

Office of the City Clerk



Clerk of the Council

Office of the City Clerk Clerk of the Council

Lobbying Bureau Annual Report

As required by Local Law 15 of 2006

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March 1, 2012

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Introduction

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

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

Listed below is the information required by this section of the New York City’s lobbying law (the “Lobbying Law”) for calendar year 2011.

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

In 2011, the Lobbying Bureau concluded an investigation regarding a complaint from the public regarding violations of the Lobbying Law. In response to a complaint that Greenwich Village Society for Historic Preservation (“Greenwich”) was engaged in unreported lobbying in violation of Administrative Code §§3-213(a)(1) and 3-216(a)(1), the Lobbying Bureau determined there was no probable cause that Greenwich violated such provisions.

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

Violators of the Lobbying Law are subject to the penalties detailed in 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: financial sanctions 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 penalty not to exceed \$30,000 for violating a cease and desist order, or the proscription against contingency agreements provided in the Lobbying Law. In addition to late filing penalties for the 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 fourteen business days from the date of mailing of a notice to cure such violation. For any violation of the Lobbying Law not covered in the foregoing provisions, pursuant to Administrative Code §3-223(d), violators are subject to a penalty not to exceed \$20,000. Listed below are the late filing penalties incurred by violators for each reporting period.¹ Only penalties which are resolved and undisputed, as of February 29, 2012, are listed in this report. Similarly, in this report, late filings refers to late filings that are resolved and undisputed as of February 29, 2012. Going forward, the City Clerk will post online any additional penalties and late fees associated with late filings from 2011 and prior years.

2010 Annual Reports (Client Annual Reports and Sixth Periodic Reports)

The Lobbying Bureau identified 131 lobbyists² that failed to timely file an aggregate of 141 annual reports³ for 2010. Thirty-four of these late reports were attributable to 24 lobbyists, who incurred an aggregate of \$7,250 in late filing penalties. (See Appendix A attached hereto.) This represents a 62% decrease from the late filing penalties incurred for the late filing of the 2009⁴ lobbyist annual reports. The remaining 107 late 2010 annual reports were attributable to clients who each filed a late report and consequently incurred an aggregate of \$68,455 in late filing penalties.

¹ The late filing penalties contained in this report are restricted to 2010 annual reports (client annual report and sixth periodic report) and 2011 first periodic through fifth periodic reports.

² "Lobbyists" as used throughout this report refers to the lobbyist entity, which may consist of several employees who lobby.

³ The Lobbying Bureau has historically treated the sixth periodic report as an annual report for lobbyists because it collects the exact information an annual report would collect.

⁴ Throughout this report, all comparisons made to 2009 annual reports refer to numbers reported in the Lobbying Bureau Annual Report dated March 1, 2011.

(See Appendix B attached hereto.) This represents a 68% decrease in late filing penalties incurred for the late filing of 2009 client annual reports. No civil penalties were warranted for these late filings.

2011 Statements of Registration and Periodic Reports

To date, the Lobbying Bureau identified 40 lobbyists who failed to timely file an aggregate of 60 statements of registration. For this failure, such lobbyists incurred \$20,555 in late filing penalties as of February 29, 2012. (See Appendix C attached hereto.)

To date, the Lobbying Bureau identified 35 lobbyists who failed to file an aggregate of 39 first periodic reports in a timely manner. For this failure, such lobbyists incurred \$11,850 in aggregate late filing penalties as of February 29, 2012. (See Appendix D attached hereto.)

To date, the Lobbying Bureau identified 36 lobbyists who failed to timely file an aggregate of 37 second periodic reports. For this failure, such lobbyists incurred \$5,425 in aggregate late filing penalties, as of February 29, 2012. (See Appendix E attached hereto.)

To date, the Lobbying Bureau identified 16 lobbyists who failed to timely file an aggregate of 18 third periodic reports. For this failure, such lobbyists incurred \$6,150 in aggregate late filing penalties, as of February 29, 2012. (See Appendix F attached hereto.)

To date, the Lobbying Bureau identified 20 lobbyists who failed to timely file an aggregate of 20 fourth periodic reports. For this failure, such lobbyists incurred \$5,150 in aggregate late filing penalties, as of February 29, 2012. (See Appendix G attached hereto.)

To date, the Lobbying Bureau identified 28 lobbyists who failed to timely file an aggregate of 30 fifth periodic reports. For this failure, such lobbyists incurred \$5,100 in aggregate late filing penalties, as of February 29, 2012. (See Appendix H attached hereto.)

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

Factors Affecting the Filing of 2010 Annual Reports and 2011 Periodic Reports

Overall there was a 29% decrease in the number of late annual filings from 2009 to 2010 and a 68% decrease in the late filing penalties. The foregoing phenomenon is a welcome sign that compliance is increasing. Several factors have contributed to this result:

- **Enhancements to e-Lobbyist**- An enhancement to e-Lobbyist, which took effect in late 2010, sends automatic e-mail reminders to all entities of impending filing deadlines. As a

result of this enhancement, not only did the number of punctual filings increase, but there was a significant decline in the total average number of days annual reports were filed late, from an average of 53 days late in 2009⁵ to an average of 28 days late in 2010. The latter is likely attributable to an additional e-Lobbyist enhancement which, shortly after the filing deadline, sends an email to filers who have failed to file, alerting the delinquent filer of the omission. This prompt reminder elicits a quick response, thus decreasing the days a report is filed late.

- **The Effectiveness of Sanctions**- As a result of the strict imposition of late filing penalties since 2007, such sanctions have acted as a deterrent to late filings. Accordingly, the number of repeat late filers has decreased since 2007.
- **Increased Familiarity with e-Lobbyist and the Lobbying Law**- After 4 years of training and educational outreach by the Lobbying Bureau, filers have acquired an increased awareness of the Lobbying Law and the e-Lobbyist system. As a result, the timely filing of requisite reports has significantly increased.

Conversely, although the late filing of annual reports has decreased, the late filing of periodic reports has not. In fact, there was an overall increase in the number of late filings (44% increase) and late filing penalties (45% increase) incurred for 2011 periodic reports, as of February 29, 2012. (See Appendices D to H attached hereto.) This may be in large part due to an increase in first-time filers in 2011, specifically, investment firms, hedge funds and other entities that lobby New York City's five pension funds. In 2011, 31% of late filers were first-time filers, compared to only 9% in 2010.⁶

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

None.

⁵ This total is an exception to the footnote 4 above because this is a newly reported statistic. The numbers of days late in 2009 is the number of days late for 2009 client annual reports and sixth periodic reports as of February 29, 2012.

⁶ The analysis in this paragraph is based on late periodic reports filed in 2011 including first periodic reports through fifth periodic reports as compared to late periodic reports filed in 2010 including first periodic reports through fifth periodic reports as reported in the Lobbying Bureau Annual Report, dated March 1, 2011. The data, however, does not include 2010 annual reports.

(iv) Number of random audits and outcomes thereof.

The Lobbying Bureau performed random audits of 30 entities in 2011. The audits encompassed an examination of all filings made in 2010 by the randomly selected lobbyist entity on behalf of its client or itself to determine if such filings were complete, accurate, timely filed and otherwise in full compliance with the Lobbying Law. The audits resulted in the issuance of 39 findings and, consequently, 39 required actions. A sample of the audit findings include: reporting incorrect amounts of compensation and expenses; failing to file a notice of termination; attributing compensation to the wrong reporting period; missing target information; registering clients under an incorrect name and failing to list employees lobbying for clients on statements of registration and periodic reports. Examples of actions required to be taken by the audited parties include: amending reports to correct information; providing an affirmation to corroborate financials reported by the lobbyist; filing a notice of termination; certifying an amended report; and amending a report to provide more detailed information about the subject matter and target(s) of lobbying activities.

(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 thousands of inquiries by telephone and email throughout the year. Answering these questions and providing one-on-one assistance and guidance on all aspects of the Lobbying Law and e-Lobbyist continues to be part and parcel of the Lobbying Bureau's day-to-day functions.

Training

The Lobbying Bureau participated in a number of training sessions throughout the year, which were hosted by outside groups. In total, the Lobbying Bureau participated in eight training sessions across the five boroughs.

On March 25, 2011, the Lobbying Bureau participated in the Staten Island Not-for-Profit Association's inaugural conference held at the Jewish Community Center in Staten Island. The event was attended by the three senior members of the Lobbying Bureau: Patrick Synmoie, General Counsel, Jaime Lynn Eckl, Deputy Counsel, and Walter Carcione, Chief Investigator. Ms. Eckl gave

a broad presentation of the Lobbying Law and how it applies to not-for-profit organizations. Mr. Carcione showed attendees how to file reports on e-Lobbyist. A question and answer session followed the presentation where attendees asked general questions about the Lobbying Law and e-Lobbyist.

In addition, throughout 2011 the Lobbying Bureau participated in a series of training sessions sponsored by the New York City Council and facilitated by the Capacity Building & Oversight Unit of the Mayor's Office of Contract Services ("MOCS"). These sessions were mandatory for not-for-profit organizations that applied for discretionary funding from the City Council. The Lobbying Bureau, represented by Mr. Synmoie and Ms. Eckl, was one of several participants in a segment of the training session titled "Good Governance and Legal Compliance." Other presenters included representatives from the Department of Investigation, Conflicts of Interest Board, New York Council of Nonprofits, MOCS and other not-for-profit organizations including Cause Effective. The Lobbying Bureau's session included a PowerPoint presentation that provided a broad overview of the Lobbying Law and how it applies to not-for-profit organizations. A question and answer period followed where attendees asked general questions about the Lobbying Law. The dates and places of these training sessions are as follows: (1) April 26, 2011 at the Park Slope Armory, Brooklyn; (2) May 11, 2011 at the Jewish Community Center, Staten Island; (3) June 8, 2011 at the training facilities of the Department of Citywide Administrative Services ("DCAS"), Manhattan; (4) July 28, 2011 at the City College of New York Center for Worker Education, Manhattan; (5) October 5, 2011 at Saint Francis College, Brooklyn; and (6) November 7, 2011 at Adam Clayton Powell Jr. State Office Building, Harlem. The Lobbying Bureau will continue to participate in this ongoing training series throughout 2012.

Lastly, on July 14, 2011, the Lobbying Bureau participated in a more extensive lobbying training session as part of a half-day program titled "Lobbying and Nonprofit Compliance" hosted by the Capacity Building and Oversight Unit of MOCS at the DCAS training center in Manhattan. Attendees included not-for-profit organizations that have contracts with various City agencies and/or receive discretionary funding from the City Council. The presentation included a detailed overview of the Lobbying Law, its requirements and the e-Lobbyist filing system.

Outreach and Education

Comparison of New York State Lobbying Reports

In response to a recommendation by the Lobbying Commission (hereinafter defined), the Lobbying Bureau undertook a project to uncover unreported City lobbying. To accomplish this goal, the Lobbying Bureau compared more than 4,000 statements of registration filed with the New York State Public Integrity Commission (“PIC”) with over 1,000 statements of registration filed with the Lobbying Bureau as of August 26, 2011.

It was determined that, in total, 27 entities reported local lobbying of City targets with PIC on 28 reports and reported exceeding the \$2,000 threshold for such lobbying. As a result, the Lobbying Bureau sent 28 letters to the lobbyists listed on the PIC statements of registration at the addresses listed on such statements. The letter explained the possible violation of the Lobbying Law based on the entity’s PIC filings. After an investigation, it was determined that the entities were not required to file a statement of registration with the Lobbying Bureau in 2011 for the following reasons: (1) the listing of a City target was inadvertent on the PIC statement of registration because no City lobbying took place; (2) the entity did not exceed the \$2,000 reporting threshold for lobbying City targets; or (3) the entity did file with the Lobbying Bureau, but under an incorrect legal entity name. The entities that were not required to file statements of registration with the City submitted affidavits and supporting documentation. The entities that filed in e-Lobbyist under the incorrect legal entity name were required to change the name of the enrollment and amend all filings made throughout 2011 to reflect the correct legal entity name. The Lobbying Bureau will continue this practice in 2012 and future years.

Announcements

The Lobbying Bureau issued several announcements to all enrolled entities⁷ in 2011 in order to communicate changes in procedure, as well as resolve other widespread filings issues. To view the complete text of all announcements, please visit the Lobbying Bureau website at: <http://www.cityclerk.nyc.gov/html/lobbying/announcements.shtml>

January 26, 2011 Announcement

After observing several inconsistencies between the information listed on statements of registration and supporting retainer agreements, including entity names and start and end dates, the

⁷ Enrolled entities are those entities that have established an account with e-Lobbyist. Enrolled entities have not necessarily filed a statement of registration pursuant to Administrative Code §3-213.

Lobbying Bureau issued an announcement on January 26, 2011 detailing its observations regarding such information; explaining the different types of retainer agreements submitted to this office; addressing how the Lobbying Bureau utilizes certain information listed on retainer agreements; and instructing filers to make corrections as applicable. This announcement was sent via email to all lobbyist and lobbyist/client filers⁸ and posted on our website, available at:

http://www.cityclerk.nyc.gov/downloads/pdf/announcement_regarding_retainers.pdf

December 5, 2011 Announcement

In anticipation of the then upcoming filing deadline for the 2012 statements of registration, the Lobbying Bureau sent an announcement on December 5, 2011 supplementing the January 26, 2011 announcement to remind filers of the issues in the previous years with the statements of registration. The announcement further reiterated that the punctuality of the statements of registration is dictated by the date the lobbyist is retained, not the date lobbying activity commences. In addition, the announcement clarified that if an expired retainer is submitted with a statement of registration, the lobbyist must submit a letter affirming that the expired retainer is extended throughout the current filing year. This announcement was sent via email to all lobbyist filers and posted on our website, available at:

<http://www.cityclerk.nyc.gov/downloads/pdf/ANNOUNCEMENT%2012%205%20retainer%20announcement%20final.pdf>

Other Announcements

The Lobbying Bureau sent other announcements to lobbyist, lobbyist/client and client filers by email throughout 2011 to announce changes in procedure including:

August 5, 2011- Announcement Regarding “Co-Lobbyist” Enhancement to e-Lobbyist; (See *“Improvements to e-Lobbyist”* below.)

November 3, 2011- Announcement Regarding Changes in Enrollment Procedure; (See *“Change in Enrollment Procedure”* below.) and

December 20, 2011- Announcement Regarding Late Filing Penalties and Civil Penalties. (See *“Expansion in Late Filing Penalties and Civil Penalties Imposed by the City Clerk”* below.)

Law Department Opinion regarding Placement Agents

In its 2010 annual report, the Lobbying Bureau discussed the New York City Law Department’s opinion regarding placement agents, other third parties retained by investment firms and employees of investment firms that attempt to influence decisions made by the New York City

⁸ A lobbyist/client filer is an entity whose employees lobby on its behalf.

Comptroller, the Comptroller's staff, the boards of trustees of the pension funds and retirement systems of New York City and/or members of their staffs about the investment of the pension funds. In 2011, the Lobbying Bureau continued to receive e-mails and telephone calls from investment firms and numerous law firms regarding the opinion, the requirements of the Lobbying Law and how to comply with its requirements. In addition, the Lobbying Bureau staff conducted several one-on-one telephone trainings with such entities.

In response to the over 400 letters that were mailed to investment firms, placement agents and other third parties who may have dealings with the City's pension funds or the Comptroller's office, there has been a significant increase in registrations likely attributable to such affected parties. (See "*Factors Affecting the Filing of 2011 Reports*" above). In 2011, over 85 entities reported the City's Pension Funds and Retirement Systems as the subject category⁹ on its statements of registration and/or periodic reports.

In addition, the Lobbying Bureau issued Advisory Opinions 2011-2 and 2011-3 that specifically addressed issues of concern to those affected by the Law Department's opinion. Advisory Opinion 2011-2 focused on hedge funds' communications with the pension funds and/or the Comptroller's office, while Advisory Opinion 2011-3 focused on investment firms' communications with such parties or lobbying targets. (See "*Advisory Opinions*" below.)

Change in Enrollment Procedure

The Lobbying Bureau implemented a change in the document required to verify a legal entity's name as part of the enrollment procedure. The new procedure requires documents which are more readily accessible for verification/proof of entity name. This change has facilitated a more efficient and user-friendly enrollment procedure. Effective November 3, 2011, the Lobbying Bureau began requiring submission of a "proof of a corporate filing" instead of a voided corporate check to verify the legal entity name on an enrollment. A proof of a corporate filing includes a document issued by the New York State Department of State ("NYSDOS") or the department of state from the state in which the entity was incorporated (or the equivalent government agency from a foreign jurisdiction) including, but not limited to: a print-out from the appropriate department of state

⁹ There are 11 lobbying subject categories a lobbyist can select when filing its statements of registration and/or periodic reports. Within the 11 lobbying subject categories, a filer then selects the pertinent City target agencies lobbied. Therefore, within the subject category of "Pension Funds and Retirement Systems" a filer may select the Comptroller's office or a specific pension fund as a target agency.

website; a filing receipt; articles of incorporation; a certificate of incorporation; articles of organization; a certificate of limited partnership; and a certification of registration. An announcement was sent by email to all enrolled entities advising them of this change, which is available at:

<http://www.cityclerk.nyc.gov/downloads/pdf/enrollmentprocedurechange.pdf>.

The Lobbying Bureau also reaffirmed that it would accept an affidavit as proof of the legal entity name only as a last resort; i.e., if the entity has no corporate documentation. The e-Lobbyist enrollment page, user-guide and all automatically generated emails from e-Lobbyist were amended to reflect this change in procedure.

Expansion in Late Filing Penalties and Civil Penalties Imposed by the City Clerk

In 2011, the Lobbying Bureau widened the scope of its imposition of fines for the late filing of statements of registration. Lobbyists were notified via email on January 26, 2011 and reminded on December 5, 2011, that the start date listed on the statement of registration dictates the timeliness of a statement of registration and periodic reports. (See “***January 26, 2011 Announcement***” above.) In 2011, 40 lobbying firms failed to timely file an aggregate of 60 statements of registration and incurred \$20,555 in late filing penalties.

On December 22, 2011, the Lobbying Bureau announced that it would be expanding its compliance efforts by imposing penalties on filers for violations of the Lobbying Law, other than late filings, including imposing civil penalties on those entities that fail to correct an incorrect or incomplete report within fourteen business days of a notice to cure from the Lobbying Bureau. The Lobbying Bureau also announced it would be expanding its fines for tardy filings to include fundraising and political consulting reports and amendments. In these cases, entities will be subject to a daily late filing penalty for each day each report is filed late as well as any applicable civil penalty. The announcement is available at:

<http://www.cityclerk.nyc.gov/downloads/pdf/Announcement%20re%20fines.pdf>.

Customer Assistance and Other Compliance Efforts

The Lobbying Bureau’s concern is hardly limited to the timeliness of filings; equal diligence is applied to the accuracy of information contained in the reports. In 2011, the Lobbying Bureau instituted a procedure whereby pertinent information, including entity names and start and end dates

reported in the statements of registration, is cross-checked with the information listed on the retainer agreements for all lobbyist filers. In addition, to ensure all filers' names are correctly listed in e-Lobbyist, the Lobbying Bureau cross-checks all filers' names with the NYSDOS.

Date Changes

In cross-checking the start and end dates reported on the statements of registration with the information listed on the retainer agreements, the Lobbying Bureau discovered about 100 issues with 40 lobbyists' filings. Each lobbyist was notified of such discrepancy and instructed to resolve such discrepancy by either amending the dates on the statement of registration or the dates on the retainer agreement. The Lobbying Bureau worked with all lobbyists to ensure these corrections were made.

Name Changes

In cross-checking client names listed on the statements of registration and corresponding retainer agreements with the NYSDOS database, the Lobbying Bureau discovered over 400 name issues for over 160 entities. The Lobbying Bureau instructed such entities to correct the legal entity name of the client by one of the following means: (1) the client requesting a change in the enrollment name; (2) the lobbyist filing an amended statement of registration with an amended retainer listing the correct legal entity name of the client; or (3) both a name change and submission of an amended retainer. For lobbyist/client filers who enrolled under the incorrect name, only a change to the enrollment was required. The Lobbying Bureau worked with each lobbyist and client to ensure that all name discrepancies were resolved.

(vi) Other information and analysis.

Lobbying Commission

Pursuant to Administrative Code §3-212(e), in February 2011, the City Council and the Mayor, appointed a five-member Lobbying Commission ("Commission") to review the Lobbying Law. The Commissioners include: Honorable Herbert Berman, Chair, Jamila Ponton Bragg, Lesley Horton, Margaret Morton, and Elisa Velazquez.

The Commission held several public hearings as follows:

On March 15, 2011, the City Clerk, Michael McSweeney, testified before the Commission. His testimony covered the history of the Lobbying Law, the Lobbying Bureau's enforcement

measures, random audit procedure and current issues with the Lobbying Law. To supplement his testimony, the City Clerk submitted a Report to the Lobbying Commission. For the complete text of the Report please visit the Lobbying Bureau's website at:

<http://www.cityclerk.nyc.gov/downloads/pdf/ReporttotheLobbyingCommission2011.pdf>.

Other agencies responsible for enforcing the Lobbying Law also testified at the March 15, 2011 hearing, including the Department of Information Technology and Telecommunications ("DOITT"), Conflicts of Interest Board, and Campaign Finance Board. The Department of Investigation submitted written testimony for the Commission's review.

On March 30, 2011 PIC, testified via webcam about the New York State Lobbying Law and its enforcement procedures. Following PIC's testimony, several lobbyists including lobbying firms, not-for-profit organizations and government watchdog groups testified on various aspects of the Lobbying Law and the City Clerk's enforcement at the remaining public hearings.

On April 27, 2011, representatives of lobbying firms including counsel for the New York Advocacy Association, an association of lobbying firms and in-house lobbyists in New York City, testified before the Commission.

On May 3, 2011, not-for-profit organizations testified about their concerns and issues with the Lobbying Law and its enforcement.

On May 11, 2011, government watchdog groups such as Citizen's Union and the New York City Public Interest Research Group testified at an open public hearing before the Commission.

At the last public hearing held on June 24, 2011, the Commission discussed its proposed recommendations to be included in its preliminary report. On August 9, 2011, the Commission issued its preliminary report.

The Commission's preliminary report outlines several key recommendations regarding the Lobbying Law and its enforcement including:

1. Increasing the dollar threshold for triggering lobbying registration;
2. Amending the Lobbying Law to ensure that the attempt to influence the passage or defeat of any local law by the City Council or the Mayor does not require the formal introduction of legislation;
3. Increasing the City Clerk's outreach, education and training measures to ensure that certain professionals are properly registering as lobbyists;
4. Amending the Lobbying Law to grant the City Clerk limited discretion to waive or reduce late filing penalties;

5. Legislation to provide for a one-time amnesty from late filing penalties for entities that have not previously registered with the City Clerk;
6. Mandating training for all registered lobbyists and a position in the City Clerk's office for education and outreach;
7. Increasing public information and improving e-Lobbyist by:
 - a. Increasing the information available to the public from e-Lobbyist;
 - b. Changing e-Lobbyist to provide for more pre-population of fields;
 - c. Addressing delays in the Doing Business Database;
 - d. Providing for a "co-lobbyist" filing mechanism on e-Lobbyist; and
 - e. Requiring more information in the City Clerk's annual report.
8. Coordinating between the State and City filings; and
9. Requiring another Lobbying Commission.

For the complete text of the Preliminary Report on the New York City Lobbying Commission please visit the Commission's website at:

http://www.nyc.gov/html/lobby/html/reports/commission_reports.shtml.

Advisory Opinions

The Lobbying Bureau published three advisory opinions in 2011. Advisory Opinion 2011-1 discussed the implications of enlisting the assistance of a City official in the collection of a City debt. The City Clerk opined that while pursuant to Administrative Code §3-211(c), a contractor who communicates with city contracting officers or employees in the regular course of the administration of a contract is exempt from the Lobbying Law, communications with an elected official or deputy of elected official such as the Deputy Mayor, are not afforded the same exemption. In addition, the City Clerk found that communications between the creditor's lobbyist and the City official constitutes a reportable lobbying activity.

Advisory Opinions 2011-2 and 2011-3 focused on specific scenarios involving investment managers and hedge funds and whether such communications with the City's pension funds constitute lobbying. Advisory Opinion 2011-2 states that communications between employees of a hedge fund and the staffs of the City Comptroller and/or pension funds are exempt from the Lobbying Law only if such communications are in response to a request for information from such City Comptroller and/or pension fund employee. Advisory Opinion 2011-3 states that communications between employees of an investment manager firm and the staffs of the City

Comptroller and/or pension funds are exempt from the requirements of the Lobbying Law only if such communications are within the regular course of the procurement process. In addition, communications within the regular course of the administration of a contract with the City are likewise excluded from the requirement of the Lobbying Law.

Improvements to the e-Lobbyist system

In 2011, there were several enhancements to the e-Lobbyist system to improve the accuracy of reporting and ensure compliance. The most significant enhancement to e-Lobbyist was the creation of a filing mechanism for lobbyists to properly report a co-lobbyist relationship between a primary lobbyist, a co-lobbyist and a client. On August 5, 2011, the enhancement was deployed and an announcement was sent to all lobbyists and clients regarding the enhancement available at: <http://www.cityclerk.nyc.gov/downloads/pdf/co-lobbyist%20announcement%20FINAL.pdf>.

The announcement explained the definition of a co-lobbyist and outlined the filing requirements of each party. Specifically, a co-lobbyist is a lobbyist retained (and compensated) by another lobbyist (“primary lobbyist”) to lobby on behalf of the primary lobbyist’s client in the City of New York in a given calendar year. Several lobbyists have begun filing accordingly, which promotes transparency and provides the public with a clearer picture of the relationship between all parties.

Other enhancements made to the e-Lobbyist system in 2011 include: reformatting the address and telephone number entry fields on reports to accommodate international filers; user-friendly upgrades to the enrollment process providing greater security and compliance; various administrative search reports to facilitate compliance; several text corrections to various screens; and additional emails automatically generated by e-Lobbyist. In addition, the e-Lobbyist user-guide was continuously updated throughout the year as enhancements were made to the system.

Article 78 Proceeding

On January 10, 2010, the Office of Administrative Trials and Hearings (“OATH”) issued a report and recommendation stating the Urban Justice Center (“Urban Justice”) was liable for a late filing penalty of \$2,700 for filing its 2008 client annual report 108 days late. After the City Clerk sent its final decision to Urban Justice, adopting OATH’s report and recommendation, Urban Justice filed a motion to reopen the OATH proceedings and vacate the late fine. OATH denied Urban

Justice's motion. As a result, on or about June 24, 2010, Urban Justice brought an Article 78 proceeding in New York County Supreme Court. On December 13, 2010, the Court transferred the Article 78 petition to the Appellate Division of the First Department. On June 30, 2011, the Appellate Division held that the City Clerk's determination of the \$2,700 late filing penalty was supported by substantial evidence, i.e., Urban Justice filed the report 108 days after the filing deadline and was subject to the \$25 per day late filing penalty as a repeat filer. Furthermore, the Court held that it was unpersuaded by Urban Justice's focus on its "purported good faith efforts to comply with the Lobbying Law, given that the statute does not provide for consideration of such criteria." *See In re Urban Justice Center v. New York City Clerk*, Index No.: 108317/10 (June 30, 2011). On August 4, 2011, Urban Justice filed a motion for leave to appeal to the New York State Court of Appeals. On October 25, 2011, the Court of Appeals denied the motion.

Number of Reporting Lobbyists and Clients

As of February 29, 2012, there were 925 lobbyists and 2,840 clients enrolled in the e-Lobbyist system. In 2011, approximately 1,700 statements of registration were filed on e-Lobbyist.

Outlook For 2012

The Lobbying Bureau continues to strive to improve functionality and the user-friendliness of the e-Lobbyist system. In 2012, in partnership with DoITT, the Lobbying Bureau plans to release the following enhancements including: the capability to deactivate inadvertent filings from e-Lobbyist such as statements of registration, periodic reports, client annual reports and fundraising and political consulting reports; updates to the employee store; and an enhancement to the current third-party filing mechanism.

The Lobbying Bureau intends to continue its efforts to increase compliance by expanding its enforcement efforts, and increasing public awareness of the Lobbying Law and its reporting requirements. Education and community outreach efforts will be even further expanded. In addition, to more educational trainings, the Lobbying Bureau in partnership with DoITT, will be posting a training video to assist filers with filing reports on the e-Lobbyist system. Community outreach will include advertising in periodicals that target specific lobbying organizations. In addition, the Lobbying Bureau intends to send letters to parties that appear before various City agencies to inform them of the Lobbying Law. The Lobbying Bureau will also continue the practice initiated in 2011 of monitoring unreported lobbying by cross-checking State lobbying filings with City filings.

For the sake of transparency, the Lobbying Bureau will also continue to focus on the veracity of the reports filed by lobbyists and clients alike. The Lobbying Bureau will continue to compare information such as entity name, start and end dates listed on the statements of registration with such information listed on the retainer agreements and the NYSDOS. In addition, the Lobbying Bureau will continue to cross-check the client annual reports and the lobbyists' sixth periodic report to ensure the compensation totals as well as the lobbying activities listed on both reports are reported correctly. The Lobbying Bureau intends to work with all filers to resolve any discrepancies in information reported.

Furthermore, the Lobbying Bureau will continue to send announcements to notify filers of changes to the e-Lobbyist system, changes in procedure, as well as notifying filers of any consistent trends of noncompliance.

Analysis of Lobbying Data

The Lobbying Bureau has undertaken a significant effort to increase the dissemination of the information contained in e-Lobbyist. In addition to the top ten lobbyists list by compensation, the following lists and charts contain an analysis based on the following:

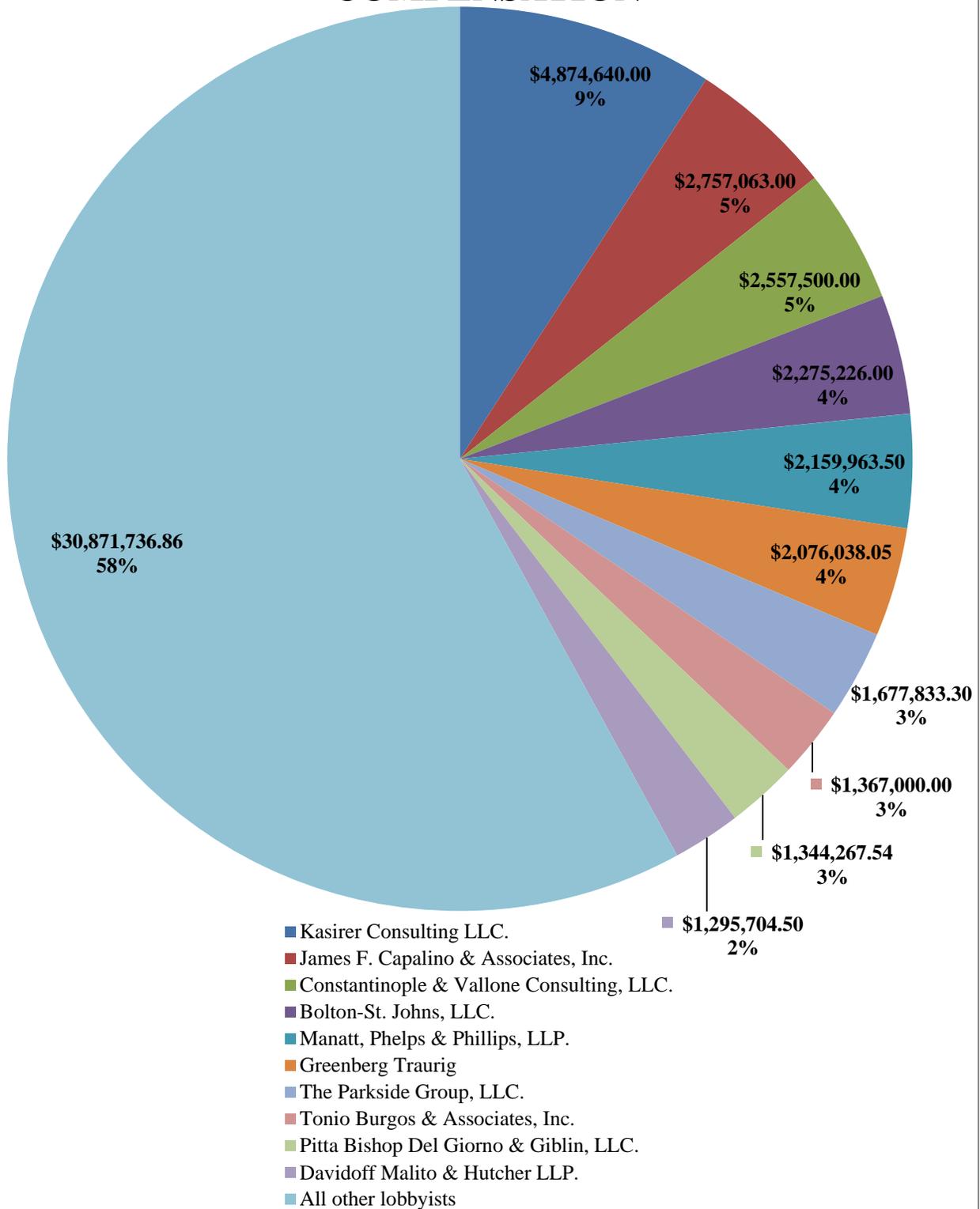
1. Top Ten Lobbyists:
 - a. By total cumulative compensation reported for all clients registered; and
 - b. By total cumulative compensation reported for all clients for 2007-2011.
2. Comparison of Compensation Reported by Lobbyists from 2007-2011.
3. Top Ten Lobbyists:
 - a. By number of clients registered; and
4. Top Ten Lobbyist/Client Filers:
 - a. By total cumulative compensation reported paid to all employees; and
5. Top Ten Clients:
 - a. By total compensation paid to all retained lobbying firms;
 - b. By number of retained lobbying firms; and
6. Top Ten Lobbying Contracts.
7. Top Activities:
 - a. By subject category listed on all periodic reports filed in 2011; and
 - b. By ten target agencies listed on all periodic reports filed in 2011.

TOP TEN LOBBYISTS OF 2011 BY COMPENSATION¹⁰

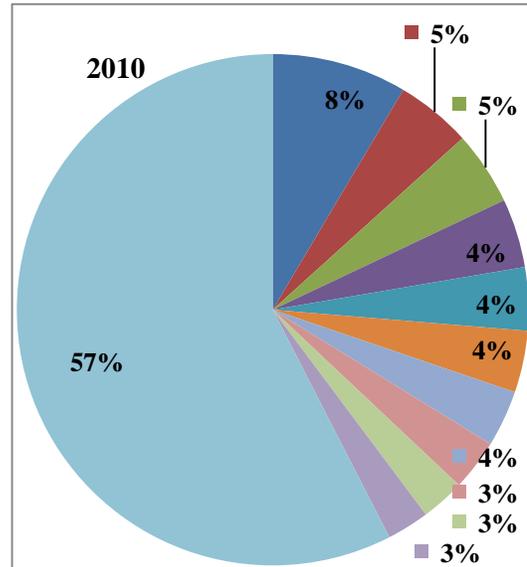
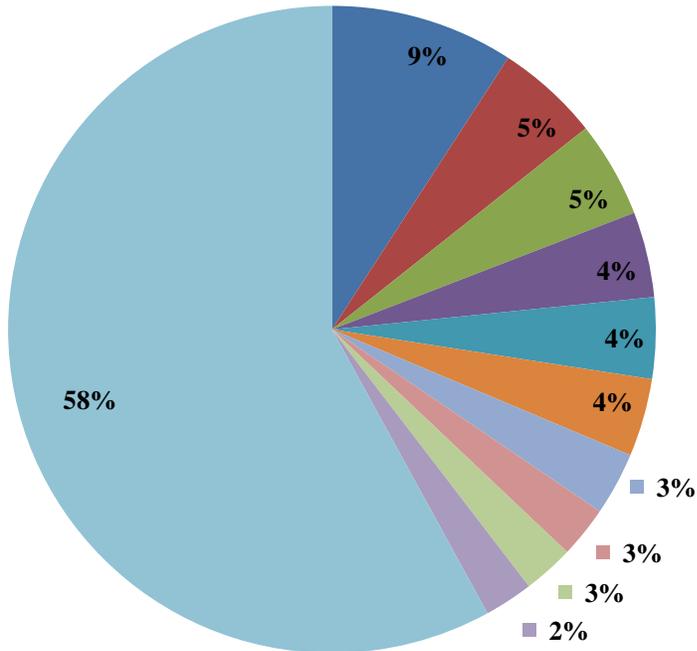
<u>Lobbyist</u>	<u>Total Compensation Reported</u>
Kasirer Consulting LLC.	\$4,874,640.00
James F. Capalino & Associates, Inc.	\$2,757,063.00
Constantinople & Vallone Consulting LLC.	\$2,557,500.00
Bolton-St. Johns LLC.	\$2,275,226.00
Manatt, Phelps & Phillips, LLP.	\$2,159,963.50
Greenberg Traurig	\$2,076,238.05
The Parkside Group, LLC.	\$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>

¹⁰ Based on the cumulative compensation reported by the lobbyist in its periodic reports.

TOP TEN LOBBYISTS OF 2011 BY COMPENSATION



2011 TOP TEN LOBBYIST BY COMPENSATION COMPARED TO 2010 TOP TEN LOBBYIST BY COMPENSATION



■ Kasirer Consulting, LLC.

■ James F. Capalino & Associates, Inc.

■ Constantinople & Vallone Consulting, LLC.

■ Bolton-St. Johns, LLC.

■ Manatt, Phelps & Phillips, LLP.

■ Greenberg Traurig

■ The Parkside Group, LLC.

■ Tonio Burgos & Associates, Inc.

■ Pitta Bishop Del Giorno & Gibling, LLC.

■ Davidoff Malito & Hutcher, LLP.

■ All other lobbyists

■ Kasirer Consulting, LLC.

■ James F. Capalino & Associates, Inc.

■ Constantinople & Vallone Consulting, LLC.

■ Bolton-St. Johns, LLC.

■ Kramer Levin Naftalis & Frankel, LLP.

■ Greenberg Traurig

■ Bryan Cave, LLP.

■ The Parkside Group, LLC.

■ Tonio Burgos & Associates, Inc.

■ Law Offices of Claudia Wagner, LLC.

■ All other lobbyists

TOP TEN LOBBYISTS OF 2010 BY COMPENSATION¹¹

<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	\$ 1,927,216.00
Bryan Cave, LLP.	\$ 1,761,156.00
The Parkside Group, LLC.	\$ 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.

¹¹ As reported in the Lobbying Bureau Annual Report dated March 1, 2011.

TOP TEN LOBBYISTS OF 2009 BY COMPENSATION¹²

<u>Lobbyist</u>	<u>Total Compensation Reported</u>
Kasirer Consulting, LLC.	\$ 3,745,321.77
Kramer Levin Naftalis & Frankel, LLP.	\$ 2,927,017.51
Greenberg Traurig	\$ 2,882,270.27
James F. Capalino & Associates, Inc.	\$ 2,554,438.50
Bolton-St. Johns, LLC.	\$ 2,464,754.31
The Parkside Group, LLC.	\$ 1,994,333.32
Tonio Burgos & Associates, Inc.	\$ 1,883,500.00
Constantinople & Vallone Consulting, LLC.	\$ 1,785,000.00
Law Offices of Claudia Wagner, LLC.	\$ 1,640,650.00
Fried, Frank, Harris, Shriver & Jacobson, LLP.	\$ <u>1,521,124.50</u>
SUB-TOTAL	\$23,398,410.18
OTHER LOBBYISTS	<u>\$30,295,931.62</u>
TOTAL COMPENSATION	<u>\$53,694,341.80*</u>

*Total may vary due to rounding.

¹² As reported in the Lobbying Bureau Annual Report dated March 1, 2011.

TOP TEN LOBBYISTS OF 2008 BY COMPENSATION¹³

<u>Lobbyist</u>	<u>Total Compensation Reported</u>
Kasirer Consulting, LLC.	\$ 4,518,656.82
James F. Capalino & Associates, Inc.	\$ 4,047,234.61
Kramer Levin Naftalis & Frankel, LLP.	\$ 3,616,499.00
Greenberg Traurig	\$ 3,322,488.14
Bolton-St. Johns, LLC.	\$ 2,756,304.00
The Parkside Group, LLC.	\$ 2,520,266.66
Law Offices of Claudia Wagner, LLC.	\$ 2,227,286.84
Fried, Frank, Harris, Shriver & Jacobson, LLP.	\$ 2,055,698.00
Constantinople & Vallone Consulting, LLC.	\$ 2,028,500.00
Herrick, Feinstein, LLP.	\$ 1,850,557.54
SUB-TOTAL	\$28,943,491.61
OTHER LOBBYISTS	\$32,152,102.15
TOTAL COMPENSATION	<u>\$61,095,593.76*</u>

*Total may vary due to rounding.

¹³ As reported in the Lobbying Bureau Annual Report dated March 1, 2011.

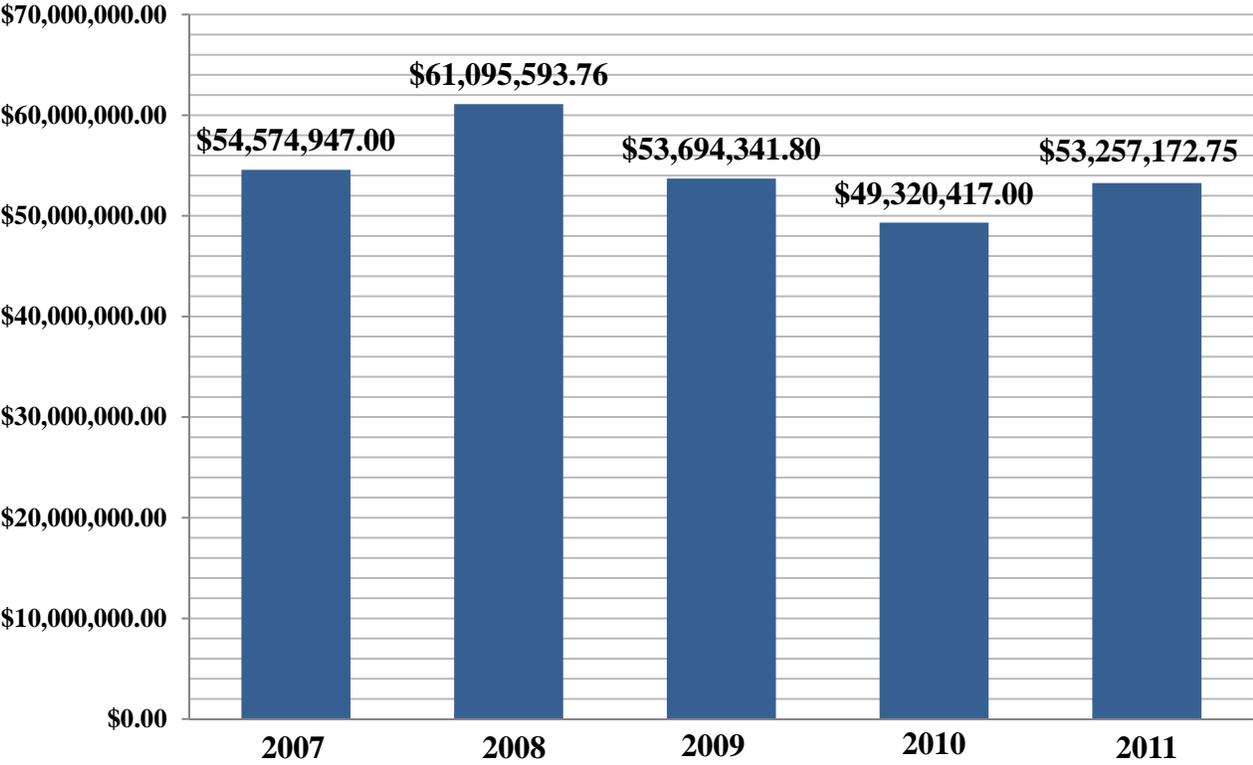
TOP TEN LOBBYISTS OF 2007 BY COMPENSATION¹⁴

<u>Lobbyist</u>	<u>Total Compensation Reported</u>
Kasirer Consulting, LLC.	\$ 3,443,691.00
Greenberg Traurig	\$ 3,049,128.00
Bolton-St. Johns, Inc.	\$ 2,905,704.00
James F. Capalino & Associates, Inc.	\$ 2,682,006.00
The Parkside Group, LLC.	\$ 2,530,424.00
Law Offices of Claudia Wagner, LLC.	\$ 2,185,659.00
Fried, Frank, Harris, Shriver & Jacobson, LLP.	\$ 1,917,645.00
Constantinople & Vallone Consulting, LLC.	\$ 1,896,500.00
Kramer Levin Naftalis & Frankel, LLP.	\$ 1,848,776.00
Yoswein New York, Inc.	<u>\$ 1,575,000.00</u>
SUB-TOTAL	\$24,034,533.00
OTHER LOBBYISTS	<u>\$30,540,414.00</u>
TOTAL COMPENSATION	<u>\$54,574,947.00*</u>

*Total may vary due to rounding.

¹⁴ As reported in the Lobbying Bureau Annual Report dated March 1, 2011.

COMPARISON OF COMPENSATION REPORTED BY LOBBYISTS FROM 2007-2011



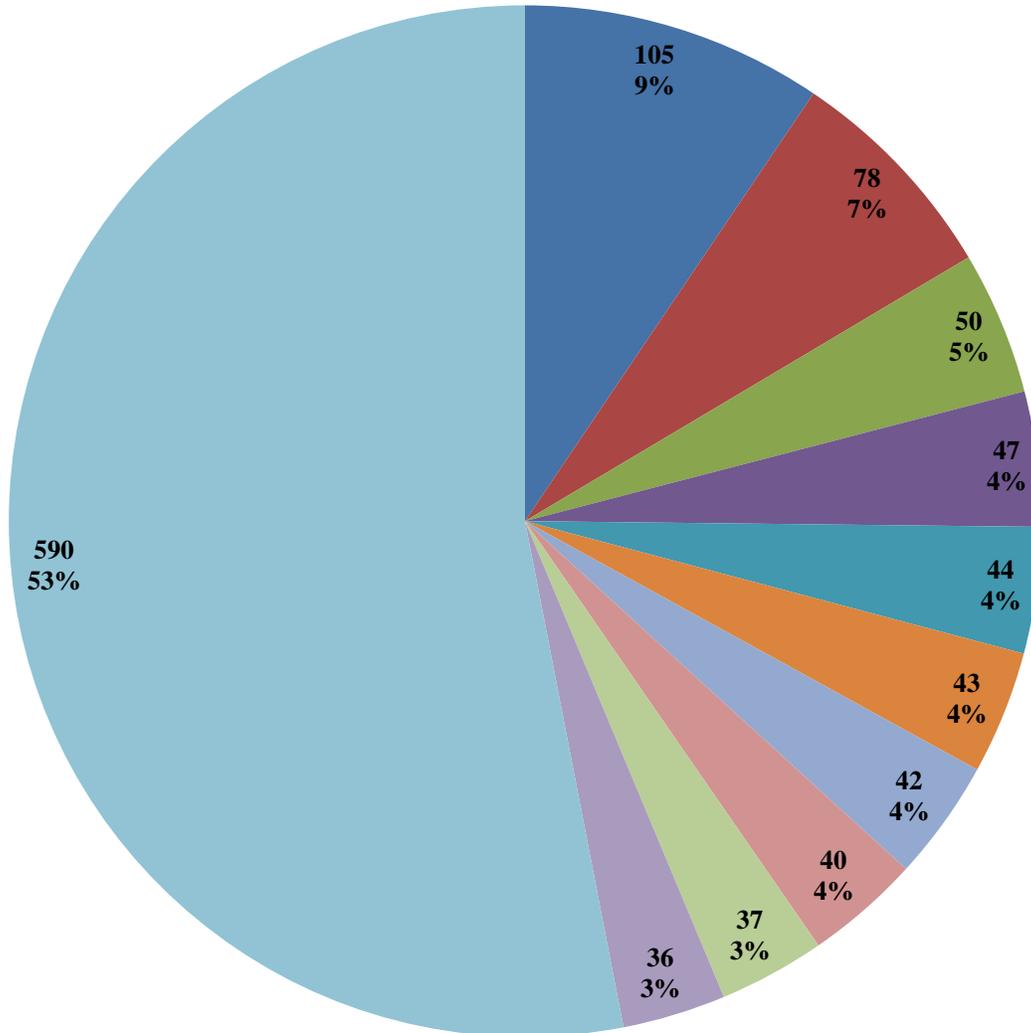
TOP TEN LOBBYISTS OF 2011 BY NUMBERS OF CLIENTS¹⁵ REGISTERED¹⁶

<u>Lobbyist</u>	<u>Number of Clients Registered</u>
James F. Capalino & Associates, Inc.	105
Kasirer Consulting LLC.	78
Greenberg Traurig	50
Manatt, Phelps & Phillips, LLP.	47
TLM Associates LLC.	44
Constantinople & Vallone Consulting LLC.	43
Bolton-St. Johns LLC.	42
Wilson Elser Moskowitz Edelman & Dicker LLP.	40
Pitta Bishop Del Giorno & Giblin LLC.	37
The Parkside Group, LLC.	<u>36</u>
SUB-TOTAL	522
OTHER	<u>590</u>
TOTAL	<u>1,112</u>

¹⁵ “Clients” includes only lobbyist/client filers that reported retaining an outside lobbying entity in 2011.

¹⁶ Based on statements of registration filed by lobbyists.

TOP TEN LOBBYIST OF 2011 BY NUMBER OF CLIENTS REGISTERED*



- James F. Capalino & Associates, Inc.
- Kasirer Consulting LLC.
- Greenberg Traurig
- Manatt, Phelps & Phillips, LLP.
- TLM ASSOCIATES LLC.
- Constantinople & Vallone Consulting LLC.
- Bolton-St. Johns LLC.
- Wilson Elser Moskowitz Edelman & Dicker LLP.
- Pitta Bishop Del Giorno & Giblin LLC.
- The Parkside Group, LLC.
- Other

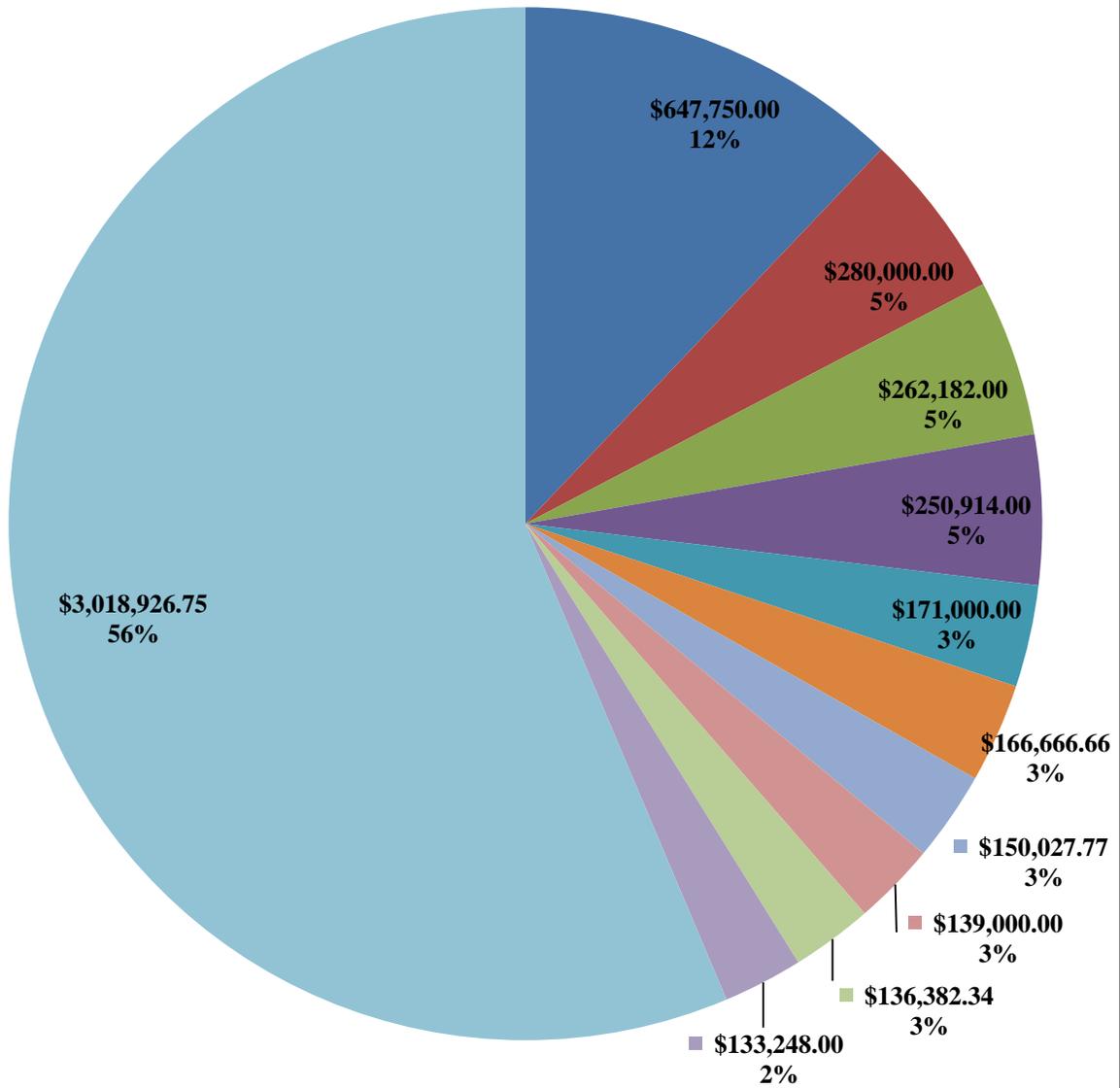
*Based on statements of registration filed by lobbyists.

TOP TEN LOBBYIST/CLIENT FILERS OF 2011 BY COMPENSATION¹⁷

<u>Lobbyist/Client</u>	<u>Compensation</u>
Committee for Hispanic Children and Families, Inc.	\$ 647,750.00
T. Rowe Price Associates, Inc.	\$ 280,000.00
Goldman, Sachs & Co.	\$ 262,182.00
United Federation of Teachers	\$ 250,914.00
The Metropolitan Museum of Art	\$ 171,000.00
Aronson Johnson Ortiz, LP.	\$ 166,666.66
Urban Justice Center	\$ 150,027.77
District Council 37	\$ 139,000.00
Wal-Mart Stores, Inc.	\$ 136,382.34
Environmental Defense Fund, Inc.	\$ 133,248.00
SUB-TOTAL	\$2,337,170.77
OTHER LOBBYIST/CLIENTS	\$3,018,926.75
TOTAL COMPENSATION OF LOBBYIST/CLIENTS	<u>\$5,356,097.52</u>

¹⁷ Based on cumulative compensation reported in periodic reports filed by lobbyist/client filers.

TOP TEN LOBBYIST/CLIENT FILERS OF 2011 BY COMPENSATION REPORTED



- Committee for Hispanic Children and Families, Inc.
- T. Rowe Price Associates, Inc.
- Goldman, Sachs & Co.
- United Federation of Teachers
- The Metropolitan Museum of Art
- Aronson Johnson Ortiz, LP.
- Urban Justice Center
- District Council 37
- Wal-Mart Stores, Inc.
- Environmental Defense Fund, Inc.
- Other lobbyist/client filers

TOP TEN CLIENTS¹⁸ OF 2011 BY COMPENSATION PAID TO ALL LOBBYING FIRMS¹⁹

<u>Client</u>	<u>Lobbyist</u>	<u>Compensation</u>
Albee Development, LLC.	Washington Square Partners, Inc.	<u>\$1,004,000.00</u>
Rudin Management Company, Inc.	Fried, Frank, Harris, Shriver & Jacobson, LLP.	\$ 424,565.00
	James F. Capalino & Associates, Inc.	\$ 189,900.00
		<u>\$ 614,465.00</u>
CSC Holdings LLC.	Kasirer Consulting LLC.	\$ 157,500.00
	Patricia Lynch Associates	\$ 180,000.00
	Robinson & Cole LLP.	\$ 120,000.00
	Phillips Nizer, LLP.	\$ 0.00 ²⁰
		<u>\$ 457,500.00</u>
Jewish Home Lifecare	Geto & de Milly Inc.	\$ 120,000.00
	Greenberg Traurig	\$ 120,000.00
	Kramer Levin Naftalis & Frankel LLP.	\$ 97,333.08
		<u>\$ 337,333.08</u>
Verizon Corporate Resources Group LLC.	Martin J McLaughlin Communications, Inc.	\$ 99,999.96
	National Strategies, LLC.	\$ 96,000.00
	Tonio Burgos & Associates, Inc.	\$ 135,000.00
		<u>\$ 330,999.96</u>
Avenues World Holdings LLC.	Akerman Senterfitt LLP.	\$ 264,763.00
	Constantinople & Vallone Consulting, LLC.	\$ 60,000.00
		<u>\$ 324,763.00</u>

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

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

²⁰ Based on the lobbyist reporting being retained by the client, but reported \$0.00 in compensation and no lobbying activity in its combined periodic reports.

TD Bank, N.A.

Carl Andrews and Associates, Inc.	\$ 77,000.00
Constantinople & Vallone Consulting, LLC.	\$ 150,000.00
Cozen O'Connor	\$ 94,205.00
	<u>\$ 321,205.00</u>

Atlantic Yards Development Company, LLC.

The Carey Group LLC.	\$ 18,000.00
Kasirer Consulting LLC.	\$ 120,000.00
Geto & de Milly Inc.	\$ 57,500.00
LoCicero & Tan Inc.	\$ 48,000.00
Park Strategies LLC.	\$ 60,000.00
Richard Lipsky, Associates, Inc.	\$ 4,000.00
Wilson, Elser Moskowitz Edelman & Dicker, LLP.	\$ 12,000.00
Fried, Frank, Harris, Shriver & Jacobson, LLP.	\$ 0.00 ²¹
	<u>\$ 319,500.00</u>

LEG Astoria, LLC.

Constantinople & Vallone Consulting, LLC.	\$ 60,000.00
Cozen O'Connor	\$ 194,062.00
Norman Levy, P.C.	\$ 30,000.00
Sheinkopf LTD.	\$ 30,000.00
	<u>\$ 314,062.00</u>

Industco Holdings LLC.

Greenberg Traurig	\$ 294,959.75
Patricia Zedalis	\$ 3,450.00
	<u>\$ 298,409.75</u>

²¹ Based on the lobbyist reporting being retained by the client, but reported \$0.00 in compensation and no lobbying activity in its combined periodic reports.

TOP CLIENTS FOR 2011 BASED ON NUMBER OF LOBBYING FIRMS RETAINED²²

<u>Client</u>	<u># of Firms Retained</u>
Atlantic Yards Development Co., LLC.	8
Triangle Equities Development Company, LLC.	5
The Trustees of Columbia University in the City of New York	4
CSC Holdings LLC.	4
LEG Astoria, LLC.	4
MSG Holdings, L.P.	4
MultiState Associates Inc.	4
The Rector, Church-Wardens and Vestrymen of Trinity Church	4
Yeshiva University	4

²² Based on statements of registration filed by lobbyists. Only includes lobbyist/client filers who have retained an outside lobbyist. The lobbyist/client filer is not counted as a lobbying entity.

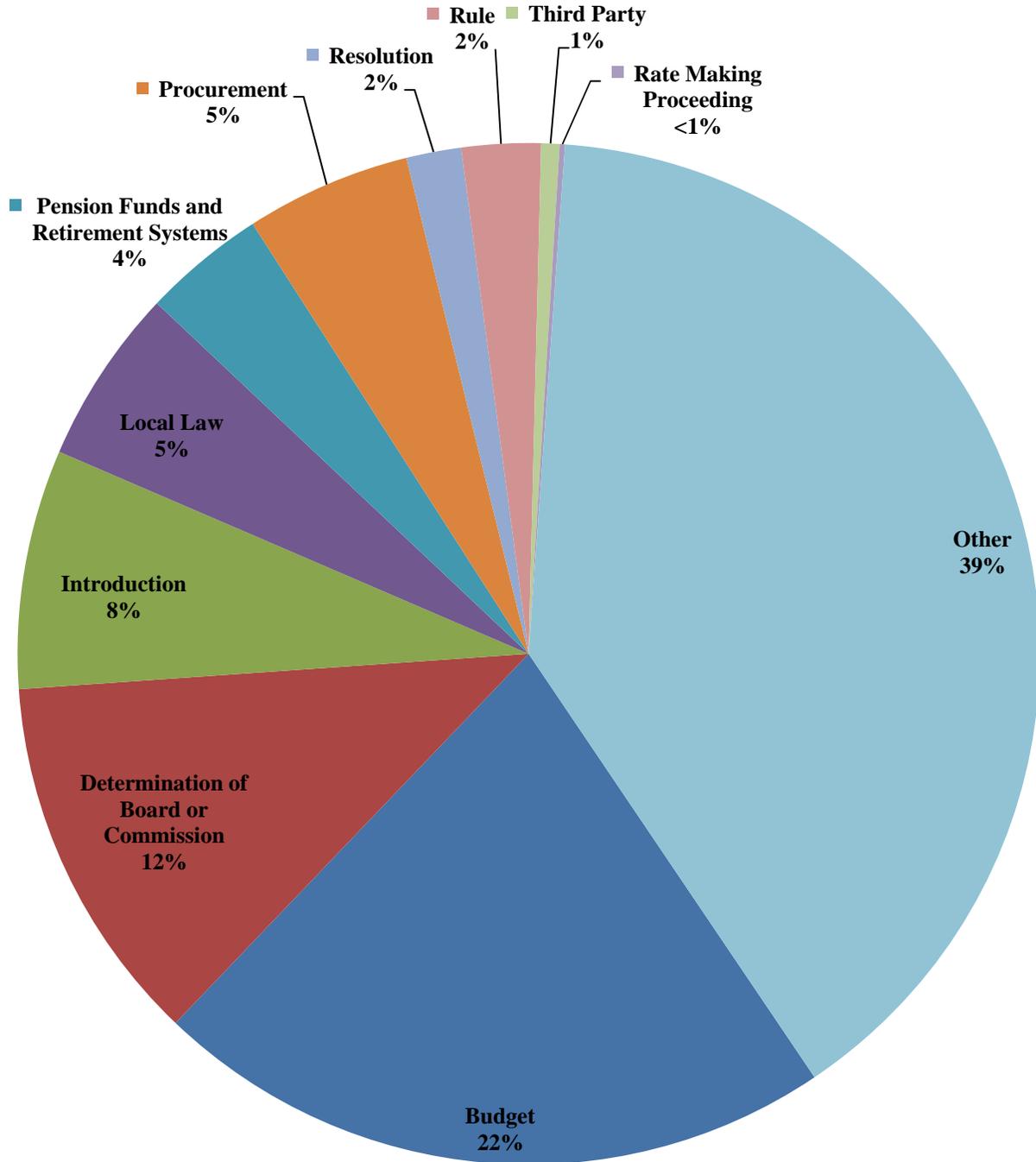
TOP TEN LOBBYING CONTRACTS IN 2011 (COMPENSATION PAID²³ TO ONE LOBBYING FIRM)²⁴

<u>Client</u>	<u>Lobbyist</u>	<u>Compensation</u>
Albee Development, LLC.	Washington Square Partners, Inc.	\$1,004,000.00
Rudin Management Company, Inc.	Fried, Frank, Harris, Shriver & Jacobson, LLP.	\$ 424,565.00
Industco Holdings, LLC.	Greenberg Traurig	\$ 294,959.75
Avenues World Holdings, LLC.	Akerman Senterfitt, LLP.	\$ 264,763.00
New York University	Bryan Cave, LLP.	\$ 256,340.00
EmblemHealth Services Company, LLC.	Tonio Burgos & Associates, Inc.	\$ 240,000.00
125 MEC Center, LLC.	The Carey Group, LLC.	\$ 216,000.00
Science Applications International Corp.	Herrick, Feinstein, LLP.	\$ 200,000.00
LEG Astoria, LLC.	Cozen O'Connor	\$ 194,062.00
Rudin Management Company, Inc.	James F. Capalino & Associates, Inc.	\$ 189,900.00

²³ The compensation reported does not include compensation reported as a lobbyist/client filer. It only includes compensation reported paid to outside lobbying firms.

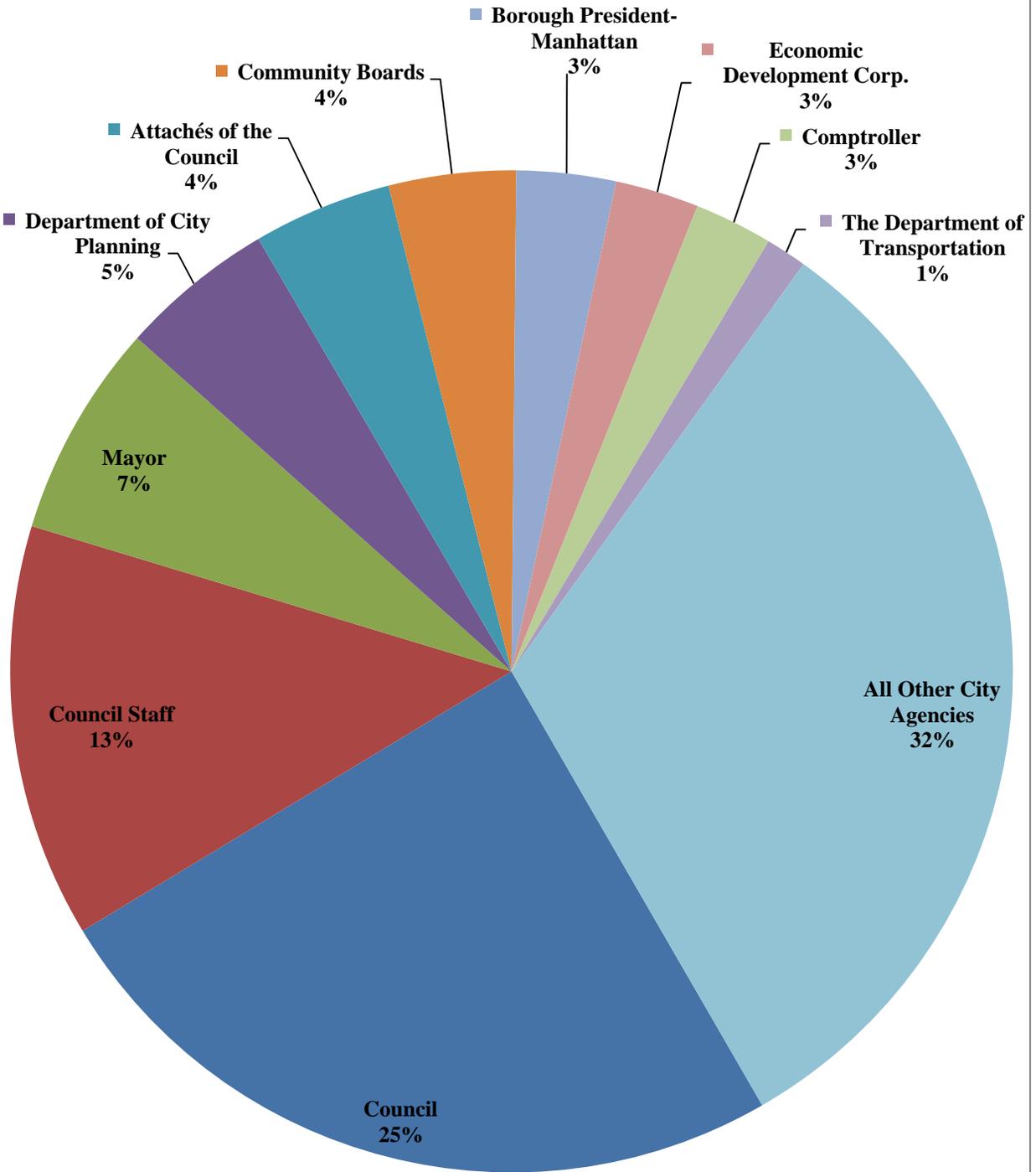
²⁴ Based on the cumulative compensation reported by the lobbyist in its periodic reports.

DISTRIBUTION OF SUBJECT CATEGORIES REPORTED IN 2011 ²¹



²¹ Based on subject category reported on all periodic reports filed by lobbyists and lobbyist/client filers.

TOP TEN TARGETS REPORTED IN 2011²²



²² Based on target agency reported on all periodic reports filed by lobbyists and lobbyist/client filers.

APPENDIX A

LATE FILING PENALTIES: LOBBYIST 2010 SIXTH PERIODIC/ANNUAL REPORT

Lobbyist Entity Name	Total
Akerman Senterfitt, LLP.	\$ 50.00
American Chemistry Council, Inc.	\$ 50.00
Archie H. Spigner	\$ 25.00
Beaudoin & Company, LLC.	\$ 50.00
CA, Inc.	\$ 50.00
Columbia University	\$ 50.00
Community Health Care Association of New York State, Inc.	\$ 50.00
Connelly and McLaughlin	\$ 1,300.00
Cordo & Company, LLC.	\$ 225.00
District Council 37	\$ 50.00
East River Realty Company, LLC.	\$ 425.00
Goldman Harris, LLC.	\$ 750.00
GSP Consulting Group, Inc.	\$ 425.00
Herrick, Feinstein, LLP.	\$ 50.00
Kasirer Consulting, LLC.	\$ 100.00
Kramer Levin Naftalis & Frankel LLP.	\$ 75.00
Laborers Eastern Region Organizing Fund	\$ 550.00
Mardon Consulting, LLC.	\$ 1,775.00
National Strategies, LLC.	\$ 50.00
The Advance Group	\$ 75.00
The Molinari Group LLC.	\$ 150.00
The Mount Sinai Medical Center	\$ 50.00
Thomas Kelly	\$ 725.00
Yoswein New York, Inc.	<u>\$ 150.00</u>
TOTAL	\$ <u>7,250.00</u>

APPENDIX B

LATE FILING PENALTIES: 2010 CLIENT ANNUAL REPORT

Client Entity Name		Total
301/69 Owners Corp.	\$	270.00
319 Bowery NY, LLC.	\$	775.00
808 Columbus, LLC.	\$	75.00
89th & Madison Owners Corp.	\$	720.00
91st Place Realty, LLC.	\$	440.00
Ace Surgical Supply Co, Inc.	\$	280.00
Admirals Row Commons, LLC.	\$	280.00
AMB Property, L.P.	\$	20.00
American Security Systems, Inc.	\$	310.00
AREP Fifth-Seventh, LLC.	\$	280.00
Atkins & Breskin, LLC.	\$	1,550.00
Avenues World Holdings LLC.	\$	20.00
Azimuth Development Group, LLC.	\$	900.00
Beach 62, LLC.	\$	250.00
Beach Bum Tanning, LLC.	\$	1,470.00
Broadway Housing Communities, Inc.	\$	75.00
Broadway Stages, Ltd.	\$	550.00
Brooklyn Bureau of Community Service	\$	900.00
Building Industry Association of New York City, Inc.	\$	3,125.00
C & G Empire Realty, LLC.	\$	490.00
CA, Inc.	\$	50.00
Central Park Tees, Inc.	\$	720.00
Central Parking System of New York, Inc.	\$	1,975.00
Central Station Grocery Corp.	\$	1,290.00
Chateau Stables, Inc.	\$	25.00
Cherry Hill Gourmet, Inc.	\$	20.00
ClearCube Technology Inc.	\$	50.00
COACH USA, Northeast Region, Inc.	\$	725.00
Communication Electricians, Local 3 I.B.E.W	\$	370.00
Communications Workers of America, Local 1182	\$	775.00
Community Health Care Association of NYS, Inc.	\$	25.00
Congregation Rodeph Sholom	\$	1,800.00
Country-Wide Insurance Company	\$	175.00
Degmor, Inc.	\$	175.00
Diane von Fustenberg Studio L.P.	\$	270.00
DJL Family Limited Partnership	\$	1,400.00
DVF Retail, LLC.	\$	270.00
East River Realty Company, LLC.	\$	425.00
Elite Investigations, Ltd.	\$	25.00
Fifteen Central Park West Condominium	\$	340.00
Friends of West Park	\$	20.00
Gerson Properties, LLC.	\$	75.00

GHc Development, LLC.	\$	420.00
Gilead Sciences, Inc.	\$	1,950.00
Giorgio Kolaj	\$	75.00
Goodstein Management, Inc.	\$	310.00
Gregan Equities, Inc.	\$	30.00
H & R Convention and Catering	\$	3,200.00
Henningson, Durham & Richardson, Arch & Eng P.C.	\$	50.00
Henry Hudson Holdings LLC.	\$	430.00
Houston Dee Realty, LLC.	\$	300.00
Ian D. McKeever	\$	900.00
Inner City Development LLC.	\$	70.00
Intel Corporation	\$	1,200.00
ISJ Commercial Corporation	\$	75.00
Knickerbocker Plaza Assoc.	\$	50.00
Little Flower Children and Family Services of New York	\$	30.00
Local 32BJ SEIU	\$	700.00
LogistiCare Solutions, LLC.	\$	25.00
Macerich Management Company	\$	420.00
Marsh, Wassermann & McHugh, LLC.	\$	1,025.00
McAfee, Inc.	\$	1,050.00
Mega Contracting, Inc.	\$	350.00
Metatomix, Inc.	\$	2,175.00
MFA 100 William LLC.	\$	75.00
Midtown Equities LLC.	\$	25.00
National Grid	\$	50.00
National Association of Theater Owners, Inc.	\$	725.00
Navistar, Inc.	\$	1,950.00
New Sunset Industrial Park, LLC.	\$	925.00
New York Industrial Retention Network	\$	925.00
New York MedScan, LLC.	\$	1,300.00
New York Restoration Project (NYRP)	\$	50.00
New York State Professional Process Servers Association, Inc.	\$	75.00
New York Tobacconist's Association	\$	310.00
PAL Environmental Safety Corp.	\$	30.00
Pier 59 Studios, L.P.	\$	75.00
Port Imperial Ferry Corp.	\$	75.00
Portofino Sun Soho Corp.	\$	20.00
Pratt Holdings (USA), Inc.	\$	1,125.00
Private Attorney Defense Services, Inc.	\$	1,560.00
RBG Management Corp.	\$	50.00
Rose Plaza on The River, LLC.	\$	75.00
Safe Space, Inc.	\$	875.00
Samuel Braverman Esq.	\$	30.00
SCI Engineering, P.C.	\$	25.00
Show Media New York, LLC.	\$	3,025.00
Sidley Austin, LLP.	\$	75.00
Small Hotel Owners Association, Inc.	\$	25.00
St. Michael's Cemetery	\$	1,075.00
Stateside Associates, Inc.	\$	725.00

WB Stellar IP Owner, LLC.	\$	3,000.00
Synagro Northeast, LLC.	\$	3,000.00
T A Ahern Contractors Corp.	\$	200.00
Tex Development Co., LLC.	\$	270.00
The Council of Urban Professionals	\$	720.00
The Flushing Coalition for Responsible Development	\$	340.00
The Mount Sinai Medical Center	\$	50.00
Today's Students Tomorrow's Teachers	\$	400.00
Twin American, LLC.	\$	25.00
Verigreen, Inc.	\$	3,675.00
Village Care of New York, Inc.	\$	75.00
WDF, Inc.	\$	700.00
WeRecycle, LLC.	\$	640.00
West Side Manor Management, LLC.	\$	50.00
Xchange Telecom, Corp.	\$	20.00
Zipcar, Inc.	\$	<u>1,400.00</u>
TOTAL	\$	<u>68,455.00</u>

APPENDIX C

LATE FILING PENALTIES: LOBBYIST 2011 STATEMENTS OF REGISTRATION

Lobbyist Entity Name	Total
1199 SEIU United Healthcare Workers East	\$ 700.00
Akerman Senterfitt, LLP.	\$ 650.00
AMB Property, L.P.	\$ 1,730.00
Archie H. Spigner	\$ 225.00
Arsenal Capital Management, L.P.	\$ 620.00
Bolton-St. Johns, LLC.	\$ 75.00
Brendan Sexton	\$ 75.00
Bryan Cave, LLP.	\$ 100.00
Cozen O'Connor	\$ 50.00
Davidoff Malito & Hutcher, LLP.	\$ 50.00
Dewey & Leboeuf	\$ 25.00
Duane Morris, LLP.	\$ 700.00
George Arzt Communications, Inc.	\$ 550.00
Geto & de Milly	\$ 25.00
Greenberg Traurig	\$ 700.00
HM Capital Partners I, L.P.	\$ 60.00
KZA Realty Group, Inc.	\$ 290.00
Levy Ratner, P.C.	\$ 700.00
Liz Robbins Associates	\$ 120.00
Miram Group, LLC.	\$ 25.00
National Strategies, LLC.	\$ 150.00
Nicholas & Lence Communications, LLC.	\$ 75.00
Norman Levy, P.C.	\$ 50.00
Park Strategies, LLC.	\$ 1,175.00
Salamone Consulting, Inc.	\$ 325.00
Sheinkopf Ltd.	\$ 650.00
Sheldon Lobel, P.C.	\$ 800.00
Slater & Beckerman, LLP.	\$ 2,600.00
The Advance Group	\$ 900.00
The Carey Group, LLC.	\$ 100.00
The College Board	\$ 2,525.00
The Museum of Modern Art	\$ 700.00
The Parkside Group, LLC.	\$ 325.00
TLM Associates, LLC.	\$ 700.00
Tonio Burgos and Associates, Inc.	\$ 725.00
U.S. Green Building Council, New York Chapter	\$ 500.00
USTA/National Tennis Center, Inc.	\$ 20.00
Vestar Capital Partners	\$ 110.00
White Oak Global Advisors, LLC.	\$ 280.00
York Group Associates, LLC.	\$ <u>375.00</u>
TOTAL	\$ <u>20,555.00</u>

APPENDIX D

LATE FILING PENALTIES: LOBBYIST 2011 FIRST PERIODIC REPORT

Lobbyist Entity Name	Total
409 Edgecombe Avenue Housing Development Fund Corporation	\$ 50.00
Alliance Bernstein, L.P.	\$ 150.00
Altura Capital Group, LLC.	\$ 50.00
Archie H. Spigner	\$ 50.00
Brendan Sexton	\$ 150.00
Building Trades Employers' Association, Inc.	\$ 50.00
Capri Capital Partners, LLC.	\$ 400.00
City Harvest, Inc.	\$ 25.00
Coalition for the Homeless, Inc.	\$ 25.00
Daniel Rosenthal	\$ 400.00
Dewey & Leboeuf	\$ 25.00
Internationals Network for Public Schools, Inc.	\$ 50.00
Levine Leichtman Capital Partners, Inc.	\$ 200.00
Medley Capital, LLC.	\$ 50.00
The Museum of Modern Art	\$ 2,175.00
New York City AIDS Housing Network	\$ 50.00
New York State Restaurant Association	\$ 50.00
New York Taxi Workers Alliance, Inc.	\$ 400.00
New Yorkers for Clean Livable & Safe Streets, Inc.	\$ 50.00
Oak Hill Advisors, L.P.	\$ 1,575.00
P.S.1 Contemporary Art Center, Inc.	\$ 50.00
Phillips Nizer, LLC.	\$ 100.00
Profit Investment Management, LLC.	\$ 50.00
Research Affiliates, LLC.	\$ 50.00
RREEF America, LLC.	\$ 25.00
Sheldon Lobel, P.C.	\$ 225.00
Starwood Capital, LLC.	\$ 350.00
The College Board	\$ 2,825.00
The Friedlander Group	\$ 150.00
The Howard Hughes Corporation	\$ 1,575.00
The Parkside Group, LLC.	\$ 75.00
TLM Associates, LLC.	\$ 200.00
Tonio Burgos & Associates of New Jersey, LLC.	\$ 25.00
USTA/National Tennis Center, Inc.	\$ 125.00
York Group Associates, LLC.	<u>\$ 50.00</u>
 TOTAL	 \$ <u>11,850.00</u>

APPENDIX E

LATE FILING PENALTIES: LOBBYIST 2011 SECOND PERIODIC REPORT

Lobbyist Entity Name	Total
American Chemistry Council, Inc.	\$ 100.00
Brian C. Kochisarli, P.C.	\$ 400.00
Brooklyn Philharmonic Symphony Orchestra, Inc.	\$ 50.00
City View Management Services, LLC.	\$ 75.00
Coalition of Behavioral Health Agencies, Inc.	\$ 25.00
Corey B. Bearak	\$ 25.00
Cozen O'Connor	\$ 50.00
David M. Muchnick d/b/a Sustainable Enterprise	\$ 75.00
Extell Development Company	\$ 25.00
Fidelity Brokerage Services	\$ 50.00
Fidelity Capital Markets, a division of National Financial Services, LLC.	\$ 50.00
Fidelity Investments Institutional Service Company, Inc.	\$ 50.00
Friends of the High Line, Inc.	\$ 125.00
Gay Men's Health Crisis, Inc.	\$ 25.00
Greenhill & Co., LLC.	\$ 225.00
Invesco Advisers, Inc.	\$ 75.00
Iridian Asset Management, LLC.	\$ 1,075.00
JGM Consulting	\$ 250.00
Joint Council No 16 International Brotherhood of Teamsters	\$ 50.00
Leonard Green & Partners, L.P.	\$ 200.00
Levine Leichtman Capital Partners, Inc.	\$ 200.00
Medley Capital LLC.	\$ 50.00
New York City AIDS Housing Network	\$ 50.00
New York Hall of Science	\$ 25.00
New York State Association for Affordable Housing, Inc.	\$ 50.00
New Yorkers for Clean Livable & Safe Streets Inc.	\$ 75.00
Nicholas & Lence Communications, LLC.	\$ 200.00
Pyramis Global Advisors Holding Corp	\$ 50.00
Richard Lipsky Associates, Inc.	\$ 25.00
Salamone Consulting, Inc.	\$ 25.00
Sheldon Lobel, P.C.	\$ 250.00
The Center for Arts Education, Inc.	\$ 25.00
The College Board	\$ 1,300.00
The Educational Alliance, Inc.	\$ 50.00
The Howard Hughes Corporation	\$ 25.00
Wildlife Conservation Society	<u>\$ 25.00</u>
TOTAL	\$ <u>5,425.00</u>

APPENDIX F

LATE FILING PENALTIES: LOBBYIST 2011 THIRD PERIODIC REPORT

Lobbyist Entity Name	Total
AMB Property, L.P.	\$ 4,200.00
Archie H. Spigner	\$ 50.00
Barbara J. Resnicow	\$ 100.00
Canopy Investment Advisors, LLC.	\$ 175.00
Citizens Budget Commission, Inc.	\$ 50.00
CityView Management Services, LLC.	\$ 125.00
CQS (US), LLC.	\$ 75.00
GSP Consulting Group, Inc.	\$ 100.00
Internationals Network for Public Schools, Inc.	\$ 75.00
Law Offices of Marvin B. Mitzner	\$ 150.00
Municipal Art Society of New York	\$ 525.00
New York City AIDS Housing Network	\$ 100.00
New York Taxi Workers Alliance, Inc.	\$ 50.00
P.S.1 Contemporary Art Center, Inc.	\$ 275.00
Sheldon Lobel, P.C.	\$ 25.00
Transportation Alternatives, Inc.	<u>\$ 75.00</u>
TOTAL	<u>\$ 6,150.00</u>

APPENDIX G

LATE FILING PENALTIES: LOBBYIST 2011 FOURTH PERIODIC REPORT

Lobbyist Entity Name	Total
AMB Property, L.P.	\$ 2,650.00
Archie H. Spigner	\$ 325.00
Brendan Sexton	\$ 150.00
Brooklyn Bridge Park Conservancy, Inc.	\$ 100.00
Carpenter Fund Manager GP, LLC.	\$ 450.00
Cinven Limited	\$ 25.00
CISCO Systems, Inc.	\$ 25.00
CityView Management Services, LLC.	\$ 25.00
Duane Morris LLP.	\$ 100.00
International Union of Operation Engineers Local 14-14B	\$ 25.00
John E. Osborn P.C.	\$ 200.00
Masbia	\$ 475.00
National Association of Social Workers-New York City Chapter	\$ 25.00
New York Building Congress, Inc.	\$ 50.00
New York Taxi Workers Alliance, Inc.	\$ 325.00
P.S.1 Contemporary Art Center, Inc.	\$ 25.00
Sheldon Lobel, P.C.	\$ 25.00
The Museum of Modern Art	\$ 25.00
The New York Public Library	\$ 25.00
York Group Associates, LLC.	\$ <u>100.00</u>
TOTAL	\$ <u>5,150.00</u>

APPENDIX H

LATE FILING PENALTIES: LOBBYIST 2011 FIFTH PERIODIC REPORT

Lobbyist Entity Name	Total
AFSCME District Council 1707	\$ 50.00
AMB Property, L.P.	\$ 1,125.00
Archie H. Spigner	\$ 50.00
Arsenal Capital Management, L.P.	\$ 150.00
Bard College	\$ 325.00
Brian C. Kochisarli, P.C.	\$ 200.00
Carpenter Fund Manager GP, LLC.	\$ 150.00
Center Against Domestic Violence	\$ 50.00
Contrarian Capital Management, LLC.	\$ 75.00
Craton Equity Partners LLC.	\$ 50.00
Fordham University	\$ 50.00
Friends of the High Line, Inc.	\$ 175.00
Goldman Harris LLC.	\$ 150.00
Greenberg Traurig	\$ 125.00
Housing Court Answers, Inc.	\$ 50.00
La Fuente, A Tri-State Worker and Community Fund, Inc.	\$ 350.00
Legal Action Center of the City of New York, Inc.	\$ 25.00
Leonard Green & Partners, L.P.	\$ 25.00
Liz Robbins Associates	\$ 50.00
National Strategies, LLC.	\$ 875.00
New York Communities for Change, Inc.	\$ 50.00
New York Hall of Science	\$ 25.00
New York Taxi Workers Alliance, Inc.	\$ 50.00
New Yorkers for Clean Livable & Safe Streets, Inc.	\$ 50.00
The Advance Group	\$ 150.00
White Oak Global Advisors, LLC.	\$ 325.00
Working Families Organization, Inc.	\$ 50.00
York Capital Management Global Advisors, LLC.	\$ <u>300.00</u>
TOTAL	\$ <u>5,100.00</u>