

DIVISION OF MANAGEMENT & BUDGET SERVICES

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Mr. Peter D. Lopez
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U.S. Environmental Protection Agency
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DEC 26 2019

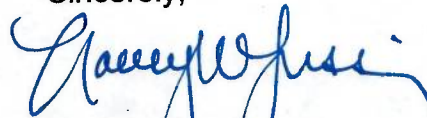
Dear Mr. Lopez:

We are pleased to submit the Federal Fiscal Year (FFY) 2019 Annual Report for the New York State Clean Water State Revolving Fund (CWSRF) as required by 40 CFR 35.3165(a) and Section IV of the Operating Agreement dated May 26, 2017 between the New York State Department of Environmental Conservation (NYSDEC) and the United States Environmental Protection Agency (EPA) Region II.

This report covers CWSRF program activities and financings closed between October 1, 2018 and September 30, 2019.

If you have any questions or desire additional information, please contact William Brizzell, P.E. of the New York State Environmental Facilities Corporation at (518) 402-7396.

Sincerely,



Nancy Lussier
Director of Management and Budget

Enclosure

nl/wb/nm

c: Ms. Maureen Coleman, Acting President and CEO, EFC
Mr. Stephen Vida, P.E., USEPA Region II WPB

*NEW YORK STATE
DEPARTMENT OF ENVIRONMENTAL CONSERVATION
& ENVIRONMENTAL FACILITIES CORPORATION*

**NEW YORK STATE
CLEAN WATER STATE REVOLVING FUND
for
WATER POLLUTION CONTROL**

**FFY 2019
ANNUAL REPORT**

**Prepared by the New York State
Department of Environmental Conservation
and Environmental Facilities Corporation
for EPA Region II**

December 2019

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I. Introduction

The New York State Environmental Facilities Corporation (EFC) and the New York State Department of Environmental Conservation (DEC) administer the Clean Water State Revolving Fund (CWSRF) for New York State. This Annual Report for the Federal Fiscal Year (FFY) ending September 30, 2019 is submitted to the Environmental Protection Agency (EPA) in conformance with EPA rules and regulations and federal grant requirements. The report describes how EFC and DEC met the goals and objectives identified in the 2019 Intended Use Plan (IUP). Also, the report addresses the use of available resources and the financial status of New York State's Clean Water State Revolving Fund (CWSRF).

II. Program Summary

Projects Financed

New York State provided \$1.41 billion in financial assistance to 148 projects through the CWSRF program during the 2019 IUP year, as summarized in Table 1 below. The short-term financings, long-term financings, and Green Innovation Grant Program (GIGP) grants are listed in Exhibit 1. The exhibit includes project descriptions and assistance amounts and types.

Table 1
Summary of FFY 2019 Financings

	Financing Amount (\$ millions)
Short-Term Financings	719.9
Long-Term Direct Financings	102.8
Long-Term Leveraged Financings	587.0
Green Innovation Grant Program	3.6
Total	1,413.3

The financings above include \$339.3 million in new CWSRF equity for FFY 2019. In addition to 2019 CWSRF equity, the \$1.41 billion in financings include \$235.8 million in new market-rate financings and \$838.1 million from short-term financings that closed prior to FFY 2019. Most of EFC's long-term financings are conversions of short-term financings closed in previous years. In these conversions there is little or no new equity used.

In addition to the CWSRF financings above, EFC executed agreements that included \$110.2 million in grants to municipalities for water quality infrastructure projects through New York State's Water Infrastructure Improvement Act (WIIA) grants program. The addition of these grants raises EFC's financing total for the year to \$1.52 billion. The WIIA grants were funded solely with state funds and are not detailed in this report. Of the 70 projects that closed on WIIA grants in FFY 2019, 58 funded their remaining project costs with CWSRF financing.

The 148 projects funded during FFY 2019 are broken down as follows:

- 87 short-term financings;
- 53 long-term financings; and
- 8 grants through the GIGP.

The majority of EFC's financings are for projects defined under Section 212 of the Clean Water Act (CWA). However, during FFY 2019 ten CWA Section 319 Nonpoint Source projects received financial assistance totaling \$11.8 million. Two of the Nonpoint Source projects were funded through the base CWSRF program, and the remainder through the GIGP.

New York State did not transfer any SRF funds between the New York State Drinking Water State Revolving Fund (DWSRF) and CWSRF programs during 2019.

Intended Use Plan (IUP) and Amendments

In March 2018, EFC requested updated project information from recipients for all CWSRF projects listed on the IUP and created project lists using this updated project information.

The 45-day public comment period for the Draft FFY 2019 IUP began on July 11, 2018 with the publishing of notices in the Environmental Notice Bulletin (ENB) and State Register. A webinar discussing the Draft IUP was held on August 1, 2018 with approximately 127 persons participating in the webinar. A public hearing was conducted on August 9, 2018. There were no attendees and no official comments submitted at the public hearing. Written comments on the Draft 2019 IUP were accepted until August 27, 2019. No substantive comments were received during the comment period. The Final 2019 IUP was published on EFC's website on December 19, 2018 and noticed in the ENB on December 26, 2018.

An additional 15-day public comment period was held after the publication of the Final IUP to provide for public comments on projects added to the IUP after publication of the Draft IUP.

All projects financed during the 2019 IUP year were included in the 2019 IUP.

There was one Amendment to the 2019 IUP to address three topics:

- 1) Green Innovation Grant Program (GIGP) Round 10 projects,
- 2) Smart Growth review of GIGP Round 10 projects, and
- 3) Notification of Minority- and Women-Owned Business Enterprise (MWBE) program requirements.

Capitalization Grant

DEC submitted the 2019 CWSRF Capitalization Grant application on September 25, 2018. Following enactment of the 2019 federal budget, EPA required that certain portions of the application be revised to reflect the actual amount of the Capitalization Grant. The revised pages were submitted to EPA on May 23, 2019. DEC received the 2019 CWSRF Capitalization Grant on June 28, 2019 with an Award Date of June 14, 2019.

Engineering Planning Grants

Up to \$3 million was made available in the 2019 IUP from EFC's administrative fee account for the Engineering Planning Grant (EPG) program administered collaboratively between EFC and DEC. This funding was offered through New York's Consolidated Funding Application starting May 1, 2019. Applications were due July 26, 2019 and awards were announced on December 19, 2019. \$3.24 Million was awarded to 80 projects. The additional \$240,000 over what was made available in 2019 is funding remaining from previous years due to project costs being lower than originally anticipated.

During FFY 2019, EFC executed 83 EPG grant agreements totaling \$3.32 million. This successful program funds the preparation of an engineering report and has allowed many municipalities to initiate planning of their water quality projects. Communities that receive funding for their engineering reports through the EPG program are listed on the Annual List to position them for financial assistance through the CWSRF program.

Program Details

A. Financial Status

1. Leveraged Financings

Two bond sales 2018 B and 2019 A provided \$568,579,879 in leveraged financing for the funding of new municipal water quality improvement and protection projects and the refinancing of existing debt.

The 2018 B bond sale was on behalf of the New York City Municipal Water Finance Authority (NYCMWFAW) and was used to fund New York City projects. Bond proceeds and program equity funded the projects, refinancing previously issued EFC short-term debt.

The 2019 A bond sale funded projects for various communities throughout New York State. Bond proceeds from Series 2019 A and program equity funded new money projects and refinancings on behalf of 14 recipients. Bond repayments for Series 2019 A are supported by cashflows from a pool of loans funded with bond proceeds and program equity.

The net interest rate for local government recipients (i.e., after subsidy and program costs have been deducted) is presented in Table 2.

Table 2
FFY 2018 Bond Sales

Issue	Financing Amounts	Bond Amounts	Net of Subsidy Interest Rate	Moody's/S&P/Fitch Ratings
2018 B	\$305,008,000	\$143,305,000	1.95%	Aaa/AAA/AAA
2019 A	\$263,571,879	\$117,210,000	1.76%	Aaa/AAA/AAA

Revenues and Expenses - A statement of revenues, expenses and changes in net position is found in Exhibit 8.

2. Investment Activities

All CWSRF related transactions are recorded in EFC's financial statements.

- a. Interest Income: See Exhibit 8, Statement of Revenues, Expenses and Changes in Net position.
- b. Investment Policy: EFC's Investment Guidelines are reviewed and approved annually by the EFC Board of Directors. The Investment Guidelines were last approved in June 2019.

The accounts of the CWSRF are subject to investment limitations as set forth in Section 1285-j(6) of the New York State Public Authorities Law (PAL) and provisions in Section 2925 of the PAL as appropriate. EFC's Board-approved Investment Guidelines adhere to the limitations imposed by statute and the New York State Comptroller's Investment Guidelines for Public Authorities, and include further refinements reflective of prudent fiscal management.

B. Conditions of the Capitalization Grants

The 2019 Capitalization Grant agreement included five Administrative Conditions and 16 Programmatic Conditions. EFC and DEC are also subject to 40 EPA General Terms and Conditions included by reference. The 2019 Capitalization Grant conditions have been met as described below.

The required assurances and certifications in the IUP have been met or complied with and require no further discussion.

In addition to the 2019 Capitalization Grant, EFC administered projects under the DRAA Capitalization Grant during the 2019 IUP year. Conditions specific to the DRAA Capitalization Grant are discussed following the 2019 Capitalization Grant conditions.

1. EPA General Terms and Conditions

EFC and DEC acknowledge and have met all requirements of the General Terms and Conditions listed below. Regarding No. 14 (Audit Requirements), the single audit report for the period ending March 31, 2019, prepared in accordance with Title 2 U.S. Code of Federal Regulations, Part 200, was submitted to EPA on December 27, 2019.

1. Introduction
2. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
3. Reimbursement Limitation
4. Automated Standard Application Payments (ASAP) and Proper Payment Draw Down
5. Consultant Cap
6. Establishing and Managing Subawards
7. Management Fees
8. Federal Employee Costs
9. Foreign Travel
10. The Fly America Act and Foreign Travel
11. Central Contractor Registration/System for Award Management Universal Identifier Requirements
12. Reporting Subawards and Executive Compensation
13. Recipient Integrity and Performance Matters
14. Federal Financial Reporting (FFR)
15. Indirect Cost Rate Agreements
16. Audit Requirements
17. Closeout Requirements
18. Suspension and Debarment

19. Representation by Corporations Regarding Delinquent Tax Liability or a Felony Conviction under any Federal Law
20. Disclosing Conflict of Interests
21. Transfer of Funds
22. Sufficient Progress
23. Copyrighted Material and Data
24. Patents and Inventions
25. Acknowledgement Requirements for Non-ORD Assistance Agreements
26. Electronic and Information Technology Accessibility
27. Human Subjects
28. Animal Subjects
29. Light Refreshments and/or Meals
30. Tangible Personal Property
31. Dual Use Research of Concern (DURC)
32. Research Misconduct
33. Scientific Integrity Terms and Conditions
34. Civil Rights Obligations
35. Drug-Free Workplace
36. Hotel-Motel Fire Safety
37. Lobbying Restrictions
38. Recycled Paper
39. Resource Conservation and Recovery Act
40. Trafficking in Persons

2. Administrative Conditions

A. Utilization of Small, Minority and Women's Business Enterprises (MWBE)

The State's CWSRF MWBE program had a successful year in FFY 2019. EFC offers a Bid Packet to applicants and service providers to provide pertinent information about the CWSRF program, including essential MWBE information. The Bid Packet contains model contract language for municipalities that may be used to satisfy the program requirements and should be included in all construction contracts, engineering agreements, and other project contracts.

In compliance with the state requirements, EFC posted a list of all accepted MWBE Utilization Plans on EFC's website and updated it on a quarterly basis.

EFC continued ongoing outreach efforts to municipal officials, project Minority Business Officers (MBOs), and consultants. This outreach helps educate CWSRF recipients about their obligations under the CWSRF, and also develops the capacity of the MWBE community to support CWSRF projects.

Table 3 presents a summary of payments to MBEs and WBEs who worked on CWSRF projects that received payments in FFY 2019. Payments to MWBEs were 42% of the Capitalization Grant amount and 19% of total CWSRF disbursements.

Table 3
MBE/WBE Utilization for FFY 2019

Quarter	Total Disbursements ⁽¹⁾	Payments (MBE) ⁽²⁾	Payments (WBE) ⁽²⁾
First	\$ 134,883,714	\$ 5,982,612	\$ 10,586,174
Second	\$ 154,843,911	\$ 4,312,242	\$ 4,711,548
Third	\$ 93,553,001	\$ 15,995,372	\$ 22,153,665
Fourth	\$ 102,320,952	\$ 10,272,251	\$ 15,296,604
Totals	\$ 485,601,579	36,562,478	\$ 52,747,991

¹ Disbursements for CWSRF Projects in FFY 2019.

² Based on payment to MWBE sub-contracts. The annual payment may be different from payments reported quarterly due to late submissions from sub-recipients.

- B. Federal Financial Reports (FFR) and Closeout Instructions – DEC submitted FFRs as follows:

The Final FFR was submitted on September 25, 2019 for the FFY 2018 Capitalization Grant (CS-36000118) showing Federal expenditures of \$177,159,000.

Both interim FFRs were submitted on October 4, 2019 for two Capitalization Grants:

- i. FFY 2019 (CS-36000119) showing federal expenditures of \$0, and
 - ii. DRAA (3W36000314) showing Federal expenditures of \$85,647,336.38.
- C. Extension of Project/Budget Period Expiration Date – Typically, EFC draws the grant down prior to the end of the budget period.
- D. Indirect Costs – EFC will only recover indirect costs against grants in accordance with its approved negotiated indirect cost agreement with EPA.
- E. Pre-Award Costs – All costs charged during the project/budget period were contained in the approved application.

3. Programmatic Conditions

- A. Automatic Standard Application for Payments (ASAP) – Payments have been accepted in accordance with this condition.
- B. Cash Draw Requirements – DEC has complied with the requirements of this condition. A summary of Capitalization Grant draws is included below in Table 4.

Table 4
Capitalization Grants Draws

Base Program:

Date	Federal Amount	State Match	Total
1/4/2019	\$175,065,667	\$35,013,133	\$210,078,800
3/18/2019	2,093,333	418,667	2,512,000
Total	\$177,159,000	\$35,431,800	\$212,590,800

DRAA:

Date	Federal Amount	State Match	Total
12/13/2018	\$3,076,052	\$615,210	\$3,691,263
1/25/2019	5,237,868	1,047,574	\$6,285,442
3/18/2019	17,735,901	3,547,180	\$21,283,082
7/1/2019	10,174,025	2,034,805	\$12,208,830
9/27/2019	10,014,266	2,002,853	\$12,017,119
Total	\$46,238,113	\$9,247,623	\$55,485,736

- C. General Administrative Requirements – DEC and EFC administer the program in accordance with this condition.
- D. State Match – State match deposits were made on or before the date of each cash draw. State Match amounts are shown in Table 4 above.
- E. Intended Use Plan and Operating Agreement – No response is required to this condition, as it serves only to incorporate the FFY 2019 IUP and the Operating Agreement in the Capitalization Grant agreement.
- F. Clean Water National Information Management System (CWNIMS) – EFC annually provides information required for the CWNIMS report. The data for the CWNIMS year ending June 30, 2019 was submitted on August 29, 2019.
- G. Environmental Benefits Reporting – EFC generally enters projects into the CWSRF Benefits Reporting database (CBR) within weeks of executing the Project Finance or Grant Agreement. Additional modifications to CBR for Additional Subsidization and Green Project Reserve are entered as updated information becomes available.

- H. Annual Reporting – This Annual Report complies with the requirements of 2 CFR 200.328 and 40 CFR 35.3165.

EFC monitors the recipients of subawards through the following:

- i. Review of financial and programmatic reports required by EFC;
- ii. For those recipients required to prepare a Single Audit, review of the Audit to determine if any findings are material to the CWSRF program or EFC;
- iii. Conduct of on-site reviews of a project's progress; and
- iv. Requiring certification that projects have been completed in accordance with the approved design.

In the event that the recipient fails to adequately address any issues identified through these monitoring efforts, EFC has remedies available as described in the Project Finance or Grant Agreement.

- I. Program Income From Administrative Fees – EFC projected administrative fee income and uses in the 2019 IUP. As of September 30, 2019, administrative fee income earned during FFY 2019 was approximately \$17.4 million, consisting of \$0.4 million in program income earned during the grant period, \$8.8 million in program income earned after the grant period, and \$8.2 million in non-program income. EFC used Administrative Fee income during FFY 2019 towards administrative costs in the amount of \$21.3 million incurred by EFC to administer the CWSRF, a cost recovery assessment in the amount of \$5.1 million to New York State, \$2.8 million for engineering planning grants, \$0.2 million to the Center for Clean Water Technology, and \$3.5 million in financial assistance to the NYS Department of Environmental Conservation for water quality activities.
- J. Signage – EFC complies with this requirement by announcing project financings through the use of press releases or DEC's newsletter "Making Waves."
- K. Green Project Reserve – as of September 30, 2019, EFC had met the GPR goal for all Capitalization Grants through FFY 2017. EFC expects to meet the FFY 2018 GPR requirement during FFY 2020. Exhibit 13 shows the GPR projects and amounts for the 2017 and 2018 Capitalization Grants.

- L. Additional Subsidy – EFC plans to offer 10% of the FFY 2019 Capitalization Grant as grant. A portion of the funding was awarded to GIGP projects in FFY 2019. The remaining grant will be allocated during FFY 2020.
 - M. Geospatial Data Standards – Maps published on EFC’s website comply with this condition.
 - N. State Grant Cybersecurity – EFC has no connections with EPA databases other than for manual entry of data into the CBR database. EFC is in compliance with this condition.
 - O. American Iron and Steel –This requirement is included in the Project Finance Agreement and EFC’s Bid Packet, as well as applicable Grant Agreements. The Bid Packet contains model language to be included in all construction contracts, ensuring that the requirement is satisfied for all recipients. EFC reviews documentation from recipients to verify compliance with this requirement.
 - P. Wage Rate Requirements – the requirement for construction contractors to pay Davis-Bacon wage rates is included in EFC’s Bid Packet. The Bid Packet contains model language to be included in all construction contracts. Additionally, EFC reviews documentation from recipients to verify compliance with this requirement.
4. Disaster Relief Appropriations Act of 2013 (DRAA) Capitalization Grant Conditions

During 2019, EFC continued to administer the Storm Mitigation Loan Program (SMLP) using funds from DRAA. The DRAA Capitalization Grant includes certain Programmatic Conditions that are unique to DRAA:

- A. Continuing Requirements (g) – This condition does not require specific compliance. The condition sets forth that the DRAA requirements remain in place, unless such requirements are inconsistent with DRAA.
- B. Deadline for Expenditures (m) – EFC has set program requirements for SMLP to meet the seven year project period set forth in the DRAA Capitalization Grant. EFC continuously works with communities receiving DRAA funds to ensure compliance with this requirement.
- C. Additional Subsidization (n) – The SMLP requirements described in Amendment 2 to the 2014 IUP show the use of the full 30% additional subsidization authorization.

- D. Transfer of Funds (o) – EFC is aware of the ability to transfer DRAA funds between the CWSRF and DWSRF programs. No transfer was contemplated for or made during FFY 2019.
- E. Eligible Entities/Sub-Recipients (p) – The SMLP requirements set forth in Amendment 2 to the 2013 IUP and Amendment 2 to the 2014 IUP limited eligibility to projects meeting this condition.
- F. Use of FEMA Flood Hazard Data (q) – EFC and DEC have investigated the use of FEMA data, along with other available data on the effects of Hurricane Sandy, in determining elevation standards. These standards are enumerated in Amendment 2 to the 2013 IUP.
- G. Civil Rights Obligations (r) – Standard EFC and DEC policies meet the requirements of this condition.

C. State Environmental Review Process (SERP)

During the 2019 IUP period, DEC conducted environmental reviews on all CWSRF projects in accordance with the SERP approved by EPA Region II as Attachment 8 to the Operating Agreement. SERP reviews were certified by the DEC Regional Permit Administrators for all projects. The SERP type for each project financed appears in Exhibit 1.

D. Long-Term Binding Commitments

CWSRF regulations require that binding commitments of 120 percent of each Capitalization Grant payment must be made within one year of receipt of payment. Through the end of FFY 2018, the Capitalization Grants received from EPA since 1990 totaled \$5.195 billion. With a one-year lag, the binding commitment on September 30, 2018 must equal or exceed \$6.234 billion. The actual commitments for long-term financing, additional subsidization, and administration totaled \$15.465 billion or 248 percent of the required binding commitment amount (see Exhibit 4).

E. Federal Cross-Cutter Requirements

All equivalency projects were reported to fsrs.gov in compliance with the Federal Funding Accountability and Transparency Act (FFATA). Equivalency projects are identified as such in EPA's CBR database. New York State has reported 18 projects to meet this condition. Fifteen of the projects are for New York City. Information related to these projects was uploaded to fsrs.gov on July 25, 2019 and September 16, 2019.

III. Goals and Accomplishments

A. Short-Term Goals and Accomplishments

DEC and EFC described seven short-term goals in the IUP to be implemented in the 2019 IUP period. Progress made toward successful attainment of these goals is noted below:

- 1. Commit FFY 2019 funds to projects that are in construction, ready to proceed with construction, or otherwise positioned to have funds disbursed quickly and steadily and advance both the environmental and economic goals of the State and the CWSRF to fund the highest priority water quality improvements as soon as needs arise.**

The DEC Project Priority System (Scoring System) (6 NYCRR Part 649) requires funds to be used for the highest scoring water quality projects. Under the Scoring System, the highest scoring projects are those addressing a significant or critical source of pollution. Approximately 76% of funding provided in FFY 2019 was for projects addressing a critical source of pollution. When the funds available are insufficient to provide subsidy to all projects, the highest priority projects receive subsidized financing. In FFY 2019, market-rate financing was made available to all projects for which subsidy was not available.

EFC works with applicants to ensure that projects are advancing and will continue to proceed after a financing is closed. Financings generally are not closed unless there are costs that can be disbursed upon closing. EFC continues to make efforts to time the execution of short-term financings to closely match the needs of the community.

- 2. Administer the CWSRF in conjunction with State grant programs in a manner that encourages communities to advance water quality projects to construction.**

EFC closed 52 short-term and 6 long-term financings in FFY 2019 that coupled CWSRF financial assistance with state WIIA or IMG grant funding. These programs continue to be successful in encouraging communities new to the SRF to undertake important water quality programs.

- 3. Work with Storm Mitigation Loan Program (“SMLP”) recipients to move projects forward expeditiously. SMLP recipients were funded from the Disaster Relief Appropriations Act, 2013 (DRAA).**

EFC administers SMLP to implement the goals of the DRAA. During FFY 2019 EFC converted two SMLP projects to long-term financings. These projects are for Nassau County and the Town of Orangetown. EFC continued to work with other communities to complete their SMLP projects.

- 4. Incorporate sea level rise projections and the related regulations and guidance into EFC’s programs in accordance with the NYS Community Risk and Resiliency Act.**

The Act was signed into law by the Governor on September 21, 2014. The Act requires DEC and the New York State Department of State to develop guidance for local governments and New York State agencies. In June 2018, DEC issued draft Flood Risk Management guidance for public comment that sets forth measures to mitigate risk to public infrastructure due to sea-level rise, storm surge and flooding. EFC continued to support this effort and provided assistance as needed.

- 5. Continue to improve the public’s access to information on EFC’s website.**

EFC continued to post important documents on its website for use by municipalities, their consultants, and the public. EFC is presently working on revising the website to be more user friendly.

B. Long-Term Goals and Accomplishments

In the 2019 IUP, DEC and EFC identified 8 long-term goals for the CWSRF program. Progress was made toward meeting each of the goals as noted below:

- 1. Enhance the program to continue providing reduced interest rate financings and grants that encourage the repair, replacement, and upgrade of existing infrastructure and the construction of new point source, nonpoint source and estuary projects in order to improve, maintain, or protect water quality.**

In FFY 2019 EFC provided \$1.41 billion in financial assistance to 148 projects through the CWSRF. The Scoring System is structured to provide points to projects serving existing infrastructure, thus incentivizing those projects. Over 96% of the funding provided in FFY 2019 assisted projects with existing infrastructure.

- 2. Administer the CWSRF in a manner that will ensure its revolving nature in perpetuity, including managing the funds to expand financial resources and benefits, and assisting applicants in developing sustainable projects and systems.**

The schedule of repayment on the recipient bonds provides sufficient cash flow to meet the repayment schedule for the EFC bonds. As financings amortize, any principal payments related to amounts funded with SRF equity are recycled to the unallocated equity and become available to support additional eligible projects.

Strict safeguards exist to ensure the CWSRF funds will remain secure and available for future financing. CWSRF funds are invested pursuant to EFC's Board-approved Investment Guidelines which adhere to the limitations imposed by statute and the New York State Comptroller's Investment Guidelines for Public Authorities. EFC invests all CWSRF funds consistent with prudent cash and investment practices, while seeking to minimize capital risk and maximize total returns. This is undertaken to ensure that EFC can meet annual IUP obligations as well as future CWSRF program commitments.

- 3. Provide financial assistance for projects that will protect groundwater, consistent with DEC's goal to prevent pollution and protect the State's groundwaters as a source of potable water supply.**

During FFY 2019, several projects funded by EFC had either a main purpose or component in protecting groundwater. Most of these projects seek to protect groundwater from pollution by replacing septic systems in various communities with centralized collection systems. A total of 10 projects with financings totaling \$70.1 million were closed in the 2019 IUP period for projects that included collection systems.

- 4. Help recipients achieve and maintain compliance with Federal and State water quality standards and enforceable requirements of the Clean Water Act for the protection and enhancement of New York's water resources.**

EFC provided \$1.41 billion in financial assistance in FFY 2019 through the CWSRF to help communities achieve and maintain compliance with water quality standards. Of these financings, \$1.15 billion (81%) was for projects being undertaken to meet an enforcement instrument such as a Consent Order or SPDES permit compliance schedule.

- 5. Promote the innovative use of Green Infrastructure to effectively manage stormwater and encourage the incorporation of green infrastructure practices into traditional, gray infrastructure projects.**

EFC encourages communities to incorporate green infrastructure components into base CWSRF projects and evaluates green infrastructure alternatives in engineering reports. EFC also encourages the use of green infrastructure through the GIGP and ISC programs. EFC targeted a portion of the FFY 2019 additional subsidization allocation to both of these programs. EFC provides grant funding through these programs in an effort to encourage communities and other entities to use green infrastructure practices to manage stormwater and to promote public education of the benefits of green practices.

6. Assist municipalities in the development of consistent engineering and feasibility reports.

EFC and DEC's successful EPG program was continued in FFY 2019. This program provides grants to communities to help them define their water quality issues through an engineering report. The engineering report must be prepared in accordance with EFC's Engineering Report Outline.

Upon establishment of the Engineering Report Outline as a statewide standard between EFC and DEC in FFY 2018, EFC and DEC continued to work collaboratively to update the Outline in FFY 2019 to accommodate the needs of the two agencies. The new revisions took effect for FFY 2020.

7. Using knowledge gained from the Asset Management Pilot Program, encourage communities to develop asset management plans for their water quality assets.

During FFY 2019, the consulting firm continued working with the 10 selected municipalities across New York State to develop Asset Management Plans. The goal of the effort is to create Asset Management Plan templates that will be scalable to various communities' needs and to identify sources of funds for the preparation of Asset Management Plans.

8. Continue to identify meaningful opportunities for participation by minority- and women-owned business enterprises in projects that are supported with CWSRF financial assistance.

Projects built with CWSRF funds are required to comply with New York State Minority and/or Women-owned Business Enterprises (MWBE) regulations and federal Disadvantaged Business Enterprise (DBE) regulations. EFC creates meaningful opportunities for MWBEs by: continuing to develop an MWBE program that meets state requirements as well as DBE requirements for CWSRF projects; providing guidance and forms necessary to comply with the requirements; coordinating with recipients to review contractors' good faith efforts to solicit participation from MWBEs; and reinforcing the requirements when good faith efforts are not adequate.

IV. Program Improvements and Changes

EFC continually works to improve the CWSRF program and uses the annual IUP to announce and seek comments on any proposed modifications to the program.

EFC is undertaking a multi-year project to overhaul its internal database. The effort will join the current suite of databases into one database, resulting in greater efficiency for EFC staff.

EXHIBIT 1: CWSRF PROJECTS RECEIVING FINANCIAL ASSISTANCE IN FFY 2019*

Project Number	Applicant Name	Project Description	Loan Date	Loan Type (1)	Total CWSRF Funding	Net equity from 2019 IUP	Net Market-Rate Financing	CWSRF Additional Subsidy	Amount Funded with Pre-2019 Funds	Effect Int.(2)	SERP Type (3)
C6-6115-01-00	ADAMS, VILLAGE OF	Design and construction of upgrades to the Village of Adams collection system and wastewater treatment facility to protect water quality in Sandy Creek.	3/14/2019	SD	\$3,394,250	\$0	\$3,394,250	\$0	\$0	0	2CA
C9-6638-06-00	AMHERST, TOWN OF	The Town of Amherst will construct a bioretention area, porous roller hockey rink, and a porous parking lot to attenuate flooding in Sattler Dellwood Park.	8/14/2019	G	\$432,000	\$432,000	\$0	\$432,000	\$0	0	2CA
C4-5442-08-00	AMSTERDAM, CITY OF	Planning, design, and construction of the replacement of sanitary sewers to reduce infiltration and inflow and maintain water quality in the Mohawk River.	2/21/2019	SD	\$5,450,000	\$1,700,000	\$0	\$0	\$3,750,000	0	2CA
C4-5442-09-00	AMSTERDAM, CITY OF	Planning, design, and construction of rehabilitation of sanitary sewers (lining/replacement) and manholes to reduce infiltration and inflow and replacement of primary scum pumps, waste sludge pumps, thickened sludge pumps, and aeration blowers to improve reliability and energy efficiency at the WWTP and maintain water quality in the Mohawk River.	11/29/2018	SD	\$2,700,000	\$2,700,000	\$0	\$0	\$0	0	2CA
C9-6678-03-00	ARCADE, VILLAGE OF	Planning, design and construction of various improvements needed to upgrade the treatment process to protect to water quality in Cattaraugus Creek.	4/11/2019	LD	\$3,947,067	-\$140,245	\$0	\$0	\$4,087,312	0	2CA
C9-6678-04-01	ARCADE, VILLAGE OF	I/I removal -Phase 2A to correct defective sewers to maintain water quality in Cattaraugus Creek.	4/11/2019	LD	\$199,171	\$199,171	\$0	\$0	\$0	0	2D
C9-6678-04-02	ARCADE, VILLAGE OF	Phase 2B of I/I removal to correct defective sewers to maintain water quality in Cattaraugus Creek.	9/19/2019	SD	\$790,500	\$790,500	\$0	\$0	\$0	0	2D
C8-6416-02-00	BATH, VILLAGE OF	Financing planning, design and construction of facilities required to reduce the amount of nitrogen and phosphorus in the treatment plant effluent in compliance with the Chesapeake Bay TMDL limits and improve water quality in the Cohocton River and construct new anaerobic digesters.	11/29/2018	SD	\$9,280,092	-\$2,965,908	\$0	\$0	\$12,246,000	0	2CA
C3-7356-02-01	BETHEL, TOWN OF	Planning, design, and construction of sewer line replacement and rehabilitation in the Kauneonga Lake Sewer District to maintain the water quality of White Lake Brook.	6/6/2019	SD	\$2,572,500	-\$857,500	\$0	\$0	\$3,430,000	0	2D
C7-6201-03-08	BINGHAMTON / JOHNSON CITY	Design and construction of a project to rebuild components of the sewage treatment plant to improve the water quality in the Susquehanna and Chenango Rivers.	6/13/2019	LD	\$15,000,000	\$0	\$0	\$0	\$15,000,000	0	2CA
C7-6201-03-05	BINGHAMTON / JOHNSON CITY	Construction of the solids handling processes at the sewage treatment plant to improve the water quality in the Susquehanna and Chenango Rivers.	6/13/2019	LL	\$21,255,761	\$0	\$385,761	\$0	\$20,870,000	1.756	2CA
C7-6201-03-07	BINGHAMTON / JOHNSON CITY	Design and construction of a project to rebuild components of the sewage treatment plant to improve the water quality in the Susquehanna and Chenango Rivers.	6/13/2019	LL	\$87,241,008	\$398,550	\$0	\$0	\$86,842,458	1.756	2CA
C2-9255-01-00	BROADWAY STAGES	Broadway Stages will use GIGP funds to retrofit three buildings in New York City with green roofs.	9/9/2019	G	\$900,000	\$900,000	\$0	\$900,000	\$0	0	2D
C6-6163-01-00	CAMDEN, VILLAGE OF	Planning, design, and construction of wastewater collection and treatment system improvements to protect water quality in Fish Creek.	6/20/2019	SD	\$5,224,353	\$5,224,353	\$0	\$0	\$0	0	2D
C9-6628-08-00	CHAUTAUQUA COUNTY	Planning, design and construction of new collection sewers and pumping systems to improve water quality in Chautauqua Lake.	3/14/2019	SD	\$13,866,000	\$8,866,000	\$5,000,000	\$0	\$0	0	2CA
C3-5301-02-00	COLD SPRING, VILLAGE OF	Planning, design and construction of sanitary sewer rehabilitation and pump station replacement in the Fair & Market Street areas of the Village to protect water quality in the Hudson River.	1/10/2019	SD	\$645,000	-\$100,740	\$0	\$0	\$544,260	0	2D

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C3-5301-02-00	COLD SPRING, VILLAGE OF	Planning, design and construction of sanitary sewer rehabilitation and pump station replacement in the Fair & Market Street areas of the Village to protect water quality in the Hudson River.	6/13/2019	LL	\$443,520	-\$95,608	\$0	\$0	\$740,608	1.756	2D
C4-5448-09-00	COOPERSTOWN, VILLAGE OF	Design and construction of wastewater treatment plant improvements to maintain water quality in the Susquehanna River.	6/6/2019	SD	\$8,219,410	\$577,643	\$1,000,000	\$0	\$6,641,767	0	1CA
C3-5333-01-01	CORNWALL, TOWN OF	Planning, design and construction of sewage treatment plant upgrades to improve water quality in the Moodna Creek and the Hudson River.	2/7/2019	SD	\$4,856,250	-\$494,034		\$0	\$3,679,966	0	2D
C3-5333-02-00	CORNWALL, TOWN OF	Planning, design and construction of sewer collection system rehabilitation and upgrades to correct inflow & infiltration to protect water quality in the Moodna Creek & Hudson River.	2/7/2019	SD	\$5,253,000	\$2,428,125	\$2,428,125	\$0	\$0	0	2D
C3-5333-01-00	CORNWALL, TOWN OF	Planning, design and construction of sewage treatment plant upgrades to improve water quality in the Moodna Creek and the Hudson River.	6/13/2019	LL	\$3,185,932	\$0	\$5,253,000	\$0	\$0	1.756	2D
C4-5468-01-00	COXSACKIE, VILLAGE OF	Design and construction of wastewater treatment plant improvements, infiltration/inflow correction, and sanitary sewer overflow elimination to maintain water quality in the Hudson River.	9/12/2019	SD	\$14,630,655	\$6,933,780	\$0	\$0	\$7,696,875	0	2D
C5-5562-02-00	CROWN POINT, TOWN OF	Planning, design and construction replacement of the wastewater treatment plant with disinfection and inflow & infiltration correction to protect/maintain the waters of Lake Champlain	5/16/2019	SD	\$2,944,895	\$2,944,895	\$0	\$0	\$0	0	2D
C8-6454-01-00	DUNDEE, VILLAGE OF	Planning, design and construction phase services to construct sewage treatment plant and collection system improvements to improve water quality in Big Stream.	9/12/2019	SD	\$5,438,016	\$5,170,016	\$268,000	\$0	\$0	0	2CA
C3-5319-01-00	DUTCHESS COUNTY WWA	Upgrade for the Vanderburgh Cove WWTP and I/I correction of the wastewater collection system.	10/18/2018	LD	\$416,500	-\$83,113	\$0	\$0	\$499,613	0	2CA
C3-7338-03-00	DUTCHESS COUNTY WWA	Planning, design and construction to replace the Pine Brook WWTP which will protect the water quality of the Hudson River.	2/21/2019	SD	\$2,106,691	-\$822,726	-\$822,727	\$0	\$3,752,144	0	2D
C7-6212-02-00	ENDICOTT, VILLAGE OF	Design and construction of a project to upgrade a sewage treatment plant to improve the water quality of the Susquehanna River and Chesapeake Bay Watershed.	1/24/2019	LD	\$2,466,526	-\$297,224	\$0	\$0	\$2,763,750	0	2D
C7-6212-03-00	ENDICOTT, VILLAGE OF	Planning, design and construction of anaerobic digester improvements and a high strength waste receiving station to improve the water quality in the Susquehanna River.	10/25/2018	SD	\$5,944,083	\$5,944,083	\$0	\$0	\$0	0	2D
C8-6420-05-00	ERWIN, TOWN OF	Planning, design, and construction of nutrient removal and disinfection facilities at the Town of Erwin's wastewater treatment facility to maintain the water quality of the Cohocton River.	8/1/2019	SD	\$531,008	\$0	\$531,008	\$0	\$0	0	2CA
C3-5346-05-01	FALLSBURG, TOWN OF	Planning, design, and construction of sewage treatment plant upgrades and expansion, Phase 2, to improve water quality in Evens Lake.	9/12/2019	LD	\$15,928,868	-\$450,632	\$0	\$0	\$16,379,500	0	2D
C6-6006-03-00	FRANKFORT, VILLAGE OF	Design and construction of sewer rehabilitation to reduce infiltration/inflow to maintain water quality in the Mohawk River.	4/4/2019	LD	\$3,907,887	-\$2,292,113	\$0	\$0	\$6,200,000	0	2CA
C9-6702-02-00	FREDONIA, VILLAGE OF	Planning, design, and construction of improvements to the Village of Fredonia's wastewater treatment plant to maintain the water quality of Lake Erie.	10/18/2018	SD	\$3,576,117	\$0	\$3,576,117	\$0	\$0	0	2D
C4-7321-02-00	GERMANTOWN, TOWN OF	Design and construction of wastewater treatment plant improvements to maintain water quality in the Hudson River.	5/30/2019	SD	\$1,843,045	\$921,523	\$921,522	\$0	\$0	0	2D

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C5-5548-17-00	GLENS FALLS, CITY OF	Design and construction of sanitary sewer separation to eliminate combined sewer, addressing LTCP to improve water quality of the Upper Hudson River.	1/31/2019	LD	\$4,066,990	\$897,057	\$0	\$0	\$3,169,933	0	2D
C6-6058-05-00	GOUVERNEUR, VILLAGE OF	Design and construction of pump station improvements to maintain water quality in the St. Oswegatchie River.	1/10/2019	SD	\$1,412,250	\$0	\$0	\$0	\$1,412,250	0	2D
C6-6058-08-00	GOUVERNEUR, VILLAGE OF	Design and construction of new sanitary sewers and storm sewers to provide separation of combined sewers in the Dorwin Street area to improve water quality in the Oswegatchie River.	1/10/2019	SD	\$1,228,125	-\$411,875	\$0	\$0	\$1,640,000	0	2D
C7-6332-01-00	GREENE, VILLAGE OF	Design and construction of a project to correct I/I in the collection system and upgrade the sewage treatment plant to improve the water quality of the Chenango River and Chesapeake Bay Watershed.	6/6/2019	LD	\$5,570,140	-\$299,650	\$0	\$0	\$5,869,790	0	2D
C7-6290-01-00	HAMILTON, VILLAGE OF	Planning, design, and construction of a project to modify a sewage treatment plant for nutrient removal to improve the water quality of Payne Brook.	1/10/2019	SD	\$10,383,500	-\$4,116,500	\$1,000,000	\$0	\$13,500,000	0	2D
C3-7362-03-00	HIGHLAND FALLS, VILLAGE OF	Planning, design and construction of improvements to the Village of Highlands WWTP.	8/15/2019	SD	\$1,758,437	\$0	\$1,758,437	\$0	\$0	0	2D
C7-6274-03-00	HOMER, VILLAGE OF	Design and construction of a project that will rehabilitate the sewer to correct inflow/infiltration to improve water quality of the Tioughnioga River.	8/22/2019	SD	\$1,264,026	\$0	\$1,264,026	\$0	\$0	0	2CA
C6-6112-02-00	ILION, VILLAGE OF	Planning, design, and construction of wastewater collection system improvements to protect water quality in the Hudson River.	5/16/2019	SD	\$7,628,001	\$7,628,001	\$0	\$0	\$0	0	2CA
C6-9256-01-00	JEFFERSON COMMUNITY COLLEGE	Jefferson Community College will use GIGP funds to transform the main entryway to campus. The installation of bioretention medians and porous roadway shoulders will improve the water quality of the Black River.	8/14/2019	G	\$528,000	\$528,000	\$0	\$528,000	\$0	0	2D
C5-5571-04-00	LAKE GEORGE, VILLAGE OF	Planning, design and construction of wastewater treatment plant upgrades to maintain groundwater quality.	11/1/2018	SD	\$17,664,327	\$15,164,327	\$2,500,000	\$0	\$0	0	2CA
C9-9258-01-00	LAKEWOOD, VILLAGE OF	The Village of Lakewood will use GIGP funds to transform Chautauqua Avenue into a green street. The installation of porous pavers and stormwater street trees will help revitalize the village center while reducing stormwater runoff to Chautauqua Lake.	8/14/2019	G	\$417,000	\$417,000	\$0	\$417,000	\$0	0	2D
C1-7334-04-70	LAWRENCE, VILLAGE OF	Planning, design and construction for Force main, pump station upgrade, and replacement of the sewage treatment plant to improve the water quality of Bannister Creek.	6/13/2019	LL	\$6,944,745	\$401,403		\$0	\$6,543,343	1.756	2D
C6-9253-01-00	LEWIS COUNTY SOIL AND WATER CONSERVATION DISTRICT	Lewis County will install bioretention, a stormwater harvesting and reuse system and porous pavement at their County fairgrounds. This project will prevent localized flooding and treat stormwater that discharges to the Black River.	5/16/2019	G	\$380,000	\$380,000	\$0	\$380,000	\$0	0	2CA
C3-5352-02-00	LIBERTY, VILLAGE OF	Planning, design, and construction of sewage treatment plant upgrades to protect water quality in the Middle Mongaup River.	8/8/2019	SD	\$5,742,668	\$5,742,668	\$0	\$0	\$0	0	2D
C8-6545-02-00	LIMA, VILLAGE OF	Planning, design, and construction of a water treatment plant improvement project to improve water quality in the Spring Brook.	8/8/2019	SD	\$2,828,125	\$1,828,125	\$1,000,000	\$0	\$0	0	2CA
C7-6299-01-00	MADISON COUNTY	Design, and construction of a project to construct a landfill leachate collection and treatment system at the Madison County landfill to improve groundwater quality.	11/15/2018	LD	\$3,267,687	-\$42,313	\$0	\$0	\$3,310,000	0	2CA

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C6-6080-04-00	MASSENA, VILLAGE OF	Planning, design, and construction of improvements to the wastewater treatment plant, and Interceptor sewer replacement along NYS Route 37, to maintain water quality in the Grasse River.	3/14/2019	LD	\$2,005,137	-\$1,194,863	\$0	\$0	\$3,200,000	0	2CA
C3-5315-07-00	MIDDLETOWN, CITY OF	Replacement of influent and secondary pumping systems to protect water quality in the Hudson River.	8/1/2019	SD	\$3,000,000	\$3,000,000	\$0	\$750,000	\$0	0	2D
C6-6040-02-00	MOHAWK, VILLAGE OF	Planning, design, and construction of wastewater collection system improvements to protect water quality in the Hudson River.	9/26/2019	SD	\$6,063,109	\$6,063,109	\$0	\$0	\$0	0	2CA
C5-5593-01-00	MOREAU, TOWN OF	Planning, design and construction of a new sewer district along Route 9 to improve groundwater quality.	8/1/2019	SD	\$12,000,000	\$12,000,000	\$0	\$0	\$0	0	2CA
C1-5149-48-75	NASSAU COUNTY	Planning, design and construction for installation of a new pump station, forcemain and modifications to an existing pump station to redirect flow away from Barnes Avenue in the Baldwin Sewer System and Bay Park WWTP to the Cedar Creek WWTP, which discharges to the Middle Bay. This project will provide resiliency and mitigation against flooding in the project area.	6/13/2019	LD	\$7,590	\$0	\$0	\$0	\$7,590	0	2CA
C1-5149-48-76	NASSAU COUNTY	Planning, design and construction for installation of a new pump station, forcemain and modifications to an existing pump station to redirect flow away from Barnes Avenue in the Baldwin Sewer System and Bay Park WWTP to the Cedar Creek WWTP, which discharges to the Middle Bay. This project will provide resiliency and mitigation against flooding in the project area.	6/13/2019	LD	\$18,978,785	-\$3,455,722	-\$3,330,221	\$0	\$25,764,728	0	2CA
C1-5149-48-00	NASSAU COUNTY	Installation of a new pump station, forcemain and modifications to an existing pump station to redirect flow away from Barnes Avenue in the Baldwin Sewer System and Bay Park WWTP to the Cedar Creek WWTP, which discharges to the Middle Bay. This project will provide resiliency and mitigation against flooding in the project area.	6/13/2019	LL	\$13,543,892	\$6,771,946	\$0	\$0	\$6,771,946	1.756	2CA
C4-5477-02-00	NEW BALTIMORE, TOWN OF	Design and construction of wastewater treatment plant improvements and sewer rehabilitation to maintain water quality in the Hudson River.	1/10/2019	SD	\$1,909,770	-\$660,312	\$0	\$0	\$2,570,082	0	2CA
C2-9219-02-00	NEW YORK CITY DEPARTMENT OF PARKS AND RECREATION	The City of New York will install over 70,000 square feet of green roof at multiple locations throughout the City as part of its Million SQFT Green Roof Initiative.	12/6/2018	G	\$560,000	\$560,000	\$0	\$560,000	\$0	0	2D
C8-6485-01-00	NUNDA, VILLAGE OF	Planning, design and construction of wastewater treatment plant improvements to improve water quality in Keshequa Creek.	3/14/2019	SD	\$2,327,332	\$2,327,332	\$0	\$0	\$0	0	2D
C2-5201-01-18	NYCMWFA	Project WI-EXP. Planning and design associated with the Wards Island Wastewater Treatment Plant interim expansion to improve water quality in the East River.	7/9/2019	SD	\$2,910,246	\$0	\$0	\$0	\$7,172,697	0	2CB
C2-5202-03-01	NYCMWFA	Project HP-3R. Construction of sludge digester repairs at the Hunts Point Wastewater Treatment Plant to maintain water quality in the Upper East River.	7/9/2019	SD	\$9,081,760	\$0	\$0	\$0	\$21,141,182	0	1CB
C2-5203-12-01	NYCMWFA	Project BB-205. Construction of PBS & CBS tanks replacement and treatment plant improvements at Bowery Bay Wastewater Treatment Plant to improve water quality in the Rikers Island Channel.	7/9/2019	SD	\$3,795,359	\$0	\$0	\$0	\$1,376,775	0	2CA
C2-5203-15-01	NYCMWFA	Project BB-61/64. Design, Construction, and Construction Management for Main Sewage Pump Replacement, Controls & Pipe Replacement at Bowery Bay Wastewater Treatment Plant to improve water quality in the Rikers Island Channel.	7/9/2019	SD	\$7,385,089	\$0	\$0	\$0	\$24,784,605	0	1D

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C2-5204-01-04	NYCMWFA	Project TI-3. Design, construction, and construction management for BNR upgrades at Tallman Island Wastewater Treatment Plant to improve water quality in the East River.	7/9/2019	SD	\$61,838,693	\$0	\$0	\$0	\$50,330,568	0	2CA
C2-5205-20-03	NYCMWFA	Project JA-2. Construction and Construction Management costs for plant modifications and upgrades at the Jamaica Wastewater Treatment Plant to improve water quality in Jamaica Bay.	7/9/2019	SD	\$61,167,025	\$0	\$0	\$0	\$2,491,958	0	2CA
C2-5206-14-01	NYCMWFA	Project 26W-13. Construction of Generator Improvements at the sewage treatment plant to maintain water quality in the Hendrix Street Canal and Jamaica Bay.	7/9/2019	SD	\$1,529,686	\$0	\$0	\$0	\$2,796,960	0	1CA
C2-5206-24-00	NYCMWFA	Project 26W-20. Planning, design, and construction of improvements to the primary settling tanks and solids handling facilities at the 26th Ward Wastewater Treatment Plant to maintain water quality in the Hendrix Street Canal and Jamaica Bay.	7/9/2019	SD	\$16,159,869	\$0	\$0	\$0	\$70,050,030	0	1CA
C2-5209-25-12	NYCMWFA	Project NC-32. Construction of Support Building & Disinfection associated with the Newtown Creek Wastewater Treatment Plant to improve water quality in Newtown Creek.	7/9/2019	SD	\$7,562,220	\$0	\$0	\$0	\$783,531	0	1CB
C2-5209-30-08	NYCMWFA	Project NC-35. Construction of the North Battery of aeration and final settling tanks at the Newtown Creek Wastewater Treatment Plant to improve water quality in the East River.	7/9/2019	SD	\$7,376,323	\$0	\$0	\$0	\$7,925,184	0	1CB
C2-5209-36-01	NYCMWFA	Project NC-50A. Construction of Sludge Vessels to transport sludge associated with the Newtown Creek Wastewater Treatment Plant upgrades to improve water quality in Newtown Creek.	7/9/2019	SD	\$21,802,464	\$0	\$0	\$0	\$5,832,295	0	1D
C2-5209-40-04	NYCMWFA	Project NC-41. Construction of Central Residuals Building Upgrades associated with the Newtown Creek Wastewater Treatment Plant upgrades to improve water quality in Newtown Creek.	7/9/2019	SD	\$30,840,275	\$0	\$0	\$0	\$1,709,721	0	1CB
C2-5210-16-01	NYCMWFA	Project OB-125. Construction of Electrical Substation upgrades at the Oakwood Beach Wastewater Treatment Plant to maintain water quality in Sandy Hook.	7/9/2019	SD	\$1,823,761	\$0	\$0	\$0	\$173,922	0	1CA
C2-5223-03-01	NYCMWFA	Project CS-JA-BBS. Planning, design, and construction of a parallel 48" siphon to address CSO issues for improving water quality in Jamaica Bay.	7/9/2019	SD	\$415,630	\$0	\$0	\$0	\$3,504,981	0	2CA
C2-5225-16-04	NYCMWFA	Project CSO-GC. Planning, design, and construction of improvements to the Gowanus Pump Station to improve water quality in the Gowanus Canal.	7/9/2019	SD	\$46,064,354	\$0	\$0	\$0	\$10,647,856	0	2CA
C2-5225-22-01	NYCMWFA	Project PS-173/227. Planning, Design, and Construction of New Douglaston pump station to maintain water quality in Long Island Sound.	7/9/2019	SD	\$1,098,475	-\$1,002,093	\$0	\$0	\$49,662,179	0	2CA
C2-5236-13-01	NYCMWFA	Project PR-113. Construction of Boiler System Upgrades at the Port Richmond Wastewater Treatment Plant to maintain the water quality in Kill Van Kull.	7/9/2019	SD	\$1,078,000	\$0	\$0	\$0	\$14,742,658	0	1CA
C2-5246-01-05	NYCMWFA	Project PS-79. Planning, design, and construction of Avenue V Pump Station improvements to improve water quality in the NYC Upper Bays.	7/9/2019	SD	\$2,776,843	\$0	\$0	\$0	\$16,135,744	0	2CA
C2-5246-02-01	NYCMWFA	Project PS-79F. Construction of Avenue V Force Main upgrades to improve water quality in the Upper Bays.	7/9/2019	SD	\$4,477,639	\$0	\$0	\$0	\$27,703,725	0	2CA
C2-5201-20-11	NYCMWFA	Project WI-78 PH 2. Construction and Construction Management of Bronx & Manhattan grit chambers that provide primary screening to Wards Island Wastewater Treatment Plant to improve water quality in the East River.	11/29/2018	LL	\$7,172,697	\$0	\$0	\$0	\$1,486,467	1.946	2CA

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C2-5234-29-00	NYCMWFA	Project NR-ER-007. Construction of Emergency Repairs at North River Wastewater Treatment Plant to maintain water quality in the Hudson River.	11/29/2018	LL	\$1,486,467	\$0	\$0	\$0	\$3,956,199	1.946	2D
C2-5246-01-04	NYCMWFA	Project PS-79. Planning, design, and construction of Avenue V Pump Station improvements to improve water quality in the NYC Upper Bays.	11/29/2018	LL	\$3,956,199	\$1,455,123	\$1,455,123	\$0	\$0	1.946	2CA
C2-5201-30-04	NYCMWFA	Project WI-79 BNR. Design of Wards Island Wastewater Treatment Plant BNR Upgrades to improve water quality in the East River.	11/29/2018	LL	\$21,141,182	\$4,540,880	\$4,540,880	\$0	\$0	1.946	1CA
C2-5203-01-09	NYCMWFA	Project BB-STAB/BB-PH1-interim. Design and Construction Management for Interim Improvements at Bowery Bay Wastewater Treatment Plant to improve water quality in the Rikers Island Channel.	11/29/2018	LL	\$1,376,775	\$1,897,680	\$1,897,680	\$0	\$0	1.946	2CA
C2-5203-20-02	NYCMWFA	Project BB-59. Construction and construction management costs for BNR upgrades at Bowery Bay WWTP to improve water quality in the Rikers Island Channel.	11/29/2018	LL	\$24,784,605	\$3,692,545	\$3,692,545	\$0	\$0	1.946	2CA
C2-5204-01-03	NYCMWFA	Project TI-3. Design, construction, and construction management for BNR upgrades at Tallman Island Wastewater Treatment Plant to improve water quality in the East River.	11/29/2018	LL	\$50,330,568	\$30,919,346	\$30,919,346	\$0	\$0	1.946	2CA
C2-5205-01-15	NYCMWFA	Project JA-STAB II/1CM. Design & Construction Management for Phase II upgrades at Jamaica Wastewater Treatment Plant to improve water quality in Jamaica Bay.	11/29/2018	LL	\$2,491,958	\$30,583,512	\$30,583,512	\$0	\$0	1.946	2CA
C2-5205-14-00	NYCMWFA	Project J-172. Construction of climber screens at the Jamaica Wastewater Treatment Plant to improve water quality in Jamaica Bay.	11/29/2018	LL	\$2,796,960	\$764,843	\$764,843	\$0	\$0	1.946	2D
C2-5205-20-02	NYCMWFA	Project JA-2. Construction costs for plant modifications and upgrades at the Jamaica Wastewater Treatment Plant to improve water quality in Jamaica Bay.	11/29/2018	LL	\$70,050,030	\$8,079,934	\$8,079,934	\$0	\$0	1.946	2CA
C2-5206-12-04	NYCMWFA	Project 26W-11G. Design & construction management for sewage treatment plant upgrade at the 26th Ward Wastewater Treatment Plant to improve water quality in Hendrix Street Canal.	11/29/2018	LL	\$783,531	\$3,781,110	\$3,781,110	\$0	\$0	1.946	2CA
C2-5209-02-16	NYCMWFA	Project NC-24. Planning and design associated with the Newtown Creek Wastewater Treatment Plant upgrades to improve water quality in Newtown Creek.	11/29/2018	LL	\$7,925,184	\$3,688,161	\$3,688,161	\$0	\$0	1.946	1CB
C2-5209-05-06	NYCMWFA	Project NC-PH2 & PH3 FDS. Planning and design of Phase 2 & Phase 3 upgrades of the Newtown Creek Wastewater Treatment Plant to improve water quality in the East River.	11/29/2018	LL	\$5,832,295	\$10,901,232	\$10,901,232	\$0	\$0	1.946	2CB
C2-5209-23-13	NYCMWFA	Project NC-30. Construction of Main Building South Addition, associated with the Newtown Creek Wastewater Treatment Plant upgrades to improve water quality in Newtown Creek.	11/29/2018	LL	\$1,709,721	\$15,420,138	\$15,420,138	\$0	\$0	1.946	2CB
C2-5209-24-15	NYCMWFA	Project NC-31. Construction of solids handling and centrifuge upgrades associated with the Newtown Creek Wastewater Treatment Plant upgrades to improve water quality in Newtown Creek.	11/29/2018	LL	\$173,922	\$911,881	\$911,881	\$0	\$0	1.946	1CB
C2-5209-30-07	NYCMWFA	Project NC-35. Construction of the North Battery of aeration and final settling tanks at the Newtown Creek Wastewater Treatment Plant to improve water quality in the East River.	11/29/2018	LL	\$3,504,981	\$207,815	\$207,815	\$0	\$0	1.946	1CB
C2-5209-31-06	NYCMWFA	Project NC-36. Construction of main building improvements associated with the Newtown Creek Wastewater Treatment Plant upgrades to improve water quality in Newtown Creek.	11/29/2018	LL	\$10,647,856	\$23,032,177	\$23,032,177	\$0	\$0	1.946	2CB

EXHIBIT 1: CWSRF PROJECTS RECEIVING FINANCIAL ASSISTANCE IN FFY 2019*

Project Number	Applicant Name	Project Description	Loan Date	Loan Type (1)	Total CWSRF Funding	Net equity from 2019 IUP	Net Market-Rate Financing	CWSRF Additional Subsidy	Amount Funded with Pre-2019 Funds	Effect Int.(2)	SERP Type (3)
C2-5209-40-03	NYCMWFA	Project NC-41. Construction of Central Residuals Building Upgrades associated with the Newtown Creek Wastewater Treatment Plant upgrades to improve water quality in Newtown Creek.	11/29/2018	LL	\$48,660,086	\$549,237	\$549,237	\$0	\$0	1.946	1CB
C2-5209-50-04	NYCMWFA	Project NC-47. Construction and construction management of the South Battery of grit, aeration, and final settling tanks at the Newtown Creek Wastewater Treatment Plant to improve water quality in the East River.	11/29/2018	LL	\$14,742,658	\$539,000	\$539,000	\$0	\$0	1.946	2CB
C2-5217-05-01	NYCMWFA	Project TI-WW1. Planning, design, and construction of a combined sewer overflow interceptor and regulator improvements at Flushing Bay to improve water quality in the East River.	11/29/2018	LL	\$16,135,744	\$1,388,422	\$1,388,422	\$0	\$0	1.946	2CB
C2-5225-16-03	NYCMWFA	Project CSO-GC. Planning, design, and construction of improvements to the Gowanus Pump Station to improve water quality in the Gowanus Canal.	11/29/2018	LL	\$27,703,725	\$2,238,820	\$2,238,820	\$0	\$0	1.946	2CA
C8-6500-05-00	OAKFIELD, VILLAGE OF	Planning, Design and Construction of WWTP Upgrade and Rehabilitation to Maintain Water Quality in the Oak Orchard Creek.	1/10/2019	SD	\$2,365,000	\$1,365,000	\$1,000,000	\$0	\$0	0	2CA
C6-6063-06-00	OGDENSBURG, CITY OF	Planning, design, and construction of a CSO storage facility, sewer separation, and hydraulic modifications to improve water quality in the St. Lawrence River.	2/28/2019	SD	\$25,000,000	\$0	\$5,000,000	\$0	\$20,000,000	0	2CB
C6-6070-08-05	ONEIDA COUNTY	Planning, design, and construction of WWTP Upgrades Phase 6A to improve water quality in the Mohawk River.	6/13/2019	SD	\$60,000,000	\$0	\$0	\$0	\$15,000,000	0	2A
C6-6070-08-14	ONEIDA COUNTY	Planning, design, and construction of force main rehabilitation and pump station rehabilitation, Phase 5B, to improve water quality in the Mohawk River.	6/13/2019	LD	\$15,000,000	\$341,130	\$0	\$0	\$97,315,016	0	2CA
C6-6070-08-04	ONEIDA COUNTY	Planning, design, and construction of force main rehabilitation and pump station rehabilitation, Phase 5B, to improve water quality in the Mohawk River.	6/13/2019	LL	\$97,656,145	\$32,500,000	\$27,500,000	\$0	\$0	1.756	2A
C7-6320-26-03	ONONDAGA COUNTY	Construction of multiple green projects to mitigate combined sewer overflows and improve the water quality of the Onondaga Lake.	6/13/2019	LL	\$4,989,789	\$2,494,895	\$0	\$0	\$2,494,895	1.756	2D
C7-6322-09-00	ONONDAGA COUNTY	Planning, design, and construction of a project to upgrade a sewage treatment plant as part of the Onondaga Lake Improvement Project to improve the water quality of the Onondaga Lake	6/13/2019	LL	\$9,015,101	-\$299,172	\$0	\$0	\$9,314,273	1.756	2D
C7-6330-06-00	ONONDAGA COUNTY	Planning, design, and construction of a project to rehabilitate the West Side Trunk Sewer and Pump Station to improve the water quality of the Onondaga Lake	6/13/2019	LL	\$9,736,330	\$4,868,165	\$0	\$0	\$4,868,165	1.756	2D
C3-5345-06-00	ORANGETOWN, TOWN OF	Inflow and infiltration improvements in the Orangetown sewer district to provide resiliency and flood mitigation, and improve the water quality in the Hudson River.	6/13/2019	LL	\$421,206	-\$4,250	-\$6,250	\$0	\$0	1.756	1D
C3-5345-06-75	ORANGETOWN, TOWN OF	Construction for inflow and infiltration improvements in the Orangetown sewer district to provide resiliency and flood mitigation, and improve the water quality in the Hudson River.	6/13/2019	LD	-\$10,500	-\$273,750	-\$243,750	\$0	\$1,971,500	0	1D
C3-5345-06-76	ORANGETOWN, TOWN OF	Construction for inflow and infiltration improvements in the Orangetown sewer district to provide resiliency and flood mitigation, and improve the water quality in the Hudson River.	6/13/2019	LD	\$1,454,000	\$210,603	\$0	\$0	\$210,603	0	1D
C7-6344-21-00	OSWEGO, CITY OF	WWTP upgrades to SCADA , Electrical and HVAC systems	6/20/2019	SD	\$9,773,750	\$9,191,750	\$582,000	\$0	\$0	0	2D
C3-5300-01-00	PAWLING, VILLAGE OF	Planning, design and construction for a sewage treatment plant modification and expansion in the village and a portion of the town to improve water quality in the Swamp River.	1/10/2019	SD	\$12,069,500	\$2,492,000	\$0	\$0	\$9,577,500	0	2D

EXHIBIT 1: CWSRF PROJECTS RECEIVING FINANCIAL ASSISTANCE IN FFY 2019*

Project Number	Applicant Name	Project Description	Loan Date	Loan Type (1)	Total CWSRF Funding	Net equity from 2019 IUP	Net Market-Rate Financing	CWSRF Additional Subsidy	Amount Funded with Pre-2019 Funds	Effect Int.(2)	SERP Type (3)
C9-6680-04-00	PERRY, VILLAGE OF	Design and construction of WWTP improvements to replace worn and inoperative equipment to maintain water quality in Silver Lake Outlet.	6/27/2019	SD	\$7,968,000	\$2,572,450	\$0	\$0	\$5,395,550	0	2CA
C5-5508-02-00	PERU, TOWN OF	Design and construction of sanitary sewer improvements to maintain water quality in the Little Ausable River.	4/4/2019	SD	\$3,611,937	\$0	\$3,611,937	\$0	\$0	0	2D
C6-6066-02-00	POTSDAM, VILLAGE OF	Design and construction of wastewater treatment plant improvements to maintain water quality in the Raquette River.	2/28/2019	SD	\$12,606,500	\$4,574,000	\$0	\$0	\$8,032,500	0	2D
C4-5439-03-00	RAVENA, VILLAGE OF	The Village of Ravena will turn a portion of an existing parking lot into a park. The removal of impervious surfaces will allow for the creation of a park that will contain bioretention areas and the daylighting of a portion of the Hannacroix Creek.	9/9/2019	G	\$225,000	\$225,000	\$0	\$225,000	\$0	0	2CA
C3-5387-01-00	RED HOOK, VILLAGE OF	Construction of low pressure (STEP) sewer system and package WWTP for the core business district.	2/28/2019	SD	\$2,775,000	-\$925,000	\$0	\$0	\$3,700,000	0	2CA
C1-5123-06-00	RIVERHEAD, TOWN OF	Planning, design and construction for a sewage treatment plant replacement and additional pump station in the Calverton Sewer District.	8/1/2019	SD	\$8,468,438	\$3,468,438	\$5,000,000	\$0	\$0	0	2D
C3-5348-02-00	ROCKLAND, TOWN OF	Planning, design and construction of improvements to the Roscoe Sewer District sewage treatment to protect water quality in the Beaver Kill.	5/9/2019	SD	\$1,792,125	\$1,792,125	\$0	\$0	\$0	0	2D
C6-6037-11-00	ROME, CITY OF	Installation of a force main, interceptor sewer, and sewer line replacement along Railroad Street to improve water quality in the Mohawk River Barge Canal.	3/14/2019	SD	\$10,500,000	\$10,500,000	\$0	\$0	\$0	0	2CA
C6-6037-17-00	ROME, CITY OF	Planning, design, and construction of wastewater treatment system improvements to improve water quality in the Mohawk River.	8/8/2019	SD	\$9,000,000	\$2,160,300	\$6,839,700	\$0	\$0	0	2CA
C8-6470-01-00	RUSHVILLE, VILLAGE OF	Design and construction of a project to improve the wastewater collection and sewage treatment plant to improve the water quality of the West River.	10/25/2018	SD	\$3,750,000	\$3,750,000	\$0	\$0	\$0	0	2CA
C5-5516-05-00	SARANAC LAKE, VILLAGE OF	Planning, design, and construction of collection system improvements to minimize inflow and infiltration and improve water quality in Saranac Lake.	6/20/2019	LD	\$1,918,242	-\$1,369,758	\$0	\$0	\$3,288,000	0	2D
C5-5516-05-01	SARANAC LAKE, VILLAGE OF	Planning, design, and construction of collection system improvements to minimize inflow and infiltration and improve water quality in Saranac Lake.	6/20/2019	SD	\$1,271,258	\$1,271,258	\$0	\$0	\$0	0	2D
C5-5516-09-00	SARANAC LAKE, VILLAGE OF	Design and construction of Wastewater Treatment Plant improvements to maintain water quality in the Saranac River	8/15/2019	SD	\$4,365,939	\$4,365,939	\$0	\$0	\$0	0	2D
C4-5484-07-00	SCOTIA, VILLAGE OF	Planning, design, and construction of improvements to the Village of Scotia main pump station to maintain water quality in the Mohawk River.	3/14/2019	SD	\$1,275,000	\$0	\$1,275,000	\$0	\$0	0	2CA
C8-6466-03-00	SENECA FALLS, TOWN OF	Planning, design and construction of a project to rehabilitate existing sewer to eliminate inflow and infiltration into the system to improve water quality of the Seneca River.	5/30/2019	SD	\$2,212,500	\$2,212,500	\$0	\$0	\$0	0	2CA
C4-7405-01-00	SLEEPY HOLLOW LAKE SEWERAGE COMPANY	Improvements to the wastewater treatment plant to improve water quality in the Hudson River.	10/11/2018	SD	\$5,245,558	\$5,245,558	\$0	\$0	\$0	0	2CA
C5-5539-05-00	SPECULATOR, VILLAGE OF	Planning, design and construction of the Village of Speculator's wastewater treatment plant to protect water quality in the Sacandaga River.	5/16/2019	SD	\$748,753	\$0	\$748,753	\$0	\$0	0	1D
C8-6544-02-00	SPRINGWATER, TOWN OF	Design and construction of collection system and sewage treatment plant improvements to improve water quality.	11/1/2018	SD	\$2,371,690	\$0	\$2,371,690	\$0	\$0	0	2D
C4-5438-02-00	ST. JOHNSVILLE, VILLAGE OF	Planning, design, and construction of wastewater treatment plant improvements to maintain water quality in the Mohawk River.	3/14/2019	SD	\$1,200,000	\$0	\$1,200,000	\$0	\$0	0	2D

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C3-5377-05-00	SUFFERN, VILLAGE OF	Construction costs for the replacement and relocation of the South Street PS Emergency Generator which is beyond its useful life and currently located in a flood zone to maintain water quality in the Ramapo River.	8/22/2019	SD	\$310,335	\$0	\$310,335	\$0	\$0	0	2D
C3-5378-04-00	THOMPSON, TOWN OF	Planning, design and construction of improvements to portions of the Town of Thompson's Emerald Green Sewer District sanitary sewer collection system.	2/28/2019	SD	\$2,362,500	\$0	\$2,362,500	\$0	\$0	0	2D
C5-5520-07-00	TICONDEROGA, TOWN OF	Planning, design and construction of sewage treatment plant modifications, sewer separation and stream daylighting to eliminate combined sewer overflows, addressing LTCP to improve water quality in the LaChute River..	3/28/2019	SD	\$10,973,634	\$2,658,634	\$0	\$0	\$8,315,000	0	2D
C9-6672-05-01	TONAWANDA, CITY OF	Planning, design and construction of collection system repair in project phases 5 & 6, to reduce sewer system overflows to improve water quality in the Niagara River.	11/29/2018	LD	\$2,599,842	\$310,464	\$0	\$0	\$2,289,378	0	2CA
C7-6385-02-00	TRUMANSBURG, VILLAGE OF	Planning, design, and construction of a project to upgrade a sewage treatment plant to improve the water quality of the Trumansburg Creek.	3/21/2019	LD	\$4,361,388	-\$2,113,812	\$0	\$0	\$6,475,200	0	2D
C4-9208-02-00	UNIVERSITY AT ALBANY, SUNY	The University at Albany will use GIGP funds to construct a green roof on top of its new Emerging Technology and Entrepreneurship Complex (ETEC) building.	8/14/2019	G	\$132,000	\$132,000	\$0	\$132,000	\$0	0	2D
C6-6076-05-03	UTICA, CITY OF	Planning, design, and construction of collection system improvements to protect water quality in the Mohawk River.	3/28/2019	SD	\$2,082,500	\$2,082,500	\$0	\$0	\$0	0	2D
C6-6048-04-01	VERONA, TOWN OF	Planning, design, and construction of collector sewers, force main and pump station in Verona.	6/13/2019	LL	\$322,346	\$161,173	\$0	\$0	\$161,173	1.756	2CA
C9-6681-02-00	WARSAW, VILLAGE OF	Planning, design, and construction for improvements to the sewer system and treatment plant in the Village of Warsaw to maintain the water quality in Oatka Creek.	2/28/2019	SD	\$4,611,500	\$4,236,500	\$375,000	\$0	\$0	0	2CA
C5-5559-05-00	WASHINGTON COUNTY	Planning, design and construction of projects to eliminate combined sewer overflows, addressing LTCP to improve water quality of the Upper Hudson River.	3/7/2019	SD	\$11,682,500	-\$3,992,500	\$0	\$0	\$15,675,000	0	2D
C3-5332-03-00	WASHINGTONVILLE, VILLAGE OF	Planning, design & construction of upgrades and flow expansion of the Village's wastewater treatment plant to protect water quality in the Moodna Creek.	10/25/2018	SD	\$9,730,147	-\$1,188,417	-\$1,188,418	\$0	\$12,106,982	0	2D
C6-6022-05-00	WATERTOWN, CITY OF	Planning, design and construction of influent screening replacement and grit handling system improvements at the Water Pollution Control Facility.	3/28/2019	SD	\$762,500	\$762,500	\$0	\$0	\$0	0	2D
C3-5362-18-04	WESTCHESTER COUNTY	Contract SNR-06. Planning, design, and construction of several wrap up items for Non-BNR work at New Rochelle Wastewater Treatment Plant including upgrades to the existing Control Building for Outside Maintenance Crews to improve water quality in Long Island Sound.	5/23/2019	SD	\$13,380,000	-\$159,206	\$0	\$0	\$7,460,795	0	2D
C3-7396-02-05	WESTCHESTER COUNTY	Contract SLI-01. Planning, design, and construction of BNR performance enhancements at the New Rochelle Wastewater Treatment Plant including splitter box screens and compactors to improve water quality in Long Island Sound.	5/23/2019	SD	\$4,260,000	\$0	-\$85,485	\$0	\$1,600,000	0	2D
C3-5381-33-02	WESTCHESTER COUNTY	Contract SYO-09. Construction of Phase III HVAC and odor control improvements at Yonkers Joint Wastewater Treatment Plant to maintain water quality in the Hudson River.	6/13/2019	LL	\$7,301,589	\$6,690,000	\$6,690,000	\$0	\$0	1.756	2D
C3-7353-16-00	WESTCHESTER COUNTY	Contract SOS-85. Planning, design, and construction of the realignment of Snowden Avenue Interceptor to effectively eliminate flows through the existing siphons, reduce odors in the area, and maintain water quality in the Hudson River.	6/13/2019	LL	\$1,514,515	\$2,130,000	\$2,130,000	\$0	\$0	1.756	2D

EXHIBIT 1: CWSRF PROJECTS RECEIVING FINANCIAL ASSISTANCE IN FFY 2019*

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C9-6629-02-00	WESTFIELD, VILLAGE OF	Planning, design and construction of sewage treatment plant improvements to improve water quality in the Chautauqua Creek.	3/21/2019	SD	\$5,102,557	\$390,600	-\$1,904,443	\$0	\$6,616,400	0	2CA
C5-5511-08-00	WILLSBORO, TOWN OF	Design and construction of the Wastewater Treatment Plant improvements to protect water quality in Lake Champlain.	2/14/2019	LD	\$1,758,118	\$50,644	\$0	\$0	\$1,707,474	0	2D
C8-6358-01-00	WOODHULL, TOWN OF	Planning, design and construction of collector sewers and a sewage treatment plant to improve water quality in Tuscarora Creek.	2/28/2019	SD	\$2,616,000	-\$215,780	\$1,560,059	\$0	\$1,271,721	0	1A
					Short-Term Financings:	\$719,904,366	\$145,133,941	\$52,877,386	\$750,000	\$494,581,363	
					Long-Term Direct Financings:	\$102,843,438	-\$10,004,127	-\$3,573,971	\$0	\$199,509,387	
					Long-Term Leveraged Financings:	\$586,979,024	\$200,608,957	\$186,544,366	\$0	\$144,049,526	
					GIGP Financings:	\$3,574,000	\$3,574,000	\$0	\$3,574,000	\$0	
					Total Financings:	\$1,413,300,828	\$339,312,771	\$235,847,781	\$4,324,000	\$838,140,276	

Notes:

1. Loan Type: SD - Short-Term Direct; LD - Long-term Direct; LL - Long-Term Leveraged; G - GIGP grant
2. Interest Rates: The effective interest rate is indicated (for leveraged loans this is an estimate taking into account the subsidy from the earnings of the corpus allocation and related prog. costs)
3. SERP Types:

Major Classifications:
 1 - Tier I (Equivalency Project)
 2 - Tier II (Non-Equivalency Project)

Sub-Classifications:
 A - Excluded
 B - Exempt
 C - Type I
 a. Negative Declaration Issued
 b. EIS Completed
 D - Type II

* Unaudited

EXHIBIT 2: CWSRF ASSISTANCE AMOUNT BY NEEDS CATEGORY

(By Project Name)

Proj. No.	Applicant name	Service Area	Description	Proj. Cat	Population	Loan Type	Loan Date	Total Financial Assistance	CWT STP	CWT STP+	CWT I/CORR	CWT SEW REHAB	CWT COLL'S	CWT INT'S	CWT CSO	STORM GRAY	STORM GREEN	ENERGY & WATER CONSERVATION	NPS	Sum of 12 Types
C6-6115-01-00	ADAMS, VILLAGE OF	VILLAGE OF ADAMS	SEW REHAB, STP REHAB	A	1,671	SD	3/14/2019	\$3,394,250	\$3,224,537.50	\$0.00	\$0.00	\$169,712.50	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C9-6638-06-00	AMHERST, TOWN OF	SATTLE DELLWOOD PARK S	NPS [GIGP10 - GI SW RETROFIT POROUS I	G	125,024	G	8/14/2019	\$432,000	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$432,000.00	\$0.00	\$0.00	\$0.00
C4-5442-08-00	AMSTERDAM, CITY OF	CITY SEWERS	SEW REPL	D	17,974	SD	2/21/2019	\$5,450,000	\$0.00	\$0.00	\$5,450,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C4-5442-09-00	AMSTERDAM, CITY OF	CITY SEWERS	SEW REPL, STP REHAB [HOVER AND ERIE	D	17,974	SD	11/29/2018	\$2,700,000	\$0.00	\$0.00	\$0.00	\$2,700,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C9-6678-03-00	ARCADE, VILLAGE OF	VILLAGE OF ARCADE, TOWN	[STP MOD/EXP	D	2,214	LD	4/11/2019	\$3,947,067	\$3,947,067.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C9-6678-04-01	ARCADE, VILLAGE OF	VILLAGE OF ARCADE	I/ CORR [PHASE 2A]	D	2,214	LD	4/11/2019	\$199,171	\$0.00	\$0.00	\$199,171.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C9-6678-04-02	ARCADE, VILLAGE OF	VILLAGE OF ARCADE	I/ CORR [PHASE 2B]	D	2,159	SD	9/19/2019	\$790,500	\$0.00	\$0.00	\$790,500.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C8-6416-02-00	BATH, VILLAGE OF	VILLAGE OF BATH	STP UP [NUTRIENT REMOVAL AND MISCEL	D	5,611	SD	11/29/2018	\$9,280,092	\$9,280,092.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C3-7356-02-01	BETHEL, TOWN OF	KAUNEONGA LAKE SEWER DI	SEW REHAB, SEW REPL	D	4,156	SD	6/6/2019	\$2,572,500	\$0.00	\$0.00	\$0.00	\$2,572,500.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C7-6201-03-05	BINGHAMTON / JOHNSON CITY	BINGHAMTON AND JOHNSON	STP REBUILD [SOLIDS HANDING]	B	60,692	LL	6/13/2019	\$21,255,761	\$21,051,705.69	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$204,055.31
C7-6201-03-07	BINGHAMTON / JOHNSON CITY	BINGHAMTON AND JOHNSON	STP REBUILD [C.N AND DN CELLS, FLOOD	B	60,692	LL	6/13/2019	\$87,241,008	\$87,241,008.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C7-6201-03-08	BINGHAMTON / JOHNSON CITY	BINGHAMTON AND JOHNSON	STP REBUILD [C.N AND DN CELLS, FLOOD	D	60,692	LD	6/13/2019	\$15,000,000	\$15,000,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C2-9255-01-00	BROADWAY STAGES	GREENPOINT GREEN ROOFS	NPS [GIGP10 - GI SW GREEN ROOF]	G	-	G	9/9/2019	\$900,000	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$900,000.00	\$0.00	\$0.00	\$0.00
C6-6163-01-00	CAMDEN, VILLAGE OF	VILLAGE OF CAMDEN	I/ CORR, STP REHAB/EXP	D	2,455	SD	6/20/2019	\$5,224,353	\$4,701,917.70	\$0.00	\$0.00	\$522,435.30	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C9-6628-08-00	CHAUTAQUA COUNTY	WEST SIDE CHAUTAQUA LA	COLL, FM, PS	D	13,600	SD	3/14/2019	\$13,866,000	\$0.00	\$0.00	\$0.00	\$0.00	\$13,866,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C3-5301-02-00	COLD SPRING, VILLAGE OF	FAIR & MARKET STREETS	PS REPL, SEW REHAB	A	1,834	SD	1/10/2019	\$645,000	\$0.00	\$0.00	\$0.00	\$645,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C3-5301-02-00	COLD SPRING, VILLAGE OF	FAIR & MARKET STREETS	PS REPL, SEW REHAB	A	1,834	LL	6/13/2019	\$443,520	\$0.00	\$0.00	\$0.00	\$443,520.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C4-5448-09-00	COOPERSTOWN, VILLAGE OF	VILLAGE	STP UP	D	1,941	SD	6/6/2019	\$8,219,410	\$8,219,410.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C3-5333-01-00	CORNWALL, TOWN OF	SEWER DISTRICT NO. 1	STP MOD	B	7,500	LL	6/13/2019	\$3,185,932	\$3,185,932.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C3-5333-01-01	CORNWALL, TOWN OF	SEWER DISTRICT NO. 1	STP MOD	B	7,500	SD	2/7/2019	\$4,856,250	\$4,856,250.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C3-5333-02-00	CORNWALL, TOWN OF	DISTRICT NO. 1	I/ CORR	B	12,491	SD	2/7/2019	\$5,253,000	\$0.00	\$0.00	\$5,253,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C4-5468-01-00	COXSACKIE, VILLAGE OF	VILLAGE WIDE	I/ CORR, STP IMP [INCLUDES SSO ELIMIN/	D	2,705	SD	9/12/2019	\$14,630,655	\$1,463,065.50	\$0.00	\$0.00	\$13,167,589.50	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C5-5562-02-00	CROWN POINT, TOWN OF	SD #1	SEW REHAB, STP REPL	D	400	SD	5/16/2019	\$2,944,895	\$2,650,405.50	\$0.00	\$0.00	\$294,489.50	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C8-6454-01-00	DUNDEE, VILLAGE OF	VILLAGE	I/ CORR, STP IMP [NUTRIENT REMOVAL AI	D	1,655	SD	9/12/2019	\$5,438,016	\$5,438,016.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C3-5319-01-00	DUTCHESS COUNTY WWA	VANDERBURGH COVE SEWER I/	CORR, STP REPL	D	150	LD	10/18/2018	\$416,500	\$249,900.00	\$0.00	\$166,600.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C3-7338-03-00	DUTCHESS COUNTY WWA	PINEBROOK SEWER DISTRICT	STP REPL	A	450	SD	2/21/2019	\$2,106,691	\$2,106,691.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C7-6212-02-00	ENDICOTT, VILLAGE OF	VILLAGE	STP IMP	D	13,143	LD	1/24/2019	\$2,466,526	\$1,233,263.00	\$1,233,263.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C7-6212-03-00	ENDICOTT, VILLAGE OF	VILLAGE	STP IMP [ANAEROBIC DIGESTER IMP AND	D	12,980	SD	10/25/2018	\$5,944,083	\$5,944,083.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C8-6420-05-00	ERWIN, TOWN OF	TOWN OF ERWIN	STP MOD/UP [NUTRIENT REMOVAL]	B	8,387	SD	8/1/2019	\$531,008	\$0.00	\$531,008.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C3-5346-05-01	FALLSBURG, TOWN OF	LOCH SHELDRAKE S.D.	SEW SEP, STMSEW, STP UP/EXP [PHASE D	D	8,385	LD	9/12/2019	\$15,928,868	\$11,150,207.60	\$4,778,660.40	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C6-6006-03-00	FRANKFORT, VILLAGE OF	VILLAGE OF FRANKFORT	I/ CORR, SEW REHAB	D	2,560	LD	4/4/2019	\$3,907,887	\$0.00	\$0.00	\$0.00	\$3,907,887.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C9-6702-02-00	FREDONIA, VILLAGE OF	VILLAGE OF FREDONIA	STP REHAB	D	11,077	SD	10/18/2018	\$3,576,117	\$3,576,117.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C4-7321-02-00	GERMANTOWN, TOWN OF	HAMLET OF GERMANTOWN	STP IMP	A	500	SD	5/30/2019	\$1,843,045	\$1,843,045.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C5-5548-17-00	GLENS FALLS, CITY OF	RIDGE ST., HARRISON ST & S	SEW REHAB, SEW REPL, STMSEW	D	14,496	LD	1/31/2019	\$4,066,990	\$0.00	\$0.00	\$0.00	\$4,066,990.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C6-6058-05-00	GOVERNEUR, VILLAGE OF	VILLAGE OF GOVERNEUR	PS MOD [PS UPGRADES]	D	3,795	SD	1/10/2019	\$1,412,250	\$1,412,250.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C6-6058-08-00	GOVERNEUR, VILLAGE OF	DORWIN STREET AREA	SEW REPL, SEW SEP [DORWIN ST]	D	3,795	SD	1/10/2019	\$1,228,125	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$1,228,125.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C7-6332-01-00	GREENE, VILLAGE OF	VILLAGE OF GREENE	I/ CORR, STP IMP	D	1,624	LD	6/6/2019	\$5,570,140	\$1,671,042.00	\$1,671,042.00	\$2,228,056.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C7-6290-01-00	HAMILTON, VILLAGE OF	VILLAGE	STP UP	D	4,015	SD	1/10/2019	\$10,383,500	\$7,787,625.00	\$2,595,875.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C3-7362-03-00	HIGHLAND FALLS, VILLAGE OF	VILLAGE OF HIGHLAND FALLS	STP IMP	B	3,872	SD	8/15/2019	\$1,758,437	\$1,758,437.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C7-6274-03-00	HOMER, VILLAGE OF	VILLAGE	I/ CORR	A	3,200	SD	8/22/2019	\$1,264,026	\$0.00	\$0.00	\$1,264,026.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C6-6112-02-00	ILION, VILLAGE OF	VILLAGE OF ILION	I/ CORR	D	7,930	SD	5/16/2019	\$7,628,001	\$0.00	\$0.00	\$0.00	\$7,628,001.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C6-9256-01-00	JEFFERSON COMMUNITY COLLEGE	CAMPUS GREEN REVITALIZAT	NPS [GIGP10 - GI SW RETROFIT POROUS I	G	-	G	8/14/2019	\$528,000	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$528,000.00	\$0.00	\$0.00	\$0.00
C5-5571-04-00	LAKE GEORGE, VILLAGE OF	VILLAGE OF LAKE GEORGE	STP REPL [DENT, PHOS]	D	851	SD	11/1/2018	\$17,664,327	\$13,248,245.25	\$4,416,081.75	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C9-9258-01-00	LAKEWOOD, VILLAGE OF	CHAUTAQUA AVENUE GREE	NPS [GIGP10 - GI SW RETROFIT POROUS I	G	2,888	G	8/14/2019	\$417,000	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$417,000.00	\$0.00	\$0.00	\$0.00
C1-7334-04-70	LAWRENCE, VILLAGE OF	VILLAGE SD	FM, PS UP, STP REPL [DIVERSION TO BAY	B	6,529	LL	6/13/2019	\$6,944,745	\$0.00	\$0.00	\$0.00	\$6,944,745.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C6-9253-01-00	LEWIS COUNTY SOIL AND WATER	CCLLEISS COUNTY FAIRGROUND	NPS [GIGP9 - GI SW RETROFIT POROUS P	G	27,124	G	5/16/2019	\$380,000	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$380,000.00	\$0.00	\$0.00	\$0.00
C3-5352-02-00	LIBERTY, VILLAGE OF	VILLAGE	STP UP	D	4,175	SD	8/8/2019	\$5,742,668	\$5,742,668.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C8-6545-02-00	LIMA, VILLAGE OF	VILLAGE	STP IMP	D	2,445	SD	8/8/2019	\$2,828,125	\$0.00	\$2,828,125.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
C7-6299-01-00	MADISON COUNTY	MADISON COUNTY	LF-LCH	D	72,427	LD	11/15/2018	\$3,267,687	\$0.00	\$0.00	\$0.00	\$0.00	\$3,2							

**EXHIBIT 3: CONSTRUCTION STARTS AND INITIATE OPERATIONS ON OR PRIOR TO 9/30/2019
CWSRF PROJECTS FUNDED IN FFY 2019***

Proj. Number	Applicant name	Service Area	Description	Population	Proj. Cat	Constr Start	Init Oper	Loan Type	Loan Date	Loan Amount
C6-6115-01-00	ADAMS, VILLAGE OF	VILLAGE OF ADAMS	SEW REHAB, STP REHAB	1,671	A	9/3/2019		SD	3/14/2019	\$3,394,250
C4-5442-08-00	AMSTERDAM, CITY OF	CITY SEWERS	SEW REPL	17,974	D	6/20/2017		SD	2/21/2019	\$5,450,000
C9-6678-03-00	ARCADE, VILLAGE OF	VILLAGE OF ARCADE, TOWI	STP MOD/EXP	2,214	D	6/8/2016	8/25/2017	LD	4/11/2019	\$3,947,067
C9-6678-04-01	ARCADE, VILLAGE OF	VILLAGE OF ARCADE	I/I CORR [PHASE 2A]	2,214	D	9/5/2018	12/15/2018	LD	4/11/2019	\$199,171
C9-6678-04-02	ARCADE, VILLAGE OF	VILLAGE OF ARCADE	I/I CORR [PHASE 2B]	2,159	D	9/6/2019		SD	9/19/2019	\$790,500
C8-6416-02-00	BATH, VILLAGE OF	VILLAGE OF BATH	STP UP [NUTRIENT REMOVAL	5,611	D	1/13/2016		SD	11/29/2018	\$9,280,092
C7-6201-03-05	BINGHAMTON / JOHNSON CITY	BINGHAMTON AND JOHNSC	STP REBUILD [SOLIDS HANDI	60,692	B	7/20/2017		LL	6/13/2019	\$21,255,761
C7-6201-03-07	BINGHAMTON / JOHNSON CITY	BINGHAMTON AND JOHNSC	STP REBUILD [C,N AND DN CE	60,692	B	5/27/2016		LL	6/13/2019	\$87,241,008
C7-6201-03-08	BINGHAMTON / JOHNSON CITY	BINGHAMTON AND JOHNSC	STP REBUILD [C,N AND DN CE	60,692	D	5/27/2016		LD	6/13/2019	\$15,000,000
C3-5301-02-00	COLD SPRING, VILLAGE OF	FAIR & MARKET STREETS	PS REPL, SEW REHAB	1,834	A	3/30/2017	6/13/2018	SD	1/10/2019	\$645,000
C3-5301-02-00	COLD SPRING, VILLAGE OF	FAIR & MARKET STREETS	PS REPL, SEW REHAB	1,834	A	3/30/2017	6/13/2018	LL	6/13/2019	\$443,520
C4-5448-09-00	COOPERSTOWN, VILLAGE OF	VILLAGE	STP UP	1,941	D	8/2/2019		SD	6/6/2019	\$8,219,410
C3-5333-01-00	CORNWALL, TOWN OF	SEWER DISTRICT NO. 1	STP MOD	7,500	B	8/29/2011	7/19/2018	LL	6/13/2019	\$3,185,932
C4-5468-01-00	COXSACKIE, VILLAGE OF	VILLAGE WIDE	I/I CORR, STP IMP [INCLUDES	2,705	D	6/3/2019		SD	9/12/2019	\$14,630,655
C3-7338-03-00	DUTCHESS COUNTY WWA	PINEBROOK SEWER DISTRI	STP REPL	450	A	8/22/2018	6/4/2019	SD	2/21/2019	\$2,106,691
C3-5319-01-00	DUTCHESS COUNTY WWA	VANDEBURGH COVE SEW I/I	CORR, STP REPL	150	D	2/5/2010	8/19/2010	LD	10/18/2018	\$416,500
C7-6212-02-00	ENDICOTT, VILLAGE OF	VILLAGE	STP IMP	13,143	D	5/23/2016	9/13/2018	LD	1/24/2019	\$2,466,526
C8-6420-05-00	ERWIN, TOWN OF	TOWN OF ERWIN	STP MOD/UP [NUTRIENT REMO	8,387	B	10/8/2019		SD	8/1/2019	\$531,008
C3-5346-05-01	FALLSBURG, TOWN OF	LOCH SHELDRAKE S.D.	SEW SEP, STMSEW, STP UP/E	8,385	D	8/2/2016	8/1/2019	LD	9/12/2019	\$15,928,868
C6-6006-03-00	FRANKFORT, VILLAGE OF	VILLAGE OF FRANKFORT	I/I CORR, SEW REHAB	2,560	D	6/20/2017	1/18/2019	LD	4/4/2019	\$3,907,887
C9-6702-02-00	FREDONIA, VILLAGE OF	VILLAGE OF FREDONIA	STP REHAB	11,077	D	9/23/2019		SD	10/18/2018	\$3,576,117
C4-7321-02-00	GERMANTOWN, TOWN OF	HAMLET OF GERMANTOWN	STP IMP	500	A	4/15/2019		SD	5/30/2019	\$1,843,045
C5-5548-17-00	GLENS FALLS, CITY OF	RIDGE ST , HARRISON ST &	SEW REHAB, SEW REPL, STM	14,496	D	9/8/2015	9/9/2016	LD	1/31/2019	\$4,066,990
C6-6058-05-00	GOVERNEUR, VILLAGE OF	VILLAGE OF GOVERNEUR	PS MOD [PS UPGRADES]	3,795	D	3/9/2017	8/11/2018	SD	1/10/2019	\$1,412,250
C6-6058-08-00	GOVERNEUR, VILLAGE OF	DORWIN STREET AREA	SEW REPL, SEW SEP [DORWI	3,795	D	10/25/2018		SD	1/10/2019	\$1,228,125
C7-6332-01-00	GREENE, VILLAGE OF	VILLAGE OF GREENE	I/I CORR, STP IMP	1,624	D	6/13/2016	7/23/2018	LD	6/6/2019	\$5,570,140
C7-6290-01-00	HAMILTON, VILLAGE OF	VILLAGE	STP UP	4,015	D	3/15/2017		SD	1/10/2019	\$10,383,500
C5-5571-04-00	LAKE GEORGE, VILLAGE OF	VILLAGE OF LAKE GEORGE	STP REPL [DENIT, PHOS]	851	D	8/21/2019		SD	11/1/2018	\$17,664,327
C1-7334-04-70	LAWRENCE, VILLAGE OF	VILLAGE SD	FM, PS UP, STP REPL [DIVERS	6,529	B	12/7/2009	1/16/2019	LL	6/13/2019	\$6,944,745
C7-6299-01-00	MADISON COUNTY	MADISON COUNTY	LF-LCH	72,427	D	10/1/2015	2/27/2017	LD	11/15/2018	\$3,267,687
C6-6080-04-00	MASSENA, VILLAGE OF	NYS ROUTE 37	INT, STP REHAB	11,086	D	9/12/2016	6/7/2018	LD	3/14/2019	\$2,005,137
C3-5315-07-00	MIDDLETOWN, CITY OF	CITYWIDE	STP IMP	27,729	D	10/30/2018		SD	8/1/2019	\$3,000,000
C1-5149-48-00	NASSAU COUNTY	CEDAR CREEK SD#3	COLL, FM, PS IMP [BARNES A\	1,363,069	B	4/25/2016		LL	6/13/2019	\$13,543,892

**EXHIBIT 3: CONSTRUCTION STARTS AND INITIATE OPERATIONS ON OR PRIOR TO 9/30/2019
CWSRF PROJECTS FUNDED IN FFY 2019***

Proj. Number	Applicant name	Service Area	Description	Population	Proj. Cat	Constr Start	Init Oper	Loan Type	Loan Date	Loan Amount
C1-5149-48-75	NASSAU COUNTY	CEDAR CREEK SD#3	COLL, FM, PS IMP [BARNES A\	530,000	B	4/25/2016		LD	6/13/2019	\$7,590
C1-5149-48-76	NASSAU COUNTY	CEDAR CREEK SD#3	COLL, FM, PS IMP [BARNES A\	530,000	B	4/25/2016		LD	6/13/2019	\$18,978,785
C4-5477-02-00	NEW BALTIMORE, TOWN OF	HAMLET OF NEW BALTIMOF	SEW REHAB, STP IMP [HAMLE	540	D	11/15/2013		SD	1/10/2019	\$1,909,770
C2-5201-20-11	NYCMWFA	WARDS ISLAND	STP UP [WI-78 PH 2-BRONX &	8,426,743	C	9/1/2002	12/20/2013	LL	11/29/2018	\$7,172,697
C2-5201-30-04	NYCMWFA	WARDS ISLAND	STP UP [WI-79 BNR]	8,426,743	C	4/24/2006	9/30/2015	LL	11/29/2018	\$21,141,182
C2-5203-20-02	NYCMWFA	BOWERY BAY	STP UP [BB-59 BNR]	8,426,743	C	9/13/2006	9/12/2012	LL	11/29/2018	\$24,784,605
C2-5205-20-02	NYCMWFA	JAMAICA	STP MOD/UP [JA-2 IPU]	8,426,743	C	4/4/2005	7/15/2015	LL	11/29/2018	\$70,050,030
C2-5206-12-04	NYCMWFA	26TH WARD	STP UP [26W-11G & FINAL IPU	8,426,743	C	5/2/2005	4/1/2010	LL	11/29/2018	\$783,531
C2-5209-23-13	NYCMWFA	NEWTOWN CREEK	STP UP [WPCP (PHASE 1A- NC	8,426,743	C	12/13/2000	6/29/2009	LL	11/29/2018	\$1,709,721
C2-5209-24-15	NYCMWFA	NEWTOWN CREEK	STP UP [WPCP (PHASE 1A- NC	8,426,743	C	7/27/2000	12/31/2009	LL	11/29/2018	\$173,922
C2-5209-31-06	NYCMWFA	NEWTOWN CREEK	STP UP [PH 1B(NC-36: MAIN BI	8,426,743	C	12/17/2007	8/8/2012	LL	11/29/2018	\$10,647,856
C2-5209-40-03	NYCMWFA	NEWTOWN CREEK	STP UP [PH 2(NC-41: RESIDUA	8,426,743	C	6/1/2009	5/31/2014	LL	11/29/2018	\$48,660,086
C2-5217-05-01	NYCMWFA	FLUSHING BAY	CSO, INT, REG-IMP [TI-WW WI	8,426,743	C	7/23/2007	6/16/2015	LL	11/29/2018	\$16,135,744
C2-5225-16-03	NYCMWFA	PUMP STATIONS	CSO [CSO-GC GOWANUS PS F	8,426,743	C	9/14/2009	2/26/2016	LL	11/29/2018	\$27,703,725
C2-5234-29-00	NYCMWFA	NORTH RIVER	STP MOD [NORTH RIVER WPC	8,426,743	C	2/28/2013	2/22/2014	LL	11/29/2018	\$1,486,467
C2-5246-01-04	NYCMWFA	CONEY ISLAND CREEK	CSO [PS-79 AVE V PUMP STA1	8,426,743	C	8/8/1997	6/29/2012	LL	11/29/2018	\$3,956,199
C2-5202-03-01	NYCMWFA	HUNTS POINT	STP UP [PHASE 3R]	8,560,072	C	1/25/2010	9/13/2013	SD	7/9/2019	\$9,081,760
C2-5203-12-01	NYCMWFA	BOWERY BAY	STP IMP [BB-205 REPLACE PB	8,560,072	C	1/23/2012	8/6/2016	SD	7/9/2019	\$3,795,359
C2-5205-20-03	NYCMWFA	JAMAICA	STP MOD/UP [JA-2 IPU]	8,560,072	C	4/4/2005	7/15/2015	SD	7/9/2019	\$61,167,025
C2-5206-14-01	NYCMWFA	26TH WARD	STP UP [26W-13 GENERATOR]	8,560,072	C	1/11/2010	2/9/2015	SD	7/9/2019	\$1,529,686
C2-5209-25-12	NYCMWFA	NEWTOWN CREEK	STP UP [WPCP (NC-32 SUPPO	8,560,072	C	6/10/2000	12/13/2009	SD	7/9/2019	\$7,562,220
C2-5209-40-04	NYCMWFA	NEWTOWN CREEK	STP UP [PH 2(NC-41: RESIDUA	8,560,072	C	6/1/2009	5/31/2014	SD	7/9/2019	\$30,840,275
C2-5210-16-01	NYCMWFA	OAKWOOD BEACH	STP IMP [WP-112]	8,560,072	C	3/8/2010	6/12/2015	SD	7/9/2019	\$1,823,761
C2-5223-03-01	NYCMWFA	JAMAICA	CSO [JAMAICA CSO PARALLEI	8,560,072	C	8/13/2013	1/4/2017	SD	7/9/2019	\$415,630
C2-5225-16-04	NYCMWFA	PUMP STATIONS	CSO [CSO-GC GOWANUS PS F	8,560,072	C	9/14/2009	2/26/2016	SD	7/9/2019	\$46,064,354
C2-5225-22-01	NYCMWFA	PUMP STATIONS	PS IMP [PS-173/227 NEW DOU	8,560,072	C	4/18/2005	4/26/2014	SD	7/9/2019	\$1,098,475
C2-5236-13-01	NYCMWFA	PORT RICHMOND	STP IMP [PR-113 WP-112]	8,560,072	C	1/11/2010	2/3/2015	SD	7/9/2019	\$1,078,000
C2-5246-01-05	NYCMWFA	CONEY ISLAND CREEK	CSO [PS-79 AVE V PUMP STA1	8,560,072	C	8/8/1997	6/29/2012	SD	7/9/2019	\$2,776,843
C2-5246-02-01	NYCMWFA	CONEY ISLAND CREEK	CSO [PS-79F AVE V FORCE M/	8,560,072	C	7/23/2007	6/29/2012	SD	7/9/2019	\$4,477,639
C2-5205-14-00	NYCMWFA	JAMAICA	STP IMP [JAMAICA WPCP CLIM	8,426,743	C	7/23/2012	10/22/2013	LL	11/29/2018	\$2,796,960
C2-5209-02-16	NYCMWFA	NEWTOWN CREEK	STP UP [A/E AGREEMENT, PL/	8,426,743	C	5/6/1996	5/5/1999	LL	11/29/2018	\$7,925,184
C2-5209-05-06	NYCMWFA	NEWTOWN CREEK	STP UP [NC WPCP - PH. 2 & P	8,426,743	C	7/23/2001		LL	11/29/2018	\$5,832,295
C2-5209-30-07	NYCMWFA	NEWTOWN CREEK	STP UP [PH. 1B-NC 35:NORTH	8,426,743	C	7/28/2003		LL	11/29/2018	\$3,504,981

**EXHIBIT 3: CONSTRUCTION STARTS AND INITIATE OPERATIONS ON OR PRIOR TO 9/30/2019
CWSRF PROJECTS FUNDED IN FFY 2019***

Proj. Number	Applicant name	Service Area	Description	Population	Proj. Cat	Constr Start	Init Oper	Loan Type	Loan Date	Loan Amount
C2-5209-50-04	NYCMWFA	NEWTOWN CREEK	STP UP [PH. 3(NC-47: SOUTH E	8,426,743	C	10/8/2008		LL	11/29/2018	\$14,742,658
C2-5209-30-08	NYCMWFA	NEWTOWN CREEK	STP UP [PH. 1B-NC 35:NORTH	8,560,072	C	7/28/2003		SD	7/9/2019	\$7,376,323
C2-5209-36-01	NYCMWFA	NEWTOWN CREEK	STP UP [NC-50A (SLUDGE VES	8,560,072	C	3/1/2010		SD	7/9/2019	\$21,802,464
C2-5203-01-09	NYCMWFA	BOWERY BAY	STP IMP [BB-STAB/BB-PH1 - IN	8,426,743	C	12/8/2000		LL	11/29/2018	\$1,376,775
C2-5205-01-15	NYCMWFA	JAMAICA	STP UP [JA-STAB II/1CM A/E, C	8,426,743	C	3/31/1997		LL	11/29/2018	\$2,491,958
C2-5204-01-03	NYCMWFA	TALLMAN ISLAND	STP UP [TI-3 BNR]	8,426,743	C	7/14/2006		LL	11/29/2018	\$50,330,568
C2-5203-15-01	NYCMWFA	BOWERY BAY	STP IMP [BB-61/64 MSP UPGR,	8,560,072	C	6/3/2013		SD	7/9/2019	\$7,385,089
C2-5204-01-04	NYCMWFA	TALLMAN ISLAND	STP UP [TI-3 BNR]	8,560,072	C	7/14/2006		SD	7/9/2019	\$61,838,693
C2-5206-24-00	NYCMWFA	26TH WARD	STP IMP [26W-20 PRIMARY SE	8,560,072	C	4/29/2013		SD	7/9/2019	\$16,159,869
C8-6500-05-00	OAKFIELD, VILLAGE OF	VILLAGE OF OAKFIELD	STP REHAB	1,714	D	7/24/2018		SD	1/10/2019	\$2,365,000
C6-6070-08-14	ONEIDA COUNTY	COUNTY SEWER DISTRICT	FM REHAB, PS REHAB [CONST	232,324	D	9/27/2016		LD	6/13/2019	\$15,000,000
C6-6070-08-04	ONEIDA COUNTY	COUNTY SEWER DISTRICT	FM REHAB, PS REHAB [CONST	232,324	D	9/27/2016		LL	6/13/2019	\$97,656,145
C6-6070-08-05	ONEIDA COUNTY	PHASE 6A	STP UP	232,324	B	9/27/2016		SD	6/13/2019	\$60,000,000
C7-6320-26-03	ONONDAGA COUNTY	ONONDAGA COUNTY LAKE	NPS [GREEN INFRASTRUCTUF	467,669	B	2/6/2017		LL	6/13/2019	\$4,989,789
C7-6322-09-00	ONONDAGA COUNTY	ONONDAGA LAKE IMPROVE	STP UP [PHOSPHOROUS REM	467,669	B	10/6/2017		LL	6/13/2019	\$9,015,101
C7-6330-06-00	ONONDAGA COUNTY	WEST SIDE TRUNK SEWER, CSO, PS, SEW REHAB		467,669	B	9/15/2017		LL	6/13/2019	\$9,736,330
C3-5345-06-00	ORANGETOWN, TOWN OF	ORANGETOWN SEWER DIS	SEW REHAB [I&I IMPROVEME	50,365	B	4/2/2014	12/22/2015	LL	6/13/2019	\$421,206
C3-5345-06-75	ORANGETOWN, TOWN OF	ORANGETOWN SEWER DIS	SEW REHAB [I&I IMPROVEME	50,095	B	4/2/2014	8/31/2017	LD	1/0/1900	-\$10,500
C3-5345-06-76	ORANGETOWN, TOWN OF	ORANGETOWN SEWER DIS	SEW REHAB [I&I IMPROVEME	50,365	B	4/2/2014	8/31/2017	LD	6/13/2019	\$1,454,000
C3-5300-01-00	PAWLING, VILLAGE OF	VILLAGE AND PORTION OF	STP MOD/EXP	2,053	D	1/11/2017		SD	1/10/2019	\$12,069,500
C9-6680-04-00	PERRY, VILLAGE OF	VILLAGE OF PERRY	STP MOD/UP	3,462	D	7/5/2016		SD	6/27/2019	\$7,968,000
C6-6066-02-00	POTSDAM, VILLAGE OF	VILLAGE OF POTSDAM	STP MOD	9,710	D	3/1/2018		SD	2/28/2019	\$12,606,500
C3-5348-02-00	ROCKLAND, TOWN OF	ROSCOE SEWER DISTRICT	STP IMP	541	D	7/19/2019		SD	5/9/2019	\$1,792,125
C8-6470-01-00	RUSHVILLE, VILLAGE OF	VILLAGE	SEW REHAB, STP IMP	597	D	8/14/2018		SD	10/25/2018	\$3,750,000
C5-5516-05-00	SARANAC LAKE, VILLAGE OF	VILLAGE	I/I CORR [WOODRUFF, LAPAN,	5,670	D	3/20/2014		LD	6/20/2019	\$1,918,242
C5-5516-05-01	SARANAC LAKE, VILLAGE OF	VILLAGE	I/I CORR [WOODRUFF, LAPAN,	5,670	D	3/20/2014		SD	6/20/2019	\$1,271,258
C8-6466-03-00	SENECA FALLS, TOWN OF	TOWN OF SENECA FALLS	I/I CORR	8,838	D	6/21/2019		SD	5/30/2019	\$2,212,500
C4-7405-01-00	SLEEPY HOLLOW LAKE SEWERAGE	LAKE	STP IMP	1,990	E	7/2/2019		SD	10/11/2018	\$5,245,558
C3-5377-05-00	SUFFERN, VILLAGE OF	VILLAGE OF SUFFERN	STP IMP [EMERGENCY GENE	10,984	B	1/7/2019		SD	8/22/2019	\$310,335
C3-5378-04-00	THOMPSON, TOWN OF	EMERALD GREEN SEWER	C COLL, REHAB	4,000	B	8/22/2019		SD	2/28/2019	\$2,362,500
C5-5520-07-00	TICONDEROGA, TOWN OF	SEWER DISTRICT	CSO, SEW SEP, STP IMP [STR	4,929	D	7/7/2017		SD	3/28/2019	\$10,973,634
C9-6672-05-01	TONAWANDA, CITY OF	PHASES 5 & 6	I/I CORR	15,000	D	1/26/2017	12/1/2018	LD	11/29/2018	\$2,599,842
C7-6385-02-00	TRUMANSBURG, VILLAGE OF	VILLAGE	STP IMP	1,637	D	7/20/2015	2/20/2017	LD	3/21/2019	\$4,361,388

**EXHIBIT 3: CONSTRUCTION STARTS AND INITIATE OPERATIONS ON OR PRIOR TO 9/30/2019
CWSRF PROJECTS FUNDED IN FFY 2019***

Proj. Number	Applicant name	Service Area	Description	Population	Proj. Cat	Constr Start	Init Oper	Loan Type	Loan Date	Loan Amount
C6-6048-04-01	VERONA, TOWN OF	VERONA SEWER DISTRICT	COLL, FM, PS	300	A	11/15/2018	4/30/2019	LL	6/13/2019	\$322,346
C5-5559-05-00	WASHINGTON COUNTY	SD #2	CSO, I/I CORR, PS IMP, STP IM	15,000	D	4/17/2012	8/18/2015	SD	3/7/2019	\$11,682,500
C3-5332-03-00	WASHINGTONVILLE, VILLAGE OF	VILLAGE OF WASHINGTON\	STP UP/EXP	5,774	B	9/6/2017		SD	10/25/2018	\$9,730,147
C6-6022-05-00	WATERTOWN, CITY OF	CITY OF WATERTOWN	STP REHAB [SCREENINGS AN	26,437	D	12/7/2017	6/13/2019	SD	3/28/2019	\$762,500
C3-5362-18-04	WESTCHESTER COUNTY	NEW ROCHELLE SD	STP UP [CONSTRUCT SNR-06]	975,321	B	4/10/2017	3/22/2019	SD	5/23/2019	\$13,380,000
C3-7353-16-00	WESTCHESTER COUNTY	OSSINING SD	FM REHAB, SEW REHAB [(SO	967,315	B	12/4/2017	7/3/2019	LL	6/13/2019	\$1,514,515
C3-7396-02-05	WESTCHESTER COUNTY	MAMARONECK, NEW ROCH	STP UP [NUTRIENT REMOVAL	975,321	B	4/10/2017	3/22/2019	SD	5/23/2019	\$4,260,000
C3-5381-33-02	WESTCHESTER COUNTY	YONKERS SD	STP REHAB [HVAC (SYO-09) P	975,321	B	4/24/2017		LL	6/13/2019	\$7,301,589
C9-6629-02-00	WESTFIELD, VILLAGE OF	VILLAGE OF WESTFIELD	STP IMP	3,224	D	7/28/2016		SD	3/21/2019	\$5,102,557
C5-5511-08-00	WILLSBORO, TOWN OF	S.D. #1 & 2	COLL, PS IMP, STP IMP	1,948	D	11/1/2013		LD	2/14/2019	\$1,758,118
C8-6358-01-00	WOODHULL, TOWN OF	TOWN OF WOODHULL	COLL, STP	1,999	D	10/22/2018		SD	2/28/2019	\$2,616,000

SD Loan Amount: \$542,798,818

LD Loan Amount: \$102,843,438

LL Loan Amount: \$586,979,024

Notes: 1. Loan Type: LL = Long-Term Leveraged Loan, LD = Long-Term Direct Loan, SD = Short-Term Loan

* Unaudited

EXHIBIT 4
LONG-TERM BINDING COMMITMENT AMOUNTS WITH RESPECT TO
FEDERAL AUTOMATED STANDARD APPLICATION PAYMENTS (ASAP)

	9/30/2018 BALANCE	2019 (\$1000)
LONG-TERM BINDING COMMITMENTS	14,457,553 **	689,822
GRANT AGREEMENTS CLOSED	142,785	3,574
ADMINISTRATION ACCOUNT (4%)	168,390	5,197
CUMULATIVE LT AND ADMIN. COMMITMENTS	14,768,728	15,467,321
PAYMENTS (FEDERAL ASAP)	N/A	175,375
CUMULATIVE PAYMENTS	5,194,792	5,370,167
REQUIRED BINDING COMMITMENTS*	N/A	6,233,750
ACTUAL BC AS A % OF REQUIRED		248%

* 120% of the cumulative federal payments lagged one year.

**The balance includes \$38.0M transferred to CWSRF from DW lev'd loan proceeds, and the Amherst DL conversion (\$0.942M).

EXHIBIT 5
ASAP ACTIVITY
(\$000)

	2018	2019
BEGINNING BALANCE	412,782,808	420,897,922
DEPOSITS	177,159,000	175,375,000
CASH DRAWS	169,043,886	223,397,113
ENDING BALANCE	420,897,922	372,875,809

EXHIBIT 6
SUMMARY OF FINANCING ACTIVITY

	<u>Balance</u> <u>September 30, 2018</u>	<u>FFY 2019</u> <u>Financings Issued</u>	<u>FFY 2019</u> <u>Principal Payments</u>	<u>Balance</u> <u>September 30, 2019</u>
LEVERAGED	5,531,494,320	406,876,879	335,593,950	5,602,777,249
DIRECT	1,850,535,165	264,556,938	61,175,500	2,053,916,603
SHORT TERM *	808,826,544	348,243,866	745,836,119	411,234,291
TOTAL (CUMULATIVE)	<u>8,190,856,029</u>	<u>1,019,677,683</u>	<u>1,142,605,569</u>	<u>8,067,928,143</u>

* short term disbursements are financings issued and not short term loans originated

EXHIBIT 7
 UNAUDITED
 STATEMENT OF NET POSITION
 AS OF SEPTEMBER 30, 2019

	<u>ADMINISTRATION</u>	<u>LOAN PROGRAM</u>	<u>TOTAL</u>
ASSETS			
CASH	-	7,929	7,929
CASH EQUIVALENTS AND INVESTMENTS	137,588,416	2,226,135,070	2,363,723,486
ACCRUED INTEREST ON BONDS AND DIRECT LOANS	-	68,147,587	68,147,587
ACCRUED INTEREST ON CASH AND INVESTMENTS	66,738	18,239,403	18,306,141
ANNUAL FEES RECEIVABLE	554,828	-	554,828
ACCRUED ANNUAL FEES RECEIVABLE	12,886,422	-	12,886,422
PREPAID ASSETS/DEFERRED OUTFLOWS	1,818,871	820,000	2,638,871
SHORT TERM FINANCINGS RECEIVABLE	2,128,104	409,106,187	411,234,291
DIRECT FINANCINGS RECEIVABLE	-	2,053,916,603	2,053,916,603
BONDS RECEIVABLE	-	5,602,777,249	5,602,777,249
TOTAL ASSETS	155,043,379	10,379,150,028	10,534,193,407
LIABILITIES AND NET POSITION			
LIABILITIES			
ACCRUED INTEREST PAYABLE ON BONDS	-	63,161,914	63,161,914
ACCRUED INTEREST SUBSIDY	-	31,901,852	31,901,852
ACCOUNTS PAYABLE AND ACCRUED EXPENSES	2,549,705	-	2,549,705
INTERFUND BALANCES	2,117,523	-	2,117,523
DEBT SERVICE FUNDS PAYABLE	-	8,530,163	8,530,163
PREPAID DEBT SERVICE	-	11,680,632	11,680,632
OTHER LIABILITIES/DEFERRED INFLOWS	71,885,844	2,896,549	74,782,393
BONDS PAYABLE	-	4,797,763,695	4,797,763,695
TOTAL LIABILITIES	76,553,072	4,915,934,805	4,992,487,877
NET POSITION			
RESTRICTED NET POSITION	78,490,307	5,463,215,223	5,541,705,530
TOTAL NET POSITION	78,490,307	5,463,215,223	5,541,705,530

EXHIBIT 8
 UNAUDITED
 STATEMENT OF REVENUES, EXPENSES AND CHANGES IN NET POSITION
 FOR THE YEAR ENDED SEPTEMBER 30, 2019

	<u>ADMINISTRATION</u>	<u>LOAN PROGRAM</u>	<u>TOTAL</u>
OPERATING REVENUES			
ADMINISTRATIVE FEES	17,380,909	-	17,380,909
LESS: TRANSFERRED TO DEC	(3,500,000)	-	(3,500,000)
ADMINISTRATIVE GRANT REVENUES	2,512,000	-	2,512,000
LESS: TRANSFERRED TO DEC	(862,777)	-	(862,777)
INTEREST INCOME ON INVESTMENTS	2,776,103	84,577,478	87,353,581
INTEREST INCOME ON BONDS	-	252,867,745	252,867,745
INTEREST INCOME ON DIRECT FINANCINGS	-	18,079,668	18,079,668
INDIRECT COST RECOVERIES	(344,200)	-	(344,200)
TOTAL OPERATING REVENUES	<u>17,962,035</u>	<u>355,524,891</u>	<u>373,486,926</u>
OPERATING EXPENSES			
INTEREST SUBSIDY PROVIDED	-	102,414,865	102,414,865
INTEREST EXPENSE ON BONDS PAYABLE	-	220,706,558	220,706,558
GRANTS ISSUED/PRINCIPAL FORGIVENESS	3,201,434	47,949,945	51,151,379
ADMINISTRATIVE COSTS	26,675,860	-	26,675,860
TOTAL OPERATING EXPENSES	<u>29,877,294</u>	<u>371,071,368</u>	<u>400,948,662</u>
(DECREASE) INCREASE IN NET POSITION	<u>(11,915,259)</u>	<u>(15,546,477)</u>	<u>(27,461,736)</u>
PROJECT GRANT REVENUES	-	265,564,536	265,564,536
(DECREASE) INCREASE IN NET POSITION	<u>(11,915,259)</u>	<u>250,018,059</u>	<u>238,102,800</u>
BEGINNING NET POSITION	90,405,566	5,213,197,164	5,303,602,730

EXHIBIT 9
UNAUDITED
STATEMENT OF CASH FLOWS
FOR THE YEAR ENDED SEPTEMBER 30, 2019

	<u>ADMINISTRATION</u>	<u>LOAN PROGRAM</u>	<u>TOTAL</u>
CASH FLOWS FROM OPERATING ACTIVITIES			
OPERATING LOSS	(11,915,259)	(15,546,477)	(27,461,736)
ADJUSTMENTS TO RECONCILE OPERATING INCOME TO NET CASH FROM (USED) IN OPERATING ACTIVITIES			
CHANGES IN ASSETS AND LIABILITIES			
CONTRACTUAL SERVICES AND FEES RECEIVABLE	-	-	-
ACCRUED INTEREST RECEIVABLE	121,735	1,231,708	1,353,443
ANNUAL FEES RECEIVABLE	(168,500)	-	(168,500)
ACCRUED ANNUAL FEES RECEIVABLE	(340,473)	-	(340,473)
SHORT TERM LOAN DISBURSEMENTS	(754,173)	(347,489,693)	(348,243,866)
SHORT TERM LOAN REPAYMENTS RECEIVED	689,274	745,146,845	745,836,119
DIRECT LOANS ISSUED	-	(264,556,938)	(264,556,938)
DIRECT LOAN REPAYMENTS RECEIVED	-	61,175,500	61,175,500
BONDS PURCHASED	-	(406,876,879)	(406,876,879)
BOND REPAYMENTS RECEIVED	-	335,593,950	335,593,950
PREPAID ASSETS	309,613	-	309,613
ACCRUED INTEREST PAYABLE ON BONDS	-	(1,548,309)	(1,548,309)
ACCRUED INTEREST SUBSIDY	-	(2,039,590)	(2,039,590)
ACCOUNTS PAYABLE AND ACCRUED EXPENSES	(1,108,187)	-	(1,108,187)
INTERFUND BALANCES	(3,449,857)	-	(3,449,857)
DEBT SERVICE FUNDS PAYABLE	-	4,478,414	4,478,414
PREPAID DEBT SERVICE	-	90,981	90,981
OTHER LIABILITIES	14,649,889	129,911	14,779,800
NET CASH FROM (USED IN) OPERATING ACTIVITIES	<u>(1,965,938)</u>	<u>109,789,423</u>	<u>107,823,485</u>
CASH FLOWS FROM INVESTING ACTIVITIES			
NET PURCHASES OF INVESTMENTS	1,965,938	(373,152,156)	(371,186,218)
NET CASH (USED IN) FROM INVESTING ACTIVITIES	<u>1,965,938</u>	<u>(373,152,156)</u>	<u>(371,186,218)</u>
CASH FLOWS FROM NON CAPITAL FINANCING ACTIVITIES			
PROCEEDS FROM BONDS ISSUED	-	260,515,000	260,515,000
PAYMENTS ON BONDS PAYABLE	-	(262,710,181)	(262,710,181)
CONTRIBUTIONS RECEIVED FROM EPA	-	221,303,780	221,303,780
CONTRIBUTIONS RECEIVED FROM NYS	-	44,260,756	44,260,756
NET CASH FROM NON CAPITAL FINANCING ACTIVITIES	<u>-</u>	<u>263,369,355</u>	<u>263,369,355</u>
NET (DECREASE) IN CASH	-	6,622	6,622
CASH, BEGINNING OF YEAR	-	1,307	1,307
CASH, END OF YEAR	<u><u>-</u></u>	<u><u>7,929</u></u>	<u><u>7,929</u></u>

EXHIBIT 10
AGING OF ACCOUNTS
AS OF SEPTEMBER 30, 2019

	DAYS			
	<u>0 - 30</u>	<u>31 - 60</u>	<u>61 - 120</u>	<u>OVER 121 DAYS</u>
REPAYMENTS OUTSTANDING	0	0	0	0

EXHIBIT 11

LEVERAGED POOL FINANCING AMOUNTS BY PARTICIPANT CREDIT RATING FOR CLEAN WATER SRF (10/1/2018 - 9/30/2019) ^{(1), (2), (3)}

Assistance - Pooled Financings	Aaa / AAA	Aa / AA	A	Baa / BBB	Ba / BB	B	Not Rated	Total
Total 2019A CW Financings - TIC 3.179947	-	39,564,884	173,236,823	51,459,983	-	-	7,837,588	272,099,278
Refinancing	-	-	-	-	-	-	410,685	410,685
New Construction	-	18,304,574	14,576,008	3,207,158	-	-	3,739,074	39,826,814
	0	39,564,884	173,236,823	51,459,983	0	0	7,837,588	272,099,278
Total Amount of Financings	-	39,564,884	173,236,823	51,459,983	-	-	7,837,588	272,099,278
As a Percent of Total Financings	0.00%	14.54%	63.67%	18.91%	0.00%	0.00%	2.88%	100.00%

(1) Includes EFC new money defined as the direct financing of new construction and the refinancing of external bonds and bond anticipation notes.

(2) Refinancings are defined as external bond anticipation notes or bonds refinanced by the corporation into leveraged loans.

(3) New construction amounts are amounts financed for the first time.

Internal EFC Notes:

A. NYCMWFA is excluded in the exhibit as it is the only recipient in a leveraged transaction. No credit spread exists.

B. NYCMWFA is also excluded as the exhibit details only leveraged financings, while recent NYCMWFA transactions have delivered subsidies through a Direct Loan.

Exhibit 12

New York CW Benefits Summary Report for Projects with Water Uses Reported All Loans

	Loans		Projects			Borrowers		
	Assistance Dollars (millions)	Loan Count	Assistance Dollars (millions)	Subsidy Dollars (millions)	Project Count	Facility Population (millions)	Facility Flow (MGD)	Borrower Count
Total Records	10,471.8	1,376	10,756.0		1,444	131.6	14,175	478
Records with Benefits Data	7,199.0	786	7,373.3	3,662.9	837	29.2	13,678	234
Impacting Human Health	6,669.5	593	6,854.8	3,454.0	619	19.8	13,434	164
	93%	75%	93%		74%	2,969	People Served per \$million	70%
With Impaired Waterbody			14,876.4	8,000.3	506	17.6	3,464	77
			202%		60%	2,800	People Served per \$million	33%
With Waterbody Meeting Standards			220.9	136.4	90			
To Improve Water Quality			11,493.7	6,170.3	477			
To Maintain Water Quality			4,248.9	2,280.5	334			
To Achieve Compliance			11,043.4	5,974.5	419			
To Maintain Compliance			4,618.2	2,445.9	340			

Exhibit 13A

Clean Water SRF Reporting

Additional Subsidy or GPR for New York - 2017 Cap Grant

Report Generated: 11/26/2019 -- Data Last Modified: 11/26/2019 9:17:00 AM

Tracking Number	Recipient	1st Agreement Date in Selected	Assistance Amount	Grant Amount	Negative Interest Amount	Principal Forgiveness Amount	Project Population Served	GPR Amount
5159-01-00	Freeport, Village of	9/19/2018	115,000	115,000	0	0	43,251	115,000
5204-01-02	NYCMWFA	3/2/2017	48,553,947	0	0	0	410,812	3,878,852
5355-08-00	Clarkstown, Town of	8/13/2018	700,000	700,000	0	0	86,334	700,000
5402-14-00	Albany MWF Authority	3/16/2017	6,833,266	1,750,000	0	0	98,142	0
5404-17-00	Cohoes, City of	8/13/2018	275,000	275,000	0	0	16,281	275,000
5439-03-00	Ravena, Village of	9/9/2019	225,000	225,000	0	0	0	225,000
5579-02-00	Malone, Village of	2/5/2015	19,000,000	3,127,500	0	0	11,805	0
6021-03-00	Carthage-West Carthage, Villages of	8/10/2017	2,753,000	0	0	0	5,701	50,000
6040-03-00	Mohawk, Village of	9/19/2018	1,300,000	1,300,000	0	0	2,571	1,300,000
6070-10-00	Oneida County	9/19/2018	1,315,000	1,315,000	0	0	233,558	1,315,000
6234-06-00	Cayuga County	6/18/2018	395,000	395,000	0	0	0	395,000
6275-05-00	Cortland, City of	2/1/2018	3,169,584	495,725	0	0	19,134	0
6320-25-00	Onondaga County	7/9/2018	860,000	860,000	0	0	4,683,040	860,000
6331-04-00	Broome County	8/8/2018	1,120,000	527,819	0	0	198,093	527,819
6413-02-01	Addison, Village of	7/19/2018	450,900	225,450	0	0	1,788	450,900
6454-02-00	Dundee, Village of	9/19/2018	865,000	865,000	0	0	0	865,000
6602-22-01	Buffalo Sewer Authority	2/1/2018	3,738,000	1,869,000	0	0	259,517	3,738,000
6638-06-00	Amherst, Town of	8/14/2019	432,000	432,000	0	0	0	432,000
9208-02-00	University at Albany	8/14/2019	132,000	132,000	0	0	0	132,000
9219-02-00	NYC Department of Parks & Recreation	12/6/2018	560,000	560,000	0	0	8,426,743	560,000
9253-01-00	Lewis County Soil and Water Conservation Dist	5/16/2019	380,000	380,000	0	0	0	380,000
9255-01-00	Broadway Stages	9/9/2019	900,000	900,000	0	0	0	900,000
Total for all 22 Agreements			94,072,697	16,449,494	0	0	14,496,770	17,099,571

Exhibit 13B
Clean Water SRF Reporting

Additional Subsidy or GPR for New York - 2018 Cap Grant

Report Generated: 11/26/2019 -- Data Last Modified: 11/26/2019 9:17:00 AM

Tracking Number	Recipient	1st Agreement Date in Selected	Assistance Amount	Grant Amount	Negative Interest Amount	Principal Forgiveness Amount	Project Population Served	GPR Amount
6112-03-00	Ilion, Village of	10/3/2019	1,500,000	1,500,000	0	0	7,390	1,500,000
6201-03-05	Binghamton - Johnson City	3/29/2018	21,255,761	0	0	0	61,398	296,800
6214-01-00	Waverly, Village of	12/22/2016	9,244,758	0	0	0	4,416	102,410
7348-05-00	Poughkeepsie, City of	10/9/2019	660,000	660,000	0	0	0	660,000
9256-01-00	Jefferson Community College	8/14/2019	528,000	528,000	0	0	0	528,000
9258-01-00	Lakewood, Village of	8/14/2019	417,000	417,000	0	0	0	417,000
Total for all 6 Agreements			33,605,519	3,105,000	0	0	73,204	3,504,210