

Office of the City Clerk



Clerk of the Council

Office of the City Clerk Clerk of the Council

Lobbying Bureau Annual Report

As required by Local Law 15 of 2006

Michael McSweeney
City Clerk, Clerk of the Council

Alisa Fuentes
Deputy City Clerk

Patrick L. Synmoie
Counsel to the City Clerk

Jaime Lynn Eckl
Deputy Counsel

Walter Carcione
Chief Investigator

March 1, 2011

Introduction

This is the fifth annual report issued by the Lobbying Bureau (the “Lobbying Bureau”) of the Office of the City Clerk (the “City Clerk”) pursuant to §3-212(c) of the Administrative Code of the City of New York (the “Administrative Code”), the text of which follows:

The city clerk shall prepare and post on the internet an annual report relating to the administration and enforcement of the provisions of this subchapter. Such report shall contain information regarding: (i) the number of complaints received from the public and the disposition of such complaints; (ii) the number and amount of civil penalties imposed pursuant to subdivisions (a), (b), (c) and (d) of section 3-223 of this subchapter; (iii) the number and duration of orders issued pursuant to subdivision (a) of section 3-223 of this subchapter; (iv) the number of random audits conducted by the clerk and outcomes thereof; (v) compliance programs developed and implemented for lobbyists and clients; and, (vi) such other information and analysis as the city clerk deems appropriate. Such report shall be posted on the internet no later than March first of each year and shall contain information relating to the preceding calendar year.

Listed below is the information required by this section of the New York City’s lobbying law (the “Lobbying Law”) for calendar year 2010.

(i) Number of complaints received from the public and the disposition of such complaints.

In the annual report issued on March 1, 2010, the Lobbying Bureau acknowledged it received one complaint of unreported lobbying in 2009. At the time the annual report was issued, the investigation was ongoing, and, as a result, was not included in the report. The complaint received in 2009 alleged that Greenwich Village Society for Historical Preservation engaged in unreported lobbying activities in violation of the Lobbying Law. Subsequent to an investigation, the Lobbying Bureau determined that the Greenwich Village Society for Historical Preservation was not required to file a statement of registration or periodic reports pursuant to §§3-213 and 3-216 of the Administrative Code, respectively.

In 2010, the Lobbying Bureau received two complaints from the public regarding violations of the Lobbying Law. The results of the investigations conducted by the Lobbying Bureau into the complaints are as follows:

- In response to a complaint that George Arzt and George Arzt Communications, Inc. (collectively, “Arzt”) violated Administrative Code §3-219(a), the Lobbying Bureau determined there was no probable cause that Arzt violated such provision.
- In response to a complaint that Norman Levy (“Levy”) and DUMBO Neighborhood Foundation, Inc. (“DUMBO”) violated Administrative Code §§3-213(a) and 3-216(a), the Lobbying Bureau determined there was no probable cause that Levy or DUMBO violated such provisions.

(ii) Number and amount of civil penalties imposed pursuant to subdivisions (a), (b), (c) and (d) of §3-223 of the Administrative Code.

Violators of the Lobbying Law are subject to the penalties detailed in §3-223 *et seq.* of the Administrative Code. Pursuant to Administrative Code §3-223(a), the penalties for knowing and willful violations of the Lobbying Law include: financial sanctions not to exceed thirty thousand dollars; the issuance of a cease and desist order; or, both a civil penalty and a cease and desist order. Section 3-223(b) of the Administrative Code subjects violators to a penalty not to exceed thirty thousand dollars for violating a cease and desist order or the proscription against contingency agreements provided in the Lobbying Law. In addition to late filing penalties for the untimely filing of any statement or report, §3-223(c) of the Administrative Code subjects violators to a civil penalty not to exceed twenty thousand dollars, if an untimely filing is not cured within fourteen business days from the date of mailing of a notice to cure such violation. For any violation of the Lobbying Law not covered in the foregoing provisions, §3-223(d) of the Administrative Code subjects violators to a penalty not to exceed twenty thousand dollars. Listed below by filing period are the penalties (primarily late filing penalties) incurred by violators.

2009 Annual Reports

As of February 28, 2011, the Lobbying Bureau identified 177 entities that failed to file an aggregate of 199 annual reports in a timely manner. Forty-five of these late reports were attributable to twenty-three lobbyists, who consequently incurred an aggregate of \$19,000 in late filing penalties. (See Appendix A attached hereto.) No civil penalties, however, were warranted for these late filings. The remaining 154 late annual reports were attributable to clients, who each filed a late report, and consequently incurred an aggregate of \$214,885 in late filing penalties. See Appendix B attached hereto. In addition, the total civil penalties imposed for these late filings range from \$31,000 to \$120,000.^[1] See Appendix C attached hereto.

2010 Periodic Reports

To date, the Lobbying Bureau identified 20 lobbyists who failed to file an aggregate of 34 first periodic reports in a timely manner. For this failure, such lobbyists incurred \$4,350 in aggregate late filing penalties as of February 28, 2011. See Appendix D attached hereto.

To date, the Lobbying Bureau identified 12 lobbyists who failed to file an aggregate of 13 second periodic reports in a timely manner. For this failure, such lobbyists incurred \$2,375 in aggregate late filing penalties, as of February 28, 2011. See Appendix E attached hereto.

To date, the Lobbying Bureau identified 4 lobbyists who failed to file an aggregate of 8 third periodic reports in a timely manner. For this failure, such lobbyists incurred \$1,500 in aggregate late filing penalties, as of February 28, 2011. See Appendix F attached hereto.

To date, the Lobbying Bureau identified 20 lobbyists who failed to file an aggregate of 31 fourth periodic reports in a timely manner. For this failure, such lobbyists incurred \$11,400 in aggregate late filing penalties, as of February 28, 2011. See Appendix G attached hereto.

To date, the Lobbying Bureau identified 13 lobbyists who failed to file an aggregate of 13 fifth periodic reports in a timely manner. For this failure, such lobbyists incurred \$3,650 in aggregate late filing penalties, as of February 28, 2011. See Appendix H attached hereto.

No civil penalties were imposed based upon the late filing of the 2010 periodic reports.

^[1]In imposing the civil penalties, the administrative law judge of the Office of Administrative Trials and Hearings recommends reduced civil penalties to encourage prompt compliance. Typically, a \$20,000 civil fine is reduced to \$2,000 if the respondent files the required report within 60 days of the City Clerk's order, to \$5,000 if the respondent files within 90 days of the order, and to \$10,000 if the respondent files within six months of the order. Any filing later than six months would result in the full \$20,000 penalty being assessed.

(iii) Number and duration of orders issued pursuant to subdivision (a) of §3-223 of the Administrative Code.

None.

(iv) Number of random audits and outcomes thereof.

The Lobbying Bureau performed random audits of 30 entities in 2010. The audits encompassed an examination of all filings made in 2009 by the selected lobbyist entity on behalf of its client or itself to determine if such filings were complete, accurate, timely filed and in full compliance with the Lobbying Law. The audits resulted in the issuance of over 70 findings and, consequently, over 70 required actions. A sample of audit findings include reporting incorrect amounts of compensation, attributing compensation to the wrong reporting period, missing target information, registering clients under a different entity name than the names used by the actual clients and failing to list employees lobbying for clients in statements of registration and periodic reports. Examples of actions required to be undertaken by audited parties include: amending reports to correct information, providing an affirmation to corroborate amounts reported by the lobbyist, certifying an amended report and reporting specific information about the subject matter and target(s) of lobbying activities.

(v) Compliance programs developed and implemented for lobbyists and clients.

The Lobbying Bureau, in a variety of methods, works with lobbyists and clients to improve compliance with the Lobbying Law including training, outreach and other educational efforts.

Training

The Lobbying Bureau conducts training sessions whenever necessitated by a change in policy or law or when new enhancements are made to the e-Lobbyist system. At the most recent training session held on November 22, 2010, the Lobbying Bureau, in collaboration with the Department of Information Technology and Telecommunications (“DoITT”), provided information and training on the most recent enhancements made to the e-Lobbyist system. The enhancements discussed at the training session included: the ability to upload a retainer during the filing of a statement of registration, and several upgrades to the client annual report, allowing clients to separately report

lobbying activities, compensation and reimbursed expenses for each lobbyist entity. DoITT's representatives provided screen shots of the new applications, step-by-step instructions regarding the process of uploading a retainer to the e-Lobbyist system and demonstrated how to file a client annual report with the new enhancements. As with previous training sessions, a handout was provided to all attendees covering the topics discussed during the session. An overwhelming demand to attend the training session, necessitated a repeat session, which was held on December 7, 2010.

Following DoITT's presentation, Patrick Synmoie, Counsel to the City Clerk discussed several recurring issues, namely: the failure to amend statements of registration as required by the Lobbying Law, a review of the definition of a principal officer and the requirement that only a principal officer can certify reports. A question-and-answer session followed. Attendees asked questions about the enhancements to the e-Lobbyist system, reporting responsibilities and clarifications of issues regarding the Lobbying Law, as well as enrollment and registration procedures.

Outreach and Education

Mailing to entities receiving discretionary funding

To further educate community groups about the Lobbying Law and ensure compliance, the Lobbying Bureau sent a letter to all entities that received discretionary funding from the City Council in fiscal year 2011. Thousands of letters were mailed with an enclosure comprised of a summary of the Lobbying Law, as well as a copy of the pertinent sections of the Administrative Code and the Rules of the City of New York.

Law Department's Opinion regarding placement agents, etc.

On March 31, 2010, in response to a request from the City Clerk, the New York City Law Department opined that placement agents, other third parties retained by investment firms and employees of investment firms are lobbying when those persons attempt to influence decisions made by the New York City Comptroller, the Comptroller's staff, the boards of trustees of the pension funds and retirement systems of New York City and/or members of their staffs, about the investment of the pension funds. On December 28, 2010, by letter to investment firms, placement agents and other third parties who may have dealings with the City's pension funds or the Comptroller's office, the Lobbying Bureau informed affected parties of its intention to prospectively enforce the Law Department's opinion, commencing in January 2011. The mailing of the letter was timed to coincide with the filing of the 2011 statements of registration at the beginning of the new lobbying year. A second mailing followed in early January 2011. Enclosed with the letter was a summary of the Lobbying Law and the Law

Department's opinion. All three documents were posted on the City Clerk's website. Over 400 letters were mailed.

To further disseminate news about the Law Department's opinion, the Lobbying Bureau sent a letter to the New York City Comptroller with a copy to each member of the boards of trustees of the pension funds and retirement systems, as well as the executive director of each entity, requesting assistance in publicizing the Law Department's opinion, including posting the opinion on the Comptroller's website. Over 60 letters were sent, with an enclosure comprised of the Law Department's opinion and a summary of the Lobbying Law.

As expected, the public response to the mailing was quick and overwhelming. The Lobbying Bureau was besieged by e-mails and telephone calls from interested parties, including investment firms, bloggers, reporters and numerous law firms. The Lobbying Bureau is endeavoring to provide clarity to callers through informal answers by email and telephone. In addition, a series of advisory opinions will be issued by the Lobbying Bureau, in collaboration with the Law Department, to further clarify some of the issues raised. The announcement of the Lobbying Bureau's intent to enforce the Law Department's opinion effectively thrust the City Clerk to the forefront of lobbying regulation nationally, as the opinion has affected investment firms nationwide. This outcome may also be partly attributable to the fact that the announcement coincided with substantially similar regulations recently passed by the California authorities.

Customer Assistance, Continued Awareness and Other Compliance Efforts

To allow filers additional time to become acclimated to the recent enhancements made to the e-Lobbyist system, the Lobbying Bureau instituted a blanket extension for both lobbyists and clients to file 2010 sixth periodic/annual reports and 2010 client annual reports, from January 18, 2011 to February 15, 2011. In addition, for the convenience of potential first-time filers such as investment firms, placement agents and other third parties affected by the Law Department's opinion, the filing deadline for 2011 statements of registration was extended from January 1, 2011 to February 15, 2011.

The Lobbying Bureau continues to send notices to late filers, notifying such filers of their failure to meet filing deadlines and the amount of penalties incurred as a result of non-compliance. In addition to such notifications sent by the Lobbying Bureau, a recent enhancement to the e-Lobbyist system sends automatically generated emails to all registered filers notifying them of filing deadlines and when a report is late. The Lobbying Bureau also sends email notices to principal

officers and designees of lobbyist and client entities, providing important information pertaining to training sessions and other information regarding Lobbying Bureau policy.

Additionally, the Lobbying Bureau continues to offer information to the lobbying community and the general public. Throughout the year, the Lobbying Bureau received thousands of inquiries by telephone and email. Answering these questions and providing assistance on all aspects of the Lobbying Law is a substantial part of the Lobbying Bureau's daily activities.

(vi) Other information and analysis.

Improvements to the e-Lobbyist system

In 2010, there were several enhancements made to the e-Lobbyist system to improve the accuracy of reporting and ensure compliance. One enhancement was the ability to upload retainers online when filing a statement of registration, obviating the need to submit retainers to the Lobbying Bureau by first-class mail. Other enhancements were made to the client annual report, allowing it to be filed with greater clarity and accuracy. Specifically, clients would report lobbying activities, compensation and reimbursed expense totals of each lobbyist entity individually, instead of in the aggregate. Another enhancement to the e-Lobbyist system included, sending automatically generated emails notifying all filers of deadlines and when a filing is late. These emails should lead to greater compliance with filing deadlines, thus decreasing fines imposed for late filings. Other enhancements made to the e-Lobbyist system in 2010 included: upgrades to the enrollment process providing greater security and compliance; various search reports for the Lobbying Bureau to ensure compliance; the addition of a field to report a designee of a lobbyist or client entity; and a field to report the salaries of in-house lobbyists of lobbyist-client filers. In addition, the e-Lobbyist system user-guide was continuously updated throughout the year, as enhancements were made to the system, and for the convenience of users, access to the user-guide is now possible when filers are accessing the e-Lobbyist system.

Number of Reporting Lobbyists and Clients

As of February 28, 2011, there were 734 lobbyists and 2,494 clients entities enrolled in the e-Lobbyist system. In 2010, there were approximately 1,621 lobbyist-client registrations filed on the e-Lobbyist system.

Outlook For 2011

The Lobbying Bureau continues to strive to improve functionality and the user-friendliness of the e-Lobbyist system. In 2011, the Lobbying Bureau, in partnership with DoITT, plans to release the following enhancements: the capability to report third-party lobbyists; payment of registration fees by credit card; and the ability of non-United States based businesses and organizations to enroll in the e-Lobbyist system.

In addition, the Lobbying Bureau intends to continue its efforts to increase compliance by expanding its enforcement measures and increasing public awareness of the Lobbying Law and its reporting requirements. Educational efforts will be redoubled. The Lobbying Bureau is in the process of bolstering its training capacity to offer regular, ongoing training rather than the “as needed” training provided in the past. In addition, the Lobbying Bureau in partnership with DoITT, is creating a training video to assist filers in filing reports on the e-Lobbyist system, which will be posted on the Lobbying Bureau’s website. Lastly, in 2011, the Lobbying Bureau intends to increase public awareness of the Lobbying Law by engaging in more community outreach efforts. To that end, the members of the Lobbying Bureau will be speaking at a not-for-profit organization’s annual meeting to educate its members about the Lobbying Law and the e-Lobbyist system on March 25, 2011. In addition, the Lobbying Bureau intends to make oral presentations to community boards.

Lastly, for the first time, the Lobbying Bureau will host a number of legal interns in the summer of 2011. This undertaking is a sign of the maturing of the bureau as an institution and a demonstration of an interest in this area of law by a younger generation of legal practitioners.

Top Ten Lobbyists by Revenue

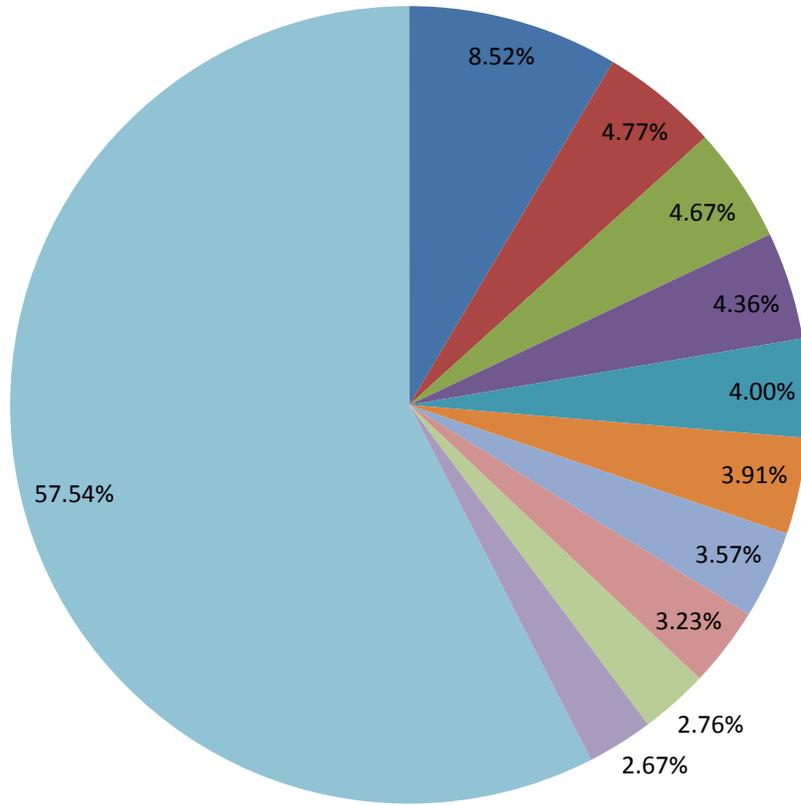
Prior to the enactment of Local Law 15 of 2006, which mandates the posting of the information in this report, the City Clerk issued a paper report which included a list of all lobbyists, the names and addresses of lobbying organizations, a list of all clients registered by each lobbyist and the revenue reported by filing period. The paper report also included a top ten list of lobbyists ranked by revenue and a comparison of the top ten lobbyists and lobbyist revenue over the previous five years. Since the information formerly provided by the paper report became available on the City Clerk’s website at <http://www.nyc.gov/lobbyistsearch/>, the paper report was rendered obsolete and was no longer produced. However, because the website does not provide a ranking of lobbyists by revenue, the top ten list of lobbyists by revenue for 2010 and the comparison from the previous five years is included below.

TOP TEN LOBBYISTS FOR 2010

| <u>Lobbyist Name</u> | <u>Revenue</u> | <u>Percentage</u> |
|---|--------------------------------|-------------------------|
| Kasirer Consulting, LLC. | \$ 4,204,507.00 | 8.53 % |
| James F. Capalino & Associates, Inc. | 2,352,539.00 | 4.77 |
| Constantinople & Vallone Consulting, LLC. | 2,303,500.00 | 4.67 |
| Bolton-St. Johns, LLC. | 2,151,104.00 | 4.36 |
| Kramer Levin Naftalis & Frankel, LLP. | 1,970,719.00 | 4.00 |
| Greenberg Traurig | 1,927,216.00 | 3.91 |
| Bryan Cave, LLP. | 1,761,156.00 | 3.57 |
| The Parkside Group, LLC. | 1,594,000.00 | 3.23 |
| Tonio Burgos & Associates, Inc. | 1,360,500.00 | 2.76 |
| Law Offices of Claudia Wagner, LLC. | <u>1,318,300.00</u> | <u>2.67</u> |
| SUB-TOTAL | 20,943,541.00 | 42.49 |
| OTHER LOBBYISTS | <u>28,376,876.00</u> | <u>57.51</u> |
| TOTAL REVENUE | \$ <u>49,320,417.00</u> | <u>100.00</u> %* |

*Total may vary due to rounding

TOP TEN LOBBYIST FOR 2010*



- Kasirer Consulting LLC
- James F. Capalino & Associates, Inc.
- Constantinople & Vallone Consulting LLC
- Bolton-St. Johns LLC
- Kramer Levin Naftalis & Frankel LLP
- Greenberg Traurig
- Bryan Cave LLP
- The Parkside Group, LLC
- Tonio Burgos & Associates, Inc.
- Law Offices Of Claudia Wagner LLC
- Other lobbyists

*Variance due to rounding

TOP TEN LOBBYISTS FOR 2009

| <u>Lobbyist Name</u> | <u>Revenue</u> | <u>Percentage</u> |
|--|--------------------------------|-------------------------|
| Kasirer Consulting, LLC. | \$ 3,745,321.77 | 6.98 % |
| Kramer Levin Naftalis & Frankel, LLP. | 2,927,017.51 | 5.45 |
| Greenberg Traurig | 2,882,270.27 | 5.37 |
| James F. Capalino & Associates, Inc. | 2,554,438.50 | 4.76 |
| Bolton-St. Johns, LLC. | 2,464,754.31 | 4.59 |
| The Parkside Group, LLC. | 1,994,333.32 | 3.71 |
| Tonio Burgos & Associates, Inc. | 1,883,500.00 | 3.50 |
| Constantinople & Vallone Consulting, LLC. | 1,785,000.00 | 3.32 |
| Law Offices of Claudia Wagner, LLC. | 1,640,650.00 | 3.06 |
| Fried, Frank, Harris, Shriver & Jacobson, LLP. | <u>1,521,124.50</u> | <u>2.83</u> |
| SUB-TOTAL | 23,398,410.18 | 43.58 |
| OTHER LOBBYISTS | <u>30,295,931.62</u> | <u>56.42</u> |
| TOTAL REVENUE | \$ <u>53,694,341.80</u> | <u>100.00</u> %* |

*Total may vary due to rounding

TOP TEN LOBBYISTS FOR 2008

| <u>Lobbyist Name</u> | <u>Revenue</u> | <u>Percentage</u> |
|--|--------------------------------|-------------------------|
| Kasirer Consulting, LLC. | \$ 4,518,656.82 | 7.40 % |
| James F. Capalino & Associates, Inc. | 4,047,234.61 | 6.62 |
| Kramer Levin Naftalis & Frankel, LLP. | 3,616,499.00 | 5.92 |
| Greenberg Traurig | 3,322,488.14 | 5.44 |
| Bolton-St. Johns, LLC. | 2,756,304.00 | 4.51 |
| The Parkside Group, LLC. | 2,520,266.66 | 4.13 |
| Law Offices of Claudia Wagner, LLC. | 2,227,286.84 | 3.65 |
| Fried, Frank, Harris, Shriver & Jacobson, LLP. | 2,055,698.00 | 3.36 |
| Constantinople & Vallone Consulting, LLC. | 2,028,500.00 | 3.32 |
| Herrick, Feinstein, LLP. | <u>1,850,557.54</u> | <u>3.03</u> |
| SUB-TOTAL | 28,943,491.61 | 47.37 |
| OTHER LOBBYISTS | <u>32,152,102.15</u> | <u>52.63</u> |
| TOTAL REVENUE | \$ <u>61,095,593.76</u> | <u>100.00</u> %* |

*Total may vary due to rounding

TOP TEN LOBBYISTS FOR 2007

| <u>Lobbyist Name</u> | <u>Revenue</u> | <u>Percentage</u> |
|--|--------------------------------|--------------------------|
| Kasirer Consulting, LLC. | \$ 3,443,691.00 | 6.31 % |
| Greenberg Traurig | 3,049,128.00 | 5.58 |
| Bolton-St. Johns, Inc. | 2,905,704.00 | 5.32 |
| James F. Capalino & Associates, Inc. | 2,682,006.00 | 4.91 |
| The Parkside Group, LLC. | 2,530,424.00 | 4.63 |
| Law Offices of Claudia Wagner, LLC. | 2,185,659.00 | 4.00 |
| Fried, Frank, Harris, Shriver & Jacobson, LLP. | 1,917,645.00 | 3.51 |
| Constantinople & Vallone Consulting, LLC. | 1,896,500.00 | 3.47 |
| Kramer Levin Naftalis & Frankel, LLP. | 1,848,776.00 | 3.38 |
| Yoswein New York, Inc. | <u>1,575,000.00</u> | <u>2.88</u> |
| SUB-TOTAL | 24,034,533.00 | 43.99 |
| OTHER LOBBYISTS | <u>30,540,414.00</u> | <u>55.96</u> |
| TOTAL REVENUE | \$ <u>54,574,947.00</u> | <u>100.00</u> %* |

*Total may vary due to rounding

TOP TEN LOBBYISTS FOR 2006

| <u>Lobbyist Name</u> | <u>Revenue</u> | <u>Percentage</u> |
|---------------------------------------|--------------------------------|-------------------------|
| Kasirer Consulting | \$ 3,020,645.79 | 6.8 % |
| Bolton St. Johns, Inc. | 2,462,786.00 | 5.6 |
| Parkside Group (The) | 2,358,950.00 | 5.4 |
| Greenberg Traurig | 2,233,433.34 | 5.1 |
| Law Offices of Claudia Wagner | 2,162,200.00 | 4.9 |
| Kramer Levin Naftalis & Frankel, LLP. | 1,857,925.00 | 4.2 |
| Constantinople Consulting | 1,649,500.00 | 3.7 |
| Connelly McLaughlin | 1,418,900.00 | 3.2 |
| Geto & de Milly, Inc. | 1,323,996.00 | 3.0 |
| Yoswein New York, Inc. | <u>1,187,000.00</u> | <u>2.7</u> |
| SUB-TOTAL | 19,675,336.13 | 44.6 |
| OTHER LOBBYISTS | <u>24,342,490.11</u> | <u>55.4</u> |
| TOTAL REVENUE | \$ <u>44,017,826.24</u> | <u>100.00</u> %* |

*Total may vary due to rounding

APPENDIX A

LATE FEES: LOBBYIST 2009 SIXTH PERIODIC/ANNUAL REPORT

| Lobbyist Entity Name | Total |
|--|----------------------------|
| Apple, Inc. | \$ 125.00 |
| Building and Construction Trades Council of Greater NY | \$ 125.00 |
| Carl Andrews & Associates, Inc. | \$ 250.00 |
| CISCO Systems, Inc. | \$ 125.00 |
| Community Housing Improvement Program | \$ 325.00 |
| District Council 37 | \$ 350.00 |
| Eurohypo AG, New York Branch | \$ 425.00 |
| Food Bank For New York City Food For Survival, Inc. | \$ 425.00 |
| Geto & de Milly, Inc. | \$ 4,150.00 |
| Kaye Scholer, LLP. | \$ 350.00 |
| Law Offices of Marvin B. Mitzner | \$ 1,125.00 |
| Local Initiatives Support Corporation | \$ 425.00 |
| Mirram Group, LLC. | \$ 275.00 |
| National Strategies, LLC. | \$ 475.00 |
| New York State Technology Enterprise Corporation | \$ 150.00 |
| Park Strategies, LLC. | \$ 25.00 |
| Patricia Lynch Associates | \$ 425.00 |
| Patrick W. Jones, P.C. | \$ 1,200.00 |
| Planned Parenthood of New York City | \$ 600.00 |
| Teachers College, Columbia University | \$ 350.00 |
| The Coalition for New York City Animals, Inc. | \$ 350.00 |
| Sharon Levy | \$ 6,775.00 |
| Vera Institute of Justice | \$ <u>175.00</u> |
| TOTAL | \$ <u>19,000.00</u> |

APPENDIX B

LATE FEES: 2009 CLIENT ANNUAL REPORT

| Client Entity Name | Total |
|---|--------------|
| 102 Greene Street Realty, LLC. | \$ 4,725.00 |
| 104-02 Northern Blvd, LLC. | \$ 350.00 |
| 1199 SEIU United Healthcare Workers East | \$ 900.00 |
| 129 Beach 116, LLC. | \$ 2,180.00 |
| 141 Lawrence Street, LLC. | \$ 660.00 |
| 161 West 78th Street, LLC. | \$ 440.00 |
| 184 Kent Fee, LLC. | \$ 1,750.00 |
| 216 West 18 Owner, LLC. | \$ 4,875.00 |
| 23-50 Waters Edge, LLC. | \$ 920.00 |
| 319 Bowery NY, LLC. | \$ 2,290.00 |
| 384 Bridge Street, LLC. | \$ 660.00 |
| 3rd Avenue Management | \$ 2,320.00 |
| 415 Greenwich Fee Owner, LLC. | \$ 25.00 |
| 44th and 11th, LLC. | \$ 250.00 |
| 59 Bleecker Realty, LLC. | \$ 420.00 |
| 70th Street Holdings, LLC. | \$ 440.00 |
| 71 Laight Street, LLC. | \$ 360.00 |
| 72 Poplar Street, LLC. | \$ 2,670.00 |
| 77 Commercial Holding, LLC. | \$ 6,850.00 |
| 837 Washington Borrower, LLC. | \$ 2,350.00 |
| Abyssinian Development Corporations | \$ 1,200.00 |
| Advanced Power Systems Int'l, Inc. | \$ 510.00 |
| Albee Development, LLC. | \$ 1,900.00 |
| Allvision, LLC. | \$ 350.00 |
| Alvin Ailey Dance Foundation, Inc. | \$ 150.00 |
| American Stevedoring | \$ 200.00 |
| Assigned Counsel Association of Queens Family Court | \$ 1,080.00 |
| Astoria Energy, LLC. | \$ 75.00 |
| ATARA Vanderbilt | \$ 1,375.00 |
| ATIC NY, LLC. | \$ 440.00 |
| Bayrock Sapir Organization, LLC. | \$ 4,750.00 |
| Bedford Stuyvesant Family Health Center, Inc. | \$ 1,775.00 |
| Big Apple Circus | \$ 325.00 |
| Boricua College | \$ 360.00 |
| Boymelgreen Developers, LLC. | \$ 4,725.00 |
| Bronx Community Pride Center, Inc. | \$ 760.00 |
| Brooklyn Chamber of Commerce | \$ 575.00 |

| | |
|---|-------------|
| Building Industry Assn. of NY City, Inc. | \$ 875.00 |
| Chase Group Alliance | \$ 570.00 |
| Church Street School for Music and Art | \$ 325.00 |
| Citizen Schools, Inc. | \$ 370.00 |
| Clinton Housing Development Co., Inc. | \$ 900.00 |
| Coastal Communication Service, Inc. | \$ 1,075.00 |
| College Point Management, Inc. | \$ 1,890.00 |
| Communications Workers of America, Local 1182 | \$ 1,250.00 |
| Community Health Project, Inc. | \$ 1,475.00 |
| Community Preservation Corporation | \$ 1,975.00 |
| Consortium for Worker Education | \$ 925.00 |
| Crossings Partners, LLC. | \$ 850.00 |
| Crosstown West 28, LLC. | \$ 1,960.00 |
| CSC Holdings, Inc. | \$ 25.00 |
| Culinary Tech Center | \$ 25.00 |
| Derive Technologies, LLC. | \$ 350.00 |
| Dial7 Car & Limousine Service, Inc. | \$ 340.00 |
| Ditmas Park Care Center | \$ 4,950.00 |
| Domenico Pinto | \$ 700.00 |
| D'Onofrio General Contractors, Corp. | \$ 875.00 |
| Downtown Brooklyn Partnership | \$ 875.00 |
| Downtown Re Holdings, LLC. | \$ 1,830.00 |
| eBay, Inc. | \$ 340.00 |
| Edward J. Minskoff Equities, Inc. | \$ 1,825.00 |
| Empire Office | \$ 875.00 |
| Empire State Pride Agenda, Inc. | \$ 5,300.00 |
| Essex Fourth Avenue, LLC. | \$ 250.00 |
| Estate of Fred Stark | \$ 350.00 |
| Family Support Systems Unlimited, Inc. | \$ 1,375.00 |
| Fine Times Management Co., LLC. | \$ 1,100.00 |
| Fleet Right, Inc. | \$ 410.00 |
| Flintlock Construction Services, LLC. | \$ 2,160.00 |
| Flushing Property Management, Inc. | \$ 520.00 |
| Food Craft, Inc. | \$ 490.00 |
| GCJ Holding, LLC. | \$ 5,225.00 |
| GDC Properties, LLC. | \$ 875.00 |
| Global Bay Mobile Technologies, Inc. | \$ 4,425.00 |
| Gordon Law Firm, P.C. | \$ 30.00 |
| Grant & Eisenhofer, P.A. | \$ 950.00 |
| Greene Mercer Holdings, LLC. | \$ 875.00 |
| Harch Realty, LLC. | \$ 5,450.00 |
| Heller Realty | \$ 5,075.00 |
| Housing Partnership Development Corporation | \$ 25.00 |

| | |
|--|-------------|
| Ian D. McKeever | \$ 490.00 |
| JMED Holdings | \$ 1,575.00 |
| Job Path, Inc. | \$ 875.00 |
| JTR College Point, LLC. | \$ 3,325.00 |
| K. Hovnanian Companies Northeast, Inc. | \$ 5,450.00 |
| Katten Muchin Rosenman, LLP. | \$ 1,830.00 |
| Lilly USA, LLC. | \$ 25.00 |
| M & A Realty | \$ 2,060.00 |
| Madison Square Garden, L.P. | \$ 25.00 |
| Magnum Management | \$ 4,700.00 |
| Maison | \$ 780.00 |
| McAfee, Inc. | \$ 2,325.00 |
| MCPJF, Inc. | \$ 10.00 |
| Melrose Credit Union | \$ 850.00 |
| Metro Sixteen Hotel, LLC. | \$ 3,825.00 |
| Midtown Trackage Ventures, LLC. | \$ 850.00 |
| MJM Construction Services, LLC. | \$ 850.00 |
| Morgan B. Realty, LLC. | \$ 850.00 |
| MSR Baku International, Inc. | \$ 25.00 |
| National Grid | \$ 1,250.00 |
| ACORN | \$ 525.00 |
| NY Health Care Home Attendant Agency | \$ 710.00 |
| New York Production Alliance, Inc. | \$ 50.00 |
| NY State Professional Process Servers Assn. | \$ 410.00 |
| New Yorkers for Clean Livable & Safe Streets, Inc. | \$ 1,075.00 |
| NYSARC, Inc., New York City Chapter | \$ 175.00 |
| Ormonde Equities, LLC. | \$ 1,960.00 |
| Pasquale Management, LLC. | \$ 800.00 |
| POKO Partners, LLC. | \$ 1,450.00 |
| Port Parties, Ltd. | \$ 5,450.00 |
| Pratt Holdings (USA), Inc. | \$ 950.00 |
| Prestige Properties & Development, Co. | \$ 875.00 |
| PSCH, Inc. | \$ 710.00 |
| RBG Management Corp. | \$ 350.00 |
| RCN Telecom Services | \$ 25.00 |
| Red Apple Group | \$ 925.00 |
| Refinery, LLC (The) | \$ 1,975.00 |
| Retirees Assn. of DC 37, AFSCME, AFL-CIO | \$ 375.00 |
| Ringmastr, LLC. | \$ 2,030.00 |
| Risingsam Staten Island, LLC. | \$ 3,825.00 |
| Rockaway Development and Revitalization, Corp. | \$ 1,625.00 |
| Ruben Moreno | \$ 700.00 |
| S & L Aerospace Metal, LLC. | \$ 100.00 |

| | |
|---|-----------------------------|
| Say Yes to Education | \$ 525.00 |
| SDS Investments, LLC. | \$ 6,100.00 |
| Second Development Services, Inc. | \$ 2,170.00 |
| Selfhelp Community Services, Inc. | \$ 5,975.00 |
| Shannon Systems, Corp. | \$ 350.00 |
| Simons Foundation | \$ 400.00 |
| Socrates Sculpture Park, Inc. | \$ 1,250.00 |
| South Slope Realty of Brooklyn, Inc. | \$ 5,450.00 |
| Sprint Nextel | \$ 50.00 |
| Sri Chinmoy Centre Church, Inc. | \$ 50.00 |
| St. Michael's Cemetery | \$ 875.00 |
| Sunshine Developmental School, Inc. | \$ 650.00 |
| Technodyne, LLC. | \$ 60.00 |
| The Midori Foundation, Inc. | \$ 25.00 |
| The Mount Sinai Medical Center | \$ 925.00 |
| The Museum of Modern Art | \$ 550.00 |
| The New York Observer, LLC. | \$ 340.00 |
| The Times Square Advertising Coalition Inc. | \$ 710.00 |
| Therapeutic Community Association of NY | \$ 900.00 |
| Torgan Properties Limited | \$ 430.00 |
| Toxin Alerting Building Systems, LLC. | \$ 1,050.00 |
| TransCare New York, Inc. | \$ 90.00 |
| Usha Holdings, LLC. | \$ 1,225.00 |
| V3 Group, LLC. | \$ 340.00 |
| VII West 75th Street Owner, LLC. | \$ 730.00 |
| WDF, Inc. | \$ 370.00 |
| West 129th Street Realty I, LLC. | \$ 925.00 |
| West Broadway 330, LLC. | \$ 1,300.00 |
| Woodhaven Realty, LLC. | \$ 370.00 |
| YL Management, LLC. | \$ 2,390.00 |
| Zipcar | \$ 950.00 |
| TOTAL | \$ <u>214,885.00</u> |

APPENDIX C

CIVIL PENALTIES: 2009 CLIENT ANNUAL REPORT

| Client Entity Name | Total | Civil Penalty^[1] |
|--|----------------------------|------------------------------------|
| 129 Beach 116, LLC. | \$ 2,000.00 | \$ 20,000.00 |
| 216 West 18 Owner, LLC. | \$ 1,500.00 | |
| 319 Bowery NY, LLC. | \$ 2,000.00 | \$ 20,000.00 |
| 77 Commercial Holding, LLC. | \$ 2,000.00 | \$ 20,000.00 |
| Bronx Community Pride Center, Inc. | \$ 2,000.00 | |
| Family Support Systems Unlimited, Inc. | \$ 1,500.00 | |
| Flintlock Construction Services, LLC. | \$ 4,000.00 | |
| GCJ Holding, LLC. | \$ 4,000.00 | |
| Harch Realty, LLC. | \$ 2,000.00 | \$ 20,000.00 |
| K. Hovnanian Companies Northeast, Inc. | \$ 2,000.00 | |
| Port Parties, Ltd. | \$ 2,000.00 | \$ 20,000.00 |
| Selfhelp Community Services, Inc. | \$ 2,000.00 | |
| South Slope Realty of Brooklyn, Inc. | \$ 2,000.00 | |
| YL Management, LLC. | \$ <u>2,000.00</u> | \$ <u>20,000.00</u> |
| TOTAL | \$ <u>31,000.00</u> | \$ <u>120,000.00</u> |

^[1]In imposing the civil penalties, the administrative law judge of the Office of Administrative Trials and Hearings recommends reduced civil penalties to encourage prompt compliance. Typically, a \$20,000 civil fine is reduced to \$2,000 if the respondent files the required report within 60 days of the City Clerk's order, to \$5,000 if the respondent files within 90 days of the order, and to \$10,000 if the respondent files within six months of the order. Any filing later than six months would result in the full \$20,000 penalty being assessed.

APPENDIX D

LATE FEES: LOBBYIST 2010 FIRST PERIODIC REPORT

| Lobbyist Entity Name | Total |
|---|---------------------------|
| American Heart Association | \$ 25.00 |
| Columbia University | \$ 275.00 |
| Community Preservation Corporation | \$ 25.00 |
| Constantinople & Vallone Consulting, LLC. | \$ 400.00 |
| David M. Muchnick d/b/a Sustainable Enterprise | \$ 225.00 |
| Friends of the High Line | \$ 375.00 |
| Galvano & Xanthakis, P.C. | \$ 75.00 |
| IGR Group | \$ 525.00 |
| Jewish Board of Family and Children's Services | \$ 50.00 |
| Lesbian and Gay Community Services Center, Inc. | \$ 25.00 |
| Make the Road New York | \$ 50.00 |
| Mardon Consulting, LLC. | \$ 400.00 |
| National Strategies, LLC. | \$ 200.00 |
| New York City Aids Housing Network | \$ 450.00 |
| Refinery, LLC (The) | \$ 25.00 |
| Rothkrug, Rothkrug & Spector, LLP. | \$ 100.00 |
| The Dryfoos Group | \$ 300.00 |
| The Molinari Group, LLC. | \$ 525.00 |
| Transportation Alternatives | \$ 250.00 |
| Vera Institute of Justice | \$ <u>50.00</u> |
| TOTAL | \$ <u>4,350.00</u> |

APPENDIX E

LATE FEES: LOBBYIST 2010 SECOND PERIODIC REPORT

| Lobbyist Entity Name | Total |
|--|---------------------------|
| Archie H. Spigner | \$ 50.00 |
| Friends of the High Line | \$ 400.00 |
| Holland & Knight, LLP. | \$ 250.00 |
| Law Offices of Marvin B. Mitzner | \$ 50.00 |
| MAD, LLC. | \$ 550.00 |
| Make the Road New York | \$ 25.00 |
| Mardon Consulting, LLC. | \$ 550.00 |
| Mason Tenders' District Council of Greater New York | \$ 250.00 |
| National Association of Social Workers-New York City Chapter | \$ 75.00 |
| New York Building Congress | \$ 25.00 |
| New York City AIDS Housing Network | \$ 100.00 |
| Troutman Sanders, LLP. | \$ <u>50.00</u> |
| TOTAL | \$ <u>2,375.00</u> |

APPENDIX F

LATE FEES: LOBBYIST 2010 THIRD PERIODIC REPORT

| Lobbyist Entity Name | Total |
|------------------------------------|---------------------------|
| Law Offices of Marvin B. Mitzner | \$ 125.00 |
| Make the Road New York | \$ 350.00 |
| New York City AIDS Housing Network | \$ 25.00 |
| Sheldon Lobel, P.C. | \$ <u>1,000.00</u> |
| TOTAL | \$ <u>1,500.00</u> |

APPENDIX G

LATE FEES: LOBBYIST 2010 FOURTH PERIODIC REPORT

| Lobbyist Entity Name | Total |
|---|----------------------------|
| CA, Inc. | \$ 550.00 |
| Chester Law, P.C. | \$ 325.00 |
| Citizens Union of the City of New York | \$ 25.00 |
| Gotham Government Relations, LLC. | \$ 6,325.00 |
| GSP Consulting Group, Inc. | \$ 350.00 |
| Greenberg Traurig | \$ 125.00 |
| Hotel, Restaurant & Club Employees & Bartenders Union Local 6 | \$ 425.00 |
| Laborers Eastern Region Organizing Fund | \$ 675.00 |
| Make the Road New York | \$ 150.00 |
| Museum of the City of New York | \$ 525.00 |
| National Employment Law Project, Inc. | \$ 525.00 |
| New York Hotel Trades Council | \$ 425.00 |
| New York State Association for Affordable Housing | \$ 25.00 |
| Safe Healthy Affordable Energy in New York, Inc. | \$ 725.00 |
| Sanctuary for Families, Inc. | \$ 25.00 |
| The Campaign for Fiscal Equity, Inc. | \$ 50.00 |
| Thomas Kelly | \$ 50.00 |
| Troutman Sanders, LLP. | \$ 50.00 |
| Tully Construction Co., Inc. | \$ 25.00 |
| Working Families Organization | \$ <u>25.00</u> |
| TOTAL | \$ <u>11,400.00</u> |

APPENDIX H

LATE FEES: LOBBYIST 2010 FIFTH PERIODIC REPORT

| Lobbyist Entity Name | Total |
|---|---------------------------|
| Citizens Union of the City of New York | \$ 25.00 |
| Friends of the High Line | \$ 100.00 |
| Geto & de Milly, Inc. | \$ 75.00 |
| Greenberg Traurig | \$ 125.00 |
| Holland & Knight, LLP. | \$ 425.00 |
| Hotel, Restaurant & Club Employees & Bartenders Union Local 6 | \$ 525.00 |
| Manatt, Phelps & Phillips, LLP. | \$ 50.00 |
| Mirram Group, LLC. | \$ 425.00 |
| National Strategies, LLC. | \$ 450.00 |
| New York City AIDS Housing Network | \$ 425.00 |
| New York Hotel Trades Council | \$ 525.00 |
| New Yorkers for Clean Livable & Safe Streets, Inc. | \$ 50.00 |
| Robert A. Ungar Associates, Inc. | \$ <u>450.00</u> |
| TOTAL | \$ <u>3,650.00</u> |