



New York State Joint Commission on Public Ethics

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Joint Commission on Public Ethics Releases 2021 Annual Report

Nearly \$293 Million Spent on State and Local Lobbying

ALBANY – (July 7, 2022) – The Joint Commission on Public Ethics (“Commission”) today released its 2021 Annual Report, featuring highlights of its work fulfilling its mission of regulating compliance with ethics and lobbying laws in New York state.

In early 2021, the Commission’s revised comprehensive lobbying regulations took effect, which included providing increased clarity on some key definitions, including Contractual Client and Designated Lobbyist and simplified provisions related to Direct and Grassroots Lobbying.

Total lobbying expenditures for 2021 were \$292.9 million, a more than 9 percent increase from the \$262.1 million spent in 2020, and not far below the record spending of more than \$298 million set in 2019. The trend of lobbying spending continued to shift more heavily toward compensation than expenses in 2021. Compensation paid to retained and in-house (employee) lobbyists climbed to \$270.4 million, a \$21.7 million jump from the \$248.7 million reported in 2020.

The 2021 list of the top 10 highest-spending lobbying entities was capped once again by top spender the Greater New York Hospital Association (GNYHA), which spent \$5,448,219 on compensation and expenses, with lobbying efforts ranging from Covid-19 and other healthcare-related issues impacting hospitals and nursing homes to pharmaceutical-, insurance-, and labor/union-related issues.

Labor was the biggest focus of the top lobbying entities this past year, including AARP (ranked #3), NYS Nurses Association (ranked #6), NYS Trial Lawyers Association (ranked #7), NYS United Teachers (ranked #8), and online food ordering and delivery platform Doordash, which entered the list for the first time at number 9.

Other newcomers to the list were South Street Seaport Limited Partnership (#5) and RXR Development Services LLC (#10), both of which were focused on construction and real estate development. The only entity whose interests varied from other members of the top 10 was Genting NY (#4), whose lobbying interests focused on gaming and, listed one of the most-lobbied bills of 2021 in their lobbying reports, Senate Bill S2509, which provided for regulation of sports wagering and mobile sports wagering.

The 10 highest-spending lobbying entities in 2021 accounted for 6.8% of all lobbying spending at \$19.7 million. The top ten lobbyists in 2021 were led once again by Brown & Weinraub, PLLC, followed by Kasirer LLC and Bolton St. Johns, LLC (consistent with the 2020 rankings). Rounding out the top ten in 2021 were Greenberg Traurig, LLP; Mercury Public Affairs LLC (up from #6 in 2020); Ostroff Associates, Inc.; Park Strategies, LLC; Hinman Straub Advisors, LLC; Constantinople & Vallone Consulting LLC; and James F. Capalino & Associates (back in the top ten after being at #11 in 2020).

The number of registrations increased slightly from 5,740 in 2020 to 5,747 in 2021. Registrations, however, have yet to regain the levels achieved in 2019, when 6,650 registrations were submitted for that year. In addition, the number of clients dropped to 4,486 in 2021, a decrease of 3.9% from 2020. This might suggest that although fewer clients lobbied in 2021 than in 2020, they paid more to lobby than they did in the previous year. In addition, the number of public corporations that registered and filed as lobbyists or filed reports as clients of lobbyists increased slightly, from 58 in 2020 to 59 in 2021, significantly less than the 76 that lobbied in 2019.

The complete source data filed by lobbyists and their clients for 2021 was also published on the Commission's website, jcope.ny.gov, today, and can be found here. Tables summarizing some of the 2021 lobbying data highlights appear at the end of this release. Additionally, Public Search Query results can be downloaded as spreadsheets for further analysis.

To access the 'Public Data' page, select the 'About' main menu from the JCOPE website and then select 'Public Data' from the drop-down menu. From the Public Data page, access the Public Search Query from the 'Lobbying Data on Demand' section of the page. Scroll down to the 'Alphabetical and other Reports' section of the Public Data page to access the Lobbying Reports.

More detailed information on investigative matters, guidance and outreach, and audit and review of financial disclosure statements and required lobbying filings can be found in the 2021 annual report itself.

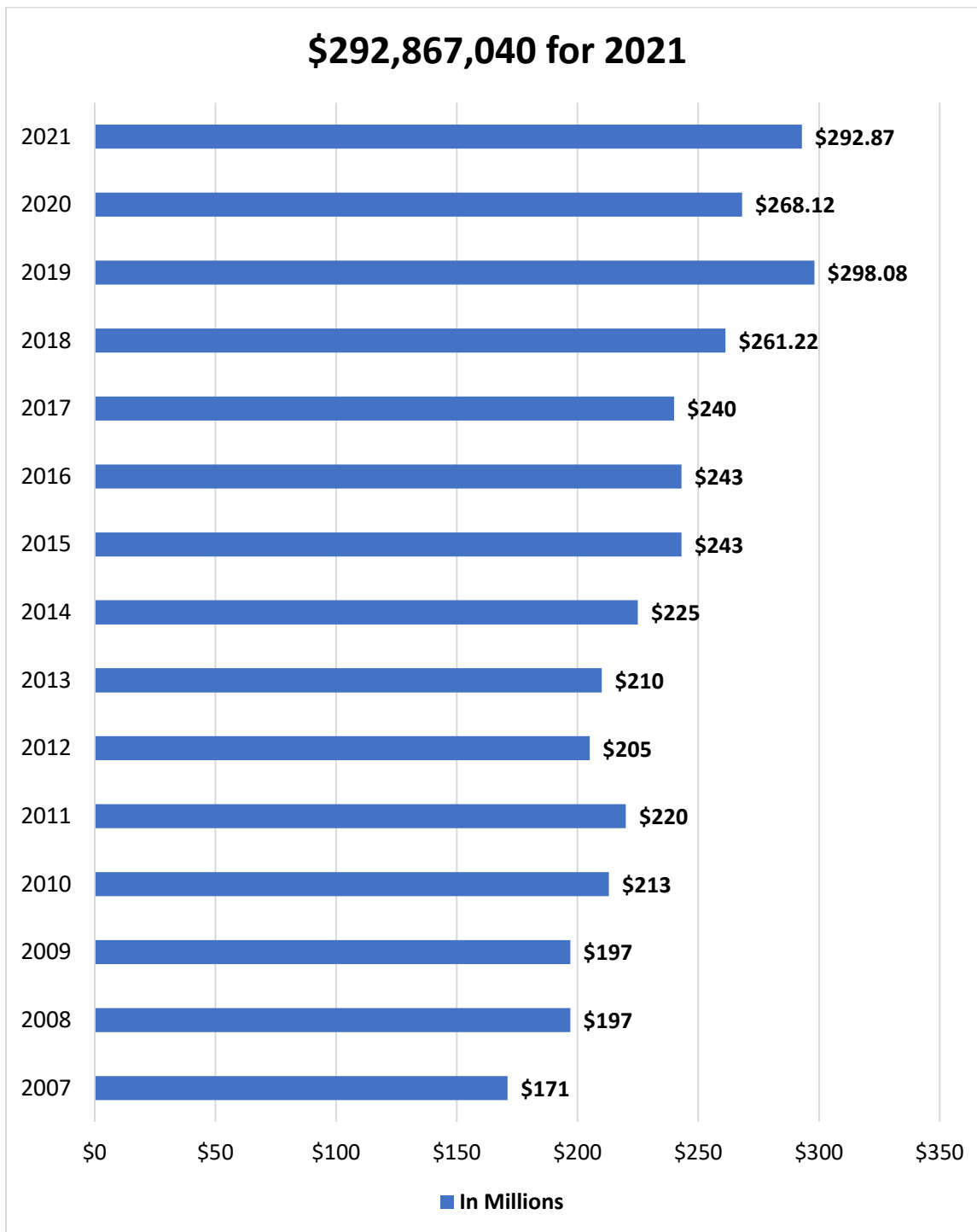
On July 8, the Ethics Commission Reform Act of 2022 goes into effect, and the Joint Commission on Public Ethics will be replaced by the Commission on Ethics and Lobbying in Government. Additional information about the work of JCOPE during its 11-year history and some year-to-date information of its work for the first half of 2022 can be found in the annual report and at the end of this press release.

2021 Lobbying Data Highlights

The following tables summarize additional lobbying data.

LOBBYING SPENDING

Year-Over-Year Comparison on Total \$ Spent on Lobbying



Based on the combined figures of compensation and expenses reported on Client Semi-Annual and Public Corporation Reports.

LOBBYING ENTITIES BY TOTAL SPENDING

Clients and Public Corporations Ranked by Compensation and Expenses

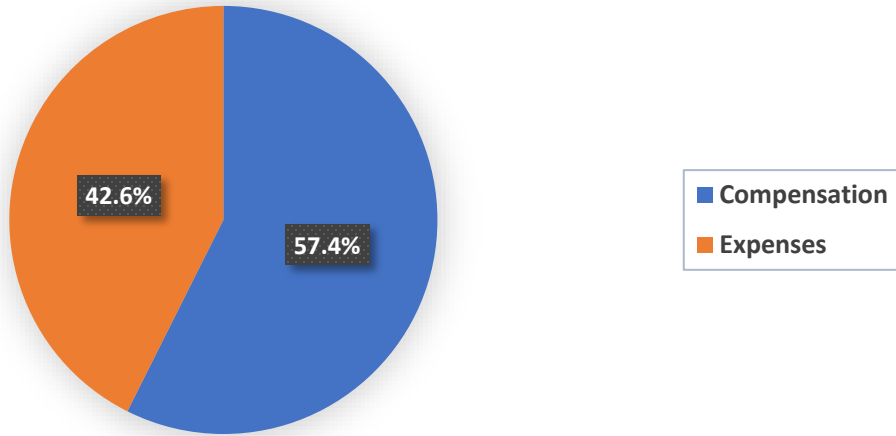
CLIENT	AMOUNT
GREATER NEW YORK HOSPITAL ASSOCIATION, INC.	\$5,448,219
SUCCESS ACADEMY CHARTER SCHOOLS, INC.	\$2,008,949
AARP	\$1,936,320
GENTING NEW YORK LLC	\$1,898,000
SOUTH STREET SEAPORT LIMITED PARTNERSHIP	\$1,698,926
NURSES ASSOCIATION-NYS	\$1,660,110
TRIAL LAWYERS ASSOCIATION (NYS)	\$1,416,689
UNITED TEACHERS (NYS)	\$1,307,147
DOORDASH, INC.	\$1,296,969
RXR DEVELOPMENT SERVICES LLC	\$1,109,193

Ranking based on compensation and expense information (aggregate expenses less than \$75; aggregate expenses of salaries of non-lobbying employees; and itemized expenses) reported in Client Semi-Annual Reports and Public Corporation Filings submitted as of May 6, 2022.

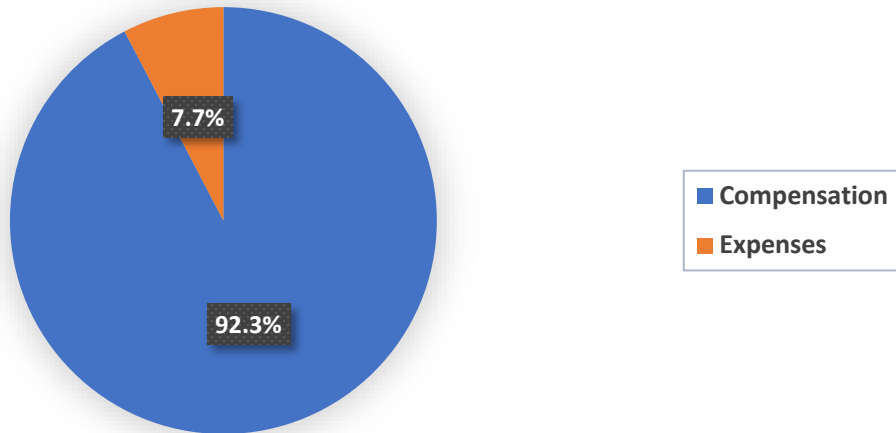
ALLOCATION OF LOBBYING EXPENDITURES

Compensation and Expenses from Top 10 Lobbying Entities and all Lobbying Entities

Top 10 Lobbying Entities



All Lobbying Entities



Based on compensation and expenses (aggregate expenses less than \$75; aggregate expenses of salaries of non-lobbying employees; and itemized expenses) reported in Client Semi-Annual Reports and Public Corporation Filings submitted as of May 6, 2022.

TOP TOPIC TRENDS

Lobbying Subjects Ranked by Selections Indicated in 2021 Lobbyist Bi-Monthly and Public Corporation Bi-Monthly Reports

SUBJECT LOBBIED	# OF CLIENTS	# OF LOBBYISTS	TOTAL # OF FILINGS
Miscellaneous Business - General	876	218	4623
Budget/Appropriations	717	420	4383
Real Estate - General	759	176	4177
Health - General	636	331	3823
Economic Development - General	388	176	2033
Education - General	295	196	1698
Transportation - General	235	156	1397
Labor - General	242	172	1356
Energy & Natural Resources - General	218	155	1314
Finance, Insurance & Financial Services - General	176	126	995
Construction - General	175	98	955
Health - Pharmaceuticals/ Health Products	147	131	954
Health - Medicine/ Medicaid	166	146	924
Health - Hospitals & Nursing Homes	147	103	922
Real Estate - Construction	161	68	873
Consumer Issues/Safety/Protection	154	108	839
Labor - Labor Issues/ Unions	136	102	818

Health - Health Professions	130	117	779
Insurance - Health	130	116	776
Energy & Natural Resources - Environmental Conservation/Preservation	145	131	736

Count information: *Subjects lobbied represent the number of lobbyists who reported the activity on behalf of a client, in at least one Bi-Monthly report. Subjects are counted once in any Bi-Monthly report disclosed by the same Lobbyist/Client/Beneficial Client pairing. The number of Lobbyists and number of Clients are counted from the associated Registration. Subjects lobbied reported as submitted as of May 6, 2022.*

COMPARISON ON STATE AND MUNICIPAL LOBBYING ACTIVITIES

Information on Lobbying Activities and How Attempts to Influence Were Conducted in 2021

STATE LEVEL ACTIVITIES	# DIRECT LOBBIED	# GRASSROOTS LOBBIED	# OF BOTH	# MONITORED ONLY	CATEGORY TOTALS
Bills	47,434	858	6,919	26,212	81,423
Executive order	2,582	14	59	117	2,772
Funding	3,468	99	442	180	4,189
Permits/Licensing	419	27	29	9	484
Procurements	953	17	72	63	1,105
Regulation/Rate Making/Rule	4,008	68	317	373	4,766
Resolution	526	17	45	13	601
Tribal Compact Agreement	6	0	0	0	6
GRAND TOTAL	59,396	1,100	7,883	26,967	95,346
MUNICIPAL LEVEL ACTIVITIES	# DIRECT LOBBIED	# GRASSROOTS LOBBIED	# OF BOTH	# MONITORED ONLY	CATEGORY TOTALS
Bills	2,121	43	322	226	2,712
Executive order	74	12	7	0	93
Funding	1,941	38	174	9	2,162
Ordinance	87	1	25	2	115
Procurements	939	6	70	6	1,021
Regulation/Rate Making/Rule	1,726	14	95	3	1,838
Resolution	725	6	44	4	779
Permits/Licensing	485	1	54	7	547
GRAND TOTAL	8,098	121	791	257	9,267

Information collected from State and Municipal lobbying activities reported in Lobbyist and Public Corporation Bi-Monthly reports submitted as of May 6, 2022.

PROFESSIONAL LOBBYISTS

Retained Lobbyists Ranked by Compensation Reported

LOBBYIST	AMOUNT
BROWN & WEINRAUB, PLLC	\$15,480,791
KASIRER LLC	\$15,456,993
BOLTON ST. JOHNS, LLC	\$14,169,449
GREENBERG TRAURIG, LLP	\$12,053,566
MERCURY PUBLIC AFFAIRS LLC	\$8,819,648
OSTROFF ASSOCIATES, INC.	\$8,281,564
PARK STRATEGIES, LLC	\$7,723,204
HINMAN STRAUB ADVISORS, LLC	\$6,460,306
CONSTANTINOPOLE & VALLONE CONSULTING LLC	\$6,085,507
JAMES F. CAPALINO & ASSOCIATES, INC.	\$5,535,010

Ranking based on compensation information reported in Lobbyist Bi-Monthly Reports submitted as of May 6, 2022.

LOBBYING FIRMS RANKED BY LARGEST NUMBER OF CLIENTS

Principal Lobbyists Ranked by # of Clients and Total Compensation received by all Clients

PRINCIPAL LOBBYIST	# CONTRACTUAL CLIENTS	# BENEFICIAL CLIENTS	TOTAL COMPENSATION RECEIVED
BOLTON-ST. JOHNS, LLC	262	265	\$14,169,449
KASIRER LLC	206	214	\$15,456,993
GREENBERG TRAURIG, LLP	205	208	\$12,053,566
BROWN & WEINRAUB, PLLC	189	192	\$15,480,791
PARK STRATEGIES, LLC	141	143	\$7,723,204
DAVIDOFF HUTCHER & CITRON, LLP.	113	115	\$5,029,633
CONSTANTINOPLE & VALLONE CONSULTING LLC	109	109	\$6,085,507
JAMES F. CAPALINO & ASSOCIATES, INC.	109	109	\$5,535,010
OSTROFF ASSOCIATES, INC.	109	110	\$8,281,564
MERCURY PUBLIC AFFAIRS LLC	103	116	\$8,819,648

***Count and compensation information:** Number of Contractual Clients and Beneficial Clients counted from 2021-2022 Lobbyist Statement of Registrations. Total Compensation tallied from 2021 Bi-Monthly Reports for each Principal Lobbyist submitted as of May 6, 2022.*



JCOPE ACTIVITY SINCE 2011

- **Ethics Filings**
 - Over 315,000 Financial Disclosure Statement (FDS) filings received and processed
- **Ethics Guidance**
 - 17 formal Advisory Opinions
 - More than 4,000 written responses to inquiries and requests for informal opinions
- **Lobbying Filings**
 - Processed more than 500,000 lobbyist statements of registration and bi-monthly reports, client semi-annual reports, amended reports, and the like
- **Lobbying Guidance**
 - More than 300,000 responses provided
- **Audits conducted** – Lobbying (since 2014) and FDS (since 2015) – more than 10,000
- **Investigations and Enforcement**
 - 1,724 complaints received and processed
 - 286 15-day letters issued
 - 165 formal investigations opened
 - 147 settlements and 4 civil assessments – more than \$1.8 million in penalties
- **Ethics Trainings**
 - More than 75,000 have completed the Comprehensive Ethics Training Course (since 2013) or Ethics Seminar refresher (since 2016) conducted by JCOPE or under its oversight
 - Roughly 16% done by JCOPE staff; remainder conducted at agency level with JCOPE material

OPERATIONS REPORT THROUGH MAY 2022

INVESTIGATIONS	YEAR TO DATE (CY 2022)
Number of tips, complaints, and reports received	83
Number of 15-day letters sent	3
Number of investigations opened	2
Number of matters closed	54
Number of guidance letters sent	0
Number of matters pending as of May 31	92
Number of open investigations as of May 31	32

ETHICS	YEAR TO DATE (CY 2022)
Total Requests for Guidance	400
Post-Employment	128
Gifts	22
Outside Activity	116
Reimbursement for Official Activity	8
Conflict of Interest	51
Miscellaneous	75
Publications & Eblasts	1

LOBBYING	YEAR TO DATE (CY 2022)
Number of Individual & Principal Lobbyists as of May 31, 2022	7,899
Number of Clients as of May 31, 2022	4,124
Number of Public Corps as of May 31, 2022	63
Lobbying Inquiries	14,159
Publications & Eblasts	9

FDS	YEAR TO DATE (CY 2022)
Number of Filings Submitted	12,822
Failure to File Notices Issued	326
Notices of Delinquency Issued	40
Number of Exemption and Deletion Requests	245

TRAINING	Year to Date (CY 2022)
Ethics Trainings Held	12
Number of FDS Filers who received credit for completing ethics training	582
Number of FDS Filers overdue for ethics training as of May 9, 2022	2084
Number of individuals who completed lobbying training	298

AUDIT AND REVIEW	Year to Date (CY 2022)
Number of Random Audits of lobbying filings completed	294
Number of Random FDS reviews completed	460
Requests for Additional Information Letters (RAILs) sent after Random Review	133
Number of Targeted FDS reviews completed	67
RAILs sent after Targeted Review	0

PUBLIC INFORMATION OFFICE	Year to Date (CY 2022)
Records Access Requests	76
Records Provided	132