



Public Corporation Bi-monthly and Bi-monthly Amendment Information

Any Public Corporation required to file a Statement of Registration in a Biennial Registration Period must also file Bi-monthly Reports, regardless of Compensation, Expenses, or Lobbying Activity, up to the Termination (End) Date.

PURPOSE

The purpose of this document is to provide Filers with further clarification of the information required to be disclosed in Bi-monthly and Bi-monthly Amendment Reports utilizing the Lobbying Application (“LA”).

NOTES: This document is **not** intended to assist Individuals/Organizations in determining whether their activities require registration and reporting to the Commission.

- For assistance in determining whether your activities are considered Lobbying Activities which require Registration and Bi-monthly reporting, please refer to the regulations available on the Commission’s website.
- For assistance with Filings themselves, please contact the Commission’s Lobbying HelpDesk at LobbyingHelpDesk@ethics.ny.gov or by phone at 518-474-3973..

THINGS TO KNOW

Unlike the Registration, which is considered a *forward-looking* document that requires the Filer to disclose much **broader information**, if known, the Bi-monthly Report requires the Filer to disclose with **greater specificity** the **actual Lobbying Activities** and monies spent. Proper disclosure of these Lobbying Activities necessitates a level of specificity that makes clear to the public exactly **what** and **who** was being lobbied during the specific Bi-monthly reporting period.

- The Lobbying Act requires a registered Lobbyist (including Public Corporations) to submit a Bi-monthly Report for each reporting period their In-house Lobbyists engage in Lobbying Activities (based on the **Lobbying Agreement Start** and **Termination (End) Dates**).
- There is NO minimum threshold requirement for filing any Bi-monthly Report. Consequently, all Bi-monthly Reports are required to be filed for a registration period, unless the Registration has been terminated. If, in fact, the agreement or authorization has terminated, you must comply with the Bi-monthly reporting requirements up to the date of termination.
- Bi-monthly Reports must be submitted even when **Compensation, Expenses, or Lobbying Activity** did **not** occur during a Bi-monthly reporting period. Bi-monthlies must continue to

be submitted for as long as the Lobbying Agreement is in effect (or “active”), even if only for a portion of a Bi-monthly reporting period.

NOTE: Pursuant to Commission Regulations at 943.11 (i): (1) A Lobbyist may request that a Bi-monthly Report be withdrawn, provided the request is made consistent with and meets the criteria set forth in procedures implemented by the Commission. Otherwise, the Commission recommends you submit a notice of termination. In addition, please be aware that all parties must still file all required reports by their statutory due dates, reporting all lobbying activity up to the effective date of termination.

LOBBYING APPLICATION INFORMATION

- A Bi-monthly Report may be started, saved, and submitted beginning on the first day of the Bi-monthly’s reporting period (example – the March/April Bi-monthly can be started March 1); as long as the Lobbying Agreement is “active” during the reporting period for which the Bi-monthly Report is being filed.
- Bi-monthly Reports must be submitted in chronological order based on the *Lobbying Agreement Start Date*.
- Once submitted, a Bi-monthly Report cannot be deleted. The Filer must submit a *Request to Withdraw* to remove the Filing from public view.
- Once submitted, no changes can be made to the original document (Bi-monthly and/or Amendment). Any change or modification to information requires submission of a Bi-monthly Amendment.

BI-MONTHLY REPORTING PERIODS & DUE DATES

BI-MONTHLY REPORTING PERIOD	PERIOD COVERED	DUE DATE
January/February	January 1 - February 28	March 15
March/April	March 1 - April 30	May 15
May/June	May 1 - June 30	July 15
July/August	July 1 - August 31	September 15
September/October	September 1 - October 31	November 15
November/December	November 1 - December 31	January 15 (of the following year)

NOTES: There is 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.

Public Corporation Bi-monthly and Bi-monthly Amendment Information (updated September 2023)

- Timely reports are those that are received by the Commission’s office on or before the due date. If a report is due on a weekend or a State holiday, the report must be received in the Commission’s office on the first business day following the weekend or State holiday. The Commission does not consider the postmarked date as the date of receipt for lobbying filings.

INFORMATION COLLECTED ON THE BI-MONTHLY REPORT

The online Bi-monthly Report 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, and the most recently submitted Filing of the Public Corporation (Biennial Registration, Registration Amendment, Bi-monthly or Amendment):

- Public Corporation Information
- In-House Lobbyist Information
- Retained Lobbyist Information
- Lobbying **Activities** (Focuses and Parties) disclosed on your previously submitted Bi-monthly Report(s)

The Bi-monthly Report contains the following fields. Items denoted with a red asterisk ‘*’ are required fields.

Biennial Period*

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

Bi-monthly Reporting Period*

- January/February
- March/April
- May/June
- July/August
- September/October
- November/December

Public Corporation*

The name and contact information of the Public Corporation disclosed on your corresponding Public Corporation Statement of Registration will automatically populate to your Bi-monthly Report.

DEFINITION: A municipal corporation, a district corporation, or a public benefit corporation as

defined in section sixty-six of the general construction law.

Compensation and Expenses*

Compensation and Expenses for Public Corporations must be disclosed during the reporting period in which they are expended, received or incurred.

All Compensation and Expenses associated with Lobbying Activity should be accounted for using accrual basis accounting, i.e., **costs are reported in the period in which they are incurred.**

Lobbying Agreement Compensation Amount

The 'Compensation and Expenses' section of the Bi-Monthly is comprised of two different reporting sub-categories: '*Compensation and Expenses*' and '*Other Public Corp Expenses*'.

Sub-categories

The '**Compensation and Expenses**' section of the Public-Corporation Bi-Monthly Report is comprised of two separate reporting sub-categories: '*In-House Lobbyists*' and '*Retained Lobbyists*'..

1. In-House Lobbyists sub-tab

(a) Level of Government

You must indicate the '**Level of Government**' your In-House Lobbyist(s) Lobbied or attempted to influence an action enumerated in section 1-c(c)(i)-(x) of the Lobbying Act during the reporting period.

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

(b) In-House Lobbyists

The names of any In-House Lobbyists disclosed on your corresponding Public Corporation Statement of Registration, or previously submitted Bi-monthly Report(s), will automatically populate to your Bi-monthly Report.

DEFINITION: Any person who engages in Direct or Grassroots Lobbying on behalf of the Public Corporation.

Your Bi-monthly Report must disclose the name(s) of any Individual that performed **Lobbying Activities** on behalf of the Public Corporation during the **specific** Bi-monthly reporting period. At least one In-House Lobbyist must be listed on any Filing where "Direct Lobbying" is indicated as the *Type* of Lobbying Activity. If the In-House Lobbyist is lobbying as a board member, director or officer for the Public Corporation or the person lobbies on

behalf of themselves, select the ‘**Designated Lobbyist**’ check box.



In-House Lobbyist(s) included in your Public Corporation Profile do **NOT** automatically populate to your Bi-monthly Report; only In-House Lobbyists disclosed on previous Bi-monthly Reports populate to your new Bi-monthly Report.

However, all Individuals included in your Public Corporation Profile are available to add to any Filing.

[Adding a new In-House Lobbyist\(s\):](#)

You can add *new* In-House Lobbyists directly to a Bi-monthly Report (***Individuals who were NOT previously listed on the Public Corporation’s Profile or a previous Bi-monthly Report***). LA will add the *new* In-House Lobbyist directly to the list of In-House Lobbyists contained in your Public Corporation Profile, making them available for selection on other Filings. ***Adding a ‘new’ In-House Lobbyist requires an “Effective Date”****.

Whether you add the *new* In-House Lobbyist while filling-out your Bi-monthly Report or through your Public Corporation Profile, LA will also ask you to identify any other Filings you would like to add the *new* Individual(s) to; which will also create system-generated Amendments to those Filings. (**NOTE:** System-generated **Registration Amendments** may require a new lobbying agreement/authorization.)

In-House Lobbyist Effective Date*



The In-House Lobbyist’s **“Effective Date”** is the earliest date that Individual was authorized to engage in Lobbying Activities for the Public Corporation. The date is used to determine that Individual’s online ethics training requirement. This date can be *before* the current reporting period you are filing for.

[Removing an In-House Lobbyist\(s\):](#)

You can remove an In-House Lobbyist from a Public Corporation Bi-monthly Report. Removal of an In-House Lobbyist does **NOT** create an Amendment and/or Termination. This change only applies to the Filing you are creating; it has no impact on the associated Registration Filing. In-House Lobbyists removed from a Bi-monthly Report will still be available through the list of the In-House Lobbyists contained in your Public Corporation’s Profile.

(c) In-House Lobbyist Compensation

DEFINITION: Compensation means all direct or indirect payments of salaries or other things of value provided to a Lobbyist in exchange for Lobbying or services that are

otherwise in furtherance of Lobbying Activity, including year-end or other bonuses but not fringe benefits.

CLARIFICATION: The information entered in the **Compensation** field should correspond with the Lobbying Agreement Compensation Amount disclosed on your Statement of Registration and corresponding Lobbying Agreement.

Regarding Compensation:

- If the Lobbying Agreement is based on a daily or hourly rate, the fee per day or per hour must be reported;
- If multiple parties with multiple hourly rates will be covered by the Lobbying Agreement, all rates shall be disclosed.

2. Retained Lobbyists sub-tab

(a) Retained Lobbyists

The names of any Retained Lobbyists who registered to lobby on behalf of the Public Corporation, and those disclosed in previously submitted Bi-monthly Reports, will automatically populate to your Bi-monthly Report.

DEFINITION: A person or organization engaged to lobby for the benefit of an unaffiliated Client, and any person who is paid by a Lobbying Organization as an independent contractor but does not meet the criteria set forth in the Commission’s regulations.

Your Bi-monthly Report must also disclose the name(s) of any **Retained** Lobbyists who have submitted Lobbyist Statements of Registration on behalf of the Public Corporation. The Retained Lobbyist(s) will be **automatically populated** to your Public Corporation Bi-monthly Report.

Adding a new Retained Lobbyist(s):



YOU CANNOT ADD A NEW RETAINED LOBBYIST directly to a Public Corporation Bi-monthly Report **UNLESS** the Retained Lobbyist has an existing Profile established in the Lobbying Application.

Removing a Retained Lobbyist(s):

You can **remove a Retained Lobbyist(s)** from a Public Corporation Bi-monthly Report. Removing a **Retained Lobbyist** from a Public Corporation Bi-monthly Report does **NOT** create an Amendment and/or Termination. This change only applies to the Filing you are creating; it has no impact on the associated Registration Filing. If your relationship has terminated, you must

submit a Termination.

(b) Retained Lobbyist Compensation

For your convenience, the Lobbying Agreement Compensation Amount disclosed by your Retained Lobbyist on their Statement of Registration and/or Amendment(s) is available as a *read only*.

Compensation means all direct or indirect payments of salaries or other things of value provided to a Lobbyist in exchange for Lobbying or services that are otherwise in furtherance of Lobbying Activity, including year-end or other bonuses but not fringe benefits.

The information entered in the **Compensation** field should correspond with the Lobbying Agreement Compensation Amount disclosed in your Retained Lobbyist's Statement of Registration and corresponding Lobbying Agreement.

NOTE:

- The Retained Lobbyist compensation must be reported;
- If the Lobbying Agreement is based on a daily or hourly rate, the fee per day or per hour must be reported;
- If multiple parties with multiple hourly rates will be covered by the Lobbying Agreement, all rates shall be disclosed.

3. Other Public Corp Expenses sub-tab

Information contained in the '**Other Public Corp Expenses**' section includes aggregate expenses less than \$75, aggregate expenses for salaries of non-lobbying employees, itemized expenses, and Coalition Member Contributions.

(a) Expenses

DEFINITION: An **Expense** is any cost of **Lobbying Activity** that is ***not* Compensation** paid to a Lobbyist. An **Expense** can only be incurred by or reimbursed in connection with a **Lobbying Activity**.

Expense Types required to be reported on a Filing include:

1. **Aggregated** – Expenses valued at ***less than or equal to \$75*** may be reported as a single aggregated total dollar amount.
2. **Salaries of non-Lobbying staff** – Compensation paid to those professional and clerical employees who do not engage in Direct or Grassroots Lobbying Activity.
 - Salaries of non-lobbying staff should be reported in the aggregate.

- Filers should have a good faith methodology that demonstrates how the allocation of non-lobbying staff time was reached.
3. **Itemized** – Expenses valued at **more than \$75** must be itemized and include the payee, and nature and value of the expense (SEE (b) below).

(b) Itemized Expenses

Any **Reportable Expense** valued at **more than \$75** must be fully identified on Bi-monthly Reports and must include the name of the person or entity to whom it was paid, the date of the Expense, as well as the purpose for which it was paid.

- ❖ You may indicate you have **no Itemized Expenses to Report** by selecting the checkbox labeled ‘Check here if you have no itemized expenses to report for this period’.

NOTE: Any **Reportable Expense** paid to an entity requires the Filer to provide an ‘Expense Detail’ for the **Itemized Expense** if any portion of the Expense is attributable to an individual or individuals. Each individual's identity must be disclosed. The Expense Detail may note numerous individuals per **Itemized Expense**.

(c) Expense Purposes – when to use

1. **Advertising – Billboards**
Expenses related to purchasing and maintaining a billboard advertisement.
2. **Advertising – Consulting**
Expenses related to hiring a consultant for the purpose of using their expertise in evaluating advertising, public relations, communications and/or marketing goals.
3. **Advertising – Design Services for Media Buy**
Expenses related to hiring and utilizing the services of a graphic designer.
4. **Advertising – Flyers/Posters**
Expenses related to staff time spent creating, designing, purchasing, and printing flyers and posters.
5. **Advertising – Media Relations and Strategy**
Expenses related to the analysis of specific advertising goals for the purpose of developing a targeted media relations strategy related to Lobbying or advocacy efforts.
6. **Advertising – Multi-Platform Media Buy (Print, Online, TV, Web)**
Expenses related to purchasing advertisements that include multiple platforms such as print, television, and online advertising. (i.e. purchasing an advertisement in the Times Union print newspaper and online web edition).
7. **Advertising – Newspaper Inserts**
Expenses related to the design, development (including staff time), and market

research related to the purchase and distribution of newspaper inserts.

8. Advertising – Print Media/Publishing fees over \$500

Expenses related to printing and publishing materials for advertising that is more than \$500.

9. Advertising – Social Media Platforms (Facebook, Twitter, Instagram, etc.)

Expenses related to the design and execution of advertisements posted to Social Media accounts including but not limited to Facebook, Twitter, Instagram, etc.

10. Advertising – Television

Expenses related to airing advertisements on television stations/channels.

11. Advocacy – Civic Engagement/Community Organizing

Expenses related to staff time preparing a Community event where lobbying activity will occur.

12. Advocacy – Email marketing/Email blasts

Expenses related to the design, purchase of software applications/licenses, development and target audience research related to email marketing and mass emails.

13. Advocacy – Expenses Related to Hiring an Outside Firm to Handle Administrative Tasks

Expenses related to the hiring of an outside entity to complete administrative tasks related to lobbying such as scheduling meetings.

14. Advocacy – Legislative Bill Tracking

Expenses related to subscriptions fees or hiring law firms to track legislative bills on search engines such as: Legislative Retrieval System (LRS), and State Watch.

15. Advocacy – Legislative Research

Expenses related to subscriptions to legal search engines such as West Group or Lexis, POLITICO or hiring law firms to conduct Legislative Research.

16. Advocacy – Mass Mailings/Bulk Mailing

Expenses related to the purchase of supplies and staff time spent developing and preparing mass/bulk mailings.

17. Advocacy – Phone Advocacy

Expenses related to organizing, paying staff/volunteers, phone equipment and service fees related to phone advocacy efforts.

18. Advocacy – Postage and/or Printing over \$500

Expenses related to postage, printing and mailing items valued more than \$500.

19. Advocacy – Technology (cellphones, iPad, hotspots)

Expenses related to purchasing devices, data plans, and internet services/personal hotspots to be used specifically for Lobbying Activities.

20. Social Event – Booth Rentals/Meeting Space Fees

Expenses related to renting a conference space and/or booth table for a Lobby Day or

other social event.

21. Social Event – Buses/transportation for Lobby Day

Expenses related to transportation (bus, train, rental cars) of volunteers and staff members but NOT LOBBYISTS to a Lobby Day or other social event.

22. Social Event – Catering/Meals for Lobby Day

Expenses related to supplying food for attendees of a Lobby Day.

23. Social Event – Civic Engagement/Community Organizing

Expenses related to staff time planning and preparing for a Lobby Day or other social event.

24. Social Event – Consulting

Expenses related to hiring an event planner or organizer for Lobby Day or other social event.

25. Social Event – Equipment and A/V Rentals

Expenses related to the rental and usage of technology and audio-visual equipment for a Lobby Day or other social event.

26. Social Event – Event Sponsorship

Expenses related to the act of supporting an individual, organization or event financially for the purpose of creating exposure to a brand or set of issues, access to attendee information, and/or speaking opportunities.

27. Social Event – Lodging

Expenses related to hotel reservations and accommodations for staff and volunteers who attend a Lobby Day or other social event.

28. Social Event – Parking fees

Expenses related to fees for parking for a Lobby Day or other social event.

29. Social Event – Print fees over \$500

Expenses related to printing of name badges, and informational materials/pamphlets distributed at a Lobby Day or other social event.

30. Social Event – Promotional Materials

Expenses related to the creation and purchase of materials used to promote an Organizations message during a Lobby Day or other social event, such as shirts, hats, mugs, pencils and stress balls.

31. Social Event – Rallies

Expenses related to staff time for setting up and organizing a Rally.

32. Social Event – Reception/Banquet

Expenses related to staff time organizing a reception, renting out the banquet space, and catering/food expenses.

33. Social Event – Rental Fees

Expenses related to renting equipment such as microphones and tables for events such

as a Lobby Day or other social event.

34. Social Event – Travel Reimbursement (Train, Airfare, Car, Hotel)

Expenses related to reimbursing staff and or volunteers for travel expenses they paid for themselves.

35. Social Event – Volunteer Training

Expenses related to organizing and holding training events for volunteers prior to an event, such as a Lobby Day or other social event.

36. Social Media – Media Relations and Strategy

Expenses related to hiring an individual or company to establish and/or oversee an Organization’s social media presence.

37. Social Media – Online Advocacy (sponsored posts)

Expenses related to search engine optimization and sponsoring, such as expenses incurred to create, or promote or place content on Social Media. This would also include the cost of hiring an individual to place content related to the Organization on the individual’s own Social Media accounts based on the individual’s popularity on social media (i.e. an “influencer”).

(d) Expense Detail (if applicable)

*If an **Itemized Expense** is paid to an Organization on behalf of an Individual (or Individuals), an **Expense Detail** is required and must include the following information:*

- Name of individual(s) (Multiple individuals can be added)
- Amount of Detailed Expense that is attributed to the individual listed

The dollar amount(s) attributable to *each* Individual disclosed in the Expense Detail Section must, when added together, equal the Total (Dollar Amount) of the **Itemized Expense** paid to the Organization. (Expense Detail A + B + C = Total (Dollar amount) of the **Itemized Expense**.)

NOTE: Travel for Lobbyists are **not Reportable Expenses**. The EXAMPLE below illustrates **Expense Details** for paying for travel **for non-lobbyists**:

EXAMPLE: If Principal Lobbyist ABC Company paid an expense in the amount of \$300 to American Airlines (on behalf of Individuals affiliated to the Principal Lobbyist e.g a public relations consultant or volunteer’s travel to a Lobby Day)) during the January/February reporting period, the disclosure might look like this:

NAME OF ORGANIZATION: American Airlines
DATE OF THE EXPENSE: February 20, YEAR
TOTAL (Dollar amount) of the Itemized Expense: \$300
EXPENSE PURPOSE: Social Event – Travel Reimbursement (Train, Airfare, Car, Hotel)

EXPENSE DETAIL A

- **NAME OF INDIVIDUAL:** Last Name: Smith First Name: John Middle [optional]
- **TITLE OF INDIVIDUAL:** Lobbyist
- **AMOUNT OF EXPENSE THAT IS ATTRIBUTED TO THE INDIVIDUAL:** \$100
- **EMPLOYER OF INDIVIDUAL:** ABC Company

EXPENSE DETAIL B

- **NAME OF INDIVIDUAL:** Last Name: Doe First Name: Jane Middle [optional]
- **TITLE OF INDIVIDUAL:** Lobbyist
- **AMOUNT OF EXPENSE THAT IS ATTRIBUTED TO THE INDIVIDUAL:** \$100
- **EMPLOYER OF INDIVIDUAL:** ABC Company

EXPENSE DETAIL C

- **NAME OF INDIVIDUAL:** Last Name: Smith First Name: Peter Middle [optional]
- **TITLE OF INDIVIDUAL:** Lobbyist
- **AMOUNT OF EXPENSE THAT IS ATTRIBUTED TO THE INDIVIDUAL:** \$100
- **EMPLOYER OF INDIVIDUAL:** ABC Company

(e) Coalition Member Contributions to Unstructured Coalitions (if applicable)

Members of *Unstructured* Coalitions must disclose their Contributions to the Coalition in the **Expense section of their own Lobbying Reports.** Typically, such Members must disclose Coalition Contributions in their Bi-monthly Report. (See our guidance document entitled *Coalition Filing Requirements*).

NOTE: A **Structured Coalition** that files as a Lobbyist or Client is **NOT** required to disclose Coalition Member Contributions on their Bi-monthly Report. Instead, the **Structured Coalition** must file Lobbying Reports as a “Coalition” (selected “Coalition” Profile Type). Like every other organization, the **Structured Coalition** must disclose all of its Lobbying Activity, and Reportable Compensation and Expenses related to the **Structured Coalition**.

Refer to the Coalition guidance document entitled *Coalition Filing Requirements* for detailed guidance on Lobbying Activities involving Coalitions.

Lobbying Subjects disclosed on your corresponding Public Corporation Statement of Registration will automatically populate to your Bi-monthly Report.

Lobbying Subjects identify the specific subject matter area(s) on which Lobbying occurred. These Subjects identify the **'Nature of Business'** of the Public Corporation. Multiple Lobbying Subjects can be selected.

Refer to Appendix A within this document or the Commission website for the most up-to-date list.

Lobbying Activities for Bi-monthly Reporting Period*

*Lobbying Activity information is populated from your previous Bi-monthly Reports (including Amendments) for the Public Corporation, and can be modified—added or removed—on a Bi-monthly Report. (NOTE: changes to this section do **not** require submission of a Registration Amendment.)*

Reportable **Lobbying** or **Lobbying Activities** is defined as any **Attempt to Influence** activity included in section 1-c(c) of the Lobbying Act and includes both Direct Lobbying and Grassroots Lobbying.

NOTE: Proper disclosure of these **Lobbying Activities** necessitates a level of specificity that makes clear to the public exactly **what** and **who** is being lobbied.

- ❖ If in fact you did **NOT** engage in any Reportable "**Lobbying Activity**" during the specified reporting period, you have the option to select "**NO**" from the drop-down menu next to the question, "**Do You have Lobbying Activities to Report?**".

Lobbying Activities include:

1. the **Focus Type** (State and/or Municipal Bill, Rule, Regulation, Procurement Contract, Executive Order, etc.);
2. the **Focus Identifying Number** (including the specific Bill, Resolution, Executive Order, etc.), if known; or
 - a. **Description of the Focus** which clearly communicates the focus of the lobbying effort;
3. the **Type of Lobbying Communication** (Monitoring Only, Direct Lobbying, Grassroots Lobbying or Both [Direct and Grassroots]); and,

NOTE: If you have **not actually Lobbied a specific Party**, you may select **'Monitoring Only'**; you will not be required to disclose the names of any **'Party(ies) Lobbied'** for that specific Focus.

4. the names of the **Party(ies) Lobbied*** on the specific Focus (which includes the Government Body, Party Name, and additional information). LA will automatically identify the Government Body associated to a Party Name. Filers may be required to include additional information related to a selected **Party Name**.

*** Please contact Commission staff if a Legislator’s name, Senate or Assembly Committee, State Agency, NYC Council Member, or NYC Board/Division/Commission is missing from the Parties Lobbied Database.**



Staff has created guidelines to assist you in ensuring your information is correctly disclosed with the required specificity as set forth in the regulations relating to disclosure of Lobbying Activities. You may be required to submit an amended Report if your Lobbying Activities have not been properly disclosed and sufficiently identified.

FOR MORE INFORMATION: Please see the guidance documents entitled ‘**How to Properly Disclose Lobbying Activities**’ located on the Commission’s website.

(a) Lobbying Focus

(1) Focus Type

A *Focus Type* (State and/or Municipal Bill, Rule, Regulation, Procurement Contract, Executive Order, etc.) must be identified for each **Identifying Number** (including the specific Bill, Resolution, Executive Order, etc.), if known; or **Description of the Focus** (if the Identifying Number is unknown).

- State Bill
- State Executive Order
- State Funding
- State Land Use
- State Permits/Licensing
- State Procurement
- State Resolution
- State Regulation/Rate-making/Rule
- State Tribal Compact Agreement - NYS Indian Nations
- Municipal Bill
- Municipal Executive Order
- Municipal Funding
- Municipal Land Use
- Municipal Ordinance
- Municipal Permits/Licensing
- Municipal Procurement
- Municipal Resolution

- Municipal Regulation/Rate-making/Rule

(2) Identifying Number (if known)

How to disclose an Identifying Number (such as a State and/or Municipal Bill, Rule, Regulation, Procurement Contract, Executive Order number, etc.)

1. **Chapter Laws** are identified by providing the complete title.
 - **Correct:** Chapter 16 of the laws of 1971
 - **Incorrect:** Chapter 16; or Laws of 1971
2. **Procurement Contracts** are identified by providing the number.
 - **Correct:** OER01-C11006MWBE-1120000

Certain Lobbying Focuses require unique formatting specifications.

3. **Senate and Assembly Bills** must be inputted 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’; or ‘a 1234’; or ‘A 1234’; or ‘A_1234’
4. **Amended Senate and Assembly Bills** must be inputted by denoting the corresponding letter suffix (A, B, C, D and so on). Amended State bills are altered to add a letter suffix each time the bill is amended. Please ensure the letter at the end of the amended Bill number includes a dash before it.
 - **Correct:** A1345-A
 - **Incorrect:** ‘a1234A’; or ‘a 1234a’; or ‘A 1234a’; or ‘A_1234A’

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

(3) (b) Description of the Focus

If an **Identifying Number** (such as a State and/or Municipal Bill, Rule, Regulation, Procurement Contract, Executive Order number, etc.) is **not known**, you must provide a **Description of the Focus** that clearly communicates the focus of the lobbying effort by entering the information in the “Enter Description” text box.

A Description of a Focus can include the subject matter of the anticipated lobbying.

- **Correct:** Corrections Funding
- **Incorrect:** Funding

FOR MORE INFORMATION: Please see the guidance documents entitled ‘**How to Properly Disclose Lobbying Activities**’ located on the Commission’s website.

(3) Type of Communication

A *Type of Communication* (Monitoring Only, Direct Lobbying, Grassroots Lobbying or Both) must be assigned to every Lobbying Focus disclosed. This includes Focuses where the **Identifying Number** is known, or a brief description of the Focus is provided.

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.

Both (Direct and Grassroots)

If you performed BOTH Direct and Grassroots Lobbying, you must disclose the following information:

- **For Direct Lobbying** – identify the **Parties** (targets) of the **Direct Contact** (the name of a Public Official or Public Official’s Office; OR Legislative Committee, etc.).
- **For Grassroots Lobbying** – identify the intended ‘**targets**’ of the Grassroots Lobbying Activity, which may be a person; state agency; municipality; or legislative body.

Monitoring Only

If you have **not actually Lobbied a specific Party**, you may select ‘**Monitoring Only**’. You are not required to disclose the names of any ‘**Party(ies) Lobbied**’ for that specific Focus.

(b) Parties Lobbied (Targes of Lobbying Activity)*

The target(s) of the Reportable "**Lobbying Activity**", including the person, organization, entity, or legislative body before which the Lobbyist Lobbied.

The direct connection (one-to-one relationship) between the **Focus** and the target(s) (referred to as “**Parties Lobbied**”) of any reportable “**Lobbying Activity**” must be identified. **You**

cannot create a *new Party Name in LA*; you must select a *Party Name* from the drop-down list.

Government Bodies associated to Parties Lobbied

Every '**Party Name**' listed in the LA Database contains two components: the '**Government Body**' and the main '**Name**'. Every '**Party Name**' is categorized into specific Government Bodies represented in LA:

- Senate Committee
- Assembly Committee
- State Agency
- NYS Assembly
- NYS Senate
- Executive Chamber
- NYS School Districts
- State and Local Public Authorities and Local Development Corporations
- NYC Council Members and 'Communications sent to all [specific County] Legislators'
- Industrial Development Agency
- Village
- Town
- City
- County
- Improvement/Special Districts
 - County Special District
 - Town Special District
 - Consolidated Health District
 - Fire District
 - Independent Special District

Identifying a Specific Group of Parties related to a Focus

If you sent a communication to a specific *group* regarding a specific Focus, the following options are available on a Bi-monthly Report in the '**Party**' field (so you do not have to select every Individual):

- A communication sent to entire Senate
- A communication sent to entire Assembly
- A communication sent to entire Legislature
- A communication sent to all NYC Council Members
- A communication sent to all [Specific County] Legislators

NOTE: *For detailed instructions, see 'How to File: Public Corporation Bi-monthly Report Online Instruction'.*

Attestation Information*

An Attestation is required before any Filing can be submitted. By attesting, the Filer acknowledges that the information (provided by the Filer) in 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)

BI-MONTHLY AMENDMENTS — WHEN TO FILE

All information disclosed on your previous Bi-monthly Report will automatically populate to your Amended Bi-monthly Report.

Lobbyists (including Public Corporations) are required to submit an Amended Bi-monthly Report to reflect any change, permanent or temporary, to the following information during the specified reporting period, which should be completed and submitted to the Commission **within 10 days of such change**.

Each Amended Bi-monthly Report 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 Bi-monthly Report **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”**.

Amended Bi-monthly Reports can be submitted at any time during the biennial period regardless of whether the original Bi-monthly Report or other Amended Bi-monthly Reports, or affiliated Registration/Amendments, are pending, as long as the **“Effective Date of Change”** is within the same biennial period as the Bi-monthly Report being amended.



*** Effective Date of Change**

The Amendment **“Effective Date of Change”** is the date a specific change (or changes) takes effect; **not the date the Amendment is submitted**.

An Amended Bi-monthly Report is required to reflect any changes to:

1. In-House Lobbyists

You are required to submit an Amended Bi-monthly Report if the name(s) of any In-House Lobbyist(s) that performed Lobbying Activities on behalf of the Public Corporation changes during the specified Bi-monthly reporting period.

You can add/remove In-House Lobbyist(s) from the names already listed in your Public Corporation Profile to your Bi-monthly Amendment.

Adding a new In-House Lobbyist(s):

You can add *new* In-House Lobbyists directly to an Amended Bi-monthly Report (***Individuals who were NOT previously listed on the Public Corporation’s Profile or a previous Bi-monthly Report***). LA will add the *new* In-House Lobbyist directly to the list of In-House Lobbyists contained in your Public Corporation’s Profile, making them available for selection on other Filings.

NOTE: An Amendment to add a *In-House Lobbyist* requires **two** Effective Dates.

The screenshot shows a web form titled "In-House Lobbyists". It contains several input fields:

- *Last Name
- *First Name
- Middle Name
- Suffix
- *Email
- *Business Phone (with a dropdown for country code, currently showing "+1")
- Ext
- *Effective Date (with a calendar icon)

 At the bottom right, there are three buttons: "Add" (green), "Manage Lobbyists" (blue), and "Close" (grey).

If the *new* In-House Lobbyist is lobbying as a board member, director or officer of the Public Corporation, select the **‘Designated Lobbyist’** checkbox.

Removing an In-House Lobbyist(s):

You can *remove* an In-House Lobbyist from an Amendment (even if listed inadvertently). Removing an In-House Lobbyist from an Amendment does **NOT** create an Amendment and/or Termination. This change only applies to the Filing you are creating; it has no impact on associated Filings. In-House Lobbyists removed from an Amendment will still be available through the list of the In-House Lobbyists contained in your Public Corporation Profile.

2. Amounts and/or information relating to:

- Compensation
- Expenses

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

3. Lobbying Activities

Since the Bi-monthly Report requires disclosure of the **actual** Lobbying Activities that occurred during the specific reporting period – including the direct relationships that exist between a

Focus and Party(ies) Lobbied, an Amended Bi-monthly Report is required if any of the information reported in the original Bi-monthly Report was inaccurate or changes.

TICKETING IN THE LOBBYING APPLICATION

The Lobbying Application provides for a mechanism of communication between the Filer and Commission 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 and within the associated filing.

APPENDIX A

LOBBYING SUBJECTS

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

1. Agribusiness – General
2. Agribusiness – Agricultural Services & Products
3. Agribusiness – Food Processing & Sales
4. Agribusiness – Tobacco
5. Budget/Appropriations
6. Cannabis/Marijuana
7. Chemicals/Chemical Industry
8. Construction – General
9. Construction – Building Materials & Equipment
10. Construction – Construction Services
11. Consumer Issues/Safety/Protection
12. Criminal Justice – General
13. Criminal Justice – Criminal Law & Procedures (includes sentencing)
14. Criminal Justice – Law Enforcement
15. Criminal Justice – Police Issues
16. Corrections
17. Cryptocurrency
18. Economic Development – General
19. Economic Development – Tourism
20. Economic Development – Sports/Entertainment
21. Economic Development – Tax Incentives
22. Education – General
23. Education – Testing
24. Education – Funding
25. Education – Charter Schools
26. Education – Evaluations
27. Energy & Natural Resources – General
28. Energy & Natural Resources – Alternative Energy Production & Services
29. Energy & Natural Resources – Oil/Fuel/Gas
30. Energy & Natural Resources – Waste Management
31. Energy & Natural Resources – Environmental Conservation/Preservation
32. Energy & Natural Resources – Parks & Recreational Activities
33. Ethics Laws and Regulations
34. Finance, Insurance & Financial Services – General
35. Finance, Insurance & Financial Services – Commercial Banks & Credit Unions
36. Finance, Insurance & Financial Services – Finance & Credit Companies
37. Finance, Insurance & Financial Services – Mortgage Finance

38. Finance, Insurance & Financial Services – Securities & Investment
39. Gaming – General
40. Gaming – Casinos
41. Gaming – Horse Racing
42. Gaming – Lottery
43. Gaming – Recreation & Live Entertainment
44. Health – General
45. Health – Health Professions
46. Health – Health Services / HMOs
47. Health – Hospitals & Nursing Homes
48. Health – Pharmaceuticals/ Health Products
49. Health – Medicine/ Medicaid
50. Health – Cigarette/ Tobacco
51. Human Rights/Civil Rights
52. Insurance – General
53. Insurance – Auto
54. Insurance – Health
55. Insurance – Life
56. Insurance – Property & Casualty
57. Labor – General
58. Labor – Labor Issues/ Unions
59. Labor – Prevailing wage/ Minimum Wage
60. Labor – Pensions/ Retirement
61. Lobbying Laws and Regulations
62. Media – General
63. Media – Printing & Publishing
64. Media – Books, Magazines & Newspapers
65. Media – Motion Picture/Television/Recorded Music/Music Production & Distribution
66. Media – First Amendment – Press
67. Miscellaneous Business – General
68. Miscellaneous Business – Advertising/ Public Relations
69. Public Utilities – General
70. Public Utilities – Telecommunications
71. Public Utilities – Cable/Broadband
72. Public Utilities – Water
73. Public Utilities – Gas
74. Public Utilities – Electric
75. Real Estate – General
76. Real Estate – Affordable Housing
77. Real Estate – Construction
78. Tax – General
79. Tax – Corporate
80. Tax – Exempt Organizations

81. Tax - Personal Income
82. Tax - Real Property
83. Tax - School
84. Tax - Development Credits
85. Transportation - General
86. Transportation - Mass Transit
87. Transportation- Railroad/Canals
88. Transportation - Safety
89. Transportation - Trucking
90. Transportation - Air Transport
91. Transportation - Automotive Industry/ Manufacturers
92. Veterans Affairs