

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, 2013

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Introduction

This is the seventh 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 2012.

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

In 2012, the Lobbying Bureau received two complaints from the public regarding possible violations of the Lobbying Law. One of the two complaints remains open and is the subject of an ongoing investigation which is unresolved as of the date of this report. As a result, all aspects of that investigation will remain confidential until it is complete and a finding is issued.

As to the second complaint, the result of the investigation conducted by the Lobbying Bureau is as follows:

- In response to a complaint that George Arzt Communications, Inc. (“Arzt”) violated Administrative Code §§3-211 through 3-223, the Lobbying Bureau determined there was no probable cause that Arzt 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: 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 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 violation is not cured within 14 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

2011 Annual Reports (Client Annual Reports and Sixth Periodic Reports)

The Lobbying Bureau identified 132 filers² that failed to timely file an aggregate of 169 annual reports³ for 2011. Fifty-eight late reports were attributable to 22 lobbyists, who incurred an aggregate of \$12,725 in late filing penalties. (See Appendix A attached hereto.) This represents a 75.5% increase from the late filing penalties incurred for the late filing of the 2010⁴ lobbyist annual reports. The remaining 111 late 2011 annual reports were attributable to clients who each filed a late report and consequently incurred an aggregate of \$48,840 in late filing penalties. (See Appendix B1

¹ The late filing penalties contained in this report are restricted to penalties resulting from the late filing of 2011 annual reports (client annual reports and sixth periodic reports) and the following 2012 filings: statements of registration, amended statements of registration and first through fifth periodic reports and fundraising/political consulting reports.

² “Filers” as used throughout this report collectively refers to lobbyists (a lobbyist entity, may consist of one or more employees who lobby), lobbyist/client filers (an entity whose employees lobby on its behalf) and clients.

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

⁴ Throughout this report, all comparisons made to 2010 annual reports refer to numbers reported in the 2011 Lobbying Bureau Annual Report dated March 1, 2012.

attached hereto.) This represents a 28.7% decrease from the late filing penalties incurred for the late filing of 2010 client annual reports.

Three client filers incurred civil penalties for failing to file 2011 client annual reports within 14 business days from the mailing date of a notice to cure and incurred an aggregate of \$27,000 in civil penalties. (See Appendix B2 attached hereto.)

2012 Statements of Registration and Periodic Reports

To date, the Lobbying Bureau identified 83 lobbyists and lobbyist/client filers who failed to timely file an aggregate of 115 statements of registration. For this failure, such lobbyists and lobbyist/client filers incurred \$51,770 in aggregate late filing penalties as of February 28, 2013. (See Appendix C attached hereto.)

To date, the Lobbying Bureau identified 21 lobbyists and lobbyist/client filers who failed to timely file an aggregate of 37 amended statements of registration. For this failure, such lobbyists and lobbyist/client filers incurred \$6,350 in aggregate late filing penalties as of February 28, 2013. (See Appendix D attached hereto.)

To date, the Lobbying Bureau identified 24 lobbyists and lobbyist/client filers who failed to timely file an aggregate of 24 first periodic reports. For this failure, such lobbyists and lobbyist/client filers incurred \$6,310 in aggregate late filing penalties as of February 28, 2013. (See Appendix E attached hereto.)

To date, the Lobbying Bureau identified 13 lobbyists and lobbyist/client filers who failed to timely file an aggregate of 13 second periodic reports. For this failure, such lobbyists and lobbyist/client filers incurred \$1,175 in aggregate late filing penalties, as of February 28, 2013. (See Appendix F attached hereto.)

To date, the Lobbying Bureau identified 24 lobbyists and lobbyist/client filers who failed to timely file an aggregate of 24 third periodic reports. For this failure, such lobbyists and lobbyist/client filers incurred \$2,525 in aggregate late filing penalties, as of February 28, 2013. (See Appendix G attached hereto.)

To date, the Lobbying Bureau identified 36 lobbyists and lobbyist/client filers who failed to timely file an aggregate of 44 fourth periodic reports. For this failure, such lobbyists and lobbyist/client filers incurred \$2,025 in aggregate late filing penalties, as of February 28, 2013. (See Appendix H attached hereto.)

To date, the Lobbying Bureau identified 20 lobbyists and lobbyist/client filers who failed to timely file an aggregate of 23 fifth periodic reports. For this failure, such lobbyists and

lobbyist/client filers incurred \$1,100 in aggregate late filing penalties, as of February 28, 2013. (See Appendix I attached hereto.)

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

2012 Fundraising/Political Consulting Reports

In 2012, the Lobbying Bureau began to impose late filing penalties for the late filing of fundraising/political consulting reports.

To date, the Lobbying Bureau identified 5 lobbyists and lobbyist/client filers who failed to timely file first period fundraising/political consulting reports. For this failure, such lobbyists and lobbyist/client filers incurred \$6,025 in aggregate late filing penalties as of February 28, 2013. (See Appendix J attached hereto.)

To date, the Lobbying Bureau identified 1 lobbyist who failed to timely file a second period fundraising/political consulting report. For this failure, the lobbyist incurred \$300 in late filing penalties as of February 28, 2013. (See Appendix K attached hereto.)

To date, the Lobbying Bureau identified 3 lobbyists who failed to timely file third period fundraising/political consulting reports. For this failure, such lobbyists incurred \$1,050 in aggregate late filing penalties as of February 28, 2013. (See Appendix L attached hereto.)

To date, the Lobbying Bureau identified 2 lobbyists who failed to timely file fourth period fundraising/political consulting reports. For this failure, such lobbyists incurred \$1,025 in aggregate late filing penalties as of February 28, 2013. (See Appendix M attached hereto.)

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

Change in the Method of Calculating Late Filing Penalties

A decision issued by the Office of Administrative Trials and Hearings (“OATH”) on July 8, 2012, held that late filing penalties imposed by the City Clerk must conform to the schedule established by the Joint Commission on Public Ethics (“JCOPE”). See *OCC v. Constantinople & Vallone Consulting, LLC*, Index Nos. 325/12 & 348/12 (July 9, 2012). JCOPE’s schedule was published in its *Guidelines to the New York State Lobbying Act* on April 24, 2012 and is available on page 30 at: http://www.jcope.ny.gov/about/lob/Lobbying%20Guidelines%209_11_12.pdf. As a result, the Lobbying Bureau is now calculating late filing penalties pursuant to the schedule.

Factors Affecting the Filing of 2011 Annual Reports and 2012 Periodic Reports

Although the number of late annual filings increased from 2010 to 2011, overall there was an 18.7% decrease in the late filing penalties. Several factors contributed to this result:

- The automatic e-mail reminders to all filers of impending filing deadlines and to those who failed to file a report.
- The continued effectiveness of sanctions including the strict imposition of late filing penalties.
- Increased familiarity of filers with the e-Lobbyist filing system (“e-Lobbyist”) and the Lobbying Law.

In comparison to 2011, in 2012 there was an increase in the number of late filings (19.1%) and the amount of late filing penalties (19.7%) for statements of registration and periodic reports.⁵ (See Appendices C and E through I attached hereto.) This may be due to an increase in first-time filers in 2012, specifically, investment firms, hedge funds and other filers that lobby New York City’s (the “City”) five pension funds.

While the number of late reports has increased, the late filing penalties have not increased proportionately as in previous years. This is due, in large part, to the change in the method of calculating late filing penalties, as described in the previous section, which commenced during the fourth reporting period.

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

None.

(iv) Number of random audits and outcomes thereof.

The Lobbying Bureau performed random audits of 45 entities in 2012. The audits encompassed an examination of all filings made in 2011 by the randomly selected lobbyists and lobbyist/client filers to determine if such filings were complete, accurate, timely filed and otherwise

⁵ This calculation is based on a comparison of 2011 and 2012 late statements of registration and periodic reports.

in full compliance with the Lobbying Law. The audits resulted in the issuance of 112 findings and, consequently, 112 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; listing an incorrect client name; and failing to list lobbying employees 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 financial information reported by the lobbyist; filing a notice of termination; certifying an amended report; and amending a report to provide more detailed information about the lobbying activities.

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

The Lobbying Bureau works with filers 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 e-mail 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 an integral part of the Lobbying Bureau's daily functions.

Training

The Lobbying Bureau continued to participate in the 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 its application 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 were as follows: (1) January 11, 2012 at LaGuardia Community College, Queens; and (2) April 16, 2012 at the New York City College of Technology, Manhattan.

On November 16, 2012, the Lobbying Bureau participated in the Queens Chamber of Commerce legislative meeting at the Chamber's office in Jackson Heights. Ms. Eckl attended the event. She gave a broad presentation of the Lobbying Law and its application to businesses and organizations in the community. A question and answer session followed the presentation where attendees asked general questions about the Lobbying Law and e-Lobbyist.

On November 15, 2012, the Lobbying Bureau began to hold small group training sessions for first-time e-Lobbyist enrollees at its office at 141 Worth Street in Manhattan. The classes offered to lobbyists and lobbyist/client filers received accreditation for Continuing Legal Education (CLE). Attorney participants may receive 1.5 CLE credit hours in the Professional Practice category for attending. The training sessions took place on the following dates: (1) November 15, 2012 (lobbyist/client filers); (2) December 6, 2012 (lobbyist/client filers); (3) December 11, 2012 (lobbyist/client filers); and (4) December 19, 2012 (lobbyists). To accommodate all filers training was offered during both work and after-work hours. Attendees included investment managers, real estate companies and not-for-profit organizations that are new to e-Lobbyist. The presentation included a detailed overview of the Lobbying Law and its requirements and provided step-by-step instructions on filing reports on e-Lobbyist. The Lobbying Bureau also offered training to first-time enrolled clients prior to the filing deadline of the 2012 client annual report. This training was held on January 3, 2013 at the Lobbying Bureau's office. The presentation included a detailed overview of the Lobbying Law and its requirements and provided step-by-step instructions on filing a client annual report and a termination notice on e-Lobbyist.

The Lobbying Bureau will continue to offer these small group trainings to first-time enrollees in 2013 and is in the process of developing training for more experienced filers.

Outreach and Education

Comparison to City Council FY 2012 Adopted Expense Budget - Schedule C

To further educate the community about the Lobbying Law and ensure compliance, the Lobbying Bureau sent letters to entities that received discretionary funding from the City Council in fiscal year 2012, but had not filed a statement of registration with the Lobbying Bureau. The letter informed entities of the Lobbying Law and encouraged such entities to review their activities and related expenses to determine whether or not such entities were required to comply with the requirements of the Lobbying Law. Enclosed with the letter was a summary of the Lobbying Law. The Lobbying Bureau received several inquiries regarding this correspondence.

Comparison to New York State Lobbying Reports

The Lobbying Bureau continued its efforts to uncover unreported City lobbying in 2012 by comparing more than 3,800 New York State statements of registration with over 1,800 City statements of registration as of November 14, 2012.

It was determined that, in total, 11 entities reported lobbying City targets with JCOPE, but had not filed a statement of registration with the Lobbying Bureau. The Lobbying Bureau sent 11 letters to such entities requesting that they contact the Lobbying Bureau to further discuss the matter. It was later determined that the entities were not required to file a 2012 statement of registration with the Lobbying Bureau for various reasons including: (1) the listing of a City target was inadvertent on the statement of registration filed with JCOPE 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 previously filed 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 as proof. 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 2012 to reflect the correct legal entity name.

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

In 2012, at the request of MOCS, the DCA added a lobbying certification to the compliance documentation of its grant agreements. As a result, all organizations that received a grant from the DCA, through member item funding, were required to complete a certification that the organization was in compliance with the City and State Lobbying Laws. The application was due in the Fall of 2012. As a result of this new requirement, the Lobbying Bureau was inundated with telephone and email inquiries from organizations seeking assistance with completing the certification. Ms. Eckl, as the designated contact person, assisted organizations to determine whether or not they were required to file a statement of registration and in completing the certification form. As a result of the certification, several new organizations filed statements of registration on e-Lobbyist.

Announcements

The Lobbying Bureau issued several announcements to registered filers⁶ in 2012 to communicate changes in procedure, as well as to resolve other widespread filing issues. Filers were invited to request training on any subject matter addressed by the announcements. Such training programs are in the process of being developed and will be offered throughout 2013. To view the complete text of all the announcements, please visit the Lobbying Bureau website at:

<http://www.cityclerk.nyc.gov/html/lobbying/announcements.shtml>.

February 14, 2012 Announcement

To further an enhancement of e-Lobbyist, the Lobbying Bureau sent an announcement on February 14, 2012 regarding a change in procedure for lobbyist/client filers'⁷ statements of registration. The announcement explained that lobbyist/client filers were required to submit a letter, signed by the principal officer, authorizing designated employees to lobby on its behalf in the calendar year. A sample lobbyist/client filer authorization was posted online. The announcement also explained how the statement of registration start date is determined and the significance of that start date. This announcement was sent via email to all lobbyist/client filers and was posted at:

<http://www.cityclerk.nyc.gov/downloads/pdf/Announcement%20Final%20214.pdf>.

November 9, 2012 Announcement

To clarify the announcement sent on December 20, 2011, the Lobbying Bureau sent a supplemental announcement on November 9, 2012 to remind filers that it would be imposing late filing penalties for the late filing of amended statements of registration. The announcement also clarified how the timeliness of an amendment is determined and which information may be subject to a late filing penalty. The announcement provided examples to assist filers in following the instructions. This announcement was sent via email to all lobbyists and was posted at:

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

December 5, 2012 Announcement

To provide guidance on a widespread filing issue, the Lobbying Bureau sent an announcement on December 5, 2012 regarding the proper filing method for association, coalition

⁶ Registered entities are those filers that filed statements of registration with e-Lobbyist in 2012.

⁷ A lobbyist/client filer is an entity whose employees lobby on its behalf.

and/or third-party filers. The instruction provided fact patterns that the Lobbying Bureau observed throughout the years and listed filing instructions for each scenario. The first section consisted of filing instructions for coalitions/associations under three different scenarios. The second section provided instruction regarding three different third-party scenarios. This will further the Lobbying Law's goal of transparency. The announcement was sent via email to all lobbyist and lobbyist/client filers and was posted at:

<http://www.cityclerk.nyc.gov/downloads/pdf/proper-method.pdf>.

December 17, 2012 Announcement

In furtherance of the Lobbying Bureau's effort to increase compliance, on December 17, 2012, the Lobbying Bureau issued an announcement notifying all filers of its intention to impose civil penalties for the failure to file termination notices commencing in 2013. The announcement was sent to all filers and was posted at:

<http://www.cityclerk.nyc.gov/downloads/pdf/termination%20fine%20announcement%20FINAL.pdf>.

December 20, 2012 Announcement

To provide guidance on a widespread filing issue, the Lobbying Bureau sent an announcement on December 20, 2012 to all lobbyists regarding the proper filing of an amended retainer agreement (or authorization letter) that extends dates of representation during the filing year. The instruction provided fact patterns that the Lobbying Bureau observed throughout the year and listed filing instructions for each scenario. The announcement was sent via email to all lobbyists and was posted at:

<http://www.cityclerk.nyc.gov/downloads/pdf/announcement%20rep%20gap%20FINAL.pdf>.

Other Compliance Efforts

The Lobbying Bureau's concern is not only limited to the timeliness of filings; equal diligence is applied to the accuracy of information contained in the reports. As a result, the Lobbying Bureau continues to check entity names and start and end dates reported in the statements of registration.

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 over 90 issues with

over 65 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 New York State Department of State ("NYSDOS") database, the Lobbying Bureau discovered about 140 issues involving entity names. The Lobbying Bureau instructed such entities to correct the legal entity name by one of the following means: (1) requesting a change in the enrollment name; (2) 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 an incorrect name, only a change to the enrollment was required. The Lobbying Bureau worked with each filer to ensure that all name discrepancies were resolved in a timely manner.

(vi) Other information and analysis.

Advisory Opinions

The Lobbying Bureau published three advisory opinions in 2012 clarifying several aspects of the Lobbying Law including who in an organization must register as a lobbyist, what communications are reportable lobbying and what constitutes lobbying compensation. See Advisory Opinion 2012-1 available at: <http://www.cityclerk.nyc.gov/html/lobbying/2012-1.shtml>, Advisory Opinion 2012-2 available at: <http://www.cityclerk.nyc.gov/html/lobbying/2012-2.shtml> and Advisory Opinion 2012-3 available at: <http://www.cityclerk.nyc.gov/html/lobbying/2012-3.shtml>.

Improvements to e-Lobbyist

In 2012, there were several enhancements to e-Lobbyist to improve the accuracy of reporting and to ensure compliance. Enhancements included: several text corrections to various screens; the ability of lobbyist/client filers to upload authorization letters to statements of registration and amendments; the addition of an administrative function to deactivate inadvertent/invalid filings including statements of registration, periodic reports, client annual reports, and fundraising/political consulting reports; and the elimination of the defaults for filers on the enrollment form. In addition,

the e-Lobbyist user guide was continuously updated throughout the year as enhancements were made to the system.

Number of Reporting Lobbyists and Clients

As of February 20, 2013, there were approximately 1,083 lobbyists and lobbyist/client filers and 3,229 clients enrolled in e-Lobbyist. In 2012, approximately 1,826 statements of registration were filed on e-Lobbyist.

Outlook For 2013

The Lobbying Bureau will continue to strive to improve the functionality and the user-friendliness of e-Lobbyist. The Lobbying Bureau also intends to continue its efforts to increase compliance by expanding enforcement efforts, and increasing public awareness of the Lobbying Law and its reporting requirements. Education and community outreach efforts will be further expanded in 2013. In addition, the Lobbying Bureau intends to send letters to parties that appear before various City agencies to advise them about the Lobbying Law. To ensure the integrity of the database, the Lobbying Bureau will also continue to focus on the veracity of the reports filed by lobbyists and clients. The Lobbying Bureau will continue to check information such as entity name and start and end dates listed on the statements of registration to ensure the accuracy of the filings. In addition, the Lobbying Bureau will cross-check the client annual reports with the lobbyists' sixth periodic report to ensure the compensation totals and lobbying activities listed on both reports are correct. The Lobbying Bureau will work with all filers to resolve any discrepancies in information reported in a timely manner, including taking enforcement action if necessary. Furthermore, the Lobbying Bureau will continue to send announcements to notify filers of changes to e-Lobbyist, changes in procedure, as well as notifying filers of any consistent trends of noncompliance.

Recently, the New York City Lobbying Commission (the "Commission") posted its draft final report. To review the Commission's reports please visit their website at: http://www.nyc.gov/html/lobby/html/reports/commission_reports.shtml. In the short term, the Lobbying Bureau anticipates attending upcoming hearing(s) to discuss the Commission's final draft report and to actively participate in any resulting legislative and rule-making activity. The Lobbying Bureau is committed to implementing the Commission's recommendations.

Analysis of Lobbying Data

The following lists and charts contain an analysis based on the following data as reported in e-Lobbyist by lobbyists and lobbyist/client filers:

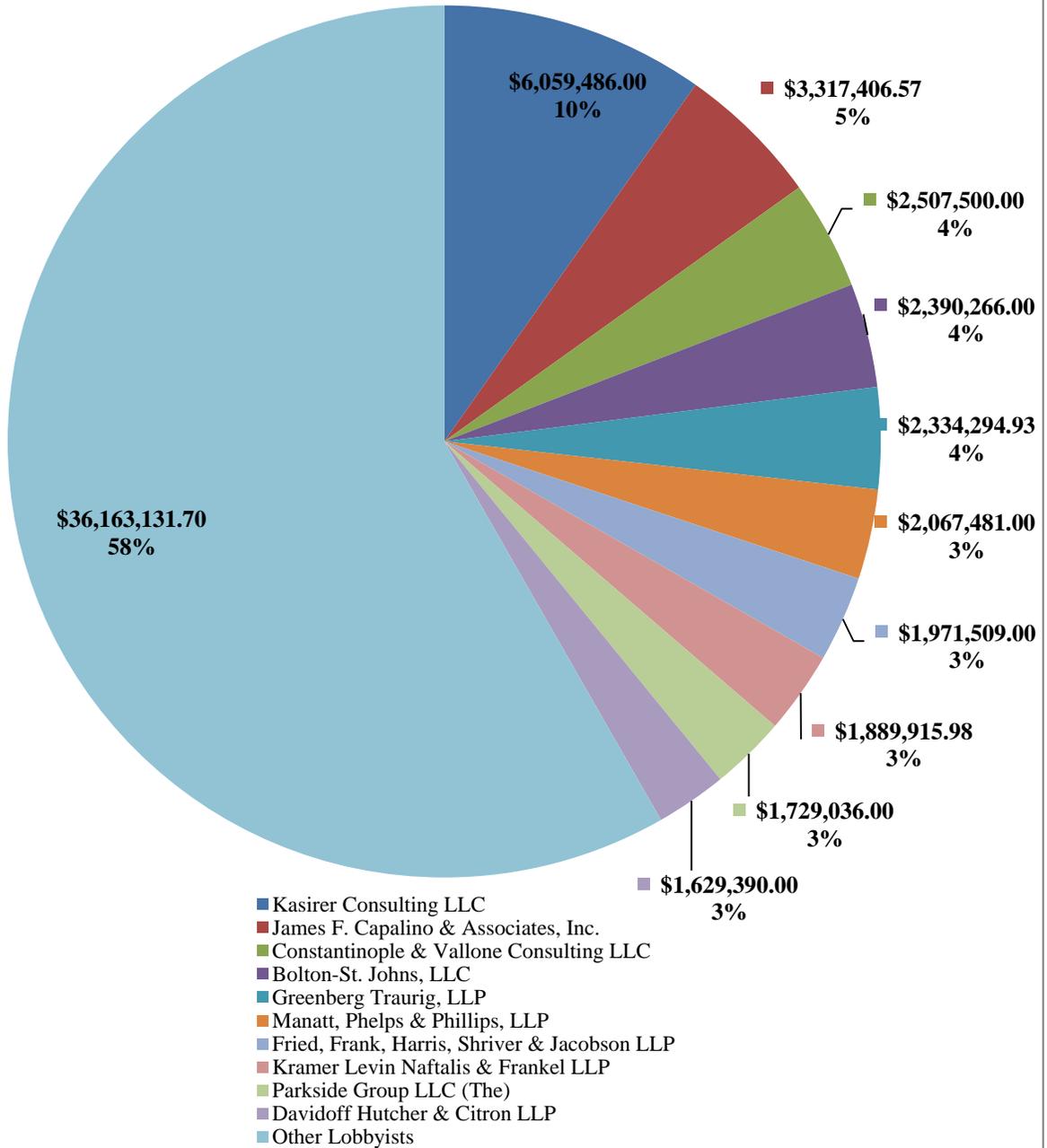
1. Top Ten Lobbyists:
 - a. By total cumulative compensation for 2012; and
 - b. By total cumulative compensation for 2012 compared to 2011; and
 - c. By total cumulative compensation for 2008-2011.
2. Comparison of Compensation Reported by Lobbyists from 2008-2012.
3. Top Ten Lobbyists: By number of clients registered.
4. Top Ten Lobbyist/Client Filers: By total cumulative compensation.
5. Top Ten Clients:
 - a. By total compensation paid to all retained lobbying firms; and
 - b. By number of retained lobbying firms.
6. Top Ten Lobbying Contracts.
7. Top Activities:
 - a. By subject category listed on all periodic reports filed in 2012; and
 - b. By ten target agencies listed on all periodic reports filed in 2012.

TOP TEN LOBBYISTS OF 2012 BY COMPENSATION⁸

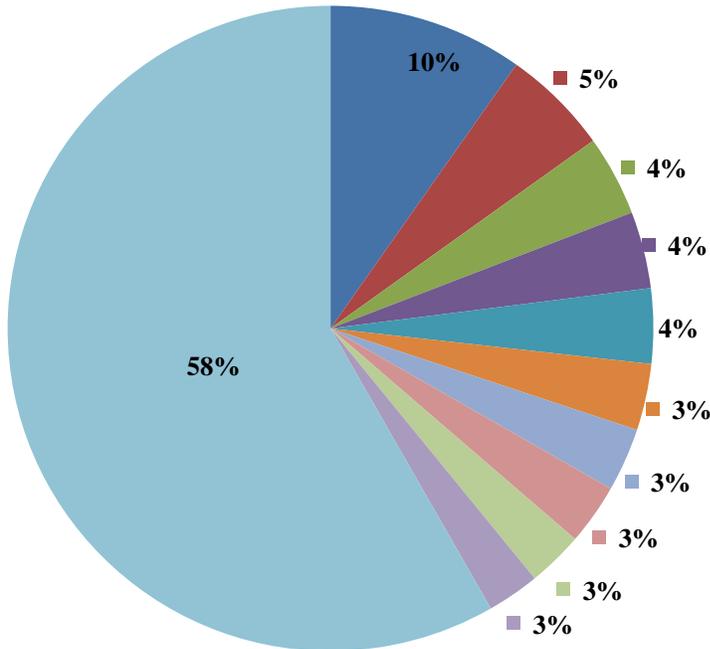
| <u>Lobbyist</u> | <u>Total Compensation Reported</u> |
|--|---|
| Kasirer Consulting LLC | \$ 6,059,486.00 |
| James F. Capalino & Associates, Inc. | \$ 3,317,406.57 |
| Constantinople & Vallone Consulting LLC | \$ 2,507,500.00 |
| Bolton-St. Johns, LLC | \$ 2,390,266.00 |
| Greenberg Traurig, LLP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

⁸ Based on the cumulative compensation reported by the lobbyist in its periodic reports.

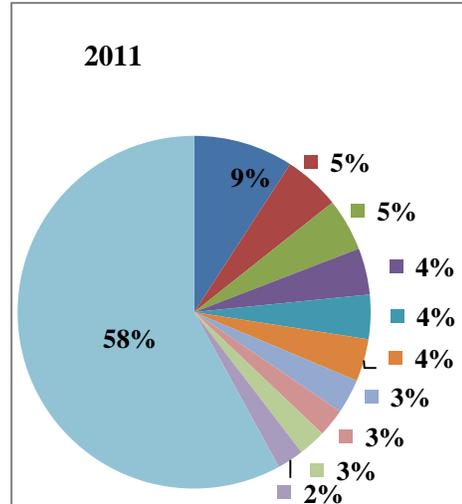
TOP TEN LOBBYISTS OF 2012 BY COMPENSATION



2012 TOP TEN LOBBYIST BY COMPENSATION COMPARED TO 2011 TOP TEN LOBBYIST BY COMPENSATION



- Kasirer Consulting LLC
- James F. Capalino & Associates, Inc.
- Constantinople & Vallone Consulting LLC
- Bolton-St. Johns, LLC
- Greenberg Traurig, LLP
- Manatt, Phelps & Phillips, LLP
- Fried, Frank, Harris, Shriver & Jacobson LLP
- Kramer Levin Naftalis & Frankel LLP
- Parkside Group LLC (The)
- Davidoff Hutcher & Citron LLP
- Other Lobbyists



- Kasirer Consulting LLC
- James F. Capalino & Associates, Inc.
- Constantinople & Vallone Consulting, LLC
- Bolton-St. Johns, LLC
- Manatt, Phelps & Phillips, LLP
- Greenberg Traurig, LLP
- Parkside Group LLC (The)
- Tonio Burgos & Associates, Inc.
- Pitta Bishop Del Giorno & Giblin LLC
- Davidoff Malito & Hutcher LLP
- All other lobbyists

TOP TEN LOBBYISTS OF 2011 BY COMPENSATION⁹

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

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

TOP TEN LOBBYISTS OF 2010 BY COMPENSATION¹⁰

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

*Total may vary due to rounding.

¹⁰ As reported in the Lobbying Bureau Annual Report dated March 1, 2012.

TOP TEN LOBBYISTS OF 2009 BY COMPENSATION¹¹

| <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, LLP | \$ 2,882,270.27 |
| James F. Capalino & Associates, Inc. | \$ 2,554,438.50 |
| Bolton-St. Johns, LLC | \$ 2,464,754.31 |
| Parkside Group LLC (The) | \$ 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.

¹¹ As reported in the Lobbying Bureau Annual Report dated March 1, 2012.

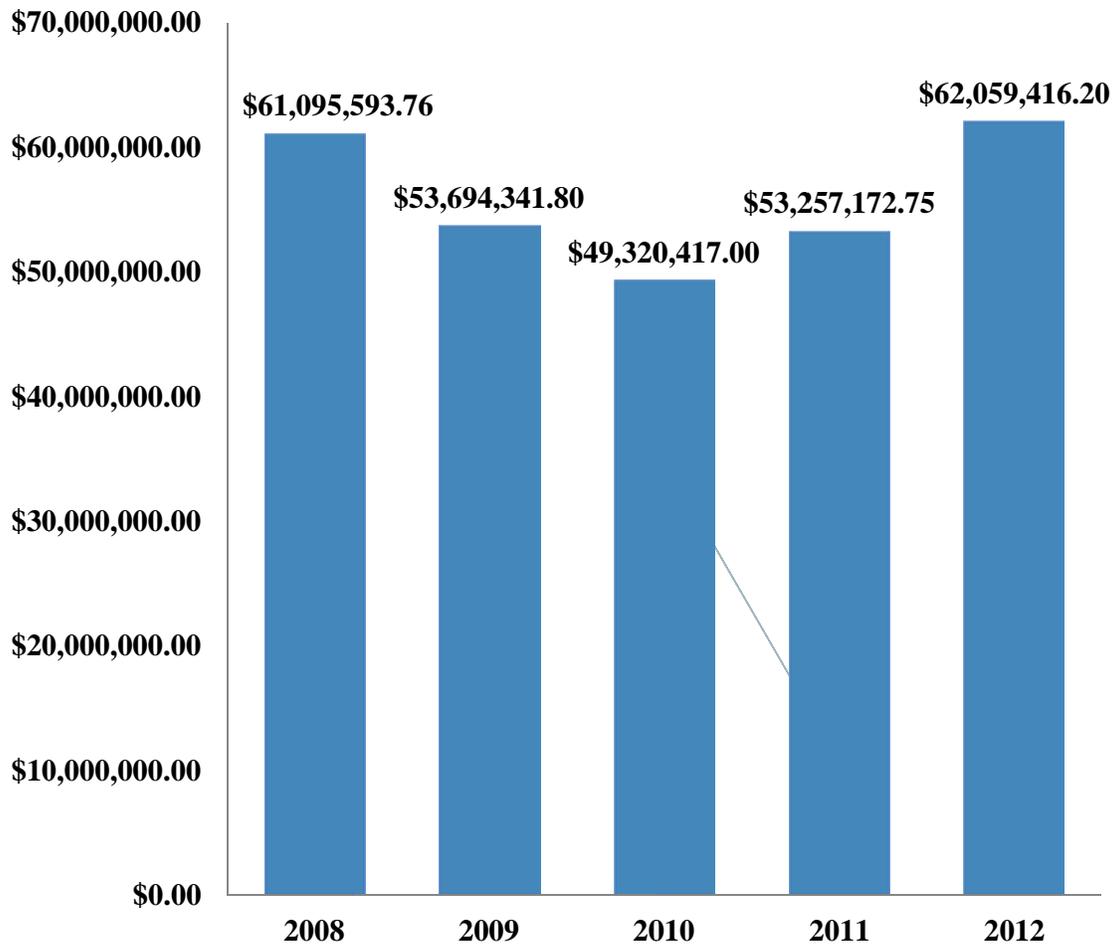
TOP TEN LOBBYISTS OF 2008 BY COMPENSATION¹²

| <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, LLP | \$ 3,322,488.14 |
| Bolton-St. Johns, LLC | \$ 2,756,304.00 |
| Parkside Group LLC (The) | \$ 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 | <u>\$28,943,491.61</u> |
| OTHER LOBBYISTS | <u>\$32,152,102.15</u> |
| TOTAL COMPENSATION | <u>\$61,095,593.76*</u> |

*Total may vary due to rounding.

¹² As reported in the Lobbying Bureau Annual Report dated March 1, 2012.

COMPARISON OF COMPENSATION REPORTED BY LOBBYISTS FROM 2008-2012



TOP TEN LOBBYISTS OF 2012 BY NUMBERS OF CLIENTS¹³ REGISTERED¹⁴

| <u>Lobbyist</u> | <u>Number of Clients Registered</u> |
|---|--|
| James F. Capalino & Associates, Inc. | 127 |
| Kasirer Consulting LLC | 80 |
| Greenberg Traurig, LLP | 54 |
| Pitta Bishop Del Giorno & Giblin LLC | 46 |
| Constantinople & Vallone Consulting LLC | 44 |
| TLM Associates, LLC | 44 |
| Bolton-St. Johns, LLC | 43 |
| Kramer Levin Naftalis & Frankel LLP | 43 |
| Manatt, Phelps & Phillips, LLP | 41 |
| Parkside Group LLC (The) | 41 |
| SUB-TOTAL | 563 |
| OTHER | <u>813</u> |
| TOTAL | <u>1,376</u> |

¹³ "Clients" includes only lobbyist/client filers that reported retaining an outside lobbying entity in 2012.

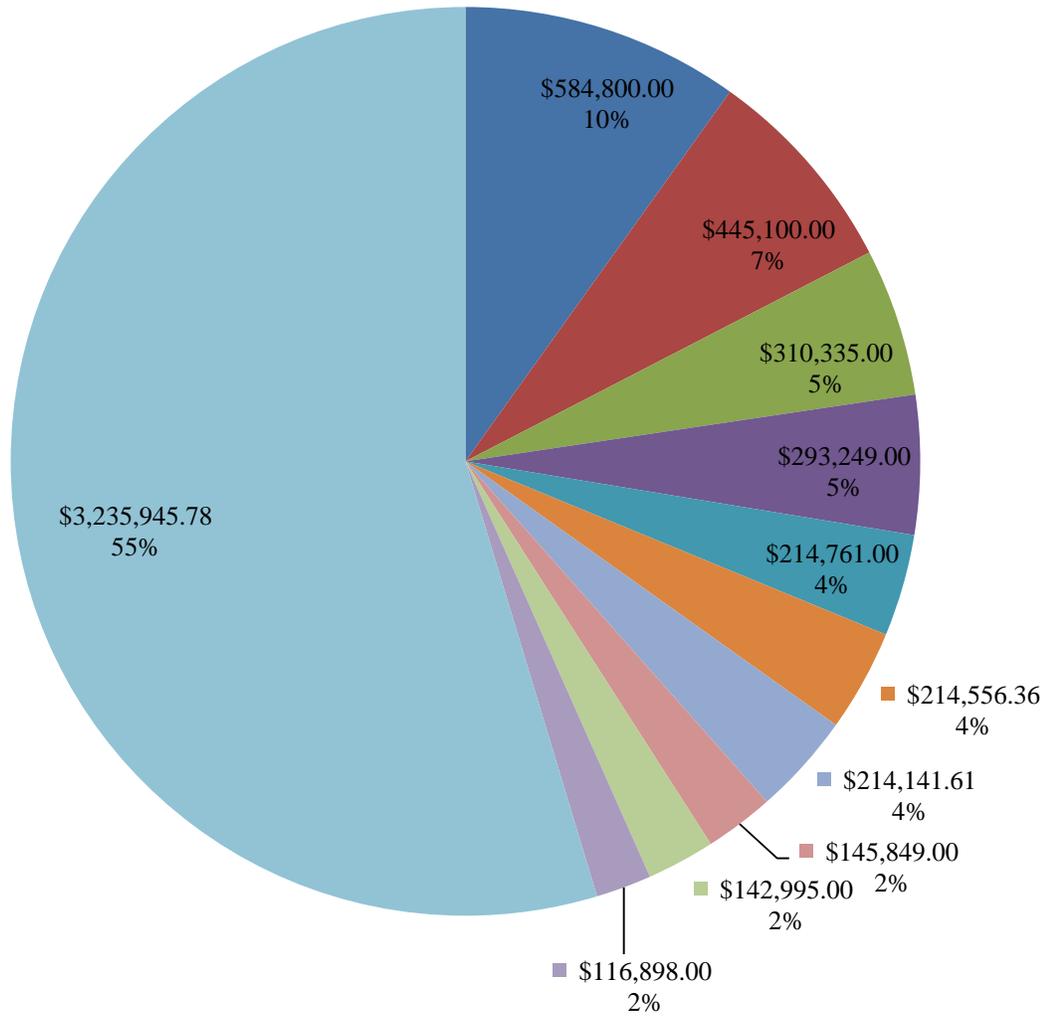
¹⁴ Based on statements of registration filed by lobbyists.

TOP TEN LOBBYIST/CLIENT FILERS OF 2012 BY COMPENSATION¹⁵

| <u>Lobbyist/Client</u> | <u>Compensation</u> |
|--|------------------------------|
| Brooklyn Public Library | \$ 584,800.00 |
| Committee for Hispanic Children and Families, Inc. (The) | \$ 445,100.00 |
| Environmental Defense Fund, Incorporated | \$ 310,335.00 |
| United Federation of Teachers | \$ 293,249.00 |
| COFCCA, Inc. | \$ 214,761.00 |
| FS Capital Partners VI, LLC | \$ 214,556.36 |
| Goldman, Sachs & Co. | \$ 214,141.61 |
| Young Audiences of New York | \$ 145,849.00 |
| Major League Soccer, L.L.C. | \$ 142,995.00 |
| Wal-Mart Stores, Inc. | \$ 116,898.00 |
| | |
| SUB-TOTAL | \$2,682,684.97 |
| OTHER LOBBYIST/CLIENTS | <u>\$3,235,945.78</u> |
| TOTAL COMPENSATION OF LOBBYIST/CLIENTS | <u>\$5,918,630.75</u> |

¹⁵ Based on cumulative compensation reported in periodic reports filed by lobbyist/client filers.

Top Lobbyist/Client Filers by Compensation Reported in 2012



- Brooklyn Public Library
- Committee for Hispanic Children and Families, Inc. (The)
- Environmental Defense Fund, Incorporated
- United Federation of Teachers
- COFCCA, Inc.
- FS Capital Partners VI, LLC
- Goldman, Sachs & Co.
- Young Audiences of New York
- Major League Soccer, L.L.C.
- Wal-Mart Stores, Inc.
- Other Lobbyist/Clients

TOP TEN CLIENTS¹⁶ OF 2012 BY COMPENSATION PAID TO ALL LOBBYING FIRMS¹⁷

| <u>Client</u> | <u>Lobbyist</u> | <u>Compensation</u> |
|---|---|-------------------------------|
| Major League Soccer, L.L.C. | | |
| | Beaudoin & Company, LLC | \$ 37,500.00 |
| | Bolton-St. Johns, LLC | \$ 67,500.00 |
| | Fried, Frank, Harris, Shriver & Jacobson LLP | \$ 190,804.00 |
| | Global Strategy Group, LLC | \$ 307,800.00 |
| | HR&A Advisors, Inc. | \$ 1,090,612.50 |
| | | <u>\$ 1,694,216.50</u> |
| Albee Development LLC | | |
| | Washington Square Partners Incorporated | <u>\$ 1,116,000.00</u> |
| South Street Seaport Limited Partnership | | |
| | Kasirer Consulting LLC | \$ 180,000.00 |
| | Kramer Levin Naftalis & Frankel LLP | \$ 373,199.09 |
| | Skadden, Arps, Slate, Meagher & Flom LLP | \$ 51,538.70 |
| | | <u>\$ 604,737.79</u> |
| The Rector, Church-Wardens and Vestrymen of Trinity Church | | |
| | Carl Weisbrod | \$ 0.00 |
| | Fried, Frank, Harris, Shriver & Jacobson LLP | \$ 275,379.00 |
| | Global Strategy Group, LLC | \$ 234,000.00 |
| | HR&A Advisors, Inc. | \$ 30,037.50 |
| | | <u>\$ 539,416.50</u> |

¹⁶ The compensation reported does not include compensation reported as a lobbyist/client filer. It only includes compensation reported paid to outside lobbying firms.

¹⁷ Based on the cumulative compensation reported by the lobbyist in its periodic reports.

MSG Holdings, L.P.

| | |
|--|-----------------------------|
| Kasirer Consulting LLC | \$ 135,000.00 |
| Kramer Levin Naftalis & Frankel LLP | \$ 387,721.00 |
| Patricia Lynch Associates, Inc. | \$ 0.00 |
| Phillips Nizer LLP | \$ 0.00 |
| | <u>\$ 522,721.00</u> |

Halletts A Development Company, LLC

| | |
|----------------------|-----------------------------|
| Cozen O'Connor | \$ 460,690.00 |
| Norman A. Levy, P.C. | \$ 30,000.00 |
| Sheinkopf LTD. | \$ 30,000.00 |
| | <u>\$ 520,690.00</u> |

Cornell University

| | |
|---|-----------------------------|
| Fried, Frank, Harris, Shriver & Jacobson LLP | \$ 328,126.00 |
| Kasirer Consulting LLC | \$ 180,000.00 |
| | <u>\$ 508,126.00</u> |

Durst Organization Inc. (The)

| | |
|---|-----------------------------|
| Fried, Frank, Harris, Shriver & Jacobson LLP | \$ 382,564.00 |
| Manatt, Phelps & Phillips, LLP | \$ 120,000.00 |
| Rosenberg & Estis, P.C. | \$ 0.00 |
| | <u>\$ 502,564.00</u> |

CSC Holdings, LLC

| | |
|---------------------------------|-----------------------------|
| Kasirer Consulting LLC | \$ 180,000.00 |
| Patricia Lynch Associates, Inc. | \$ 180,000.00 |
| Robinson & Cole LLP | \$ 120,000.00 |
| | <u>\$ 480,000.00</u> |

Atlantic Yards Development
Company, LLC

| | |
|---|-----------------------------|
| Carey Group, LLC (The) | \$ 9,000.00 |
| Geto & de Milly Inc. | \$ 69,000.00 |
| Kasirer Consulting LLC | \$ 240,000.00 |
| LoCicero & Tan, Inc. | \$ 48,000.00 |
| Park Strategies, LLC | \$ 70,000.00 |
| Wilson, Elser, Moskowitz, Edelman & Dicker LLP | \$ 12,000.00 |
| | <u>\$ 448,000.00</u> |

TOP CLIENTS FOR 2012 BASED ON NUMBER OF LOBBYING FIRMS RETAINED¹⁸

| <u>Client</u> | <u># of Firms Retained</u> |
|---|-----------------------------------|
| Atlantic Yards Development Company, LLC | 6 |
| Major League Soccer, L.L.C. | 5 |
| New York University | 5 |
| Triangle Equities Development Company LLC | 5 |

¹⁸ 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.

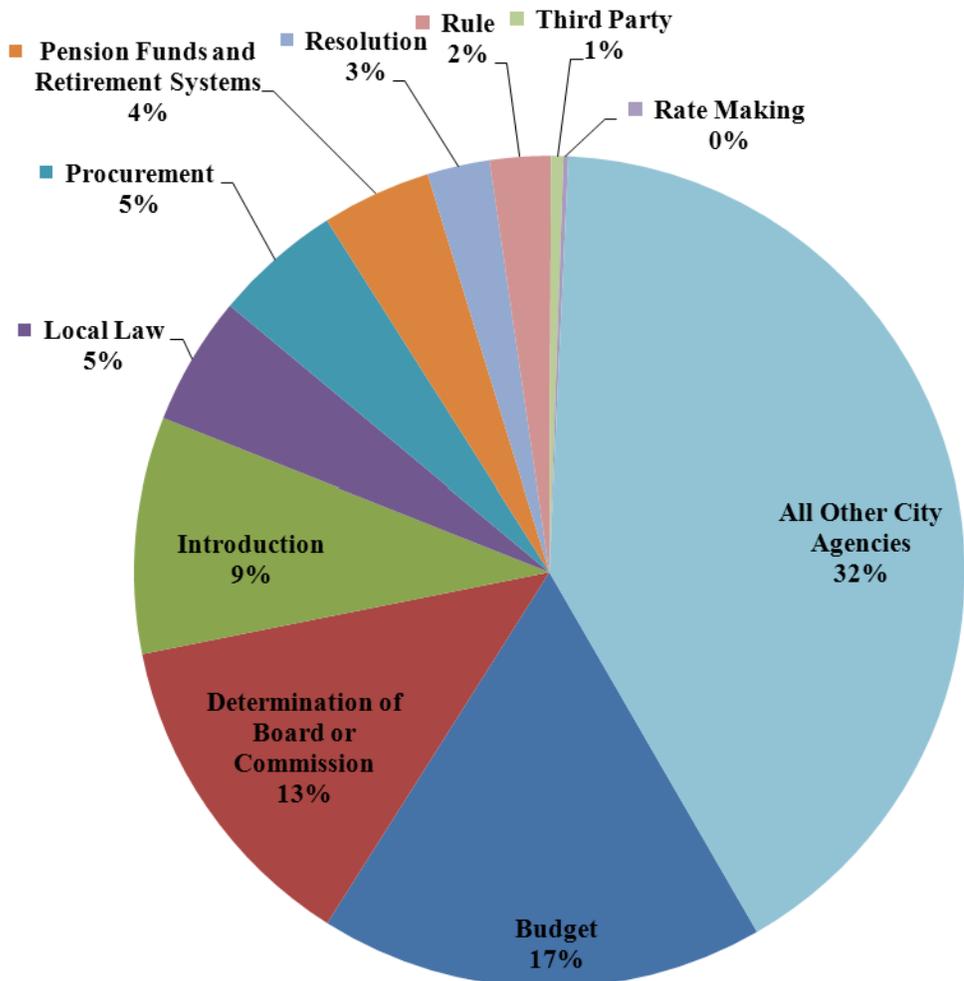
TOP TEN LOBBYING CONTRACTS IN 2012
(COMPENSATION PAID¹⁹ TO ONE LOBBYING FIRM)²⁰

| <u>Client</u> | <u>Lobbyist</u> | <u>Compensation</u> |
|--|--|----------------------------|
| Albee Development LLC | Washington Square Partners Incorporated | \$ 1,116,000.00 |
| Major League Soccer, L.L.C. | HR&A Advisors, Inc. | \$ 1,090,612.50 |
| Halletts A Development Company, LLC | Cozen O'Connor | \$ 460,690.00 |
| MSG Holdings, L.P. | Kramer Levin Naftalis & Frankel LLP | \$ 387,721.98 |
| Durst Organization Inc. (The) | Fried, Frank, Harris, Shriver & Jacobson LLP | \$ 382,564.00 |
| South Street Seaport Limited Partnership | Kramer Levin Naftalis & Frankel LLP | \$ 373,199.09 |
| Cornell University | Fried, Frank, Harris, Shriver & Jacobson LLP | \$ 328,126.00 |
| Jamestown Premier Chelsea Market, L.P. | Fried, Frank, Harris, Shriver & Jacobson LLP | \$ 309,712.00 |
| Major League Soccer, L.L.C. | Global Strategy Group, LLC | \$ 307,800.00 |
| Ben Barnes Group LP | Tonio Burgos & Associates, Inc. | \$ 300,000.00 |
| Sprucegrove Investment Management Ltd. | Fair Haven Partners, LLC | \$ 300,000.00 |

¹⁹ The compensation reported does not include compensation reported as a lobbyist/client filer. It only includes compensation reported to outside lobbying firms.

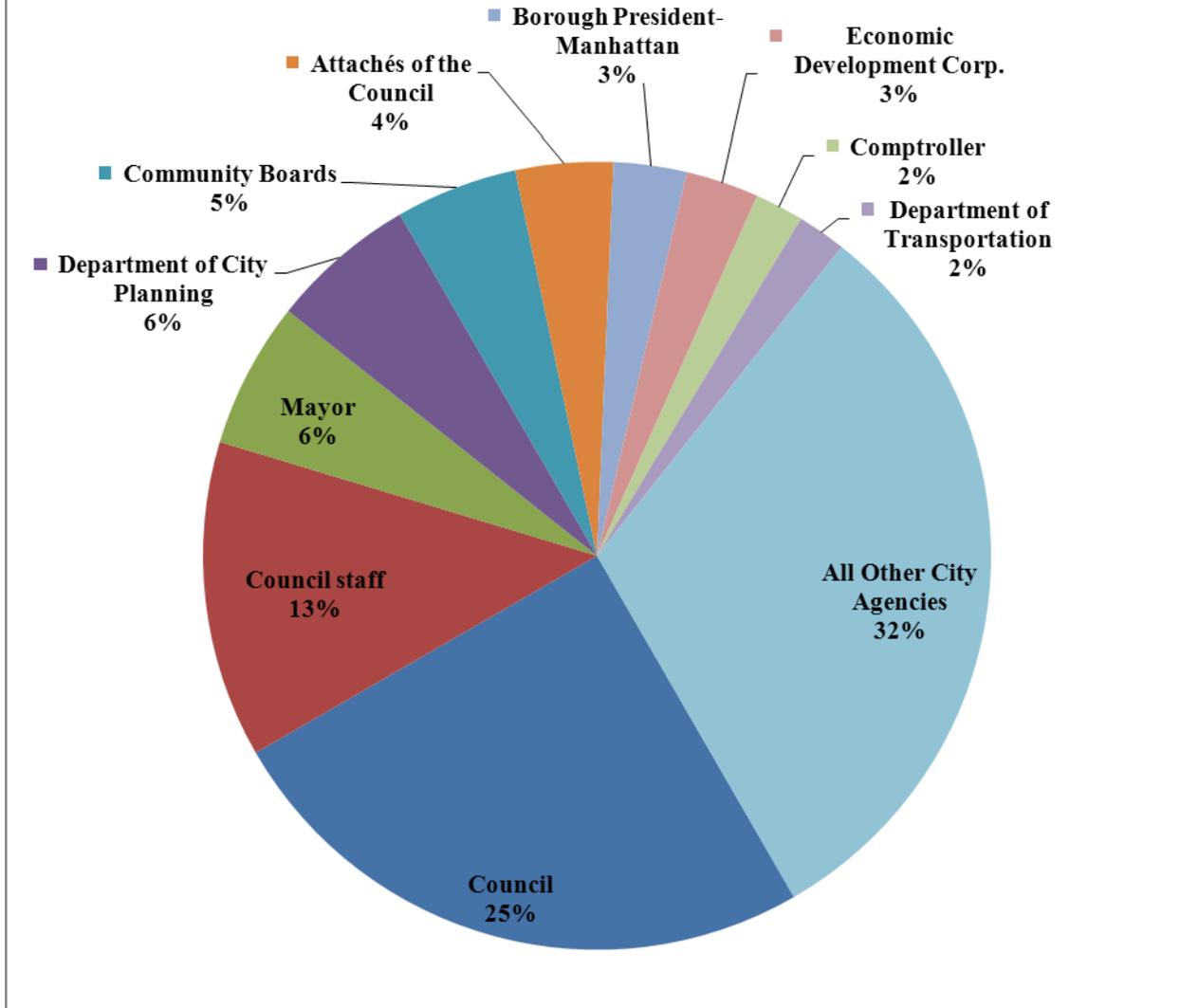
²⁰ Based on the cumulative compensation reported by the lobbyist in its periodic reports.

TOP TEN SUBJECTS REPORTED IN 2012²¹



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

TOP TEN TARGETS REPORTED IN 2012²²



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

APPENDIX A

LATE FILING PENALTIES: LOBBYIST 2011 SIXTH PERIODIC/ANNUAL REPORT

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|--|----------------------------|
| AFSCME District Council 1707 | \$ 50.00 |
| Arsenal Capital Management LP | \$ 525.00 |
| Canopy Investment Advisors LLC | \$ 50.00 |
| Carl Figliola & Associates, Inc. | \$ 50.00 |
| Citizens Budget Commission, Inc. | \$ 25.00 |
| City Harvest, Inc. | \$ 50.00 |
| Daniel Rosenthal | \$ 25.00 |
| Dryfoos Group (The) | \$ 450.00 |
| Kasirer Consulting LLC | \$ 350.00 |
| Law Offices of Marvin B. Mitzner LLC | \$ 50.00 |
| Malkin & Ross | \$ 50.00 |
| McKenna Long & Aldridge LLP | \$ 1,200.00 |
| Medley Capital LLC | \$ 25.00 |
| Mirram Group, LLC | \$ 375.00 |
| Northeast Government Consulting, LLC | \$ 75.00 |
| Patricia Lynch Associates, Inc. | \$ 300.00 |
| Patrolmen's Benevolent Association of the City of New York | \$ 75.00 |
| Richard Lipsky & Associates Inc. | \$ 7,000.00 |
| Solus Alternative Asset Management LP | \$ 50.00 |
| U.S. Green Building Council, New York Chapter | \$ 550.00 |
| Uniformed Firefighters Association | \$ 1,000.00 |
| Wilson, Elser, Moskowitz, Edelman & Dicker LLP | <u>\$ 400.00</u> |
| TOTAL | <u>\$ 12,725.00</u> |

APPENDIX B1

LATE FILING PENALTIES: 2011 CLIENT ANNUAL REPORT

| <u>Client Entity Name</u> | <u>Total</u> |
|---|---------------------|
| 113 Willow Avenue Realty Company, LLC | \$ 50.00 |
| 1466 Broadway Owner LP | \$ 380.00 |
| 192 Water Street LLC | \$ 20.00 |
| 203 East 72nd Street Corp. | \$ 1,140.00 |
| 390 East 8th LLC | \$ 430.00 |
| 50 Varick LLC | \$ 850.00 |
| 537 West 27th Street Owners LLC | \$ 50.00 |
| 71 Laight Street, LLC | \$ 25.00 |
| Academic Advantage Inc. (The) | \$ 750.00 |
| Academy Services, Inc. | \$ 575.00 |
| Albee Development LLC | \$ 50.00 |
| AM Property Holding II Corp. | \$ 560.00 |
| Andrzej Fuks | \$ 550.00 |
| Anheuser-Busch Companies, Inc. | \$ 1,950.00 |
| Avaya Inc. | \$ 80.00 |
| Azimuth Development Group, LLC | \$ 1,375.00 |
| Baseball Center NYC (The) | \$ 220.00 |
| Berkeley Carroll School (The) | \$ 50.00 |
| BCM USA LLC | \$ 50.00 |
| Broadway 4D Theatres, LLC | \$ 90.00 |
| Broadway Housing Communities, Inc. | \$ 200.00 |
| Broadway Stages, LTD. | \$ 1,925.00 |
| Brooklyn Bureau of Community Service | \$ 25.00 |
| Brooklyn Children's Museum | \$ 50.00 |
| Brooklyn Heights Montessori School | \$ 50.00 |
| Brooklyn Philharmonic Symphony Orchestra, Inc. | \$ 50.00 |
| Carahsoft Technology Corp. | \$ 75.00 |
| Children's Village (The) | \$ 25.00 |
| Chinatown Partnership Local Development Corporation | \$ 50.00 |
| Clarity Imaging Technologies, Inc. | \$ 550.00 |
| ClearCube Technolgy, Inc. | \$ 350.00 |
| CNY Builders LLC | \$ 50.00 |
| Communication electricians local 3 I.B.E.W | \$ 25.00 |
| Delta Cooling Towers Inc. | \$ 310.00 |
| Elmhurst Dairy, Inc. | \$ 200.00 |
| Emmut Properties Corp. | \$ 240.00 |
| Empire Office, Inc. | \$ 25.00 |
| Empower Software Solutions, Inc. | \$ 10.00 |
| Endeca Technologies, Inc. | \$ 750.00 |
| EnerTech Environmental, Inc. | \$ 675.00 |
| Enterprise Holdings, Inc. | \$ 600.00 |
| Final Push Construction, Inc. | \$ 25.00 |

| | |
|---|-------------|
| Fleet Financial Group, Inc. | \$ 310.00 |
| GCC, LLC | \$ 240.00 |
| Gemstone Supermarkets Inc. | \$ 410.00 |
| GHC Development LLC | \$ 75.00 |
| Gowanus Industrial Park, Inc. | \$ 10.00 |
| Griffin Holdings, LLC | \$ 240.00 |
| GRIOT Circle, Inc. | \$ 60.00 |
| HealthPass | \$ 20.00 |
| Human Care Services for Families & Children, Inc. | \$ 50.00 |
| Hunts Point Cooperative Market, Inc. | \$ 550.00 |
| International Brotherhood of Teamsters | \$ 50.00 |
| International Code Council, Inc. | \$ 50.00 |
| ISJ Commercial Corp. | \$ 50.00 |
| L & M Development Partners Inc. | \$ 225.00 |
| Latino International Theater Festival of New York, Inc. | \$ 20.00 |
| Law Enforcement Systems, LLC | \$ 50.00 |
| LHG Group LLC | \$ 30.00 |
| Livery Base Owners Inc. | \$ 20.00 |
| Local 376 AFSCME | \$ 20.00 |
| MarkLogic Corporation | \$ 360.00 |
| Maspeth Welding, Inc. | \$ 50.00 |
| MHHC Foundation, Inc. | \$ 250.00 |
| MicroMix America Inc. | \$ 1,200.00 |
| Mobile Commons, Inc. | \$ 240.00 |
| Naftali Group LLC | \$ 280.00 |
| National Dance Institute, Inc. | \$ 30.00 |
| NBC Universal, Inc. | \$ 600.00 |
| New York Child Resource Center Inc. | \$ 210.00 |
| New York Road Runners, Inc. | \$ 25.00 |
| Nino V Management Corp. | \$ 2,250.00 |
| NY-1095 Avenue of the Americas, L.L.C. | \$ 1,550.00 |
| Parsons Transportation Group Inc. | \$ 620.00 |
| PCV ST OWNER LP | \$ 30.00 |
| Phusion Projects, LLC | \$ 675.00 |
| Plasco Energy Group Inc. | \$ 420.00 |
| Plaza Food Hall LLC | \$ 920.00 |
| Point Sentry, Inc. | \$ 20.00 |
| Pratt Holdings (USA), Inc. | \$ 875.00 |
| Pratt Institute | \$ 1,200.00 |
| Premier Magnesia, LLC | \$ 240.00 |
| Rapid Expediting of New York LLC | \$ 10.00 |
| Retail & Wholesale Department Store Union | \$ 525.00 |
| Ross Global Academy Charter School | \$ 20.00 |
| S&H Glazer Bros. Inc. | \$ 350.00 |
| Samson Management LLC | \$ 350.00 |
| Scholastic Inc. | \$ 25.00 |
| SCI Engineering, P.C. | \$ 2,800.00 |
| Sellers Dorsey & Associates, LLC | \$ 50.00 |
| Smart Apartments LLC | \$ 590.00 |

| | |
|---|----------------------------|
| SOHO BID Steering Committee | \$ 50.00 |
| Starbucks Coffee Company | \$ 10.00 |
| Staten Island Mental Health Society, Inc. | \$ 320.00 |
| Suse and Peter Lowenstein | \$ 175.00 |
| TCC Teleplex Inc. | \$ 230.00 |
| Technodyne LLC | \$ 3,000.00 |
| Transit Wireless, LLC | \$ 10.00 |
| Troubleshooter Towing & Road Service, Inc. | \$ 20.00 |
| Twin America, LLC | \$ 50.00 |
| Uniformed EMS Officers Union | \$ 725.00 |
| United Nations Development Corporation | \$ 50.00 |
| United Water New York Inc. | \$ 2,450.00 |
| Velodrome of New York City, Inc. | \$ 3,000.00 |
| VeriFone Media, LLC | \$ 75.00 |
| VeriFone, Inc. | \$ 75.00 |
| Vocational Foundation, Inc. | \$ 1,975.00 |
| WB Stellar IP Owner, LLC | \$ 350.00 |
| West Indian American Day Carnival Association | \$ 525.00 |
| Whitney Museum of American Art | \$ 50.00 |
| Willets Point United Inc. | <u>\$ 950.00</u> |
| TOTAL | <u>\$ 48,840.00</u> |

APPENDIX B2

CIVIL PENALTIES: 2011 CLIENT ANNUAL REPORT

| <u>Client Entity Name</u> | <u>Total</u> |
|----------------------------------|----------------------------|
| MicroMix America Inc. | \$ 2,000.00 |
| Velodrome of New York City, Inc. | \$ 5,000.00 |
| Technodyne LLC | <u>\$ 20,000.00</u> |
| TOTAL | <u>\$ 27,000.00</u> |

This report has been revised to reflect the following correction:

Correction: March 18, 2013

Due to a transcription error, an earlier version of this report alternated the respective fines, listing Velodrome of New York City, Inc. as having incurred \$20,000.00 in civil penalties and Technodyne LLC as having incurred \$5,000.00.

APPENDIX C

LATE FILING PENALTIES: LOBBYIST 2012 STATEMENTS OF REGISTRATION

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|---|--------------|
| Adam Powell | \$ 75.00 |
| Advance Group (The) | \$ 75.00 |
| Alinda Capital Partners LLC | \$ 75.00 |
| Alliance Bernstein LP | \$ 675.00 |
| Alliance for a Greater New York, Inc. (The) | \$ 630.00 |
| Apollo Management Holdings, L.P. | \$ 25.00 |
| Archie H. Spigner | \$ 25.00 |
| Artemis Real Estate Partners, LLC | \$ 300.00 |
| Asian-American Coalition for Children and Families, Inc. | \$ 390.00 |
| AXA Real Estate Investment Managers US LLC | \$ 150.00 |
| Bard College | \$ 1,450.00 |
| Beth Israel Medical Center | \$ 150.00 |
| Bill Lynch Associates, L.L.C. | \$ 75.00 |
| Blackstone Alternative Asset Management L.P. | \$ 1,100.00 |
| Blackstone Group L.P. (The) | \$ 925.00 |
| Blackstone Real Estate Advisors L.P. | \$ 925.00 |
| Blackstone Real Estate Special Situations Advisors L.L.C. | \$ 925.00 |
| Brendan Sexton | \$ 2,500.00 |
| BronxWorks, Inc. | \$ 710.00 |
| Brown & Weinraub, PLLC | \$ 150.00 |
| Capri Capital, LLC | \$ 1,100.00 |
| Carey Group, LLC (The) | \$ 525.00 |
| Center for New York City Neighborhood, Inc. (The) | \$ 200.00 |
| Common Cause/NY | \$ 1,225.00 |
| Community Preservation Corporation | \$ 950.00 |
| Community Voices Heard, Inc. | \$ 1,400.00 |
| Connelly Mclaughlin & Woloz | \$ 50.00 |
| Cozen O'Connor Public Strategies, LLC | \$ 50.00 |
| Dewey & Leboeuf LLP | \$ 50.00 |
| Dryfoos Group Inc. (The) | \$ 75.00 |
| Empire Government Strategies | \$ 75.00 |
| Fair Haven Partners LLC | \$ 300.00 |
| Falconhead Capital, LLC | \$ 50.00 |
| FS Capital Partners VI, LLC | \$ 875.00 |
| Graham Capital Management, L.P. | \$ 325.00 |
| Greenberg Traurig, LLP | \$ 1,175.00 |
| Greenwich Village Society for Historic Preservation, Inc. (The) | \$ 490.00 |
| GSO Capital Partners LP | \$ 25.00 |
| Habitat for Humanity New York City, Inc. | \$ 125.00 |
| International Union of Operating Engineers Local 14-14B | \$ 1,375.00 |
| Kostelanetz & Fink LLP | \$ 240.00 |

| | |
|---|---------------------------|
| KZA Realty Group, Inc. | \$ 500.00 |
| La Fuente, A Tri-State Worker & Community Fund, Inc. | \$ 1,075.00 |
| Lawrence R. Schillinger, Esq. | \$ 25.00 |
| Legal Information for Families Today | \$ 10.00 |
| Marvin & Palmer Associates, Inc. | \$ 700.00 |
| Mercury | \$ 6,690.00 |
| MinKwon Center for Community Action, Inc. | \$ 130.00 |
| Motion Picture Association of America, Inc. | \$ 1,400.00 |
| New York City Central Labor Council, AFL-CIO | \$ 75.00 |
| New York City Coalition Against Hunger, Inc. | \$ 50.00 |
| New York Communities for Change, Inc. | \$ 1,250.00 |
| New York Hall of Science | \$ 1,400.00 |
| New York State Association for Affordable Housing, Inc. | \$ 25.00 |
| New York State Nurses Association (The) | \$ 700.00 |
| New York Taxi Workers Alliance, Inc. | \$ 225.00 |
| New Yorkers for Clean, Livable & Safe Streets, Inc. | \$ 925.00 |
| Nicholas & Lence Communications LLC | \$ 275.00 |
| P.S.1 Contemporary Art Center, Inc. | \$ 1,450.00 |
| Parkside Group LLC (The) | \$ 125.00 |
| Patcon Associates, Ltd. | \$ 75.00 |
| Pesetsky and Bookman | \$ 75.00 |
| Planned Parenthood of New York City, Inc. | \$ 50.00 |
| Refinery LLC (The) | \$ 950.00 |
| Rockefeller Group Investment Management Corp. | \$ 900.00 |
| Safe Horizon, Inc. | \$ 775.00 |
| Sheldon Lobel, P.C. | \$ 50.00 |
| Smith Breeden Associates, Inc. | \$ 900.00 |
| St. Luke's-Roosevelt Hospital Center | \$ 50.00 |
| Staten Island Chamber Of Commerce (The) | \$ 750.00 |
| Structured Employment Economic Development Corporation | \$ 1,450.00 |
| T. Rowe Price Associates, Inc. | \$ 725.00 |
| Tishman Speyer Properties, L.P. | \$ 1,375.00 |
| TLM Associates, LLC | \$ 725.00 |
| Vaughn College of Aeronautics and Technology | \$ 580.00 |
| Wachtel Masyr & Missry LLP | \$ 200.00 |
| Warburg Pincus LLC | \$ 220.00 |
| Washington Square Partners Incorporated | \$ 50.00 |
| Wiscovitch Associates Ltd. | \$ 350.00 |
| Woodside on the Move, Inc. | \$ 330.00 |
| Working Assets Funding Service. | \$ 300.00 |
| York Capital Management Global Advisors, LLC | \$ 1,475.00 |
| York Group Associates LLC | \$ 375.00 |
| TOTAL | <u>\$51,770.00</u> |

APPENDIX D

**LATE FILING PENALTIES: LOBBYIST 2012 AMENDED STATEMENTS OF
REGISTRATION**

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|------------------------------------|---------------------------|
| Advance Group (The) | \$ 400.00 |
| Akerman Senterfitt LLP | \$ 300.00 |
| Beaudoin & Company, LLC | \$ 25.00 |
| Bolton-St. Johns, LLC | \$ 450.00 |
| Civic Ventures Co. | \$ 300.00 |
| Connelly McLaughlin & Woloz | \$ 325.00 |
| George Arzt Communications Inc. | \$ 300.00 |
| Geto & de Milly Inc. | \$ 75.00 |
| Kasirer Consulting LLC | \$ 1,375.00 |
| Mirram Group, LLC | \$ 300.00 |
| National Strategies, LLC | \$ 25.00 |
| Norman A. Levy, P.C. | \$ 300.00 |
| NYPROCOA, Inc. | \$ 75.00 |
| Park Strategies, LLC | \$ 75.00 |
| Parkside Group LLC (The) | \$ 1,050.00 |
| Pesetsky and Bookman | \$ 150.00 |
| Sheinkopf LTD. | \$ 225.00 |
| Stanley K. Schlein, Esq. | \$ 25.00 |
| TLM Associates, LLC | \$ 25.00 |
| Woodside on the Move, Inc. | \$ 500.00 |
| Yoswein New York, Inc. | <u>\$ 50.00</u> |
| TOTAL | <u>\$ 6,350.00</u> |

APPENDIX E

LATE FILING PENALTIES: LOBBYIST 2012 FIRST PERIODIC REPORT

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|---|---------------------------|
| Alliance for a Greater New York, Inc. (The) | \$ 325.00 |
| American Chemistry Council, Inc. | \$ 125.00 |
| Brendan Sexton | \$ 1,050.00 |
| BronxWorks, Inc. | \$ 1,200.00 |
| Brooklyn Museum | \$ 200.00 |
| CIM Group, L.P. | \$ 125.00 |
| Citizens Budget Commission, Inc. | \$ 25.00 |
| CityView Management Services LLC | \$ 25.00 |
| Consolidated Edison, Inc. | \$ 50.00 |
| CVC Capital Partners Limited | \$ 125.00 |
| Fair Haven Partners LLC | \$ 210.00 |
| Graham Capital Management, L.P. | \$ 150.00 |
| Humane Society of the United States (The) | \$ 25.00 |
| KZA Realty Group, Inc. | \$ 500.00 |
| New York Communities for Change, Inc. | \$ 25.00 |
| New York Taxi Workers Alliance, Inc. | \$ 500.00 |
| New Yorkers for Clean, Livable & Safe Streets, Inc. | \$ 25.00 |
| Queens Theatre in the Park, Inc. | \$ 25.00 |
| Robert A. Ungar Associates, Inc. | \$ 100.00 |
| Tribeca Film Institute, Inc. | \$ 100.00 |
| Vaughn College of Aeronautics and Technology | \$ 275.00 |
| Washington Square Partners, Inc. | \$ 125.00 |
| Woodside on the Move, Inc. | \$ 975.00 |
| York Capital Management Global Advisors, LLC | <u>\$ 25.00</u> |
| TOTAL | <u>\$ 6,310.00</u> |

APPENDIX F

LATE FILING PENALTIES: LOBBYIST 2012 SECOND PERIODIC REPORT

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|--|---------------------------|
| Archie H. Spigner | \$ 75.00 |
| Brooklyn Philharmonic Symphony Orchestra, Inc. (The) | \$ 50.00 |
| College Board (The) | \$ 25.00 |
| Fair Haven Partners LLC | \$ 500.00 |
| Friends of the High Line, Inc. | \$ 25.00 |
| Hancock Natural Resource Group, Inc. | \$ 25.00 |
| Kohlberg Kravis Roberts & Co. L.P. | \$ 25.00 |
| KZA Realty Group, Inc. | \$ 300.00 |
| La Fuente, A Tri-State Worker & Community Fund, Inc. | \$ 25.00 |
| Man Investments Inc. | \$ 25.00 |
| Natural Resources Defense Council, Inc. | \$ 25.00 |
| WCAS Management Corporation | \$ 50.00 |
| YEC, Inc. | <u>\$ 25.00</u> |
| TOTAL | <u>\$ 1,175.00</u> |

APPENDIX G

LATE FILING PENALTIES: LOBBYIST 2012 THIRD PERIODIC REPORT

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|--|---------------------------|
| APICHA, Inc. | \$ 25.00 |
| Archie H. Spigner | \$ 25.00 |
| Bronx River Alliance, Incorporated | \$ 25.00 |
| Brown & Weinraub, PLLC | \$ 150.00 |
| Carl Andrews & Associates, Inc. | \$ 25.00 |
| City Harvest, Inc. | \$ 300.00 |
| Emmes Asset Management Company LLC | \$ 75.00 |
| Extell Development Company | \$ 25.00 |
| Fair Haven Partners LLC | \$ 300.00 |
| KZA Realty Group, Inc. | \$ 25.00 |
| Lawrence R. Schillinger, Esq. | \$ 150.00 |
| Major League Soccer, L.L.C. | \$ 300.00 |
| Man Investments Inc. | \$ 25.00 |
| Municipal Art Society of New York | \$ 25.00 |
| New York City Central Labor Council, AFL-CIO | \$ 25.00 |
| New York Hall of Science | \$ 25.00 |
| New York State Restaurant Association, Inc. | \$ 25.00 |
| New York Taxi Workers Alliance, Inc. | \$ 150.00 |
| Parkside Group LLC (The) | \$ 300.00 |
| Sheldon Lobel, P.C. | \$ 25.00 |
| Transportation Alternatives, Inc. | \$ 150.00 |
| Venor Capital Management LP | \$ 25.00 |
| Violence Intervention Program, Inc. | \$ 300.00 |
| VOCAL New York, Inc. | \$ 25.00 |
| TOTAL | <u>\$ 2,525.00</u> |

APPENDIX H

LATE FILING PENALTIES: LOBBYIST 2012 FOURTH PERIODIC REPORT

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|---|---------------------------|
| 1199 SEIU United Healthcare Workers East | \$ 25.00 |
| ANHD, Inc. | \$ 25.00 |
| Bard College | \$ 75.00 |
| Bayview Asset Management LLC | \$ 150.00 |
| Brooklyn Public Library | \$ 25.00 |
| Carl Andrews & Associates, Inc. | \$ 25.00 |
| Connelly McLaughlin & Woloz | \$ 25.00 |
| Cozen O'Connor Public Strategies, LLC | \$ 25.00 |
| Craton Equity Partners LLC | \$ 25.00 |
| Emmes Asset Management Company LLC | \$ 25.00 |
| Fair Haven Partners LLC | \$ 150.00 |
| Hancock Natural Resource Group, Inc. | \$ 25.00 |
| Hotel, Restaurant & Club Employees & Bartenders Union Local 6 | \$ 25.00 |
| Hudson TG LLC | \$ 75.00 |
| Inter-Agency Council of Mental Retardation and Developmental Disabilities Agencies, Inc. | \$ 25.00 |
| Janus Partners LLC | \$ 75.00 |
| JLO Consultant, Inc. | \$ 25.00 |
| Kohlberg Kravis Roberts & Co. L.P. | \$ 25.00 |
| Kramer Levin Naftalis & Frankel LLP | \$ 75.00 |
| La Fuente, A Tri-State Worker & Community Fund, Inc. | \$ 25.00 |
| Law Offices of Marvin B. Mitzner LLC | \$ 125.00 |
| Lawrence R. Schillinger, Esq. | \$ 150.00 |
| Levy Ratner, P.C. | \$ 25.00 |
| Lighthouse International | \$ 25.00 |
| Major League Soccer, L.L.C. | \$ 25.00 |
| Millennium International, Ltd. | \$ 25.00 |
| National Employment Law Project, Inc. | \$ 25.00 |
| New York City Center, Inc. | \$ 25.00 |
| New York Hotel and Motel Trades Council AFL-CIO | \$ 25.00 |
| New York Taxi Workers Alliance, Inc. | \$ 300.00 |
| Phillips Nizer LLP | \$ 25.00 |
| R. Randy Lee, P.C. | \$ 75.00 |
| Sheldon Lobel, P.C. | \$ 25.00 |
| Woodside on The Move, Inc. | \$ 25.00 |
| Working Assets Funding Service | \$ 150.00 |
| YEC, Inc. | \$ 25.00 |
| TOTAL | <u>\$ 2,025.00</u> |

APPENDIX I

LATE FILING PENALTIES: LOBBYIST 2012 FIFTH PERIODIC REPORT

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|--|---------------------------|
| Advance Group (The) | \$ 50.00 |
| ANHD, Inc. | \$ 75.00 |
| Brendan Sexton | \$ 50.00 |
| Chamber of Commerce Borough of Queens | \$ 25.00 |
| Coalition for the Homeless Inc. | \$ 25.00 |
| Council of School Supervisors and Administrators | \$ 25.00 |
| Gay Men's Health Crisis, Inc. | \$ 25.00 |
| Global Strategy Group, LLC | \$ 50.00 |
| Humane Society of the United States (The) | \$ 75.00 |
| Jewish Association for Services for the Aged (The) | \$ 25.00 |
| La Fuente, A Tri-State Worker & Community Fund, Inc. | \$ 75.00 |
| Lawrence R. Schillinger, Esq. | \$ 150.00 |
| Major League Soccer, L.L.C. | \$ 150.00 |
| Motion Picture Association of America, Inc. | \$ 25.00 |
| New York Taxi Workers Alliance, Inc. | \$ 150.00 |
| Nissan North America, Inc. | \$ 25.00 |
| P.S.1 Contemporary Art Center, Inc. | \$ 25.00 |
| Queens Theatre in the Park, Inc. | \$ 25.00 |
| Thomson Strategies, LLC | \$ 25.00 |
| Verizon Corporate Resources Group LLC | \$ 25.00 |
| TOTAL | <u>\$ 1,100.00</u> |

APPENDIX J

**LATE FILING PENALTIES: LOBBYIST 2012 FIRST PERIODIC
FUNDRAISING/POLITICAL CONSULTING REPORT**

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|------------------------------------|---------------------------|
| Consolidated Edison, Inc. | \$ 1,250.00 |
| Durst Organization Inc. (The) | \$ 1,325.00 |
| Extell Development Company | \$ 500.00 |
| Greenberg Traurig, LLP | \$ 1,225.00 |
| Park Strategies, LLC | \$ 1,725.00 |
| TOTAL | <u>\$ 6,025.00</u> |

APPENDIX K

**LATE FILING PENALTIES: LOBBYIST 2012 SECOND PERIODIC
FUNDRAISING/POLITICAL CONSULTING REPORT**

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|------------------------------------|-------------------------|
| Greenberg Traurig, LLP | \$ <u>300.00</u> |
| TOTAL | \$ <u>300.00</u> |

APPENDIX L

**LATE FILING PENALTIES: LOBBYIST 2012 THIRD PERIODIC
FUNDRAISING/POLITICAL CONSULTING REPORT**

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|---|---------------------------|
| Brenda Levin | \$ 25.00 |
| Kantor, Davidoff, Wolfe, Mandelker, Twomey & Gallanty, P.C. | \$ 1,000.00 |
| Schnur Associates Inc. | <u>\$ 25.00</u> |
| TOTAL | <u>\$ 1,050.00</u> |

APPENDIX M

**LATE FILING PENALTIES: LOBBYIST 2012 FOURTH PERIODIC
FUNDRAISING/POLITICAL CONSULTING REPORT**

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|---|---------------------------|
| Driscoll Group Inc. | \$ 25.00 |
| Kantor, Davidoff, Wolfe, Mandelker, Twomey & Gallanty, P.C. | <u>\$ 1,000.00</u> |
| TOTAL | <u>\$ 1,025.00</u> |