

**AGGRAVATED SEXUAL ABUSE IN THE FOURTH DEGREE  
(Inserts a Finger; Incapacity to Consent Other than Age)**

**Penal Law § 130.65-a (1) (b)  
(Committed on or after Nov. 1, 2003)<sup>1</sup>  
(Revised December 2013)<sup>2</sup>**

The (*specify*) count is Aggravated Sexual Abuse in the Fourth Degree.

Under our law, a person is guilty of Aggravated Sexual Abuse in the Fourth Degree when he or she inserts a finger in the vagina [or urethra] [or penis] [or rectum] [or anus] of another person causing physical injury to such person and such person is incapable of consent.<sup>3</sup>

Conduct performed for a valid medical purpose does not

---

<sup>1</sup> This instruction is applicable to crimes committed on or after November 1, 2003, except for: (1) the terminology “or anus,” which was added by the laws of 2009, ch 45, effective January 7, 2010; and (2) the provision set forth in Penal Law § 130.05 (3) (i), which was added by the laws of 2012, chapter 501, effective January 16, 2013, and which is set forth in the text to which footnote 28 is appended.

<sup>2</sup> The revision was to accommodate the statutory amendments noted in footnote one. The revision also makes uniform the instructions for article 130 sections regarding people who are incapable of consenting that include as an element that the defendant is not married to the complainant or that contain the statutory defense that the defendant was married to the complainant at the time of the alleged offense (see Penal Law §§ 130.05 [3] and 130.10 [4]). For instances where “not married to the [complainant]” is a statutory element, that language appears in the portions of the instructions that mirror the statutory language of the appropriate subdivision, then as applicable, that element must be included in the court’s charge. For instances where marriage to the complainant is a defense, the instructions contain a note indicating the circumstances under which the defense applies; if the defense is in issue, the “not married to the [complainant]” element must be included in the court’s charge.

<sup>3</sup> At this point, the statutory definition continues: “by reason of some factor other than being less than seventeen years old” (Penal Law § 130.65-a [1] [b]). That portion of the statute has been omitted here. Instead, those factors are set forth below in the definition of the term “incapable of consent.”

violate the provisions of this law.<sup>4</sup>

The following terms used in that definition have a special meaning:

PHYSICAL INJURY means impairment of physical condition or substantial pain.<sup>5</sup>

It is an element of this crime that the insertion of a finger take place without consent.<sup>6</sup> Such insertion takes place without a person's consent when that person is deemed by law to be INCAPABLE OF CONSENT. Under our law, a person is deemed incapable of consenting to such insertion when he or she is:

*[NOTE: Select appropriate alternative:*

mentally disabled.<sup>7</sup>

MENTALLY DISABLED means that a person suffers from a mental disease or defect which renders him or her incapable of appraising the nature of his or her conduct.<sup>8</sup>

or

mentally incapacitated.<sup>9</sup>

---

<sup>4</sup> Penal Law § 130.65-a (2).

<sup>5</sup> Penal Law § 10.00 (9); See *People v Chiddick*, 8 NY3d 445 (2007).

<sup>6</sup> Penal Law § 130.05 (1).

<sup>7</sup> Penal Law § 130.05 (3) (b).

<sup>8</sup> Penal Law § 130.00 (5).

<sup>9</sup> Penal Law § 130.00 (3) (c).

**MENTALLY INCAPACITATED** means that a person is rendered temporarily incapable of appraising or controlling his or her conduct owing to the influence of a narcotic or intoxicating substance administered to him or her without his or her consent (or to any other act committed upon him or her without his or her consent).<sup>10</sup>

*or*

physically helpless.<sup>11</sup>

**PHYSICALLY HELPLESS** means that a person is unconscious or for any other reason is physically unable to communicate unwillingness to an act.<sup>12</sup>

*or*

committed to the care and custody or supervision of the state department of corrections and community supervision or a hospital,<sup>13</sup> and the actor is an employee,<sup>14</sup> who knows or reasonably should know that such person is committed to the care and custody or supervision of such department or hospital.<sup>15</sup>

*or*

---

<sup>10</sup> Penal Law § 130.00 (6).

<sup>11</sup> Penal Law § 130.05 (3) (d).

<sup>12</sup> Penal Law § 130.00 (7).

<sup>13</sup> If in issue, the definition of "hospital" is set forth in Correction Law § 400 (2).

<sup>14</sup> If in issue, the definition of "employee" is set forth in Penal Law § 130.05 (3) (e).

<sup>15</sup> Penal Law § 130.05 (3) (e).

committed to the care and custody of a local correctional facility,<sup>16</sup> and the actor is an employee,<sup>17</sup> not married to such person,<sup>18</sup> who knows or reasonably should know that such person is committed to the care and custody of such facility.<sup>19</sup>

*or*

committed to or placed with the office of children and family services and in residential care, and the actor is an employee,<sup>20</sup> not married to such person,<sup>21</sup> who knows or reasonably should know that such person is committed to or placed with the office of children and family services and residential care.<sup>22</sup>

*or*

a client or patient and the actor is a health care provider<sup>23</sup>

---

<sup>16</sup> If in issue, the definition of “local correctional facility” is set forth in Correction Law § 40 (2).

<sup>17</sup> If in issue, the definition of “employee” is set forth in Penal Law §130.05 (3) (f).

<sup>18</sup> If in issue, the definition of “married” is set forth in Penal Law §130.00 (4).

<sup>19</sup> Penal Law §130.05 (3) (f).

<sup>20</sup> If in issue, the definition of “employee” is set forth in Penal Law §130.05 (3) (g).

<sup>21</sup> If in issue, the definition of “married” is set forth in Penal Law §130.00 (4).

<sup>22</sup> Penal Law §130.05 (3) (g).

<sup>23</sup> If in issue, the definition of “health care provider” is set forth in Penal Law § 130.00 (12).

or mental health care provider<sup>24</sup> and the act of sexual conduct occurs during a treatment session, consultation, interview, or examination,<sup>25</sup> and, such conduct was not performed for a valid medical or mental health care purpose.<sup>26</sup>

or

a resident or inpatient of a residential facility operated, licensed or certified by (i) the office of mental health; (ii) the office for people with developmental disabilities; or (iii) the office of alcoholism and substance abuse services, and the actor is an employee<sup>27</sup> of the facility not married to such resident or inpatient.<sup>28]</sup>

*[Note: in any prosecution under this article in which the victim's lack of consent is based solely on his or her incapacity to consent because he or she was mentally disabled; a client or patient and the actor is a health care provider, or committed to the care and custody or supervision of the state department of corrections and community supervision or a hospital and the actor is an employee add if in issue:*

It is a defense to this charge that the defendant was married to the victim.<sup>29</sup> "Married" means the existence of the

---

<sup>24</sup> If in issue, the definition of "mental health care provider" is set forth in Penal Law § 130.00 (13).

<sup>25</sup> Penal Law § 130.05 (3) (h).

<sup>26</sup> Penal Law § 130.10 (2).

<sup>27</sup> If in issue, the definition of "employee" is set forth in Penal Law § 130.05 (3) (i).

<sup>28</sup> Penal law § 130.05 (3) (i). If in issue, the definition of "married" is set forth in Penal Law § 130.00 (4).

<sup>29</sup> See Penal Law § 130.10 (4).

relationship between the defendant and the victim as spouses which was recognized by law at the time of the alleged commission of this crime.<sup>30]</sup>]

*NOTE: This is the end of definitions and the resumption of the charge:*

Thus, the law deems insertion of a finger in the vagina [or urethra] [or penis] [or rectum] [or anus] of such a person to be without that person's consent, even if in fact that person did consent.

In order for you to find the defendant guilty of this crime, the People are required to prove from all of the evidence in the case beyond a reasonable doubt, (both/each) of the following (two/three) elements:

1. That on or about (date), in the county of (County), the defendant (defendant's name), without a valid medical purpose, inserted a finger into the vagina [or urethra] [or penis] [or rectum] [or anus] of (complainant's name) causing him/her physical injury; [and]
2. That (complainant's name) was incapable of consenting to the insertion [and]

[Add if applicable:

3. That the defendant was not married to (name of complainant).]

If you find the People have proven beyond a reasonable doubt each of those elements, you must find the defendant guilty of this crime.

---

<sup>30</sup> See Penal Law § 130.00 (4). See Domestic Relations Law §§ 15 and 15-a.

If you find the People have not proven beyond a reasonable doubt any one or more of those elements, you must find the defendant not guilty of this crime.

*NOTE: If the affirmative defense set forth in Penal Law §130.10 applies, omit the final two paragraphs of the above charge, and substitute the applicable charge from the “additional charges” section from at the end of this article.*

*NOTE: Where lack of consent results solely from incapacity to consent because of the alleged victim's mental disability or mental incapacity, a charge on corroboration is required, and that charge is in the “additional charges” section of this article. Penal Law § 130.16.*