



SOURCE OF FUNDING SUMMARY STATEMENT FORM

REPORTING YEAR/PERIOD	
Calendar year	
Client Semi-Annual Reporting Period	
<input type="checkbox"/> January/June	<input type="checkbox"/> July/December
<input type="checkbox"/> Check if amendment	Amendment effective date of change

FOR OFFICE USE ONLY

Every Beneficial Client is required to either: (1) Disclose Source(s) of Funding ('SoF'); or Indicate SoF reporting is not required. The information will be appended to every active CSA and Amended CSA of the affiliated Contractual Client(s) during the specified Reporting Period. A Beneficial Client may be the same as the Contractual Client.

SECTION I - BENEFICIAL CLIENT INFORMATION

Report the Beneficial Client name and contact information. A 'Beneficial Client' is the individual or organization on whose behalf and at whose request lobbying services were conducted by the Principal Lobbyist.

Refer to the following definitions when selecting the 'Beneficial Client Type.'

- Select '**Organization**' if filing for a person or company, firm, entity, or other Organization who utilizes Employed or Retained Lobbyists to lobby on behalf of itself, or incurs Lobbying Expenses on behalf of itself or another.
- Select '**Public Corporation**' if filing for a municipal corporation (including counties, cities, towns, villages, and school districts), district corporation, and public benefit corporation as defined in section sixty-six of the General Construction Law who utilizes Retained Lobbyists.
- Select '**Coalition**' if filing for a group of otherwise-unaffiliated entities or members who pool funds for the primary purpose of engaging in Lobbying Activities on behalf of the members of the Coalition and who opted to file as a Lobbyist or Client.

BENEFICIAL CLIENT TYPE

Select one: Organization Public Corporation Coalition

BENEFICIAL CLIENT NAME AND INFORMATION

Name

BUSINESS ADDRESS AND CONTACT INFORMATION

Street

Street 2 (optional)

City

State

Zip code

Country

Business phone

Ext.

Email address

NYBE # (If known)

ALTERNATE BUSINESS ADDRESS

 check if primary mailing address

Street

Street 2 (optional)

City

State

Country

Zip code

RESPONSIBLE PARTY NAME AND CONTACT INFORMATION FOR BENEFICIAL CLIENT

Complete the **'Responsible Party'** section only if the Beneficial Client submitting the Source of Funding information has never filed Lobbying reports with the Commission on Ethics and Lobbying in Government.

Last name

First name

Middle name (optional)

Suffix (optional)

Business title

Phone number

Ext.

Email address

Alt Email

SECTION II - SOURCE OF FUNDING INFORMATION

A Beneficial Client listed on a Statement of Registration or Client Semi-Annual Report must select a SoF Summary Statement and may be required to disclose Source of Funding information. Refer to the Regulations Part 938 and Chapter 9 of the Guide to Lobbying for more information.

SELECT ONE:

You must select one of the options below. Please download and complete the pre-formatted Excel Spreadsheet from the Commission website to disclose Source of Funding information. E-mail the completed spreadsheet to CSA@ethics.ny.gov with the subject line 'SoF Excel Spreadsheet'. Paper copies of the Excel Spreadsheet will **NOT** be accepted, you must attach the original source file to the e-mail. Please include your contact information to avoid unnecessary filing delays.

Reporting is NOT required

- Beneficial Client is a 501(c)(3) or government organization
- Beneficial Client had no applicable Contributions
- Beneficial Client is under spending threshold
- Exemption pending or previously approved

Reporting IS required

If 'Reporting is Required' is selected, the Client Filer is required to provide Source Type and Information for each identified Source.

- Reporting is required and pre-formatted Excel Spreadsheet has been emailed to CSA@ethics.ny.gov

SECTION III - CONTRACTUAL CLIENT 'A' INFORMATION

Report the name and contact information of every Contractual Client that has named you as a Beneficial Client. Your SoF Information will append to each Client Semi-Annual Report and amendment submitted by the Contractual Client(s) during the specified Reporting Period. **Complete this section only if the Contractual Client is different than the Beneficial Client.**

Refer to the following definitions when selecting the 'Contractual Client Type.'

- Select '**Organization**' if filing for a person or company, firm, entity, or other Organization who utilizes Employed or Retained Lobbyists to lobby on behalf of itself, or incurs Lobbying Expenses on behalf of itself or another.
- Select '**Public Corporation**' if filing for a municipal corporation (including counties, cities, towns, villages, and school districts), district corporation, and public benefit corporation as defined in section sixty-six of the General Construction Law who utilizes Retained Lobbyists.
- Select '**Coalition**' if filing for a group of otherwise-unaffiliated entities or members who pool funds for the primary purpose of engaging in Lobbying Activities on behalf of the members of the Coalition and who opted to file as a Lobbyist or Client.

CONTRACTUAL CLIENT 'A' TYPE

Select one: Organization Public Corporation Coalition

SECTION III - CONTRACTUAL CLIENT 'A' INFORMATION CONTINUED

CONTRACTUAL CLIENT 'A' NAME AND INFORMATION

Name

BUSINESS ADDRESS AND CONTACT INFORMATION

Street

Street 2 (optional)

City

State

Zip code

Country

Business phone

Ext.

Email address

NYBE # (If known)

RESPONSIBLE PARTY NAME AND CONTACT INFORMATION FOR CONTRACTUAL CLIENT 'A'

Last name

First name

Middle name (optional)

Suffix (optional)

Business title

Phone number

Ext.

Email address

Alt Email

SECTION II - CONTRACTUAL CLIENT 'B' INFORMATION (IF APPLICABLE)

If you have affiliations with additional Contractual Clients, report their business name and contact information below.

CONTRACTUAL CLIENT 'B' TYPE

Select one:

Organization

Public Corporation

Coalition

SECTION II - CONTRACTUAL CLIENT 'B' INFORMATION CONTINUED

CONTRACTUAL CLIENT 'B' NAME AND INFORMATION

Name

BUSINESS ADDRESS AND CONTACT INFORMATION

Street

Street 2 (optional)

City

State

Zip code

Country

Business phone

Ext.

Email address

NYBE # (If known)

RESPONSIBLE PARTY NAME AND CONTACT INFORMATION FOR CONTRACTUAL CLIENT 'B'

Last name

First name

Middle name (optional)

Suffix (optional)

Business title

Phone number

Ext.

Email address

Alt Email

SECTION II - CONTRACTUAL CLIENT 'C' INFORMATION (IF APPLICABLE)

If you have affiliations with additional Contractual Clients, report their business name and contact information below.

CONTRACTUAL CLIENT 'C' TYPE

Select one:

Organization

Public Corporation

Coalition

SECTION II - CONTRACTUAL CLIENT 'C' INFORMATION CONTINUED

CONTRACTUAL CLIENT NAME AND INFORMATION			
Name			
BUSINESS ADDRESS AND CONTACT INFORMATION			
Street		Street 2 (optional)	
City	State	Zip code	Country
Business phone		Ext.	
Email address		NYBE # (If known)	
RESPONSIBLE PARTY NAME AND CONTACT INFORMATION FOR CONTRACTUAL CLIENT 'C'			
Last name		First name	
Middle name (optional)		Suffix (optional)	
Business title			
Phone number		Ext.	
Email address		Alt Email	

SECTION IX - ATTESTATION

DECLARATION	
<p><i>This Declaration must be signed by the Chief Administrative Officer of the Beneficial Client. (If the Chief Administrative Officer, for any reason, does not sign, he/she must duly designate another person to sign this Declaration.) (See instructions.)</i></p>	
Signature X	Date
Last	First
<p>Select One: <input type="checkbox"/> Chief Administrative Officer <input type="checkbox"/> Designee (Attach Letter)</p>	

PLEASE NOTE: The original signed document is required to be mailed. You may be assessed up to \$25 for each day this report is late. Completed forms may be sent to:

NYS Commission on Ethics and Lobbying in Government
 540 Broadway
 Albany, New York 12207

If reporting is required, complete the pre-formatted Excel Spreadsheet and e-mail the original source file to CSA@ethics.ny.gov and include your contact information and the name of the Beneficial Client to avoid filing delays.