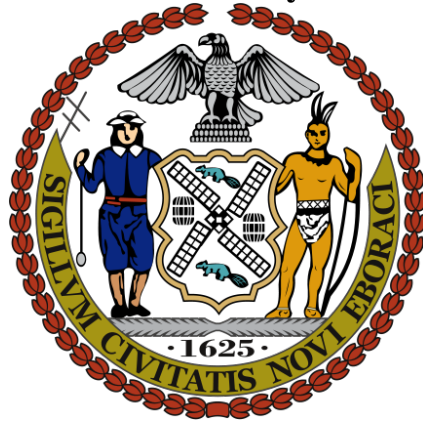


**Office of the City Clerk**



**Clerk of the Council**

**Office of the City Clerk**

**Clerk of the Council**

**Lobbying Bureau  
Annual Report**

**Michael McSweeney  
City Clerk, Clerk of the Council**

**Alisa Fuentes  
Deputy City Clerk**

**Damaris Acosta  
Deputy City Clerk**

**Patrick L. Synmoie  
Counsel to the City Clerk**

**Jaime Lynn Chirichella  
Deputy Counsel**

**Walter Carcione  
Chief Investigator**

**March 1, 2018**

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## Introduction

This is the twelfth 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 2017.

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

In 2017, the Lobbying Bureau received four complaints from the public regarding possible violations of the Lobbying Law; the four complaints remain under investigation. In addition, an open complaint from a prior year was closed. The result of the Lobbying Bureau’s closed complaint is as follows:

A complaint was made that Gaia Strategies, LLC (“Gaia”) violated Administrative Code §§3-213(a)(1), 3-216(a)(1) and 3-217(a) *et seq.* After review of the complaint and a subsequent investigation, the City Clerk found probable cause that Gaia violated the aforementioned sections of the Administrative Code in 2016. Formal proceedings have commenced.

**(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. In addition to penalties for any late filing, pursuant to Administrative Code §3-223(c), violators may be subject to a civil penalty, not to exceed \$20,000, if a violation is not cured. Lastly, for any violation of the Lobbying Law not covered in the foregoing provisions, pursuant to Administrative Code §3-223(d), violators may be subject to a civil penalty not to exceed \$20,000, if a violation is not cured.

Listed below are late filing penalties<sup>1</sup> incurred for each reporting period as of February 28, 2018.

***2016 Annual Reports (Client Annual Reports and Sixth Periodic Reports)***

The Lobbying Bureau identified 7 Lobbyists<sup>2</sup> that failed to timely file an aggregate of 13 annual reports<sup>3</sup> for 2016. For this failure, such Lobbyists incurred \$5,425 in aggregate late filing penalties. (See [Appendix A](#) attached hereto.)

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<sup>1</sup> The late filing penalties contained in this report are restricted to penalties resulting from the late filing of 2016 annual reports (client annual reports and sixth periodic reports) and 2017 filings including: statements of registration, amended statements of registration, first through fifth periodic reports, and first through fifth periodic fundraising and political consulting reports.

The Lobbying Bureau identified 107 late client annual reports. For this failure, such clients incurred \$51,020.00 in aggregate late filing penalties. (See [Appendix B](#) attached hereto.)

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

### ***2017 Statements of Registration and Periodic Reports***

The Lobbying Bureau identified 49 Lobbyists who failed to timely file an aggregate of 75 statements of registration. For this failure, such Lobbyists incurred \$57,325 in aggregate late filing penalties. (See [Appendix C](#) attached hereto.)

The Lobbying Bureau identified 19 Lobbyists who failed to timely file an aggregate of 26 amended statements of registration. For this failure, such Lobbyists incurred \$23,250 in aggregate late filing penalties. (See [Appendix D](#) attached hereto.)

The Lobbying Bureau identified 29 Lobbyists who failed to timely file an aggregate of 35 first periodic reports. For this failure, such Lobbyists incurred \$17,970 in aggregate late filing penalties. (See [Appendix E](#) attached hereto.)

The Lobbying Bureau identified 40 Lobbyists who failed to timely file an aggregate of 62 second periodic reports. For this failure, such Lobbyists incurred \$16,240 in aggregate late filing penalties. (See [Appendix F](#) attached hereto.)

The Lobbying Bureau identified 16 Lobbyists who failed to timely file an aggregate of 17 third periodic reports. For this failure, such Lobbyists incurred \$4,645 in aggregate late filing penalties. (See [Appendix G](#) attached hereto.)

The Lobbying Bureau identified 27 Lobbyists who failed to timely file an aggregate of 51 fourth periodic reports. For this failure, such Lobbyists incurred \$5,770 in aggregate late filing penalties. (See [Appendix H](#) attached hereto.)

The Lobbying Bureau identified 24 Lobbyists who failed to timely file an aggregate of 31 fifth periodic reports. For this failure, such Lobbyists incurred \$6,885 in aggregate late filing penalties. (See [Appendix I](#) attached hereto.)

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

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<sup>2</sup> As used throughout this report, “Lobbyists” refers to lobbying firms as well as lobbyist/client filers.

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

### ***2017 Fundraising and Political Consulting Reports***

In total, the Lobbying Bureau identified one Lobbyist who failed to timely file one fundraising and political consulting report. For this failure, such Lobbyist incurred \$300 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.

### ***2017 Late Termination Notices***

In total, ten clients incurred an aggregate of \$13,406.25 in civil penalties for failing to timely cure late termination notices<sup>4</sup>. (See [Appendix K](#) 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 Lobbyists in 2017. The audits encompassed an examination of all filings made in 2016 by the 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 132 findings and 132 required actions. Samples of audit findings included: reporting incorrect compensation and expenses; failing to file a termination notice; reporting incorrect compensation; failing to timely file reports; failing to properly describe subject details; missing target information; and registering a client in the wrong name. Examples of required actions included: amending reports; filing missing reports; reporting targets and contact names; and filing a termination notice.

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<sup>4</sup> The foregoing amount includes the civil penalty of a client who, as of February 28, 2018, has not cured. As a result the aggregate civil penalties will continue to accrue until the date of cure.



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

The Lobbying Bureau works with filers<sup>5</sup> 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 for: assistance with filing reports; questions regarding 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 requests for assistance continues to be an integral part of the Lobbying Bureau's daily functions.

***Training***

Local Law 129 of 2013 included a mandatory training requirement for Lobbyists. Pursuant to Administrative Code §3-219(h), Lobbyists that file a statement of registration must register for training within 15 days of the commencement of lobbying. Subsequently, Lobbyists must complete the training biennially. If a lobbyist registers 30 or more clients and lists five or more lobbying officers or employees, then two officers or employees, one of whom must have lobbied in the prior year, must complete the training.

The Lobbying Bureau started its mandatory training program in 2016. In the spring of 2017, of the 6 sessions that were conducted for new enrollees there were approximately 35 attendees. From September to December 2017, 22 training sessions were conducted in a small group format. Approximately, 240 people attended mandatory training in 2017. Each session included a detailed overview of the requirements of the Lobbying Law and provided in-depth instructions on filing reports in e-Lobbyist. Each attorney who attended was eligible to receive 1.5 continuing legal education credits. In 2018, the Lobbying Bureau will continue the mandatory training program. Pursuant to the Lobbying Law, Lobbyists have two years to comply with the requirement.

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<sup>5</sup> As 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.

## ***Outreach Efforts***

### *Notification to Recipients of Discretionary Funds under the City Council Fiscal Year 2018 Adopted Expense Budget - Schedule C*

The Lobbying Bureau sent letters to entities that received discretionary funding from the City Council for fiscal year 2018. Over 1,700 letters were sent to organizations that were not registered Lobbyists. Enclosed with the letter was a summary of the Lobbying Law. The letter alerted entities to the Lobbying Law and encouraged them to review their activities and related expenses to determine whether or not they were required to comply. The Lobbying Bureau received numerous telephone and email inquiries as a result of this outreach effort.

### *Comparison of New York City and New York State Lobbying Reports*

The Lobbying Bureau continued its efforts to uncover unreported City lobbying in 2017 by comparing more than 4,000 statements of registration filed with the Joint Commission on Public Ethics (“JCOPE”) with statements of registration filed with the Lobbying Bureau as of November 17, 2017.

It was determined that in total, 25 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 23 of these entities were not required to file statements of registration for various reasons including: (1) the entity inadvertently listed a City target on the JCOPE statement of registration when 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 a different legal entity name. The entities that were not required to file statements of registration with the Lobbying Bureau submitted supporting documentation to justify this determination. Two entities were required to file a 2017 statement of registration and periodic reports. The entities complied and paid late filing penalties.

## ***Other Compliance Efforts***

The Lobbying Bureau routinely examines reports filed on e-Lobbyist to determine the accuracy of the information contained in the statements of registration, retainer agreements and

periodic reports. Among the areas of review are: start and end dates of lobbying activities; entity names and compensation.

#### *Date Issues*

In 2017, the Lobbying Bureau discovered approximately 134 issues with start and end dates in Lobbyists' filings by comparing the dates on the statements of registration with the dates listed on the retainer agreements. Lobbyists were notified of any discrepancies 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 Issues*

In order to resolve name discrepancies, the Lobbying Bureau cross-checked client names listed on the statements of registration with the corresponding retainer agreements contained in e-Lobbyist. The Lobbying Bureau discovered approximately 118 issues involving entity names. The Lobbying Bureau instructed the entities to correct their name by: (1) requesting a change of the enrollment name; (2) filing an amended statement of registration with an amended retainer agreement listing the correct name; or (3) requiring both a name change and submission of an amended retainer.

#### *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 160 instances where the compensation amount listed in a periodic report did not match the compensation listed in the retainer agreement. 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 2017, the Lobbying Bureau recorded its activities and the types and number of requests received.<sup>6</sup> From January 1, 2017 through December 31, 2017, the Lobbying Bureau's time was allocated as follows: compliance 43%, audits 29%, enforcement 11%, e-Lobbyist assistance 7%, outreach and education 4%, investigations 3%, and administration 2%, (see page 39). In addition, the Lobbying Bureau received approximately 1,980 telephone calls (see page 41) and 6,570 email requests (see page 44). The majority of telephone calls involved filers requesting technical assistance with completing a filing on e-Lobbyist. The majority of emails involved filers requesting clarification regarding compliance. There was a 43% decrease in the number of telephone calls received in 2017 (see page 42) and a 5% increase in the number of emails received by the Lobbying Bureau in 2017 compared to 2016 (see page 45). A number of factors may have contributed to these changes including the Lobbying Bureau's mandatory training program.

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

In 2017, about 68 Lobbyists filed statements of registration for the first time. This is a 33% decrease in first time filers from last year. Twenty-one of these entities are lobbyists and 47 entities are lobbyist/client filers. The 47 lobbyist/client filers' industries were reported as follows: 11 not-for-profit organizations and/or community service organizations; 12 financial service companies; and the remaining as unions/trade associations, real estate, transportation, healthcare and education companies.

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<sup>6</sup> All data is compiled from information recorded and reported by Lobbying Bureau staff members and constitute best estimates.

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

See [Analysis of Lobbying Data](#) and charts on pages 34-35.

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

See [Analysis of Lobbying Data](#) and charts on page 36-37.

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

See [Analysis of Lobbying Data](#) and charts on pages 12-18 and 22-25.

**(xi) Other information and analysis.**

### ***Advisory Opinion***

In response to a written request inquiring whether communications with the Department of City Planning during the City Environmental Quality Review (“CEQR”) process are reportable lobbying activities, the City Clerk opined that such communications are not lobbying because there is no attempt to influence. See Advisory Opinion 2017-1 available at: <http://cityclerk.nyc.gov/html/lobbying/2017-1.shtml>.

### ***New and Improved Public Database***

On February 12, 2018, in collaboration with the New York City Department of Information Technology & Telecommunications (“DoITT”), an updated version of Lobbyist Search, the public database that contains the information reported by Lobbyists, was released. The updated system will allow the public to access lobbying information more quickly and more efficiently and is one of the ways in which the City is leading the nation with respect to disclosure of lobbying activities.

The enhanced capabilities of the system will assist in the Lobbying Bureau's continued efforts to promote transparency in government. The enhancements include expanded search capabilities, as required by law, including the ability to search by: (1) client entity name; (2) lobbyist entity name; (3) individual lobbyist employee name; (4) subject matter of the lobbying activity; (5); target City agency and individual being lobbied; and (6) subject details of the lobbying activity including the introduction, local law number with year, bill number, resolution number or other information sufficient to identify the matter on which the lobbying occurred. In addition, through the search portal, a PDF version of each filing made on the e-Lobbyist system, including retainer agreements, is available.

### ***Number of Reporting Lobbyists and Clients***

As of February 28, 2018, approximately 2,086 Lobbyists and 4,637 clients were enrolled in e-Lobbyist. In 2017, approximately 2,677 statements of registration were filed on e-Lobbyist and Lobbyists paid approximately \$235,000 in registration fees.

### ***Outlook For 2018***

In 2018, the Lobbying Bureau will continue to work with DoITT to improve the e-Lobbyist filing system and enhance the user-friendliness of the system including: text changes to screens and the user-guide; adding more drop-downs to replace free-form fields; and editing the automatic e-Lobbyist emails.

The Lobbying Bureau will continue to ensure compliance and enforcement of the Lobbying Law. 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. The Lobbying Bureau 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.

Local Law 129 of 2013 included certain exclusions from the definition of lobbying applicable to architects and engineers. Pursuant to Local Law 129 the City Clerk must

promulgate rules to further clarify the exclusions. The rulemaking process is in the initial stages and the Lobbying Bureau expects the process will be completed in 2018.

Furthermore, the Lobbying Bureau will continue to fulfill its statutory duties including conducting random audits and investigating unreported lobbying.

### ***Analysis of Lobbying Data***<sup>7</sup>

Each year the Lobbying Bureau analyzes the available data and reports on various macro and micro trends in City lobbying. In addition, the Lobbying Bureau receives many requests for information about City lobbying activity from the media 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 compensation (see pages 12-18); top lobbyists ranked by number of clients (see pages 19-21); and top lobbyists ranked by number of employees (see page 30).

The analyses of lobbyist/client filers includes top ten lobbyist/client filers ranked by compensation (see pages 22-25) and top lobbyist/client filers ranked by number of employees (see page 31). The analyses also contains information regarding clients including: top clients ranked by total compensation paid to all retained lobbying firms (see pages 26-27); top clients ranked by number of lobbying firms retained (see page 28); the top ten lobbying contracts (see page 29); and a breakdown of registered clients' industries (see pages 32-33). Also included are the top activities by subject category (see pages 34-35), top targets (see pages 36-37); and an analysis of the data reported in the fundraising reports (see page 38).

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<sup>7</sup> Please 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 2017 BY COMPENSATION**<sup>8</sup>

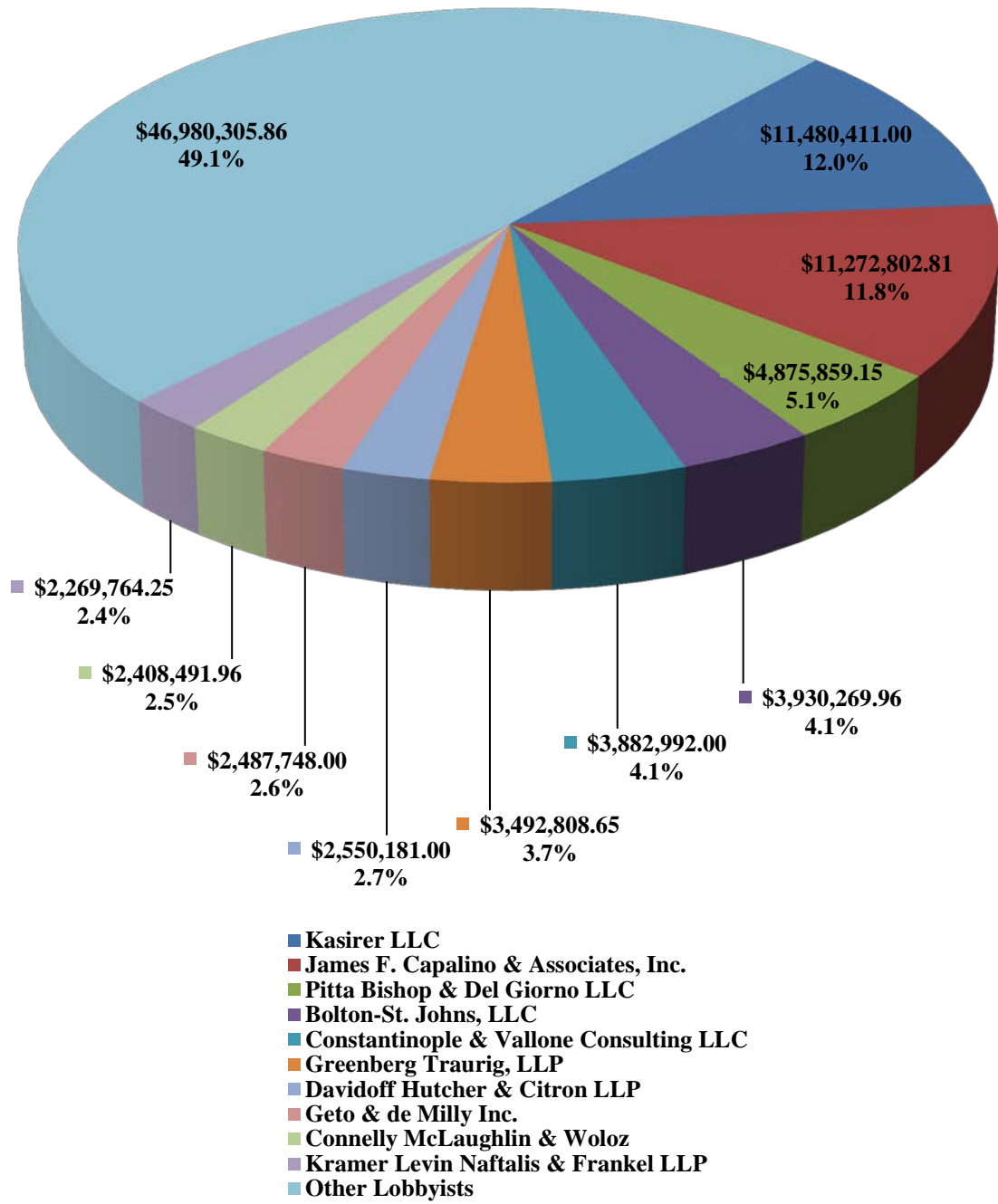
<b><u>Lobbyist</u></b>	<b><u>Total Compensation Reported</u></b>
Kasirer LLC	\$11,480,411.00
James F. Capalino & Associates, Inc.	\$11,272,802.81
Pitta Bishop & Del Giorno LLC	\$4,875,859.15
Bolton-St. Johns, LLC	\$3,930,269.96
Constantinople & Vallone Consulting LLC	\$3,882,992.00
Greenberg Traurig, LLP	\$3,492,808.65
Davidoff Hutcher & Citron LLP	\$2,550,181.00
Geto & de Milly Inc.	\$2,487,748.00
Connelly McLaughlin & Woloz	\$2,408,491.96
Kramer Levin Naftalis & Frankel LLP	\$2,269,764.25
<b>SUB-TOTAL</b>	<b>\$48,651,328.78</b>
<b>OTHER LOBBYISTS</b>	<b><u>\$46,980,305.86</u></b>
<b>TOTAL COMPENSATION</b>	<b><u>\$95,631,634.64</u></b>

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<sup>8</sup> Data is based on the cumulative compensation reported by the lobbyist in its 2017 periodic reports (period one through six) and is subject to change.



## TOP TEN LOBBYISTS OF 2017 BY COMPENSATION



**TOP TEN LOBBYISTS OF 2016 BY COMPENSATION<sup>9</sup>**

<b><u>Lobbyist</u></b>	<b><u>Total Compensation Reported</u></b>
James F. Capalino & Associates, Inc.	\$13,485,445.46
Kasirer LLC	\$10,304,683.49
Pitta Bishop Del Giorno & Giblin LLC	\$4,013,285.77
Bolton-St. Johns, LLC	\$3,693,827.57
Constantinople & Vallone Consulting LLC	\$3,670,492.00
Davidoff Hutcher & Citron LLP	\$3,108,056.75
Kramer Levin Naftalis & Frankel LLP	\$3,039,528.20
Greenberg Traurig, LLP	\$2,835,415.46
Manatt, Phelps & Phillips, LLP	\$2,629,806.41
Geto & de Milly Inc.	<u>\$2,532,002.00</u>
<b>SUB-TOTAL</b>	\$49,312,543.11
<b>OTHER LOBBYISTS</b>	<u>\$46,269,067.38</u>
<b>TOTAL COMPENSATION</b>	<b><u>\$95,581,610.49</u></b>

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<sup>9</sup> Data 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, 2017.

**TOP TEN LOBBYISTS OF 2015 BY COMPENSATION**<sup>10</sup>

<b><u>Lobbyist</u></b>	<b><u>Total Compensation Reported</u></b>
James F. Capalino & Associates, Inc.	\$12,886,180.70
Kasirer LLC	\$9,536,388.98
Pitta Bishop Del Giorno & Giblin LLC	\$4,158,631.00
Bolton-St. Johns, LLC	\$3,870,356.46
Constantinople & Vallone Consulting LLC	\$3,328,159.70
Greenberg Traurig, LLP	\$3,141,117.53
Davidoff Hutcher & Citron LLP	\$2,916,029.50
Manatt, Phelps & Phillips, LLP	\$2,400,616.16
Geto & de Milly Inc.	\$2,342,588.00
Mercury Public Affairs, LLC	<u>\$2,231,913.93</u>
<b>SUB-TOTAL</b>	\$46,811,981.96
<b>OTHER LOBBYISTS</b>	<u>\$39,352,306.87</u>
<b>TOTAL COMPENSATION</b>	<b><u>\$86,164,288.83</u></b>

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<sup>10</sup> Data 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, 2016.

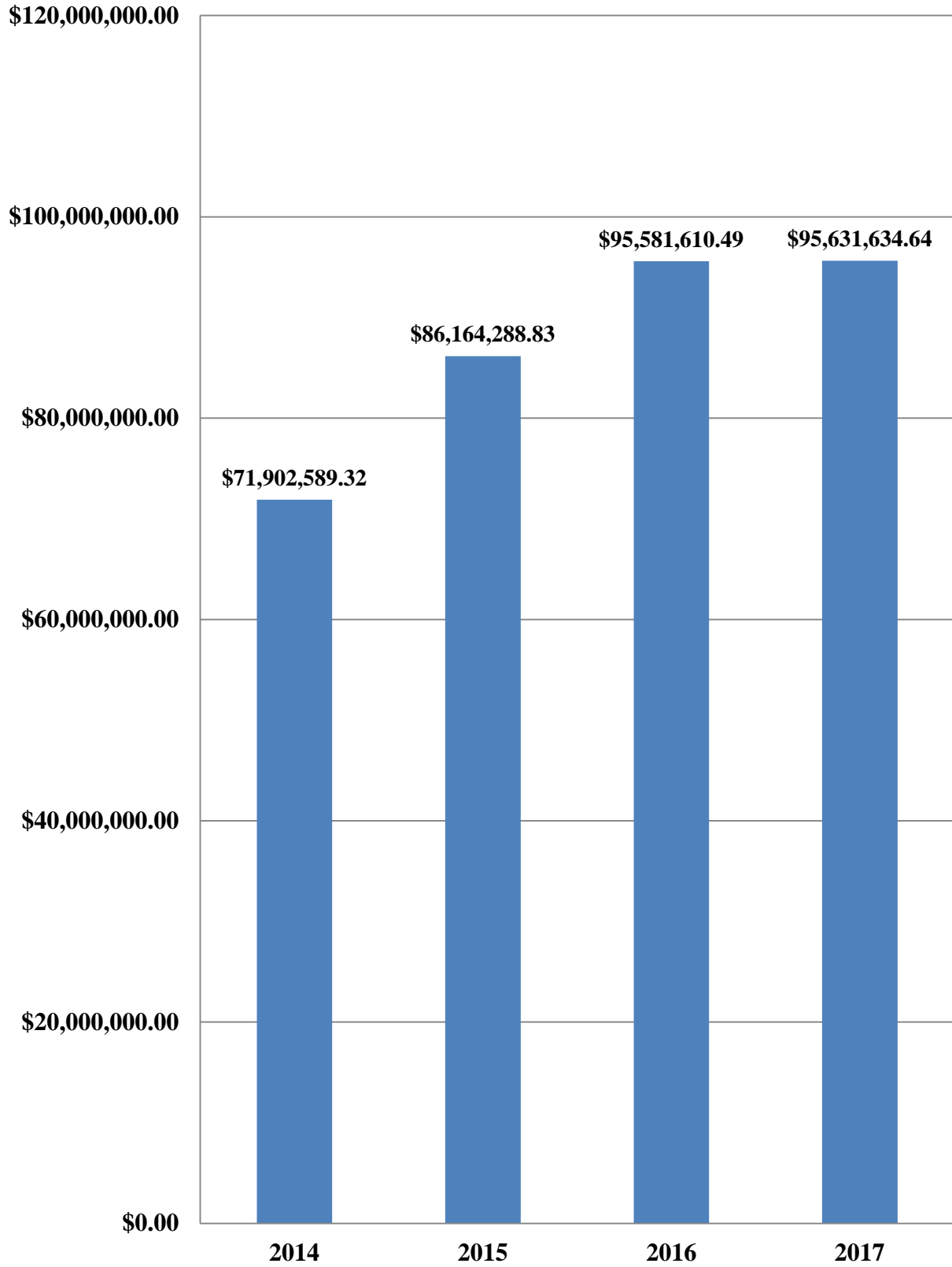
**TOP TEN LOBBYISTS OF 2014 BY COMPENSATION<sup>11</sup>**

<b><u>Lobbyist</u></b>	<b><u>Total Compensation Reported</u></b>
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>
<b>SUB-TOTAL</b>	\$36,321,483.68
<b>OTHER LOBBYISTS</b>	<u>\$35,581,105.64</u>
<b>TOTAL COMPENSATION</b>	<b><u>\$71,902,589.32</u></b>

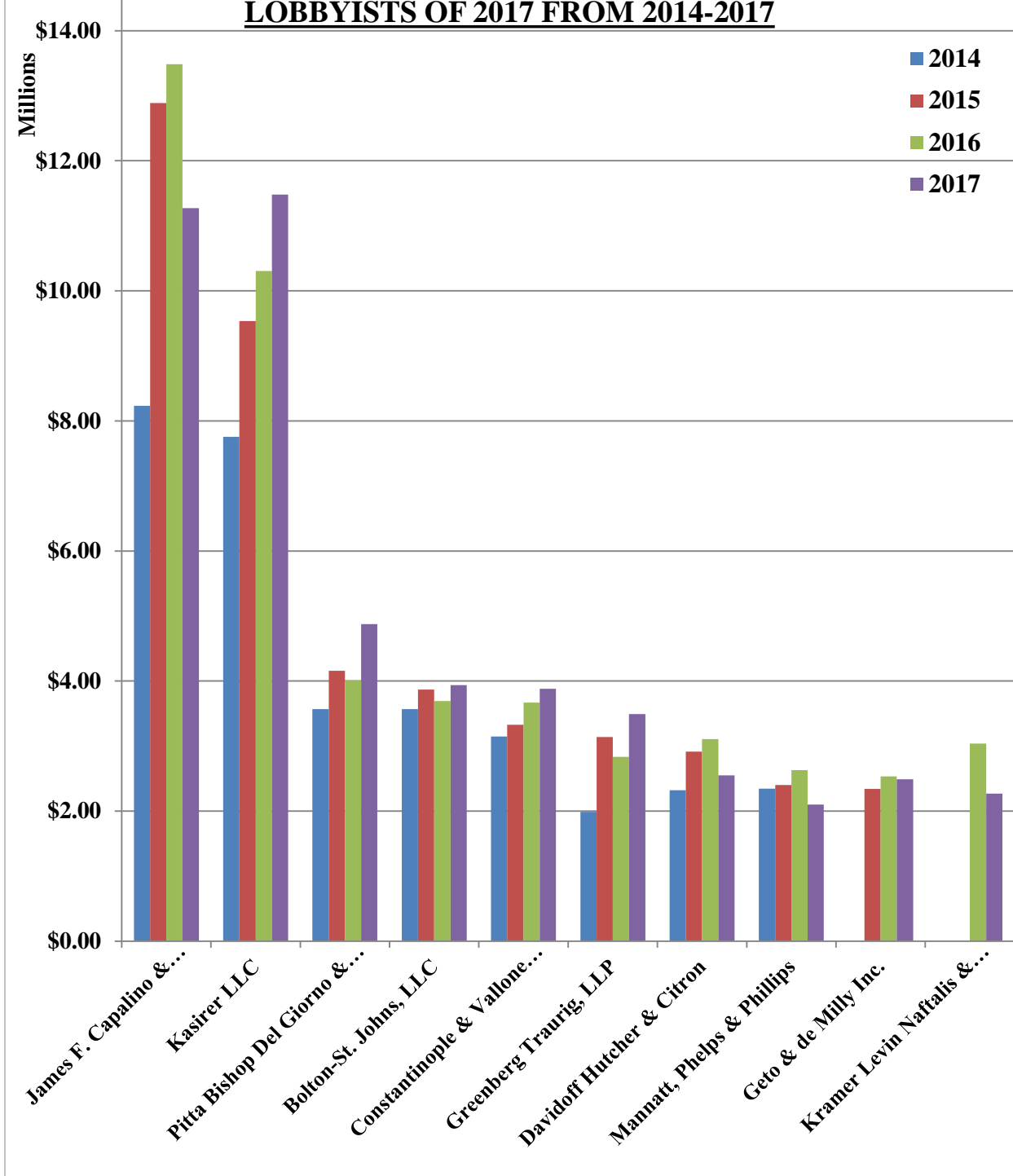
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<sup>11</sup> Data is based on the cumulative compensation reported by the lobbyist in its periodic reports as reported in the Lobbying Bureau Annual Report dated March 1, 2015.

**COMPARISON OF COMPENSATION OF LOBBYISTS FROM 2014-2017**



**COMPARISON OF COMPENSATION OF TOP LOBBYISTS OF 2017 FROM 2014-2017**



\*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 2017 BY NUMBER OF CLIENTS<sup>12</sup> REGISTERED<sup>13</sup>**

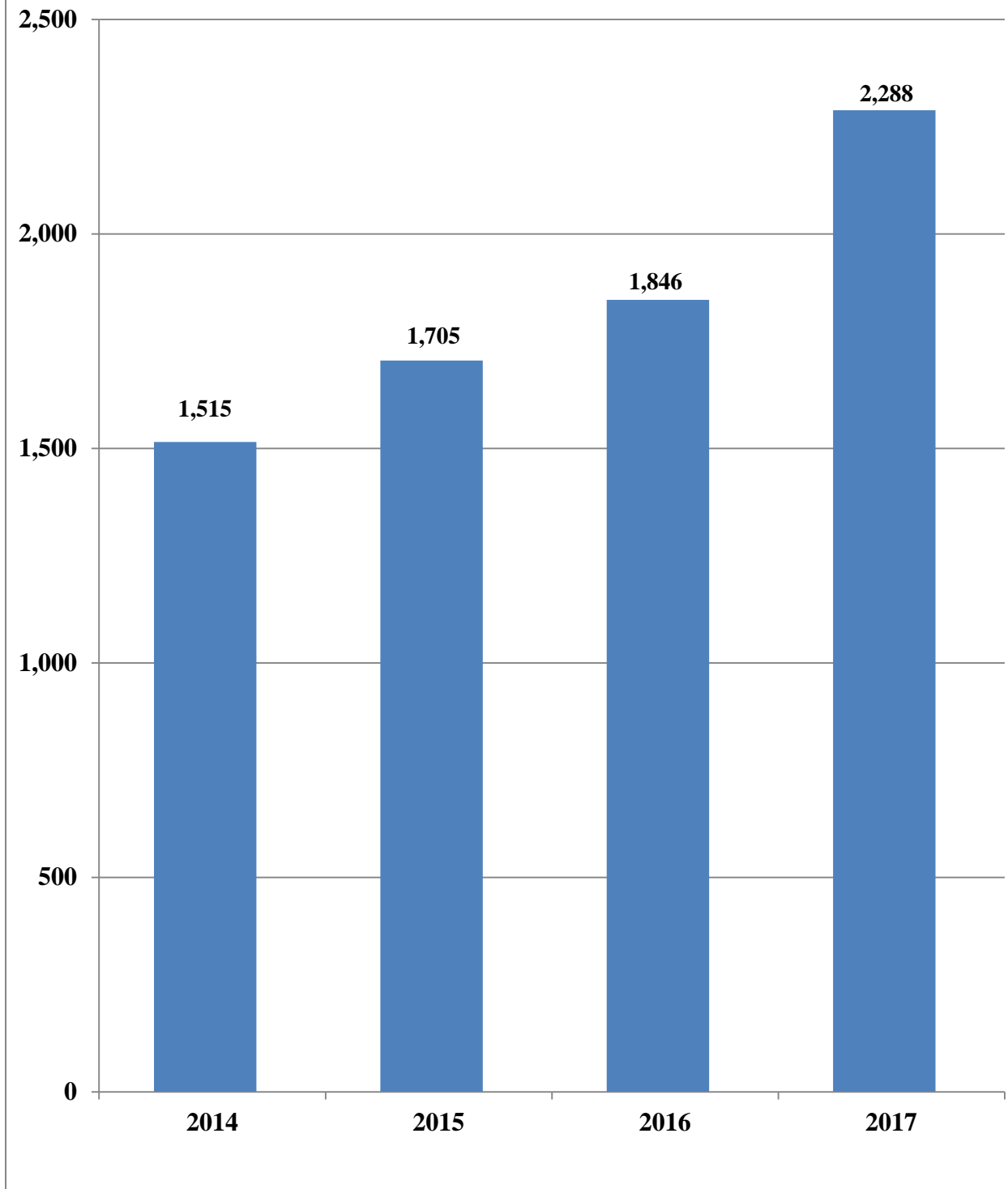
<b><u>Lobbyist</u></b>	<b><u>Number of Clients Registered</u></b>
James F. Capalino & Associates, Inc.	298
Kasirer LLC	190
Eric Palatnik, P.C.	114
Pitta Bishop & Del Giorno LLC	108
Greenberg Traurig, LLP	80
Constantinople & Vallone Consulting LLC	67
Bolton-St. Johns, LLC	64
Sheldon Lobel, P.C.	63
Davidoff Hutcher & Citron LLP	60
Connelly McLaughlin & Woloz	55

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<sup>12</sup> “Clients” includes clients and lobbyist/client filers that reported retaining an outside lobbying entity in 2017.

<sup>13</sup> Data is based on statements of registration filed by lobbyists.

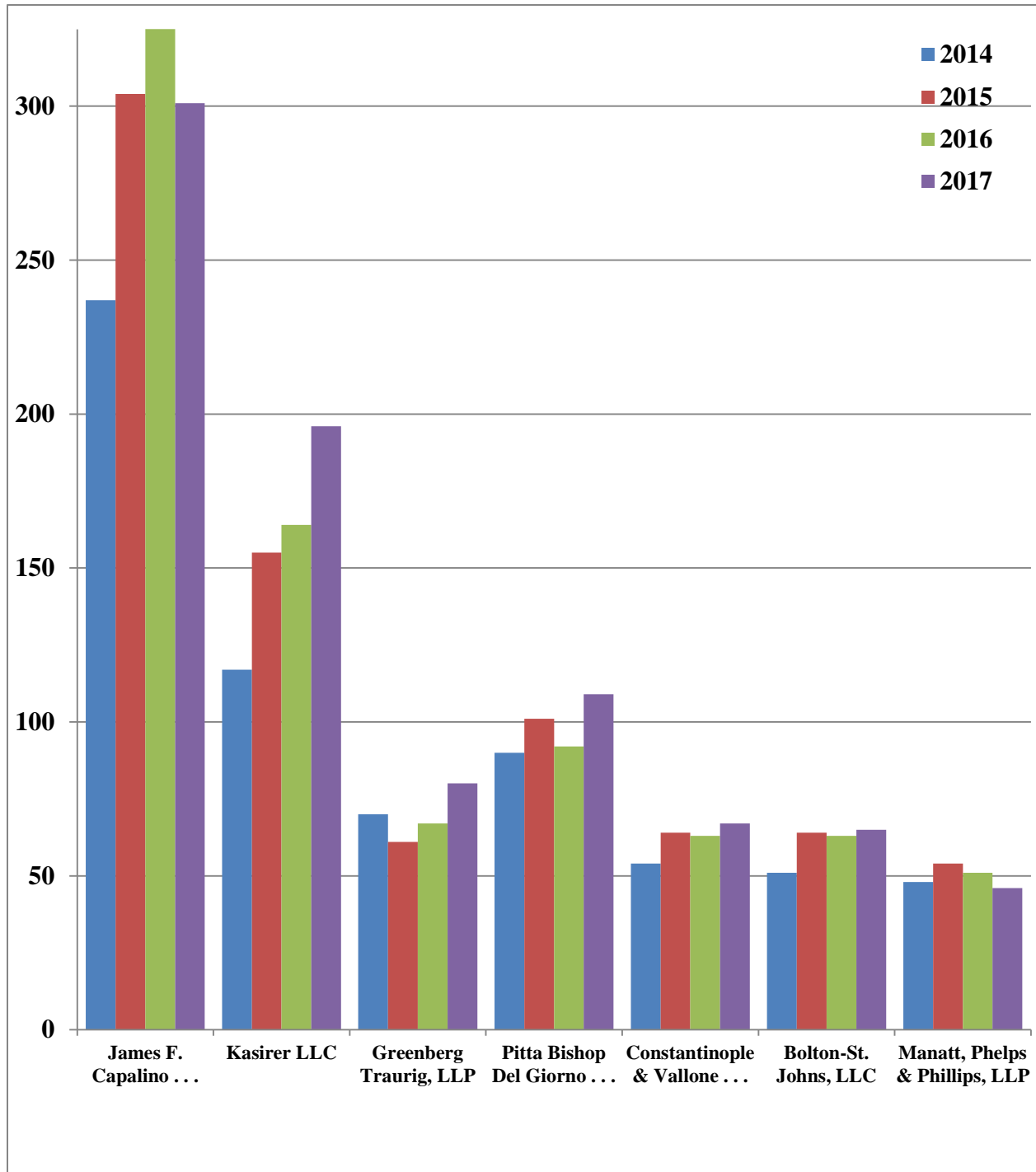
**COMPARISON OF TOTAL CLIENTS FROM 2014-2017\***



\* "Clients" includes clients and lobbyist/client filers that reported retaining an outside lobbying entity in 2017. Data 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 OF TOP LOBBYISTS FROM 2014-2017\***



\*This 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 2014-2016.

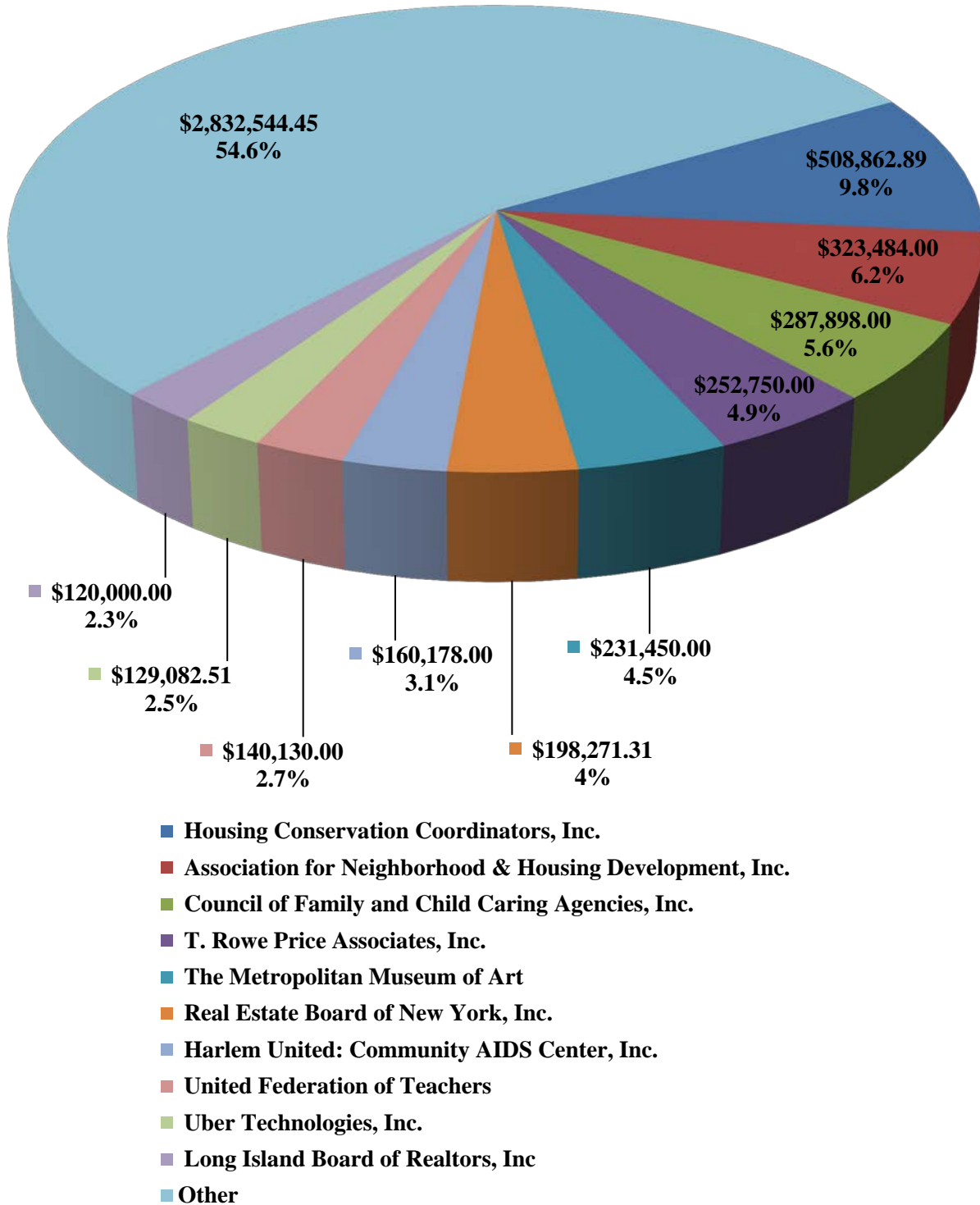
**TOP TEN LOBBYIST/CLIENT FILERS OF 2017 BY COMPENSATION**<sup>14</sup>

<b><u>Lobbyist/Client</u></b>	<b><u>Total Compensation Reported</u></b>
Housing Conservation Coordinators, Inc.	\$508,862.89
Association for Neighborhood & Housing Development, Inc.	\$323,484.00
Council of Family and Child Caring Agencies, Inc.	\$287,898.00
T. Rowe Price Associates, Inc.	\$252,750.00
The Metropolitan Museum of Art	\$231,450.00
Real Estate Board of New York, Inc.	\$198,271.31
Harlem United: Community AIDS Center, Inc.	\$160,178.00
United Federation of Teachers	\$140,130.00
Uber Technologies, Inc.	\$129,082.51
Long Island Board of Realtors, Inc	\$120,000.00
<b>SUB-TOTAL</b>	\$2,352,106.71
<b>OTHER LOBBYIST/CLIENTS</b>	<u>\$2,832,544.45</u>
<b>TOTAL COMPENSATION</b>	<b><u>\$5,184,651.16</u></b>

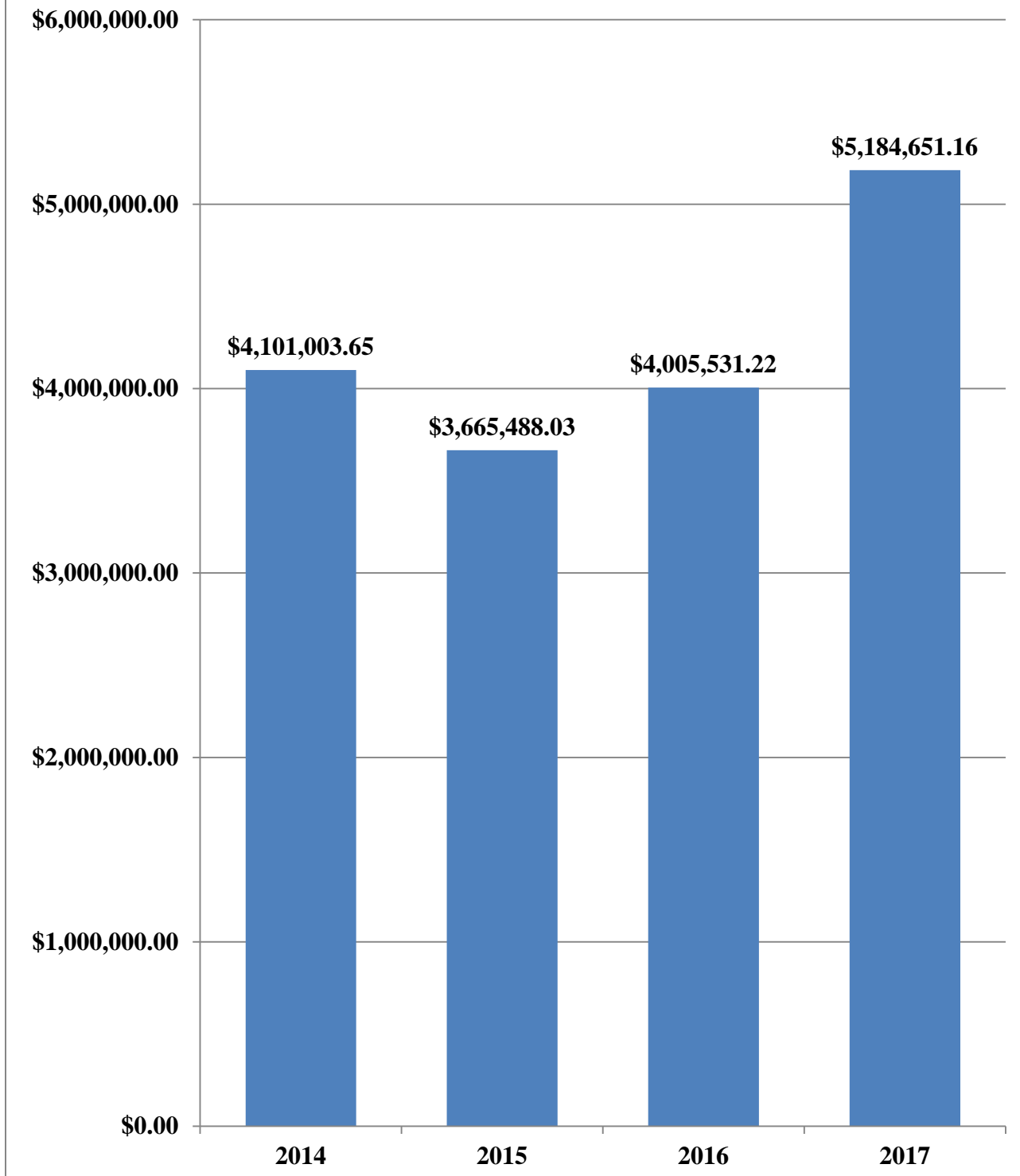
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<sup>14</sup> Data is based on cumulative compensation reported in periodic reports filed by lobbyist/client filers.

## TOP TEN LOBBYIST/CLIENT FILERS OF 2017 BY COMPENSATION

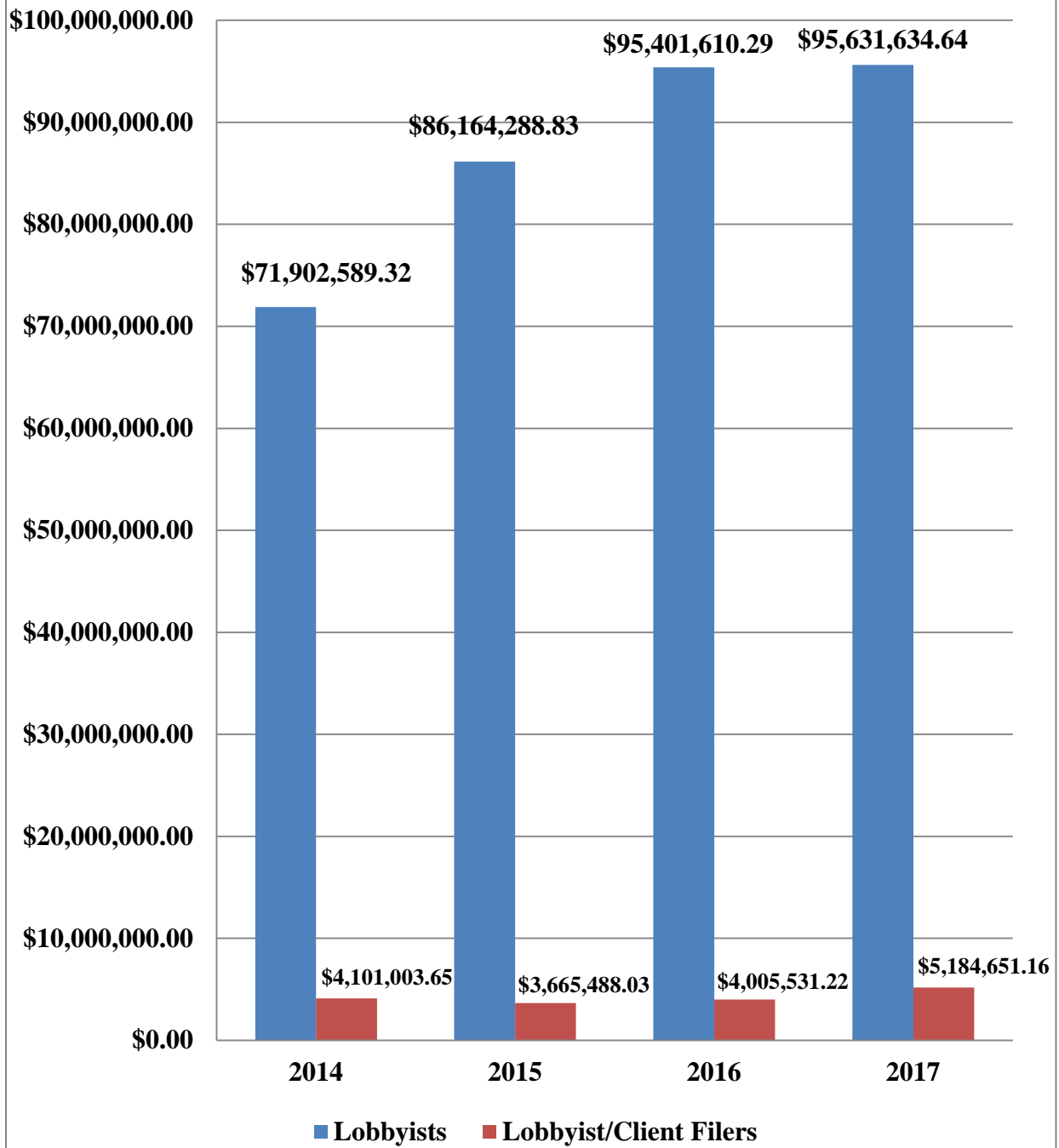


### COMPARISON OF LOBBYIST/CLIENT FILERS' COMPENSATION FROM 2014-2017\*



\*Data is based on the cumulative compensation reported by lobbyist/client filers in its periodic reports in 2017 and as reported in the Lobbying Bureau Annual Report for the respective previous years.

**COMPARISON OF LOBBYISTS' AND LOBBYIST/CLIENT  
FILERS' COMPENSATION FROM 2014-2017\***



\*Data is based on the cumulative compensation reported by lobbyists and lobbyist/client filers in its periodic reports in 2017 and as reported in the Lobbying Bureau Annual Report for the respective previous years.

**TOP TEN CLIENTS<sup>15</sup> OF 2017 BY COMPENSATION TO ALL LOBBYING FIRMS<sup>16</sup>**

<b><u>Client</u></b>	<b><u>Lobbyist</u></b>	<b><u>Compensation</u></b>
Design Center Inc.	Kramer Levin Naftalis & Frankel LLP	\$582,486.00
	James F. Capalino & Associates, Inc.	\$96,000.00
	HR&A Advisors, Inc.	\$60,000.00
	WXY architecture + urban design	<u>\$17,139.00</u>
		<b><u>\$755,625.00</u></b>
New York State Trial Lawyers Association, Inc.	Patrick B. Jenkins & Associates	\$372,000.00
	Beaudoin & Company, LLC	<u>\$198,000.00</u>
		<b><u>\$570,000.00</u></b>
Verizon Corporate Resources Group LLC	The Ickes and Enright Group, Inc.	\$100,000.00
	Bolton-St. Johns, LLC	\$99,999.96
	Connelly McLaughlin & Woloz	\$99,999.96
	National Strategies, LLC	\$96,000.00
	Tonio Burgos & Associates, Inc.	\$90,000.00
	Park Strategies, LLC	<u>\$60,000.00</u>
		<b><u>\$545,999.92</u></b>
Charter Communications, Inc.	Kasirer LLC	\$120,000.00
	Miram Group LLC	\$120,000.00
	Mercury Public Affairs, LLC	\$90,000.00
	Patrick B. Jenkins & Associates	\$85,000.00
	Fried, Frank, Harris, Shriver & Jacobson LLP	<u>\$9,450.00</u>
		<b><u>\$424,450.00</u></b>
EmblemHealth Services Company, LLC	The Roffe Group P.C.	\$215,833.00
	Tonio Burgos & Associates, Inc.	\$146,004.00
	Manatt, Phelps & Phillips, LLP	<u>\$25,000.00</u>
		<b><u>\$386,837.00</u></b>
Avalon Bay Communities, Inc.	Holland & Knight LLP	\$276,784.50
	Tonio Burgos & Associates, Inc.	\$102,000.00
	Perkins Eastman Architects, D.P.C.	<u>\$4,745.00</u>
		<b><u>\$383,529.50</u></b>

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

<sup>16</sup> Data is based on the cumulative compensation reported by the lobbyist in its 2017 periodic reports.

Dart Container Corporation	Park Strategies, LLC	\$120,000.00
	The Ickes and Enright Group, Inc.	\$120,000.00
	Bolton-St. Johns, LLC	\$90,000.00
	Robert Jackson	\$48,000.00
		<b><u>\$378,000.00</u></b>
Committee For Taxi Safety Inc.	Bolton-St. Johns, LLC	\$320,000.04
	Connective Strategies Associates Inc.	<u>\$48,000.00</u>
		<b><u>\$368,000.04</u></b>
Hunts Point Cooperative Market, Inc.	REGIONAL PROGRAMS, INC.	\$180,000.00
	Greenberg Traurig, LLP	\$150,542.15
	James F. Capalino & Associates, Inc.	<u>\$30,000.00</u>
		<b><u>\$360,542.15</u></b>
T-Mobile USA, Inc.	Kasirer LLC	\$180,000
	Constantinople & Vallone Consulting LLC	\$156,000
	T-Mobile USA, Inc.	\$15,498
		<b><u>\$351,498.00</u></b>

**TOP CLIENTS OF 2017 BY RETAINED LOBBYING FIRMS**<sup>17</sup>

<b><u>Client</u></b>	<b><u># of Firms Retained</u></b>
Cornell Realty Management LLC	6
Northwell Health, Inc.	6
Verizon Corporate Resources Group LLC	6
1-10 Bush Terminal Owner, LP with 19-20 Bush Terminal Owner, LP	5
19-20 Bush Terminal Owner, LP with 1-10 Bush Terminal Owner, LP	5
Altria Client Services LLC	5
Charter Communications, Inc.	5
1010 Pacific Street LLC	4
Arker Diversified Companies	4
Dart Container Corporation	4
Design Center Inc.	4
New York Blood Center, Inc.	4
New York University	4
Oracle America, Inc.	4
The Lightstone Group, LLC	4
The Mount Sinai Hospital	4
Tishman Speyer Properties, L.P.	4

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<sup>17</sup> Data 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 2017**  
**(COMPENSATION PAID<sup>18</sup> TO ONE LOBBYING FIRM)<sup>19</sup>**

<b><u>Client</u></b>	<b><u>Lobbyist</u></b>	<b><u>Compensation</u></b>
Design Center Inc.	Kramer Levin Naftalis & Frankel LLP	\$582,486.00
New York State Trial Lawyers Association, Inc.	Patrick B. Jenkins & Associates	\$372,000.00
Committee For Taxi Safety Inc.	Bolton-St. Johns, LLC	\$320,000.04
JC Dwight Inc.	Herrick, Feinstein LLP	\$304,890.50
Coney Island Holdings LLC	Davidoff Hutcher & Citron LLP	\$300,000.00
Douglaston Development, LLC	Kramer Levin Naftalis & Frankel LLP	\$291,388.90
Avalon Bay Communities, Inc.	Holland & Knight LLP	\$276,784.50
American Lion LLC	Greenberg Traurig, LLP	\$243,744.00
Northwell Health, Inc.	Kasirer LLC	\$240,000.00
TAXIFLEET MANAGEMENT LLC	Gotham Government Relations LLC	\$240,000.00
The Mount Sinai Hospital	Kasirer LLC	\$240,000.00

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

<sup>19</sup> Based on the cumulative compensation reported by the lobbyist in its 2017 periodic reports.

**TOP LOBBYISTS OF 2017 BY NUMBER OF EMPLOYEES**<sup>20</sup>

<b><u>Lobbyist</u></b>	<b><u># of Employees</u></b>
James F. Capalino & Associates, Inc.	26
Tusk Strategies, Inc.	26
Greenberg Traurig, LLP	22
Akerman LLP	19
Kasirer LLC	18
Kramer Levin Naftalis & Frankel LLP	18
Davidoff Hutcher & Citron LLP	17
Constantinople & Vallone Consulting LLC	14
Bolton-St. Johns, LLC	14
Daniel J. Edelman, Inc.	14

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<sup>20</sup> Data is based on employees listed on the statements of registration filed by lobbyists.

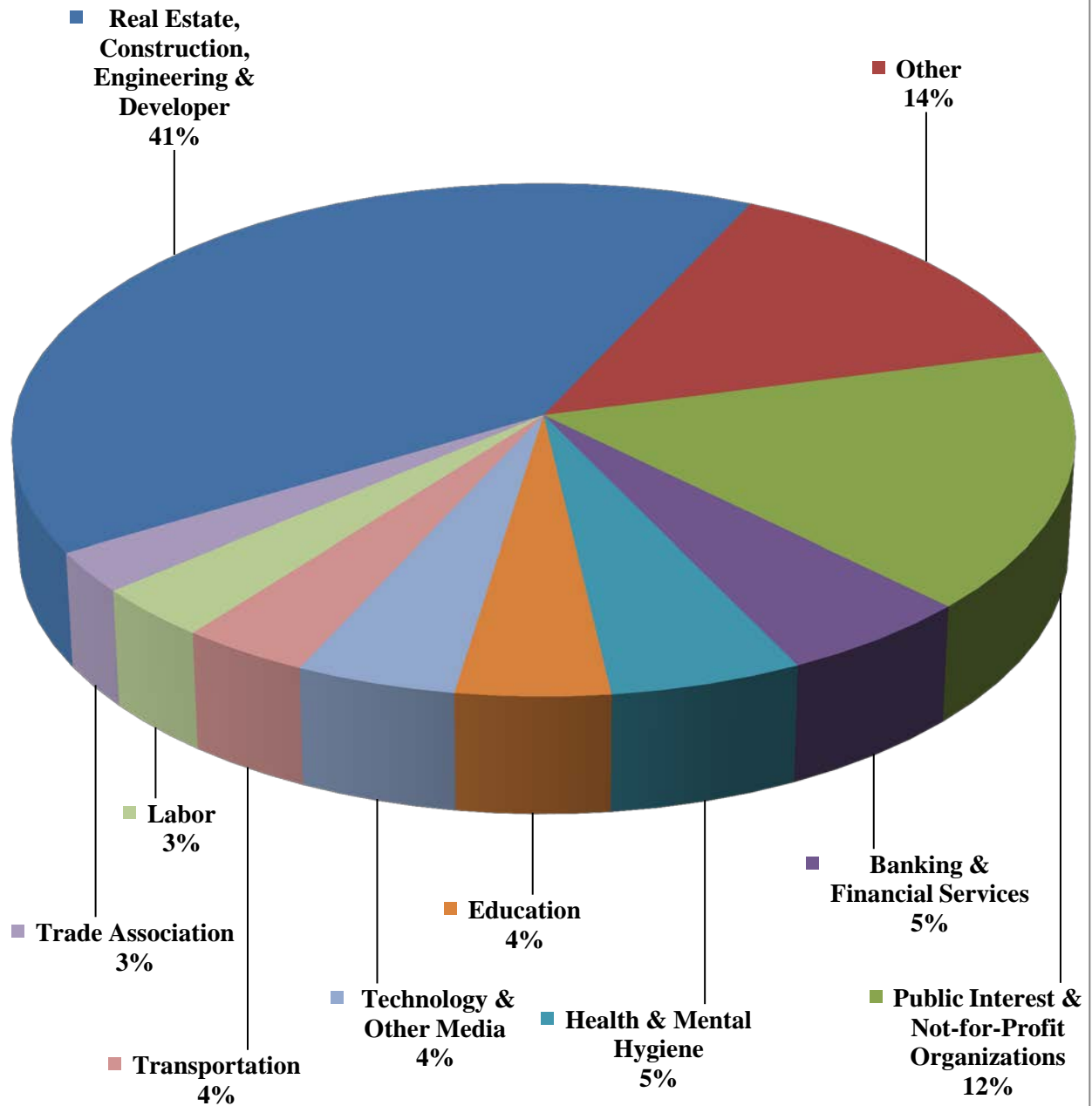
**TOP LOBBYIST/CLIENT FILERS OF 2017 BY NUMBER OF EMPLOYEES<sup>21</sup>**

<b><u>Lobbyist</u></b>	<b><u># of Employees</u></b>
Make the Road New York	50
Consolidated Edison, Inc.	49
Jewish Association for Services for the Aged	49
Urban Justice Center	47
United Federation of Teachers	36
Nestle Waters North America Inc.	30
CAMBA, Inc.	29
Fund for the City of New York, Inc.	29
The Related Companies, LP	26
Mobilization for Justice, Inc.	25

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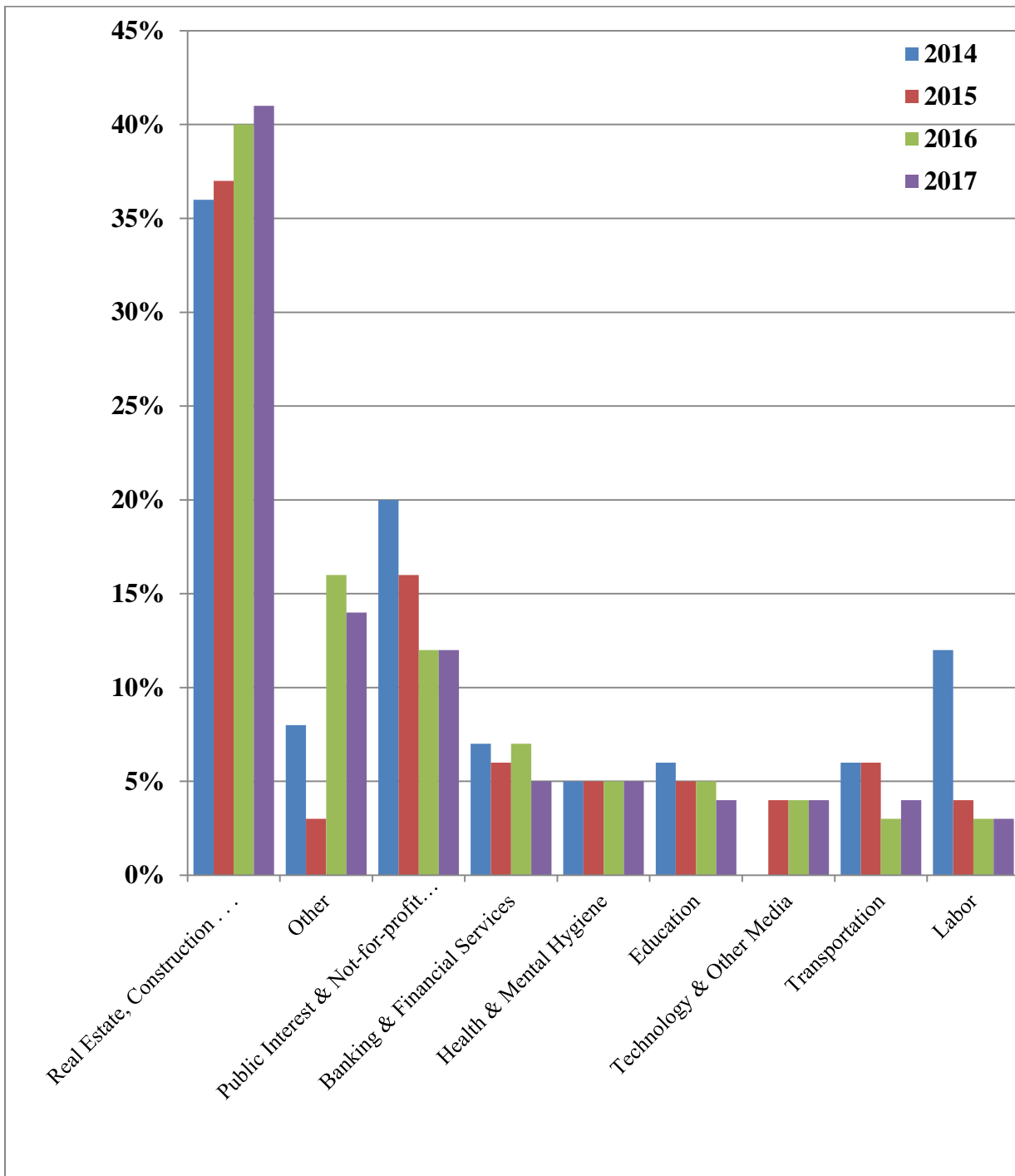
<sup>21</sup> Data is based on employees listed on the statements of registration filed by lobbyist/client filers.

## DISTRIBUTION OF CLIENTS' INDUSTRIES IN 2017\*



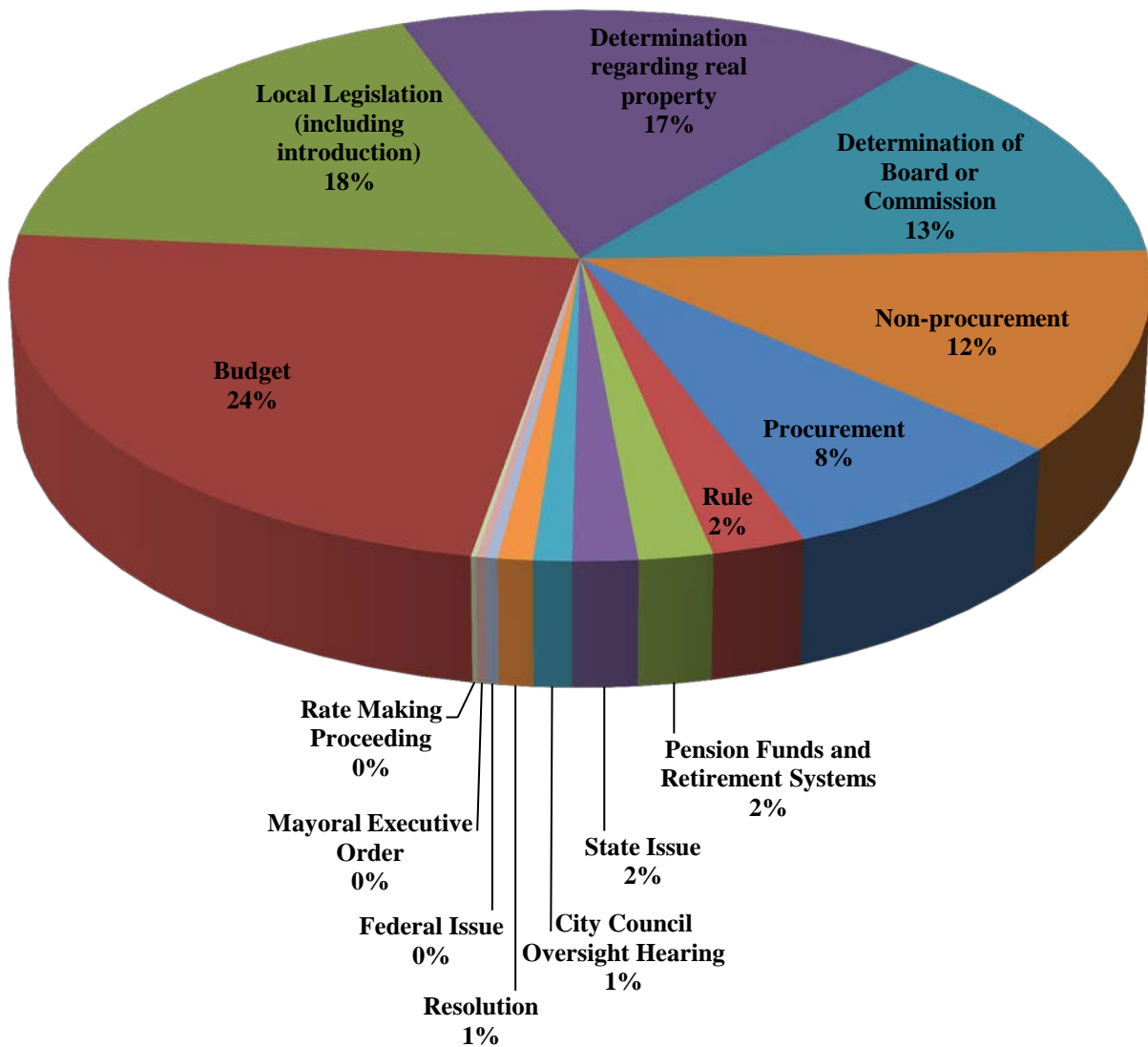
\*Data is based on the client industry the lobbyist reported on the statement of registration. Variance due to rounding.

**COMPARISON OF CLIENTS' INDUSTRIES FROM 2014-2017\***



\*This chart includes a comparison of client industries that were reported in the Lobbying Bureau Annual Reports in 2015 – 2017.

## DISTRIBUTION OF SUBJECT CATEGORIES OF 2017\*



\*Data is based on the subject category reported on periodic reports filed by Lobbyists. Variance due to rounding.

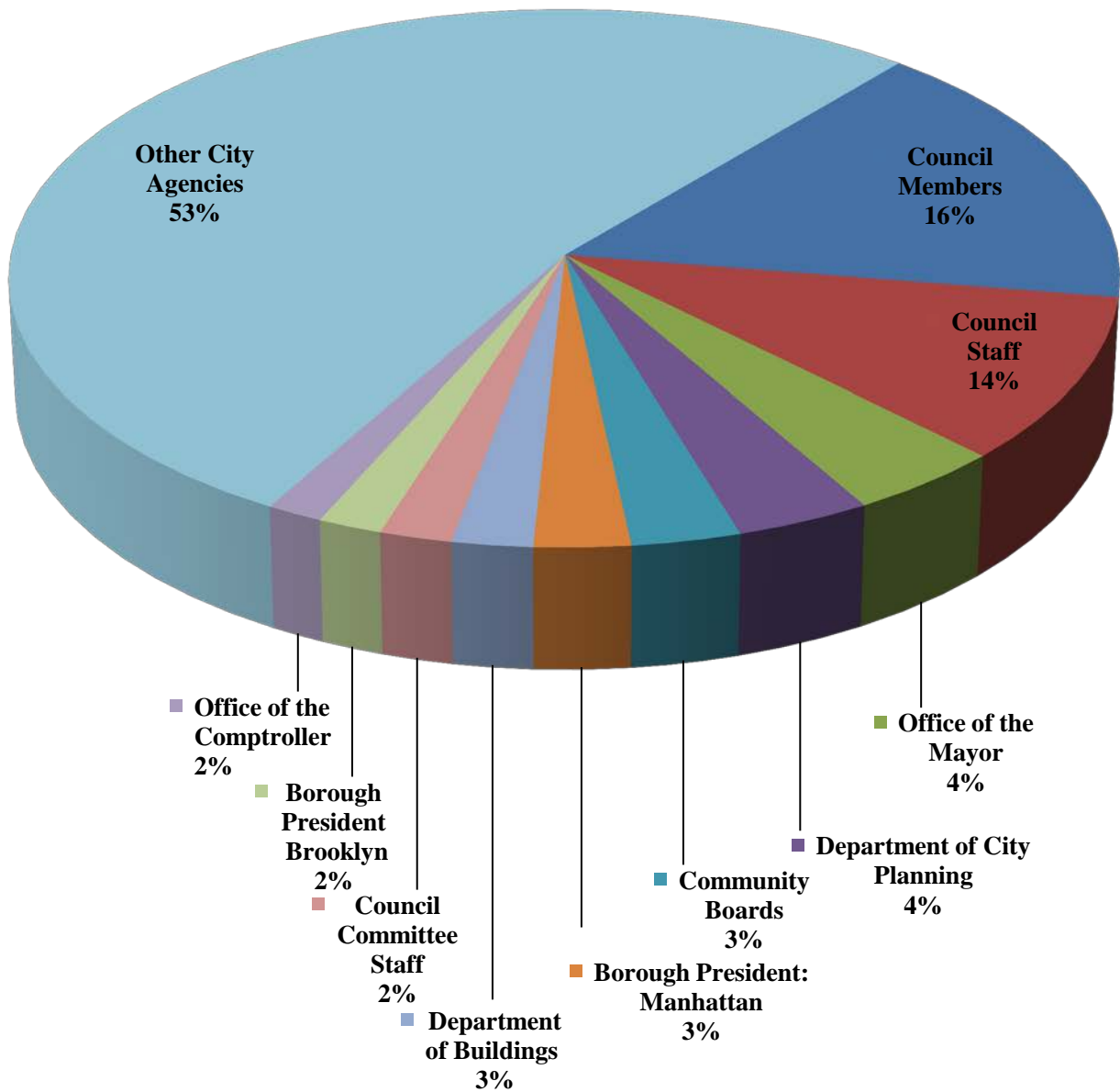
## DISTRIBUTION OF SUBJECT CATEGORIES IN 2017

<u>Subject</u>	<u>Percentage</u>
Budget	24%
Local Legislation (including introduction)	18%
Real Property	17%
Board/Commission	13%
Non-Procurement <sup>22</sup>	12%
Procurement	8%
Rule	2%
Pension Funds and Retirement Systems	2%
State Issue	2%
City Council Oversight Hearing	1%
Resolution	Less than 1%
Federal Issue	Less than 1%
Mayoral Executive Order	Less than 1%
Ratemaking Proceeding	Less than 1%

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<sup>22</sup> Non-procurement is a catch-all category for activities that cannot be included in another category. This category has been discontinued as of the third filing period in 2017.

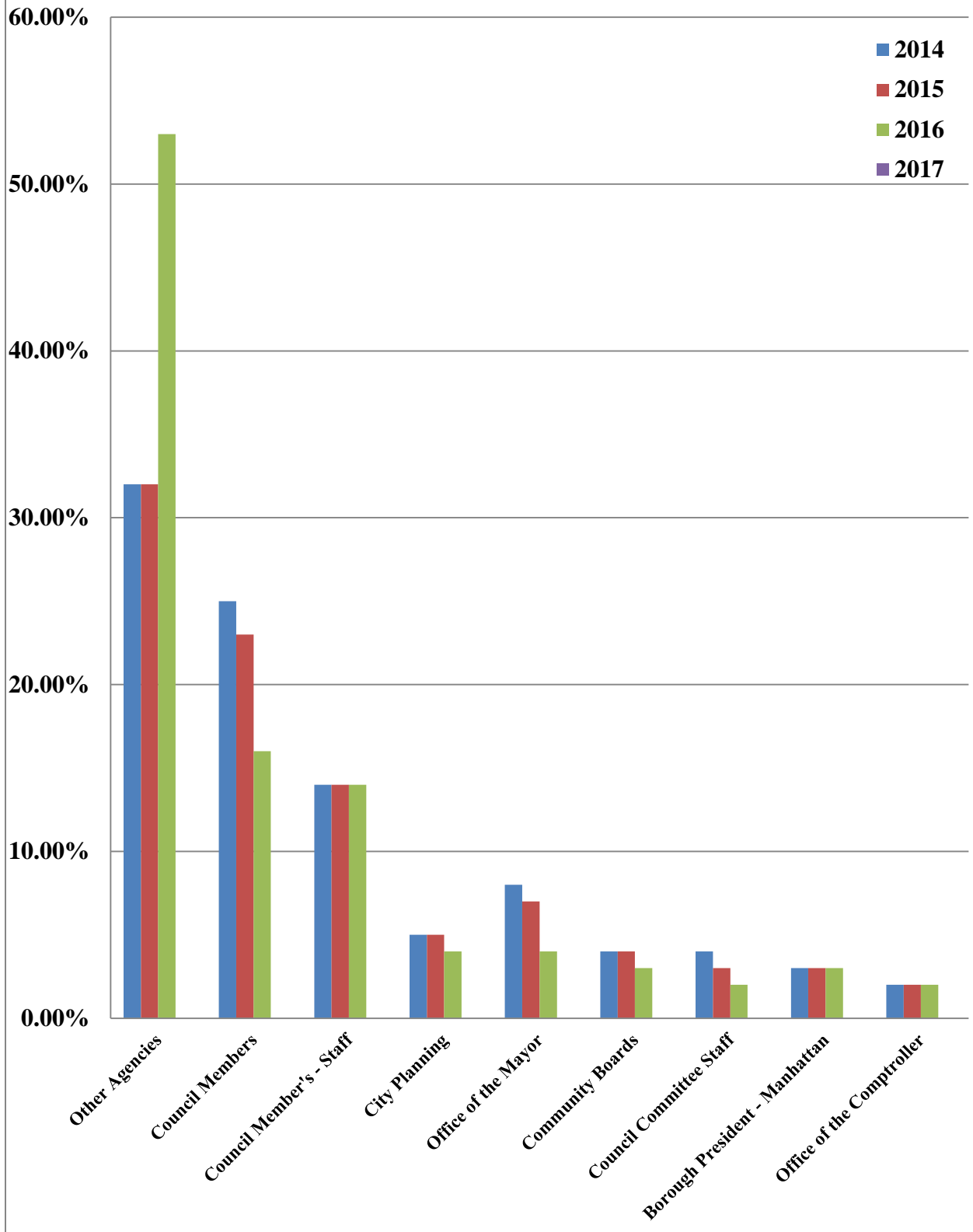
### TOP TARGETS OF 2017\*



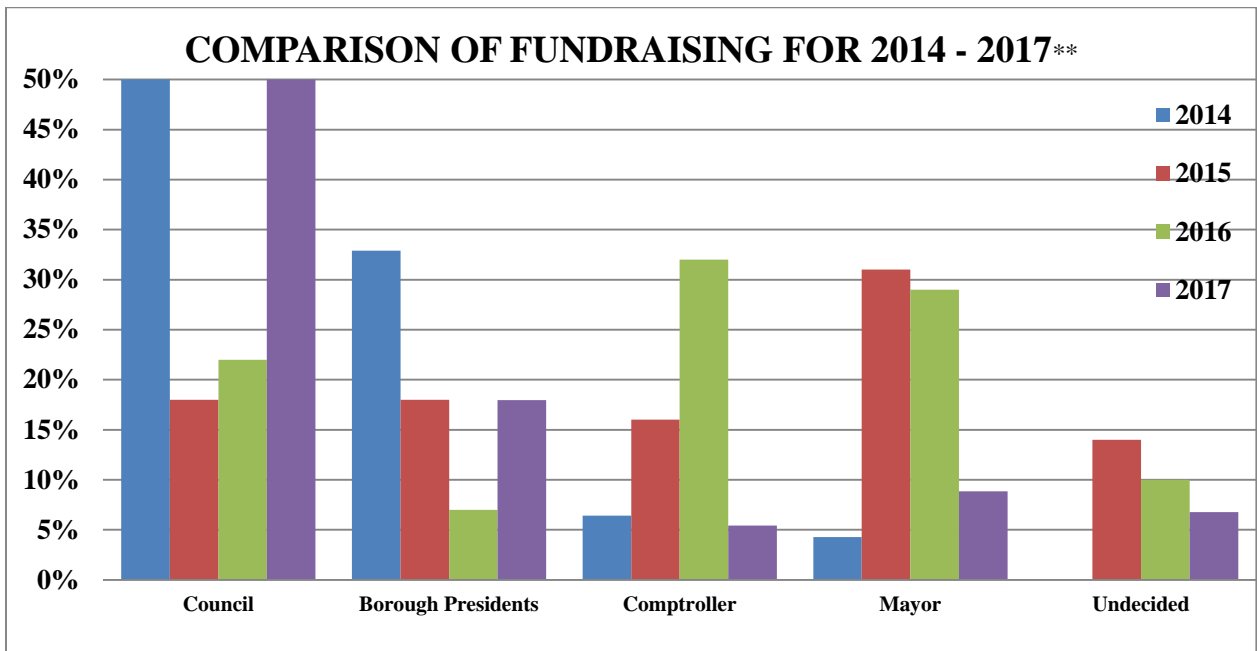
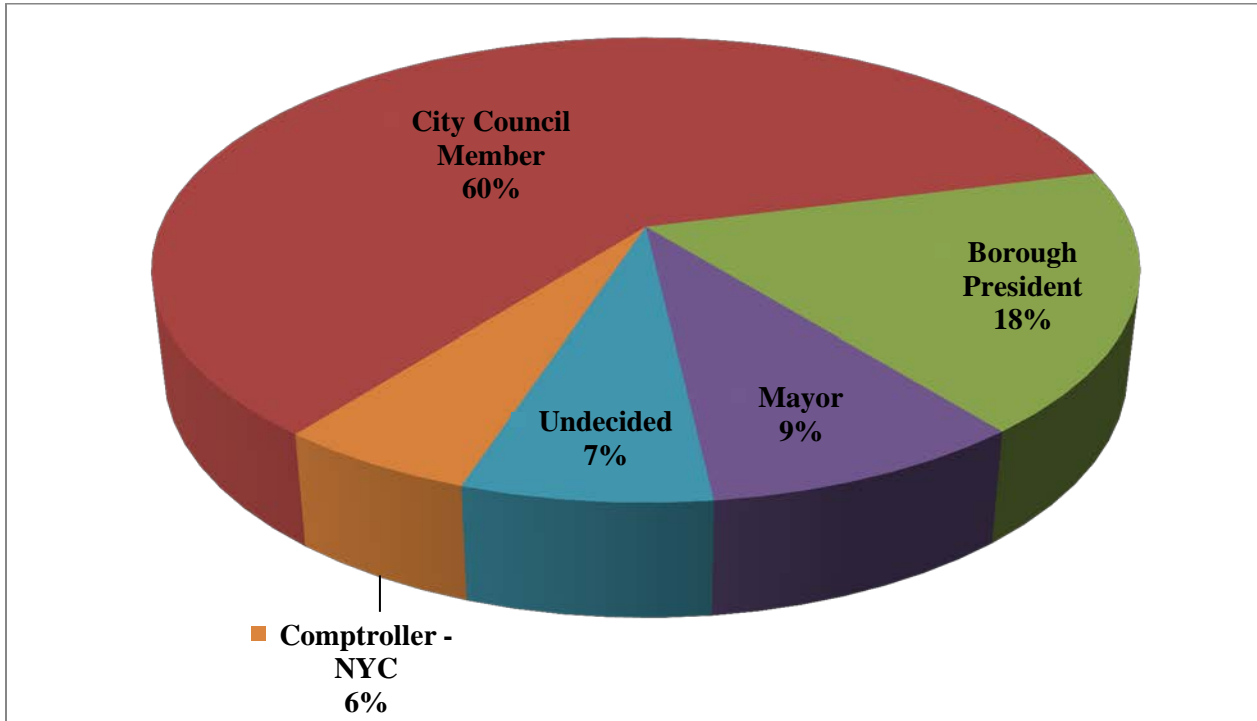
\*Data is based on target agencies reported on all periodic reports filed by Lobbyists. Variance due to rounding.



### COMPARISON OF TARGETS IN 2014-2017



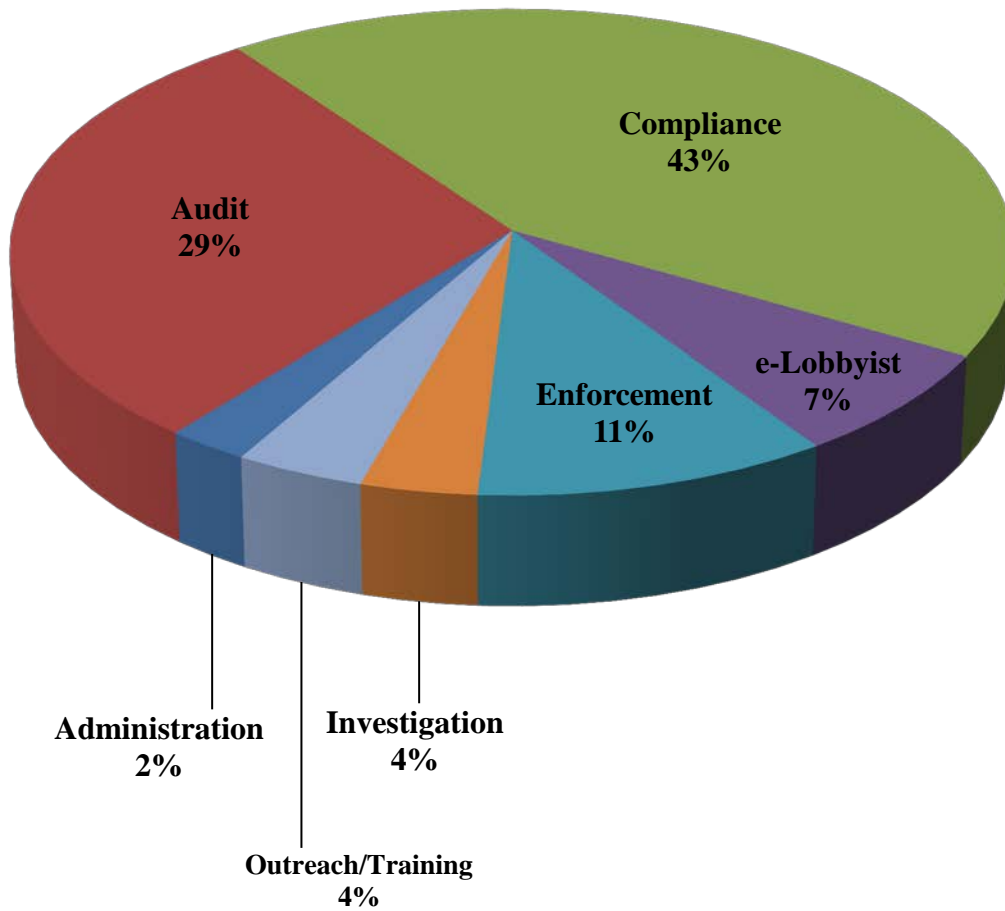
**ANALYSIS OF FUNDRAISING REPORTS**



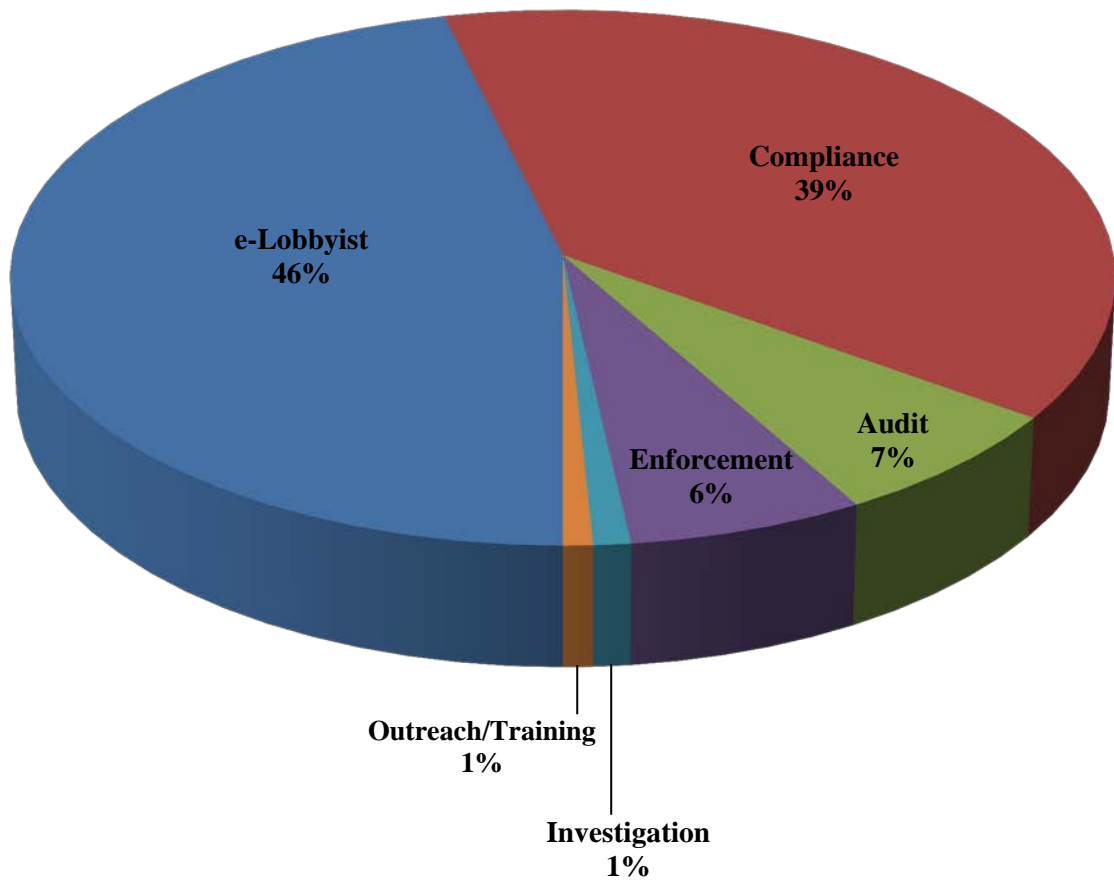
\*If a year is omitted, no fundraising was reported for that elected office in that year.

\*\*Data is based on fundraising reported in 2017 fundraising and political consulting reports and as reported in the Lobbying Bureau Annual Report for the respective previous years.

# ANALYSIS OF LOBBYING BUREAU STAFF TIME BY SUBJECT CATEGORY



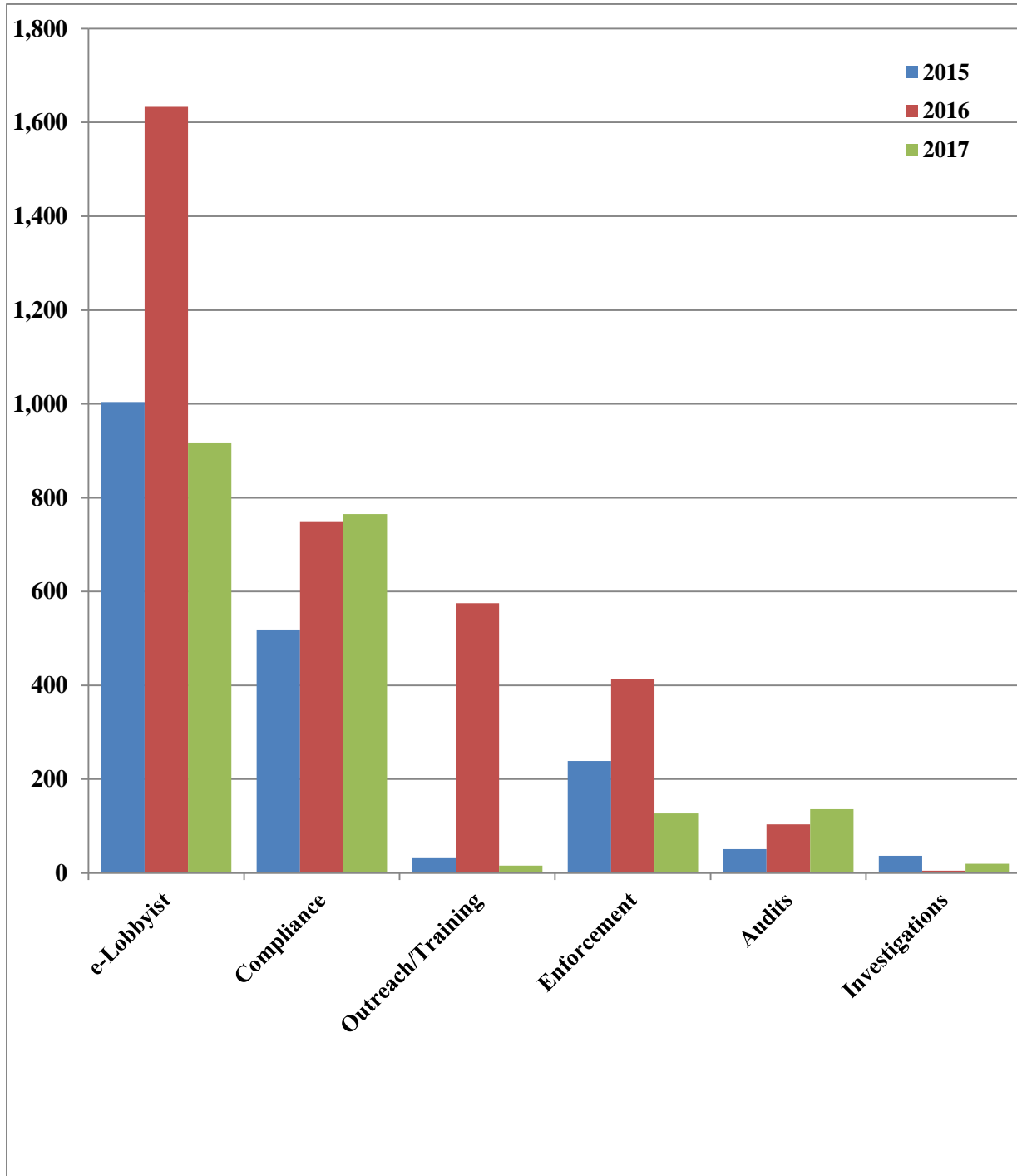
**DISTRIBUTION OF TELEPHONE INQUIRIES BY  
SUBJECT CATEGORY**



**DISTRIBUTION OF TELEPHONE CALLS BY CATEGORY**

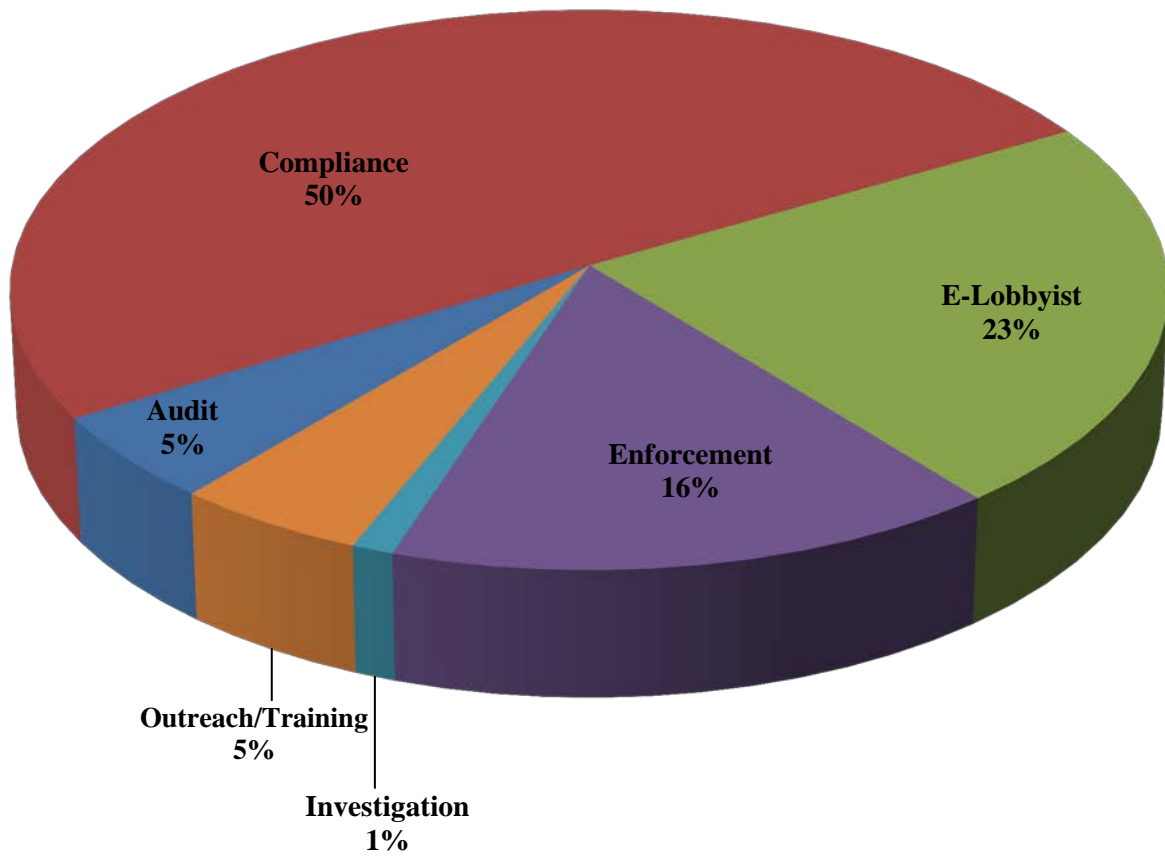
<b><u>Category</u></b>	<b><u>Total Calls</u></b>
Audit - Drafted Reports	1
Audit - Field Examination	15
Audit - Other	17
Audit - Preparation	<u>103</u>
	<b><u>136</u></b>
Compliance - Administrative	192
Compliance - Extension	5
Compliance - Filing issues	126
Compliance - Inquiries	408
Compliance - Other	<u>34</u>
	<b><u>765</u></b>
e-Lobbyist - Enrollment Issue	98
e-Lobbyist - Error Message	17
e-Lobbyist - Filing-Assistance	603
e-Lobbyist - Log-in Issue	121
e-Lobbyist - Other	29
e-Lobbyist - PO Change	<u>48</u>
	<b><u>916</u></b>
Enforcement - Fine	38
Enforcement - Notice to Cure	83
Enforcement - Petition	<u>6</u>
	<b><u>127</u></b>
Investigation	<b><u>20</u></b>
Outreach/Training	<b><u>16</u></b>
Total Telephone Calls	<b><u>1,980</u></b>

**COMPARISON OF TELEPHONE CALLS BY SUBJECT CATEGORY FROM 2015-2017\***



\*This chart includes Lobbying Bureau staff time by subject category that was reported in the Lobbying Bureau's 2016 and 2017 annual reports.

## DISTRIBUTION OF EMAIL REQUESTS BY SUBJECT CATEGORY

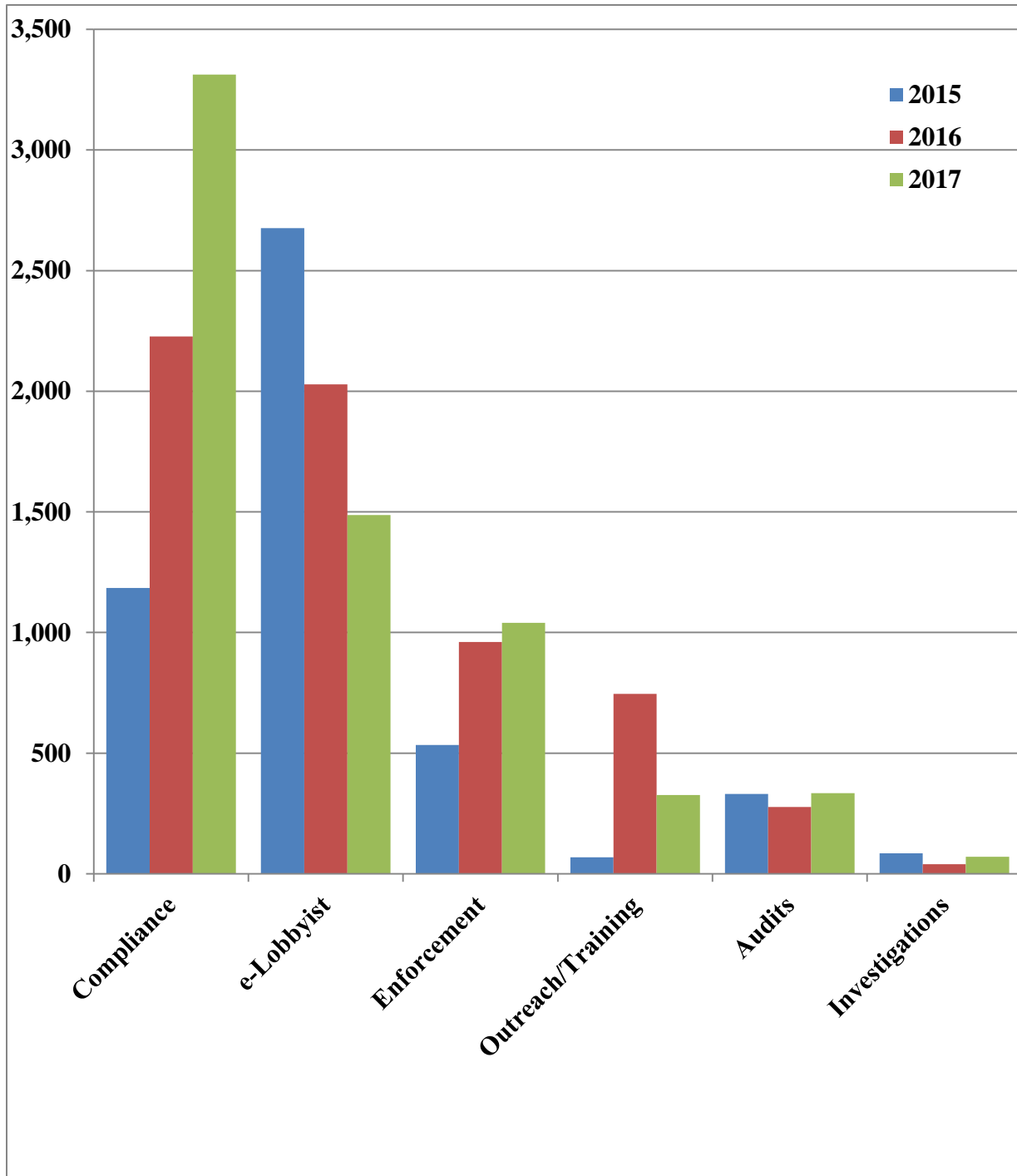


## DISTRIBUTION OF EMAILS BY CATEGORY

<u>Category</u>	<u>Total Emails</u>
Audit - Preparation	274
Audit - Other	25
Audit - Field Examination	8
Audit - Drafted Reports	<u>27</u>
	<b><u>334</u></b>
Compliance - Administrative	401
Compliance - Extension Request	141
Compliance - Filing issues	2235
Compliance - Inquiries	269
Compliance - Other	<u>266</u>
	<b><u>3,312</u></b>
e-Lobbyist - Log-in Issues	84
e-Lobbyist - Error Message	324
e-Lobbyist - PO Change	220
e-Lobbyist - Filing Assistance	406
e-Lobbyist - Enrollment Issue	350
e-Lobbyist - Other	<u>103</u>
	<b><u>1,487</u></b>
Enforcement - NTC	885
Enforcement - Fine	22
Enforcement - Petition	129
Enforcement - Other	<u>4</u>
	<b><u>1,040</u></b>
Investigation	<u>71</u>
Outreach/Training	<b><u>326</u></b>
Total Emails	<b><u>6,570</u></b>



**COMPARISON OF EMAILS BY SUBJECT CATEGORY FROM 2015-2017\***



\*This chart includes Lobbying Bureau staff time by subject category that was reported in the Lobbying Bureau's 2016 and 2017 annual report.

APPENDIX A

**LATE FILING PENALTIES: LOBBYIST 2016 SIXTH PERIODIC/ANNUAL REPORT**

<b><u>Lobbyist</u></b>	<b><u>Amount</u></b>
Agudath Israel of America	\$350.00
Bolton-St. Johns, LLC	\$700.00
Brooklyn Museum	\$50.00
Metropolitan Public Strategies, Inc.	\$225.00
Patrick B. Jenkins & Associates	\$400.00
The Trustees of Columbia University in the City of New York	\$75.00
YORK GROUP ASSOCIATES LLC	\$3,625.00
Total	<b><u>\$5,425.00</u></b>

## APPENDIX B

### LATE FILING PENALTIES: 2016 CLIENT ANNUAL REPORT

<u>Client</u>	<u>Amount</u>
1050 Pacific LLC	\$25.00
110 Green Street Venture Owner LLC	\$300.00
130 7th Ave South Property LLC	\$750.00
135 East 79th Street Condominium	\$50.00
175-225 Third Owner LLC	\$925.00
20/20 Inspections Inc.	\$25.00
219-25 LLC	\$50.00
24-16 Queens Plaza Property Owner LLC	\$50.00
25-30 Columbia Heights (Brooklyn), LLC	\$10.00
400 Times Square Associates, LLC	\$925.00
49-51 Chambers LLC	\$250.00
57 Caton Partners, LLC	\$75.00
60th Street Restaurant Corp.	\$350.00
74th Street Property Owner LLC	\$300.00
866 UN Plaza Property LLC	\$750.00
9th & 10th Street L.L.C.	\$775.00
A.J.W. Properties Management, Inc.	\$20.00
AB Win-Win II LLC	\$30.00
AFSCME District Council 1707	\$875.00
American Bail Coalition, Inc.	\$700.00
Anthony T. Rinaldi, LLC	\$710.00
Artechnica Corp.	\$75.00
Bais Ruchel D'Satmar Inc.	\$725.00
Bar Giacosa Corp	\$360.00
Bloomfield Industries Inc.	\$310.00
Bluestone Partners LLC	\$75.00
BMC Software, Inc.	\$1,275.00
BOGART PLAZA LLC	\$310.00
Cityview Tower LLC	\$90.00
Committee For Taxi Safety Inc.	\$25.00
CONNECT, Inc.	\$1,475.00
Connolly and Partners, LLC	\$10.00
Cretans Association Omonoia, Inc.	\$380.00
Dunn Development Corp.	\$50.00
Dynamic Hakim LLC	\$800.00
Elmhurst Dairy, Inc. with Steuben Foods, Inc. as a third-party payor	\$1,800.00

F. William Brown, LLC	\$775.00
Ferrari Driving School Inc.	\$20.00
George Washington Bridge Bus Station Development Venture LLC	\$2,250.00
Greater New York Councils, Boy Scouts of America	\$75.00
Hope Community, Inc.	\$310.00
Housing Partners of New York, Inc.	\$1,350.00
Hugo Neu Corporation	\$750.00
Intergate.Manhattan LLC	\$925.00
iPRESIDIUM, LLC	\$350.00
ITSLEARNING INC.	\$130.00
JARV LLC	\$310.00
JBAM TRG SPRING LLC	\$750.00
Jujamcyn Theaters LLC with Nederlander Organization, Inc. and The Shubert Organization, Inc.	\$310.00
Kingsway Realty, LLC	\$300.00
Krystal Touch of NY, Inc.	\$410.00
KVI Holdings, LLC	\$950.00
LePatner & Associates LLP for the benefit of Jame Legacy LLC	\$75.00
Major Energy Services LLC	\$30.00
Maple Drake Austell Owner, LLC	\$380.00
Metropolitan College of New York	\$300.00
Metropolitan Paper Recycling, Inc.	\$75.00
Michael Paul Enterprises LLC	\$20.00
ML Estate Holdings LLC	\$1,600.00
Mobileye, Inc.	\$25.00
Mobility Ventures LLC	\$25.00
Monadnock Construction Inc	\$750.00
NBC Universal Media, LLC	\$50.00
Nederlander Organization, Inc. with Jujamcyn Theaters LLC and The Shubert Organization, Inc.	\$380.00
New York State Iron Workers District Council	\$975.00
Newcastle Realty Services LLC	\$750.00
Opternative Inc.	\$710.00
Parkadon Development, LLC	\$10.00
Pelham Bay Diner, Inc.	\$420.00
Pepe West 48 Street LLC	\$25.00
Plug Power Inc.	\$550.00
Primary Stages Company, Inc.	\$1,450.00
Pure Storage, Inc.	\$70.00
Queens Plaza Park Development LLC	\$25.00
Recording Industry Association of America Inc.	\$25.00
Riverside Developers USA Inc.	\$25.00
SANITATION SALVAGE CORP.	\$350.00

Services for the Underserved, Inc.	\$20.00
Shema Kolainu - Hear our Voices	\$175.00
Simon Baron Development LLC	\$900.00
Soho AOA Owner, LLC on behalf of Soho AOA Owner, LLC and 2016 Soho LLC and OSS 2016 LLC	\$750.00
Sotheby's, Inc.	\$900.00
St. Peter's Lutheran Church of Manhattan	\$830.00
Stiles Properties, LLC.	\$750.00
Sullivan Member, LLC on behalf of Sullivan Condo, LLC	\$925.00
Tankhouse LLC	\$20.00
TD CLINTON LLC	\$340.00
Tech Valley Talent, LLC	\$350.00
The Coalition For Sustainable Building LLC	\$1,050.00
THE EAGLE ACADEMY FOUNDATION, INC.	\$25.00
The Emerald Green Group, LLC	\$10.00
The First Presbyterian Church in the City of New York	\$550.00
THE GEO GROUP INC.	\$775.00
The Gothic Apartments, Inc.	\$50.00
The Juice Press LLC	\$370.00
The Rossi Corporation	\$870.00
The Trustees of Columbia University in the City of New York	\$75.00
The Williams Companies, Inc.	\$1,125.00
Theatrical Teamsters Local 817 PAC Fund	\$75.00
UNIFY ENTERPRISE COMMUNICATIONS	\$1,425.00
Unipike Real Estate LLC	\$60.00
Vocational Instruction Project Community Services, Inc.	\$750.00
Watermark Capital Group LLC	\$350.00
Watershore Views, LLC	\$750.00
West 122nd Street Property Investors III, LLC	\$510.00
William Gottlieb Management Co., LLC	\$200.00
WVH Housing Development Fund Corporation	\$1,275.00
<b>TOTAL</b>	<b><u>\$51,020.00</u></b>

## APPENDIX C

### LATE FILING PENALTIES: LOBBYIST 2017 STATEMENTS OF REGISTRATION

<u>Lobbyist</u>	<u>Amount</u>
Alliance to Prevent Legionnaires's Disease	\$2,810.00
Bender Cantone Consulting, Inc.	\$175.00
BJH Advisors, LLC	\$550.00
Blumenfeld Development Group Ltd	\$220.00
BTG Pactual Asset Management US LLC	\$200.00
Cahill Strategies	\$1,430.00
Common Cause/NY	\$1,425.00
Constantinople & Vallone Consulting	\$350.00
Cozen O'Connor Public Strategies, LLC	\$325.00
CVC Capital Partners (US) Inc.	\$1,975.00
CVC Capital Partners Limited	\$1,975.00
Dart Container Corporation	\$1,400.00
Duval & Stachenfeld LLP	\$800.00
Gotham Government Relations LLC	\$25.00
Higgins Quasebarth & Partners, LLC	\$550.00
HR&A Advisors, Inc.	\$4,875.00
James F. Capalino & Associates, Inc.	\$125.00
Judith Amaro	\$470.00
LIVEON NY	\$1,425.00
Manatt, Phelps & Phillips, LLP	\$2,375.00
Miram Group LLC	\$1,125.00
MML Consulting, LLC	\$100.00
Moore Consultancy Corp.	\$550.00
Nagel Law Office, PLLC	\$425.00
National Waste & Recycling Association	\$600.00
New York Lawyers for the Public Interest, Inc.	\$350.00
New York State Association For Affordable Housing, Inc.	\$1,400.00
New York State Restaurant Association, Inc.	\$1,000.00
Opportunities for a Better Tomorrow	\$925.00
Owl Creek Asset Management, L.P.	\$40.00
Park Strategies, LLC	\$150.00
Patrick B Jenkins & Associates	\$2,675.00
Perkins Eastman Architects D.P.C.	\$2,825.00
Pesetsky and Bookman	\$1,375.00
Pitta Bishop & Del Giorno LLC	\$875.00
Platt Byard Dovell White Architects L.L.P.	\$1,250.00
Sam Schwartz Engineering, D.P.C.	\$725.00
Sanctuary for Families, Inc.	\$1,250.00

Sheldon Lobel, P.C.	\$700.00
Siebert Brandford Shank & Co., L.L.C.	\$25.00
Slater & Beckerman, P.C.	\$1,075.00
Taxi Dave Inc.	\$80.00
The Alliance for a Greater New York, Inc.	\$1,225.00
The Carey Group	\$125.00
The Humane Society of the United States	\$325.00
The Legal Aid Society	\$1,425.00
The Trustees of Columbia University in the City of New York	\$75.00
Urban Justice Center	\$4,450.00
YORK GROUP ASSOCIATES LLC	\$6,700.00
<b>TOTAL</b>	<b><u>\$57,325.00</u></b>

**APPENDIX D**

**LATE FILING PENALTIES: LOBBYIST 2017 AMENDED STATEMENTS OF  
REGISTRATION**

<b><u>Lobbyist</u></b>	<b><u>Amount</u></b>
BJH Advisors, LLC	\$475.00
Bolton-St. Johns, LLC	\$1,000.00
Brown & Weinraub, PLLC	\$875.00
Connelly McLaughlin & Woloz	\$1,800.00
Davidoff Hutcher & Citron	\$550.00
Driscoll Group, Inc.	\$1,725.00
Geto & de Milly Inc.	\$75.00
Gotham Government Relations	\$250.00
Law Offices of Domenic M. Recchia Jr.	\$1,275.00
Manatt, Phelps & Phillips, LLP	\$2,600.00
Miram Group LLC	\$3,325.00
Ostroff Associates, Inc.	\$450.00
Patricia Lynch Associates, Inc.	\$625.00
Patrick B. Jenkins & Associates	\$1,825.00
Robert A. Ungar Associates, Inc.	\$1,850.00
Sheinkopf LTD	\$2,875.00
The Advance Group Inc.	\$1,150.00
TLM Associates LLC	\$500.00
Tusk Strategies, Inc.	\$25.00
<b>TOTAL</b>	<b><u>\$23,250.00</u></b>



## APPENDIX E

### LATE FILING PENALTIES: LOBBYIST 2017 FIRST PERIODIC REPORT

<u>Lobbyist</u>	<u>Amount</u>
APICHA Community Health Center	\$25.00
Alliance to Prevent Legionnaires's Disease	\$2,810.00
Ardian US LLC	\$50.00
Brooklyn Navy Yard Development Corporation	\$25.00
BTG Pactual Asset Management US LLC	\$550.00
Buckhurst Fish & Jacquemart Inc	\$60.00
Cahill Strategies	\$1,455.00
CVC Capital Partners (US) Inc.	\$550.00
CVC Capital Partners Limited	\$550.00
Davis Wright Tremaine LLP	\$25.00
Day Care Council of New York Inc.	\$125.00
Exodus Transitional Community, Inc.	\$200.00
Gaia Strategies, LLC	\$50.00
HR&A Advisors, Inc.	\$3,450.00
Judith Amaro	\$70.00
Lawrence R. Schillinger, Esq.	\$50.00
National Institute For Reproductive Health Action Fund, Inc.	\$50.00
Opportunities for a Better Tomorrow, Inc.	\$100.00
Patrick B Jenkins & Associates	\$1,600.00
Perkins Eastman Architects, D.P.C.	\$25.00
Plus Securities LLC	\$50.00
Sanctuary for Families, Inc.	\$50.00
Starwood Capital, L.L.C.	\$50.00
Staten Island Chamber of Commerce	\$200.00
The Center for New York City Neighborhood, Inc.	\$25.00
Urban Justice Center	\$3,175.00
VOCAL-NY Action Fund, Inc.	\$25.00
Working in Support of Education, Inc.	\$50.00
YORK GROUP ASSOCIATES LLC	\$2,525.00
<b>TOTAL</b>	<b><u>\$17,970.00</u></b>

## APPENDIX F

### LATE FILING PENALTIES: LOBBYIST 2017 SECOND PERIODIC REPORT

<u>Lobbyist</u>	<u>Amount</u>
Abraaj North America, LLC	\$350.00
Alliance to Prevent Legionnaires's Disease	\$2,200.00
APICHA Community Health Center	\$400.00
Ardian US LLC	\$350.00
Asian American Federation, Inc.	\$275.00
BJH Advisors, LLC	\$375.00
Cadian Capital Management, LP	\$350.00
Capri Capital Partners, LLC	\$350.00
Carlson Capital Management, L.P.	\$50.00
Dart Container Corporation	\$575.00
Davis Wright Tremaine LLP	\$75.00
Duane Morris LLP	\$550.00
Fried, Frank, Harris, Shriver & Jacobson LLP	\$275.00
HR&A Advisors, Inc.	\$150.00
JEM Associates NY, LLC	\$25.00
Jewish Community Council of Greater Coney Island, Inc.	\$250.00
Kantor Davidoff Wolfe Mandelker Twomey & Gallanty, P.C.	\$275.00
Kohn Pedersen Fox Associates P.C.	\$375.00
Metropolitan Public Strategies, Inc.	\$75.00
MML Consulting, LLC	\$40.00
Monarch Alternative Capital LP	\$350.00
Owl Creek Asset Management, L.P.	\$375.00
P.S. 1 Contemporary Art Center, Inc.	\$25.00
Patrick B Jenkins & Associates	\$1,600.00
Platt Byard Dovell White Architects L.L.P.	\$825.00
Robert Jackson	\$25.00
Sam Schwartz Engineering, D.P.C.	\$50.00
Schroder Investment Management North America Inc	\$400.00
Sheinkopf LTD	\$750.00
Sheldon Lobel, P.C.	\$300.00
Staten Island Chamber of Commerce	\$25.00
The College Board	\$75.00
The Financial Clinic	\$350.00
The Trustees of Columbia University in the City of New York	\$100.00
Transportation Alternatives, Inc.	\$25.00
TRG Management LP	\$175.00
Uniformed Firefighters Association of Greater New York	\$50.00
Urban Justice Center	\$1,650.00

Wiscovitch Associates, Ltd.	\$500.00
York Group Associates LLC	\$1,225.00
<b>TOTAL</b>	<b><u>\$16,240.00</u></b>

## APPENDIX G

### LATE FILING PENALTIES: LOBBYIST 2017 THIRD PERIODIC REPORT

<u>Lobbyist</u>	<u>Amount</u>
Alliance for Legionnaires's Disease	\$1,570.00
Cahill Strategies	\$100.00
Ennead Architects LLP	\$75.00
Friedman & Gotbaum LLP	\$175.00
Goldman Harris LLC	\$100.00
Judith Amaro	\$50.00
Katal Center for Health, Equity and Justice, Inc.	\$400.00
Medley LLC	\$250.00
Millennium Management LLC	\$225.00
National Institute For Reproductive Health Action Fund, Inc.	\$25.00
ROSENBERG & ESTIS, P.C.	\$225.00
The Bronx Defenders	\$50.00
The Financial Clinic	\$50.00
TLM Associates LLC	\$50.00
Urban Justice Center	\$75.00
York Group Associates LLC	\$1,225.00
<b>TOTAL</b>	<b><u>\$4,645.00</u></b>

**APPENDIX H**

**LATE FILING PENALTIES: LOBBYIST 2017 FOURTH PERIODIC REPORT**

<b><u>Lobbyist</u></b>	<b><u>Amount</u></b>
All Things Traffic, Inc.	\$150.00
Alliance for Legionnaires's Disease	\$970.00
Ardian US LLC	\$500.00
Council of School Supervisors and Administrators	\$50.00
Driscoll Group, Inc.	\$75.00
Eric Palatnik, P.C.	\$75.00
Grid Properties Inc.	\$100.00
Hawkins Consulting, Inc.	\$300.00
Hornick Consulting, Inc.	\$50.00
Housing Conservation Coordinators, Inc.	\$75.00
James F. Capalino & Associates, Inc.	\$50.00
Mercury Public Affairs, LLC	\$50.00
Mirram Group LLC	\$500.00
Nagel Law Office, PLLC	\$75.00
Nissan North America, Inc.	\$75.00
Patrick B. Jenkins & Associates	\$450.00
Plus Securities LLC	\$75.00
R. Randy Lee, P.C.	\$225.00
Rothkrug, Rothkrug & Spector, LLP	\$75.00
Schnur Associates Inc.	\$125.00
Sheinkopf LTD.	\$50.00
The Financial Clinic	\$75.00
The Humane Society of the United States	\$75.00
United Way of New York City	\$500.00
Urban Homesteading Assistance (U-hab), Inc.	\$875.00
VOCAL-NY Action Fund, Inc.	\$75.00
White Oak Global Advisors, LLC	\$75.00
<b>TOTAL</b>	<b><u>\$5,770.00</u></b>

**APPENDIX I**

**LATE FILING PENALTIES: LOBBYIST 2017 FIFTH PERIODIC REPORT**

<b><u>Lobbyist</u></b>	<b><u>Amount</u></b>
Alliance for Legionnaires's Disease	\$360.00
Artemis Real Estate Partners, LLC	\$125.00
Brooklyn Bridge Park Conservancy, Inc.	\$25.00
Brooklyn Navy Yard Development Corporation	\$375.00
Center for Community Alternatives, Inc.	\$500.00
CityView Management Services, LLC	\$400.00
Community Food Advocates, Inc.	\$50.00
Day Care Council of New York Inc.	\$150.00
District Council 37	\$350.00
Eric Palatnik, P.C.	\$25.00
Expanded Schools, Inc.	\$50.00
Graham Capital Management, L.P.	\$125.00
Lawrence R. Schillinger, Esq.	\$400.00
Mirram Group LLC	\$875.00
Mission Critical Strategies, LLC	\$350.00
New York State Restaurant Association, Inc.	\$125.00
Park Strategies, LLC	\$325.00
Prime Strategies of New York, LLC	\$50.00
Slater & Beckerman, P.C.	\$1,075.00
Staten Island Chamber of Commerce	\$350.00
The Advance Group Inc.	\$25.00
The Financial Clinic	\$150.00
The Samaritans of New York, Inc.	\$150.00
United Way of New York City	\$475.00
 <b>TOTAL</b>	 <b><u>\$6,885.00</u></b>

**APPENDIX J**

**LATE FILING PENALTIES: LOBBYIST 2017 FUNDRAISING/POLITICAL  
CONSULTING REPORTS**

<b><u>Lobbyist</u></b>	<b><u>Total</u></b>
<b><u>First Period</u></b> Greater New York Hospital Association, Inc.	\$300.00
<b>TOTAL</b>	<b><u>\$ 300.00</u></b>

**APPENDIX K**

**CIVIL PENALTIES: 2017 TERMINATION NOTICES**

<b><u>Client</u></b>	<b><u>Total</u></b>
771 Washington Street	\$140.00
CBWB BKLN LLC	\$1,450.00
Cornell Realty Management LLC	\$460.00
Dynamic Hakim LLC	\$1,600.00
Expedia, Inc.	\$1,400.00
Javar Corp*	\$4,166.25
Radson Development LLC	\$1,000.00
The Greater New York ALS	\$140.00
The Rossi Corporation	\$1,600.00
The Yale Club of New York City	\$1,450.00
 <b>TOTAL</b>	 <b><u>\$13,406.25</u></b>

\*As of 2/28/2018