



REPORTABLE BUSINESS RELATIONSHIP QUESTIONNAIRE

*This questionnaire should **not** be submitted to the Commission on Ethics and Lobbying in Government. It should, however, be kept as part of the filer's records for three years.*

Purpose:

This questionnaire may be used, and relied upon in good faith, by a Lobbyist or Client Organization to send to its equity partners, officers, directors or High-Level Individuals, as applicable, to determine whether such persons have Reportable Business Relationships ('RBR') that must be disclosed by the Lobbyist or Client Organization.

A **Lobbyist** may send this to every person listed on its Statement of Registration and any equity partners, officers, or directors of its lobbying firm or organization who operate out of the same geographic office as any person listed on such Statement of Registration.

A **Client Organization** may send this to its *High-Level Individuals*, which are defined as proprietors, partners, directors, trustees or persons within the executive management of the Client Organization. If the Client is a college, *High-Level Individuals* include members of the college's governing board, the President or Chief Executive, and the Provost or Chief Academic Officer.

If the answers of the person filling out this questionnaire lead to an RBR that must be disclosed, the Lobbyist or Client should, for ease of filing, request such person to fill out **Sections II and III of the RBR form** and submit it to the Lobbyist or Client along with the completed questionnaire.

The questionnaire and RBR forms can be found on the '**Filing Information and Requirements**' page located in the 'Lobbying' main navigation menu of the Commission website.

<i>Name</i>	
<i>Title</i>	
<i>Address of Primary Work Location(s)</i>	

1. (a) Do you currently have any business relationships in which you personally purchased or will purchase goods, services, or anything valued at more than \$1,000 annually from a person or entity located within the State of New York?

YES: ____ NO: ____

(b) In addition to anything you personally purchased or will purchase, if you are considered a *High-Level Individual*, did you direct or request another entity to purchase goods, services or anything valued at more than \$1,000 annually from a person or entity located within the State of New York?

YES: ____ NO: ____

- If you answered 'Yes' to either (a) or (b), **go to Question #2.**
- **If 'No,' you do NOT have an RBR to report.** Please sign and date the form and return to the Lobbyist or Client Organization.

NOTE: *Reportable Business Relationships include formal and informal relationships that may or may not be based on written contracts.*

The value of any outstanding Compensation owed, as well the value of goods or services to be performed, must be considered when determining if the \$1,000 threshold is met.

2. (a) Do the services fall into one or more of the following categories:

- Treatments for medical, dental, and mental health services;
- Legal services with respect to: investigation or prosecution by law enforcement; bankruptcy; domestic relations.

YES: ____ NO: ____

(b) Is the Compensation paid related to commercially available consumer and business loans or lines of credit that are available to the general public, goods and services and discounts

available to the general public, dividends or payments related to stock purchases, or contributions reportable under Article 14 of the Election Law?

YES: ____ NO: ____

- If you answered 'Yes' to either (a) or (b), you do **NOT** have an RBR to report. Please **sign and date the form** and return to the Lobbyist or Client Organization.
- If '**No**,' go to **Question #3**.

3. Do you meet the definition of a **High-Level Individual** of a Client Organization?

YES: ____ NO: ____

- If '**Yes**,' skip to **Question #5**.
- If '**No**,' go to **Question #4**.

4. (a) If the business relationship is with a person, does that person meet the definition of '**State Person**,' which includes a(n):

- statewide elected official;
- officer or employee of a statewide elected official;
- member of the legislature;
- legislative employee;
- head of a state department or their deputy or assistant (other than members of the Board of Regents);
- officer or employee of a state department, board, bureau, division, commission, council, or other state agency;
- employee of a public authority (other than multi-state authorities), public benefit corporation or commission at least one of whose members is appointed by the Governor; or
- member or director of such authorities, corporations, and commissions who are compensated on other than a per diem basis?

YES: ____ NO: ____ Not that I am aware of: ____

- If '**Yes**,' you have an RBR to report. Please **sign and date the form** and return to the Lobbyist or Client Organization.
- If you answered 'No' or '**Not that I am aware of**,' go to **Question #4(b)**.

NOTE: *The answer ‘Not that I am aware of’ is only appropriate when, based on the totality of the circumstances, the person signing this form does not have a ‘Reason to Know’ that the business relationship is with a State Person.*

(b) If the business relationship is with an entity, is a State Person a proprietor, partner, director, officer, or manager of the non-governmental entity?

YES: ___ NO: ___ Not that I am aware of: ___

- If ‘Yes,’ you have an RBR to report. Please **sign and date the form** and return to the Lobbyist or Client Organization.
- If you answered ‘No’ or ‘Not that I am aware of’, go to **Question #4(c)**.

NOTE: *The answer ‘Not that I am aware of’ is only appropriate when, based on the totality of the circumstances, the person signing this form does not have a ‘Reason to Know’ that the business relationship is with an entity in which a State Person is the proprietor, partner, director, officer, or manager.*

(c) If the business relationship is with an entity, does a State Person own or control 10% or more of the stock of the entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange)?

YES: ___ NO: ___ Not that I am aware of: ___

- If ‘Yes,’ you have an RBR to report. Please **sign and date the form** and return to the Lobbyist or Client Organization.
- If you answered ‘No’ or ‘Not that I am aware of’, you do NOT have an RBR to report. Please **sign and date the form** and return to the Lobbyist or Client Organization.

NOTE: *The answer ‘Not that I am aware of’ is only appropriate when, based on the totality of the circumstances, the person signing this form does not have a ‘Reason to Know’ that the business relationship is with an entity in which a State Person*

owns or controls 10% or more of the stock of the entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange).

5. If you are a *High-Level Individual* of a Client Organization, your Organization must report business relationships that you enter into in your personal capacity and/or business relationships you directed or requested another entity to enter into. Under either scenario, please answer the following:

(a) If the business relationship is with a person, does that person meet the definition of 'State Person,' which includes a(n):

- statewide elected official;
- officer or employee of a statewide elected official;
- member of the legislature;
- legislative employee;
- head of a state department or their deputy or assistant (other than members of the Board of Regents);
- officer or employee of a state department, board, bureau, division, commission, council, or other state agency;
- employee of a public authority (other than multi-state authorities), public benefit corporation or commission at least one of whose members is appointed by the Governor; or
- member or director of such authorities, corporations, and commissions who are compensated on other than a per diem basis?

Yes: ___ No: ___ Not that I am aware of: ___

- If '**Yes**,' you have an RBR to report. Please **sign and date** the form and return to the Lobbyist or Client Organization.
- If you answered '**No**' or '**Not that I am aware of**', go to **Question #5(b)**.

NOTE: *The answer 'Not that I am aware of' is only appropriate when, based on the totality of the circumstances, the person signing this form does not have a '**Reason to Know**' that the business relationship is with a State Person.*

(b) If the business relationship is with an entity, is a State Person a proprietor, partner, director, officer, or manager of the non-governmental entity?

YES: ___ NO: ___ Not that I am aware of: ___

- If 'Yes,' you have an RBR to report. Please **sign and date the form** and return to the Lobbyist or Client Organization.
- If you answered 'No' or 'Not that I am aware of', go to **Question #5(c)**.

NOTE: *The answer 'Not that I am aware of' is only appropriate when, based on the totality of the circumstances, the person signing this form does not have a 'Reason to Know' that the business relationship is with an entity in which a State Person is the proprietor, partner, director, officer, or manager.*

(c) If the business relationship is with an entity, does a State Person own or control 10% or more of the stock of the entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange)?

YES: ___ NO: ___ Not that I am aware of: ___

- If 'Yes,' you have an RBR to report. Please **sign and date the form** and return to the Lobbyist or Client Organization.
- If you answered 'No' or 'Not that I am aware of', you do NOT have an RBR to report. Please **sign and date the form** and return to the Lobbyist or Client Organization.

NOTE: *The answer 'Not that I am aware of' is only appropriate when, based on the totality of the circumstances, the person signing this form does not have a 'Reason to Know' that the business relationship is with an entity in which a State Person owns or controls 10% or more of the stock of the entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange).*

I attest and affirm that the foregoing information is, to the best of my knowledge, true and accurate.

Name: _____

Date: _____