science, Technology and Advanced Manufacturing Park Capital	RCCF	\$ 129,217
Y627	Western NY Science, Technology and Advanced Manufacturing Park URB Capital	URB	\$ 1,000,000
TOTAL FINGER LAKES		31 Projects	\$ 32,019,681

Section 1: Proposals for Assistance Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

LONG ISLAND REGION			
Project #	Project Name	Program	Approved Assistance
W980	Bren-Tronics DRF Capital	DRF	\$ 500,000
W920	Calverton Enterprise Park DRF Capital	DRF	\$ 650,000
U309	Canon USA Capital	JN	\$ 3,500,000
W987	Downtown Patchogue Redevelopers DRF Capital	DRF	\$ 1,000,000
X652	ENGINE - Hofstra University Capital	RCCF	\$ 1,000,000
W787	GE Aviation Systems DRF Capital	DRF	\$ 3,650,000
X930	GSE Dynamics Capital	EDPF	\$ 250,000
Y529	Hofstra University EAP Center 13-4	EAP	\$ 74,207
Y975	La Fuerza Unida CDFI 15	CDFI	\$ 60,000
Y976	LISBAC CDFI 15	CDFI	\$ 45,000
Y422	Long Beach LDC Working Capital	UCDP	\$ 100,000
Y466	Long Island - Path Through History Working Capital	EDPF	\$ 100,000
X730	Long Island Business and Workforce Investment Working Capital	EDPF	\$ 427,535
X673	Long Island Farm Bureau Member Services Capital	EDPF	\$ 500,000
X728	Long Island STEM Hub Working Capital	EDPF	\$ 320,000
Y121	Montauk Fish Dock Capital	EDF	\$ 120,000
X190	NBTY Capital	EDF	\$ 750,000
Y122	Satur Farms Capital	EDF	\$ 120,000
X628	Smart Grid 3 Capital	RCCF	\$ 1,700,000
X871	Smart Grid 3 EDPF Capital	EDPF	\$ 350,000
Y566	SubZero JDA - RE	JDA	\$ 624,000
Y539	Suffolk County CC EAP Center 13-14	EAP	\$ 74,207
TOTAL LONG ISLAND		22 Projects	\$ 15,914,949

Section 1: Proposals for Assistance Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

MID HUDSON REGION			
Project #	Project Name	Program	Approved Assistance
Y697	Beacon Prison Redevelopment Study	UCDP	\$ 47,500
X536	Bread Alone MAP Capital	EDF	\$ 240,000
Y967	Community Capital New York CDFI 15	CDFI	\$ 80,000
X205	Continental Organics Capital	DRF	\$ 750,000
X942	Crystal Run Healthcare Capital	EDPF	\$ 1,000,000
X252	Ertel Alsop Capital	EDF	\$ 200,000
Y615	Fast Linen JDA	JDA	\$ 1,695,000
Y892	Mahopac Bank	MWBDL	\$ 562,500
X465	Mediacom Capital	EDF	\$ 1,000,000
X564	Metal Container Capital	EDF	\$ 1,000,000
Y462	Mid Hudson - Path Through History Working Capital	EDPF	\$ 100,000
Y322	Mount Saint Mary College - Dominican Center Capital	RCCF	\$ 1,000,000
Y175	New York Philharmonic UCDP Working Capital	UCDP	\$ 100,000
Y533	Orange County Chamber of Commerce EAP Center 13-14	EAP	\$ 74,207
V874	PepsiCo Bottling Division Capital	EDF	\$ 4,000,000
Y291	Rising Development Yonkers Capital	RCCF	\$ 2,000,000
W936	Walkway Over the Hudson DRF Capital	DRF	\$ 2,250,000
Y543	Women's Enterprise Development Center EAP 13-14	EAP	\$ 74,207
TOTAL MID HUDSON		18 Projects	\$ 16,173,414

MOHAWK VALLEY REGION			
Project #	Project Name	Program	Approved Assistance
X359	AMT Capital	EDF	\$ 100,000
Y525	Business Training Institute EAP Center 13-14	EAP	\$ 74,207
Y608	Cornell Cooperative Extension Oneida County Working Capital	EDPF	\$ 557,570
X812	Fort Schuyler Management Corporation - Quad C Capital	ETP	\$ 15,000,000
X617	Fulton County - Tryon Park and Incubator Center Capital	RCCF	\$ 2,000,000
Y255	Gehring Tricot Capital	EDF	\$ 200,000
Y295	Gloversville-Johnstown WWTF Capital	RCCF	\$ 1,000,000
X643	Griffiss Local Development Corporation Fiber Connectivity Hub Capital	RCCF	\$ 397,500
X642	GUSC Energy Capital	RCCF	\$ 1,500,000
Y374	HCIDA Revolving Loan Fund Capital	RCCF	\$ 50,000
X300	Mohawk Fabric Company Capital	EDF	\$ 48,000
Y454	Mohawk Valley - Path Through History Working Capital	EDPF	\$ 100,000
Y685	Mohawk Valley EDGE - Working Capital	EDPF	\$ 55,000
Y446	Northern Safety Capital	EDPF	\$ 200,000
X625	Northland Networks Capital	RCCF	\$ 703,500
Y604	Otsego County Wireless Network	CONNECT NY	\$ 558,940
X640	Town of Cobleskill - Route 7 Corridor Capital	ETP	\$ 4,100,000
TOTAL MOHAWK VALLEY		17 Projects	\$ 26,644,717

Section 1: Proposals for Assistance Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

MULTIPLE REGIONS			
Project #	Project Name	Program	Approved Assistance
Z010	AKRF - New York Rising	UCDP	\$ 300,000
Z008	Cameron - New York Rising	UCDP	\$ 900,000
Y515	MTA & Carver Federal Savings Bank	MWBDL	\$ 480,000
Z009	AECOM - New York Rising	UCDP	\$ 262,000
TOTAL MULTIPLE REGIONS		4 Projects	\$ 1,942,000

NEW YORK CITY REGION			
Project #	Project Name	Program	Approved Assistance
Z002	ACCION - CAMBA Partnership CDFI 15	CDFI	\$ 150,000
Y053	American Institute of Chemical Engineers Capital	EDF	\$ 100,000
Y964	Bethex Federal Credit Union CDFI 15	CDFI	\$ 85,000
Y965	BOC CDFI 15	CDFI	\$ 90,000
Y966	Brooklyn Cooperative Federal Credit Union CDFI 15	CDFI	\$ 80,000
Y524	Brooklyn EDC EAP Center 13-14	EAP	\$ 74,207
Y232	Brooklyn Navy Yard/Macro Sea New Lab Capital	UCDP	\$ 1,250,000
Y969	Business Center for New Americans CDFI 15	CDFI	\$ 85,000
Y526	CAMBA EAP Center 13-14	EAP	\$ 74,207
Y528	Chinatown Manpower Project EAP Center 13-14	EAP	\$ 74,207
Y972	Grameen America CDFI 15	CDFI	\$ 85,000
Y973	Greater Jamaica LDC CDFI 15	CDFI	\$ 45,000
Y347	GrowNYC Working Capital	UCDP	\$ 250,000
Y974	HCC/Harlem Entrepreneurial Fund CDFI 15	CDFI	\$ 50,000
Y530	Hunts Point EDC EAP Center 13-14	EAP	\$ 74,207
W725	jetBlue Airways Capital	JN	\$ 6,000,000
Y532	LDC of East New York EAP Center 13-14	EAP	\$ 74,207
Y977	National Federation CDCU CDFI 15	CDFI	\$ 60,000
Y453	New York City - Path Through History Working Capital	EDPF	\$ 100,000
Y385	New York Container Terminal Capital	EDF	\$ 15,000,000
X752	NYC Seedstart Working Capital	EDPF	\$ 550,000
Y979	Project Enterprise CDFI 15	CDFI	\$ 50,000
Y534	Project Enterprise EAP Center 13-14	EAP	\$ 74,207
Y535	Queens EDC EAP Center 13-14	EAP	\$ 74,207
Y980	Renaissance EDC CDFI 15	CDFI	\$ 90,000
Y536	Renaissance EDC EAP Center 13-14	EAP	\$ 74,207
Y538	South Bronx Overall EDC EAP Center 13-14	EAP	\$ 74,207
Y537	St. Nick's Alliance EAP Center 13-14	EAP	\$ 74,207
Y893	TruFund Financial Services	MWBDL	\$ 562,500
Y981	TruFund Financial Services CDFI 15	CDFI	\$ 85,000
Y591	TWC Broadband	CONNECT NY	\$ 5,258,231
Y542	Washington Heights and Inwood Development Corp EAP Center 13-14	EAP	\$ 74,207
Y982	WHIDC CDFI 15	CDFI	\$ 90,000
TOTAL NEW YORK CITY		33 Projects	\$ 30,932,008

Section 1: Proposals for Assistance Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

NORTH COUNTRY REGION			
Project #	Project Name	Program	Approved Assistance
Y522	Adirondack EDC EAP Center 13-14	EAP	\$ 74,207
Y648	Community Tourism Transformation Fund	RCCF	\$ 2,000,000
X666	DANC - Broadband Capital	RCCF	\$ 250,000
Y647	Digital Film Conversion Fund	RCCF	\$ 400,000
Y599	Essex County Broadband Service Expansion	CONNECT NY	\$ 557,000
Y734	Fort Drum Army Compatible Use Buffer - Working Capital	EDF	\$ 100,000
Y582	Long Lake Next Generation Broadband	RCCF	\$ 1,370,306
Y602	Lyon Mountain Broadband	CONNECT NY	\$ 976,426
Y163	Madison Barracks Capital	RCCF	\$ 500,000
Y451	North Country - Path Through History Working Capital	EDPF	\$ 100,000
X710	North Country Pastured Capital	RCCF	\$ 130,000
Y585	North Country Public Emergency Network	RCCF	\$ 2,222,000
Y584	North Country Telecommunications Loan Fund	RCCF	\$ 500,000
Y588	Schroon Lake Next Generation Broadband	CONNECT NY	\$ 2,162,656
X708	Slic Network Solutions Capital	RCCF	\$ 596,000
X664	St. Lawrence County IDA - Newton Falls Capital- Phase I	RCCF	\$ 1,300,000
U365	Swarovski Lighting Capital	EDF	\$ 450,000
Y731	Trudeau Institute - Working Capital	EDF	\$ 5,000,000
X018	UMS Manufacturing URB	URB	\$ 375,000
W847	Watertown - RESTORE III - Woolworth Building	RESTORE NY	\$ 2,500,000
TOTAL NORTH COUNTRY		20 Projects	\$ 21,563,595

SOUTHERN TIER REGION			
Project #	Project Name	Program	Approved Assistance
Z004	Alternatives FCU - Syracuse FCU Partnership CDFI 15	CDFI	\$ 140,000
Y523	Binghamton LDC EAP Center 13-14	EAP	\$ 74,207
Y355	Buckingham Manufacturing Capital	EDF	\$ 50,000
V376	Corning Global Innovation Center Capital	JOBS NOW	\$ 1,500,000
X598	Delaware County IDA/Amphenol Capital	EDF	\$ 750,000
Y407	MARK Project Capital	RCCF	\$ 250,000
Y587	MTC Broadband Build Out	CONNECT NY	\$ 1,800,000
Y060	National Pipe & Plastic Capital	EDPF	\$ 400,000
Y688	Primet Precision - SBTIF	SBTIF	\$ 31,755
Y296	Schuyler County - Seneca Phase 1 Capital	RCCF	\$ 150,000
Y452	Southern Tier - Path Through History Working Capital	EDPF	\$ 100,000
Y386	Sunrise Family Farms Capital	EDF	\$ 275,000
Y593	Tompkins Cayuga Ubiquitous Last Mile Coverage	CONNECT NY	\$ 2,248,000
TOTAL SOUTHERN TIER		13 Projects	\$ 7,768,962

Section 1: Proposals for Assistance Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

STATEWIDE			
Project #	Project Name	Program	Approved Assistance
Y684	At Rest Legislation Economic Impact Study Working Capital	UCDP	\$ 150,000
TOTAL STATEWIDE		1 Project	\$ 150,000

WESTERN NEW YORK REGION			
Project #	Project Name	Program	Approved Assistance
Y521	ACCORD EAP Center 13-14	EAP	\$ 74,207
X991	American Douglas Metals Capital	EDF	\$ 200,000
Y589	Bellmont North Next Generation Broadband	CONNECT NY	\$ 1,012,366
Y738	BNMC - Smart Pill Building	BRIC	\$ 8,000,000
Y501	BNMC - Tunnel Capital	RCCF	\$ 1,000,000
W895	Buffalo - RESTORE III - White's Livery Apts	RESTORE NY	\$ 100,000
Y571	Buffalo Investment Development Strategy	BRIC	\$ 999,460
X827	Buffalo Investment Strategy Working Capital	EDPF	\$ 200,000
Y970	Chautauqua Opportunities for Development CDFI 15	CDFI	\$ 40,000
X649	City of Olean - East State St. Reconstruction Capital	RCCF	\$ 500,000
Y609	Daemen College Capital	BRIC	\$ 1,983,949
Y719	Downtown Niagara Falls Implementation Plan	UCDP	\$ 125,000
Y492	Edison Welding Institute Working Capital	EDPF	\$ 316,605
Y743	Edison Welding Institute Working Capital - Phase II	EDPF	\$ 800,000
Y612	Empire Visual Effects Capital	BRIC	\$ 2,500,000
Y504	Farm Credit Capital	RCCF	\$ 1,000,000
Y365	Fort Schuyler Management Corporation/AMRI Capital	BRIC	\$ 50,000,000
Y962	Fort Schuyler Management Corporation RiverBend Park Capital	BRIC	\$ 118,000,000
X738	Hauptman Woodward Medical Capital	RCCF	\$ 500,000
Y531	IBERO/ Medaille College at Buffalo EAP Center 13-14	EAP	\$ 74,207
X684	Jacobs Institute Capital	RCCF	\$ 4,000,000
X693	Launch New York Working Capital	EDPF	\$ 93,565
X747	Niagara County Community College Culinary Institute Capital	RCCF	\$ 2,000,000
X470	Rand Machine Products Capital	EDF	\$ 150,000
Y079	Richardson Center Corporation Working Capital	EDPF	\$ 2,020,000
Y511	Robert Moses Parkway South Riverway	BRIC	\$ 1,500,000
Y078	S. Howes Capital	EDPF	\$ 150,000
Y596	Southern Tier Broadband	CONNECT NY	\$ 672,452
X886	Welded Tube Capital	EDPF	\$ 3,000,000
Y456	Western NY - Path Through History Working Capital	EDPF	\$ 100,000
Y128	Western Region Corporation Capital	RCCF	\$ 2,012,780
TOTAL WESTERN NEW YORK		31 Projects	\$ 203,124,591

Grand Total		226 Projects	\$ 391,505,755
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**SECTION 2: SUMMARY OF ASSISTANCE
EVALUATED NOT YET APPROVED
FISCAL YEAR APRIL 1, 2013 – MARCH 31, 2014**

Summary of Assistance Evaluated Not Yet Approved

Projects are broken down by Program and detail the total amount of assistance for projects that were evaluated but were not yet approved by the ESD Directors at the end of Fiscal Year April 1, 2013 – March 31, 2014. Per statute, in order to promote the development of proposed projects, references to specific participant names have been excluded. Instead, project numbers are included in order to identify the progress of specific proposals. If a recipient received more than one award or an award from more than one Program, each award is counted separately.

<u>Appropriation</u>	<u>Number of Projects</u>	<u>Amount</u>
Buffalo Regional Innovation Cluster	1	\$10,000,000
Economic Development Purposes Fund	15	\$4,245,000
Economic Transformation Program	1	\$6,000,000
Empire State Economic Development Fund	42	\$57,528,000
Jobs Now	2	\$2,000,000
Metropolitan Economic Revitalization Fund	1	\$3,400,000
Minority and Women-owned		
Business Development & Lending Program	2	\$431,000
New York Works	2	\$2,000,000
New York Works – Connect New York	1	\$1,636,346
Regional Council Capital Fund	170	\$138,673,326
Urban and Community Development Program	15	\$2,275,000
<u>Upstate Regional Blueprint Fund</u>	<u>4</u>	<u>\$6,266,000</u>
TOTAL	256	\$234,454,672

Section 2: Proposals for Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

BUFFALO REGIONAL INNOVATION CLUSTER (BRIC)		
Region	# of Projects	Proposed Assistance
Western New York	1	\$ 10,000,000
TOTAL BRIC	1	\$ 10,000,000

ECONOMIC DEVELOPMENT PURPOSES FUND (EDPF)		
Region	# of Projects	Proposed Assistance
Capital	1	\$ 125,000
Finger Lakes	2	\$ 600,000
Long Island	3	\$ 1,555,000
Mohawk Valley	3	\$ 490,000
Multiple Locations	1	\$ 100,000
New York City	1	\$ 500,000
North Country	3	\$ 375,000
Western New York	1	\$ 500,000
TOTAL EDPF	15	\$ 4,245,000

ECONOMIC TRANSFORMATION PROGRAM (ETP)		
Region	# of Projects	Proposed Assistance
New York City	1	\$ 6,000,000
TOTAL ETP	1	\$ 6,000,000

EMPIRE STATE ECONOMIC DEVELOPMENT FUND (EDF)		
Region	# of Projects	Proposed Assistance
Capital	3	\$ 1,350,000
Central	3	\$ 31,075,000
Finger Lakes	7	\$ 8,360,000
Long Island	3	\$ 1,275,000
Mid Hudson	5	\$ 4,120,000
Mohawk Valley	5	\$ 1,120,000
New York City	3	\$ 1,100,000
North Country	1	\$ 400,000
Southern Tier	4	\$ 1,930,000
Western New York	8	\$ 6,798,000
TOTAL EDF	42	\$ 57,528,000

JOBS NOW (JN)		
Region	# of Projects	Proposed Assistance
Mid Hudson	2	\$ 2,000,000
TOTAL JN	2	\$ 2,000,000

METROPOLITAN ECONOMIC REVITALIZATION FUND (MERF)		
Region	# of Projects	Proposed Assistance
New York City	1	\$ 3,400,000
TOTAL MERF	1	\$ 3,400,000

Section 2: Proposals for Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

MINORITY AND WOMEN-OWNED BUSINESS LENDING PROGRAM (MWBDL)		
Region	# of Projects	Proposed Assistance
New York City	2	\$ 431,000
TOTAL MWBDL	2	\$ 431,000

NEW YORK WORKS (NY WORKS)		
Region	# of Projects	Proposed Assistance
Central	1	\$ 500,000
Western New York	1	\$ 1,500,000
TOTAL NY WORKS	2	\$ 2,000,000

NEW YORK WORKS - CONNECT NY (CONNECT NY)		
Region	# of Projects	Proposed Assistance
New York City	1	\$ 1,636,346
TOTAL CONNECT NY	1	\$ 1,636,346

REGIONAL COUNCIL CAPITAL FUND (RCCF)		
Region	# of Projects	Proposed Assistance
Capital	7	\$ 3,825,000
Central	29	\$ 22,665,000
Finger Lakes	13	\$ 17,770,000
Long Island	24	\$ 19,890,000
Mid Hudson	14	\$ 13,941,500
Mohawk Valley	25	\$ 10,042,000
New York City	4	\$ 6,820,520
North Country	29	\$ 17,915,586
Southern Tier	14	\$ 21,900,500
Western New York	11	\$ 3,903,220
TOTAL RCCF	170	\$ 138,673,326

URBAN AND COMMUNITY DEVELOPMENT PROGRAM (UCDP)		
Region	# of Projects	Proposed Assistance
Capital	1	\$ 35,000
Finger Lakes	3	\$ 560,000
Mid Hudson	2	\$ 500,000
Mohawk Valley	3	\$ 355,000
Multiple Locations	1	\$ 65,000
New York City	3	\$ 700,000
North Country	1	\$ 20,000
Western New York	1	\$ 40,000
TOTAL UCDP	15	\$ 2,275,000

Section 2: Proposals for Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

UPSTATE REGIONAL BLUEPRINT FUND (URB)		
Region	# of Projects	Proposed Assistance
Capital	1	\$ 4,000,000
Central	2	\$ 1,066,000
Finger Lakes	1	\$ 1,200,000
TOTAL URB	4	\$ 6,266,000

Grand Total	256	\$ 234,454,672
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Section 2: Proposals For Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

CAPITAL REGION			
Project #	Program	Proposed Assistance	Date Project Initiated
Y381	RCCF	\$ 500,000	4/1/2013
Y405	RCCF	\$ 200,000	4/1/2013
Y380	RCCF	\$ 500,000	5/8/2013
Y651	EDF	\$ 100,000	8/16/2013
Y408	EDF	\$ 1,000,000	9/9/2013
Y681	EDF	\$ 250,000	10/8/2013
Y676	EDPF	\$ 125,000	10/8/2013
Y916	RCCF	\$ 550,000	2/5/2014
Y905	RCCF	\$ 75,000	2/13/2014
Y937	RCCF	\$ 1,250,000	2/13/2014
Y917	UCDP	\$ 35,000	2/13/2014
W938	URB	\$ 4,000,000	3/12/2014
Y437	RCCF	\$ 750,000	3/25/2014
TOTAL CAPITAL REGION	13 Projects	\$ 9,335,000	

Section 2: Proposals For Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

CENTRAL REGION			
Project #	Program	Proposed Assistance	Date Project Initiated
Y258	RCCF	\$ 1,200,000	4/1/2013
Y161	RCCF	\$ 250,000	4/9/2013
Y350	RCCF	\$ 680,000	4/24/2013
Y254	RCCF	\$ 500,000	6/7/2013
Y353	RCCF	\$ 2,000,000	7/3/2013
Y352	RCCF	\$ 1,000,000	7/12/2013
Y179	RCCF	\$ 550,000	8/7/2013
Y362	RCCF	\$ 1,500,000	8/9/2013
Y638	RCCF	\$ 1,000,000	8/9/2013
Y635	EDF	\$ 5,000,000	10/17/2013
Y698	NY WORKS	\$ 500,000	10/25/2013
Y227	RCCF	\$ 150,000	11/4/2013
X128	EDF	\$ 75,000	12/4/2013
Y616	RCCF	\$ 1,000,000	12/4/2013
Y764	RCCF	\$ 150,000	1/6/2014
Y766	RCCF	\$ 600,000	1/10/2014
Y765	RCCF	\$ 1,000,000	1/17/2014
Y782	RCCF	\$ 500,000	1/17/2014
Y783	RCCF	\$ 50,000	2/5/2014
Y787	RCCF	\$ 200,000	2/5/2014
Y833	RCCF	\$ 500,000	2/7/2014
Y513	RCCF	\$ 600,000	2/12/2014
Y514	URB	\$ 600,000	2/12/2014
Y779	RCCF	\$ 900,000	2/12/2014
Y923	RCCF	\$ 1,000,000	2/12/2014
Y847	RCCF	\$ 2,500,000	2/14/2014
Y933	RCCF	\$ 500,000	2/14/2014
Y789	RCCF	\$ 850,000	2/19/2014
Y750	EDF	\$ 26,000,000	2/20/2014
Y809	RCCF	\$ 200,000	3/6/2014
Y836	RCCF	\$ 1,500,000	3/6/2014
X831	RCCF	\$ 650,000	3/11/2014
Y763	RCCF	\$ 150,000	3/12/2014
Z041	URB	\$ 466,000	3/14/2014
Z011	RCCF	\$ 985,000	3/17/2014
TOTAL CENTRAL REGION	35 Projects	\$ 55,306,000	

Section 2: Proposals For Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

FINGER LAKES REGION			
Project #	Program	Proposed Assistance	Date Project Initiated
Y244	RCCF	\$ 4,000,000	4/1/2013
Y218	RCCF	\$ 5,000,000	4/17/2013
Y106	RCCF	\$ 120,000	5/9/2013
Y417	EDPF	\$ 500,000	5/30/2013
Y465	RCCF	\$ 4,000,000	6/11/2013
X340	URB	\$ 1,200,000	6/11/2013
Y473	EDF	\$ 500,000	7/22/2013
X809	RCCF	\$ 150,000	8/30/2013
Y668	EDF	\$ 60,000	9/24/2013
Y569	EDF	\$ 500,000	11/12/2013
Y722	EDF	\$ 600,000	11/21/2013
Y723	EDF	\$ 5,800,000	11/22/2013
Y803	EDF	\$ 500,000	1/15/2014
Y819	RCCF	\$ 1,000,000	1/23/2014
Y839	RCCF	\$ 250,000	1/23/2014
Y860	RCCF	\$ 250,000	1/29/2014
Y866	RCCF	\$ 500,000	1/29/2014
Y918	EDF	\$ 400,000	2/13/2014
Y844	EDPF	\$ 100,000	2/24/2014
Y954	RCCF	\$ 250,000	2/24/2014
Y952	UCDP	\$ 500,000	2/24/2014
Y838	UCDP	\$ 20,000	2/26/2014
Y991	RCCF	\$ 1,500,000	3/13/2014
Z022	RCCF	\$ 500,000	3/13/2014
Z024	RCCF	\$ 250,000	3/13/2014
Y896	UCDP	\$ 40,000	3/13/2014
TOTAL FINGER LAKES REGION	26 Projects	\$ 28,490,000	

Section 2: Proposals For Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

LONG ISLAND REGION			
Project #	Program	Proposed Assistance	Date Project Initiated
Y118	EDF	\$ 675,000	4/12/2013
Y220	EDF	\$ 500,000	4/2/2013
Y671	EDPF	\$ 1,500,000	11/15/2013
Y813	RRCF	\$ 61,375	1/29/2014
Y834	RRCF	\$ 1,000,000	1/21/2014
Y835	RRCF	\$ 1,000,000	1/21/2014
Y841	RRCF	\$ 2,000,000	1/29/2014
Y848	RRCF	\$ 105,000	1/28/2014
Y849	RRCF	\$ 1,000,000	1/28/2014
Y871	RRCF	\$ 1,000,000	2/7/2014
Y897	RRCF	\$ 2,000,000	2/7/2014
Y899	RRCF	\$ 1,340,000	2/13/2014
Y900	RRCF	\$ 94,600	1/31/2014
Y911	EDPF	\$ 22,500	1/31/2014
Y938	RCCF	\$ 50,000	2/7/2014
Y939	RRCF	\$ 2,500,000	2/21/2014
Y943	RRCF	\$ 1,000,000	2/19/2014
Y944	RRCF	\$ 150,000	2/19/2014
Y946	EDF	\$ 100,000	2/14/2014
Y959	RRCF	\$ 39,025	2/19/2014
Y984	RRCF	\$ 1,000,000	3/14/2014
Y985	RRCF	\$ 800,000	3/14/2014
Y987	RRCF	\$ 400,000	3/5/2014
Y997	RRCF	\$ 800,000	2/25/2014
Z019	RRCF	\$ 800,000	3/5/2014
Z021	RRCF	\$ 1,000,000	3/6/2014
Z038	RRCF	\$ 250,000	3/13/2014
Z045	RRCF	\$ 500,000	3/27/2014
Z052	EDPF	\$ 32,500	3/14/2014
Z058	RCCF	\$ 1,000,000	3/24/2014
TOTAL LONG ISLAND	30 Projects	\$ 22,720,000	

Section 2: Proposals For Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

MID HUDSON REGION			
Project #	Program	Proposed Assistance	Date Project Initiated
Y266	RCCF	\$ 2,000,000	6/11/2013
Y268	RCCF	\$ 3,000,000	4/12/2013
Y269	RCCF	\$ 1,000,000	4/17/2013
Y270	RCCF	\$ 1,000,000	4/15/2013
Y280	EDF	\$ 500,000	5/23/2013
Y304	EDF	\$ 120,000	4/17/2013
Y305	EDF	\$ 400,000	5/31/2013
Y312	RCCF	\$ 500,000	4/17/2013
Y323	RCCF	\$ 1,000,000	6/18/2013
Y335	UCDP	\$ 250,000	4/12/2013
Y346	RCCF	\$ 641,500	10/23/2013
Y360	RCCF	\$ 1,500,000	5/7/2013
Y372	RCCF	\$ 1,500,000	5/17/2013
Y416	RCCF	\$ 300,000	7/19/2013
Y493	EDF	\$ 2,200,000	5/17/2013
Y611	EDF	\$ 900,000	9/4/2013
Y815	RCCF	\$ 500,000	1/17/2014
Y919	JN	\$ 1,000,000	2/12/2014
Y929	RCCF	\$ 250,000	3/6/2014
Y932	UCDP	\$ 250,000	3/6/2014
Z018	JOBS NOW	\$ 1,000,000	2/26/2014
Z029	RCCF	\$ 250,000	3/14/2014
Z039	RCCF	\$ 500,000	3/24/2014
TOTAL MID HUDSON	23 Projects	\$ 20,561,500	

Section 2: Proposals For Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

MOHAWK VALLEY REGION			
Project #	Program	Proposed Assistance	Date Project Initiated
Y176	RCCF	\$ 1,775,000	5/8/2013
Y276	RCCF	\$ 50,000	7/18/2013
Y290	RCCF	\$ 75,000	8/16/2013
Y294	RCCF	\$ 307,000	7/31/2013
Y351	UCDP	\$ 225,000	4/12/2013
Y379	EDF	\$ 500,000	4/2/2013
Y387	EDF	\$ 200,000	4/4/2013
Y419	RCCF	\$ 250,000	10/1/2013
Y464	EDPF	\$ 200,000	5/8/2013
Y516	EDF	\$ 200,000	7/10/2013
Y645	EDPF	\$ 200,000	8/12/2013
Y696	EDF	\$ 100,000	12/20/2013
Y751	RCCF	\$ 200,000	1/17/2014
Y754	RCCF	\$ 250,000	1/31/2014
Y756	RCCF	\$ 100,000	3/25/2014
Y797	RCCF	\$ 60,000	2/7/2014
Y806	RCCF	\$ 400,000	1/10/2014
Y887	RCCF	\$ 150,000	2/18/2014
Y907	RCCF	\$ 700,000	1/31/2014
Y910	RCCF	\$ 250,000	2/5/2014
Y922	RCCF	\$ 500,000	2/5/2014
Y927	RCCF	\$ 400,000	2/19/2014
Y940	UCDP	\$ 55,000	3/12/2014
Y986	RCCF	\$ 700,000	3/12/2014
Y994	RCCF	\$ 30,000	3/11/2014
Y996	RCCF	\$ 180,000	2/25/2014
Z007	UCDP	\$ 75,000	3/21/2014
Z023	RCCF	\$ 60,000	3/6/2014
Z032	RCCF	\$ 25,000	3/14/2014
Z035	RCCF	\$ 150,000	3/12/2014
Z036	EDPF	\$ 90,000	3/14/2014
Z037	RCCF	\$ 1,300,000	3/12/2014
Z047	EDF	\$ 120,000	3/11/2014
Z049	RCCF	\$ 880,000	3/14/2014
Z059	RCCF	\$ 1,100,000	3/21/2014
Z060	RCCF	\$ 150,000	3/21/2014
TOTAL MOHAWK VALLEY	36 Projects	\$ 12,007,000	

Section 2: Proposals For Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

MULTIPLE LOCATIONS			
Project #	Program	Proposed Assistance	Date Project Initiated
Y777	EDPF	100,000	2/14/2014
Y960	UCDP	\$ 65,000	3/25/2014
TOTAL MULTIPLE LOCATIONS	2 Projects	\$ 165,000	

Section 2: Proposals For Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

NEW YORK CITY REGION			
Project #	Program	Proposed Assistance	Date Project Initiated
Z240	RCCF	\$ 320,520	2/1/2014
Y649	EDPF	\$ 500,000	9/4/2013
Y680	ETP	\$ 6,000,000	11/18/2013
Y236	EDF	\$ 100,000	4/8/2013
Y414	EDF	\$ 500,000	5/3/2013
Y439	EDF	\$ 500,000	9/18/2013
Y662	MERF	\$ 3,400,000	9/27/2013
Y634	MWBDL	\$ 116,000	8/8/2013
Y641	MWBDL	\$ 315,000	9/4/2013
Y605	CONNECT NY	\$ 1,636,346	1/14/2014
Y383	RCCF	\$ 500,000	8/7/2013
Y440	RCCF	\$ 4,500,000	9/18/2013
Y774	RCCF	\$ 1,500,000	3/12/2014
Y726	UCDP	\$ 250,000	11/25/2013
Y459	UCDP	\$ 400,000	5/30/2013
Y792	UCDP	\$ 50,000	2/25/2014
TOTAL NEW YORK	16 Projects	\$ 20,587,866	

Section 2: Proposals For Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

NORTH COUNTRY REGION			
Project #	Program	Proposed Assistance	Date Project Initiated
X393	EDF	\$ 400,000	8/28/2013
X689	RCCF	\$ 2,250,000	8/27/2013
Y081	EDPF	\$ 200,000	7/31/2013
Y148	RCCF	\$ 209,000	6/17/2013
Y150	RCCF	\$ 375,000	7/1/2013
Y151	RCCF	\$ 1,000,000	6/11/2013
Y152	RCCF	\$ 250,000	4/8/2013
Y155	RCCF	\$ 200,000	5/7/2013
Y156	RCCF	\$ 60,000	5/23/2013
Y157	RCCF	\$ 65,000	7/30/2013
Y158	RCCF	\$ 1,000,000	6/7/2013
Y173	RCCF	\$ 350,000	4/3/2013
Y180	RCCF	\$ 500,000	4/29/2013
Y292	RCCF	\$ 168,000	7/3/2013
Y303	RCCF	\$ 1,000,000	5/7/2013
Y320	RCCF	\$ 87,500	6/7/2013
Y425	RCCF	\$ 250,000	10/7/2013
Y549	EDPF	\$ 75,000	6/12/2013
Y617	RCCF	\$ 500,000	8/9/2013
Y618	RCCF	\$ 72,000	9/3/2013
Y619	RCCF	\$ 500,000	8/23/2013
Y620	RCCF	\$ 422,000	8/9/2013
Y623	RCCF	\$ 86,000	7/31/2013
Y630	RCCF	\$ 53,800	7/30/2013
Y631	RCCF	\$ 190,000	7/31/2013
Y632	RCCF	\$ 500,000	9/9/2013
Y633	RCCF	\$ 177,286	7/30/2013
Y829	RCCF	\$ 250,000	2/25/2014
Y830	EDPF	\$ 100,000	3/25/2014
Y831	UCDP	\$ 20,000	2/18/2014
Y854	RCCF	\$ 1,000,000	3/21/2014
Y855	RCCF	\$ 5,000,000	2/14/2014
Y863	RCCF	\$ 650,000	3/24/2014
Z285	RCCF	\$ 750,000	8/27/2013
TOTAL NORTH COUNTRY	34 Projects	\$ 18,710,586	

Section 2: Proposals For Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

SOUTHERN TIER REGION			
Project #	Program	Proposed Assistance	Date Project Initiated
Y112	RCCF	\$ 2,125,000	3/6/2014
Y393	RCCF	\$ 1,800,000	4/29/2013
Y411	RCCF	\$ 2,500,000	4/16/2013
Y412	RCCF	\$ 600,000	6/25/2013
Y420	RCCF	\$ 194,000	4/4/2013
Y421	RCCF	\$ 450,000	8/19/2013
Y438	EDF	\$ 500,000	4/16/2013
Y442	RCCF	\$ 7,000,000	7/3/2013
Y458	EDF	\$ 380,000	3/14/2014
Y472	RCCF	\$ 2,537,000	5/9/2013
Y506	EDF	\$ 300,000	10/30/2013
Y577	RCCF	\$ 344,000	7/1/2013
Y745	EDF	\$ 750,000	12/17/2013
Y908	RCCF	\$ 2,250,000	3/21/2014
Y936	RCCF	\$ 30,500	3/25/2014
Y945	RCCF	\$ 1,300,000	2/25/2014
Y950	RCCF	\$ 50,000	3/24/2014
Y963	RCCF	\$ 720,000	3/12/2014
TOTAL SOUTHERN TIER	18 Projects	\$ 23,830,500	

Section 2: Proposals For Assistance Evaluated Not Yet Approved

4/1/2013 - 3/31/2014

B. Project Detail by Region

WESTERN NEW YORK REGION			
Project #	Program	Proposed Assistance	Date Project Initiated
Y520	BRIC	\$ 10,000,000	2/18/2014
Y505	EDPF	\$ 500,000	7/3/2013
X528	EDF	\$ 250,000	10/7/2013
Y137	EDF	\$ 350,000	4/16/2013
Y139	EDF	\$ 268,000	6/26/2013
Y561	EDF	\$ 400,000	7/3/2013
Y721	EDF	\$ 300,000	11/21/2013
Y912	EDF	\$ 230,000	3/6/2014
Z015	EDF	\$ 1,000,000	3/18/2014
Y314	NY Works	\$ 1,500,000	4/17/2013
Y560	RCCF	\$ 160,000	6/18/2013
Y171	RCCF	\$ 420,000	2/5/2014
Y169	RCCF	\$ 43,220	5/15/2013
Y147	RCCF	\$ 500,000	5/15/2013
Y125	RCCF	\$ 268,000	7/3/2013
Y123	RCCF	\$ 450,000	7/19/2013
Y503	RCCF	\$ 350,000	6/18/2013
Y920	RCCF	\$ 80,000	2/5/2014
Y884	RCCF	\$ 1,000,000	3/6/2014
Y877	RCCF	\$ 132,000	3/14/2014
Y315	EDF	\$ 4,000,000	4/17/2013
Y872	UCDP	\$ 40,000	2/3/2014
Y886	RCCF	\$ 500,000	3/14/2014
TOTAL WESTERN NEW YORK	23 Projects	\$ 22,741,220	

Grand Total	256 Projects	\$ 234,454,672	
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**SECTION 3: PROPOSALS FOR ASSISTANCE EVALUATED –
NO FURTHER ACTION RECOMMENDED
FISCAL YEAR APRIL 1, 2013 – MARCH 31, 2014**

Projects are broken down by Program and fall into the following two categories: 1) the company or organization accepted ESD’s offer of assistance, but it did not meet requirements for ESD Directors’ approval; or 2) assistance was approved by the ESD Directors, but the company or organization did not meet the requirements for the disbursement of funds. There were no projects in the second category during Fiscal Year 2013-14.

Appropriation	Number of Projects	Amount
Economic Development Purposes Fund	3	\$800,000
Empire State Economic Development Fund	3	\$1,885,000
Job Development Authority	1	\$129,960
Minority and Women-owned Business Development Lending Program	1	\$50,000
Regional Council Capital Fund	3	\$450,000
Upstate Regional Blueprint Fund	1	\$500,000
TOTAL	12	\$3,814,960

Section 3. Proposals for Assistance Evaluated - No Further Action Recommended

4/1/2013 - 3/31/2014

Summary by Program and Region

Accepted Offer of Assistance But Did Not Meet Requirements For Approval

ECONOMIC DEVELOPMENT PURPOSES FUND (EDPF)		
Region	# of Projects	Requested Assistance
Western New York	2	\$ 300,000
Central	1	\$ 500,000
TOTAL EDPF	3	\$ 800,000

EMPIRE STATE ECONOMIC DEVELOPMENT FUND (EDF)		
Region	# of Projects	Requested Assistance
Southern Tier	1	\$ 350,000
Western New York	1	\$ 1,250,000
Mohawk Valley	1	\$ 285,000
TOTAL EDF	3	\$ 1,885,000

JOB DEVELOPMENT AUTHORITY (JDA)		
Region	# of Projects	Requested Assistance
Long Island	1	\$ 129,960
TOTAL JDA	1	\$ 129,960

MINORITY AND WOMEN-OWNED BUSINESS DEVELOPMENT LENDING PROGRAM (MWBDL)		
Region	# of Projects	Requested Assistance
Finger Lakes	1	\$ 50,000
TOTAL MWBDL	1	\$ 50,000

REGIONAL COUNCIL CAPITAL FUND (RCCF)		
Region	# of Projects	Requested Assistance
Mohawk Valley	3	\$ 450,000
TOTAL RCCF	3	\$ 450,000

UPSTATE REGIONAL BLUEPRINT FUND (URB)		
Region	# of Projects	Requested Assistance
Finger Lakes	1	\$ 500,000
TOTAL URB	1	\$ 500,000

Grand Total	12	\$ 3,814,960
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