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NYBA

New York Bankers Association

99 Park Avenue

New York, NY 10016-1502

212.297.1664 Fax 212.297.1622

email bbosies@nyba.com

William J. Bosies
Group Vice President

January 28, 2002

Federal Election Commission
999 E Street, N.W.
Washington, D.C. 20463

RE: NEW YORK BANKERS POLITICAL ACTION COMMITTEE
(Federal Fund ID No. COOO81422)

Dear Sir/Madam:

Enclosed please find the January 31 Year-End Report covering the period of July 1, 2001 through December 31, 2001 for the New York Bankers Political Action Committee duly signed by me as Treasurer.

Sincerely,

William J. Bosies, Jr.
Treasurer

WJB:klj
Enclosures

Cc: Carl Montanino
Associate Accountant
New York State Board of Elections
40 Steuben Street
Albany, NY 12707-2109

Mr. Gary W. Fields
Treasurer
National BankPAC Committee
1120 Connecticut Avenue, N.W.
Washington, D.C. 20036

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2002 JAN 29 P 12:53

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FEC FORM 3X

REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee

1. NAME OF COMMITTEE (In full) — USE FEC MAILING LABEL OR TYPE OR PRINT ▼ — Example: If typing, type over the lines. — 12FE4M5

New York Bankers Political Action Committee

ADDRESS (number and street) ▼ 99 Park Avenue, 4th Floor

☐ Check if different than previously reported. (ACC)

CITY ▲ New York — STATE ▲ NY — ZIP CODE ▲ 10016-1502

2. FEC IDENTIFICATION NUMBER ▼ C00081422

3. IS THIS REPORT ☐ NEW (N) OR ☐ AMENDED (A)

4. TYPE OF REPORT (Choose One)

(a) Quarterly Reports:

- ☐ April 15 Quarterly Report (Q1)
- ☐ July 15 Quarterly Report (Q2)
- ☐ October 15 Quarterly Report (Q3)
- ☐ January 31 Year-End Report (YE)
- ☐ July 31 Mid-Year Report (Non-election Year Only) (MY)
- ☐ Termination Report (TER)

(b) Monthly Report Due On:

- ☐ Feb 20 (M2)
- ☐ Mar 20 (M3)
- ☐ Apr 20 (M4)
- ☐ May 20 (M5)
- ☐ Jun 20 (M6)
- ☐ Jul 20 (M7)
- ☐ Aug 20 (M8)
- ☐ Sep 20 (M9)
- ☐ Oct 20 (M10)
- ☐ Nov 20 (M11) (Non-Election Year Only)
- ☐ Dec 20 (M12) (Non-Election Year Only)
- ☐ Jan 31 (YE)

(c) 12-Day PRE-Election Report for the: ☐ Primary (12P) ☐ General (12G) ☐ Runoff (12R) ☐ Convention (12C) ☐ Special (12S)

Election on ___ / ___ / ___ in the State of ___

(d) 30-Day POST-Election Report for the: ☐ General (30G) ☐ Runoff (30R) ☐ Special (30S)

Election on ___ / ___ / ___ in the State of ___

5. Covering Period 07 / 01 / 2001 through 12 / 31 / 2001

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer William J. Bagley, Jr

Signature of Treasurer [signature] Date ___ / ___ / ___

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C. §437g.

Office Use Only							

FEC FORM 3X (Revised 1/01)

FE1AN048

SUMMARY PAGE
OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Revised 1/01)

Write or Type Committee Name

New York Bankers Political Action Committee

Report Covering the Period: From: 07 / 01 / 2001 To: 12 / 31 / 2001

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, 2001		747 38
(b) Cash on Hand at Beginning of Reporting Period	21,209 38	
(c) Total Receipts (from Line 19)	28,750 00	492,120 00
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	49,959 38	499,538
7. Total Disbursements (from Line 30)	49,000 00	490,000
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	959 38	959 38
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	0	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	0	

☐ This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission
999 E Street, NW
Washington, DC 20463

Toll Free 800-424-9530
Local 202-694-1100

DETAILED SUMMARY PAGE
of Receipts

FEC Form 3X (Revised 1/01)

Write or Type Committee Name

New York Bankers Political Action Committee

Report Covering the Period: From: 07 / 01 / 2001 To: 12 / 31 / 2001

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11. Contributions (other than loans) From:		
(a) Individuals/Persons Other Than Political Committees		
(i) Itemized (use Schedule A)	58 5 000	
(ii) Unitemized	129 00 00	
(iii) TOTAL (add Lines 11(a)(i) and (ii)) ▶	187 50 00	3 37 12 00
(b) Political Party Committees	0	0
(c) Other Political Committees (such as PACs)	100 00 00	1 55 00 00
(d) Total Contributions (add Lines 11(a)(iii), (b), and (c)) (Carry Totals to Line 32, page 4) ▶	287 50 00	4 92 12 00
12. Transfers From Affiliated/Other Party Committees	0	0
13. All Loans Received	0	0
14. Loan Repayments Received	0	0
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) (Carry Totals to Line 36, page 4)	0	0
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees	0	0
17. Other Federal Receipts (Dividends, Interest, etc.)	0	0
18. Transfers from Nonfederal Account for Joint Activity	0	0
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18) ▶	28 750 00	4 92 12 00
20. Total Federal Receipts (subtract Line 18 from Line 19) ▶	28 750 00	4 92 12 00

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Revised 1/01)

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Shared Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share	0	0
(ii) Non-Federal Share	0	0
(b) Other Federal Operating Expenditures	0	0
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b)) ▶	0	0
22. Transfers to Affiliated/Other Party Committees	4900000	4900000
23. Contributions to Federal Candidates/Committees and Other Political Committees	0	0
24. Independent Expenditures (use Schedule E)	0	0
25. Coordinated Expenditures Made by Party Committees [2 U.S.C. §441a(d)] (use Schedule F)	0	0
26. Loan Repayments Made	0	0
27. Loans Made	0	0
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees	0	0
(b) Political Party Committees	0	0
(c) Other Political Committees (such as PACs)	0	0
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)) ▶	0	0
29. Other Disbursements	0	0
30. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), and 29) ▶	4900000	4900000
31. Total Federal Disbursements (subtract Line 21(a)(ii) from Line 30) ▶	4900000	4900000

III. Net Contributions/Operating Expenditures		
32. Total Contributions (other than loans) (from Line 11(d), page 3)	2875000	4921200
33. Total Contribution Refunds (from Line 28(d))	0	0
34. Net Contributions (other than loans) (subtract Line 33 from Line 32)	0	0
35. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)) ▶	0	0
36. Offsets to Operating Expenditures (from Line 15, page 3)	0	0
37. Net Operating Expenditures (subtract Line 36 from Line 35) ▶	0	0

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one) [X] 11a [ ] 11b [ ] 11c [ ] 12 [ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)
New York Bankers Political Action Committee

A.
Full Name (Last, First, Middle Initial): Elias, Barbara V.
Mailing Address: 31 Halston Parkway
City: East Amherst | State: NY | Zip Code: 14051
FEC ID number of contributing federal political committee: C
Name of Employer: Elias Asset Managemant
Occupation: Treasurer
Receipt For: [ ] Primary [X] General [ ] Other (specify)
Aggregate Year-to-Date: 5,000.00
Date of Receipt: 07 / 11 / 2001
Amount of Each Receipt this Period: 5,000.00

B.
Full Name (Last, First, Middle Initial): Sabia, Peter A.
Mailing Address: 400 Calvin Street
City: Dumore | State: PA | Zip Code: 18512
FEC ID number of contributing federal political committee: C
Name of Employer: Community Bank, N.A.
Occupation: Director
Receipt For: [ ] Primary [X] General [ ] Other (specify)
Aggregate Year-to-Date: 5,000.00
Date of Receipt: 07 / 11 / 2001
Amount of Each Receipt this Period: 5,000.00

C.
Full Name (Last, First, Middle Initial): Sullivan, Stephen F.
Mailing Address: 56 Condon Road
City: Stillwater | State: NY | Zip Code: 12170
FEC ID number of contributing federal political committee: C
Name of Employer: The Adirondack Trust Co.
Occupation: Director
Receipt For: [ ] Primary [X] General [ ] Other (specify)
Aggregate Year-to-Date: 10,000.00
Date of Receipt: 07 / 13 / 2001
Amount of Each Receipt this Period: 10,000.00

SUBTOTAL of Receipts This Page (optional) ▶ 20,000.00

TOTAL This Period (last page this line number only) ▶ 1,585,000.00

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one) [x] 11a [ ] 11b [ ] 11c [ ] 12 [ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

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NAME OF COMMITTEE (In Full)

New York Bankers Political Action Committee

A. Full Name (Last, First, Middle Initial): Kopp, Charles E.
Mailing Address: 136 Wood Acres
City: East Amherst State: NY Zip Code: 14051
FEC ID number of contributing federal political committee: C
Name of Employer: Community Bank, N.A.
Occupation: Program Manager
Receipt For: [ ] Primary [x] General [ ] Other (specify)
Aggregate Year-to-Date: 2500.00
Date of Receipt: 06 / 03 / 2001
Amount of Each Receipt this Period: 250.00

B. Full Name (Last, First, Middle Initial): Hoy, Thomas L.
Mailing Address: 25 Pershing Road
City: Queensbury State: NY Zip Code: 12804
FEC ID number of contributing federal political committee: C
Name of Employer: Arrow Financial Corporation
Occupation: President & CEO
Receipt For: [ ] Primary [x] General [ ] Other (specify)
Aggregate Year-to-Date: 1000.00
Date of Receipt: 10 / 19 / 2001
Amount of Each Receipt this Period: 1000.00

C. Full Name (Last, First, Middle Initial): Humphrey, Peter G.
Mailing Address: 230 West Buffalo Street
City: Warsaw State: NY Zip Code: 14569
FEC ID number of contributing federal political committee: C
Name of Employer: Financial Institutions, Inc.
Occupation: Chairman, Pres. & CEO
Receipt For: [ ] Primary [x] General [ ] Other (specify)
Aggregate Year-to-Date: 3000.00
Date of Receipt: 10 / 19 / 2001
Amount of Each Receipt this Period: 3000.00

SUBTOTAL of Receipts This Page (optional) ..... ▶ 1550.00

TOTAL This Period (last page this line number only) ..... ▶ 1550.00

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one) PAGE 3 OF 5

[x] 11a [ ] 11b [ ] 11c [ ] 12 [ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

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NAME OF COMMITTEE (In Full)
New York Bankers Association

A.
Full Name (Last, First, Middle Initial): Doyle, Michael J.
Mailing Address: 54 Lake Street
City: Hammondsport State: NY Zip Code: 14840
FEC ID number of contributing federal political committee: C
Name of Employer: Bath National Bank
Occupation: Director
Receipt For: [ ] Primary [x] General [ ] Other (specify)
Aggregate Year-to-Date: 250.00
Date of Receipt: 10 / 19 / 2001
Amount of Each Receipt this Period: 250.00

B.
Full Name (Last, First, Middle Initial): Hemminger, Dale
Mailing Address: Box 168
City: Seneca Castle State: NY Zip Code: 14547
FEC ID number of contributing federal political committee: C
Name of Employer: National Bank of Genova
Occupation: Director
Receipt For: [ ] Primary [x] General [ ] Other (specify)
Aggregate Year-to-Date: 300.00
Date of Receipt: 10 / 19 / 2001
Amount of Each Receipt this Period: 300.00

C.
Full Name (Last, First, Middle Initial): Browne, Lynn E.
Mailing Address: 72 Redfield Parkway
City: Batavia State: NY Zip Code: 14020
FEC ID number of contributing federal political committee: C
Name of Employer: Pavilion State Bank
Occupation: Director
Receipt For: [ ] Primary [x] General [ ] Other (specify)
Aggregate Year-to-Date: 500.00
Date of Receipt: 10 / 19 / 2001
Amount of Each Receipt this Period: 500.00

SUBTOTAL of Receipts This Page (optional) ▶ 1050.00

TOTAL This Period (last page this line number only) ▶ 1585.00

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one)
[x] 11a [ ] 11b [ ] 11c [ ] 12
[ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

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NAME OF COMMITTEE (In Full)

New York Bankers Political Action Committee

A.
Full Name (Last, First, Middle Initial): Koelmel, John R.
Mailing Address: 5576 Oakridge Drive
City: Hamburg State: NY Zip Code: 14075
FEC ID number of contributing federal political committee: C
Name of Employer: Financial Institutions, Inc
Occupation: Chief Administrative Officer
Receipt For: [ ] Primary [x] General [ ] Other (specify)
Aggregate Year-to-Date: 250.00
Date of Receipt: 10/19/2001
Amount of Each Receipt this Period: 250.00

B.
Full Name (Last, First, Middle Initial): McCabe, Douglas L.
Mailing Address: 48 Lake Street
City: Hammondsport State: NY Zip Code: 14840
FEC ID number of contributing federal political committee: C
Name of Employer: Bath National Bank
Occupation: President & CEO
Receipt For: [ ] Primary [x] General [ ] Other (specify)
Aggregate Year-to-Date: 250.00
Date of Receipt: 10/19/2001
Amount of Each Receipt this Period: 250.00

C.
Full Name (Last, First, Middle Initial): Rowe, Daniel T.
Mailing Address: P.O. Box 162
City: East Setauket State: NY Zip Code: 11733
FEC ID number of contributing federal political committee: C
Name of Employer: State Bank of Long Island
Occupation: Vice Chairman
Receipt For: [ ] Primary [x] General [ ] Other (specify)
Aggregate Year-to-Date: 250.00
Date of Receipt: 11/28/2001
Amount of Each Receipt this Period: 250.00

SUBTOTAL of Receipts This Page (optional) ▶ 750.00

TOTAL This Period (last page this line number only) ▶ 158500

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one) PAGE 5 OF 5

[x] 11a [ ] 11b [ ] 11c [ ] 12
[ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

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NAME OF COMMITTEE (In Full)
New York Bankers Association

A.
Full Name (Last, First, Middle Initial)
Merzbacher, Richard W.

Mailing Address
75 Fairview Road

City: Farmingdale State: NY Zip Code: 11735

FEC ID number of contributing federal political committee: C

Name of Employer: State Bank of Long Island
Occupation: President

Receipt For: [ ] Primary [x] General [ ] Other (specify) ▼

Aggregate Year-to-Date ▼: 25000

Date of Receipt: 11 / 28 / 2001

Amount of Each Receipt this Period: 25000

B.
Full Name (Last, First, Middle Initial)
Goldrick, Thomas F., Jr.

Mailing Address
One Pell Lane

City: Syosset State: NY Zip Code: 11791

FEC ID number of contributing federal political committee: C

Name of Employer: State Bank of Long Island
Occupation: Chairman & CEO

Receipt For: [ ] Primary [x] General [ ] Other (specify) ▼

Aggregate Year-to-Date ▼: 25000

Date of Receipt: 11 / 28 / 2001

Amount of Each Receipt this Period: 25000

C.
Full Name (Last, First, Middle Initial)

Mailing Address

City State Zip Code

FEC ID number of contributing federal political committee: C

Name of Employer
Occupation

Receipt For: [ ] Primary [ ] General [ ] Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional) ▶ 5000.

TOTAL This Period (last page this line number only) ▶ 158500

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one) [ ] 11a [ ] 11b [x] 11c [ ] 12 [ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

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NAME OF COMMITTEE (In Full)
New York Bankers Political Action Committee

A.
Full Name (Last, First, Middle Initial): The Bank of New York Political Action Committee
Mailing Address: One Wall Street
City: New York State: NY Zip Code: 10286
FEC ID number of contributing federal political committee: C00188884
Name of Employer:
Occupation:
Receipt For: [ ] Primary [x] General [ ] Other (specify)
Aggregate Year-to-Date: 5,000.00
Date of Receipt: 12 / 17 / 2001
Amount of Each Receipt this Period: 5,000.00

B.
Full Name (Last, First, Middle Initial): HSBC USA Political Action Committee
Mailing Address: One HSBC Center
City: Buffalo State: NY Zip Code: 14203
FEC ID number of contributing federal political committee: C00139774
Name of Employer:
Occupation:
Receipt For: [ ] Primary [x] General [ ] Other (specify)
Aggregate Year-to-Date: 5,000.00
Date of Receipt: 12 / 19 / 2001
Amount of Each Receipt this Period: 5,000.00

C.
Full Name (Last, First, Middle Initial):
Mailing Address:
City: State: Zip Code:
FEC ID number of contributing federal political committee: C
Name of Employer:
Occupation:
Receipt For: [ ] Primary [ ] General [ ] Other (specify)
Aggregate Year-to-Date:
Date of Receipt: / /
Amount of Each Receipt this Period:

SUBTOTAL of Receipts This Page (optional) ▶ 10,000.00

TOTAL This Period (last page this line number only) ▶ 105,850.00

31A0042

SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one)
[ ] 21b [X] 22 [ ] 23 [ ] 24 [ ] 25
[ ] 26 [ ] 27 [ ] 28a [ ] 28b [ ] 28c [ ] 29

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NAME OF COMMITTEE (In Full)
New York Bankers Political Action Committee

A.
Full Name (Last, First, Middle Initial)
American Bankers Association BankPAC

Mailing Address
1120 Connecticut Avenue NW

City: Washington State: DC Zip Code: 20036

Purpose of Disbursement: transfer to affiliated committee

Category/Type: 0 0 8

Candidate Name

Office Sought: [ ] House [ ] Senate [ ] President

State: District:

Disbursement For: [ ] Primary [X] General [ ] Other (specify) ▼

Date of Disbursement: 0 7 / 2 6 / 2 0 0 1

Amount of Each Disbursement this Period: 2,500.00

B.
Full Name (Last, First, Middle Initial)
American Bankers Association BankPAC

Mailing Address
1120 Connecticut Avenue NW

City: Washington State: DC Zip Code: 20036

Purpose of Disbursement: transfer to affiliated committee

Category/Type: 0 0 8

Candidate Name

Office Sought: [ ] House [ ] Senate [ ] President

State: District:

Disbursement For: [ ] Primary [X] General [ ] Other (specify) ▼

Date of Disbursement: 1 2 / 2 6 / 2 0 0 1

Amount of Each Disbursement this Period: 2,500.00

C.
Full Name (Last, First, Middle Initial)

Mailing Address

City State Zip Code

Purpose of Disbursement

Category/Type

Candidate Name

Office Sought: [ ] House [ ] Senate [ ] President

State: District:

Disbursement For: [ ] Primary [ ] General [ ] Other (specify) ▼

Date of Disbursement

Amount of Each Disbursement this Period

SUBTOTAL of Disbursements This Page (optional) ▶ 4 9 0 0 0 0

TOTAL This Period (last page this line number only) ▶ 6,900.00

Federal Election Commission

ENVELOPE REPLACEMENT PAGE FOR INCOMING DOCUMENTS

The Commission has added this page to the end of this filing to indicate how it was received.

☑	Hand Delivered	Date of Receipt 1-29-02
☐	First Class Mail	POSTMARKED
☐	Registered/Certified Mail	POSTMARKED (R/C)
☐	No Postmark	
☐	Postmark Illegible	
☐	Received from the House office of Records and Registration	Date of Receipt
☐	Received from the Senate Office of Public Records	Date of Receipt
☐	Other (Specify):	Postmarked _____ and/or Date of Receipt
☐	Electronic Filing	

PREPARER	1-29-02 DATE PREPARED

(6/2000)