



Lobbyist and Public Corporation Statement of Registration and Registration Amendment Information

*A biennial Lobbyist Statement of Registration (“Registration”) is a required filing under the Lobbying Act. It is generally a forward-looking document that captures the actual and anticipated Lobbying Activities, including public officials that you expect to lobby, for a two-year (biennial) period. Registrations must be filed by a Lobbyist who is retained, employed, or designated to lobby, and who exceeds or reasonably anticipates exceeding the \$5,000 threshold for **combined** Reportable Lobbying Compensation and Expenses at the State and/or Municipal Level in a calendar year. Lobbyists who have exceeded or anticipate exceeding that threshold must file a Statement of Registration for every Client on whose behalf the Lobbyist lobbies, regardless of the Compensation or Expenses paid by each Client individually.*

PURPOSE

The purpose of this document is to provide Filers with further clarification of the information required to be disclosed in Registrations and Registration Amendments utilizing the Commission’s 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

- **ETHICS TRAINING REQUIREMENT:** As part of the Ethics Commission Reform Act of 2022, all Lobbyists (Principal, Individual, and In-House Lobbyists) are required to comply with a mandated ethics training requirement for the 2023-2024 biennial. (SEE the ‘[Ethics Training for Lobbyists and Clients](#)’ page for the most up-to-date information regarding ethics training.)
- All individuals are required to have a personal NY.gov ID account and verified User Profile before any Filing can be submitted in the Lobbying Application (“LA”). The User Profile is the mechanism

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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. (SEE *Lobbying Application Information - Individual and Organization Profiles* below.)

- 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 any Lobbyist who is retained, employed, or designated to Lobby, and who exceeds or reasonably anticipates exceeding the \$5,000 threshold for **combined Reportable Compensation and Expenses** at the State and/or Municipal level, in a calendar year during the biennial period.

PLEASE NOTE: An individual or Organization can engage in Lobbying Activity and **NOT** be required to register with the Commission **AS LONG AS:**

1. the Lobbyist does not reasonably anticipate exceeding the **\$5,000** threshold;

AND

2. the Lobbyist has NO other Clients that **cumulatively** put them over the \$ 5,000 threshold.



IMPORTANT

Lobbyists should keep track of the incurred Compensation/Expenses for the lobbying effort in case they **either** *reasonably anticipate* **or** *do exceed the \$5,000 threshold* at a later date within the biennial period.

Once a Lobbyist exceeds or anticipates exceeding 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.

LOBBYING APPLICATION INFORMATION

- A Registration or Amendment Filing may be started and saved at any time.
- A Registration Filing can only be submitted if the Lobbying Agreement is uploaded and is effective within the Biennial Registration Period being registered for.
- Once submitted, a Statement of Registration and/or Amendment cannot be deleted. The Filer must submit a *Request to Withdraw* to remove the Filing from public view.

NOTE: A Lobbyist may request that a Statement of Registration be withdrawn, provided the Lobbyist has not submitted a valid lobbying agreement/authorization indicating the Lobbyist exceeds or

anticipates exceeding the cumulative \$5,000 threshold. Otherwise, the Commission recommends you terminate the Registration. 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.

- Once a Registration is submitted, no changes can be made to the original document (Registration and/or Amendment). A Registration Amendment must be submitted.
- **INDIVIDUAL (USER) AND ORGANIZATION PROFILES**

NEW FILERS:

Before Filings may be submitted in LA, an Individual (User) and/or Organization Profile must be created or claimed. All Profiles must include email addresses that are validated by the Individual and the CAO of the Organization, as applicable.

- Thereafter, all Profiles must be re-certified on a yearly basis**
- Emails, once validated for the first time, will not require re-validation **unless**:
 - A Filer edits the email address recorded in their Individual User Profile by either manually updating their User Profile or via the Email Verification screen; or
 - A Filer creates a *NEW* Individual User Profile.

EXISTING FILERS:

Every Individual and Organization Profile in LA must be reviewed and recertified by the Profile owner on a yearly basis. **

An Organization will **not** be able to submit Filings until:

1. its CAO has already verified their email address; **and**,
2. its CAO has recertified their Individual (User) Profile; **and**,
3. the Organization's Profile has been recertified by **either** the Organization's CAO or Delegated Administrator ('DA').

****Please note:** Each time an Individual (User) Profile and/or Organization Profile is updated, the *recertification date* changes since it is required on a yearly basis (YTD) based on when the most recent update was submitted. The 'anniversary' date for recertification is based on the date the Profile was last certified.

FOR MORE INFORMATION: Please see the following step-by-step instructional documents located on the Commission’s website:

Step 1:

- *How to access the Lobbying Application if you already have an NY.gov account;*

or

- *How to create a NY.gov account using the ‘LA’ enrollment link*

Step 2: How to create your User Profile in the Lobbying Application

Step 3: How to Claim or Create Lobbying or Client Organization Profiles

FILING DEADLINES

ALL STATEMENTS OF REGISTRATION ARE FILED ON A BIENNIAL BASIS	FILING DEADLINE
REGISTRATIONS	<i>Within 15 days of the start date, but no later than 10 days after actually exceeding \$5,000 in Compensation and Expenses</i>
AMENDED REGISTRATIONS	<i>Within 10 days of any change to the required information disclosed in the original Registration</i>
<p>*Registrations with <i>Overlapping Agreements</i> are due January 1st. <i>an Overlapping Agreement</i> is an agreement that is in effect both before December 15th of the year preceding the first year of a Biennial Registration Period <i>and after</i> January 1st of the first year of a Biennial Registration Reporting Period</p> <p style="text-align: center;">AND</p> <p>the Lobbyist reasonably anticipates combined Reportable Compensation and Expenses in excess of \$5,000 for Lobbying Activities to be undertaken in the calendar year.</p>	

NOTE:

- 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.
- 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.

Examples for both Filing Deadlines:

1. Agreement/Authorization start date is 12/1/22, and the Termination (end) date is 12/1/23.

- **2021-2022 Biennial Registration period:** If the Lobbyist has other Clients in 2022 that put them over the \$5,000 threshold (or this specific Client is paying them more than \$5,000 in December 2022), they are required to register for the **2021-2022 Biennial Registration period *within 15 days of 12/1/22.***
- **2023-2024 Biennial Registration period:** If the Lobbyist will exceed the \$5,000 threshold in 2023, they are required to register for this Client for the **2023-2024 Biennial Registration period** as well, ***on or before 1/1/23.***

2. Agreement/Authorization start date is 1/1/23, and the Termination (end) date is 12/31/24.

- **2023-2024 Biennial Registration period:** If the Lobbyist will exceed the \$5,000 threshold, they are required to register for the **2023-2024 Biennial Registration period *within 15 days of 1/1/23.***

Within 10 Days of Exceeding the Threshold

Once an Organization or Individual actually expends, incurs, or receives more than \$5,000 in combined Reportable Compensation and Expenses, a Statement of Registration must be submitted **no later than 10 days** after exceeding the threshold.

INFORMATION COLLECTED ON A STATEMENT OF REGISTRATION

The online Registration form 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 and Filings, 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*

The name and contact information from your corresponding Organization Profile will automatically populate to your Statement of Registration.

DEFINITIONS:

Lobbying Organization means a company, firm entity, or other organization (including a Coalition) that utilizes Employed or Designated Lobbyists to Lobbying on its behalf, or incurs Lobbying Expenses on its own behalf.

Retained Lobbyist means 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 specified in the regulations.

Employed Lobbyist means a person who lobbies on behalf of the organization by which they are employed.

Designated Lobbyist means a person who is selected, appointed, named or otherwise chosen to Lobby on behalf of a Client, and is not Retained or Employed. This includes:

1. A person Lobbying on behalf of themselves; and
2. A board member, director, or officer of a Client, whether compensated or uncompensated, Lobbying on such Client’s behalf.

Public Corporation has the same meaning as Section 66 of the General Construction Law which includes Municipal Corporations, District Corporations and/or Public Benefit Corporations.

NOTE: A Principal Lobbyist is typically an entity or organization. An Individual should *only* be identified as the Principal Lobbyist if they have been retained or designated in their individual capacity and conducts business as a Lobbyist in their own name.

COALITION:

DEFINITION: A group of otherwise-unaffiliated entities or Members that pool funds or resources for the primary purpose of engaging in Lobbying Activities on behalf of the Members of the Coalition and have not incorporated or otherwise created a legal entity.

- Pooling funds or resources include, but is not limited to, the donation of services (including staff time) and the incurrence of expenses on behalf of the Coalition.

Reporting requirements relating to groups that constitute a Coalition depend on the nature of the Coalition. Structured Coalitions must file Lobbying Reports as a Coalition, whereas Members of Unstructured Coalitions must disclose their Contributions to the Unstructured Coalition in their own Lobbying Reports

FOR MORE INFORMATION: Please see the guidance document ‘*Coalition Filing Requirements*’ located on the Commission’s website to determine if you meet the criteria of either a ‘Structured’ or ‘Unstructured’ Coalition.

CLIENT INFORMATION*

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

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

CONTRACTUAL CLIENT (“CC”)

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

BENEFICIAL CLIENT(S) (“BC”)

DEFINITION: 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.
- An individual or Organization that pays for the Lobbying Activity, but is not the Contractual Client, should be listed as the Beneficial Client.

SCENARIOS

1. A Client (or a Lobbyist lobbying on their own behalf) hires an administrative company to pay its bills, including those related to lobbying (i.e. compensation paid to the Lobbyists and/or payment for billboards or media related to lobbying), then whatever the Client pays the vendor for such work is a Lobbying Expense. The administrative company/vendor would **not** be listed as the BC.
2. The lobbying retainer is paid for by a Parent Company (or similarly related company) on behalf of a Subsidiary Company and only the subsidiary company is benefitting from the lobbying services, then the Statement of Registration should list the Parent Company as the *Contractual* Client and the Subsidiary Company as the *Beneficial* Client. The Agreement should reflect this arrangement even where the Parent Company is just paying the bill.

AFFILIATES AND/OR SUBSIDIARIES OF THE CONTRACTUAL CLIENT

Based on the definition of *affiliated* in section 943.3(b) of the Lobbying regulations, a Parent Company, in addition to listing itself as a BC, is only required to list Subsidiaries (Subs) as BCs if the Sub(s) is/are directly benefiting from the lobbying.

EXAMPLES

1. If ABC Parent Company hires a Lobbyist to lobby for one of its subsidiaries, *XYZ Subsidiary*, then ABC Parent Company would be listed as the CC and BC **and** XYZ Subsidiary would **also** be listed as BCs under that Registration.
2. If ABC Parent Company hires a Lobbyist to lobby for *itself* (ABC and presumably all its subsidiaries), then only ABC Parent Company would be listed as the CC **and** BC (without listing all its Subs as BCs);
3. If XYZ Subsidiary is paying the Lobbyist, under an agreement entered and signed by ABC Parent Company, then ABC Parent Company is listed as the CC, and ABC Parent Company **and** XYZ Subsidiary would **BOTH** be listed as BCs under that Registration, with the following caveat:
 - A paying Sub would not be listed as a BC if the paying subsidiary only provides bill paying or other administrative type services.

REGISTRATIONS BASED ON INTERESTS OF BENEFICIAL CLIENTS

A Statement of Registration must be filed for each Lobbyist/Client relationship emanating from the same

single retainer agreement for the same purpose. In certain cases, multiple Registrations may be required by the SAME Principal Lobbyist and Contractual Client if the purpose of the lobbying activities *differs* between the interests of the Beneficial Clients.

EXAMPLE

1. If Contractual Client *XYZ Group* hires Principal Lobbyist *ABC Company* to perform DIFFERENT Lobbying Activities on behalf of its Beneficial Clients, Principal Lobbyist *ABC Company* may be required to submit **two separate** Registrations.

BENEFICIAL CLIENT 1: *Smith Company*

➤ Purpose of Lobbying Activity:

1. to lobby a state government agency on a specific rate-making proceeding

BENEFICIAL CLIENT 2: *Doe Group*

➤ Purpose of Lobbying Activity:

1. to lobby a state government agency on a specific rate-making proceeding;
2. to lobby a municipality on a specific local ordinance

Because these Beneficial Clients want DIFFERENT *purposes* to be performed by the Lobbyist (even if the request emanates from the same Lobbying Agreement between Principal Lobbyist *ABC Company* and Contractual Client *XYZ Group*), Principal Lobbyist *ABC Company* is required to submit TWO (2) separate Registrations.

Registration 1:

- **Principal Lobbyist:** *ABC Company*
- **Contractual Client:** *XYZ Group*
- **Beneficial Client(s):** **BOTH** *Smith Company* **AND** *Doe Group* would be listed for the purpose of lobbying a state government agency on a specific rate-making proceeding.

Registration 2:

- **Principal Lobbyist:** *ABC Company*
- **Contractual Client:** *XYZ Group*
- **Beneficial Client(s):** **ONLY** *Doe Group* would be listed for the purpose of lobbying a municipality on a specific local ordinance.

Biennial Registration Period*

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

Co-Lobbyist(s) and Sub-Lobbyist(s) Information (if applicable)

CO-LOBBYIST

All Lobbyists who are retained by a Client **on the same single retainer agreement** are *Co-Lobbyists*, and must file individual Lobbying reports with the Commission. Co-Lobbyists must identify other Co-Lobbyists; but each *Co-Lobbyist* needs to disclose only **their own** Lobbying Activity and Compensation and Expenses.

SUB-LOBBYIST

A Lobbyist who is engaged to perform Lobbying Activities by a Principal (Prime) Lobbyist is a *Sub-Lobbyist*. Sub-Lobbyist information must be identified **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.

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

IMPORTANT



Co-Lobbyists and 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.

The Principal Lobbyist should NOT be listed as a Co- and/ or Sub-Lobbyist.

EXAMPLE OF CO-LOBBYIST REGISTRATIONS

Contractual Client *XYZ Group* hires *TWO Principal Lobbyists on the same single retainer agreement* – *ABC Company AND DEF Company* – to perform Lobbying Activities on its behalf. Each Principal Lobbyist must file individual Registrations, and identify the other Co-Lobbyist. *

* assuming each Co-Lobbyist meets or anticipates meeting the cumulative \$5,000 threshold

(1) **Principal Lobbyist *ABC Company* Registration would look like this:**

- **NAME OF PRINCIPAL LOBBYIST:** *ABC Company*

- NAME OF CONTRACTUAL CLIENT: *XYZ Group*
- NAME OF BENEFICIAL CLIENT: *XYZ Group*
- NAME OF CO-LOBBYIST: *DEF Company*

(2) Lobbyist *DEF Company* Registration would look like this:

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

EXAMPLE OF SUB-LOBBYIST REGISTRATIONS

Contractual Client *XYZ Group* hires Principal Lobbyist *ABC Company* to perform Lobbying Activities on its behalf.

ABC Company hires *LMNO Org* (the Sub-Lobbyist*) to help perform Lobbying Activities on behalf Contractual Client *XYZ Group*.

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

(1) Principal Lobbyist *ABC Company* Registration would look like this:

- NAME OF PRINCIPAL LOBBYIST: *ABC Company*
- NAME OF CONTRACTUAL CLIENT: *XYZ Group*
- NAME OF BENEFICIAL CLIENT: *XYZ Group*
- NAME OF SUB-LOBBYIST: *LMNO Org*

(2) Lobbyist *LMNO Org* Registration would look like this:

- NAME OF PRINCIPAL LOBBYIST: *LMNO Org*
- NAME OF CONTRACTUAL CLIENT: *ABC Company*
- NAME OF BENEFICIAL CLIENT: *XYZ Group*

LOBBYING AGREEMENT INFORMATION*

DEFINITION: A Lobbying Agreement is defined as an executed contract, Lobbying Agreement form (if a contract does not exist), **or** a signed, written Lobbying authorization to lobby from the Client (if a contract does not exist).

NOTE: *A written authorization may only be submitted if a contract does not exist.*

1. Lobbying Agreements

Copies of Lobbying agreements or written authorizations must contain the following:

- (a) A **start date**, which is the first date the Lobbyist has agreed to or been authorized to Lobby;
- (b) **Signatures** of the Responsible Party for the Contractual Client and Lobbyist, or another person with the authority to enter the Lobbyist into a binding contract;
- (c) The **date(s) of execution**;
- (d) A **statement indicating that other services will be provided in addition to Lobbying**, if applicable;
- (e) A **termination (end) date**, which is the last date the Lobbyist has agreed to or been authorized to Lobby;
 - (1) in the case of a month-to-month agreement, the termination date shall be presumed to be the end of the current biennial period, unless otherwise specified; and
- (f) The **Compensation** to be paid specifically for Lobbying services, including pay frequency and/or rate of pay.
 - (1) If the Lobbyist is retained for Lobbying, the actual Compensation must be reported.
 - (2) If the retainer is based on a daily or hourly rate, the fee per day or per hour must be reported.
 - (3) If multiple parties with multiple hourly rates will be covered by the retainer, all rates shall be disclosed.
 - (4) Employed Lobbyist's prorated salary for Lobbying Activity must be reported.

Oral Agreements

If the Lobbyist is retained under terms of an oral agreement, a written summary of such terms may be submitted with a Statement of Registration. In addition to the requirements listed in subsection 943.10(j)(1) of the Commission regulations, such authorization must be signed by a Responsible Party.



You are **prohibited by law** from performing any Lobbying Activity or receiving **Compensation** toward such activities until a completed STATEMENT OF REGISTRATION (OR REGISTRATION AMENDMENT,) including an executed Agreement or the executed form entitled ‘*Lobbying Agreement Form – Retained Lobbyist*,’ is filed with the Commission.

REMINDER: *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.)*

EXPLANATION/LAPSE LETTERS



The Commission no longer accepts ‘Explanation/lapse’ letters for Registrations/Amendments relating to extensions of expired (or terminated) Agreements/contracts. Instead, Lobbyists seeking to avoid late fees may use the *Unexecuted Lobbying Agreement Form*.

UNEXECUTED LOBBYING AGREEMENT FORM

Retained Lobbyists who are prepared to file a Statement of Registration (or Amendment), but cannot timely file because they have not received the signed (executed) Lobbying Agreement/contract back from their Client, can submit an *Unexecuted Lobbying Agreement Form (as provided by the Commission)* to avoid statutory late fees, provided the following criteria are met and actions are taken:

1. you have **not** already been granted an extension from the Commission related to that specific Statement of Registration or Registration Amendment.
2. the Statement of Registration or Amendment is submitted within the statutorily defined due dates and a copy of the unsigned Lobbying Agreement is provided **in addition to** the *Unexecuted Lobbying Agreement Form*.

- (a) **If submitting a Statement of Registration**, the Registration must be submitted to the Commission **within (15) fifteen days** of the actual **start date** referenced in the Lobbying Agreement/contract that is awaiting the Client's signature.
- (b) **If submitting a Registration Amendment**, the amendment must be submitted **within (10) ten days** of the change to the original agreement.

DUE DATES FOR SUBMISSION OF A FULLY EXECUTED (SIGNED) AGREEMENT

The Lobbying Agreement/contract must be fully executed (signed) **within 30 days of the original submission date** of the Statement of Registration or Amended Statement of Registration. (The original submission date is the date the Filing was submitted that contained both the unsigned Lobbying Agreement/contract **and** the '*Unexecuted Lobbying Agreement Form: Retained Lobbyist*'.)

Once the Lobbying Agreement/contract has been executed, the Retained Lobbyist must submit a Registration Amendment within 10 days of the execution date, and include either:

- (i) a copy of the executed (signed by both parties) Lobbying Agreement/contract;
- or**
- (ii) the "*Lobbying Agreement Form – Retained Lobbyist*" (signed by both parties), as provided by the Commission. (submitted in lieu of a signed Agreement/contract)

EXAMPLE

Lobbying Agreement/contract start date is 1/1/23, and the termination (end) date is 12/31/24. The Lobbying Agreement/contract is still awaiting the Client's signature. To avoid statutory late fees, the Lobbyist submits the Registration, utilizing the Unexecuted Lobbying Agreement form, on 1/14/23.

- **2023-2024 Biennial Registration period:** If the Lobbyist has other Clients in 2023 that put them over the \$5,000 threshold (or it's anticipated this specific Client will pay them more than \$5,000 in 2023):
 - **2023-2024 Registration is due within 15 days of 1/1/23, accompanied by BOTH:**
 - the copy of the Lobbying Agreement/contract that was provided to the Client for signature;

and

- the completed form entitled '*Unexecuted Lobbying Agreement Form: Retained Lobbyist*', as provided by the Commission.

Lobbying Agreement/contract is executed (signed) 2/3/23*.

- **2023-2024 Registration AMENDMENT is due *within 10 days of 2/3/23*, and must include either:**
 - a copy of the executed (signed by both parties) Lobbying Agreement/contract;
 - or**
 - the "*Lobbying Agreement Form – Retained Lobbyist*" (signed by both parties), as provided by the Commission.

FOR MORE INFORMATION: Please see the guidance document entitled '**Unexecuted Lobbying Agreement**' located on the Commission's website.

IMPORTANT



Overlapping Contract Considerations: The Commission will accept a Lobbying Agreement (a *Lobbying Agreement Form* submitted in lieu of an actual Agreement/contract; OR the actual Agreement/contract) that began in the 2021-2022 Biennial Registration Reporting Period (or earlier) and continues into the 2023-2024 Biennial Registration Reporting Period that references JCOPE, if the terms of the Lobbying Agreement have not changed. As soon as the terms of the Lobbying Agreement changes or ends, a NEW Lobbying Agreement referencing the Commission on Ethics and Lobbying in Government is required.

The agreement **Start** and **Termination** (End) Dates must coincide with the dates specified in the "overlapping" agreement.

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

- (a) **Retained** - a person or Organization engaged to lobby for the benefit of an unaffiliated Client.
- (b) **Employed** - a person who lobbies on behalf of the Organization by which they are employed.

NOTE: Public Corporations are **not required** to make a selection. Their 'relationship' is already determined to be a "Public Corporation" when their Organization Profile is created in LA.

Retained Lobbyists

Retained Lobbyists may submit **either**:

1. a copy of a signed/executed Lobbying Agreement or contract ; ***or***
2. the *Lobbying Agreement Form* provided by the Commission. (Please see the most recent versions of the Lobbying Agreement Form/Instructions on [the Commission's website.](#))

NOTE: A Lobbyist may only submit a written authorization to lobby if **no** Lobbying Agreement/contract exists.



If you submit an Agreement/contract that references an “original” or previous Agreement/contract (from a different Biennial Period), you must upload/attach **ANY AND ALL** “original” or previous Agreements/contracts **AND** the *current* Agreement/contract. Your Statement of Registration/Amendment cannot be processed until the “original” Agreement/contract is submitted (if referenced).

Employed Lobbyists

Employed Lobbyists may submit a signed, written Lobbying authorization to lobby for the Client.

NOTE: *A written authorization may only be submitted if a contract does not exist.*

Employees’ compensation rate(s) are not required to be individually listed in a written authorization. The Commission only requires an estimated/anticipated amount (based on the combined salaries of all the Individuals listed on a Statement of Registration).

EXAMPLE

If three Individuals are listed as Employed Lobbyists at the time of Registration, and they each spend a certain percentage of their time on Lobbying Activities, an amount based on the *combined* percentages and salaries should be provided.

(a) Contract/Supporting Documentation

Every Registration requires at least one Lobbying Agreement be uploaded before LA will allow submission. **Online Filers no longer have the option to mail-in a Lobbying Agreement.** Accepted formats are: PDF, TIFF, JPEG

- Documents can be uploaded as a combined or ‘single’ PDF document utilizing the ‘Add

Lobbying Agreement' option in the applicable Filing's Lobbying Agreement tab.

(b) Description of Agreement

Select the statement which best *describes* the terms of your Lobbying Agreement. This selection will determine the amount you owe for your Registration Filing Fee:

1. Anticipate the \$5,000 threshold will be exceeded

- Either \$200 or \$100 Registration Filing Fee – dependent on Agreement *Start Date*.
 - If you will and/or anticipate exceeding the threshold in the first calendar year of a Biennial Period – **Pay \$200 Registration Filing Fee.**
 - If you will and/or anticipate exceeding the threshold in the second calendar year of a Biennial Period – **Pay \$100 Registration Filing Fee.**

NOTE: If you are registering in the first calendar year of a Biennial Period, but will **not** exceed the threshold until the second calendar year – Indicate that you do not anticipate exceeding the threshold (No. 2 below). **However, when you do exceed the threshold in the second calendar year, you must then submit a Registration Amendment and pay the \$100 Registration Filing Fee.**

2. Do not anticipate exceeding the \$5,000 threshold in either calendar year of the Biennial Period.

- 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.

3. Level of Government

You must indicate the '**Level of Government**' you expect to Lobby or have attempted to influence an action enumerated in section 1-c(c)(i)-(x) of the Lobbying Act during the biennial period.

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

4. **'Add Lobbying Agreement' Screen**

The information entered in the **Lobbying Agreement** section should correspond with the Lobbying Agreement/Authorization you are uploading for the biennial period. Lobbying Agreements must specify the *start* and *termination* dates and must disclose the terms and amount of Compensation to be paid for lobbying services.

5. **Reportable Compensation/Expense Information**

Select the option which best *describes* the *Compensation* outlined in your Lobbying Agreement:

(a) **Reportable Expenses only**

Select if **Compensation** is **not** being paid specifically for Lobbying services and you will only incur Reportable Expenses for Lobbying services.

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

(b) **Reportable Compensation (and Expenses)**

Select if **Compensation** is being paid specifically for Lobbying services. You may also have Reportable Expenses related to the Lobbying services.

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 on behalf of 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.

The *Start* and *Termination (End) Date(s)* do not have to coincide with the beginning or end of a calendar year or a Biennial Registration Reporting Period; but the dates do have to coincide with the dates specified in the Agreement/contract. **For open-ended Agreements/contracts**, you must data-enter the

beginning *and* end of the Biennial Registration Reporting Period for which you are registering.

Overlapping Contract Considerations: A Lobbying Agreement that begins in one biennial period and continues into the next biennial period, and which the terms of the agreement **have not changed**, is considered an “overlapping” contract and must be uploaded/attached to your current Biennial Registration. The **Start** and **Termination** (End) Dates must coincide with the dates specified in the “overlapping” agreement.

EXAMPLE for the 2023-2024 Biennial Registration period:

Contract Start Date is 12/1/21 - Termination (End) Date is 12/1/23.

- the Lobbyist must register for this Client **on or before 1/1/23**, and data-enter the *Contract Start Date* as 12/1/21, and the *Termination (End) Date* as 12/1/23.



Please ensure the Start and Termination (End) Date(s) data-entered in your Registration and/or Amendment coincide (match) the dates provided in the Lobbying Agreement/contract.

Contract Start Date

The *Contract Start Date* is the first date the Lobbyist has agreed to or been authorized to lobby; **not the date of execution or date of submission.**

EXAMPLES

(1) Lobbying Agreement/contract *Start Date* is 1/1/23, and the *Termination (End) Date* is 12/31/24; executed (signed) 1/4/23.

- Data-enter *Start Date* as 1/1/23.
 - The Registration is due *within 15 days of 1/1/23.*

(2) Lobbyist began performing Lobbying Activities 1/1/23 (Lobbying Agreement/contract does NOT exist yet); Lobbyist did not exceed the \$5,000 threshold until 3/3/23.

- Data-enter *Start Date* as 3/3/23.
 - The Registration is due *within 10 days of 3/3/23.*

- The Agreement/contract must clearly indicate the date Lobbying Activities began, **and** the date the threshold was exceeded.

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. **NOTE:** In the PDF form and/or Lobbying Agreement form, you may enter “mo-to-mo” in this field.

CONTRACT DURATION*	
<i>Start Date is the first date the Lobbyist has agreed to or been authorized to lobby. The Termination Date is the last date the Lobbyist has agreed to or been authorized to lobby.</i>	
Start Date	Termination Date* MO / TO / MO
___/___/___	___/___/___
COMPENSATION INFORMATION**	

Compensation Amount(s)

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.

Regarding Compensation:

- If the Lobbyist is retained for Lobbying, the actual Compensation must be reported;
 - if *more than lobbying services* are provided, the breakdown of the lobbying rate relative to the total rate inclusive of all services must be provided.

Example: for a retainer of \$5,000 per month where half of the monthly fee is for lobbying and half is for consulting—provide the breakdown indicating that \$2,500 is for lobbying and \$2,500 is for other non-lobbying services.

- If the retainer 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 retainer, all rates shall be disclosed.

- If the Lobbyist is an Employed Lobbyist, as defined in Part 943.3(h) of the Commission regulations, the Lobbyist's prorated salary for Lobbying Activity must be reported.

You must provide a *Compensation Amount* and select **one** *Pay Frequency Type*.

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

EXAMPLE: How to disclose multiple Durations and/or Compensation Amounts

(1) Effective 01/01/2023 through 12/31/2024;

- 01/01/2023 – 06/30/2023; \$5,000 per month
- 07/01/2023 – 01/31/2024; \$10,000 per month
- 02/01/2024 – 12/31/2024; \$2,000 per month

ADD multiple entries in the **Contract Duration/ Compensation** Section:

ENTRY 1:

Contract Start Date: 01/01/2023

Contract Termination (End) Date: 12/31/2024

Compensation Amount: \$2,000-\$10,000

Pay Frequency: range

ENTRY 2:

Contract Start Date: 01/01/2023

Contract Termination (End) Date: 06/30/2023

Compensation Amount: \$5,000

Pay Frequency: monthly

ENTRY 3:

Contract Start Date: 07/01/2023

Contract Termination (End) Date: 01/31/2024

Compensation Amount: \$10,000

Lobbyist and Public Corporation Statement of Registration and Registration Amendment Information

Pay Frequency: monthly

ENTRY 4:

Contract Start Date: 02/01/2024

Contract Termination (End) Date: 12/31/2024

Compensation Amount: \$2,000

Pay Frequency: monthly

Contract Name	Description	Client Signatory	Duration	Compensation
LRO2310010-09/19/2023-20.33.06	Will Exceed	Filer, Chris Vice President	1/1/2023 - 12/31/2024	\$2,000-\$10,000 /Range
			1/1/2023 - 06/30/2023	\$5,000 /Mo
			07/01/2023 - 1/31/2024	\$10,000 /Mo
			02/01/2024 - 12/31/2024	\$2,000 /Mo

EXAMPLE 2: How to disclose multiple **Lobbying Agreements** that run concurrently within a biennial period.

- (1) Effective 01/01/2023 through 12/31/2024, \$5,000 per month;
- (2) Effective 01/01/2023 through 06/30/2023, \$2,000 per month

Contract Name	Description	Client Signatory	Duration	Compensation
LRO2310010-09/19/2023-20.33.06	Will Exceed	Filer, Chris Vice President	01/01/2023 - 12/31/2024	\$5,000 /Mo
			01/01/2023 - 06/30/2023	\$2,000 /Mo

INDIVIDUAL LOBBYIST(S) INFORMATION (OR IN-HOUSE LOBBYISTS)

DEFINITION: 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.

Your Statement of Registration/Amendment must disclose the name(s) of any Individual Lobbyist(s) who are anticipated to perform Lobbying Activities during the biennial period; provided, however, if a Lobbying Organization incurs no **Compensation** for Individual Lobbyists *and only Expenses*, then no Individual Lobbyists are required to be listed. In the case of a Public Corporation, in addition to any In-House Lobbyist(s), any officer or employee who engaged in Lobbying Activities must also be listed.

NOTE: Select the **‘Designated Lobbyist’** check-box if the Individual Lobbyist is a board member, director or officer for the Lobbying Organization or the person lobbies on behalf of themselves.



Individual Lobbyist(s) listed in your Organization Profile do **NOT** automatically populate to your Registration/Amendment; however, all of these Individuals are available to add to your Registration/Amendment while filling-out the Filing in LA.

[Adding a new Individual Lobbyist\(s\):](#)

You can add *new* Individual Lobbyists directly to a Registration (*Individuals who were **NOT** previously listed in the Organization's Profile*). LA will add the *new* Individual Lobbyist directly to the list of Individual Lobbyists contained in your Organization's Profile, making them available for selection on other Filings. *Adding a 'new' Individual Lobbyist requires an "Effective Date"**.



***Individual Lobbyist Effective Date**

The Individual Lobbyist's "**Effective Date**" 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.

[Removing an Individual Lobbyist\(s\):](#)

You can remove an Individual Lobbyist from a Registration by submitting an amendment. This change only applies to the Filing you are submitting; it has no impact on associated Filings. Individuals removed from a Registration will still be available through the list of the Individual Lobbyists contained in your Organization's Profile.

FOR MORE INFORMATION: Please see '**How to file a Statement of Registration Amendment**' below.

REPORTABLE BUSINESS RELATIONSHIP (RBR) INFORMATION*

Previously submitted RBR forms within the biennial period will populate to this section of your Filing.

An RBR is a relationship in which a formal or informal agreement exists in which a Lobbyist or Client (which includes **both Contractual and Beneficial Clients**) pays, has paid, or promises Compensation over \$1,000 in a calendar year to a State person or an entity in which a State Person has Requisite Involvement. Additionally, RBRs of certain individuals within a Lobbyist organization and RBRs of High-Level Individuals of a Client organization must be disclosed by the Lobbyist or Client, as applicable. The disclosure of an RBR

is considered part of a Statement of Registration, Client Semi-Annual Report, or an amendment of such form.

NOTE: A RBR is required to be disclosed in the Registration if a Lobbyist (or Public Corporation) has at least one active lobbying relationship in a calendar year and has an RBR at any time during that calendar year.

IMPORTANT



If a Filer is **BOTH** a Lobbyist **and** a Client, the RBR should be filed as part of the Statement of Registration. The RBR will auto-populate to the Client Semi-Annual Report (if the CSA is required).

FOR MORE INFORMATION: Please see the guidance documents entitled ‘**Reportable Business Information**’, and ‘**How to file a Reportable Business Relationship**’, BOTH located on the Commission’s website.

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

LOBBYING ACTIVITIES*

DEFINITION: Reportable “Lobbying” or “Lobbying Activity” 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.

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 **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.

NOTE: Lobbying Activities reported on your Registration will **not** populate to your Bi-monthly Report(s). Only **Lobbying Activities** reported on previously filed Bi-monthly Reports populate to other Bi-monthly Reports.

(a) 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. Your selection on the Registration is considered more global and can apply to multiple Lobbying Focuses and/or

Parties Lobbied.

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

* If at the time of Registration, the lobbying effort is *unknown*, you may select ‘Unknown’ from the *Focus Type* drop-down menu. In the “Enter Description” text box, data-enter the *Lobbying Subjects* (the ‘**Nature of Business**’ between the Lobbyist and Contractual Client) identified in the Lobbying Subjects section. See *bullet 2(b) Description of the Focus for more information*.

(2) (a) 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.

(2) (b) Description of the Focus

How to disclose a *Description of a Focus* (if an *Identifying Number* 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.

(c) Parties Lobbied (Targets of Lobbying Activity)

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

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/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
- NYC Council Members
- 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).

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

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)

FOR MORE INFORMATION: Please see the following step-by-step instructional documents located on the Commission's website:

- **Step 1; either:**
 - *How to access the online Lobbying Application if you already have an NY.gov account; or*
 - *How to create a NY.gov account using the 'LA' enrollment link*
- **Step 2: How to create your User Profile in the Lobbying Application**
- **Step 3: How to Claim or Create Lobbying or Client Organization Profiles**

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.

Payment must be made at the time of submission. The following options are available:

(a) Visa, MasterCard or American Express (remit payment via Online Lobbying Application)

NOTE: For security purposes, 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 **Commission on Ethics and Lobbying in Government** and include the Filing Confirmation number in the memo section.

REGISTRATION AMENDMENTS

All information disclosed on your corresponding Registration (or most recently submitted Amendment) will automatically populate to your Statement of Registration Amendment.

WHEN TO FILE:

Lobbyists, including Public Corporations, are required to submit an amended Statement of Registration to

reflect any change, permanent or temporary, to any of the information filed in the original Registration 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**”.

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.



Effective Date of Change is the date a specific change (or changes) takes effect. Not the date the Amendment is submitted.

AN AMENDED STATEMENT OF REGISTRATION IS REQUIRED TO REFLECT ANY CHANGES TO:

1. **Individual Lobbyists**

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

Adding a new Individual Lobbyist(s):

You can add *new* Individual Lobbyists directly to a Registration (***Individuals who were NOT previously listed in the Organization’s Profile***). LA will add the *new* Individual Lobbyist directly to the list of Individual Lobbyists contained in your Organization’s Profile, making them available for selection on other Filings. ***Adding a ‘new’ Individual Lobbyist requires an “Effective Date”****.



***Individual Lobbyist Effective Date**

The Individual Lobbyist’s “**Effective Date**” 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.

Removing an Individual Lobbyist(s):

2. **You can remove an Individual Lobbyist from a Registration by submitting an amendment. This change only applies to the Filing you are submitting; it has no impact on associated Filings. Individuals removed from a Registration will still be available through the list of the Individual Lobbyists contained in your Organization's Profile. Level of Lobbying (State vs. Municipal or Both)**
Changes to the *Level of Lobbying* are permitted on a Registration Amendment.

3. **Identities of other 'Parties' to the Lobbying Activity**

Changes (additions/deletions) of Co-Lobbyists, Sub-Lobbyists, or Beneficial Clients must be made through a Registration Amendment.

NOTE: At least one Contractual Client and one Beneficial Client must be listed on a Registration and Registration Amendment.

Co- and/or Sub-Lobbyist(s)

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

If a Co-Lobbyist and/or Sub-Lobbyist relationship changes, a Principal Lobbyist must submit a Registration Amendment to:

1. remove a Co- and/or Sub-Lobbyist

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

2. provide a revised Agreement/contract for a Co-Lobbyist relationship.

Beneficial Client(s)

- You must add *new* Beneficial Client(s) directly through a Registration Amendment.

NOTE: Currently, you must contact Commission staff to have the new Beneficial Client(s) added to any applicable Bi-monthly Report(s).

4. **Specifications of the Lobbying Agreement**

Any changes to specific terms of a Lobbying Agreement, such as *Compensation* and/or *Pay Frequency*, *Start Date*, *Termination (End) Date*, and any decision to continue the Lobbying Agreement beyond the

Termination Date must be made through a Registration Amendment.

Please be aware that a Registration Amendment to extend a Lobbying Agreement must be submitted ***within 10 days of the Contract Start Date*** referenced in the *new* Lobbying Agreement (or Unexecuted Lobbying Agreement Form).



DO NOT SUBMIT A NEW REGISTRATION FOR A RELATIONSHIP THAT HAS EXPIRED (TERMINATED) WITHIN A BIENNIAL PERIOD.

NOTE: If you submitted a Registration Amendment to re-start (or extend) an expired and/or terminated Lobbying Agreement within a biennial period, and LA is requiring you to file a Bi-monthly Report for that ‘terminated’ period, **contact Commission staff.**

YOU ARE NOT REQUIRED TO SUBMIT AN AMENDED REGISTRATION TO REFLECT:

- any decision to waive, write-down, or otherwise reduce the prior Compensation and/or Expenses owed to the Lobbyist by the Client ***after the termination of the Lobbying Agreement.***
- any changes to **Lobbying Activities** since a Registration is considered a *forward-looking* document, and your Bi-monthly Report(s) will disclose the ***actual*** activities, and Party or Parties Lobbied during the specified Bi-monthly reporting period.

TERMINATIONS

For detailed instructions regarding whether you are required and how to submit a Registration Termination, please see the ‘**How to Submit a Registration Termination in the Online Lobbying Application (‘LA’)**’ on the Commission’s website.

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 LA. Tickets will appear on your dashboard in the LA and within the associated Filing.

Lobbyist and Public Corporation Statement of Registration and Registration Amendment Information

To **Reply with Note**, or **Request an Extension** to a specific Ticket, you must first select the check-box next to the *Filing Ticket*.

New York State Commission on Ethics and Lobbying in Government - Lobbying Application

Dashboard My Tickets Print Search... Lobbyist/Client/PubCorp

Principal Lobbyist Contractual Client Beneficial Clients

Test Organization

Lobbyist Registration Amendment
Biennial Period: 2021 - 2022
Confirmation #: [redacted] View Associated Filings
Effective Date: 07/28/2022
(Submitted)

Payment Tickets - ACTION REQUIRED Pay Now Check Pending

Request For Extension

Notes	Respond By	Ticket	Status	Issue
<input type="checkbox"/> View	No action Required	38950	Pending Lobby Staff Review	

Problem Tickets - ACTION REQUIRED Click To View Ticket Details

Ticket(s) Amend Reply With Note Request For Extension Show Other Tickets

Notes	Respond By	Ticket	Status	Issue
<input type="checkbox"/> View	3/18/2022	51415	Pending Filer Action	Custom - TESTING Custom - TESTING

CONTACT US

If you have any questions about navigating the LA or for technical assistance, please contact the Commission's Lobbying Helpdesk at LobbyingHelpDesk@ethics.ny.gov or by phone at 518-474-3973.

For questions related to the:

- Statement of Registration – email us at Registrations@ethics.ny.gov
- Bi-monthly and Disbursement of Public Monies Reports – email us at Bimonthlies@ethics.ny.gov
- Client Semi-Annual Report and Source of Funding – email us at CSA@ethics.ny.gov
- Reportable Business Relationship Report – email us at Discrepancies@ethics.ny.gov
- Education and Training- email us at Education@ethics.ny.gov
- To speak to the Commission's Attorney of the Day, email them at Guidance@ethics.ny.gov or call the Commission's Hotline phone at 1-800-87-ETHICS (873-8442) and press '2'.

APPENDIX A

LOBBYING SUBJECTS

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

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

Lobbyist and Public Corporation Statement of Registration and Registration Amendment Information

40. Gaming – General
41. Gaming – Horse Racing
42. Gaming – Lottery
43. Gaming – Recreation & Live Entertainment
44. Health – Cigarette/ Tobacco
45. Health – General
46. Health – Health Professions
47. Health – Health Services / HMOs
48. Health – Hospitals & Nursing Homes
49. Health – Medicine/ Medicaid
50. Health – Pharmaceuticals/ Health Products
51. Human Rights/Civil Rights
52. Insurance – Auto
53. Insurance – General
54. Insurance – Health
55. Insurance – Life
56. Insurance – Property & Casualty
57. Labor – General
58. Labor – Labor Issues/ Unions
59. Labor – Pensions/ Retirement
60. Labor – Prevailing wage/ Minimum Wage
61. Lobbying Laws and Regulations
62. Media – Books, Magazines & Newspapers
63. Media – First Amendment – Press
64. Media - General
65. Media – Motion Picture/Television/Recorded Music/Music Production & Distribution
66. Media – Printing & Publishing
67. Miscellaneous Business – Advertising/ Public Relations
68. Miscellaneous Business – General
69. Public Utilities – Cable/Broadband
70. Public Utilities – Electric
71. Public Utilities – Gas
72. Public Utilities – General
73. Public Utilities – Telecommunications
74. Public Utilities – Water
75. Real Estate – Affordable Housing
76. Real Estate – Construction
77. Real Estate – General
78. Tax – Corporate
79. Tax – Development Credits
80. Tax – Exempt Organizations
81. Tax – General
82. Tax – Personal Income
83. Tax – Real Property
84. Tax – School
85. Transportation – Air Transport
86. Transportation – Automotive Industry/ Manufacturers
87. Transportation – General
88. Transportation – Mass Transit
89. Transportation – Safety
90. Transportation – Trucking
91. Transportation – Railroad/Canals
92. Veterans Affairs