2019-2020 Lobbyist and Public Corporation Statement of Registration and Registration Amendment Information

All individuals are required to have a personal NY.gov ID account and User Profile before any Filing can be submitted. The User Profile is the mechanism that allows an individual access to an Organization's Profile so that they can manage their account as well as prepare and submit Filings on their behalf.

PURPOSE

The purpose of this document is to assist Filers with the submission of Registrations and Registration Amendments in JCOPE's new Lobbying Application.

> **NOTE:** This document is **not** intended to assist Individuals/Organizations in determining whether their activities require registration and reporting to JCOPE. For assistance in determining whether your activities are considered Lobbying Activities which require Registration and Bi-monthly reporting, please refer to the Guide to Lobbying and the regulations available on the JCOPE website.

THINGS TO KNOW

The Registration is considered a *forward-looking* document that requires the Lobbyist (including Public Corporations) to disclose the Lobbying Activities (Focuses and Parties) expected (or *anticipated*) to be lobbied during the biennial period.

- Registrations must be filed on a biennial basis by a Lobbyist who is retained, employed, or designated to Lobby, and who meets or reasonably anticipates combined Reportable Compensation and Expenses in excess of $5,000 for Lobbying Activities on a State and/or Municipal level, in any calendar year during the biennial period.

> **PLEASE NOTE**: An individual or Organization can engage in Lobbying Activity without having to register with JCOPE ***IF***:
>
> 1. the Lobbyist does not reasonably anticipate meeting/exceeding the $5,000 threshold; **AND**
> 2. they have NO other Clients that cumulatively put them over the threshold.
>
> However, Lobbyists need to keep track of the Compensation/Expenses being incurred in the lobbying effort in case they **either** *reasonably anticipate* or *do exceed the threshold* at a later date within the biennial period.

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- Once a Lobbyist meets or anticipates meeting the cumulative $5,000 threshold, they must file a separate Statement of Registration for *each* Contractual Client/Beneficial Client relationship (pairing), regardless of Compensation or Expenses paid by each Client individually.

- A Registration or Amendment may be started, saved, and submitted as long as a Lobbying Agreement exists within the biennial period being registered for.

- A Filer can begin new Registrations for the next biennial Registration period beginning October 1 immediately prior to the first year of a biennial period.

- Once submitted, a Statement of Registration cannot be deleted. The Filer must submit a Request to Withdraw to remove the Filing from public view.

- Once submitted, the Filer cannot make any changes to the Registration. A Registration Amendment must be submitted.

REGISTRATION/AMENDMENT DUE DATES

FOR SERVICES BEGINNING JANUARY 1, 2019 OR LATER	FILING DEADLINE
REGISTRATIONS	Within 15 days of the start date, but no later than 10 days after actually exceeding $5,000 in compensation and expenses
AMENDED REGISTRATIONS	Within 10 days of any change to the required information disclosed in the original Registration

NOTE: Effective January 1, 2019, JCOPE will grant a 7-day grace period from a Filing's statutory due date to submit a required Statement and/or Report(s) before any potential late fees *may* be imposed.

INFORMATION COLLECTED ON A STATEMENT OF REGISTRATION

The online Registration form in the new LA contains its own main navigation menu and can be viewed in a "tabbed format" or in "full view", depending on Filer preference.

Online Filings will populate specific Information from existing Profiles, if available:

- Principal Lobbyist Information (including Public Corporations)
- Contractual Client Information
- Beneficial Client Information

- Individual Lobbyist Information
- Co-Lobbyist Information
- Sub-Lobbyist Information

The Registration contains the following fields. Items denoted with a red asterisk '*' are required fields.

Lobbyist/Public Corporation Name*

Any person or company, firm, entity, or other Organization (including a Coalition) who utilizes Employed, Retained, or Designated Lobbyists to lobby on its behalf, or incurs Lobbying Expenses on its own behalf.

NOTES:

- A Principal Lobbyist is typically an entity or organization, not an Individual and should be identified as the Principal Lobbyist, *unless* an individual has been retained in his individual capacity. An Individual should only be listed as the Principal Lobbyist if the Individual conducts business as a Lobbyist in his own name.

- The **'Lobbyist/Public Corporation'** must have an existing Profile **BEFORE** a Registration can be submitted in LA.

Client Information*

The term 'Client' includes both Contractual and Beneficial Clients. The name(s) of both the Contractual and Beneficial Client(s) must be identified on every Registration. The Contractual Client and Beneficial Client can be the same person or entity.

PLEASE NOTE: This information is **NOT** required if you are a Public Corporation.

CONTRACTUAL CLIENT

An individual or Organization that retains the services of a Lobbyist for the benefit of itself or another.

BENEFICIAL CLIENT(S)

The specific individual(s) or organization(s) on whose behalf and at whose request or behest Lobbying Activity is conducted by the Lobbyist.

An individual or Organization that lobbies on its own behalf is a Beneficial Client.

NOTE: **If you are a Coalition**, all Members of a Coalition who exceed $5,000 in cumulative annual Lobbying Compensation and Expenses **are considered *Beneficial Clients***. If you indicated you were a Coalition when you created your Profile, you may either list your Coalition Members in the 'Coalition Member' tab located within the Coalition's Profile (which will automatically populate the names as Beneficial Clients on the Statement of Registration); **or** add them as Beneficial Clients on the Statement of Registration (which will add the names to the ''Coalition Member' tab located within the Coalition's Profile).

Biennial Registration Period*

Every two-year period commencing with the January 1, 2005 – December 31, 2006 period, and so on thereafter.

Co-Lobbyist(s) Information (if applicable)

When more than one Lobbyist is retained by a Client **on the same single retainer agreement**, you are required to identify the other Lobbyist(s) (known as *Co-Lobbyists*) on your Registration.

Each *Co-Lobbyist* is responsible for filing their own individual Lobbying reports with the Commission and must identify other Co-Lobbyists on their Filings; but each *Co-Lobbyist* need disclose only ***their own*** Lobbying Activity and Compensation and Expenses.

Any changes to the relationship between Co-Lobbyists and/or Client(s) requires an amendment to the Registration, which may require a new lobbying agreement/authorization.

> **NOTE:** *Co-Lobbyists* are **NOT** considered Designated Lobbyists, Individual Lobbyists, Employee ('in-house') Lobbyists, or Retained Lobbyists by the Principal Lobbyist responsible for submitting this Filing.

Sub-Lobbyist(s) Information (if applicable)

You are required to identify Sub-Lobbyist information **only** if a Principal Lobbyist, after entering into a Lobbying agreement with a Contractual Client, retains the services of another to perform a portion of the services within the scope of the agreement. A Lobbyist who is engaged to perform Lobbying Activities by a Principal (Prime) Lobbyist is a *Sub-Lobbyist*.

Sub-Lobbyist Registration and filing requirements:

1. The Sub-Lobbyist is the Principal Lobbyist
2. The Contractual Client is the Principal (Prime) Lobbyist who hired the Sub-Lobbyist to perform a portion of the services, as referenced above.
3. The Beneficial Client is the Contractual Client listed on the Registration of the Principal Lobbyist who hired the Sub-Lobbyist.

EXAMPLE:

Principal Lobbyist *ABC Company* is retained by Contractual Client *XYZ Company*.

Principal Lobbyist *ABC Company* hires Lobbyist *DEF Company* to help perform Lobbying Activities on behalf of Contractual Client *XYZ Company.* *

* assuming the Sub-Lobbyist meets or anticipates meeting the cumulative $5,000 threshold

Lobbyist *DEF Company* Registration would look like this*:*

- **NAME OF PRINCIPAL LOBBYIST**: *DEF Company*
- **NAME OF CONTRACTUAL CLIENT**: *ABC Company*
- **NAME OF BENEFICIAL CLIENT**: *XYZ Company*

Any changes to the relationship between Sub-Lobbyists, Principal Lobbyist and/or Client(s) requires an amendment to the Registration, which may require a new lobbying agreement/authorization.

NOTE: *Sub-Lobbyists* are **NOT** considered Designated Lobbyists, Individual Lobbyists, Employee ('in-house') Lobbyists, or Retained Lobbyists by the Principal Lobbyist responsible for submitting this Filing.

Lobbying Agreement Information*

1. Lobbying Agreements

Every Registration requires at least one Lobbying Agreement be uploaded before the system will allow submission. **Online Filers no longer have the option to mail-in a Lobbying Agreement**.

JCOPE defines a Lobbying Agreement as an executed Lobbying Agreement form, or a copy of a signed, written Lobbying Contract or Agreement, or a written authorization signed by the Client.

When a Lobbying Agreement or Contract exists, a Lobbyist may either:

- submit a copy of such Contract/Agreement with a Statement of Registration; ***or***
- use the Lobbying Agreement form provided by JCOPE.

PLEASE NOTE: A Lobbyist may ***only*** submit a written authorization to lobby ***if*** no lobbying Agreement or Contract exists.

Written Authorization for Employed Lobbyists - Filers do not have to individually list each employees' compensation rate. This is supposed to be an estimated/anticipated figure. Filers should provide an estimated amount (based on all the Individuals listed on a Statement of Registration salaries combined). For example, if three Individuals are listed at the time of Registration, and they each spend a certain percentage of their time on Lobbying Activities, the Filer can provide an amount based on percentages and salaries combined. If they list $30,000, they can indicate "annually"; if it's a monthly rate, they should specify that. (**It is no longer acceptable, however, to simply indicate the $5,000 threshold is anticipated or will be exceeded.**)

PLEASE NOTE: *If you are registering **AFTER you exceed the $5,000 threshold**, your Agreement/Authorization must clearly indicate the date Lobbying Activities began, and the date the threshold was exceeded. (See **Contract Start Date** information below)*

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2. Type of Lobbying Relationship between the Lobbyist and the Contractual Client

NOTE: Public Corporations are **not required** to make this selection. Their 'relationship' is already determined to be a "Public Corporation".

(a) Employed - If you or your Organization uses employee(s) to lobby on behalf of that Organization

- Select **'Employed'**.

(b) Retained - If you are a person or Organization engaged to lobby for the benefit of an unaffiliated Client

- Select **'Retained'**

3. Level of Government Lobbied

You must indicate the **'Level of Government'** you expect to Lobby or have Lobbied during this biennial period.

- State Lobbying
- Municipal Lobbying
- State/Municipal (Both)

4. 'Add Lobbying Agreement' Screen

(a) Contract/Supporting Documentation

Every Registration requires at least one Lobbying Agreement be uploaded before the system will allow submission. **Online Filers no longer have the option to mail-in a Lobbying Agreement**.

(b) Description of Agreement

Select the statement which best describes your Lobbying Agreement. The amount owed for your Registration Filing Fee is determined by your selection:

1. **Anticipate the $5,000 threshold will be exceeded**
   Either $200 or $100 Registration Filing Fee – dependent on Agreement Start Date

2. **Do not anticipate exceeding the $5,000 threshold**

No Registration Filing Fee

3. **Pro Bono Lobbying Contract/Authorization**
   No Registration Filing Fee

   NOTE: Public Corporations are not required to pay a Registration Filing Fee.

5. **Reportable Compensation/Expense Information**

If you selected either Number 1 or 2 as your 'Description of Agreement', you must select one of the following options:

1. **Reportable Expenses only**
   If selected, you are only required to provide the *Contract Start* and *Termination (End) Dates*. You are NOT required to disclose a Compensation Amount or Pay Frequency.

   OR

2. **Reportable Compensation (and Expenses)**
   If selected, you are required to disclose at least one Compensation Amount and Pay Frequency.

6. **Contractual Client Signatory (Designated Responsible Party)**

You must provide the Last Name, First Name and Title of the Individual who signed the Lobbying Agreement form for the Contractual Client.

7. **Contract Duration/Compensation Section**

You must disclose the *Contract Start Date* and *Contract Termination (End) Date, and Compensation Amount(s) (if applicable)*. If you have more than one valid Lobbying Agreement in the biennial period, you must disclose information for each Lobbying Agreement.

(a) Contract Start Date

The "**Contract Start Date**" is the start date provided in the executed Lobbying Agreement form, or copy of the signed, written Lobbying agreement or written authorization, indicating when **'Lobbying'** or **'Lobbying Activity'** is intended to commence (or has commenced); ***not* the date of execution**.

If an unregistered Individual or Organization actually exceeds the threshold; the Lobbyist would be required to register with JCOPE within 10 days of exceeding the threshold.

The *Contract Start Date* on the Registration would be the date the threshold was exceeded. The Agreement/Authorization must clearly indicate the date Lobbying Activities began, and the date the threshold was exceeded.

(b) Contract Termination (End) Date

The "**Contract Termination (End) Date**" is the last date the Lobbyist has agreed to or been authorized to Lobby. In the case of a month-to-month agreement, the End Date shall be presumed to be the end of the current biennial period, unless otherwise specified.

(c) Compensation

You must provide a Compensation Amount and select **one** Pay Frequency Type. **NOTE**: Only one Pay Frequency Type may be indicated *per Compensation Amount*:

- Hourly
- Daily
- Weekly
- Bi-weekly
- Monthly
- Quarterly
- Annually
- One-time payment
- Range (you may enter a $ amount range)

Individual Lobbyist(s) Information (FKA Additional Lobbyists or In-House Lobbyists)

An Individual Lobbyist is any person who engages in Direct or Grassroots Lobbying on behalf of the Principal Lobbyist for the benefit of the Client. All Individual Lobbyist(s) who are anticipated to engage in Lobbying Activities during the biennial period should be listed on the Statement of Registration; provided, however, if a Lobbying Organization incurs no Compensation for Individual Lobbyists and only Expenses, then no Individual Lobbyists are required to be listed.

Individual Lobbyist(s) included in your Organization Profile do **NOT automatically populate** to your Registration; however, those Individuals are available to add to your Registration.

You can also add *new* Individual Lobbyists directly to a Registration (***Individuals who were NOT previously listed on the Organization's Profile***). This *new* Individual Lobbyist will be immediately available for selection on other Filings and will be added to the list of Individual Lobbyists contained in your Organization's Profile as well.

(a) Individual Lobbyist Effective Date*

The Individual Lobbyist's **"Effective Date"** is the is the earliest date that Individual was authorized to engage in Lobbying Activities for the Principal Lobbyist on behalf of at least one of the organization's clients. The date is used to determine that Individual's online ethics training requirement. This date can be before the 2019-2020 biennial period.

Reportable Business Relationship Information*

Previously submitted RBR forms will populate to this Section of your Filing. You can disclose a new RBR by selecting the **'Create New RBR'** button. You can also amend your previously submitted RBR form by selecting the **'pencil'** icon in the Action column, next to the RBR form.

If you have not yet submitted any RBR forms, you must indicate whether a Reportable Business Relationship exists during this Calendar Year by selecting either **'Yes'** or **'No'** from the drop-down menu.

(a) If NO active Reportable Business Relationship(s) currently exists in this Calendar Year

- Select **'No'**

(b) If an active Reportable Business Relationship(s) (which has *not* previously been submitted and populated to this Section) currently exists in this Calendar Year

- Select **'Yes'**

You will be required to fill-out your RBR form at this time. Any information already filled-out in your Registration will be saved. When you have completed your RBR form, you will be returned to your Registration to complete the remainder.

* **SEE Reportable Business Relationship Instructions**

Lobbying Subjects* (FKA Client Business Nature)

Nature of Subjects

Lobbying Subjects identify the specific subject matter area(s) on which Lobbying occurred or is expected to occur. These Subjects identify the 'Nature of Business' between the Lobbyist and Contractual Client.

At least one Lobbying Subject ***is required*** to be disclosed on each Filing. Multiple Lobbying Subjects can be selected from the drop-down menu. ***Refer to JCOPE's website*** for a complete list of Lobbying Subjects to choose from.

Lobbying Activities*

As known at the time of Registration, Lobbying Activities that are expected to occur, or have occurred during the specific reporting period must be disclosed by identifying the Focus Type, the Focus (Identifying Number or Description), the Type of Communication, and the Party Lobbied.

Please be aware the Registration reporting requirements for the Lobbying Activities section **differ from the Bi-monthly reporting requirements** in that a Registration is considered a 'forward-looking document which requires the Filer to disclose much broader information, if known. A Bi-monthly Report however, is a 'backward looking' document that requires the Filer to specifically disclose the actual activities, party or parties lobbied, and monies spent during the specified Bi-monthly reporting period.

(a) Type of Communication

Indicate the overall *Type of Communication* (Monitoring Only, Direct and/or Grassroots Lobbying) that is expected to occur (or has occurred). Your selection on the Registration is considered more global and can apply to multiple Lobbying Focuses and/or Parties Lobbied.

- **Monitoring Only***
  If you have Lobbying Activity to report, but have not specifically Lobbied a specific Party, you may choose 'monitoring only' *after* you have disclosed a Focus**.**

- **Direct Lobbying**
  Direct Lobbying is an attempt to influence a Lobbying Activity through Direct or Preliminary Contact with a Public Official, or through communication or interaction directed to a Public Official, or the Public Official's staff.

- **Grassroots Lobbying**
  Grassroots Lobbying is an attempt to influence a Public Official indirectly, or through a person or organization who solicits another to deliver a message to a Public Official.

(b) Focus Type

A *Focus Type* (State or Municipal Level) must be identified for each Focus number (such as the bill or procurement number), or brief description of the Focus area if the identifying number is unknown.

- State Bill
- State Executive Order
- State Law
- State Procurement
- State Resolution
- State Regulation/Rate-making/Rule
- State Tribal Compact Agreement - NYS Indian Nations
- Municipal Bill
- Municipal Executive Order
- Municipal Law
- Municipal Procurement
- Municipal Resolution
- Municipal Regulation/Rate-making-Rule

(c) Focus Number (identifying number, if known)

Identify Senate and Assembly Bills by entering a capital 'S' for a Senate Bill number, or a capital 'A' for an Assembly Bill number. *Do not add a space, hyphen, period, or other character between the capital letter and the bill number.*

Correct: A1234 **Incorrect**: a1234; a 1234; A 1234; A_1234

NOTE: If a State bill is amended, versions are denoted by a letter suffix A, B, C, D and so on for each time the bill is altered. Please ensure the letter at the end of the amended Bill number includes a dash before it.

Correct: A1345-A **Incorrect**: a1234A; a 1234a; A 1234a; A_1234A

All other Focus numbers do not require specific formatting rules for data-entry.

(d) Description of the Focus

If a Focus Number (identifying number) is **unknown**, you can provide a description of the Focus by selecting the **'Add Description if Identifying Number is unknown'** hyperlink.

For Municipal Level Focuses, indicate the originating locality in your description.

***Example**:* Municipal Bill regarding requirement to single stream recycling in the Town of Delmar, New York.

Load Multiple State and Municipal Bills

The LA offers Filers the ability to **upload multiple State and Municipal Bill numbers**.

Use commas to separate bill numbers. Each State Bill number (Senate and Assembly) must be separated by a comma. Senate Bill numbers and Assembly Bill numbers do not need to be loaded separately.

Correct: A1234,S1234,A4567,A8790,S2345

Once you have added your Focuses, they will be added to the **'My Focuses'** section of your Filing.

(e) Parties Lobbied (Targets of Lobbying Activity)

Add a Party Name by either typing in the first few characters of the applicable name, or by typing the asterisk symbol (*) in the search field to view a full list of results. (**NOTE**: The 'Government Body' information will populate for you if a Party Name is selected from the drop-down menu.)

If you need to disclose a specific *title and/or name* of a Public Official, Public Official's office, or unit/department within an agency that is *not found in the full list*:

1. Select the **'Click here to add Party Name if not found'** hyperlink
2. Select the **'Government Body'** from the drop-down menu
3. Enter the **'Party Name'** in the field
4. Click **'Add'** to enter one **'Party';** click **'Add Another'** to add multiple Parties not found

A. **EXAMPLE:**

If you met with the Commissioner of Taxation and Finance, you would:

1. Select the **'Click here to add Party Name if not found'** hyperlink
2. Select **'State Agency'** from the **'Government Body'** drop-down menu
3. Enter **'Taxation and Finance, Commissioner'** in the **'Party Name'** field

B. EXAMPLE:

If you met with a staff member of the Office of Real Property Tax Services, you would:

1. Select the **'Click here to add Party Name if not found'** hyperlink
2. Select **'State Agency**' from the **'Government Body'** drop-down menu
3. Enter **'Office of Real Property Tax Services, XXX'** (unit or department within the agency the staff member represents) in the **'Party Name'** field

C. EXAMPLE:

If you met with a staff member of a State Senator, or staff member of a legislative committee, you would:

1. Select the **'Click here to add Party Name if not found'** hyperlink
2. Select **'Senate'** from the **'Government Body'** drop-down menu
3. Enter **'Senator Smith, staff member' or 'Senate Rules Committee, staff member' (as applicable)** in the **'Party Name'** field

D. EXAMPLE:

If you met with a staff member of a local Mayor's office, you would:

1. Select the **'Click here to add Party Name if not found'** hyperlink
2. Select **'City'** from the **'Government Body'** drop-down menu
3. Enter **'Mayor of (Insert City Name), staff person' (or unit or department within the City the staff member represents)** in the **'Party Name'** field

NOTE: You may select multiple 'Parties' that you anticipate lobbying within the biennial period. Each 'Party' listed on a Registration does NOT require a direct connection to any Focus(es) you have listed. However, please be aware that your Bi-monthly will require a direct one-to-one relationship indicating specifically who you lobbied on what Lobbying Activity Focus.

Government Bodies available in drop-down menu:

- Senate/Assembly/Executive*
  → *Not Known at this Time*
- Senate Committee
- Assembly Committee
- State Agency

- NYS Assembly
- NYS Senate
- Executive Chamber
- NYS School Districts
- State and Local Public Authorities and Local Development Corporations
- Industrial Development Agency
- Village
- Town
- City
- County
- Improvement/Special Districts
  - → County Special District
  - → Town Special District
  - → Consolidated Health District
  - → Fire District
  - → Independent Special District

*Because most Filers do NOT know who they will actually be lobbying in the coming year (since the Registration is a forward-looking document), the following selection is available to Filers on a Registration (so you do NOT have to select every Senator/Assembly person).

- Senate/Assembly/Executive
  - → *Not Known at this Time*

Once you have added your Parties, they will be added to the **'My Parties Lobbied'** section of your Filing.

Attestation Information*

An Attestation is required before any Filing can be submitted. By attesting, the Filer acknowledges that information (provided by the Filer) for all statements and reports required under Legislative Law Article 1-a is true, correct and complete to the best knowledge and belief of the signor under penalty of perjury. (See Section 1-p of the Lobbying Act)

Filing Fee Payment Information (if applicable)

If you are required to pay a filing fee, you will be directed to the Payment Portal. Your Registration will remain in **'Saved Status'** until the payment portion is completed.

The following options are available:

(a) **Remit payment via Online Lobbying Application** with Visa, MasterCard or American Express. Payment must be made **at the time of submission. ***

NOTE: For security purposes, the new LA will only permit two attempts to pay your filing fee by credit card. After the second failed attempt, you will be required to pay by check or money order.

(b) **Check/Money Order**. You may indicate payment will be made by submitting a check or money order. You must provide your check or money order number in the appropriate field of the online form.

Please make all checks payable to the **Joint Commission on Public Ethics (NYS)** and include the Filing Confirmation and Reference numbers in the memo section.

REGISTRATION AMENDMENTS — WHEN TO FILE

Lobbyists, including Public Corporations, are required to submit an amended Statement of Registration for any change, permanent or temporary, to the following information during the specified biennial period, which must be completed and submitted to the Commission **within 10 days of such change.**

Each Amended Statement of Registration requires the Filer to provide a specific date the change(s) are (or will be) effective; known as an "**Effective Date of Change**" *. Multiple changes can be made on an Amended Statement of Registration **as long as all the changes being made on the Filing have the same "Effective Date of Change"**. Otherwise, separate Amendments are required for each Effective Date of Change.

EXAMPLE of three changes which would require three SEPARATE AMENDMENTS:

1. *Individual Lobbyist, Jane Smith (authorized to lobby for a specific client effective 1/15/2019)***
2. *Sub-Lobbyist added (authorized to lobby effective 5/1/2019)*
3. *Change in compensation (effective 2/15/2019)*

Registration Amendments can be submitted at any time during the biennial period regardless of whether the original Registration Filing or other Registration Amendments are pending, as long as the "**Effective Date of Change**" is within the same biennial period as the Registration being amended.

Registration Amendment Effective Date*

A Registration Amendment **"Effective Date of Change**" is the date a specific change (or changes) takes effect; not the date the Amendment is submitted

All information will pre-populate from your Profile and most recently submitted Registration, Registration Amendment.

An Amended Statement of Registration is required to reflect any changes to:

1. **Individual Lobbyists**
   You can add Individual Lobbyist(s) from the names already listed in your Organization Profile to your Registration Amendment.

   You can also add *new* Individual Lobbyists directly to a Registration Amendment (***Individuals who were NOT previously listed on the Organization's Profile***). This *new* Individual Lobbyist will be immediately available for selection on other Filings and will be added to the list of Individual Lobbyists contained in your Organization's Profile as well.

   NOTE: An Amendment to add a *new* Individual Lobbyist requires **two** Effective Dates.

   Individual Lobbyist Effective Date

   The Individual Lobbyist's "**Effective Date**" is the is the earliest date that Individual was authorized to engage in Lobbying Activities for the Principal Lobbyist on behalf of at least one of the organization's clients. The date is used to determine that Individual's online ethics training requirement.

   Amendment Effective Date of Change

   The Amendment **"Effective Date of Change"** is the date that Individual was authorized to engage in Lobbying Activities on behalf of the Contractual Client/Beneficial Client pairing.

   If the *new* Individual Lobbyist is lobbying as a board member, director or officer of the Principal Lobbyist, select the **'Designated Lobbyist'** check-box.

   You can remove an Individual Lobbyist inadvertently listed on your Registration Amendment.

   NOTES:

   - Any Individuals removed from a Filing will still be available through the list of the Individual Lobbyists contained in your Organization's Profile.

   - At least one Individual Lobbyist must be listed on any Filing where "Direct Lobbying" is indicated as the Type of Lobbying Activity.

2. **Identities of other 'Parties' to the Lobbying Activity**
   Changes (additions/deletions) of Co-Lobbyists, Sub-Lobbyists, or Beneficial Clients; including Coalition members exceeding the $5,000 Threshold in Lobbying Compensation and Expenses are permitted on a Registration Amendment. **NOTE**: At least one Contractual Client and one Beneficial Client must be listed on a Registration and Registration Amendment.

   - If your relationship with a Co- and/or Sub-Lobbyist was not already disclosed on your current Biennial Registration, you are required to submit an Amended Statement of Registration to disclose such information and provide a revised Agreement/Contract.

- If a relationship with Co-Lobbyists and/or Sub-Lobbyists changes, a Principal Lobbyist must submit a Registration Amendment to:
    1. remove a Co- and/or Sub-Lobbyist*.
    2. provide a revised Agreement/Contract.

    ***NOTE:** The Co- or Sub-Lobbyist removed from the Principal Lobbyist's Registration may be required to submit a Termination.

- You may add *new* Beneficial Client(s) directly to a Registration Amendment. LA will also ask you if there are any other Filings you would like to add the *new* Beneficial Client(s) to; which will populate Amendments to those Filings.

3. Terms of Lobbying Agreement

Any changes to the terms of a Lobbying Agreement, including Compensation and/or Pay Frequency, Start Date, Termination (End) Date, and any decision to continue the Lobbying Agreement beyond the Termination Date are permitted on a Registration Amendment.

NOTE: Any decision to waive, write down or otherwise reduce Compensation and Expenses owed to the Lobbyist by the Client after the Contract Termination of the Lobbying Agreement does **not** require an Amendment.

An Amended Registration is NOT required to reflect any changes to:

- any decision by a Lobbyist to waive, write-down, or otherwise reduce the prior Compensation and Expenses owed to the Lobbyist by the Client **after the termination of the Lobbying Agreement**.

WRONG PRINCIPAL LOBBYIST OR CONTRACTUAL CLIENT LISTED ON FILING

Registration is submitted with an inaccurate/incorrect name, possibly due to one of the following reasons:

- Wrong Profile was selected from the drop-down menu
- Filer “created a new Profile” rather than selecting a verified Profile from the drop-down menu
- Beneficial Client was incorrectly selected or entered as the Contractual Client
- Individual Lobbyists (In house/’additional’ Lobbyist) is listed as the Principal Lobbyist (when it should be the Entity/Org that the Individual works for)

THE SOLUTION

(a) Principal Lobbyist must submit a Registration Amendment and provide the following information:

- Effective Date of Change (in most instances, the Agreement/Contract Start Date)
- If an amended agreement exists, upload it and provide the required info.
- Attestation.

(b) An ‘Authorized Person’ must then send an email to JCOPE with the following information:

- Registration Amendment Confirmation Number
- Registration Amendment Reference Number
- Information regarding the specific change/information the Filing should display
- The Effective Date of the Change
- Comments the Authorized Person deems relevant, if any

TERMINATIONS

If the relationship between a Lobbyist and Contractual Client ends either **(1) pursuant to the Termination (End) Date specified in the Lobbying Agreement/Contract** *or* **(2) on December 31st of the second year** of a biennial registration period**:**

- Neither the Lobbyist nor the Client are required to notify the Commission in writing of such termination.

COMING SOON:

1. Under both scenarios, a Notice of Termination will automatically be system-generated by the online LA on the 11th business day following the Termination Effective Date.

2. **NOTE** this feature is not yet functional. Once a relationship (Lobbying Agreement/Contract) is terminated, a Filer will be required to submit a **new Registration and Filing Fee** if the relationship is started again within the biennial period.

   If the relationship between a Lobbyist and Contractual Client is terminated at any time **before** the Termination (End) Date specified in the Lobbying Agreement/Contract:

   - Both the Lobbyist and the Client must notify the Commission of the Contract Termination **Effective Date**.
   - Notification is due **within 30 days** after Lobbying Activity terminates.

Since the function for submitting a Termination in the new LA is not yet operational, please follow the steps below to notify the Commission of a Termination:

1. **Send a notification to JCOPE via email or paper letter.**
   Notification via email can be sent from any authorized person (CAO/DA/Preparer, and/or whoever signed the Lobbying agreement or authorization on behalf of the Lobbying Organization that was submitted to JCOPE).

   Please note that notifications sent by a Preparer must include (cc) the CAO/DA, and/or whoever signed the Lobbying agreement or authorization on behalf of the Lobbying Organization that was submitted to JCOPE).

2. **Provide the following information in the notification:**
   (a) **AGREEMENT/CONTRACT** Termination:
      i. Biennial Period of Registration
      ii. Principal Lobbyist Name
      iii. Contractual Client Name
      iv. Beneficial Client Name(s)

v. Contract End DATE (as listed on the most recent agreement)
vi. Form Confirmation numbers that pertain to the filing being terminated (LRO, LRA, PRO, PRA) (ONLY required for Lobbyist, Public Corporation Termination)
vii. Termination Effective Date

(b) **PAPER/PDF INDIVIDUAL LOBBYIST** Termination from an Organization (Profile):
i. Biennial Period
ii. Individual Lobbyist Name
iii. Principal Lobbyist Name
iv. Termination Effective Date

An 'Individual Lobbyist' can be terminated online by an online Filer by accessing their Organization Profile and selecting the *Individual Lobbyist* tab:

1. Select the **'Edit'** button
2. Select the *pencil icon* next to the Individual Lobbyist name you are terminating
3. Enter the **'Termination Date'** in the field
4. Attestation
5. Click **'Save'**

NOTE: The *terminated* Individual will still display on the **Individual Lobbyist** tab but will **not** be selectable on any Filings for reporting periods that occur AFTER the **'Termination Date'**.

Sample Termination Letters can be found on JCOPE's website.

✶ **NOTE**: Until the function for submitting a Termination in the new LA is operational, you may continue to submit Registration Amendments to extend an expired (terminated) Agreement/Contract for the time being. If a 'lapse' exists between the original Lobbying Agreement "Contract Termination (End)" Date and the amended Lobbying Agreement "Contract Start Date", the Filer must submit a "Lapse letter" to explain the discrepancy. (Sample 'Lapse letter' is available on JCOPE's website.)

However, once the new LA can process Terminations, a Filer will generally be required to submit a new Registration and Filing Fee if a relationship (Lobbying Agreement/Contract) is terminated and then started again within the biennial period.

*****Lobbyists and Clients must continue to file all required Reports by their statutory due dates, reporting all Lobbying Activity **up to the Termination Effective Date**.*****

TICKETING IN THE NEW LOBBYING APPLICATION

The new Lobbying Application provides for a mechanism of communication between the Filer and JCOPE Staff, facilitating filing issue awareness and deficiency resolution through a system of Ticketing. Tickets may be generated by Staff to address a specific issue, or in some cases, auto-generated by the Lobbying Application. Tickets will appear on your dashboard in the LA.

APPENDIX A

LOBBYING SUBJECTS

Refer to JCOPE's website for the most up-to-date list.

Agribusiness – General

Agribusiness – Agricultural Services & Products

Agribusiness – Food Processing & Sales

Agribusiness – Tobacco

Budget/Appropriations

Chemicals/Chemical Industry

Construction – General

Construction – Building Materials & Equipment

Construction – Construction Services

Consumer Issues/Safety/Protection

Criminal Justice – General

Criminal Justice – Criminal Law & Procedures (includes sentencing)

Criminal Justice – Law Enforcement

Criminal Justice – Police Issues

Corrections

Economic Development – General

Economic Development – Tourism

Economic Development – Sports/Entertainment

Economic Development – Tax Incentives

Education – General

Education – Testing

Education – Funding

Education – Charter Schools

Education – Evaluations

Energy & Natural Resources – General

Energy & Natural Resources– Alternative Energy Production & Services

Energy & Natural Resources – Oil/Fuel/Gas

Energy & Natural Resources – Waste Management

Energy & Natural Resources – Environmental Conservation/Preservation

Energy & Natural Resources – Parks & Recreational Activities

Ethics including Lobby Reg.

Finance, Insurance & Financial Services – General

Finance, Insurance & Financial Services – Commercial Banks & Credit Unions

Finance, Insurance & Financial Services – Finance & Credit Companies

Finance, Insurance & Financial Services – Mortgage Finance

Finance, Insurance & Financial Services – Securities & Investment

Gaming – General

Gaming – Casinos

Gaming – Horse Racing

Gaming – Lottery

Gaming – Recreation & Live Entertainment

Health – General

Health – Health Professions

Health – Health Services / HMOs

Health – Hospitals & Nursing Homes

Health – Pharmaceuticals/ Health Products

Health – Medicine/ Medicaid

Health – Cigarette/ Tobacco

Human Rights/Civil Rights

Insurance – General

Insurance – Auto

Insurance – Health

Insurance – Life

Insurance – Property & Casualty

Labor – General

Labor - Labor Issues/ Unions

Labor – Prevailing wage/ Minimum Wage

Labor – Pensions/ Retirement

Media – General

Media – Printing & Publishing

Media – Books, Magazines & Newspapers

Media – Motion Picture/Television/Recorded Music/Music Production & Distribution

Media – First Amendment – Press

Miscellaneous Business – General

Miscellaneous Business – Advertising/ Public Relations

Public Utilities – General

Public Utilities – Telecommunications

Public Utilities – Cable/Broadband

Public Utilities – Water

Public Utilities – Gas

Public Utilities – Electric

Real Estate – General

Real Estate – Affordable Housing

Real Estate – Construction

Tax – General

Tax – Corporate

Tax – Exempt Organizations

Tax – Personal Income

Tax – Real Property

Tax – School

Tax – Development Credits

Transportation – General

Transportation– Railroad/Canals

Transportation – Safety

Transportation – Trucking

Transportation – Air Transport

Transportation – Automotive Industry/ Manufacturers

Veterans Affairs