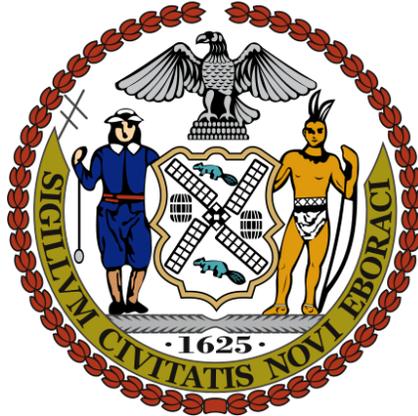


Office of the City Clerk



Clerk of the Council

Office of the City Clerk

Clerk of the Council

Lobbying Bureau

Annual Report

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March 1, 2015

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Introduction

This is the ninth 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 city clerk and outcomes thereof; (v) compliance programs developed and implemented for lobbyists and clients; (vi) the types and number of requests for assistance related to the lobbying law received by the city clerk, and, as soon as practicable, the average response and resolution times of such requests; (vii) the number of lobbyists filing statements of registration pursuant to section 3-213 of this subchapter for the first time; (viii) the subject matter of lobbying activity most frequently reported by lobbyists; (ix) the lobbying targets most frequently reported by lobbyists; (x) the lobbyists that received the highest compensation; and (xi) 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 the above listed section of New York City’s lobbying law (“Lobbying Law”) for calendar year 2014.

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

In 2014, the Lobbying Bureau received two complaints from the public regarding possible violations of the Lobbying Law. The two complaints are the subject of ongoing investigations which are unresolved as of the date of this report. In addition, a complaint from

2013 remains unresolved as of the date of this report. All aspects of an investigation are confidential until it is complete and findings are issued.

(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 Administrative Code §3-223 *et seq.* Pursuant to Administrative Code §3-223(a), the penalties for knowing and willful violations of the Lobbying Law include: a civil penalty not to exceed \$30,000; the issuance of a cease and desist order; or both a civil penalty and a cease and desist order. Pursuant to Administrative Code §3-223(b), violators are subject to a civil penalty not to exceed \$30,000 for violating a cease and desist order or for violating the proscription against contingency agreements provided in the Lobbying Law. In addition to penalties for the late filing of any statement or report, pursuant to Administrative Code §3-223(c), violators are subject to a civil penalty not to exceed \$20,000 if a late filing is not cured within 14 business days from the date of the mailing of a notice to cure such violation. For any violation of the Lobbying Law not covered in the foregoing provisions, pursuant to Administrative Code §3-223(d), violators are subject to a civil penalty not to exceed \$20,000. Listed below are late filing penalties¹ incurred for each reporting period as of February 27, 2015.

2013 Annual Reports (Client Annual Reports and Sixth Periodic Reports)

The Lobbying Bureau identified 157 filers² that failed to timely file an aggregate of 174 annual reports³ for 2013. Thirty-six late reports were attributable to 19 Lobbyists,⁴ who incurred an aggregate of \$2,250 in late filing penalties. (See Appendix A attached hereto.) This represents a 3.45% increase in the amount of late filing penalties incurred for Lobbyist annual reports in 2013 as compared to 2012. The remaining 138 late 2013 annual reports were

¹The late filing penalties contained in this report are restricted to penalties resulting from the late filing of 2013 annual reports (client annual reports and sixth periodic reports) and 2014 filings including: statements of registration, amended statements of registration, first through fifth periodic reports and first through fifth periodic fundraising and political consulting reports.

²As used throughout this report, “filers” refers to a lobbyist entity, a lobbyist/client filer (an entity whose employees lobby on its behalf) and a client unless otherwise stated.

³The Lobbying Bureau has historically treated the sixth periodic report as equivalent to an annual report for lobbyists.

⁴As used throughout this report, “Lobbyists” refers to lobbying firms as well as lobbyist/client filers.

attributable to clients who each filed a late report and consequently incurred an aggregate of \$18,115 in late filing penalties. (See Appendix B attached hereto.) This represents a 5.3% decrease in the amount of late filing penalties incurred for client annual reports in 2013 as compared to 2012.

No civil penalties were warranted for the late filing of 2013 annual reports.

2014 Statements of Registration and Periodic Reports

The Lobbying Bureau identified 73 Lobbyists who failed to timely file an aggregate of 119 statements of registration. For this failure, such Lobbyists incurred \$23,600 in aggregate late filing penalties. (See Appendix C attached hereto.)

The Lobbying Bureau identified 11 Lobbyists who failed to timely file an aggregate of 20 amended statements of registration. For this failure, such Lobbyists incurred \$13,250 in aggregate late filing penalties. (See Appendix D attached hereto.)

The Lobbying Bureau identified 35 Lobbyists who failed to timely file an aggregate of 42 first periodic reports. For this failure, such Lobbyists incurred \$4,675 in aggregate late filing penalties. (See Appendix E attached hereto.)

The Lobbying Bureau identified 24 Lobbyists who failed to timely file an aggregate of 29 second periodic reports. For this failure, such Lobbyists incurred \$3,525 in aggregate late filing penalties. (See Appendix F attached hereto.)

The Lobbying Bureau identified 16 Lobbyists who failed to timely file an aggregate of 18 third periodic reports. For this failure, such Lobbyists incurred \$3,275 in aggregate late filing penalties. (See Appendix G attached hereto.)

The Lobbying Bureau identified 9 Lobbyists who failed to timely file an aggregate of 12 fourth periodic reports. For this failure, such Lobbyists incurred \$400 in aggregate late filing penalties. (See Appendix H attached hereto.)

The Lobbying Bureau identified 20 Lobbyists who failed to timely file an aggregate of 22 fifth periodic reports. For this failure, such Lobbyists incurred \$4,525 in aggregate late filing penalties. (See Appendix I attached hereto.)

No civil penalties were warranted for the late filings detailed in the preceding paragraphs.

2014 Fundraising and Political Consulting Reports

In total, the Lobbying Bureau identified 3 Lobbyists who failed to timely file a total of 3 fundraising and political consulting reports. For this failure, such Lobbyists incurred \$400 in aggregate late filing penalties. (See Appendix J attached hereto.)

No civil penalties were warranted for the late filing of fundraising and political consulting reports.

2014 Late Termination Notices

In total, the Lobbying Bureau identified 15 clients who failed to timely file termination notices. For this failure, such clients incurred an aggregate of \$11,025 in civil penalties. (See Appendix K attached hereto.)

2014 Incorrect Reports

In total, the Lobbying Bureau identified 2 Lobbyists who failed to timely correct lobbying reports. For this failure, such Lobbyists incurred an aggregate of \$1,375 in civil penalties. (See Appendix L attached hereto.)

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

None.

(iv) Number of random audits conducted by the city clerk and outcomes thereof.

The Lobbying Bureau audited 45 entities in 2014. The audits encompassed an examination of all filings made in 2013 by randomly selected Lobbyists to determine if such filings were complete, accurate, timely filed and otherwise in compliance with the Lobbying Law. The audits resulted in the issuance of approximately 75 findings and 75 required actions. Samples of audit findings included: reporting incorrect compensation and expenses; failing to file a termination notice; reporting incorrect compensation; failing to file timely reports; failing to properly describe subject details; missing target information; registering a client in the wrong

name; and failing to list lobbying employees. Examples of required actions included: amending reports; providing an affidavit to corroborate financial information; and filing a termination notice.

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

The Lobbying Bureau works with Lobbyists and clients to improve compliance with the Lobbying Law in a variety of ways including training, outreach and other educational efforts. In addition, the Lobbying Bureau receives numerous telephone and e-mail inquiries throughout the year including requests for assistance with filing reports, general and specific inquiries with respect to requirements of the Lobbying Law and technical assistance with e-Lobbyist. See (vi) *The types and number of requests for assistance related to the lobbying law received by the city clerk* for further information. Responding to these questions and providing individual assistance and guidance on all aspects of the Lobbying Law and e-Lobbyist continues to be an integral part of the Lobbying Bureau's daily functions.

Training

New York Advocacy Association

In 2014, the Lobbying Bureau was invited to participate in the New York Advocacy Association's program titled "2014 Update on the Lobbying Laws & Compliance in New York State and New York City" held on March 14, 2014 at the Friars Club. Deputy Counsel gave a presentation on changes to the Lobbying Law as outlined in Local Law 129 of 2013 and fielded questions from attendees. A representative from the New York State Joint Commission on Public Ethics ("JCOPE") also participated in the event.

Conflicts of Interest Board Annual Meeting

In 2014, the Lobbying Bureau was invited to participate in the New York City Conflicts of Interest Board's Annual Ethics seminar held on May 20, 2014 at New York Law School. Deputy Counsel represented the Lobbying Bureau on a panel that discussed the New York City and State lobbying laws from both a regulator's and a practitioner's point of view.

Local Law 129 of 2013 Training

To help lobbyists prepare for the changes to the Lobbying Law, the Lobbying Bureau held training sessions on Local Law 129 of 2013 at its office. Attorney participants received 1.5 continuing legal education (“CLE”) credit hours in the Professional Practice category for attending. The training sessions took place on the following dates: (1) April 29, 2014; (2) April 30, 2014; (3) May 7, 2014; and (4) May 8, 2014. The training sessions included a detailed summary of the changes, a review of important announcements and an overview of frequent e-Lobbyist issues.

First-Time Filer Training

The Lobbying Bureau continued to hold small group training sessions for first-time e-Lobbyist enrollees at its office. Attorney participants received 1.5 CLE credit hours in the Professional Practice category for attending. The training sessions took place on the following dates: (1) October 21, 2014 (lobbyist filers); (2) October 23, 2014 (lobbyist/client filers); and (3) October 28, 2014 (lobbyist/client filers). Attendees included employees of investment managers, real estate companies and not-for-profit organizations. The training sessions included a detailed overview of the requirements of the Lobbying Law and provided in-depth instructions on filing reports in e-Lobbyist. The Lobbying Bureau will continue to offer these small group training sessions to first-time enrollees in 2015.

Outreach and Education

Notification to Recipients of Discretionary Funds under the City Council Fiscal Year 2014 Adopted Expense Budget - Schedule C

To educate entities about the Lobbying Law and ensure compliance, the Lobbying Bureau sent letters to entities that received discretionary funding from the City Council in fiscal year 2014 but had not filed a statement of registration with the Lobbying Bureau. In total, over 1,900 letters were sent. The letter informed entities of the Lobbying Law and encouraged them to review their activities and related expenses to determine whether or not they were required to comply. Enclosed with the letter was a summary of the Lobbying Law. The Lobbying Bureau received several inquiries as a result of this correspondence.

Comparison of New York City and New York State Lobbying Reports

The Lobbying Bureau continued its efforts to uncover unreported City lobbying in 2014 by comparing more than 7,900 statements of registration filed with JCOPE with statements of registration filed with the Lobbying Bureau as of September 9, 2014.

It was determined that in total, 22 entities reported lobbying City targets with JCOPE but did not file a statement of registration with the Lobbying Bureau. As a result, the Lobbying Bureau sent letters to the entities. It was determined that these entities were not required to file statements of registration in 2014 for various reasons including: (1) the inadvertent listing of a City target on the JCOPE statement of registration because no City lobbying took place; (2) the entity did not exceed the \$5,000 reporting threshold for City lobbying; or (3) the entity filed a statement of registration with the Lobbying Bureau under an incorrect legal entity name. The entities that were not required to file statements of registration with the Lobbying Bureau submitted affidavits and supporting documentation to justify this determination. The entities that filed under an incorrect legal entity name changed the enrollment name and amended all 2014 filings to reflect the correct name.

Assistance to Department of Cultural Affairs (“DCA”) Grant Recipients

In 2012, at the request of the Mayor’s Office of Contract Services, the DCA added a lobbying certification to the compliance documentation of its grant agreements. As a result, all organizations that received a grant from the DCA, through member item funding, were required to certify that the organization was in compliance with City and State Lobbying Laws. In 2014, the Lobbying Bureau continued to assist applicants with the DCA certification and received numerous telephone calls and email inquiries from organizations seeking assistance in completing the lobbying certification. The Deputy Counsel assisted organizations in determining whether or not they were required to file a statement of registration and in completing the certification. Consequently, several organizations filed statements of registration on e-Lobbyist.

Other Compliance Efforts

The Lobbying Bureau routinely examines statements and reports filed on e-Lobbyist to determine the accuracy of the information contained in the filings. Among the areas included in

such examination is a review of the following items: start and end dates of lobbying; entity names listed on statements of registration; and compensation listed on periodic reports.

Date Changes

In 2014, the Lobbying Bureau discovered approximately 73 issues with start and end dates in Lobbyists' filings by comparing dates on the statements of registration with the retainer agreements. Each Lobbyist was notified of the discrepancy and instructed to resolve the discrepancy by amending either the date on the statement of registration or the date on the corresponding retainer agreement.

Name Changes

In order to resolve name discrepancies, the Lobbying Bureau cross-checked client names listed on the statements of registration, and corresponding retainer agreements in e-Lobbyist, with the New York State Department of State database. The Lobbying Bureau discovered about 101 issues involving entity names. This represents a 28% decrease in name issues compared to 2013. The Lobbying Bureau instructed the entities to correct their legal entity name by one of the following means: (1) requesting a change of the enrollment name; (2) filing an amended statement of registration with an amended retainer listing the correct legal entity name; or (3) requiring both a name change and submission of an amended retainer by the entity.

Compensation Discrepancies

In order to resolve compensation discrepancies, the Lobbying Bureau cross-checked the compensation listed in the periodic reports with the compensation listed in the corresponding retainer agreements. The Lobbying Bureau discovered over 170 instances where the compensation amount listed in a periodic report did not match the payments listed in the retainer agreement. This represents a 23% decrease in compensation discrepancies compared to 2013. The Lobbyists were notified of the discrepancy and instructed to resolve it by either amending the compensation reported or by providing a letter justifying the discrepancy.

(vi) The types and number of requests for assistance related to the lobbying law received by the city clerk.

In 2014, the Lobbying Bureau recorded its activities and the types and number of requests received. From January 1, 2014 through December 31, 2014, the Lobbying Bureau's time was allocated as follows: compliance 54%, audits 18%, enforcement 11%, e-Lobbyist assistance 9%, investigations 4% and administration 4% (page 40). In addition, the Lobbying Bureau received approximately 1,542 telephone calls (pages 41-42) and 2,868 email requests (pages 43-44). The majority of telephone calls involved filers requesting technical assistance with completing a filing on e-Lobbyist. The majority of emails involved general and specific compliance related inquiries with respect to the Lobbying Law.

(vii) The number of lobbyists filing statements of registration pursuant to § 3-213 of the Administrative Code for the first time.

In 2014, about 65 Lobbyists filed statements of registration for the first time. Seventeen of these entities are lobbyists that filed statements of registration on behalf of clients and the remaining 48 entities filed as lobbyist/client filers. The 48 lobbyist/client filers' industries were reported as follows: (1) 21 financial service companies; (2) 17 not-for-profits and/or community service organizations; and (3) 10 unions, consultants, construction firms and education companies.

(viii) The subject matter of lobbying activity most frequently reported by lobbyists and lobbyist/client filers.

See *Analysis of Lobbying Data* below and charts on page 34-35.

(ix) The lobbying targets most frequently reported by lobbyists and lobbyist/client filers.

See *Analysis of Lobbying Data* below and charts on page 36-38.

(x) The lobbyists and lobbyist/client filers that reported the highest compensation.

See *Analysis of Lobbying Data* below and charts on pages 13-20 and 23-25.

(xi) Other information and analysis.

Local Law 129 of 2013

Local Law 129 of 2013 took effect in 2014. It included many important changes to the Lobbying Law. On January 1, 2014, the reporting threshold increased from \$2,000 to \$5,000. The threshold increased to \$10,000 for architects, engineers and landscape artists. To prepare for the threshold increase, the Lobbying Bureau sent an announcement to all Lobbyists notifying them of the changes.

Most provisions of Local Law 129 of 2013 took effect on May 16, 2014, including the restoration of the daily late filing penalties of \$10 per day for first-time filers and \$25 per day for repeat filers. Furthermore, pursuant to Local Law 129 of 2013, the definition of “lobbying” was broadened to include additional activities such as Council oversight hearings and Mayoral Executive Orders. In order for filers to report such activities, the Lobbying Bureau worked with the Department of Information Technology and Telecommunications to revise the subject categories list.

Advisory Opinions

In response to a written request inquiring whether testimony at a City Council committee hearing constitutes lobbying, the City Clerk opined that an officer or employee of a lobbying firm who testifies on behalf of the firm’s client at a public hearing is not engaged in lobbying. It was determined that such testimony is made in response to a request for information by the committee and is therefore excluded from the definition of lobbying. See Advisory Opinion 2014-1 available at: <http://www.cityclerk.nyc.gov/html/lobbying/2014-1.shtml>.

In response to a written request inquiring whether or not attempts to persuade City Council members to vote for a particular candidate for Speaker of the Council constitutes lobbying, the City Clerk opined that such conduct does not constitute lobbying because it is not a

defined lobbying activity in the Administrative Code. See Advisory Opinion 2014-2 available at: <http://www.cityclerk.nyc.gov/html/lobbying/2014-2.shtml>.

Number of Reporting Lobbyists and Clients

As of February 26, 2015, approximately 1,288 Lobbyists and 3,289 clients were enrolled in e-Lobbyist. In 2014, approximately 2,202 statements of registration were filed on e-Lobbyist.

Outlook For 2015

The Lobbying Bureau will promulgate revised rules consistent with Local Law 129 of 2013. Examples of the revised rules will include procedures for: a waiver or reduction in late fines; enrolling in e-Lobbyist; co-lobbyist and third-party beneficiary filings; the amnesty program; filing extensions; and deactivating statements of registration and inadvertent filings. The new rules will also outline: requirements for retainers and authorizations; criteria for advisory opinions; the roles of principal officer, designee and compliance officer; and enforcement procedures. The Lobbying Bureau will also promulgate a set of rules regarding statutory exclusions which apply to architects and engineers.

Many changes to e-Lobbyist are anticipated in 2015. These changes are the consequence of the enactment of Local Law 129 of 2013 and the City Clerk's goal of improving the functionality and user-friendliness of e-Lobbyist. Some of these changes will include: text changes to screens and the user-guide; adding more drop-downs to replace free-form fields; allowing electronic credit card payments; editing the automatic e-Lobbyist emails; and allowing lobbyist/client filers whose total compensation is between \$5,000 and \$10,000 to file two periodic reports per year instead of six.

In addition, to ensure the integrity of the database, the Lobbying Bureau will remain focused on confirming the veracity of the reports filed by Lobbyists and clients. Lobbying Bureau staff will continue to check information contained in the statements of registration and periodic reports to verify the accuracy of the filings and work with all filers to resolve any discrepancies. The Lobbying Bureau will continue to send announcements to notify filers of changes to e-Lobbyist, changes in procedure and any consistent trends of noncompliance. Furthermore, the Lobbying Bureau will continue to fulfill its statutory duties including conducting random audits and investigating unreported lobbying.

*Analysis of Lobbying Data*⁵

Each year the Lobbying Bureau strives to expand its analysis of the available data and report on various macro and micro trends in City lobbying. In addition, the Lobbying Bureau receives many requests for information about City lobbying activity from good government groups and government watchdog organizations. In order to facilitate the transparency goals of the Lobbying Law, and in response to requests for information, lobbying data comparisons and analyses are included in the subsequent pages of this report. The data includes: top ten list of lobbyists based on total cumulative compensation (pages 14-21); top lobbyist ranked by number of clients registered (pages 22-23); and top lobbyist ranked by number of employees listed on statements of registration (page 32). This year's data shows the largest increase, in both compensation reported by lobbyists (15%) and the number of clients registered (17%), in several years. In addition, for the first time in at least 8 years, a different lobbyist holds the top rank for compensation reported in 2014 (pages 14-15). The data also shows that lobbying firms continue to report significantly higher compensation for lobbying than lobbyist/client filers (page 27).

The analysis of lobbyist/client filers includes top ten lobbyist/client filers ranked by total cumulative compensation paid to all reported employees (pages 24-25) and top lobbyist/client filers ranked by number of reported employees (page 33). The analyses also include information regarding clients including: top clients ranked by total compensation paid to all retained lobbying firms (pages 28-29); top clients ranked by number of lobbying firms retained (page 30); the top ten lobbying contracts (page 31), and for the first time, a breakdown of registered client's industries (page 34). Consistent with the 2013 Annual Report, the top activities by subject category (pages 35-36) and top target agencies (pages 37-38) reported by lobbyists shows that the budget continues to be the top lobbying subject and the Council continues to be the top lobbying target. Lastly, an analysis of the data reported in the fundraising reports is included below (page 40).

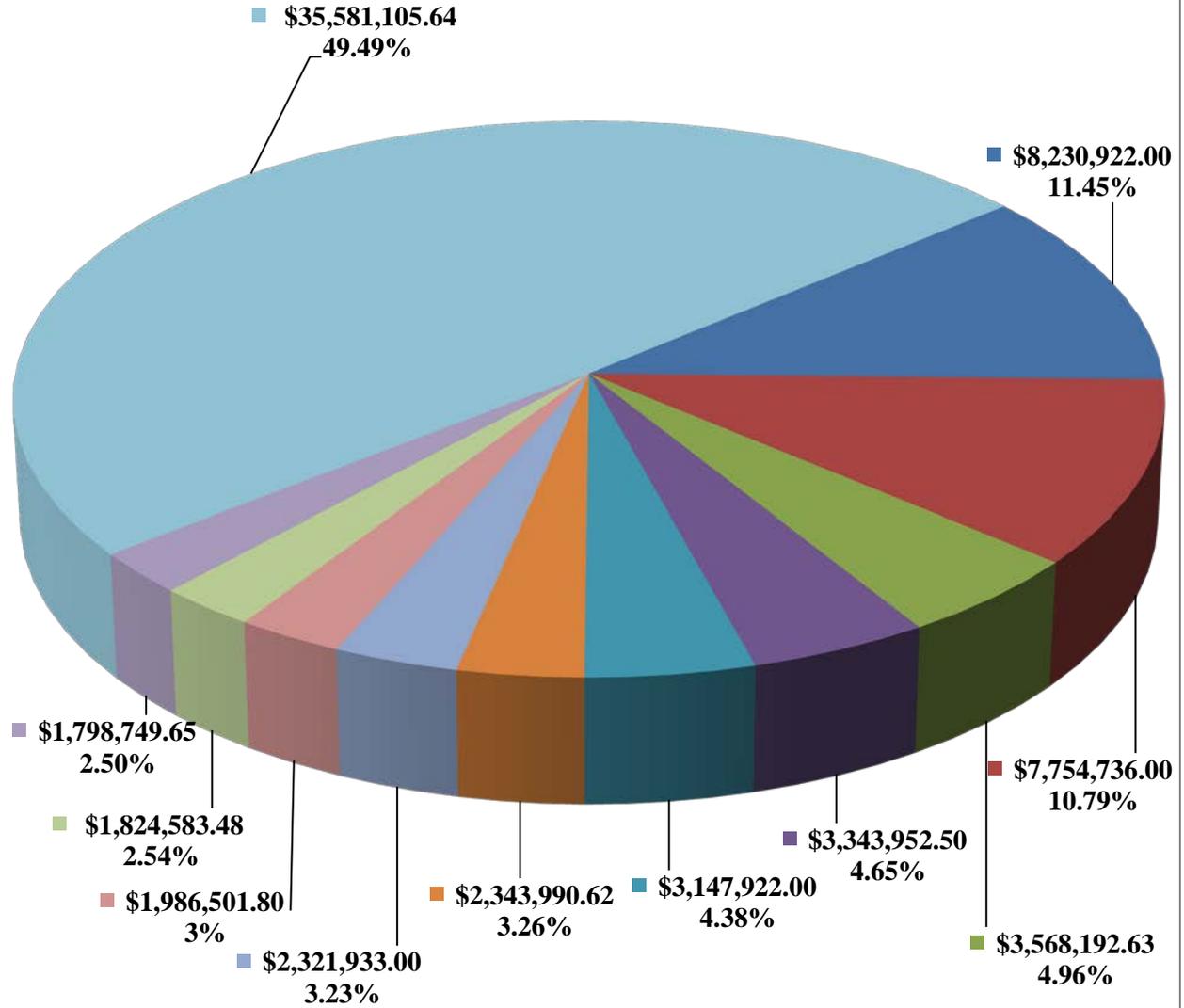
⁵Please note, all data contained in the following charts and graphs is self-reported. All data is subject to change since filers can amend filings at any time.

TOP TEN LOBBYISTS OF 2014 BY COMPENSATION⁶

<u>Lobbyist</u>	<u>Total Compensation Reported</u>
James F. Capalino & Associates, Inc.	\$8,230,922.00
Kasirer Consulting LLC	\$7,754,736.00
Bolton-St. Johns, LLC	\$3,568,192.63
Pitta Bishop Del Giorno & Giblin LLC	\$3,343,952.50
Constantinople & Vallone Consulting LLC	\$3,147,922.00
Manatt, Phelps & Phillips, LLP	\$2,343,990.62
Davidoff Hutcher & Citron LLP	\$2,321,933.00
Greenberg Traurig, LLP	\$1,986,501.80
Mercury Public Affairs, LLC	\$1,824,583.48
Parkside Group, LLC (The)	<u>\$1,798,749.65</u>
SUB-TOTAL	\$36,321,483.68
OTHER LOBBYISTS	<u>\$35,581,105.64</u>
TOTAL COMPENSATION	<u>\$71,902,589.32</u>

⁶Data is based on the cumulative compensation reported by the lobbyist in its 2014 periodic reports (period one through six) and is subject to change.

TOP TEN LOBBYISTS IN 2014 BY COMPENSATION



- James F. Capalino & Associates, Inc.
- Kasirer Consulting LLC
- Bolton-St. Johns, LLC
- Pitta Bishop Del Giorno & Giblin LLC
- Constantinople & Vallone Consulting LLC
- Manatt, Phelps & Phillips, LLP
- Davidoff Hutcher & Citron LLP
- Greenberg Traurig, LLP
- Mercury Public Affiars, LLC
- Parkside Group, LLC (The)
- Other

TOP TEN LOBBYISTS OF 2013 BY COMPENSATION⁷

<u>Lobbyist</u>	<u>Total Compensation Reported</u>
Kasirer Consulting LLC	\$6,618,302.00
James F. Capalino & Associates, Inc.	\$4,670,526.50
Bolton-St. Johns, LLC	\$2,834,637.60
Constantinople & Vallone Consulting LLC	\$2,661,992.00
Greenberg Traurig, LLP	\$2,578,733.55
Manatt, Phelps & Phillips, LLP	\$2,238,197.00
Pitta Bishop Del Giorno & Giblin LLC	\$2,101,864.89
Davidoff Hutcher & Citron LLP	\$2,035,683.25
Kramer Levin Naftalis & Frankel LLP	\$1,742,264.60
Parkside Group, LLC (The)	<u>\$1,658,500.00</u>
SUB-TOTAL	\$29,140,701.39
OTHER LOBBYISTS	<u>\$33,541,827.48</u>
TOTAL COMPENSATION	<u>\$62,682,528.87</u>

⁷Data is based on the cumulative compensation reported by the lobbyist in its periodic reports as reported in the Lobbying Bureau Annual Report dated March 1, 2014.

TOP TEN LOBBYISTS OF 2012 BY COMPENSATION⁸

<u>Lobbyist</u>	<u>Total Compensation Reported</u>
Kasirer Consulting LLC	\$6,059,486.00
James F. Capalino & Associates, Inc.	\$3,317,406.57
Constantinople & Vallone Consulting LLC	\$2,507,500.00
Bolton-St. Johns, LLC	\$2,390,266.00
Greenberg Traurig, LLP	\$2,334,294.93
Manatt, Phelps & Phillips, LLP	\$2,067,481.00
Fried, Frank, Harris, Shriver & Jacobson LLP	\$1,971,509.00
Kramer Levin Naftalis & Frankel LLP	\$1,889,915.98
Parkside Group, LLC (The)	\$1,729,036.00
Davidoff Hutcher & Citron LLP	<u>\$1,629,390.00</u>
SUB-TOTAL	\$25,896,285.48
OTHER LOBBYISTS	<u>\$36,163,131.72</u>
TOTAL COMPENSATION	<u>\$62,059,416.20</u>

⁸Data is based on the cumulative compensation reported by the lobbyist in its periodic reports as reported in the Lobbying Bureau Annual Report dated March 1, 2013.

TOP TEN LOBBYISTS OF 2011 BY COMPENSATION⁹

<u>Lobbyist</u>	<u>Total Compensation Reported</u>
Kasirer Consulting LLC	\$4,874,640.00
James F. Capalino & Associates, Inc.	\$2,757,063.00
Constantinople & Vallone Consulting LLC	\$2,557,500.00
Bolton-St. Johns, LLC	\$2,275,226.00
Manatt, Phelps & Phillips, LLP	\$2,159,963.50
Greenberg Traurig, LLP	\$2,076,238.05
Parkside Group, LLC (The)	\$1,677,833.30
Tonio Burgos & Associates, Inc.	\$1,367,000.00
Pitta Bishop Del Giorno & Giblin LLC	\$1,344,267.54
Davidoff Malito & Hutcher LLP	<u>\$1,295,704.50</u>
SUB-TOTAL	\$22,385,435.89
OTHER LOBBYISTS	<u>\$30,871,736.86</u>
TOTAL COMPENSATION	<u>\$53,257,172.75</u>

⁹Data is based on the cumulative compensation reported by the lobbyist in its periodic reports as reported in the Lobbying Bureau Annual Report dated March 1, 2012.

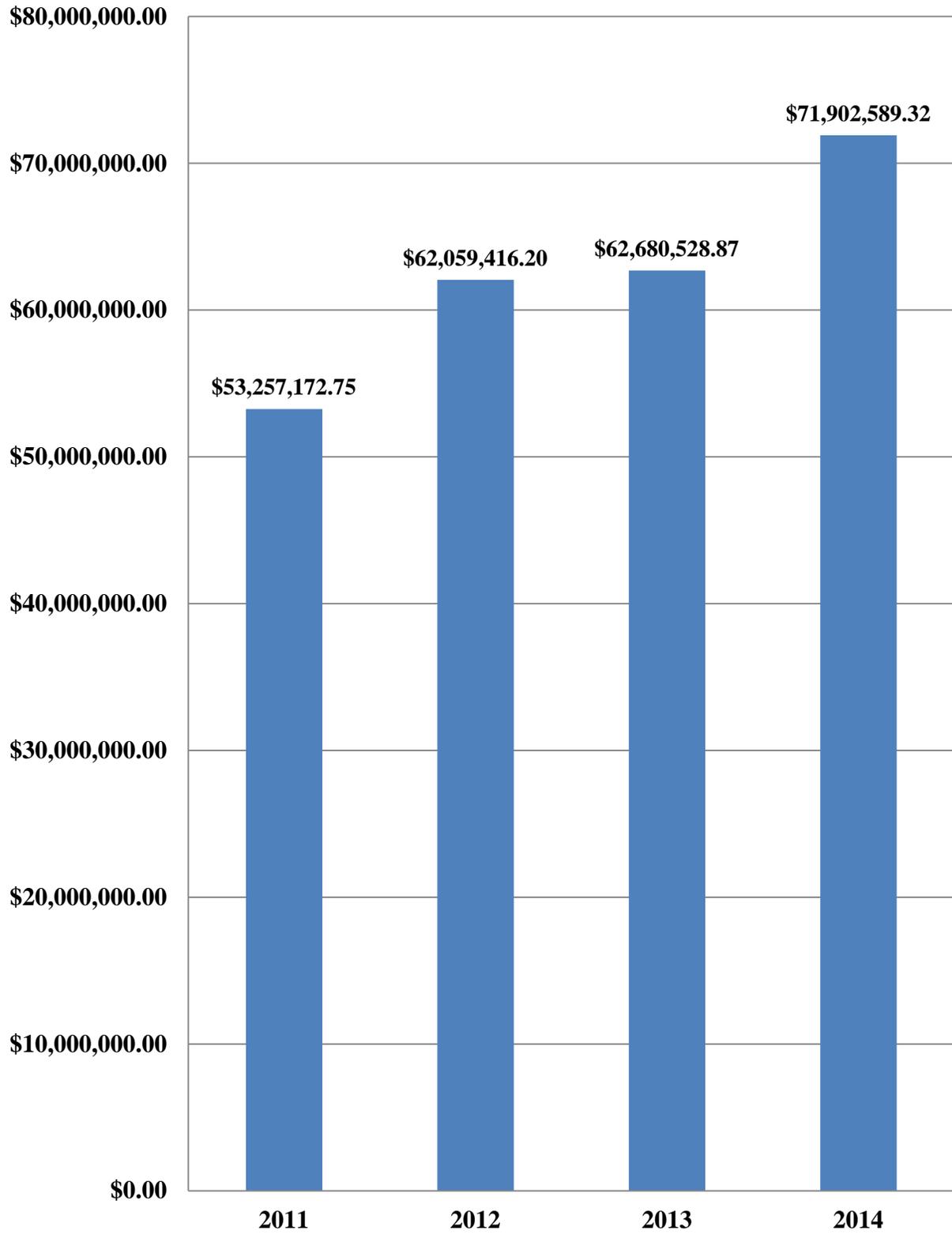
TOP TEN LOBBYISTS OF 2010 BY COMPENSATION¹⁰

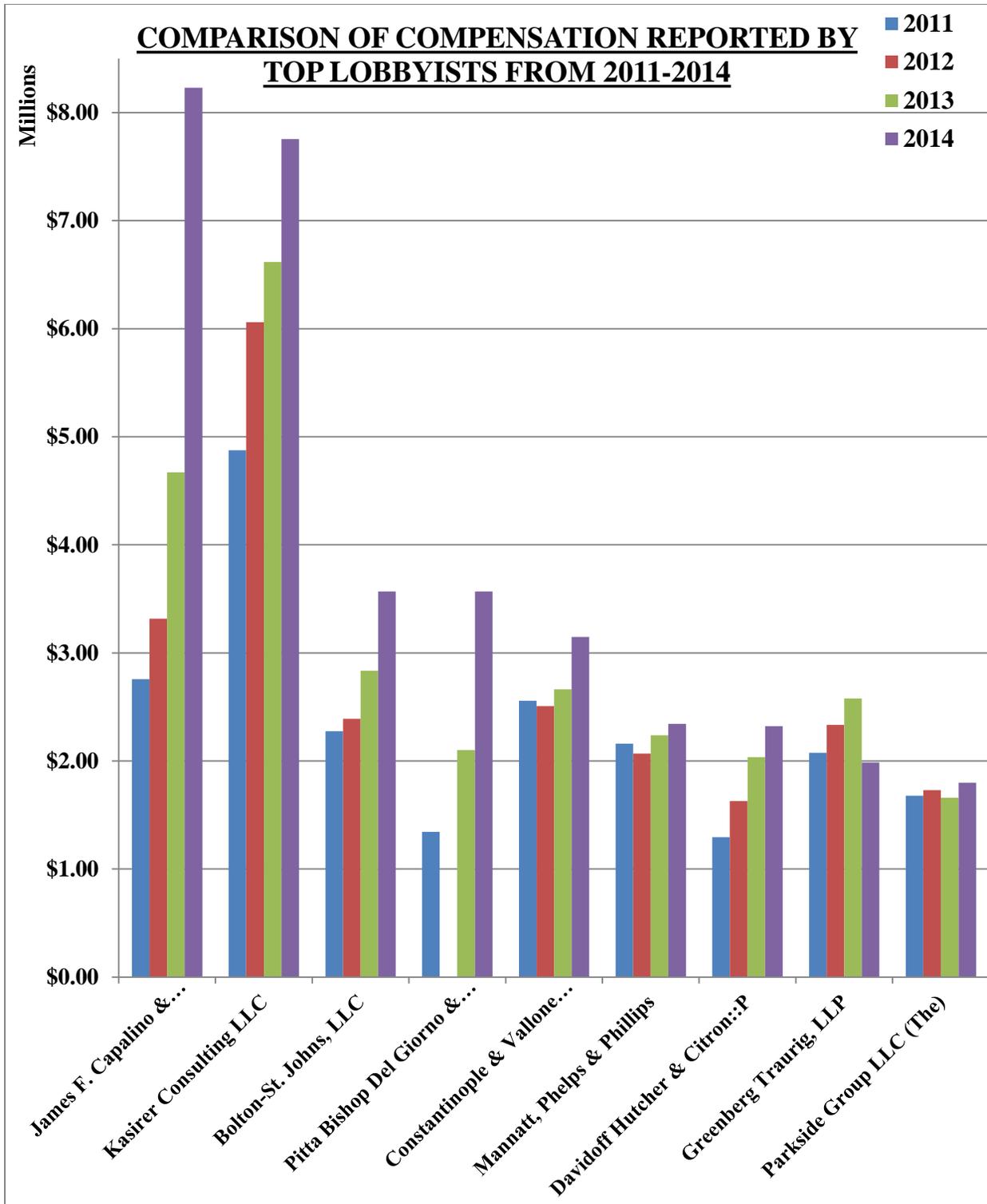
<u>Lobbyist</u>	<u>Total Compensation Reported</u>
Kasirer Consulting LLC	\$4,204,507.00
James F. Capalino & Associates, Inc.	\$2,352,539.00
Constantinople & Vallone Consulting LLC	\$2,303,500.00
Bolton-St. Johns, LLC	\$2,151,104.00
Kramer Levin Naftalis & Frankel LLP	\$1,970,719.00
Greenberg Traurig, LLP	\$1,927,216.00
Bryan Cave LLP	\$1,761,156.00
Parkside Group, LLC (The)	\$1,594,000.00
Tonio Burgos & Associates, Inc.	\$1,360,500.00
Law Offices of Claudia Wagner LLC	<u>\$1,318,300.00</u>
SUB-TOTAL	\$20,943,541.00
OTHER LOBBYISTS	<u>\$28,376,876.00</u>
TOTAL COMPENSATION	<u>\$49,320,417.00*</u>

*Total may vary due to rounding.

¹⁰Data is based on the cumulative compensation reported by the lobbyist in its periodic reports as reported in the Lobbying Bureau Annual Report dated March 1, 2011.

COMPARISON OF COMPENSATION REPORTED BY LOBBYISTS
FROM 2010-2014





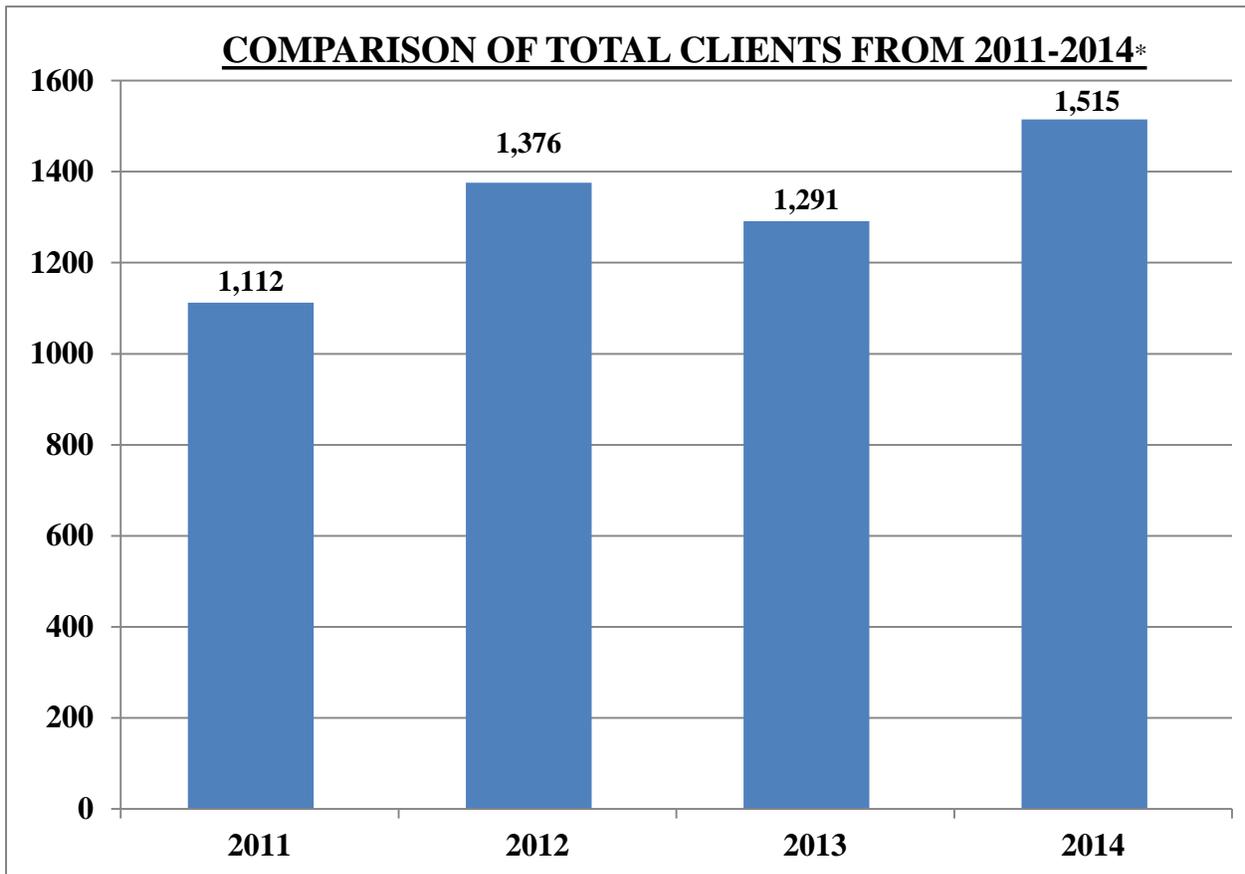
*Total may vary due to rounding.

**All compensation is as reported in previous annual reports.

***If a year is missing, the lobbying firm was not listed as a top ten lobbyist for that year.

TOP TEN LOBBYISTS OF 2014 BY NUMBER OF CLIENTS¹¹ REGISTERED¹²

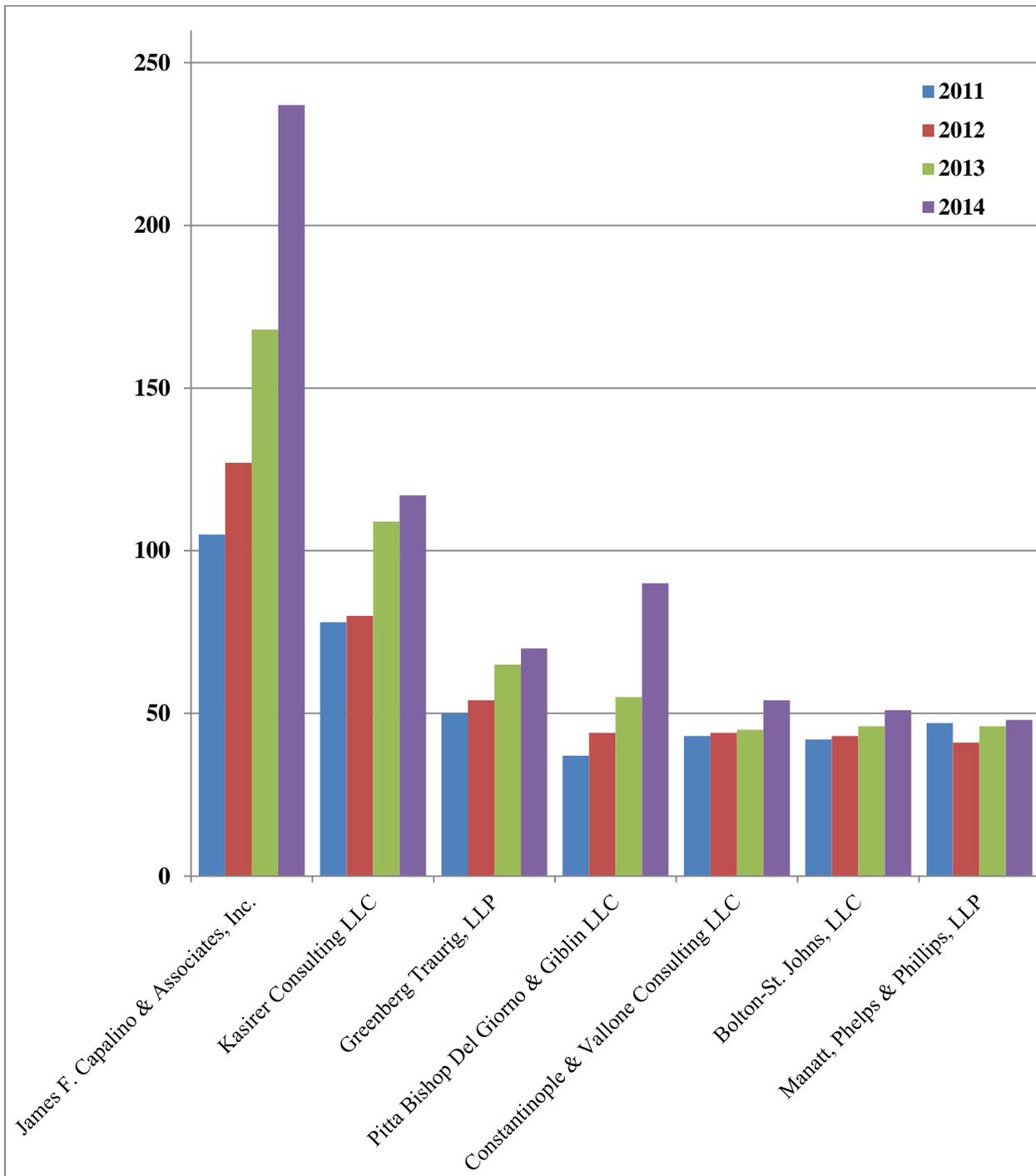
<u>Lobbyist</u>	<u>Number of Clients Registered</u>
James F. Capalino & Associates, Inc.	237
Kasirer Consulting LLC	117
Pitta Bishop Del Giorno & Giblin LLC	90
Greenberg Traurig, LLP	70
Sheldon Lobel, P.C.	61
Wilson, Elser, Moskowitz, Edelman & Dicker LLP	59
Constantinople & Vallone Consulting LLC	54
Bolton-St. Johns, LLC	51
Manatt, Phelps & Phillips, LLP	48
Davidoff Hutcher & Citron LLP	47



¹¹“Clients” includes clients and only lobbyist/client filers that reported retaining an outside lobbying entity in 2014.

¹²Data is based on statements of registration filed by lobbyists. For previous years, the data is based on the number of clients published in the respective year’s Lobbying Bureau Annual Report.

COMPARISON OF TOTAL CLIENTS REPORTED BY TOP LOBBYISTS FROM 2011-2014¹³



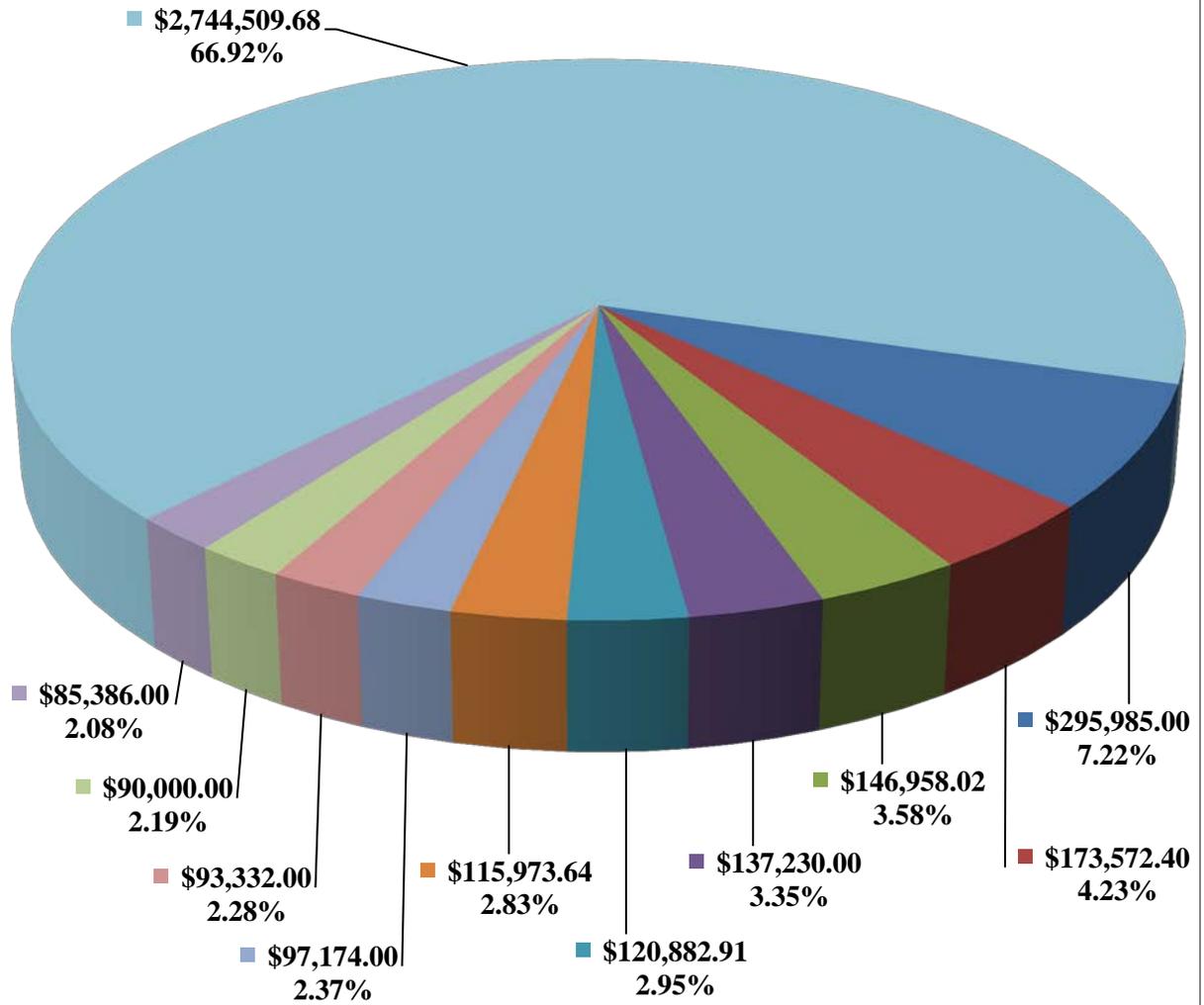
¹³This chart includes a comparison of top lobbyists that have appeared on the “Top Ten Lobbyists by Number of Clients Registered” in the Lobbying Bureau Annual Report for years 2011-2014.

TOP TEN LOBBYIST/CLIENT FILERS OF 2014 BY COMPENSATION¹⁴

<u>Lobbyist/Client</u>	<u>Compensation</u>
United Federation of Teachers	\$295,985.00
The American Museum of Natural History	\$173,572.40
New York Hotel and Motel Trades Council AFL-CIO	\$146,958.02
Luxor Capital Group, LP	\$137,230.00
Goldman, Sachs & Co.	\$120,882.91
Urban Justice Center	\$115,973.64
Yeshiva University	\$97,174.00
T. Rowe Price Associates, Inc.	\$93,332.00
CFG Stadium Group LLC	\$90,000.00
Coalition for the Homeless, Inc.	<u>\$85,386.00</u>
SUB-TOTAL	\$1,356,493.97
OTHER LOBBYIST/CLIENTS	<u>\$2,744,509.68</u>
TOTAL COMPENSATION OF LOBBYIST/CLIENTS	<u>\$4,101,003.65</u>

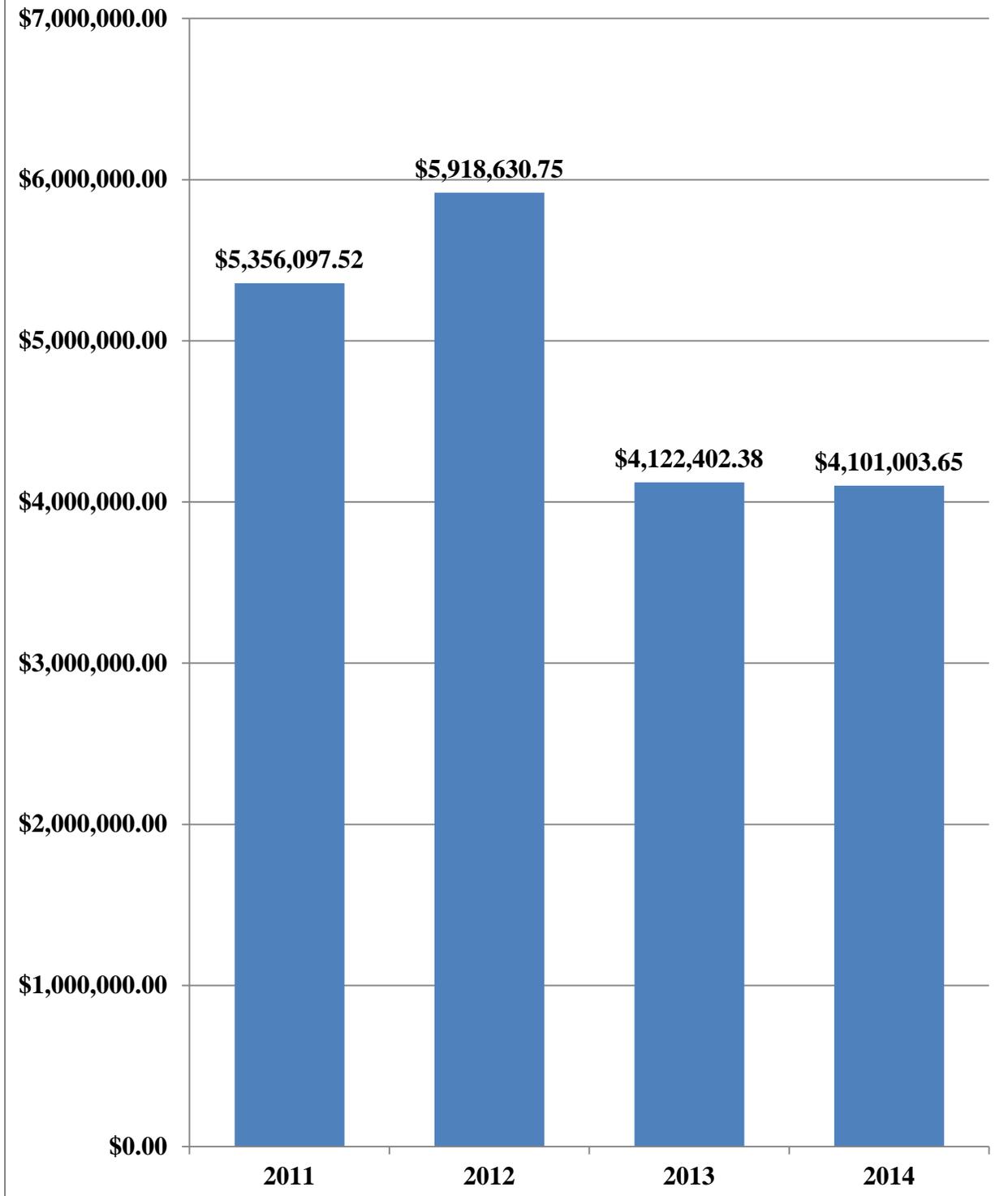
¹⁴Data is based on cumulative compensation reported in periodic reports filed by lobbyist/client filers.

TOP TEN LOBBYIST/CLIENT FILERS OF 2014 BY COMPENSATION



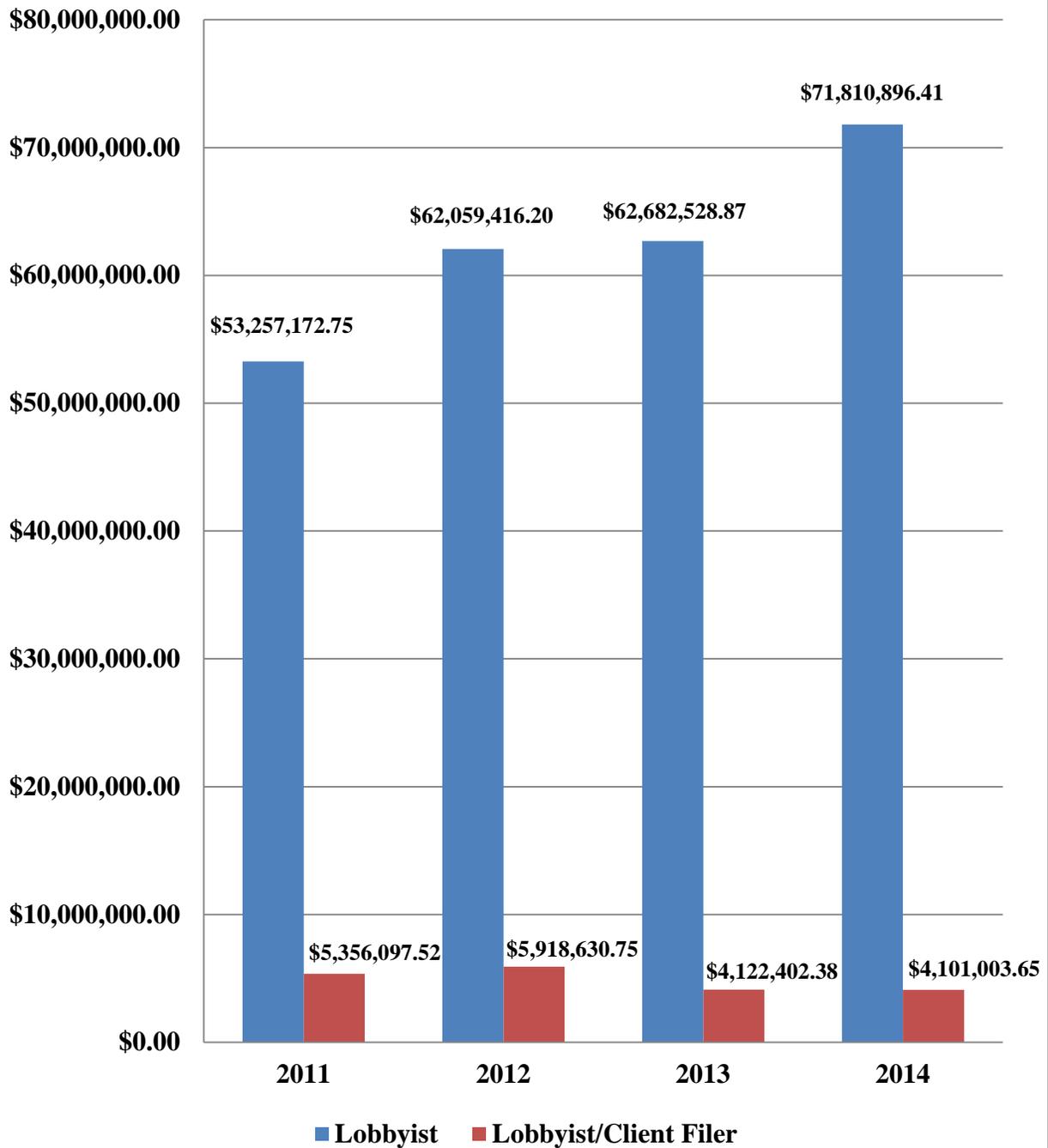
- United Federation of Teachers
- The American Museum of Natural History
- New York Hotel and Motel Trades Council AFL-CIO
- Luxor Capital Group, LP
- Goldman, Sachs & Co.
- Urban Justice Center
- Yeshiva University
- T. Rowe Price Associates, Inc.
- CFG Stadium Group LLC
- Coalition for the Homeless, Inc.
- Other

COMPARISON OF LOBBYIST/CLIENT FILER COMPENSATION FROM 2011-2014*



*Data is based on the cumulative compensation reported by lobbyist/client filers in its periodic reports in 2014 and as reported in the Lobbying Bureau Annual Report for the respective previous years.

**COMPARISON OF LOBBYIST AND LOBBYIST/CLIENT
FILER COMPENSATION FROM 2011-2014***



*Data is based on the cumulative compensation reported by lobbyists and lobbyist/client filers in its periodic reports in 2014 and as reported in the Lobbying Bureau Annual Report for the respective previous years.

TOP TEN CLIENTS¹⁵ OF 2014 BY COMPENSATION TO ALL LOBBYING FIRMS¹⁶

<u>Client</u>	<u>Lobbyist</u>	<u>Compensation</u>
Albee Development LLC	James F. Capalino & Associates, Inc.	\$90,000.00
	Washington Square Partners Inc.	<u>\$1,180,930.24</u>
		<u>\$1,270,930.24</u>
Halletts A Development Company, LLC	Cozen O'Connor	\$680,474.00
	Norman Levy, P.C.	\$30,000.00
	Sheinkopf LTD.	<u>\$30,000.00</u>
		<u>\$740,474.00</u>
CSC Holdings, LLC	99 Solutions LLC.	\$78,000.00
	Miram Group LLC	\$20,000.00
	Patricia Lynch Associates	\$120,000.00
	Robinson & Cole LLP	\$120,000.00
	Kasirer Consulting LLC	<u>\$180,000.00</u>
		<u>\$518,000.00</u>
SL Green Realty Corp.	Fried, Frank, Harris, Shriver & Jacobson LLP	\$233,640.00
	Goldman Harris LLC	\$9,485.00
	Greenberg Traurig, LLP	\$45,534.10
	James F. Capalino & Associates, Inc.	\$11,625.00
	Kasirer Consulting LLC	\$120,000.00
	LoCicero & Tan Inc.	<u>\$30,000.00</u>
		<u>\$450,284.10</u>
Spectra Energy Corp	CDD Strategies, LLC	\$265,000.00
	TLM Associates LLC	<u>\$160,000.00</u>
		<u>\$425,000.00</u>
Verizon Corporate Resources Group LLC	Bolton-St. Johns, LLC	\$99,999.30
	Connelly McLaughlin & Woloz	\$99,999.96
	National Strategies, LLC	\$96,000.00
	Tonio Burgos & Associates, Inc.	<u>\$100,000.00</u>
		<u>\$395,999.26</u>
Atlantic Yards Development Company, LLC.	Kasirer Consulting, LLC	\$240,000.00
	LoCicero & Tan Inc.	\$8,000.00
	Park Strategies, LLC	\$60,000.00

¹⁵The compensation reported does not include compensation reported as a lobbyist/client filer. It only includes compensation reported paid to outside lobbying firms.

¹⁶Data is based on the cumulative compensation reported by the lobbyist in its 2014 periodic reports.

	Wilson, Elser, Moskowitz, Edelman & Dicker LLP	<u>\$12,000.00</u>
		<u>\$320,000.00</u>
Sprucegrove Investment Management Ltd.	Fair Haven Partners, LLC	<u>\$300,000.00</u>
Greater New York Hospital Association, Inc.	Bolton-St. Johns, LLC	\$170,004.00
	Tonio Burgos & Associates, Inc.	<u>\$120,000.00</u>
		<u>\$290,004.00</u>
The Mount Sinai Hospital	Kasirer Consulting LLC	\$240,000.00
	Katherine DeFoyd Consulting	\$48,000.00
	Venable LLP	<u>\$0.00</u>
		<u>\$288,000.00</u>

TOP CLIENTS OF 2014 BY RETAINED LOBBYING FIRMS¹⁷

<u>Client</u>	<u># of Firms Retained</u>
SL Green Realty Corp.	6
CSC Holdings LLC	5
Triangle Equities Development Company, LLC	5
1-10 Bush Terminal Owner, LP with 19-20 Bush Terminal Owner, LP	4
Altria Client Services, Inc.	4
Atlantic Yards Development Company, LLC.	4
Brookfield Financial Properties LLC	4
New York Junior Tennis and Learning	4
Two Trees Management Co., LLC	4
Uber Technologies, Inc.	4
Verizon Corporate Resources Group LLC	4
Vornado Realty L.P.	4
Oracle America, Inc.	4

¹⁷Data is based on statements of registration filed by lobbyists and only includes lobbyist/client filers who have retained an outside lobbyist.

TOP TEN LOBBYING CONTRACTS IN 2014
(COMPENSATION PAID¹⁸ TO ONE LOBBYING FIRM)¹⁹

<u>Client</u>	<u>Lobbyist</u>	<u>Compensation</u>
Albee Development LLC	Washington Square Partners Inc.	\$1,180,930.24
Halletts A Development Company, LLC	Cozen O'Connor	\$680,474.00
Sprucegrove Investment Management Ltd.	Fair Haven Partners, LLC	\$300,000.00
Spectra Energy Corp	CDD Strategies, LLC	\$265,000.00
Committee For Taxi Safety Inc.	Bolton-St. Johns, LLC	\$258,000.00
Coney Island Holdings LLC	Davidoff Hutcher & Citron LLP	\$250,000.00
Atlantic Yards Development Company, LLC.	Kasirer Consulting LLC	\$240,000.00
Cornell University	Kasirer Consulting LLC	\$240,000.00
The Mount Sinai Hospital	Kasirer Consulting LLC	\$240,000.00
EmblemHealth Services Company, LLC	Tonio Burgos & Associates, Inc.	\$240,000.00

¹⁸The compensation reported does not include compensation reported as a lobbyist/client filer. It only includes compensation paid to outside lobbying firms.

¹⁹Based on the cumulative compensation reported by the lobbyist in its 2014 periodic reports.

TOP LOBBYISTS OF 2014 BY NUMBER OF EMPLOYEES²⁰

<u>Lobbyist</u>	<u># of Employees</u>
Greenberg Traurig, LLP	22
Howard Hughes Management Co., LLC	22
Wilson, Elser, Moskowitz, Edelman & Dicker LLP	22
Kramer Levin Naftalis & Frankel LLP	18
Bryan Cave LLP	16
Sheldon Lobel, P.C.	15
Bolton-St. Johns, LLC	14
Constantinople & Vallone Consulting LLC	14
Pitta Bishop Del Giorno & Giblin LLC	12
Davidoff Hutcher & Citron LLP	11

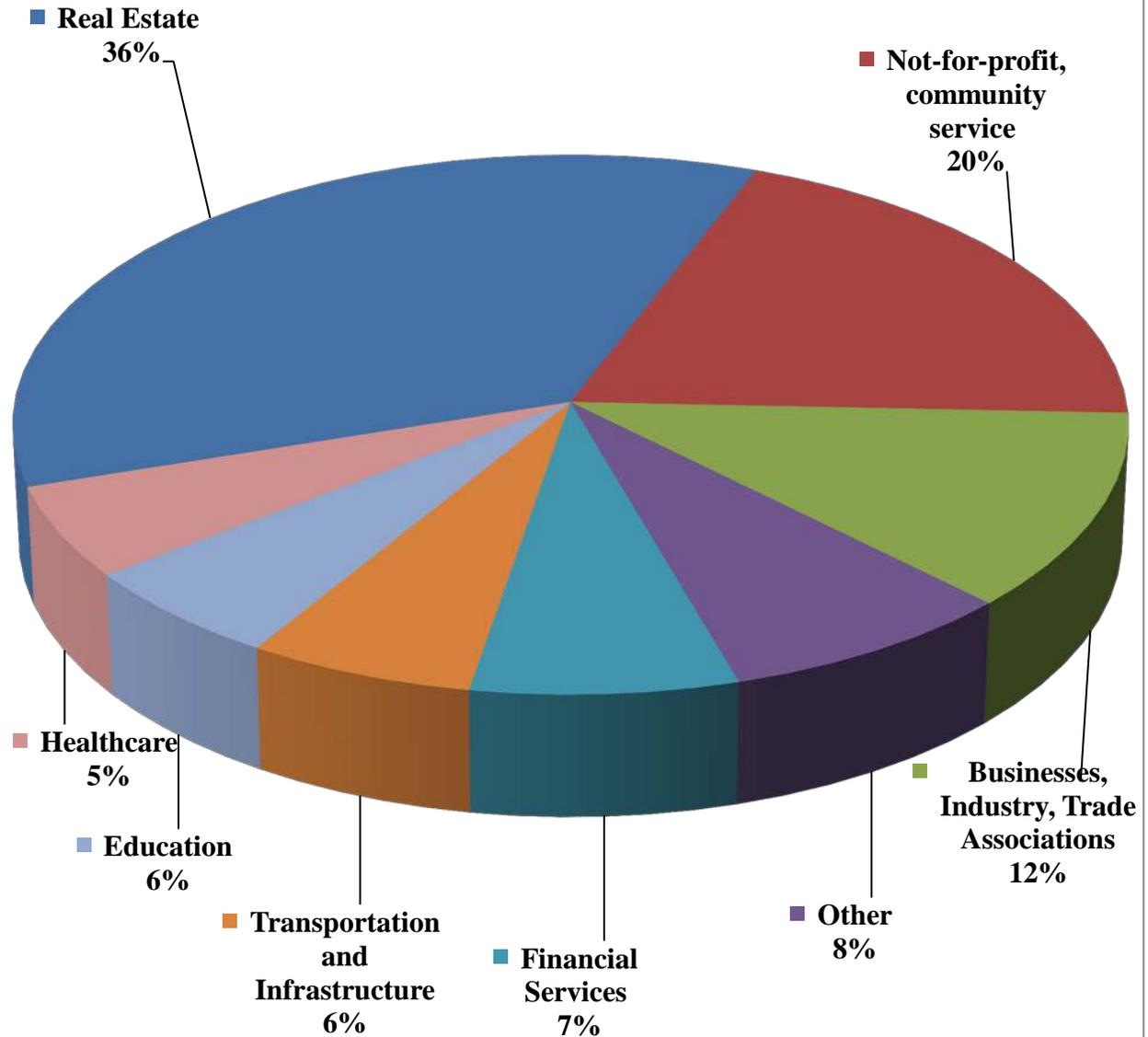
²⁰Data is based on employees listed on the statements of registration filed by lobbyists.

TOP LOBBYIST/CLIENT FILERS OF 2014 BY NUMBER OF EMPLOYEES²¹

<u>Lobbyist</u>	<u># of Employees</u>
New York Communities For Change, Inc.	81
Urban Justice Center	45
Legal Services NYC	39
Jewish Association for Services for the Aged	38
United Federation of Teachers	34
MFY Legal Services, Inc.	33
CAMBA, Inc.	31
Make the Road New York	26
Fund for the City of New York, Inc.	25
New York Legal Assistance Group, Inc.	21

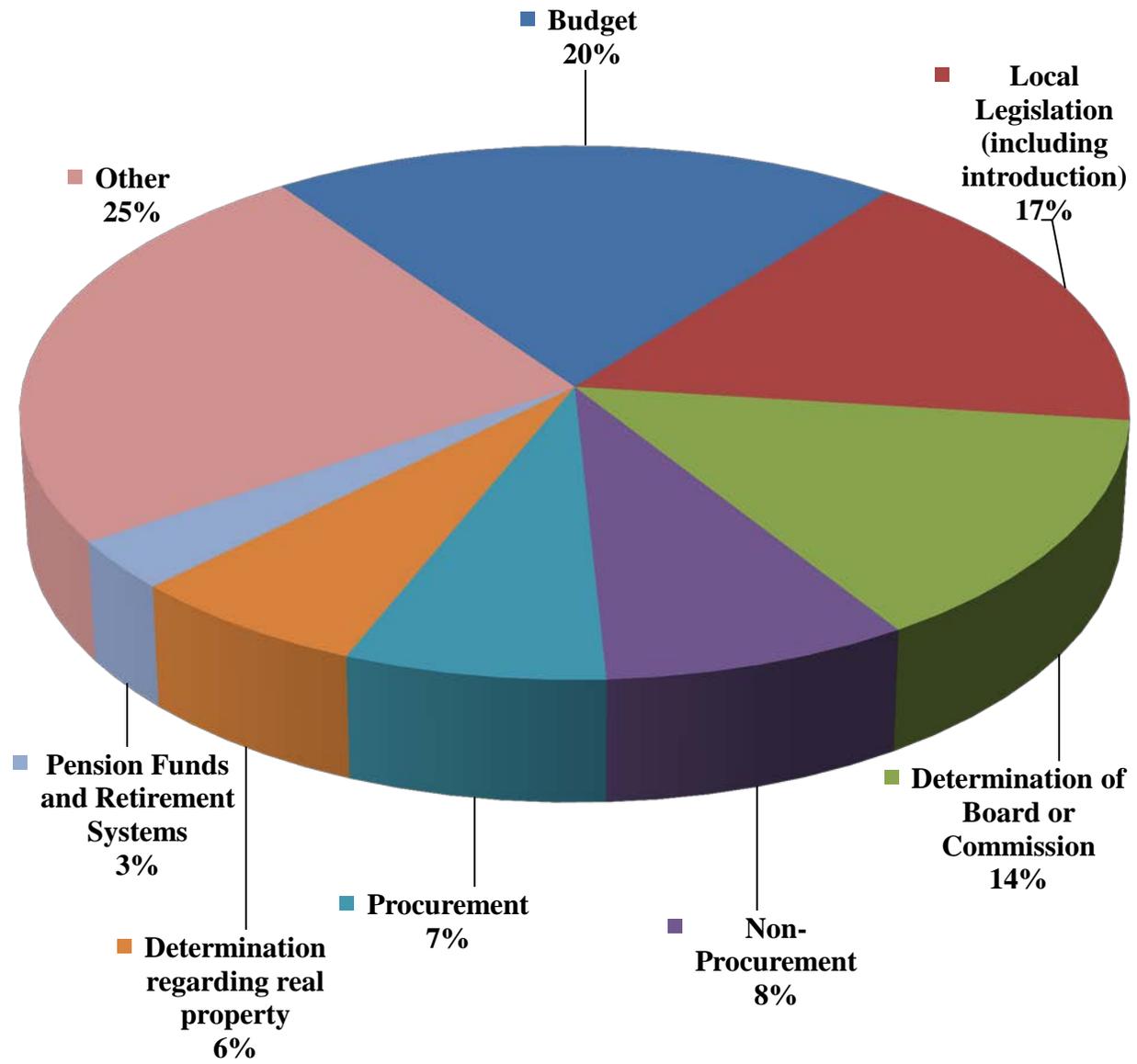
²¹Data is based on employees listed on the statements of registration filed by lobbyist/client filers.

DISTRIBUTION OF CLIENT INDUSTRIES REPORTED IN 2014*



*Data is based on the client industry the lobbyist reported on the statement of registration.

TOP SUBJECT CATEGORIES REPORTED IN 2014*



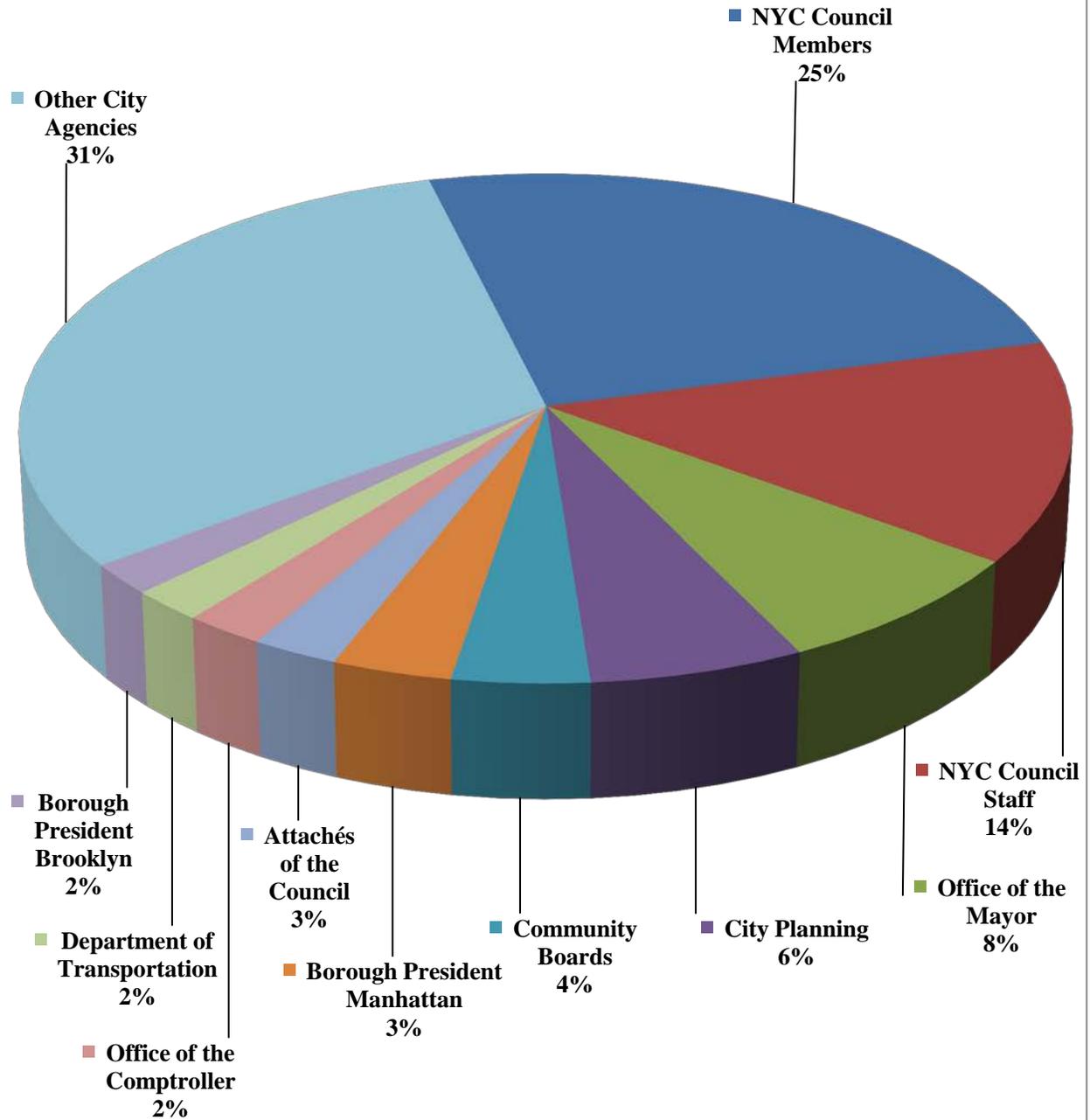
*Data is based on the subject category reported on periodic reports filed by Lobbyists.

DISTRIBUTION OF SUBJECT CATEGORIES REPORTED IN 2014

<u>Subject</u>	<u>Percentage</u>
Budget	20.00%
Local Legislation (including introduction)	17.00%
Board/Commission	14.00%
Non-Procurement ²²	8.00%
Procurement	7.00%
Real Property	6.00%
Pension Funds and Retirement Systems	3.00%
Rule	1.60%
Resolution	1.40%
State Issue	0.80%
Oversight	0.70%
Federal Issue	less than 1%
Ratemaking Proceeding	less than 1%

²²Non-procurement is a catch-all category for activities that cannot be included in another category.

TOP TARGETS REPORTED IN 2014*



*Data is based on target agencies reported on all periodic reports filed by Lobbyists.

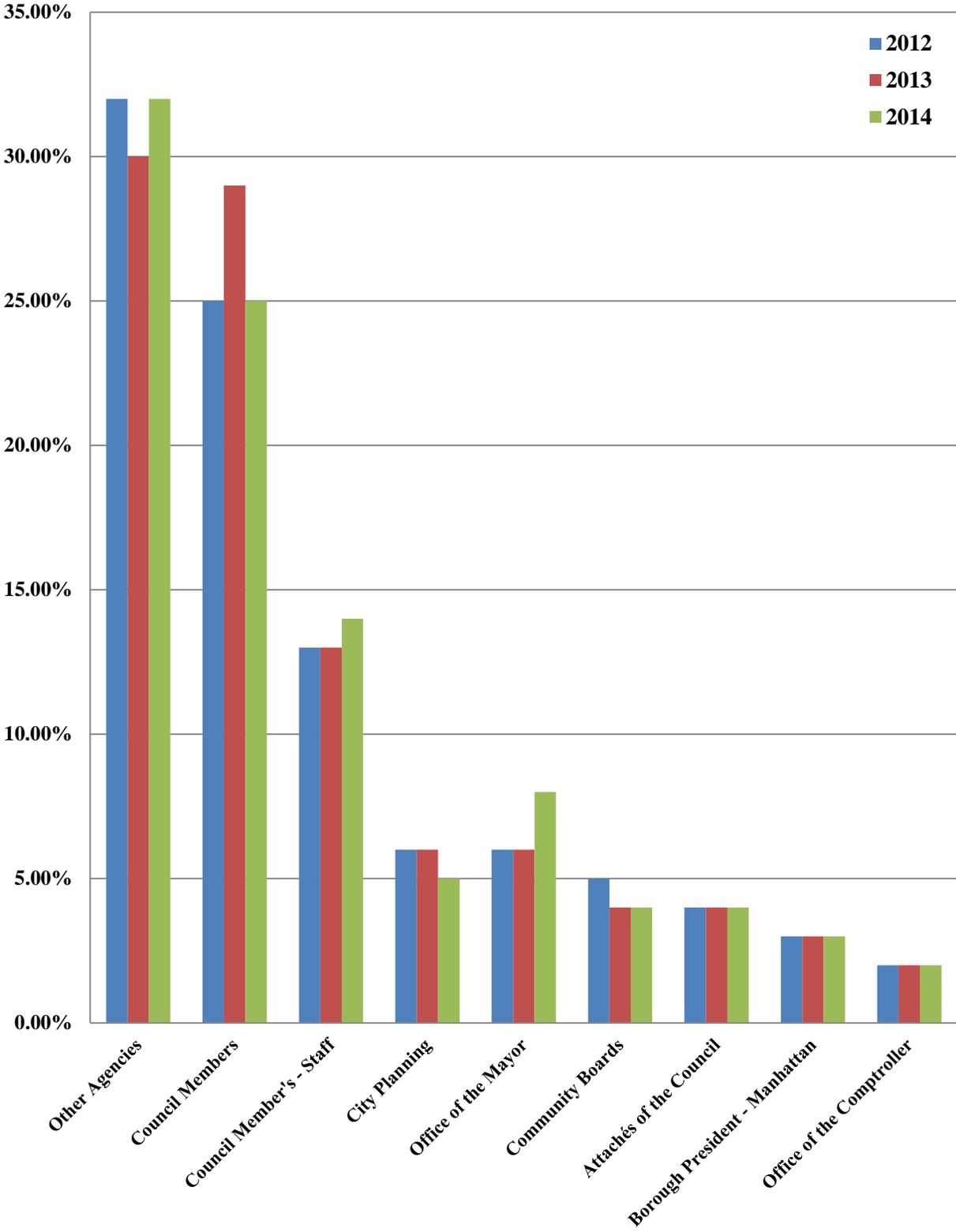
DISTRIBUTION OF TARGETS REPORTED IN 2014

Targets	Percentage
NYC Council Members	25.00%
NYC Council Staff	14.00%
Office of the Mayor	8.00%
City Planning	6.00%
Community Boards	4.00%
Borough President - Manhattan	3.00%
Attachés of the Council	2.00%
Office of the Comptroller	2.00%
Department of Transportation	2.00%
Borough President - Brooklyn	2.00%
NYC Economic Development Corporation	1.90%
Department of Education	1.80%
Borough President - Queens	1.60%
Department of Buildings	1.40%
Employees' Retirement System	1.10%
Borough President - Bronx	1.00%

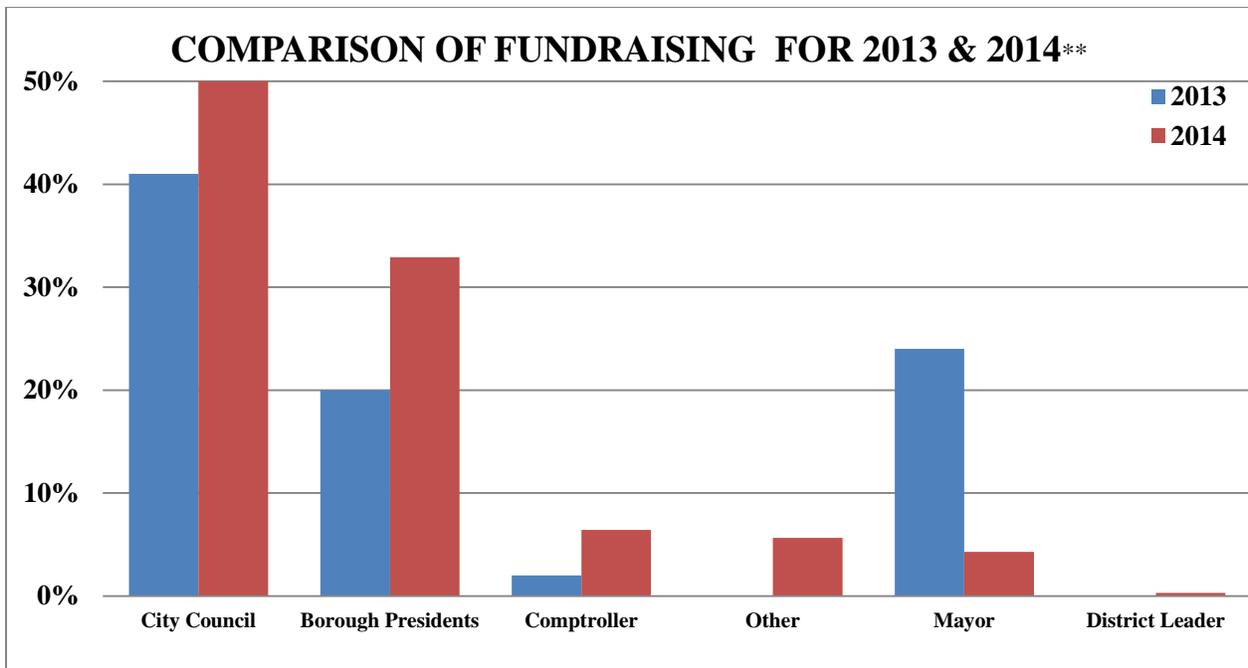
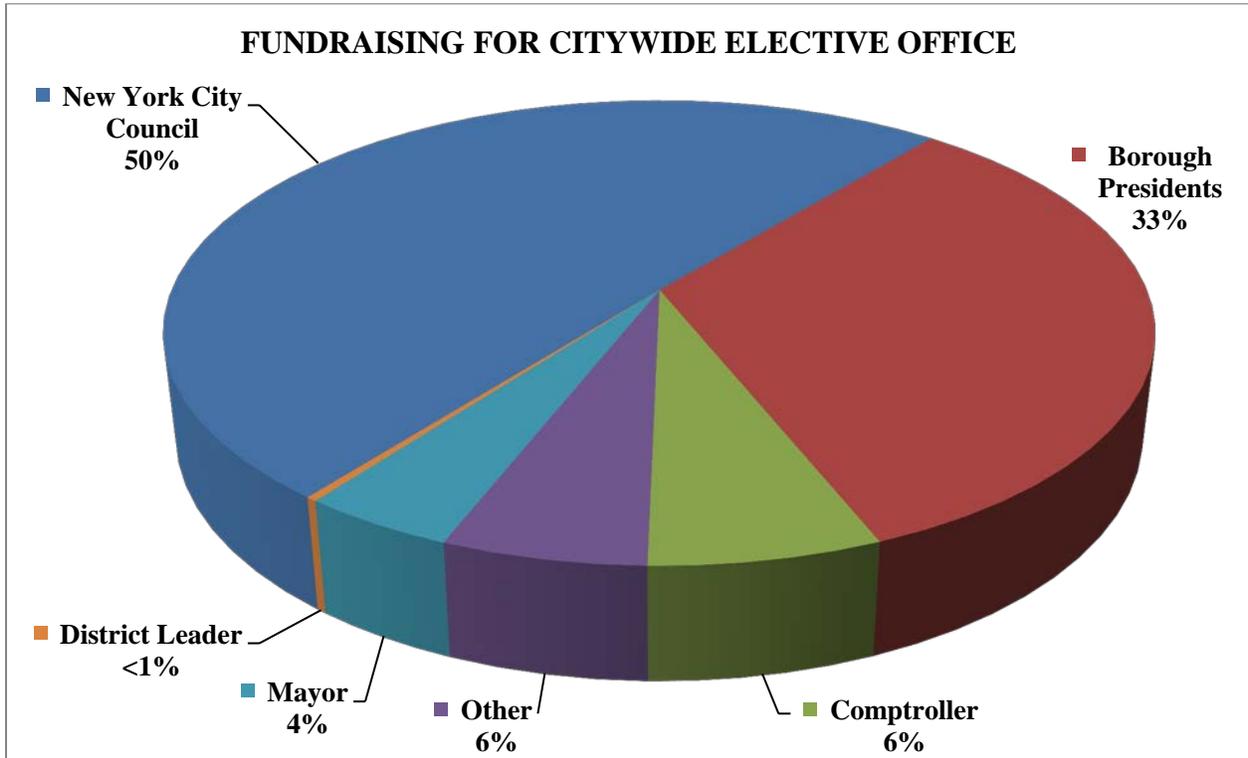
Targets reported less than 1%

Department of Finance
Department of Health And Mental Hygiene
Department of Housing Preservation & Development
Department of Information Technology and Telecommunications
Department of Parks and Recreation
Landmarks Preservation Commission
Mayor's Office of Intergovernmental Affairs
Office of Management and Budget
Public Advocate
Taxi & Limousine Commission

COMPARISON OF TARGETS REPORTED IN 2012-2014



ANALYSIS OF FUNDRAISING REPORTS

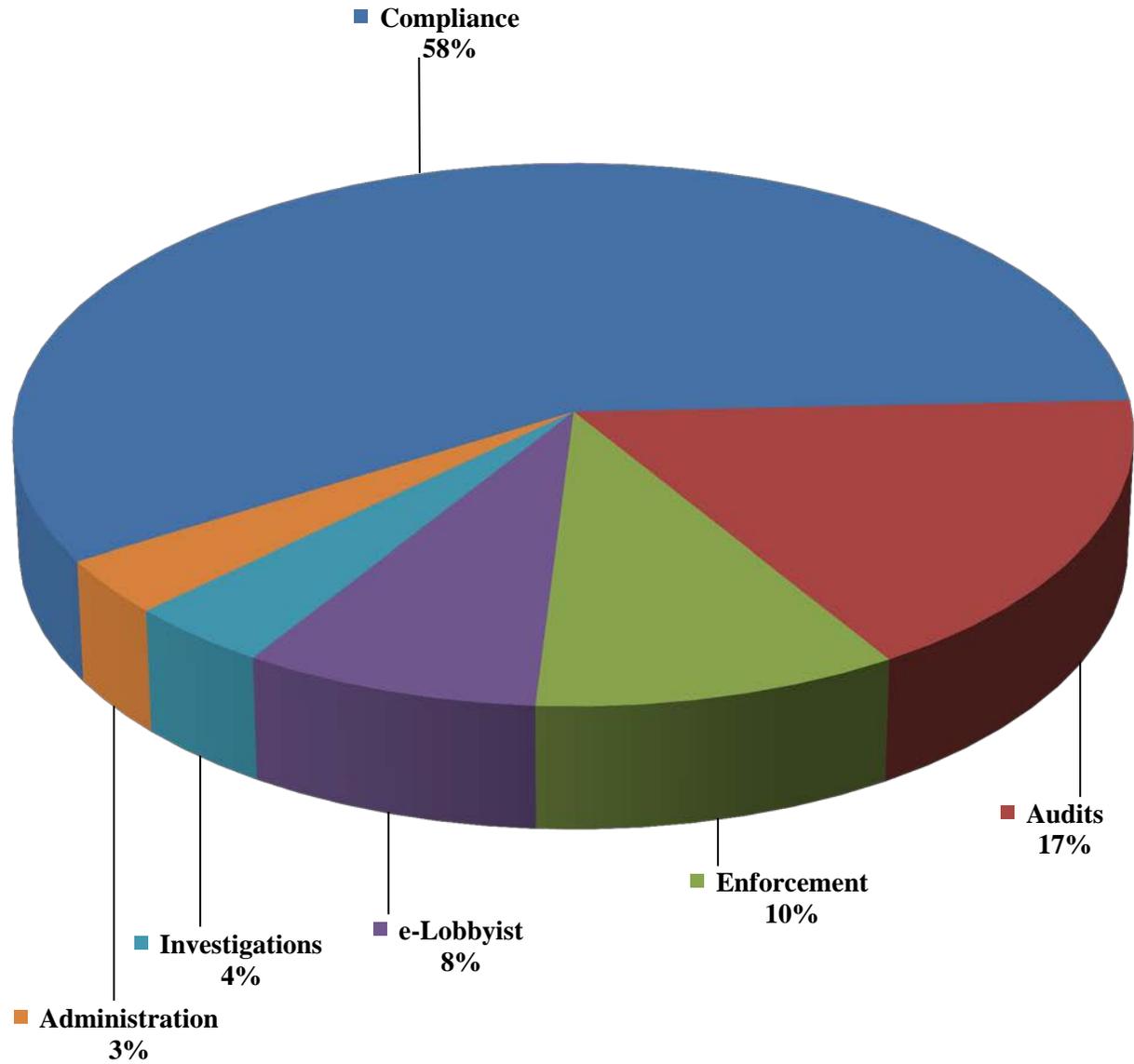


*If a year is omitted, no fundraising occurred for that elected office in that year.

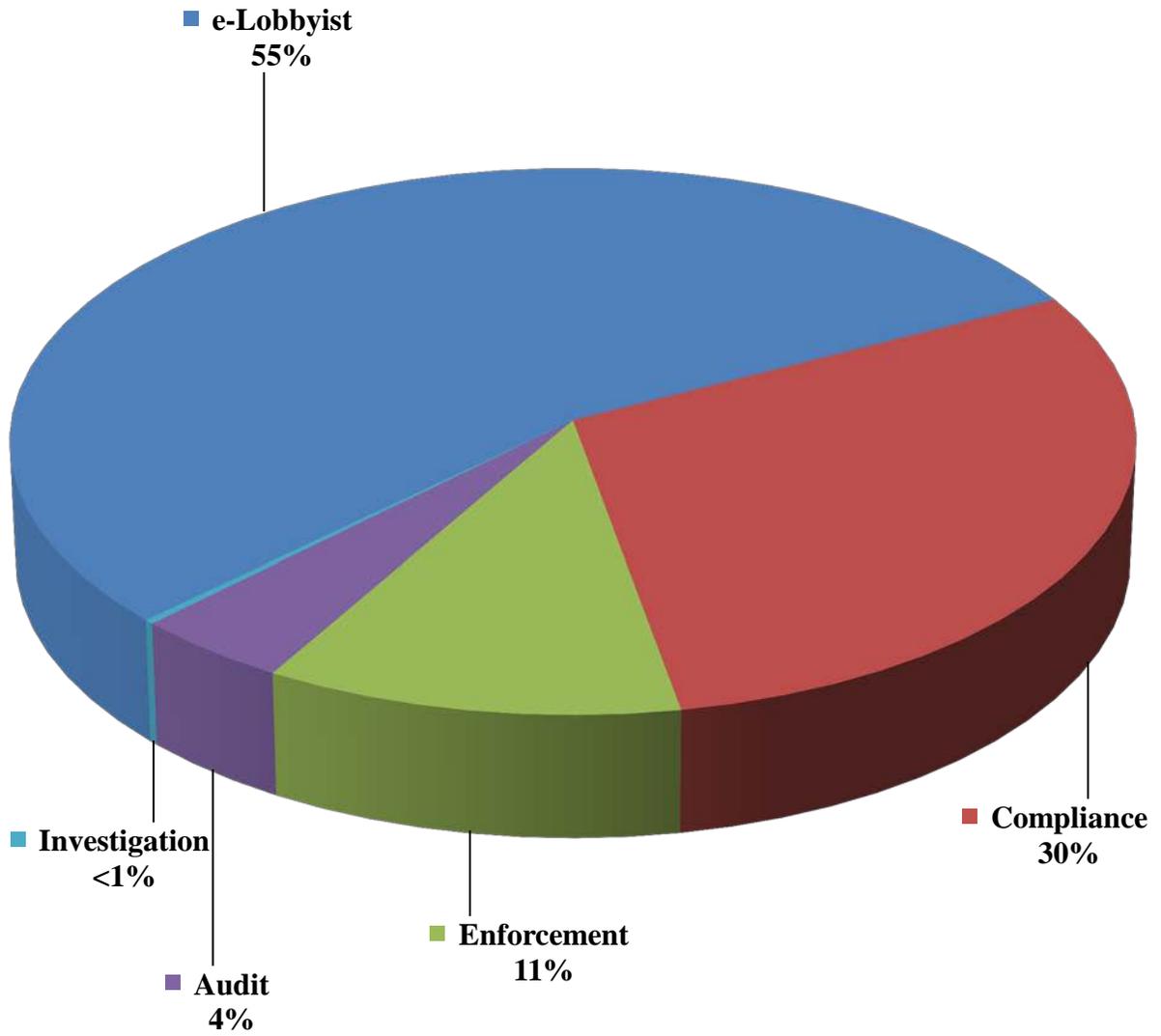
**Data is based on the cumulative compensation reported in 2014 periodic reports and as reported in the 2013 Lobbying Bureau Annual Report.

ANALYSIS OF LOBBYING BUREAU STAFF TIME

**DISTRIBUTION OF LOBBYING BUREAU STAFF TIME
BY SUBJECT CATEGORY**



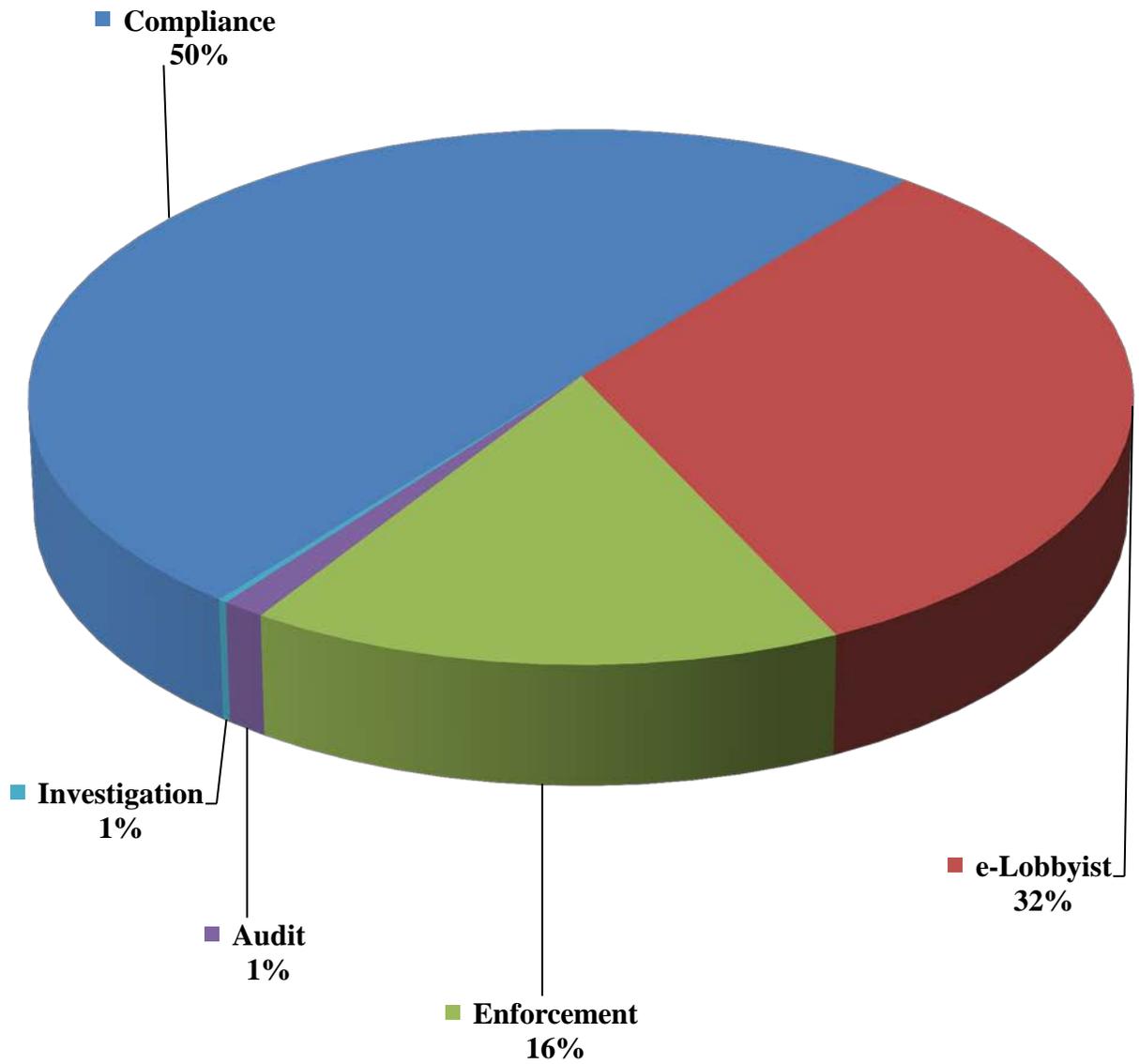
DISTRIBUTION OF TELEPHONE INQUIRIES BY SUBJECT CATEGORY



DISTRIBUTION OF TELEPHONE CALLS BY SUB-CATEGORY

<u>Subcategory</u>	<u>Number of Calls</u>
Audit - Preparation	37
Audit - Other	18
Audit - Field Examination	9
Audit - Drafted Report	<u>1</u>
	<u>65</u>
Enforcement - Notice to Cure	66
Enforcement - Petition	55
Enforcement - Fine	43
Enforcement - Other	<u>8</u>
	<u>172</u>
e-Lobbyist - Filing Assistance	495
e-Lobbyist - Log-in issues	122
e-Lobbyist - Change in PO	104
e-Lobbyist - Enrollment Issue	51
e-Lobbyist - Other	39
e-Lobbyist - Inquiries	<u>31</u>
	<u>842</u>
Compliance - Inquiries	277
Compliance - Administrative	88
Compliance - Filing Issues	65
Compliance - Other	16
Compliance - Extension Request	11
Compliance - Outreach/Training	<u>2</u>
	<u>459</u>

DISTRIBUTION OF EMAIL REQUESTS BY SUBJECT CATEGORY



DISTRIBUTION OF EMAILS BY SUB-CATEGORY

<u>Subcategory</u>	<u>Number of Emails</u>
Audit - Preparation	19
Audit - Other	12
Audit - Drafted Report	3
Audit - Field Examination	<u>0</u>
	<u>34</u>
Enforcement - Petition	230
Enforcement - Fine	119
Enforcement - Notice to Cure	102
Enforcement - Other	<u>13</u>
	<u>464</u>
e-Lobbyist - Change in PO	305
e-Lobbyist - Filing Assistance	257
e-Lobbyist - Enrollment Issue	154
e-Lobbyist - Log-in issues	123
e-Lobbyist - Other	55
e-Lobbyist - Inquiries	18
e-Lobbyist - Error Message	<u>12</u>
	<u>924</u>
Compliance - Filing Issues	459
Compliance - Administrative	443
Compliance - Inquiries	222
Compliance - Extension Request	144
Compliance - Outreach/Training	126
Compliance - Other	<u>45</u>
	<u>1,439</u>

APPENDIX A

LATE FILING PENALTIES: LOBBYIST 2013 SIXTH PERIODIC/ANNUAL REPORT

<u>Lobbyist Entity Name</u>	<u>Total</u>
An Claidheamh Soluis, Inc.	\$25.00
Brendan Sexton	\$225.00
Brooklyn Public Library	\$300.00
Carl Weisbrod	\$150.00
Center for Popular Democracy, Inc.	\$150.00
Dart Container Corporation	\$300.00
Duane Morris LLP	\$25.00
Extell Development Company	\$25.00
George Delis Public Relations Consultant LLC	\$25.00
Jameson Advisors, LLC	\$50.00
James F. Capalino & Associates, Inc.	\$25.00
Law Offices of Marvin B. Mitzner	\$125.00
Major League Soccer, LLC	\$150.00
Matthew N. Greller, Esq. Limited Liability Company	\$50.00
Mirram Group LLC	\$225.00
New York Taxi Workers Alliance, Inc.	\$25.00
R. Randy Lee, P.C.	\$50.00
The Advance Group Inc.	\$300.00
The Roffe Group P.C.	<u>\$25.00</u>
<u>TOTAL</u>	<u>\$2,250.00</u>

APPENDIX B

LATE FILING PENALTIES: 2013 CLIENT ANNUAL REPORT

<u>Client Entity Name</u>	<u>Total</u>
13th Avenue Supermarket LLC	\$20.00
19 West 20th Street Realty LLC	\$75.00
49-51 Chambers LLC	\$300.00
50 West Development, LLC	\$150.00
101 West Street LLC	\$150.00
145 Americas Condominium	\$25.00
150-13 89th LLC	\$150.00
219-25 LLC	\$300.00
250 Park Avenue, LLC	\$150.00
255 E Houston Manager, LLC	\$300.00
276 Manager, LLC	\$150.00
380 Development LLC	\$25.00
390 Tower Associates, LLC	\$25.00
420 Morris Park LLC	\$25.00
529 Broadway Holdings, LLC	\$20.00
548 West 22 Street Realty LLC	\$300.00
605 West 42nd Owner LLC	\$10.00
945 Realty Holdings, LLC	\$300.00
2857 West 8th Street Associates LLC	\$25.00
Acacia Network, Inc.	\$20.00
Academy Services, Inc.	\$300.00
AGBH Printing House Holdings, LLC	\$75.00
Alterman & Boop LLP	\$20.00
AM Property Holding II Corp.	\$300.00
API Restaurant Corp.	\$150.00
ARO, Inc.	\$75.00
Arrive Alive, LLC	\$25.00
Arte Café	\$20.00
Association of Car Wash Owners Inc.	\$25.00
Atlas Capital Group, LLC	\$150.00
Axis Group, Inc.	\$300.00
Big Apple Circus, Ltd.	\$150.00
Big Belly Solar, Inc.	\$300.00
Big Greene, LLC	\$20.00
BJ's Wholesale Club, Inc.	\$25.00
Broadway 4D Theaters, LLC	\$300.00
BSL NY Development LLC	\$300.00

Carahsoft Technology Corp.	\$150.00
CFC Capital, LLC	\$150.00
China Institute in America Incorporated	\$25.00
CityScan Inc.	\$300.00
Community Health Center of Richmond, Inc.	\$300.00
Continental Ventures Realty LLC on behalf of 130 7 Ave. S Holdings LLC and 52 Wooster Holdings LLC	\$10.00
Creative Foods Group LLC	\$300.00
Crystal Ball Group, Inc.	\$300.00
Dart Container Corporation	\$150.00
DBH Associates LLC	\$150.00
Downtown Brooklyn Partnership, Inc.	\$25.00
Educational Housing Services, Inc.	\$150.00
ESS US I, LLC	\$300.00
Fleet Center, Inc.	\$25.00
Florence Rostami Law, LLC on behalf of Lions Group II, LLC	\$20.00
Flushing Management LLC on behalf of Flushing Management LLC and Forest Lots LLC	\$25.00
Friends of Hudson River Park	\$300.00
FTC Residential Company III, L.P.	\$20.00
G & M Realty L.P.	\$150.00
HFZ Capital Group, LLC	\$25.00
Host Hotels & Resorts, L.P.	\$75.00
Hudson Guild	\$25.00
Hugo Nue Recycling	\$20.00
IBM Corporation	\$25.00
IMDN Holdings LLC	\$300.00
Institute of Scrap Recycling Industries Inc.	\$75.00
Isis Properties, LLC.	\$150.00
JMED Holdings LLC	\$25.00
Kimco Realty Corporation	\$25.00
Kudos Construction Corporation	\$150.00
Langan Engineering, Environmental, Surveying and Landscape Architecture D.P.C.	\$150.00
Lettire Construction Corp.	\$150.00
Livery Base Owners, Inc.	\$25.00
Long Island University	\$150.00
Looks Great Services, Inc.	\$150.00
Lower East Side District Management Association, Inc.	\$300.00
Major League Soccer, L.L.C.	\$300.00
Manhattan Telecommunications Corporation	\$25.00
Marciano Enterprises Inc	\$25.00
Megabus Northeast, LLC	\$75.00
Midtown Equities LLC	\$75.00

Monsey New Square Trails Corp	\$300.00
Moses Scharf	\$300.00
MP 830 Third Avenue, LLC	\$300.00
Nakash Holding LLC	\$150.00
NATO Theatre Owners of New York, Inc.	\$150.00
Neapolitan Express LLC	\$300.00
New Rock Asset Partners, L.P.	\$300.00
New York Child Resource Center, Inc.	\$150.00
New York Institute of Energy and Water, Inc.	\$25.00
North Star Mechanical Corp.	\$300.00
New York Methodist Hospital	\$150.00
Northern Manhattan Improvement Corporation	\$25.00
Older Adults Technology Services, Inc.	\$150.00
One York Street Condominium	\$150.00
OTR Media Group, Inc.	\$300.00
PCV ST Owner LP	\$150.00
PFNY, LLC	\$20.00
Planned Parenthood Of New York City, Inc.	\$300.00
Pomerantz Grossman Hufford Dahlstrom & Gross LLP	\$25.00
Pratt Institute	\$150.00
Premier Magnesia, LLC	\$25.00
Prince Street - Soho, LLC	\$150.00
Procida Realty & Construction Corp. of NY	\$10.00
Puerto Rican Family Institute, Inc.	\$150.00
PURVIS Systems Incorporated	\$25.00
Redflex Traffic Systems, Inc.	\$150.00
Rocket Learning Partners, LLC	\$75.00
Rutgers Presbyterian Church	\$25.00
S2000 Corp.	\$75.00
Salvatore Alesci and Pietro Alesci	\$10.00
Samuel Braverman Esq.	\$25.00
SDS Great Jones LLC	\$150.00
Sea Wave Realty Corp.	\$10.00
Securewatch 24, LLC	\$300.00
Shore Homes Inc.	\$20.00
SJP TS JV, LLC	\$25.00
Software AG USA, Inc.	\$300.00
State Partners LLC for the benefit of EMC Corporation	\$20.00
Steinway Child and Family Services, Inc.	\$150.00
Structure Tone Inc.	\$150.00
Structured Employment Economic Development Corp	\$150.00
Success Academy Charter Schools, Inc.	\$150.00
The Archdiocese of New York	\$150.00

The Brodsky Organization LLC	\$300.00
The Brookdale Hospital Medical Center	\$150.00
The Brotherhood/Sister Sol Inc	\$25.00
The Chetrit Group LLC	\$300.00
The College Board	\$150.00
The Glazier Group, Inc.	\$10.00
The New York Staffing Association, Inc.	\$25.00
The Peebles Corporation	\$20.00
The Studio Museum in Harlem	\$25.00
The Williams Companies, Inc.	\$25.00
Total Recall Corporation	\$75.00
Twin Brothers Electrical Supply, Inc.	\$10.00
Uniformed EMS Officers Union	\$25.00
United Structural Works, Inc.	\$10.00
Urban Strategic Partners, LLC	\$300.00
Windermere Properties LLC	\$150.00
Z-Live Inc.	<u>\$300.00</u>
<u>TOTAL</u>	<u>\$18,115.00</u>

APPENDIX C

LATE FILING PENALTIES: LOBBYIST 2014 STATEMENTS OF REGISTRATION

<u>Lobbyist Entity Name</u>	<u>Total</u>
1199 SEIU United Healthcare Workers East	\$300.00
92nd Street YM-YWHA	\$300.00
American Cancer Society Cancer Action Network, Inc	\$300.00
An Claidheamh Soluis, Inc.	\$300.00
Ardian US LLC	\$300.00
Best Friends Animal Society	\$150.00
Brown & Weinraub, PLLC	\$50.00
Build Up NYC LLC	\$300.00
Carl Andrews & Associates, Inc.	\$75.00
Center for Popular Democracy, Inc.	\$300.00
CityView Management Services, LLC	\$300.00
Cozen O'Connor	\$750.00
Cozen O'Connor Public Strategies, LLC	\$75.00
Dart Container Corporation	\$500.00
Driscoll Group Inc.	\$25.00
Duane Morris LLP	\$25.00
Fried, Frank, Harris, Shriver & Jacobson LLP	\$150.00
George Arzt Communications, Inc.	\$225.00
Global Strategy Group, LLC	\$1,325.00
Goldentree Asset Management LP	\$300.00
Goldman Harris LLC	\$25.00
Gotham Government Relations LLC	\$550.00
Greenberg Traurig, LLP	\$1,475.00
HR&A Advisors, Inc.	\$2,325.00
James F. Capalino & Associates, Inc.	\$275.00
Jamestown, L.P.	\$300.00
JEM Associates NY, LLC	\$25.00
JLO Consultant, Inc.	\$75.00
Kramer Levin Naftalis & Frankel LLP	\$175.00
Landmark Partners, LLC	\$10.00
Legal Action Center of the City of New York, Inc.	\$300.00
Levy Ratner, P.C.	\$300.00
LMK Services, Inc.	\$10.00

Luxor Capital Group, LP	\$1,175.00
Management and Government Resources, Inc.	\$150.00
Manatt, Phelps & Phillips, LLP	\$1,200.00
Mercury Public Affairs, LLC	\$300.00
Metropolitan New York Coordinating Council on Jewish Poverty	\$300.00
Mirram Group LLC	\$425.00
Montgomery, McCracken, Walker & Rhoads, LLP	\$600.00
Nagel Law Office, PLLC	\$25.00
National Strategies, LLC	\$25.00
Northeast Government Consulting, LLC	\$100.00
Park Strategies, LLC	\$300.00
Patrick B. Jenkins & Associates	\$525.00
Pegasus Capital Advisors, L.P.	\$75.00
PoliticalLogic	\$60.00
QS Investors LLC	\$300.00
Sheinkopf LTD.	\$150.00
Sheldon Lobel, P.C.	\$200.00
Sirefman Ventures, Inc.	\$500.00
Slater & Beckerman, P.C.	\$775.00
Snug Harbor Cultural Center and Botanical Garden	\$300.00
The Advance Group Inc.	\$100.00
The Alliance of Resident Theatres/New York, Inc.	\$300.00
The Carey Group LLC	\$625.00
The Historic Districts Council Inc.	\$300.00
The Ickes and Enright Group, Inc.	\$25.00
The Movement Group, LLC	\$25.00
The Nature Conservancy	\$70.00
The Parkside Group, LLC	\$200.00
TLM Associates LLC	\$600.00
Tonio Burgos & Associates, Inc.	\$25.00
U.S. Green Building Council, New York Chapter	\$25.00
Urban Justice Center	\$300.00
Varde Partners, Inc.	\$300.00
VOCAL-NY Action Fund, Inc.	\$300.00
Vornado Realty L.P.	\$150.00
Walgreen Co.	\$25.00
Walton Street Capital, L.L.C.	\$25.00

Washington Square Partners Incorporated	\$300.00
Working Families Organization, Inc.	\$300.00
York Group Associates LLC	<u>\$225.00</u>

<u>TOTAL</u>	<u>\$23,600.00</u>
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APPENDIX D

**LATE FILING PENALTIES: LOBBYIST 2014 AMENDED STATEMENTS OF
REGISTRATION**

Brown & Weinraub, PLLC	\$1,275.00
Driscoll Group Inc.	\$400.00
Geto & de Milly Inc.	\$25.00
JLO Consultant, Inc.	\$100.00
Metro Futures, LLC	\$1,025.00
Nicholas & Lence Communications LLC	\$25.00
Peck, Madigan, Jones & Stewart, Inc.	\$1,700.00
Sheinkopf LTD.	\$1,050.00
The Ickes and Enright Group, Inc.	\$3,575.00
The Parkside Group, LLC	\$3,200.00
TLM Associates LLC	<u>\$875.00</u>
<u>TOTAL</u>	<u>\$13,250.00</u>

APPENDIX E

LATE FILING PENALTIES: LOBBYIST 2014 FIRST PERIODIC REPORT

<u>Lobbyist Entity Name</u>	<u>Total</u>
Aronson+Johnson+Ortiz, LP	\$25.00
Artemis Real Estate Partners, LLC	\$75.00
Bayview Asset Management LLC	\$25.00
Blackstone Real Estate Advisors L.P.	\$25.00
Blackstone Real Estate Special Situations Advisors L.L.C.	\$25.00
Brendan Sexton	\$75.00
Brooklyn Museum	\$25.00
Build Up NYC LLC	\$75.00
Center for Popular Democracy, Inc.	\$75.00
Council of School Supervisors and Administrators	\$75.00
Cozen O'Connor Public Strategies, LLC	\$25.00
Dart Container Corporation	\$300.00
Eric Palatnik, P.C.	\$450.00
Farley & Kessler, P.C.	\$75.00
Feingold O'Keeffe Capital, LLC	\$25.00
Graham Capital Management, L.P.	\$75.00
Legal Action Center of the City of New York, Inc.	\$300.00
Legal Information for Families Today	\$25.00
Local 372 New York City Board of Education Employees	\$150.00
Luxor Capital Group, LP	\$1,300.00
Montefiore Medical Center	\$25.00
Nagel Law Office, PLLC	\$50.00
New York State Association of Realtors, Inc.	\$25.00
New York Taxi Workers Alliance, Inc.	\$300.00
Planned Parenthood Of New York City, Inc.	\$75.00
R. Randy Lee, P.C.	\$75.00
Schnur Associates Inc.	\$50.00
Sheldon Lobel, P.C.	\$25.00
Sirefman Ventures, Inc.	\$300.00
Snug Harbor Cultural Center and Botanical Garden	\$25.00
The Blackstone Group L.P.	\$25.00
The Trustees of Columbia University in the City of New York	\$150.00
Transportation Alternatives, Inc	\$25.00
Walton Street Capital, L.L.C.	\$150.00
WCAS Management Corporation	<u>\$150.00</u>
<u>TOTAL</u>	<u>\$4,675.00</u>

APPENDIX F

LATE FILING PENALTIES: LOBBYIST 2014 SECOND PERIODIC REPORT

<u>Lobbyist Entity Name</u>	<u>Total</u>
Agudath Israel of America	\$350.00
AnaCap Financial Partners LLP	\$100.00
Bard College	\$25.00
Brendan Sexton	\$325.00
Build Up NYC LLC	\$25.00
Citizens' Committee for Children of New York, Inc.	\$100.00
Coalition for the Homeless, Inc.	\$25.00
COFCCA, Inc.	\$100.00
Delta Air Lines, Inc.	\$100.00
DeSales Media Group, Inc.	\$100.00
Hartford Investment Management Company	\$100.00
Luxor Capital Group, LP	\$1,000.00
Mercury Public Affairs, LLC	\$200.00
MinKwon Center for Community Action, Inc.	\$125.00
Nagel Law Office, PLLC	\$25.00
NARAL Pro-Choice New York, Inc.	\$25.00
New York City Central Labor Council, AFL-CIO	\$125.00
Patrolmen's Benevolent Association of the City of New York	\$25.00
Simons & Wright LLC	\$125.00
The Carey Group LLC	\$300.00
The Dryfoos Group, Inc.	\$125.00
Urban Justice Center	\$25.00
Wilson, Elser, Moskowitz, Edelman & Dicker LLP	\$50.00
York Capital Management Global Advisors, LLC	\$25.00
<u>TOTAL</u>	<u>\$3,525.00</u>

APPENDIX G

LATE FILING PENALTIES: LOBBYIST 2014 THIRD PERIODIC REPORT

<u>Lobbyist Entity Name</u>	<u>Total</u>
Brendan Sexton	\$375.00
Bridge Investment Group Partners, LLC	\$200.00
James F. Capalino & Associates, Inc.	\$25.00
Major League Soccer, L.L.C.	\$25.00
Make the Road New York	\$25.00
McKenna Long & Aldridge LLP	\$325.00
Mercury Public Affairs, LLC	\$100.00
New York Taxi Workers Alliance, Inc.	\$1,125.00
New York Yankees	\$50.00
New Yorkers for Parks	\$50.00
Sheldon Lobel, P.C.	\$400.00
The Advance Group Inc.	\$75.00
The Gordian Group, Inc.	\$50.00
The Parkside Group, LLC	\$75.00
Urban Justice Center	\$300.00
Vornado Realty L.P.	<u>\$75.00</u>
<u>TOTAL</u>	<u>\$3,275.00</u>

APPENDIX H

LATE FILING PENALTIES: LOBBYIST 2014 FOURTH PERIODIC REPORT

<u>Lobbyist Entity Name</u>	<u>Total</u>
COFCCA, Inc.	\$25.00
Legal Action Center of the City of New York, Inc.	\$50.00
Nagel Law Office, PLLC	\$50.00
New Yorkers for Clean Livable & Safe Streets Inc.	\$50.00
Ostroff Associates, Inc.	\$75.00
P.S.1 Contemporary Art Center, Inc.	\$25.00
Robert A. Ungar Associates, Inc.	\$75.00
Rosenberg & Estis, P.C.	\$25.00
Sirefman Ventures, Inc.	<u>\$25.00</u>
<u>TOTAL</u>	<u>\$400.00</u>

APPENDIX I

LATE FILING PENALTIES: LOBBYIST 2014 FIFTH PERIODIC REPORT

<u>Lobbyist Entity Name</u>	<u>Total</u>
Blackstone Real Estate Advisors L.P.	\$50.00
Blackstone Real Estate Special Situations Advisors L.L.C	\$50.00
Bridge Investment Group Partners, LLC	\$50.00
Columbus Hill Capital Management, L.P.	\$50.00
Cozen O'Connor Public Strategies, LLC	\$50.00
Dart Container Corporation	\$50.00
Delta Air Lines, Inc.	\$50.00
Global Strategy Group, LLC	\$700.00
HR&A Advisors, Inc.	\$675.00
LoCicero & Tan Inc.	\$50.00
New York Taxi Workers Alliance, Inc.	\$975.00
Pace University	\$25.00
Park Strategies, LLC	\$25.00
Sirefman Ventures, Inc.	\$725.00
The Blackstone Group L.P.	\$50.00
The Center for New York City Neighborhood, Inc.	\$350.00
The Ickes and Enright Group, Inc.	\$25.00
The Museum of Modern Art	\$100.00
Transportation Alternatives, Inc	\$425.00
Wilson, Elser, Moskowitz, Edelman and Dicker LLP	<u>\$50.00</u>
<u>TOTAL</u>	<u>\$4,525.00</u>

APPENDIX J

**LATE FILING PENALTIES: LOBBYIST 2014 FIRST THROUGH FIFTH PERIODIC
FUNDRAISING/POLITICAL CONSULTING REPORTS**

<u>Lobbyist Entity Name</u>	<u>Total</u>
<u>First Period</u>	
Pitta Bishop Del Giorno & Giblin LLC	\$25.00
The Ickes and Enright Group, Inc.	\$300.00
<u>Fourth Period</u>	
Extell Development Company	\$75.00
<u>TOTAL</u>	<u>\$400.00</u>

APPENDIX K

CIVIL PENALTIES: 2014 TERMINATION NOTICES

<u>Client Entity Name</u>	<u>Total</u>
145 West Street LLC	\$1,000.00
Adirondack Transit Lines, Inc.	\$650.00
BCB Property Management Inc.	\$375.00
Brodsky Organization LLC (The)	\$375.00
Faruqi & Faruqi, LLP	\$375.00
First Equity Abstract Corp.	\$750.00
Golden Hand of Staten Island, Inc.	\$1,500.00
HFZ 344 West 72nd Street Owner, LLC	\$375.00
Horse Celebrations, LLC	\$1,500.00
Lightstone Bronx Venture LLC	\$375.00
Neapolitan Express LLC	\$1,000.00
New York Master Cabbie Corp.	\$375.00
North American Manufacturing Enterprises, Inc.	\$375.00
Sea Wave Realty Corp.	\$1,000.00
Transit Ventures, LLC	<u>\$1,000.00</u>
TOTAL	<u>\$11,025.00</u>

APPENDIX L

CIVIL PENALTIES: 2014 INCORRECT REPORTS

<u>Lobbyist Entity Name</u>	<u>Total</u>
The Advance Group Inc.	\$1,000.00
The Carey Group LLC	<u>\$375.00</u>
<u>TOTAL</u>	<u>\$1,375.00</u>