1	COURT OF APPEALS
2	STATE OF NEW YORK
3	PEOPLE,
4	Respondent,
5	
6	-against- No. 112
7	ROBERTO ESTREMERA,
8	Appellant.
9	20 Eagle Stree
10	Albany, New York October 10, 201
	Before:
11	CHIEF JUDGE JANET DIFIORE
12	ASSOCIATE JUDGE JENNY RIVERA ASSOCIATE JUDGE LESLIE E. STEIN
13	ASSOCIATE JUDGE EUGENE M. FAHEY
14	ASSOCIATE JUDGE MICHAEL J. GARCIA ASSOCIATE JUDGE ROWAN D. WILSON
15	ASSOCIATE JUDGE PAUL FEINMAN
16	Appearances:
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19	Suite 1601 New York, NY 10007
20	
21	VINCENT RIVELLESE, ADA NEW YORK COUNTY DISTRICT ATTORNEY'S OFFICE
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23	
24	Sara Winkeljoh
2.5	Official Court Transcriber



1	CHIEF JUDGE DIFIORE: The next appeal on the
2	calendar is number 112, the People of the State of New York
3	v. Roberto Estremera.
4	MR. MENDEZ: Good afternoon, Your Honors; Sam
5	Mendez with the Office of the Appellate Defender for
6	Roberto Estremera. I'd like to reserve two minutes for
7	rebuttal, if I may?
8	CHIEF JUDGE DIFIORE: You may, sir.
9	MR. MENDEZ: Thank you. Your Honors, if ever
10	there was a clear rule, it is the rule that this court laid
11	down in People v. Sparber. Sparber held that a defendant's
12	right to be present and to be heard at the imposition of
13	sentence is unyielding.
14	JUDGE STEIN: Does this boil down to whether this
15	is a resentencing or not? Is that really
16	MR. MENDEZ: That
17	JUDGE STEIN: the crux of this?
18	MR. MENDEZ: is one of the two I
19	think two critical questions in this case, and I
20	JUDGE STEIN: So is is Boyer relevant to
21	that?
22	MR. MENDEZ: Excuse me?
23	JUDGE STEIN: Is Boyer relevant to that?
24	MR. MENDEZ: The case Boyer?
25	JUDGE STEIN: Are you familiar with Boyer?

MR. MENDEZ: It has not been mentioned in the briefs so far I'm afraid.

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JUDGE STEIN: Okay. Well, Boyer was fairly recent, and, and, and we said that - - - that a procedure under 7085 was: "Merely to correct a clerical error and left the original sentence undisturbed." And that had to do with whether it could be used for predicate sentencing and time limits and things like that. So if the original sentence was never vacated and it remained valid, how could such a proceeding be deemed a resentencing?

MR. MENDEZ: Well, Your Honor, I would disagree with that notion that this was not a resentencing because that does seem to me to be out of line with many of this cases - - of this Court's cases and in- - - including the Governor's approval memorandum for the statute itself which characterized these proceedings as resentencings. The statute calls for the reimposition of the originally imposed sentence, which is to say that what had happened before must happen again.

JUDGE STEIN: And then $-\ -\ -$ and then the original sentence shall be deemed lawful.

MR. MENDEZ: Yes.

JUDGE STEIN: So, I mean, I - - I guess this is - - - seems to me a little bit different from other cases because there is nothing that the court can do other than



restate a sentence that was previously stated in the presence of the defendant. So - - -

MR. MENDEZ: Yes, Your Honor. But there is - - - there are two problems with that argument.

JUDGE FAHEY: You know that - - - that does seem to be the People's strongest point, though. So I - - - and I guess I wonder if appealability is the key on this sentencing question. If a sentence in this case, which is a resentencing, can be appealed then it would seem that 380.40 would apply. But we are reimposing that sentence cannot be appealed. That's the way I read 70.85, and I think, though, that is the strongest point, and if - - - if you can, I would address it in your oral argument.

MR. MENDEZ: The notion that the - - - the underlying sentence cannot be changed?

JUDGE FAHEY: Right. The point is is that when you're being sentenced you ought to be able to speak. And it's not - - it's not whether or not it's a futile exercise or not or whether or not your sentence - - - your speaking itself as an arrogant exercise. It's a - - - it's a fundamental right that's been statutorily imposed, so the question between whether something's being reimposed and you've already had that opportunity or resentenced seems to lie in the - - lie in the area of making a decision about whether or not that new determination can be appealed. The

way I understand 70.85 is it cannot be appealed afterwards. You're done. You've had your shot. But this sentence can be reappealed, and that's why you're here, obviously. And so that - - - that would stend- - - - tend to answer the problem that you have with I think the People's strongest argument.

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MR. MENDEZ: Well, yes, Your Honor. This - - - this was a - - as I read the statute - - - a full resentencing, again, because the statute specifically - - -

JUDGE FAHEY: So - - - so in some ways it seems like we're talking about the bureaucratic inconvenience of bringing someone in two times to say something and it's legitimate, it's real, it does - - - does impose a cost. There's no question about that. But - - - and quite often, most statements by defendants may be futile, but that doesn't deny them of the right.

MR. MENDEZ: That's correct, Your Honor. I would ask the Court to look to the example that it's met - - - it's set in People v. Sparber. One of those cases, Thomas, which was decided with Sparber, in that case the defendant, Mr. Thomas, was told before he entered his plea that he would have to serve a mandatory fixed five-year term of PRS. There was nothing that the defendant could do to change that. Nevertheless, this court remanded Mr. Thomas' case and ordered that he, along with thousands of other

defendants, speaking of administrative cost, ordered that thousands of defendants be resentenced in their presence.

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JUDGE STEIN: But in those cases, they had never stood before a court to pronounce that sentence. In this case, that has already happened.

MR. MENDEZ: Well, yes, Your Honor. That is respondent's argument. The problem with that argument, however, is that Mr. Estremera's sentence of 25 years in prison has never actually - - - actually never been properly imposed. In 2001, Mr. Estremera's determinate term without PRS was an illegal sentence. And therefore, under 70.85 it had to be reimposed. Mr. Estremera had to be resentenced such that then, as Your Honor noted, the - - the sentence would then be deemed a lawful sentence.

JUDGE RIVERA: So just to - - - to clarify,

perhaps, on the response to the some of the questions

you've already heard, so even if - - - even if, based on

the statute and our prior case law, the defendant doesn't

have a merits ground to complain about the actual sentence,

his complaint is about the procedure, right, like other

appeals where a defendant may complain that procedure has

been violated and they're subject to some kind of relief

for that violation, right?

MR. MENDEZ: Yes.

JUDGE RIVERA: Isn't all - - - isn't all he's



1	seeking here
2	MR. MENDEZ: That's correct, Your Honor. Mr
3	_
4	JUDGE RIVERA: to be brought in here and
5	resentenced?
6	MR. MENDEZ: That's correct. Mr. Estremera's
7	asking for the very limited remedy that this court provided
8	for in Sparber. And I think that the point of that case,
9	Sparber, Garner, and these other cases is that we are
10	talking about a substantive right here. It's
11	JUDGE WILSON: Doesn't the court have another
12	option besides imposing the original sentence, which is to
13	say I'm not going to impose the original sentence, and if
14	that happens then the plea is vacated?
15	MR. MENDEZ: That's correct, Your Honor. That -
16	that remedy is one of the two options that were
17	available in this case. Mr. Estremera himself
18	CHIEF JUDGE DIFIORE: Where the prosecutor is
19	consenting
20	MR. MENDEZ: That's correct, Your Honor. It was
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22	CHIEF JUDGE DIFIORE: what what is
23	the purpose of the defendant being presented at the court,
24	produced in the court?
25	MR. MENDEZ: Well, in the first place, there is

MR. MENDEZ: Well, in the first place, there is

1	nothing in the statutory law or in this Court's decisions,
2	particularly Sparber, that suggests the right to presence
3	is limited in this circumstance. And the point of this -
4	_
5	CHIEF JUDGE DIFIORE: What would we have to add
6	to the proceeding, sir?
7	MR. MENDEZ: Mr. Estremera has the right to make
8	a statement on his own behalf. The point the point
9	is that this
10	CHIEF JUDGE DIFIORE: What's the
11	JUDGE RIVERA: Well, does he have to add
12	anything? Can can a defendant
13	MR. MENDEZ: We don't know that because
14	JUDGE RIVERA: attend a sentencing and
15	stand mute?
16	MR. MENDEZ: A defendant certainly has that
17	right. Yes. But the point of this right is that it does
18	protect not just the defendant's dignity interest but also
19	the dignity of the proceedings themselves. Mr. Estremera
20	was absent from his resentencing to 25 years in prison.
21	JUDGE FEINMAN: Do do those sentencing or
22	resentencing minutes then get forwarded to any agency that
23	either supervises his PRS so like in the
24	indeterminate sentence, those minutes would be used by the

parole board. But what about here with a determinate

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sentence?

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MR. MENDEZ: Your Honor, my - - - yes. Because defendants also - - - inmates also are - - - PRS is very, very much like parole and defendants also seek to earn their conditional release. And this is one of rare those opportunities - - -

JUDGE GARCIA: Isn't this - - - the whole point of this is he's not getting post-release supervision?

MR. MENDEZ: Oh, yes, Your Honor. But there's also such a - - - excuse me. That's correct. There is such a thing as conditional release, and Mr. Estremera will be seeking conditional release. And I see my time is up. The point I was trying to make with respect to the dignity of the proceedings is that this is a circumstance where the defendant, his presence lends - - - has a symbolic purpose that I think is overlooked in respondent's briefs, and this Court has never tied a defendant's right to be present to his or her potential contribution to the proceedings. Ιf that were the case, defendants - - - as this Court is aware, most cases end in quilty pleas and every often a defendant's sentence is set in stone before the sentencing proceeding. Nevertheless, the defendant does have to be present and to make a statement on his or her own behalf.

CHIEF JUDGE DIFIORE: Thank you, counsel.

MR. MENDEZ: Thank you.



CHIEF JUDGE DIFIORE: Counsel.

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MR. RIVELLESE: May it please the court, good afternoon; Vincent Rivellese for the Manhattan District Attorney's Office. I - - - I think the key here is that this is not a full resentencing proceeding. This is just a proceeding where something that happened in the past is being made - - - deemed legal because - - -

JUDGE RIVERA: Yes. But every - - - every single case has called it a resentence, including Boyer, may I say. And in every single case we've said it's an unlawful - - - that original sentence without the PRS is an unlawful sentence. It's illegal.

MR. RIVELLESE: That's correct. I think that the difference here - - -

Boyer dealt with sequentiality not JUDGE RIVERA: with the essence of the lawfulness of the sentence.

MR. RIVELLESE: Right. And also the - - - those cases weren't dealing with the right to be present because it wasn't presented as an issue in those cases.

JUDGE FAHEY: Let me ask this. Why don't you want them to be brought in and let them make a statement?

MR. RIVELLESE: I - - - I don't think that my office really has a horse in the race, and I'm just defending what the trial judge did. So - - -

JUDGE FAHEY: Well, no. But I mean just say - -



5	JUDGE FAHEY: All right.
6	MR. RIVELLESE: based on the statement
7	_
8	JUDGE FAHEY: I understand that policy. Okay.
9	So let me follow that up, then, with another question.
10	I've had a plea to the minimum sentence. All I can get
11	- I've got plead to an E felony, and I and it's
12	going to determinate and I'm getting a year-and-a-third,
13	and I can add nothing to the proceeding at all. Should I
14	be allowed to speak because I'm not aggrieved. I can't get
15	more than the minimum. And it seems that you're arguing
16	for an aggrievement rule, and that's not what the statute
17	says.
18	MR. RIVELLESE: Well, I think in that situation
19	the judge still has discretion to impose a different
20	sentence or refuse
21	JUDGE FAHEY: This isn't up to the judge. This
22	isn't in the sense that the judge has discretion here.
23	This is up to the defendant as to whether the defendant
24	wants to speak.
25	MR. RIVELLESE: Yes. Well, and one difference

- tell me what would be the policy reason not to let

MR. RIVELLESE: Because if it's not a place where

someone make a statement at a sentencing?

anything can be done - - -

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here is that he already had the opportunity the first time that he was sentenced, and he was told and had the opportunity to speak about that sentence and got that sentence, which the only thing that could have happened at this additional proceeding - - -

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JUDGE RIVERA: Shouldn't he - - - doesn't he also have the right to observe this procedure? It may very well be that he observes what he considers to be an error in the procedure? To know what is being done, to hear the judge pronounce that sentence and then decide whether or not he wishes to challenge it?

MR. RIVELLESE: If there were something that happened that aggrieved him, then he would have that right. I think - - - $\!\!\!$

JUDGE FAHEY: See that's - - - that's the problem

MR. RIVELLESE: I know.

That's the - - - the weakness that I focused on. I thought that the People had a good argument on the reimposition versus sentencing. Judge Stein brought that out. I think that's a strong argument. The problem I have with that argument is that that argument, in and of itself, assumes that there's no - - - assumes that there's no appeal. But where there's an appeal you should certainly be allowed to

speak. That's the distinction I see there. But this aggrievement article, this is a much more serious policy issue because we're not concerned when - - - they don't - - you don't get the right to speak at a sentencing because there's something to be gained. Usually, it's a cut-and-dry procedure, as you've been through hundreds of them, probably. And - - - but nonetheless, we're talking about the face of justice, how it looks. And the fundamental right to speak at that moment seems to me a very profound right that shouldn't be diminished by the cost or the inconvenience of providing it. Particularly when the statute says the defendant must be personally present at the time of sentencing is pronounced.

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MR. RIVELLESE: I think, again, it's just because of the peculiar circumstance of this statute. This is a statute that - - - I have to read it because it's a title that I wouldn't remember: "The transitional exception to determinate sentencing laws." It's not a statute saying how to resentence. It's not a statute saying resentencing. It's - - it's giving you some special information about a special circumstance. In this case - - -

JUDGE FAHEY: See, there's not two rules in the statute for sentencing and resentencing. That's why your reimposition argument I thought was a good one because it's a - - it's an intelligent argument. But - - but

sentencing is sentencing is sentencing. There's not separate rules for these. So - - -

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CHIEF JUDGE DIFIORE: What about the language in the statute that says: "When the case is before the court to determine whether to resentence"?

MR. RIVELLESE: Because there could be a resentencing in that situation if, for example, the defendant did not receive the post-release supervision and no one consents to removing that from the sentence he would have to be brought back and given post-release supervision or allowed to withdraw his plea. So the case could be before the court where we don't know yet whether the district attorney consents or whether the judge wishes to give the non-post-release supervision sentence and then there could, indeed, be a requirement that there be a resentencing or a plea withdrawal. And - - - and of course

JUDGE FEINMAN: What - - - I'm sorry. Sorry. Finish your thought and then I have a question.

MR. RIVELLESE: That - - - well, actually, I think it says that whether the case is again before the court pursuant to the Corrections Law which require people to bring back defendants who hadn't received proper post-release supervision or otherwise. So it's encapsulating any situation where a defendant happens to be - - - or the



case, even, happens to be before the court whether or not the defendant is.

JUDGE FEINMAN: So what do we make of the fact that the assistant district attorney who was opposing this 440, who was an experienced assistant district attorney, characterizes this in his opposition papers or in his papers, rather, basically taking no position about the resentence or consenting to the non-imposition of PRS calls it a resentence?

MR. RIVELLESE: Imprecision. Because at the time - - - because at the time nobody is talking about presence at a resentencing proceeding, and - - - and it's imprecise speech.

JUDGE FEINMAN: But the People really didn't care whether he was present or not. They had no objection to him being present. It was the judge who did this.

MR. RIVELLESE: We wouldn't have an objection to him being present at all. It's not - - - it's not the question of objecting to it or finding that presence would be wrong. It's just that to say that he should be brought back down from prison to hear the same thing again, it's not required. That's our argument.

JUDGE FEINMAN: Would he be allowed to speak if he was present again for the purpose of generating a transcript of the resentencing that could be used, whether



it's on conditional release or, you know - - -1 2 MR. RIVELLESE: Well, of course he'd be allowed 3 to speak if he were there. I mean this is not - - - we're 4 not supporting a rule laying out - - -5 JUDGE FEINMAN: And so if that's the case why is 6 that the case? 7 MR. RIVELLESE: Because anytime a defendant's 8 present in the courtroom, if he wishes to speak it makes 9 sense for the judge to hear what he has to say. But to say 10 that he is required to be there to just hear that this post-release supervision is not going to have to be served 11 12 when he already has been not serving it, it seems that's 13 not the same as a resentencing proceeding. 14 JUDGE GARCIA: So, counsel, I'm sorry to 15 interrupt, but if we leave things the way they are, and I'm 16 trying to understand the process of this, it's up to each 17 individual judge whether or not they produce a defendant 18 for this type of sentencing? It's not up to your office, 19 right? You don't make the request. 20 MR. RIVELLESE: Right. I mean we would just - -2.1 22 So a judge in the next courtroom JUDGE GARCIA: 23 may say, yeah, I always want the defendant here for one of 24 these proceedings and the judge in this case may say I 25 never want a defendant here for this?

2	say that.
3	JUDGE WILSON: Can you can you help me wit
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5	CHIEF JUDGE DIFIORE: How common are the
6	JUDGE WILSON: I'm sorry.
7	CHIEF JUDGE DIFIORE: How common is the
8	this proceeding under 70.85?
9	MR. RIVELLESE: It was a little more common ten
LO	years ago when it first happened. It's going to be less
L1	and less common over the years. This case is 20 years old
L2	almost, so it's not something that's going to effect
L3	thousands of cases. It's not something that's going to be
L4	a huge fiscal responsibility. And it's also not something
L5	that my office has a lot of interest in as far as we're no
L6	trying to exclude defendants, but as far as whether the
L7	resources of the State should be brought to bear to bring
L8	down a defendant to hear that he doesn't have to do what he
L9	already isn't doing and was told he didn't have to do, it
20	seems like that's not the same as a resentencing
21	proceeding.
22	JUDGE WILSON: Can you help me understand
23	Correction Law 601(d)(4), if you have it there? If not,
24	I'll read you what
25	MR. RIVELLESE: I I don't have it in front

MR. RIVELLESE: They could say that. They could

of me.

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JUDGE WILSON: Okay. So - - -

MR. RIVELLESE: That's to the bring the defendants back for the resentencing?

JUDGE WILSON: Yes. And it - - - this concerns what they call designated persons who are the people like Mr. Estremera. (4) says: "If the sentencing court shall not have issued a superseding commitment order reflecting an imposition of a term post-release supervision then the court shall calendar such person for a court appearance." And then says: "At such court appearance the court shall furnish a copy of such notice and the proceeding date pursuant to paragraph (c) to the district attorney, the designated person, and assigned counsel."

MR. RIVELLESE: Yes.

JUDGE WILSON: So when I read that it seems to me that that contemplates the presence of the defendant in the court receiving from the court in person that statement.

MR. RIVELLESE: Yes. Because if he were to be receiving post-release supervision at that point, that would be something he has not yet received. So he would have to be present to receive that. That would be an enhancement of his sentence. But if the district attorney waives the post-release supervision, there's nothing going to be added, there's not going to be any enhancement, so



that changes the nature of the proceeding. That's why it's for consideration of whether to resentence as opposed to just for resentencing because that's - - - the statute doesn't contemplate that everyone that comes before will actually be resentenced. The judge is just considering whether they will be, and in this case, he wasn't. Unless there are any other questions, I will rest on my brief.

CHIEF JUDGE DIFIORE: Thank you, counsel.

MR. RIVELLESE: Thank you.

CHIEF JUDGE DIFIORE: Mr. Mendez.

MR. MENDEZ: Thank you. I'll be brief, Your

MR. MENDEZ: Thank you. I'll be brief, Your Honors. This was a resentencing. Everything in this statute, 70.85, and in the accompanying statute, 401(d), indicates that this is meant to be a resentencing. As I noted, the governor's approval memorandum stated that very clearly.

JUDGE STEIN: When - - - when an appellate court reduces a sentence on appeal is that a resentencing?

MR. MENDEZ: I think that is different, Your Honor.

JUDGE STEIN: Why?

MR. MENDEZ: Well, for a few reasons. In the first place, I don't think that the Appellate Division could modify a defendant's sentence in this way because as I read the statute - - -



JUDGE STEIN: Well, no.

MR. MENDEZ: Yes.

JUDGE STEIN: In any case. In any case.

MR. MENDEZ: It is different, Your Honor, because the Appellate Division does have that extraordinary jurisdiction to do so and it takes place in an appellate court where many, certainly of our clients, simply - - -

TUDGE STEIN: But if - - - but if we're saying that no matter what the consequences, no matter whether the - - - the defendant has anything to add, no matter whether the defendant is - - is suffering - - - you know, is being aggrieved by it, whenever there's anything to do with sentence that defendant must have the right to be present and be heard, then how is that different from this situation?

MR. MENDEZ: Well, Your Honor, it is - - - it is not our position that whenever anything happens with respect to sent- - - a sentence the defendant must be present. It is our position, and the law is quite clear, that when there is a sentencing the defendant must be present. And sentencing under the statutes take place in the trial court.

JUDGE FEINMAN: So what happens if a defendant is sentenced three-to-six and the court determines you know what, on appeal he wasn't really a second felony offender,



the sentence should be something less than that, you know.

Does he have to be present when it goes back?

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MR. MENDEZ: No, Your Honor. I don't think that

- - - we're certainly not asking the court to find that.

Our - - - our case is built around 380.40, which is the statute that governs the actions of the trial court and the imposition of sentence. And it states very clearly, having nothing to do with Appellate Division proceedings, that in the trial court the defendant must be personally present -

JUDGE FEINMAN: But if it's remitted by the

Appellate Division - - - because, you know, after all there

could be a range of sentences that could be imposed once

it's determined that he's not a second felony offender.

MR. MENDEZ: To - - to the extent that there is a resentencing or another sentencing proceeding, yes, the defendant must be present for that.

JUDGE FEINMAN: All right.

MR. MENDEZ: Very - - - I see my time is up, Your Honors. This is the very last in a long line of cases in which this Court has dealt with the PRS statute and the quite unexpected crisis that occurred when that statute was enacted in 1998. This Court has consistently stood up for the defendant's rights, including the right to be present at sentencing. In this case, which is very much of a dying



breed, is not the case in which this Court should alter that precedent and should simply reapply Sparber. CHIEF JUDGE DIFIORE: Thank you, Mr. Mendez. MR. MENDEZ: Thank you. (Court is adjourned)



CERTIFICATION I, Sara Winkeljohn, certify that the foregoing transcript of proceedings in the Court of Appeals of People v. Roberto Estremera, No. 112 was prepared using the required transcription equipment and is a true and accurate record of the proceedings. Captaria out Signature: Agency Name: eScribers Address of Agency: 352 Seventh Avenue Suite 604 New York, NY 10001 October 16, 2017 Date:

