

Please be sure to provide an answer for every question even if the answer is N/A

## Truth in Testimony Disclosure Form

In accordance with Rule XI, clause 2(g)(5)\*, of the *Rules of the House of Representatives*, witnesses are asked to disclose the following information. Please complete this form electronically by filling in the provided blanks.

Committee: Education and Labor

Subcommittee: Workforce Protections

Hearing Date: June 12, 2019

Hearing Title :

"Restoring the Value of Work: Evaluating DOL's Efforts to Undermine Strong Overtime Protections."

Witness Name: Anne Babcock-Stiner

Position/Title: Sr. Vice President of Human Resources

Witness Type:  Governmental  Non-governmental

Are you representing yourself or an organization?  Self  Organization

If you are representing an organization, please list what entity or entities you are representing:

PathStone Corporation  
400 East Avenue  
Rochester, NY 14607

If you are a non-governmental witness, please list any federal grants or contracts (including subgrants or subcontracts) related to the hearing's subject matter that you or the organization(s) you represent at this hearing received in the current calendar year and previous two calendar years. Include the source and amount of each grant or contract. *If necessary, attach additional sheet(s) to provide more information.*

Please see attached schedules of federal awards from single audits for FY 2016, FY 2017, FY 2018

If you are a non-governmental witness, please list any contracts or payments originating with a foreign government and related to the hearing's subject matter that you or the organization(s) you represent at this hearing received in the current year and previous two calendar years. Include the amount and country of origin of each contract or payment. *If necessary, attach additional sheet(s) to provide more information.*

N/A

**PATHSTONE CORPORATION AND AFFILIATES**  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
**For The Year Ended September 30, 2016**

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Passed Through To Subrecipients	Federal Expenditures
<b>Department of Housing and Urban Development</b>				
Housing Counseling Assistance Program	14.169	Not Applicable	\$ 58,826	\$ 204,158
				<u>204,158</u>
Community Development Block Grants/Entitlement				
Grants Passed Through the Town of Greece	14.218	Not Available		10,000
Community Development Block Grants/Entitlement				
Grants Passed Through the City of Anderson	14.218	None		153,534
				<u>163,534</u>
Supportive Housing Program	14.235	Not Applicable		69,022
Supportive Housing Program	14.235	Not Applicable		238,004
Supportive Housing Program				
Passed Through: Tempro Development Company, Inc.	14.235	None		228,053
				<u>535,079</u>
<b>HOME Investment Partnerships Program:</b>				
Loans Passed Through: Pennsylvania Housing Finance Agency	14.239	Not Available		300,514
Loans Passed Through: Puerto Rico Housing Finance Authority	14.239	2015-PRH		481,498
Loans Passed Through: NYS Housing Trust Fund	14.239	Not Available		3,034,000
Loans Passed Through: City of Rochester	14.239	2012-389		494,449
Loans Passed Through: City of Rochester	14.239	24497		760,241
Loans Passed Through: City of Rochester	14.239	2003-26		358,000
Loans Passed Through: City of Rochester	14.239	None		486,000
Loans Passed Through: City of Rochester	14.239	None		150,000
Loans Passed Through: County of Monroe	14.239	None		770,000
Loans Passed Through: City of Rochester	14.239	26292		447,486
Loans Passed Through: NYS Housing Trust Fund	14.239	None		4,210,384
Loans Passed Through: NYS Housing Trust Fund	14.239	20100004150591		1,671,969
Loans Passed Through: City of Rochester	14.239	Not Available		500,000
Loans Passed Through: City of Rochester	14.239	22953		300,000
Loans Passed Through: City of Rochester	14.239	127823		360,000
Loans Passed Through: NYS Housing Trust Fund	14.239	20050247		425,000
Loans Passed Through: NYS Housing Trust Fund	14.239	20000135		1,074,834
Loans Passed Through: County of Monroe	14.239	Not Available		520,000
Loans Passed Through: County of Monroe	14.239	Not Available		500,000
Loans Passed Through: Ohio Housing Finance Agency	14.239	N-B-03-491-1		450,000
Loans Passed Through: Ithaca Urban Renewal Agency	14.239	M-07-MC-36-0515		90,000
Loans Passed Through: County of Chester	14.239	Not Available		677,234
Passed Through: NYS DHCR, Manufactured Homes	14.239	20113416		22,523
Passed Through: NYS DHCR	14.239	20133170		161,430
Passed Through: NYS DHCR	14.239	20133177		64,062
Passed Through: NYS DHCR	14.239	20153127		2,035
Loans Passed Through: City of Muncie's Department of Community Development	14.239	Not Available		65,352
				<u>18,377,011</u>
Capacity Building for Affordable Housing - NY and PA	14.252	PA 42478-0020, PA 42374-0021		140,567
				<u>140,567</u>
<b>Housing Opportunities for Persons with AIDS:</b>				
Passed Through: City of Poughkeepsie	14.241	Not Available		436
Passed Through: NYS Office of Temporary Disability Assistance	14.241	C021681		282,642
Passed Through: Public Health Solutions	14.241	Not Available		91,042
				<u>374,120</u>
Supportive Housing for Persons with Disabilities	14.181	Not Applicable		<u>1,420,642</u>
Supportive Housing for the Elderly - (Loan Funds)	14.157	Not Applicable		2,151,216
Supportive Housing for the Elderly - (Loan Funds)	14.157	Not Applicable		4,653,123
<b>Supportive Housing for the Elderly:</b>				
Loan Funds Passed Through the Commonwealth of Puerto Rico Department of Housing	14.157	Not Available		1,740,600
				<u>8,544,939</u>

**PATHSTONE CORPORATION AND AFFILIATES**  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
For The Year Ended September 30, 2016  
(Continued)

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Passed Through To Subrecipients	Federal Expenditures
<u>Department of Housing and Urban Development (Continued)</u>				
Section 8 Housing Choice Vouchers:				
Passed Through: NYS Dept of Housing and Community Renewal	14.871	Not Available		3,720,996
Total Department of Housing and Urban Development				<u>33,481,046</u>
<u>Department of Justice</u>				
Legal Assistance for Victims				
Passed Through Legal Aid Society of Rochester	16.524	OVW-2014-X0237-NY-WL		21,522
Total Department of Justice				<u>21,522</u>
<u>Department of Labor</u>				
Senior Community Service Employment Program:				
Passed Through National Council on Aging	17.235	AD-24193-13-55-A-71,75,76 and 77		6,434,995
WIA Youth Activities:				
Passed Through Montgomery County Department of Commerce	17.259	Y213-150 & Y214-150		154,266
Passed Through Cumberland County	17.259	REP 13-65 REP 13-66		84,618
				<u>238,884</u>
Reintegration of Ex-Offenders:				
Power to Earn	17.270	Not Applicable		398,870
TW3 Adult Re-Entry	17.270	Not Applicable		412,650
Face Forward - Youth Employment	17.270	Not Applicable		1,601,808
Training to Work - Adult Re-Entry	17.270	Not Applicable		3,074
				<u>2,416,402</u>
National Farmworker Jobs Program:				
Housing 167 Farmworker Jobs Program	17.264	Not Applicable	18,250	809,004
Ohio 167 Farmworker Jobs Program	17.264	Not Applicable		1,240,739
New Jersey 167 Farmworker Jobs Program	17.264	Not Applicable		675,234
Pennsylvania 167 Farmworker Jobs Program	17.264	Not Applicable		1,412,287
New York 167 Farmworker Jobs Program	17.264	Not Applicable		1,577,359
Vermont 167 Farmworker Jobs Program	17.264	Not Applicable		201,824
Puerto Rico 167 Farmworker Jobs Program	17.264	Not Applicable		2,942,538
				<u>8,858,985</u>
Total Department of Labor				<u>17,949,266</u>
<u>Department of Agriculture</u>				
Child and Adult Food Care Program:				
Passed Through: State of New Jersey	10.558	13-11-577		8,090
Passed Through: State of Pennsylvania	10.558	300216760		242,835
				<u>250,925</u>
Rural Rental Housing Loans	10.415	Not Applicable		2,835,159
Farm Labor Housing Loans and Grants	10.405	Not Applicable		362,306
Rural Rental Assistance Payments	10.427	Not Applicable		378,777
Intermediary Relending Program - (Loan Funds)	10.767	Not Applicable		577,462
Intermediary Relending Program, Pass-through L.I.S.C.				
Passed Through: Local Initiatives Support Corporation	10.767	12328		148,684
				<u>726,146</u>
Rural Microentrepreneur Assistance Program - (Loan Funds)	10.870	Not Applicable		91,399
Total Department of Agriculture				<u>4,644,712</u>

**PATHSTONE CORPORATION AND AFFILIATES**  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
**For The Year Ended September 30, 2016**  
**(Continued)**

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Passed Through To Subrecipients	Federal Expenditures
<u>Department of Health and Human Services</u>				
Occupational Safety and Health Program:				
Passed Through: NYS Department of Labor	93.262	C014512, C014793		118,376
Temporary Assistance for Needy Families:				
Passed Through PA Dept. of Public Welfare	93.558	4100064737		82,708
Passed Through PA Dept. of Comm. and Development	93.558	4100064740		115,342
Passed Through PA Dept. of Comm. and Development	93.558	4100064738		280,029
Passed Through Monroe County	93.558	MC14 & MC 15-001		103,635
Passed Through Monroe County	93.558	850-4490-2018-8800-0000		114,810
Passed Through Chester County	93.558	16150 & 16615		356,948
				1,053,472
Low Income Home Energy Assistance:				
Passed Through: NYS DHCR	93.568	C092044/2015		618,367
Passed Through: NYS DHCR	93.568	C092044/2016		177,993
				796,360
<u>Department of Health and Human Services (Continued)</u>				
Community Services Block Grant:				
Passed Through: Ohio Dept. of State	93.569	E3517		20,924
NY State Department of State	93.569	C1000315		405,458
Action for Better Community	93.569	C1000303		44,847
Pennsylvania Department of Economic Opportunity	93.569	C000057100		225,215
				696,444
Child Care and Development Block Grant:				
Passed Through PA Department of Education	93.575	130-140164		584,136
Family Violence Prevention and Services/ Grants For Battered Women's Shelters				
	93.671	Not Applicable		25,728
Head Start Program:				
Direct	93.600	Not Applicable		1,120,013
Passed Through PA Department of Education	93.600	141-140164		267,176
Passed Through Carbon County Intermediate	93.600	26-1280-320-000-00-047		67,924
Passed Through East Coast Migrant	93.600	90-CM-0087		4,524,732
Early Head Start	93.600	Not Applicable		900,202
				6,880,047
Block Grants for Prevention and Treatment of Substance Abuse:				
Passed Through Ohio Department of Alcohol/ Drug Addiction Services	93.959	99-8255-YMENT-P-15-0222 99-8255-CPREV-P-15-0051		13,552
				17,504
				31,056
HIV Care Formula Grants:				
Passed Through Health Research, Inc.	93.917	3779-04 and 3779-05		65,449
				65,449
HIV Prevention Activities, Health Department Based				
Passed Through Health Research Incorporated	93.940	4457-01 and 4457-02		62,366
Total Department of Health and Human Services				10,313,434
<u>Small Business Administration</u>				
Microloan Demonstration Program	59.046	Not Applicable		320,476
Total Small Business Administration				320,476
<u>Department of Energy</u>				
Weatherization Assistance for Low Income Persons				
Passed Through NYS DHCR	81.042	C092044/2015 C092044/2016		42,952
				336,025
Total Department of Energy				378,977

**PATHSTONE CORPORATION AND AFFILIATES**  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
**For The Year Ended September 30, 2016**  
(Continued)

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Passed Through To Subrecipients	Federal Expenditures
<u>Department of Homeland Security</u>				
Emergency Food and Shelter National Board Program:	97.024	Not Applicable		1,246
Passed Through United Way				198
Passed Through Chautauqua County, New York	97.024	614000-007		1,229
Passed Through Ulster County, New York	97.024	None Available		1,863
Oswego County, New York	97.024	676600-004		<u>4,536</u>
Total Department of Homeland Security				
<u>Department of the Treasury</u>				
NeighborWorks America	21.000	Not Applicable		<u>801,787</u>
Total Department of Treasury				<u>801,787</u>
<u>Department of Veterans Affairs</u>				
VA Supportive Services for Veteran Families Program	64.033	Not Applicable	19,573	<u>176,143</u>
Total Department of Veterans Affairs				<u>176,143</u>
<u>U.S. Environmental Protection Agency</u>				
Environmental Workforce Development and Job Training Cooperative Agreements	66.815	Not Applicable		<u>88,391</u>
				<u>88,391</u>
<u>Department of Education</u>				
Rehabilitation Services	84.128	H128G100006-13		<u>58,802</u>
Total Department of Education				<u>58,802</u>
Total Federal Expenditures				<u>\$ 68,239,092</u>

**PATHSTONE CORPORATION AND AFFILIATES**  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
**For The Year Ended September 30, 2017**

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Passed Through To Subrecipients	Federal Expenditures
<u>Department of Housing and Urban Development</u>				
Housing Counseling Assistance Program	14.169	Not Applicable	\$ 120,146	\$ 232,051
Housing Counseling Assistance Program Passed Through Indiana Housing and Community Development Authority	14.169	IFPN-2015-041		156
				<u>232,207</u>
Supportive Housing Program	14.235	Not Applicable		11,510
Supportive Housing Program	14.235	Not Applicable		56,635
Supportive Housing Program Passed Through: Tempro Development Company, Inc.	14.235	None		20,020
				<u>88,165</u>
<u>HOME Investment Partnerships Program:</u>				
Loans Passed Through: Pennsylvania Housing Finance Agency	14.239	Not Available		300,514
Loans Passed Through: Puerto Rico Housing Finance Authority	14.239	2015-PRH		531,314
Loans Passed Through: NYS Housing Trust Fund	14.239	Not Available		3,034,000
Loans Passed Through: City of Rochester	14.239	2012-389		494,449
Loans Passed Through: City of Rochester	14.239	24497		760,241
Loans Passed Through: City of Rochester	14.239	2003-26		358,000
Loans Passed Through: City of Rochester	14.239	None		486,000
Loans Passed Through: City of Rochester	14.239	None		150,000
Loans Passed Through: City of Rochester	14.239	2006-349		200,000
Loans Passed Through: County of Monroe	14.239	None		770,000
Loans Passed Through: City of Rochester	14.239	26292		447,486
Loans Passed Through: NYS Housing Trust Fund	14.239	None		4,210,384
Loans Passed Through: NYS Housing Trust Fund	14.239	20100004150591		1,671,969
Loans Passed Through: NYS Housing Trust Fund	14.239	20060098		440,366
Loans Passed Through: City of Rochester	14.239	Not Available		500,000
Loans Passed Through: City of Rochester	14.239	22953		300,000
Loans Passed Through: City of Rochester	14.239	127823		400,000
Loans Passed Through: NYS Housing Trust Fund	14.239	20146008		235,469
Loans Passed Through: NYS Housing Trust Fund	14.239	20050247		425,000
Loans Passed Through: NYS Housing Trust Fund	14.239	20000135		1,074,834
Loans Passed Through: County of Monroe	14.239	Not Available		520,000
Loans Passed Through: County of Monroe	14.239	Not Available		500,000
Loans Passed Through: Ohio Housing Finance Agency	14.239	N-B-03-491-1		450,000
Loans Passed Through: Ithaca Urban Renewal Agency	14.239	M-07-MC-36-0515		90,000
Loans Passed Through: County of Chester	14.239	Not Available		516,356
Passed Through: NYS DHCR	14.239	20133170		19,586
Passed Through: NYS DHCR	14.239	20133177		98,054
Passed Through: NYS DHCR	14.239	20153127		133,001
Loans Passed Through: City of Muncie's Department of Community Development	14.239	Not Available		65,352
				<u>19,182,375</u>
Capacity Building for Affordable Housing - NY and PA	14.252	PA 42478-0020, PA 42374-0021		77,522
				<u>77,522</u>
<u>Housing Opportunities for Persons with AIDS:</u>				
Passed Through: NYS Office of Temporary Disability Assistance	14.241	C021681		314,079
Passed Through: Public Health Solutions	14.241	Not Available		76,567
				<u>390,646</u>
Supportive Housing for Persons with Disabilities	14.181	Not Applicable		<u>1,417,097</u>
Supportive Housing for the Elderly - (Loan Funds)	14.157	Not Applicable		2,150,735
Supportive Housing for the Elderly - (Loan Funds)	14.157	Not Applicable		5,392,600
Supportive Housing for the Elderly	14.157	Not Applicable		154,856
Supportive Housing for the Elderly: Loan Funds Passed Through the Commonwealth of Puerto Rico Department of Housing	14.157	Not Available		1,740,600
				<u>9,438,791</u>
Rural Innovation Fund	14.263	Not Applicable		<u>84</u>

**PATHSTONE CORPORATION AND AFFILIATES**  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
**For The Year Ended September 30, 2017**  
**(Continued)**

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Passed Through To Subrecipients	Federal Expenditures
<u>Department of Housing and Urban Development (Continued)</u>				
Section 8 Housing Choice Vouchers:				
Passed Through: NYS Dept of Housing and Community Renewal	14.871	Not Available		3,610,913
Total Department of Housing and Urban Development				<u>34,437,800</u>
<u>Department of Justice</u>				
Legal Assistance for Victims				
Passed Through Legal Aid Society of Rochester	16.524	OVW-2016-X0237-NY-WL		17,362
Total Department of Justice				<u>17,362</u>
<u>Department of Labor</u>				
Senior Community Service Employment Program:				
Passed Through National Council on Aging	17.235	AD-24193-13-55-A-71,75,76 and 77		9,066,629
WIOA Adult Program,:				
Passed Through Chester County	17.258	17867		2,207
WIA Youth Activities:				
Passed Through Cumberland County	17.259	REP 13-65 REP 13-66		90,765
Passed Through Chester County	17.259	17880		63,356
				<u>154,121</u>
Reintegration of Ex-Offenders:				
Power to Earn	17.270	Not Applicable		42,517
TW3 Adult Re-Entry	17.270	Not Applicable		676,842
Face Forward - Youth Employment	17.270	Not Applicable		1,366,285
Training to Work - Adult Re-Entry	17.270	Not Applicable		306,272
				<u>2,391,916</u>
National Farmworker Jobs Program:				
Housing 167 Farmworker Jobs Program	17.264	Not Applicable	22,000	953,264
Ohio 167 Farmworker Jobs Program	17.264	Not Applicable		1,199,730
New Jersey 167 Farmworker Jobs Program	17.264	Not Applicable		622,761
Pennsylvania 167 Farmworker Jobs Program	17.264	Not Applicable		1,355,846
New York 167 Farmworker Jobs Program	17.264	Not Applicable		1,626,098
Vermont 167 Farmworker Jobs Program	17.264	Not Applicable		175,080
Puerto Rico 167 Farmworker Jobs Program	17.264	Not Applicable		2,793,013
				<u>8,725,792</u>
Total Department of Labor				<u>20,340,665</u>
<u>Department of Agriculture</u>				
Child and Adult Food Care Program:				
Passed Through: State of Pennsylvania	10.558	300216760		292,757
Passed Through: State of New York	10.558	Not Available		30,634
				<u>323,391</u>
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program:				
Passed Through: Chester County	10.561	Not Available		35,806
Passed Through: Cumberland	10.561	4100064738		53,581
Passed Through: Bucks County	10.561	4100058079		21,755
Passed Through: Carbon County	10.561	4100064737		323
				<u>111,465</u>
Rural Rental Housing Loans				
Farm Labor Housing Loans and Grants (Loan Funds)	10.415	Not Applicable		2,816,654
Farm Labor Housing Loans and Grants (Grant Funds)	10.405	Not Applicable		606,817
Rural Rental Assistance Payments	10.427	Not Applicable		189,374
				414,026
Intermediary Relending Program - (Loan Funds)				
Intermediary Relending Program - (Loan Funds)	10.767	Not Applicable		577,165
Passed Through: Local Initiatives Support Corporation	10.767	12328		148,912
				<u>726,077</u>
Rural Microentrepreneur Assistance Program				
Rural Microentrepreneur Assistance Program - (Loan Funds)	10.870	Not Applicable		184
	10.870	Not Applicable		81,661
				<u>81,845</u>
Total Department of Agriculture				<u>5,269,649</u>

**PATHSTONE CORPORATION AND AFFILIATES**  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
**For The Year Ended September 30, 2017**  
**(Continued)**

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Passed Through To Subrecipients	Federal Expenditures
<u>Department of Health and Human Services</u>				
Occupational Safety and Health Program:				
Passed Through: NYS Department of Labor	93.262	C014512, C014793		<u>130,540</u>
Temporary Assistance for Needy Families:				
Passed Through PA Dept. of Public Welfare	93.558	4100064737		74,792
Passed Through PA Dept. of Comm. and Development	93.558	4100064740		80,984
Passed Through PA Dept. of Comm. and Development	93.558	4100064738		262,864
Passed Through Monroe County	93.558	MC14 & MC 15-001		75,199
Passed Through Monroe County	93.558	850-4490-2018-8800-0000		110,592
Passed Through Chester County	93.558	16150 & 16615		<u>309,962</u>
				<u>914,393</u>
Low Income Home Energy Assistance:				
Passed Through: NYS DHCR	93.568	C092044/2016		685,391
Passed Through: NYS DHCR	93.568	C092044/2017		<u>141,098</u>
				<u>826,489</u>
Community Services Block Grant:				
Passed Through: Ohio Dept. of State	93.569	E3517		20,262
NY State Department of State	93.569	C1000857		5,075
NY State Department of State	93.569	C1000777		330,358
Action for Better Community	93.569	C1000303		51,908
Pennsylvania Department of Economic Opportunity	93.569	C000057100		<u>253,011</u>
				<u>660,614</u>
Head Start Program:				
Direct	93.600	Not Applicable		1,084,477
Passed Through Carbon County Intermediate	93.600	26-1280-320-000-00-047		31,811
Passed Through East Coast Migrant	93.600	90-CM-0087	20	4,406,790
Early Head Start	93.600	Not Applicable		<u>895,104</u>
				<u>6,418,182</u>
Assets for Independence Demonstration Program				
Passed Through Indiana Housing and Community Development Authority	93.602	IDA012B-023 and IDA013-023		<u>19,804</u>
Block Grants for Prevention and Treatment of Substance Abuse:				
Passed Through Ohio Department of Alcohol/ Drug Addiction Services	93.959	99-8255-YMENT-P-17-0222 99-8255-CPREV-P-17-0051		21,615
				<u>38,461</u>
				<u>60,076</u>
HIV Prevention Activities, Health Department Based				
Passed Through Health Research Incorporated	93.940	4457-01 and 4457-02		<u>33,880</u>
Total Department of Health and Human Services				<u>9,063,978</u>
<u>Small Business Administration</u>				
Microloan Demonstration Program	59.046	Not Applicable		<u>320,476</u>
Total Small Business Administration				<u>320,476</u>
<u>Department of Energy</u>				
Weatherization Assistance for Low Income Persons				
Passed Through NYS DHCR	81.042	C092044/2016 C092044/2017		106,902
				<u>325,492</u>
Total Department of Energy				<u>432,394</u>



**PATHSTONE CORPORATION AND AFFILIATES**  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
**For The Year Ended September 30, 2017**  
(Continued)

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Passed Through To Subrecipients	Federal Expenditures
<u>Department of Homeland Security</u>				
Emergency Food and Shelter National Board Program:	97.024	Not Applicable		3,204
Passed Through Chautauqua County, New York	97.024	614000-007		2,500
Passed Through Ulster County, New York	97.024	Not Available		844
Orange County, New York	97.024	676600-004		3,995
Dutchess County, New York	97.024	Not Available		1,500
Total Department of Homeland Security				<u>12,043</u>
<u>Department of the Treasury</u>				
NeighborWorks America	21.000	Not Applicable	75,000	720,393
Community Development Financial Institutions Program	21.020	Not Applicable		34
Total Department of Treasury				<u>720,427</u>
<u>Department of Veterans Affairs</u>				
VA Supportive Services for Veteran Families Program	64.033	Not Applicable	31,075	180,486
Total Department of Veterans Affairs				<u>180,486</u>
<u>U.S. Environmental Protection Agency</u>				
Environmental Workforce Development and Job Training Cooperative Agreements	66.815	Not Applicable		73,448
				<u>73,448</u>
<u>Department of Education</u>				
Rehabilitation Services	84.128	H128G100006-14		112,768
Total Department of Education				<u>112,768</u>
Total Federal Expenditures			<u>\$ 248,241</u>	<u>\$ 70,981,496</u>

**PATHSTONE CORPORATION AND AFFILIATES**  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
**For The Year Ended September 30, 2018**

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Passed Through To Subrecipients	Federal Expenditures
<b>Department of Housing and Urban Development</b>				
Housing Counseling Assistance Program	14.169	Not Applicable	\$ 89,877	\$ 249,753
Housing Counseling Assistance Program Passed Through Indiana Housing and Community Development Authority	14.169	IFPN-030		<u>2,310</u>
				<u>252,063</u>
<b>HOME Investment Partnerships Program:</b>				
Loans Passed Through: Pennsylvania Housing Finance Agency	14.239	Not Available		300,514
Loans Passed Through: Puerto Rico Housing Finance Authority	14.239	2015-PRH		531,314
Loans Passed Through: Puerto Rico Housing Finance Authority	14.239	2016-PRH073		2,341,427
Loans Passed Through: NYS Housing Trust Fund	14.239	Not Available		3,034,000
Loans Passed Through: City of Rochester	14.239	2012-389		494,449
Loans Passed Through: City of Rochester	14.239	24497		760,241
Loans Passed Through: City of Rochester	14.239	2003-26		358,000
Loans Passed Through: City of Rochester	14.239	None		486,000
Loans Passed Through: City of Rochester	14.239	None		150,000
Loans Passed Through: City of Rochester	14.239	2006-349		200,000
Loans Passed Through: County of Monroe	14.239	None		770,000
Loans Passed Through: City of Rochester	14.239	26292		447,486
Loans Passed Through: NYS Housing Trust Fund	14.239	None		4,210,384
Loans Passed Through: NYS Housing Trust Fund	14.239	20100004150591		1,671,969
Loans Passed Through: NYS Housing Trust Fund	14.239	20060098		440,366
Loans Passed Through: City of Rochester	14.239	Not Available		500,000
Loans Passed Through: City of Rochester	14.239	22953		300,000
Loans Passed Through: City of Rochester	14.239	127823		400,000
Loans Passed Through: NYS Housing Trust Fund	14.239	20146008		235,469
Loans Passed Through: NYS Housing Trust Fund	14.239	20050247		425,000
Loans Passed Through: NYS Housing Trust Fund	14.239	20000135		1,074,834
Loans Passed Through: County of Monroe	14.239	Not Available		520,000
Loans Passed Through: County of Monroe	14.239	Not Available		500,000
Loans Passed Through: Ohio Housing Finance Agency	14.239	N-B-03-491-1		450,000
Loans Passed Through: Ithaca Urban Renewal Agency	14.239	M-07-MC-36-0515		90,000
Loans Passed Through: County of Chester	14.239	Not Available		466,781
Passed Through: NYS Homes and Community Renewal	14.239	20153127		210,924
Passed Through: NYS Homes and Community Renewal	14.239	20163143		153,750
Loans Passed Through: City of Muncie's Department of Community Development	14.239	Not Available		<u>65,352</u>
				<u>21,588,260</u>
<b>Capacity Building for Affordable Housing</b>				
Passed Through: Enterprise Community Partners, Inc.	14.252	17SG0791		23,175
Passed Through: Enterprise Community Partners, Inc.	14.252	17SG0893		33,608
Passed Through: Local Initiatives Support Corporation, PA	14.252	PA 42478 (0035-0042)		<u>88,870</u>
				<u>145,653</u>
<b>Housing Opportunities for Persons with AIDS:</b>				
Passed Through: NYS Office of Temporary Disability Assistance	14.241	C021681		352,423
Passed Through: Public Health Solutions	14.241	16-ROC-890E		<u>80,847</u>
				433,270
<b>Supportive Housing for Persons with Disabilities - (Capital Advance)</b>				
Supportive Housing for Persons with Disabilities	14.181	Not Applicable		1,366,000
Supportive Housing for Persons with Disabilities	14.181	Not Applicable		<u>54,436</u>
				<u>1,420,436</u>
<b>Supportive Housing for the Elderly - (Loan Funds)</b>				
Supportive Housing for the Elderly - (Loan Funds)	14.157	Not Applicable		2,084,318
Supportive Housing for the Elderly - (Loan Funds)	14.157	Not Applicable		5,392,600
Supportive Housing for the Elderly	14.157	Not Applicable		70,154
Supportive Housing for the Elderly	14.157	Not Applicable		190,297
<b>Supportive Housing for the Elderly:</b>				
Loan Funds Passed Through the Commonwealth of Puerto Rico Department of Housing	14.157	Not Available		<u>1,740,600</u>
				<u>9,477,969</u>
<b>Continuum of Care Program</b>				
Passed Through: New York State	14.267	NY1059L2C001600		<u>100,041</u>

**PATHSTONE CORPORATION AND AFFILIATES**  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
**For The Year Ended September 30, 2018**  
(Continued)

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Passed Through To Subrecipients	Federal Expenditures
<u>Department of Housing and Urban Development (Continued)</u>				
Section 8 Housing Choice Vouchers:				
Passed Through: NYS Dept of Housing and Community Renewal	14.871	Not Available		3,873,505
Total Department of Housing and Urban Development				<u>37,291,197</u>
<u>Department of Justice</u>				
Legal Assistance for Victims				
Passed Through Legal Aid Society of Rochester	16.524	OVW-2016-X0237-NY-WL		17,464
Juvenile Mentoring Program	16.726	Not Applicable		396,109
Total Department of Justice				<u>413,573</u>
<u>Department of Labor</u>				
Senior Community Service Employment Program:				
Passed Through New York State Office for the Aging	17.235	C18016GG		29,084
Passed Through National Council on Aging	17.235	31805-18-55-A-51-71,75,76,77,81 and 82		10,580,545
				<u>10,609,629</u>
WIOA Adult Program,:				
Passed Through Chester County	17.258	17867		21,558
WIA Youth Activities:				
Passed Through Cumberland County	17.259	RFP 17-43; RFP 10-39		75,566
Passed Through Chester County	17.259	17880		272,917
				<u>348,483</u>
Reintegration of Ex-Offenders:				
TW3 Adult Re-Entry	17.270	Not Applicable		258,675
Face Forward - Youth Employment	17.270	Not Applicable		877,516
Re-Entry Projects	17.270	Not Applicable		26,393
Training to Work - Adult Re-Entry	17.270	Not Applicable		272,278
				<u>1,434,862</u>
WIA/WIOA Dislocated Worker Formula Grants				
Passed Through Chester County	17.278			50,902
National Farmworker Jobs Program:				
Housing 167 Farmworker Jobs Program	17.264	Not Applicable	18,250	896,736
Ohio 167 Farmworker Jobs Program	17.264	Not Applicable		1,078,923
New Jersey 167 Farmworker Jobs Program	17.264	Not Applicable		635,333
Pennsylvania 167 Farmworker Jobs Program	17.264	Not Applicable		1,521,310
New York 167 Farmworker Jobs Program	17.264	Not Applicable		1,488,858
Vermont 167 Farmworker Jobs Program	17.264	Not Applicable		193,870
Puerto Rico 167 Farmworker Jobs Program	17.264	Not Applicable		3,240,477
				<u>9,055,507</u>
Total Department of Labor				<u>21,520,941</u>
<u>Department of Agriculture</u>				
Child and Adult Food Care Program:				
Passed Through: State of Pennsylvania	10.558	300216760		281,641
Passed Through: State of New York	10.558	Not Available		22,358
				<u>303,999</u>
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program:				
Passed Through: Chester County	10.561	Not Available		24,215
Passed Through: Cumberland	10.561	4100064738		20,434
Passed Through: Bucks County	10.561	4100058079		35,870
				<u>80,519</u>
Rural Rental Housing Loans	10.415	Not Applicable		2,793,417
Farm Labor Housing Loans and Grants (Loan Funds)	10.405	Not Applicable		604,448
Rural Rental Assistance Payments	10.427	Not Applicable		495,405

**PATHSTONE CORPORATION AND AFFILIATES**  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
**For The Year Ended September 30, 2018**  
(Continued)

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Passed Through To Subrecipients	Federal Expenditures
<u>Department of Agriculture (Continued)</u>				
Intermediary Relending Program - (Loan Funds)	10.767	Not Applicable		450,813
Intermediary Relending Program - (Loan Funds)				<u>148,912</u>
Passed Through: Local Initiatives Support Corporation	10.767	12328		<u>599,725</u>
Rural Microentrepreneur Assistance Program - (Loan Funds)	10.870	Not Applicable		<u>76,639</u>
Total Department of Agriculture				<u>4,954,152</u>
<u>Department of Health and Human Services</u>				
Occupational Safety and Health Program:				
Passed Through: NYS Department of Labor	93.262	C014512, C014793		<u>127,474</u>
Temporary Assistance for Needy Families:				
Passed Through PA Dept. of Public Welfare	93.558	4100064737		84,104
Passed Through PA Dept. of Comm. and Development	93.558	4100064738		77,061
Passed Through PA Dept. of Comm. and Development	93.558	4100064738		216,101
Passed Through Monroe County	93.558	MC17-001		118,959
Passed Through Monroe County	93.558	850-4490-2018-8800-0000		111,647
Passed Through Chester County	93.558	16150 & 16615		<u>282,796</u>
				<u>890,668</u>
Low Income Home Energy Assistance:				
Passed Through: NYS Homes and Community Renewal	93.568	C092044/2017		739,157
Passed Through: NYS Homes and Community Renewal	93.568	C092044/2018		<u>273,449</u>
				<u>1,012,606</u>
Community Services Block Grant:				
Passed Through: Ohio Dept. of State	93.569	E3517		26,192
NY State Department of State	93.569	C1000777		289,735
Action for Better Community	93.569	Not Available		46,566
Pennsylvania Department of Economic Opportunity	93.569	C000057100		<u>231,274</u>
				<u>593,767</u>
Family Violence Prevention and Services/ Domestic Violence Shelter and Supportive Services	93.671	Not Applicable		<u>29,045</u>
Head Start Program:				
Direct	93.600	Not Applicable		1,148,419
Passed Through Carbon County Intermediate	93.600	26-1280-320-000-00-047		32,525
Passed Through East Coast Migrant	93.600	90-CM-9796		4,124,367
Early Head Start	93.600	Not Applicable		<u>964,906</u>
				<u>6,270,217</u>
Assets for Independence Demonstration Program				
Passed Through Indiana Housing and Community Development Authority	93.602	IDA011-023		<u>14,501</u>
Block Grants for Prevention and Treatment of Substance Abuse:				
Passed Through Ohio Department of Alcohol/ Drug Addiction Services	93.959	99-8255-YMENT-P-17-0222 99-8255-CPREV-P-17-0051		30,502
				<u>24,521</u>
				<u>55,023</u>
Total Department of Health and Human Services				<u>8,993,301</u>
<u>Small Business Administration</u>				
Microloan Demonstration Program	59.046	Not Applicable		<u>262,236</u>
Total Small Business Administration				<u>262,236</u>

**PATHSTONE CORPORATION AND AFFILIATES**  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
**For The Year Ended September 30, 2018**  
(Continued)

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Passed Through To Subrecipients	Federal Expenditures
<u>Department of Energy</u>				
Weatherization Assistance for Low Income Persons				
Passed Through NYS Homes and Community Renewal	81.042	C092044/2017		184,631
Passed Through NYS Homes and Community Renewal	81.042	C092044/2018		<u>174,776</u>
Total Department of Energy				<u>359,407</u>
<u>Department of Homeland Security</u>				
Emergency Food and Shelter National Board Program:				
Passed Through the United Way	97.024	LRO ID#596200-059		11,843
Passed Through Chautauqua County, New York	97.024	614000-007		3,002
Passed Through Ulster County, New York	97.024	Not Available		500
Orange County, New York	97.024	676600-004		1,300
Dutchess County, New York	97.024	Not Available		<u>1,000</u>
Total Department of Homeland Security				<u>17,645</u>
<u>Department of the Treasury</u>				
NeighborWorks America	21.000	Not Applicable		643,578
Community Development Financial Institutions Program	21.020	Not Applicable		<u>41</u>
Total Department of Treasury				<u>643,619</u>
<u>Department of Veterans Affairs</u>				
VA Supportive Services for Veteran Families Program	64.033	Not Applicable	16,759	<u>148,913</u>
Total Department of Veterans Affairs				<u>148,913</u>
<u>U.S. Environmental Protection Agency</u>				
Environmental Workforce Development and Job Training				
Cooperative Agreements	66.815	Not Applicable		121,748
Surveys, Studies, Investigations, Demonstrations, and Training				
Grants and Cooperative Agreements	66.436	Not Applicable		<u>3,912</u>
Total U.S. Environmental Protection Agency				<u>125,660</u>
<u>Department of Education</u>				
Rehabilitation Services	84.128	H128G100006-14		<u>57,552</u>
Total Department of Education				<u>57,552</u>
Total Federal Expenditures			<u>\$ 124,886</u>	<u>\$ 74,788,196</u>