

**NEW YORK STATE AND LOCAL  
LOBBYIST AND CLIENT  
REGISTRATION AND REPORTING REQUIREMENTS<sup>1</sup>**

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<sup>1</sup> This chart is for guidance purposes only, as the laws (including filing deadlines and fees) may be amended from time to time. In order to ensure that your organization's registration and reporting is completed in accordance with law you must verify with the New York Temporary State Commission on Lobbying (the "Commission") (518.474.7126) and the NYC Clerk's Office (the "Clerk's Office") (212.669-2778) that the information contained in this chart is still accurate and up to date.

LAWYERS ALLIANCE FOR NEW YORK  
JANUARY 2007

New York State

<p><b>Annual Lobbyist Statement of Registration</b></p> <p><b>Statement of Registration is a <i>Biennial</i> Statement of Registration</b></p>	<p><b>Due Date*</b></p> <p>If the lobbyist reasonably anticipates expending or incurring in the upcoming calendar year in excess of \$5,000, the lobbyist must register</p> <ul style="list-style-type: none"> <li>• By January 1 if the lobbyist has been retained, employed or designated to lobby by December 15 <b>OR</b></li> <li>• If the lobbyist has been retained, employed or designated to lobby after December 15, the statement is due within 15 days of such date</li> </ul> <p>In any case, a statement must be filed within 10 days of the date on which the lobbyist actually incurs or receives combined compensation and expenses exceeding \$5,000.</p> <p>Beginning calendar year 2005, the Commission required lobbyists to register biennially. The threshold for triggering registration is still \$5,000 in a calendar year. If the lobbyist files an initial registration during the second year of the two-year period because the lobbyist's obligation to register was only triggered at such time, the registration fee will be prorated. An organization that anticipates crossing or actually crosses the \$5,000 threshold <i>only</i> in year one of the two years or that does not cross the threshold at all cannot later ask for a refund.</p>	<p><b>Filing Fee</b></p> <ul style="list-style-type: none"> <li>• Calendar year 2005 onwards – (<b><i>Biennial Reg</i></b>) \$200 if reportable compensation exceeds or will exceed \$5,000 in one calendar year of the biennial period. No filing fee if incurring \$5,000 or less. Prorated filing of \$100 for registrants that register in the second year of the biennial period.</li> </ul> <p>Payable to New York Temporary State Commission on Lobbying</p>	<p><b>Late Filing Fee<sup>2</sup></b></p> <p>First time filer: up to \$10 per day for each day the report is late.</p> <p>Others: up to \$25 per day for each day the report is late.</p> <p>Reprieve for first time filers IF the Commission issues a notice of intent to assess a penalty for knowing &amp; willful failure to file a required report or statement: filer gets 15 days to submit the required form.</p>
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<sup>2</sup> In addition, the Commission may impose civil penalties up to \$50,000 per violation, criminal charges or a flat ban or prohibition on engaging in lobbying for a period up to four years on individuals or organizations for knowing and willful violations of NYS Lobbying Act.

\* Reports are deemed filed only upon *receipt* by the Commission. If a report is due on a weekend or State holiday, the report must be received in the Commission's office on the first state business day following the weekend or State holiday.

**LAWYERS ALLIANCE FOR NEW YORK  
JANUARY 2007**

<b>Bi-Monthly Lobbyist Report<sup>3</sup></b>	<b>Due Date*</b>	<b>Filing Fee</b>	<b>Late Filing Fee</b>
	<p>The reports are due 15 days after the last day of the reporting period:</p> <ul style="list-style-type: none"> <li>• January 1 – last day of February (due March 15)</li> <li>• March 1 – April 30 (due May 15)</li> <li>• May 1 – June 30 (due July 15)</li> <li>• July 1 – August 31 (due September 15)</li> <li>• September 1 – October 31 (due November 15)</li> <li>• November 1 – December 31 (due January 15)</li> </ul>	None	<p>First time filer: up to \$10 per day for each day the report is late.</p> <p>Other s: up to \$25 per day for each day the report is late.</p> <p>Reprieve for first time filers IF the Commission issues a notice of intent to assess a penalty for knowing &amp; willful failure to file a required report or statement: filer gets 15 days to submit the required form.</p>

<sup>3</sup> Bi-monthly reports are due regardless of whether any expenses have been incurred or compensation earned in the reporting period. If the lobbyist has filed all required bi-monthly reports due prior to the due date of the semi-annual report, the corresponding bi-monthly report replaces the obligation of the lobbyist to file a lobbyist semi-annual report. In addition, note that bi-monthly and semi-annual reports must also contain disclosure on the lobbyist's local lobbying.

\* Reports are deemed filed only upon *receipt* by the Commission. If a report is due on a weekend or State holiday, the report must be received in the Commission's office on the first business day following the weekend or State holiday.

**LAWYERS ALLIANCE FOR NEW YORK  
JANUARY 2007**

<b>Client Semi-Annual Report<sup>4</sup></b>	<b>Due Date*</b>	<b>Filing Fee</b>	<b>Due Date</b>
	<p>Clients that expend greater than \$5,000 in combined reportable compensation and expenses must file:</p> <ul style="list-style-type: none"> <li>• January 1 – June 30 Report: due July 15</li> <li>• July 1 – December 31 Report: due January 15</li> </ul>	<p>\$50 per report</p>	<p>First time filer: up to \$10 per day for each day the report is late.</p> <p>Other filers: up to \$25 per day for each day the report is late.</p> <p>Reprieve for first time filers IF the Commission issues a notice of intent to assess a penalty for knowing &amp; willful failure to file a required report or statement: filer gets 15 days to submit the required form.</p>

<sup>4</sup> Organizations registered as lobbyists and clients must file lobbyist periodic *and* client reports with New York State and New York City as required by state and city law.

\* Reports are deemed filed only upon *receipt* by the Commission. If a report is due on a weekend or State holiday, the report must be received in the Commission's office on the first state business day following the weekend or State holiday.

**LAWYERS ALLIANCE FOR NEW YORK  
JANUARY 2007**

**New York City**

<b>Annual Lobbyist Statement of Registration<sup>5</sup></b>	<b>Due Date</b>	<b>Filing Fee</b>	<b>Late Filing Fee<sup>6</sup></b>
	<p>If the lobbyist reasonably anticipates expending or incurring in the upcoming calendar year in excess of \$2,000, the lobbyist must register by</p> <ul style="list-style-type: none"> <li>• January 1 if the lobbyist has been retained, employed or designated to lobby by December 15 OR</li> <li>• If the lobbyist has been retained, employed or designated to lobby after December 15, the statement is due within 15 days of such date.</li> </ul> <p>In any case, a statement must be filed within 10 days of the date on which the lobbyist actually incurs or receives combined compensation and expenses exceeding \$2,000.</p> <p>Beginning January 1, 2007, all registration statements, periodic and annual reports must be filed electronically. Filing in hard copy is no longer an options.</p>	<p>For 2007: \$150</p>	<p>The Clerk's Office will assess late penalties that will accrue daily, similar to the penalties imposed under the state statute.</p>

<sup>5</sup> Pursuant to the amendments to the city lobbying laws enacted on June 13, 2006, the registration statement and periodic report forms will, to the extent practicable, be as identical as possible to the forms used by the Commission.

<sup>6</sup> In addition, knowing and willful violation of city lobbying laws is a Class A misdemeanor and may result in civil penalties up to \$15,000 (\$30,000, effective December 10, 2006) and/or an order to cease all lobbying activities for up to 60 days.

**LAWYERS ALLIANCE FOR NEW YORK  
JANUARY 2007**

<b>Periodic Lobbyist Report</b>	<b>Due Date</b>	<b>Filing Fee</b>	<b>Late Filing Fee</b>
	<p>For 2007 and years prior, the first periodic report is due 15 days after the last day of the reporting period during which the obligation to register as a lobbyist arose. Subsequent periodic reports are due 15 days after the last day of each reporting period.<sup>7</sup></p> <ul style="list-style-type: none"> <li>• January 1 – March 31 (due April 15)</li> <li>• April 1 – May 31 (due June 15)</li> <li>• June 1 – September 30 (due October 15)</li> <li>• October 1 – December 31 (due January 15)<sup>8</sup></li> </ul> <p>Beginning January 1, 2008, periodic reports will be due on a bi-monthly basis on the same schedule as those due with the state:</p> <ul style="list-style-type: none"> <li>• January 1 – last day of February (due March 15)</li> <li>• March 1 – April 30 (due May 15)</li> <li>• May 1 – June 30 (due July 15)</li> <li>• July 1 – August 31 (due September 15)</li> <li>• September 1 – October 31 (due November 15)</li> <li>• November 1 – December 31 (due January 15)</li> </ul>	None	The Clerk’s Office will assess late penalties that will accrue daily, similar to the penalties imposed under the state statute.
<b>Annual Report of Lobbyist and Client<sup>9</sup></b>	<p><b>Due Date</b></p> <p>January 15 of each year for the annual report covering the previous year.<sup>10</sup></p>	None.	The Clerk’s Office will assess late penalties that will accrue daily, similar to the penalties imposed under the state statute.

<sup>7</sup> Periodic reports are due regardless of whether any expenses have been incurred or compensation earned in the reporting period.

<sup>8</sup> The Clerk’s Office apparently issues a “fourth quarter form” that differs from the form completed for the other reporting periods during the calendar year.

<sup>9</sup> This annual report must be filed by every lobbyist that files a statement of registration and every client that retains, employs or designates a lobbyist if the client expended, received or incurred reportable compensation and expenses in excess of \$2,000.

**LAWYERS ALLIANCE FOR NEW YORK  
JANUARY 2007**

<b>Fundraising &amp; Political Consulting Reports</b>	<b>Due Date</b>	<b>Filing Fee</b>	<b>Late Filing Fee</b>
	<p>If any lobbyist engages in fundraising or political consulting activities during the calendar year for which the lobbyist is registered or during the six months preceding the year for which the lobbyist is registered must file a fundraising and/or political consulting report with the Clerk's Office.</p> <p>These reports must be filed in accordance with the schedule for the filing of lobbyist periodic reports, within 15 days of the end of the preceding reporting period.</p>	<p>Local Law 15 is silent on fees.</p>	<p>Same as for periodic reports of lobbyists-- The Clerk's Office will assess late penalties that will accrue daily, similar to the penalties imposed under the state statute.</p>

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<sup>10</sup> Although the statute requires registered lobbyists to file an annual report, the Clerk's Office apparently does not issue a form to be completed to fulfill this requirement. We have been advised informally on the telephone that the "fourth quarter form" is the final lobbyist report due for the calendar.