

RESOLUTION – CODE OF ETHICS AMENDMENT

At a meeting of the Rensselaer County Water and Sewer Authority, held at 333 Broadway, Troy, New York, on the 23rd day of March, 2023 at 11:00 a.m. local time, the following Members of the Authority were:

	PRESENT:	ABSENT:
Robert Pasinella, Jr.	<u> x </u>	<u> </u>
Kenneth M. Harting	<u> </u>	<u> x </u>
John Mooney	<u> x </u>	<u> </u>
John H. Murphy IV	<u> x </u>	<u> </u>

ALSO PRESENT:

Linda von der Heide, Chief Executive Officer
William Film, Chief Financial Officer
Philip H. Dixon, Authority Counsel

After the meeting had been duly called to order, the following Resolution was offered by Mr. Pasinella and seconded by Mr. Murphy, to wit:

WHEREAS, the Rensselaer County Water and Sewer Authority (the “Authority”) has adopted a code of Ethics applicable to the members and employees of the Authority; and

WHEREAS, to improve its Code of Ethics, and consistent with Section 2824(5) of the Public Authorities Law, the Authority has determined that it is appropriate to amend its Code of Ethics by adding subparagraph 2(j) thereto.

WHEREAS, to improve its Code of Ethics, and consistent with Authority Budget Office guidance, the Authority has determined that it is appropriate to amend its Code of Ethics by adding subparagraph 2(j) thereto.

NOW, THEREFORE, it is hereby

RESOLVED, that the Authority code of Ethics is hereby amended by adding subparagraph 2(j) thereto, as reflected in the copy of the Code attached hereto and made a part hereof.

The question of the adoption of the foregoing Resolution was duly put to a vote on roll call, which resulted as follows:

Robert Pasinella, Jr.	voting <u>yes</u>
Kenneth M. Harting	voting <u>absent</u>
John Mooney	voting <u>yes</u>
John H. Murphy IV	voting <u>yes</u>

The foregoing Resolution was thereupon declared duly adopted.

CODE OF ETHICS

1. Generally. This Code of Ethics applies to both the members and the employees of the Rensselaer County Water and Sewer Authority (the "Authority"). The purpose of this Code of Ethics is to promote honest and ethical conduct and compliance with the law.

2. Standards.

(a) No member or employee of the Authority should have any interest, financial or otherwise, direct or indirect, or engage in any business or transaction or professional activity or incur any obligation of any nature, which is in substantial conflict with the proper discharge of his duties. Pursuant to Section 1199-c(3) of the Public Authorities Law, service as a member or employee of the Authority shall not by virtue of such service be deemed incompatible or in conflict with such member's employment with the State or any municipality or public benefit corporation.

(b) No member of the Authority should accept other employment which will impair his independence of judgment in the exercise of his official duties.

(c) No member or employee of the Authority should accept employment or engage in any business or professional activity which will require him to disclose confidential information which he has gained by reason of his official position or authority.

(d) No member or employee of the Authority should disclose confidential information acquired by him in the course of his official duties nor use such information to further his personal interests.

(e) No member or employee of the Authority should use or attempt to use his official position to secure unwarranted privileges or exemptions for himself or others.

(f) No member or employee of the Authority should engage in any transaction as representative or agent of the Authority with any business entity in which he has a direct or indirect financial interest that might reasonably tend to conflict with the proper discharge of his official duties.

(g) A member or employee of the Authority should not by his conduct give reasonable basis for the impression that any person can improperly influence him or unduly enjoy his favor in the performance of his official duties, or that he is affected by the kinship, rank, position or influence of any party or person.

(h) A member or employee of the Authority should abstain from making personal investments in any enterprise which he has reason to believe may be directly involved in a decision to be made by him or which will otherwise create substantial conflict between his duty in the public interest and his private interest.

(i) A member or employee of the Authority should endeavor to pursue a course of conduct which will not raise suspicion among the public that he is likely to be engaged in acts that are in violation of his trust.

(j) The Authority shall not extend credit to a member or employee.

3. Violations. In addition to any penalty contained in any other provision of law any such member or employee who shall knowingly and intentionally violate any of the provisions of this section may be fined, suspended or removed from office or employment in the manner provided by law.