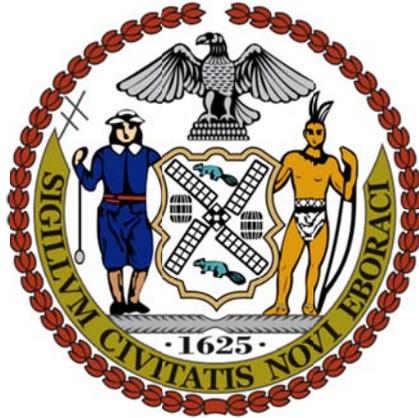


Office of the City Clerk



Clerk of the Council

**Office of the City Clerk
Clerk of the Council**

**Lobbying Bureau
Annual Report**

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Introduction

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

The city clerk shall prepare and post on the internet an annual report relating to the administration and enforcement of the provisions of this subchapter. Such report shall contain information regarding (i) the number of complaints received from the public and the disposition of such complaints; (ii) the number and amount of civil penalties imposed pursuant to subdivisions (a), (b), (c) and (d) of section 3-223 of this subchapter; (iii) the number and duration of orders issued pursuant to subdivision (a) of section 3-223 of this subchapter; (iv) the number of random audits conducted by the city clerk and outcomes thereof; (v) compliance programs developed and implemented for lobbyists and clients; (vi) the types and number of requests for assistance related to the lobbying law received by the city clerk, and, as soon as practicable, the average response and resolution times of such requests; (vii) the number of lobbyists filing statements of registration pursuant to section 3-213 of this subchapter for the first time; (viii) the subject matter of lobbying activity most frequently reported by lobbyists; (ix) the lobbying targets most frequently reported by lobbyists; (x) the lobbyists that received the highest compensation; and (xi) such other information and analysis as the city clerk deems appropriate. Such report shall be posted on the internet no later than March first of each year and shall contain information relating to the preceding calendar year.¹

Listed below is the information required by the above listed section of New York City’s lobbying law (“Lobbying Law”) for calendar year 2013.

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

In 2013, the Lobbying Bureau received two complaints from the public regarding possible violations of the Lobbying Law. One complaint is the subject of an ongoing

¹ Subsections (vi) through (x) were added by Local Law 129 of 2013. Although these provisions do not take effect until May 6, 2014, all information required by this law change is included in this 2013 Annual Report.

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

As to the second complaint, the result of the Lobbying Bureau's investigation is as follows:

- In response to a complaint that George Arzt Communications, Inc. ("Arzt") violated Administrative Code §§3-216(b), 3-216.1 and/or 3-219(a) *et seq.*, the Lobbying Bureau determined that there was no probable cause that Arzt violated such provisions.

The Lobbying Bureau also completed an open investigation of a complaint from 2012. The result of the Lobbying Bureau's investigation is as follows:

- In response to a complaint that Windels Marx Lane and Mittendorf, LLP ("Windels") violated Administrative Code §§3-213(a)(1), 3-216(a) and/or 3-217(a) *et seq.*, the Lobbying Bureau determined that there was no probable cause that Windels 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 for violating the proscription against contingency agreements provided in the Lobbying Law. In addition to penalties for the late filing of any statement or report, pursuant to Administrative Code §3-223(c), violators are subject to a civil penalty not to exceed \$20,000 if a late filing is not cured within 14 business days from the date of the mailing of a notice to cure such violation. For any violation of the Lobbying Law not covered in the foregoing provisions, pursuant to Administrative Code §3-

223(d), violators are subject to a civil penalty not to exceed \$20,000. Listed below are the late filing penalties incurred for each reporting period.²

2012 Annual Reports (Client Annual Reports and Sixth Periodic Reports)

The Lobbying Bureau identified 169 filers³ that failed to timely file an aggregate of 199 annual reports⁴ for 2012. Fifty-five late reports were attributable to 25 lobbyists,⁵ who incurred an aggregate of \$2,175 in late filing penalties. (See Appendix A attached hereto.) This represents an 83% decrease in the amount of late filing penalties incurred for lobbyist annual reports in 2012 as compared to 2011. The remaining 144 late 2012 annual reports were attributable to clients who each filed a late report and consequently incurred an aggregate of \$19,130 in late filing penalties. (See Appendix B attached hereto.) This represents a 61% decrease in the amount of late filing penalties incurred for client annual reports in 2012 as compared to 2011.

No civil penalties were warranted for the late filing of 2012 annual reports.

2013 Statements of Registration and Periodic Reports

To date, the Lobbying Bureau identified 111 lobbyists who failed to timely file an aggregate of 159 statements of registration. For this failure, such lobbyists incurred \$25,470 in aggregate late filing penalties as of February 28, 2014. (See Appendix C attached hereto.)

To date, the Lobbying Bureau identified 16 lobbyists who failed to timely file an aggregate of 22 amended statements of registration. For this failure, such lobbyists incurred \$3,975 in aggregate late filing penalties as of February 28, 2014. (See Appendix D attached hereto.)

To date, the Lobbying Bureau identified 44 lobbyists who failed to timely file an aggregate of 52 first periodic reports. For this failure, such lobbyists incurred \$5,850 in aggregate late filing penalties as of February 28, 2014. (See Appendix E attached hereto.)

²The late filing penalties contained in this report are restricted to penalties resulting from the late filing of 2012 annual reports (client annual report and sixth periodic report) and 2013 filings including: statements of registration, amended statements of registration, first through fifth periodic reports and first through fifth fundraising and political consulting reports.

³"Filers" as used throughout this report refers to a lobbyist entity, a lobbyist/client filer (an entity whose employees lobby on its behalf) and a client unless otherwise stated.

⁴The Lobbying Bureau has historically treated the sixth periodic report as an annual report for lobbyists.

⁵"Lobbyists" as used throughout this report refers to lobbying firms as well as lobbyist/client filers.

To date, the Lobbying Bureau identified 44 lobbyists who failed to timely file an aggregate of 45 second periodic reports. For this failure, such lobbyists incurred \$4,700 in aggregate late filing penalties as of February 28, 2014. (See Appendix F attached hereto.)

To date, the Lobbying Bureau identified 32 lobbyists who failed to timely file an aggregate of 37 third periodic reports. For this failure, such lobbyists incurred \$3,875 in aggregate late filing penalties as of February 28, 2014. (See Appendix G attached hereto.)

To date, the Lobbying Bureau identified 39 lobbyists who failed to timely file an aggregate of 61 fourth periodic reports. For this failure, such lobbyists incurred \$3,525 in aggregate late filing penalties as of February 28, 2014. (See Appendix H attached hereto.)

To date, the Lobbying Bureau identified 18 lobbyists who failed to timely file an aggregate of 27 fifth periodic reports. For this failure, such lobbyists incurred \$2,475 in aggregate late filing penalties as of February 28, 2014. (See Appendix I attached hereto.)

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

2013 Fundraising and Political Consulting Reports

In total, the Lobbying Bureau identified 11 lobbyists who failed to timely file a total of 13 fundraising and political consulting reports. For this failure, such lobbyists incurred \$4,000 in aggregate late filing penalties as of February 28, 2014. (See Appendix J attached hereto.) No civil penalties were warranted for the late filing of fundraising and political consulting reports.

2013 Late Termination Notices

On December 17, 2012, the Lobbying Bureau sent out an email notice to all lobbyist and clients notifying them of the Bureau's intent to impose civil penalties for termination notices not filed within 14 business days after a cure period has expired. Subsequently, the Lobbying Bureau sent out 117 notices to cure regarding late terminations in 2013. As a result of the failure to cure, 7 filers incurred an aggregate of \$12,250 in civil penalties as of February 28, 2014. (See Appendix K attached hereto.)

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

None.

(iv) Number of random audits and outcomes thereof.

The Lobbying Bureau performed audits of 45 entities in 2013. The audits encompassed an examination of all filings made in 2012 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 compliance with the Lobbying Law. The audits resulted in the issuance of 95 findings and 95 required actions. The audit findings included: reporting incorrect compensation and expenses; failing to file a notice of termination; reporting incorrect compensation in a given periodic report; missing target information in a periodic report; a client being registered in the wrong name; and failing to list lobbying employees on statements of registration and periodic reports. Examples of required actions included: amending reports; providing an affidavit to corroborate financial information; filing a notice of termination; certifying an amended report; and amending periodic reports to provide more detailed information about the subject matter and target(s) of the 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 telephone and e-mail inquiries throughout the year including requests for assistance with filing reports, general and specific inquiries with respect to requirements of the Lobbying Law and technical assistance with e-Lobbyist. See *(vi) The types and number of requests for assistance related to the lobbying law received by the city clerk* below for further information. Responding to 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 hold small group training sessions for first-time e-Lobbyist enrollees at its office located at 141 Worth Street, New York, New York. The classes, offered to lobbyists and lobbyist/client filers, received accreditation for Continuing Legal Education (“CLE”). Attorney participants received 1.5 CLE credit hours in the Professional Practice category for attending. The training sessions took place on the following dates: (1) April 4, 2013 (lobbyist/client filers); (2) April 9, 2013 (lobbyist filers); (3) April 23, 2013 (lobbyist/client filers); (5) May 16, 2013 (lobbyist/client filers); (6) June 13, 2013 (lobbyist/client filers); (7) June 26, 2013 (lobbyist filers) and (8) September 17, 2013 (lobbyist/client filers). Attendees included employees of investment managers, real estate companies and not-for-profit organizations that were new to e-Lobbyist. The presentation included a detailed overview of the requirements of the Lobbying Law and provided step-by-step instructions in filing reports on e-Lobbyist. The Lobbying Bureau will continue to offer these small group trainings to first-time enrollees in 2014.

The Lobbying Bureau also held training for advanced lobbyist filers at its office on May 7, 2013 and May 21, 2013. The presentations covered topics that were the subject of several announcements issued in 2012.

Outreach and Education

Comparison to City Council FY 2013 Adopted Expense Budget - Schedule C

The Lobbying Bureau sent letters to entities that received discretionary funding from the City Council in fiscal year 2013 but had not filed a statement of registration with the Lobbying Bureau to educate the entities about the Lobbying Law and ensure compliance. In total, over 1,000 letters were sent. The letter informed entities of the Lobbying Law and encouraged such entities to review their activities and related expenses to determine whether or not they were required to comply. Enclosed with the letter was a summary of the Lobbying Law. The Lobbying Bureau received several inquiries regarding this correspondence.

Comparison to New York State Lobbying Reports

The Lobbying Bureau continued its efforts to uncover unreported New York City (“City”) lobbying in 2013 by comparing more than 4,300 statements of registration filed with the

New York State Joint Commission on Public Ethics (“JCOPE”) with statements of registration filed with the Lobbying Bureau as of January 9, 2014.

It was determined that in total, 19 entities reported lobbying City targets with JCOPE but had not filed a statement of registration with the Lobbying Bureau. As a result, the Lobbying Bureau sent letters to the entities. It was determined that at least 2 of the entities were required to file statements of registration in 2013. The entities subsequently filed statements of registration and all required reports. The remaining 17 entities were not required to file statements of registration with the Lobbying Bureau in 2013 for various reasons including: (1) listing a City target on the JCOPE statement of registration was inadvertent because no City lobbying took place; (2) the entity did not exceed the \$2,000 reporting threshold for City lobbying; or (3) the entity filed a statement of registration with the Lobbying Bureau under an incorrect legal entity name. The entities that were not required to file statements of registration with the Lobbying Bureau submitted affidavits and supporting documentation to justify this determination. The entities that filed in e-Lobbyist under the incorrect legal entity name changed the enrollment name and amended all 2013 filings to reflect the correct name.

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

In 2012, at the request of the Mayor’s Office of Contract Services, the DCA added a lobbying certification to the compliance documentation of its grant agreements. As a result, all organizations that received a grant from the DCA, through member item funding, were required to certify that the organization was in compliance with City and State Lobbying Laws. In 2013, the Lobbying Bureau continued to assist applicants with the DCA certification and received numerous telephone calls and email inquiries from organizations seeking assistance in completing the lobbying certification. The Deputy Counsel to the City Clerk, as the designated contact person, assisted organizations in determining whether or not they were required to file a statement of registration and in completing the certification. As a result of the certification process, several new organizations filed statements of registration on e-Lobbyist.

Announcement

The Lobbying Bureau issued an announcement on December 31, 2013 to notify all filers that, effective January 1, 2014, the reporting threshold increased from \$2,000 to \$5,000. The

announcement was emailed to all lobbyists and lobbyist/client filers enrolled in e-Lobbyist and was posted on the Lobbying Bureau's website. To view the complete text of the aforementioned announcement, and all previous announcements, please visit the Lobbying Bureau website at: <http://www.cityclerk.nyc.gov/html/lobbying/announcements.shtml>.

Other Compliance Efforts

The Lobbying Bureau examines statements and reports filed on e-Lobbyist to determine the accuracy of information contained in the filings. Specifically, the Lobbying Bureau reviews start and end dates of lobbying, entity names and compensation listed on statements and reports.

Date Changes

In 2013, the Lobbying Bureau discovered approximately 70 issues with start and end dates in lobbyists' filings by comparing dates on the statement of registration with the retainer agreement. Each lobbyist was notified of the discrepancy and instructed to resolve the discrepancy by amending either the date on the statement of registration or the date on the retainer agreement.

Name Changes

In order to resolve name discrepancies, the Lobbying Bureau cross-checked client names listed on the statements of registration with corresponding retainer agreements in e-Lobbyist and with the New York State Department of State database. The Lobbying Bureau discovered about 140 issues involving entity names. The Lobbying Bureau instructed the entities to correct the legal entity name by one of the following means: (1) requesting a change of the enrollment name; (2) filing an amended statement of registration with an amended retainer listing the correct legal entity name of the client; or (3) both a name change and submission of an amended retainer.

Compensation Discrepancies

In order to resolve compensation discrepancies, the Lobbying Bureau cross-checked the compensation listed in the periodic reports with the compensation listed in the corresponding retainer agreements. The Lobbying Bureau discovered over 220 instances where the

compensation amount listed in a periodic report did not match the payments listed in the retainer agreement. The lobbyists were notified of the discrepancy and instructed to resolve it by either amending the compensation reported or by providing a letter justifying the discrepancy.

The Lobbying Bureau worked with filers to ensure that the above issues were resolved in a timely manner.

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

In May 2013, in order to comply with the Lobbying Commission's recommendations, the Lobbying Bureau instituted a policy and devised a procedure to report the types and number of requests for assistance related to the Lobbying Law received by the City Clerk. The procedure is currently in its development stage and the City Clerk continues to develop and refine the tracking system. From May 28, 2013 through December 31, 2013, the Lobbying Bureau's time was allocated as follows: Administration 7%, Audits 40%, Compliance/Enforcement 37%, e-Lobbyist Assistance 8% and Investigations 7%. In addition, from May 28, 2013 through December 31, 2013, the Lobbying Bureau received approximately 1,153 telephone calls and 1,086 email requests. The majority of telephone calls involved filers requesting technical assistance with completing a filing on e-Lobbyist. The majority of emails involved general and specific compliance related inquiries with respect to the Lobbying Law. See *Analysis of Lobbying Data* below for more information. In addition, as recommended by the Lobbying Commission and later included in amendments to the law, the Lobbying Bureau will record response times for all inquiries and requests for assistance as soon as practicable. See *Local Law 129 of 2013* below for further information.

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

In 2013, about 88 lobbyist entities filed statements of registration pursuant to Administrative Code §3-213 for the first-time. Sixteen of those entities filed statements of registration as lobbyists on behalf of their clients and the remaining 72 entities filed a statement

of registration as lobbyist/client filers. The 72 lobbyist/client filers' industries were reported as follows: (1) about 41% listed financial services including private equity, investment manager, investment advisor, asset management and/or investment banker; (2) approximately 30% were not-for-profits and/or community service organizations; (3) about 9% reported real estate and/or real estate development; and (4) the remaining 20% included unions, trade associations, energy companies and technology companies.

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

See *Analysis of Lobbying Data* below and charts on page 33.

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

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

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

See *Analysis of Lobbying Data* below and charts on pages 16-23.

(xi) Other information and analysis.

Local Law 129 of 2013

Local Law 129 of 2013, which was based on recommendations contained in the Lobbying Commission Final Report, was enacted on December 17, 2013. The law included a number of important changes including: the expansion and clarification of the definitions of lobbying; the expansion of the City Clerk's duty to perform investigations of unreported lobbying; an increase in the data the City Clerk must detail in its annual report (for example the types and number of requests for assistance and response times for such requests); various changes to reporting requirements in statements of registration, periodic reports, fundraising and

political consulting reports and client annual reports; the addition of a training requirement for all lobbyists and clients; and the restoration of the daily late filing penalties of \$10 per day for first-time filers and \$25 per day for repeat filers. The law also directs the City Clerk to work with the Department of Information Technology and Telecommunications (“DoITT”) to develop a database of lobbying reports that is searchable by lobbyist, client, person/agency and by the number of the law, bill and/or rule. In addition to restoring the daily late filing penalty, Local Law 129 provides the City Clerk with discretion in waiving and/or reducing late filing penalties based on certain factors including: (1) whether and how often the filer was late in the past; (2) the annual operating budget of the filer; (3) whether the filer is a lobbyist/client; (4) the amount of information that was unreported; and (5) the significance of the impediments to timely filing.

To encourage filers who have remained outside the filing system since 2006 to file reports, an amnesty was included in Local Law 129. The law provides that commencing in 2014, upon filing an application stating the intent to apply for the amnesty, a filer who has never previously filed in e-Lobbyist may immediately begin to file currently due reports without penalty. When reporting prior lobbying activity, a filer is required to file a summary of lobbying activities engaged in one year prior to the amnesty on forms prescribed by the City Clerk. Before the amnesty period begins, the City Clerk will engage in extensive outreach, education and publicity efforts.

Perhaps the most significant changes to the lobbying law were increasing the reporting threshold from \$2,000 to \$5,000 and decreasing the number of requisite filings per year for lobbyist/client filers who expend between \$5,000 and \$10,000 for lobbying. In addition, the reporting threshold for architects, engineers and architecture and engineering firms was set at \$10,000. The provisions of Local Law 129 governing various reporting threshold increases took effect on January 1, 2014. Other provisions which require technical changes (the creation of an online training program with an anti-corruption component; allowing lobbyist/client filers whose total compensation is between \$5,000 and \$10,000 to file two periodic reports instead of six and updating the electronic database) take effect when the change can be completed by DoITT or within two years whichever is earlier. The remaining provisions take effect on May 6, 2014.

Advisory Opinion

In response to several inquiries in connection with the DCA lobbying certification (explained above in *Assistance to Recipients of a Grant from the Department of Cultural*

Affairs), the City Clerk opined that the completion of an online application for a DCA grant is not lobbying because merely completing a form upon the invitation of an agency is not an attempt to influence, however attempting to influence a determination of the DCA through a hired lobbyist or through the applicant's affirmative efforts may constitute lobbying. See Advisory Opinion 2013-1 available at: <http://cityclerk.nyc.gov/html/lobbying/2013-1.shtml>.

Factors Affecting Late Filing Penalties⁶

In comparison to 2012, in 2013 there was an increase in both the number of late filings (44%) and the number of entities that filed reports late (38%). However, despite the almost doubling of the number of late filings, the total late filing penalties incurred for 2013 decreased by 30%. This is due, in large part, to the change in the method of calculating late filing penalties mandated by *OCC v. Constantinople & Vallone Consulting, LLC*, Index Nos. 325/12 & 348/12 (July 9, 2012), which capped late filing penalties at \$1,000, arguably mitigating any deterrent effects caused by the former daily late filing penalty. In May 2014, the late filing penalties set forth in Local Law 129 of 2013 will take effect restoring the daily late filing penalty of \$10 per day for first-time filers and \$25 per day for repeat filers. See *Local Law 129 of 2013* above for further information. On the other hand, the number of late fundraising and political consulting reports decreased in 2013 and thus late filing penalties incurred for such reports decreased from 2012 by 52%. This is largely due to increased enforcement of Administrative Code §3-216.1 which regulates fundraising and political consulting reports.

Number of Reporting Lobbyists and Clients

As of February 21, 2014, approximately 1,828 lobbyists and 3,273 clients were enrolled in e-Lobbyist. In 2013, approximately 1,972 statements of registration were filed on e-Lobbyist.

Outlook For 2014

One of the Lobbying Bureau's main goals in 2014 is to implement and enforce the changes to the Lobbying Law mandated by Local Law 129 of 2013. Filers will be notified of changes prior to the implementation of each provision of the amended Lobbying Law. The City

⁶ The late filing penalties referred to in this section include fines for all late 2013 first through fifth periodic reports that are resolved as of the date of this report.

Clerk will promulgate rules to further assist in the enforcement of Local Law 129 including rules: defining which city planning authorizations are excluded from the Lobbying Law; establishing a procedure for seeking a waiver or reduction in late fines; and governing the amnesty program. Local Law 129 also requires many technical changes to e-Lobbyist which are expected to be made throughout 2014. These changes include: text changes to screens and the user-guide; additional drop-down menus for subject categories; additional fields for expenses; and allowing lobbyist/client filers whose total compensation is between \$5,000 and \$10,000 to file two periodic reports per year instead of six. The Lobbying Bureau will continue to track and report the number and types of requests for assistance related to the Lobbying Law received by the City Clerk. As soon as practicable, the Lobbying Bureau will record response times for all inquiries and requests for assistance.

The Lobbying Bureau also intends to continue its efforts to increase compliance by expanding enforcement efforts and increasing public awareness of the Lobbying Law. The Lobbying Bureau expects to hire a full-time staff member to develop a training program that complies with the relevant provisions of Local Law 129. Education and community outreach efforts will be further expanded in 2014 to prepare for the amnesty. In addition, the Lobbying Bureau intends to send letters to parties that appear before various City agencies to advise them of the Lobbying Law. The Lobbying Bureau will develop notices and advertisements to be distributed to City agencies. In accordance with Local Law 129, the Lobbying Bureau will also develop a protocol to investigate unreported lobbying.

The Lobbying Bureau will maintain its efforts to improve the functionality and the user-friendliness of e-Lobbyist. In addition, to ensure the integrity of the database, the Lobbying Bureau will remain focused on the veracity of the reports filed by lobbyists and clients. The Lobbying Bureau will check information contained in periodic reports to verify the accuracy of the filings. In addition, the Lobbying Bureau will verify the subjects and details of the reported lobbying activity, on both the statement of registration and periodic reports, to ensure the information reported is sufficient to identify the lobbying activity engaged in by the filer. The Lobbying Bureau will work with all filers to resolve discrepancies in information reported. The Lobbying Bureau is committed to maintaining the integrity of the database and is willing to take enforcement action when necessary if a filer is not responsive. The Lobbying Bureau will continue to send announcements to notify filers of changes to e-Lobbyist, changes in procedure

and any consistent trends of noncompliance. Furthermore, the Lobbying Bureau will continue to carry out its statutory requirements to conduct random audits and perform investigations of unreported lobbying.

*Analysis of Lobbying Data*⁷

Each year the Lobbying Bureau strives to expand its analysis of the available data and report on various macro and micro trends in City lobbying. The Lobbying Bureau also receives many requests for information about City lobbying activity from good governments groups and government watchdog organizations. In order to facilitate the transparency goals of the Lobbying Law and in response to requests for information, lobbying data, comparisons and analyses are included in the subsequent pages of this report. The data includes: top ten list of lobbyists based on total cumulative compensation for 2009-2013 (including comparison charts of the top ten lobbyists for those years) (pages 16-23); top lobbyist ranked by number of clients registered (page 24); and top lobbyist ranked by number of employees listed on statements of registration (page 31). The data shows that lobbying firms engage in significantly more lobbying than lobbyist/client filers. The analysis of lobbyist/client filers includes top ten lobbyist/client filers ranked by total cumulative compensation paid to all employees (pages 25-26) and top lobbyist/client ranked by number of employees listed on the statement of registration (page 32). The data demonstrates an increase in businesses and organizations who engage in in-house lobbying. The analysis also includes information concerning lobbying clients including: top clients ranked by total compensation paid to all retained lobbying firms (pages 27-28); top clients ranked by number of lobbying firms retained (page 29); and the top ten lobbying contracts (page 30). This year there was a slight decrease in the number of clients although the overall compensation paid to lobbying firms increased slightly. Consistent with the 2012 Annual Report, the top activities by subject category (page 33) and top target agencies (page 34) reported by lobbyists shows that lobbying the Council on the budget continues to be a top lobbying activity. For the first time, an analysis of the data reported in the fundraising and political consulting reports is included below (pages 35-36). Predictably in an election year, most of the reported fundraising was for citywide elections including mayoral and council races. In addition,

⁷ All data contained in the following charts and graphs is information reported by lobbyists as of a certain date. Since filers can amend past filings at any time, all data is subject to change after the date listed in this report.

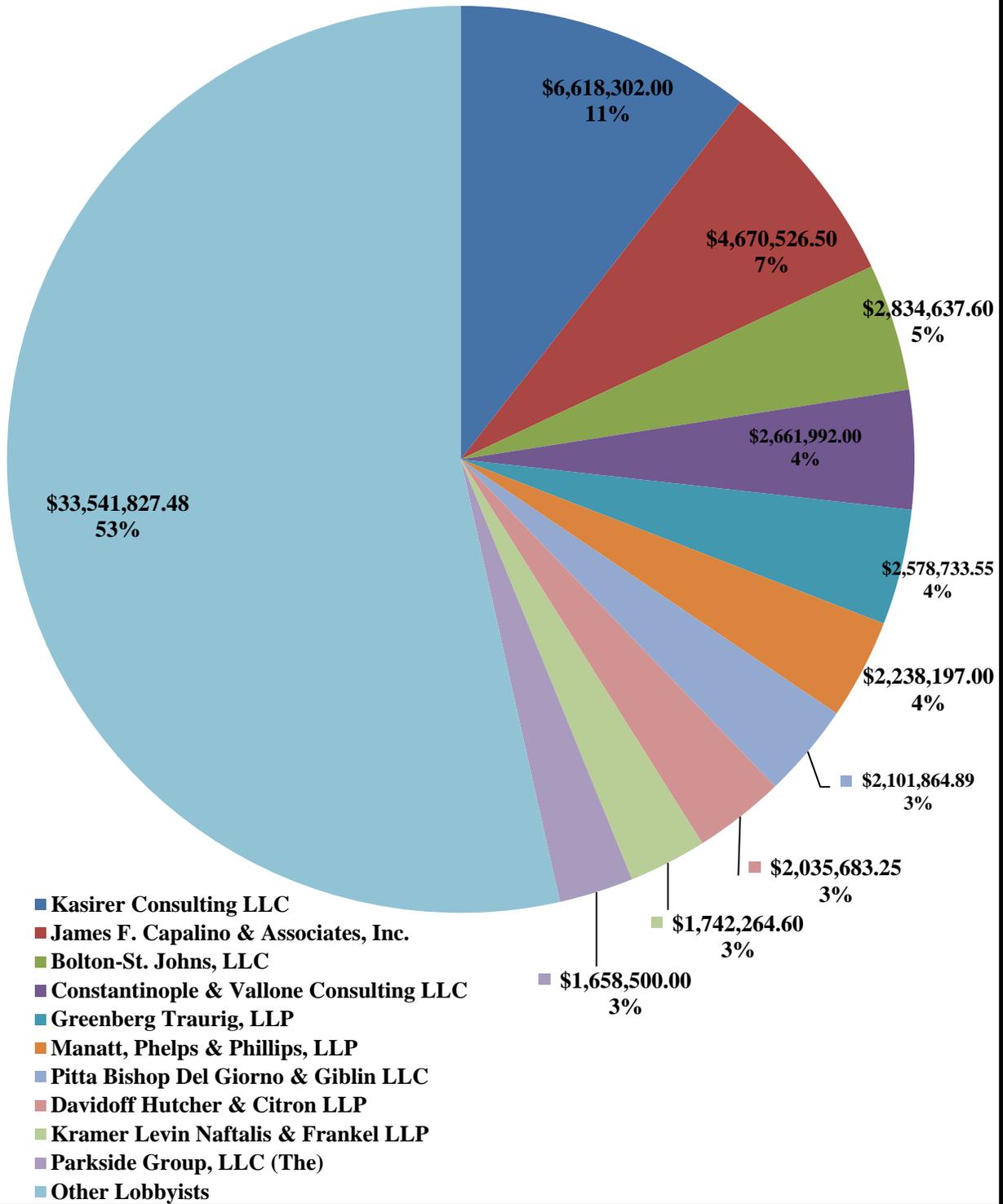
charts showing the allocation of the Lobbying Bureau's staff time by subject category and the number of telephone calls and email requests by subject category (pages 37-41) are included below. The Lobbying Bureau will continue to analyze the data reported by filers and increase its reporting of macro and micro trends in future annual reports.

TOP TEN LOBBYISTS OF 2013 BY COMPENSATION⁸

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

⁸ Data is based on the cumulative compensation reported by the lobbyist in its 2013 periodic reports (period one through six) as of February 22, 2014 and is subject to change.

TOP TEN LOBBYISTS OF 2013 BY COMPENSATION



TOP TEN LOBBYISTS OF 2012 BY COMPENSATION⁹

| <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> |

⁹ Data is based on the cumulative compensation reported by the lobbyist in its periodic reports as reported in the Lobbying Bureau Annual Report dated March 1, 2013.

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, 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> |

¹⁰ Data is based on the cumulative compensation reported by the lobbyist in its periodic reports as reported in the Lobbying Bureau Annual Report dated March 1, 2012.

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, 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.

¹¹ Data is based on the cumulative compensation reported by the lobbyist in its periodic reports as reported in the Lobbying Bureau Annual Report dated March 1, 2011.

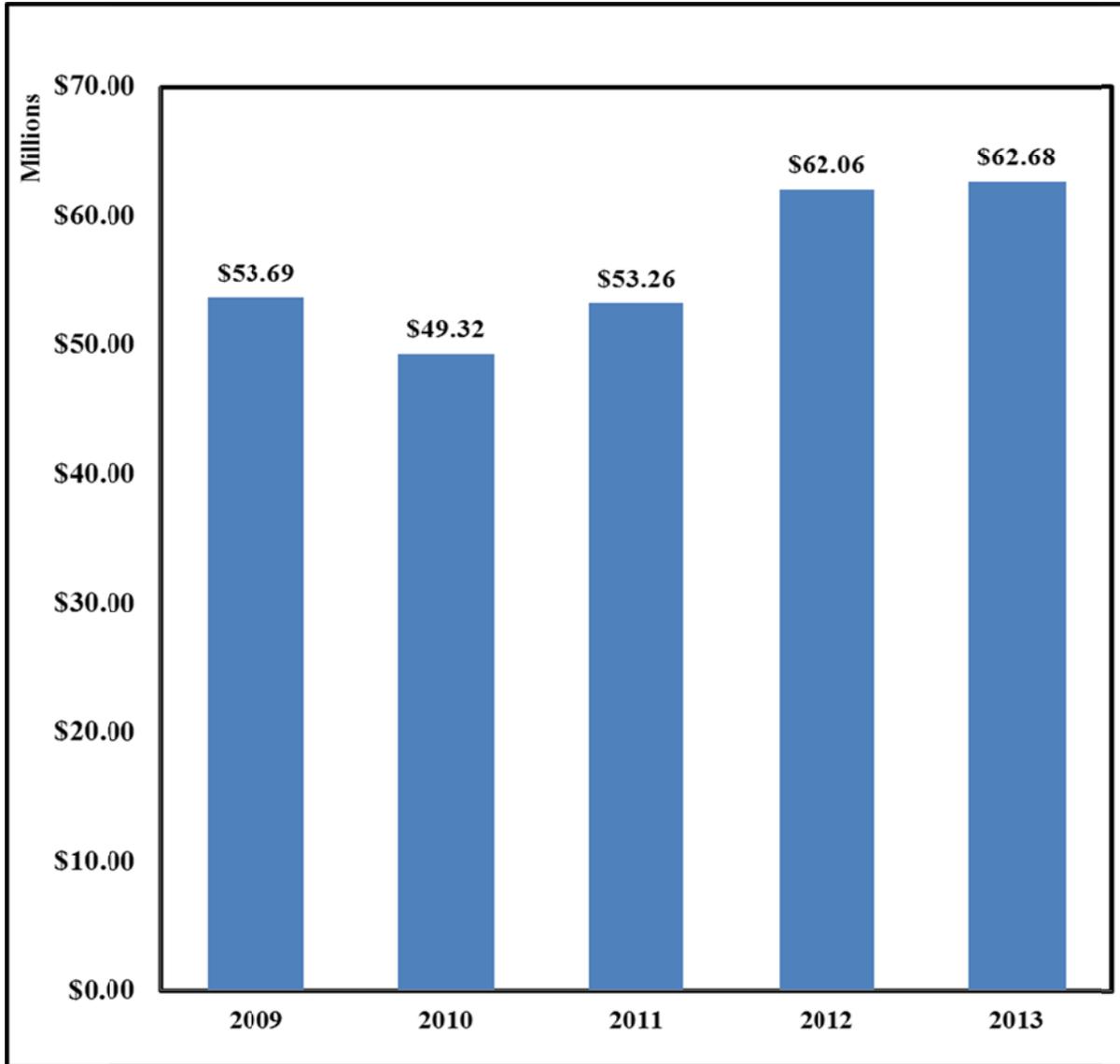
TOP TEN LOBBYISTS OF 2009 BY COMPENSATION¹²

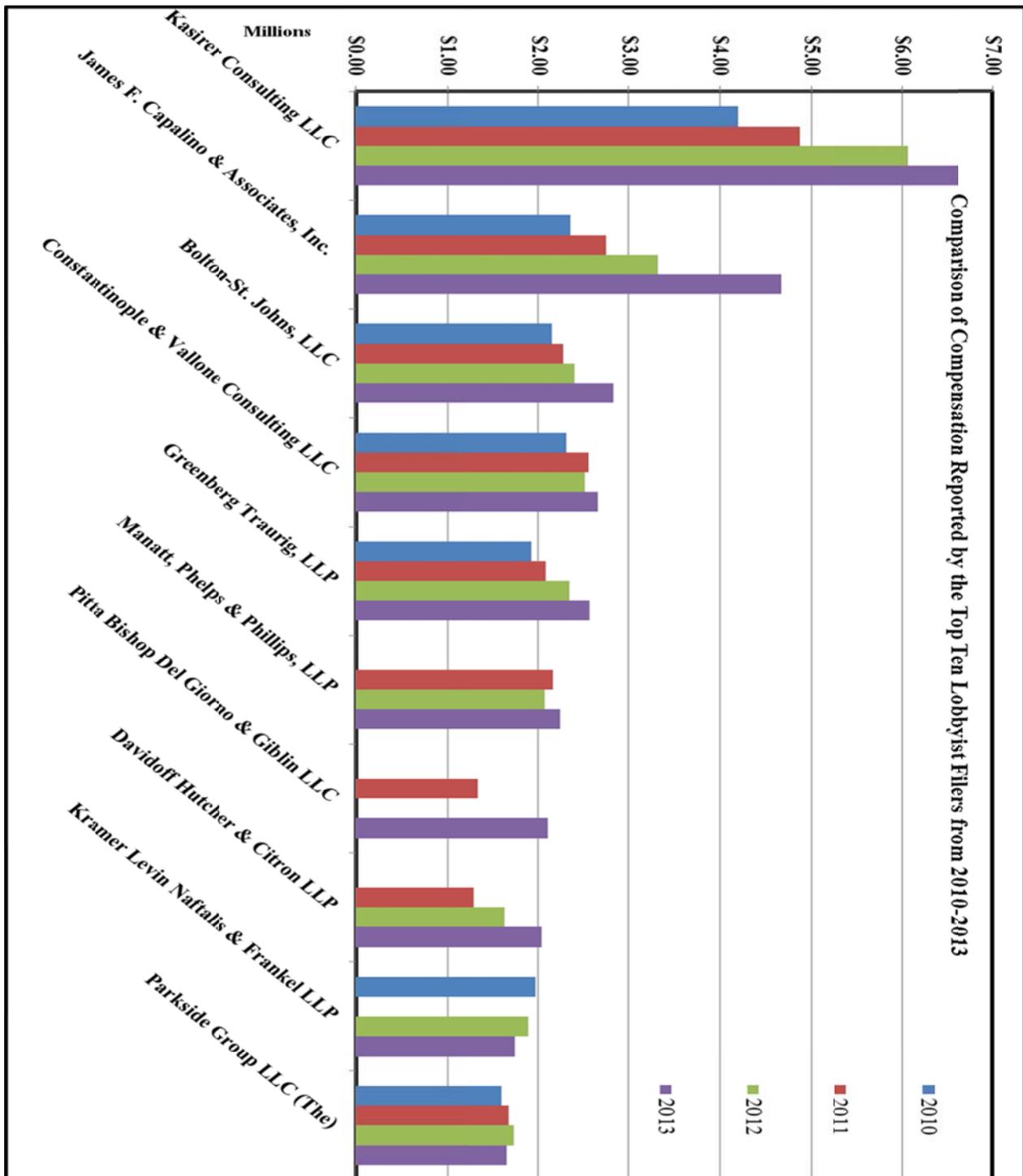
| <u>Lobbyist</u> | <u>Total Compensation Reported</u> |
|--|---|
| Kasirer Consulting LLC | \$ 3,745,321.77 |
| Kramer Levin Naftalis & Frankel LLP | \$ 2,927,017.51 |
| Greenberg Traurig, LLP | \$ 2,882,270.27 |
| James F. Capalino & Associates, Inc. | \$ 2,554,438.50 |
| Bolton-St. Johns, LLC | \$ 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.

¹² Data is based on the cumulative compensation reported by the lobbyist in its periodic reports as reported in the Lobbying Bureau Annual Report dated March 1, 2011.

COMPARISON OF COMPENSATION REPORTED BY LOBBYISTS FROM 2009-2013





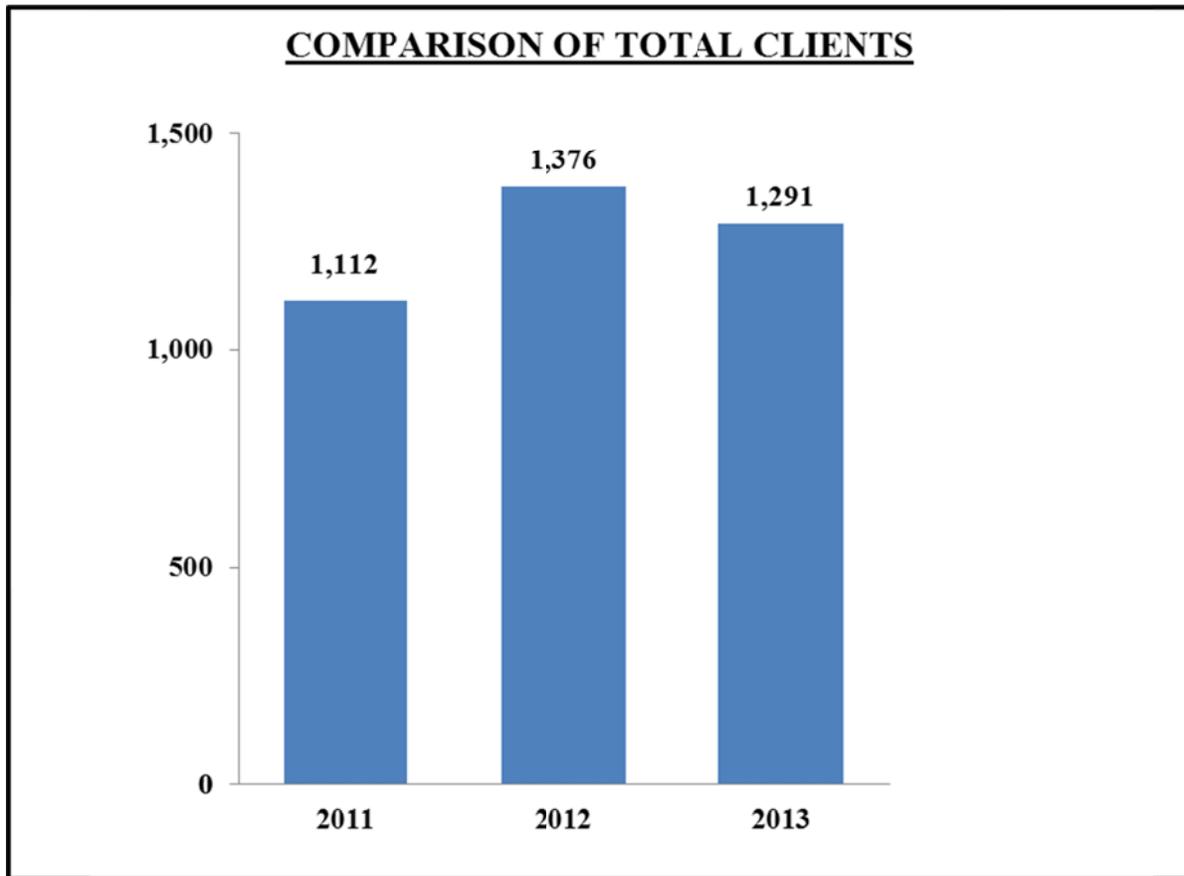
*Total may vary due to rounding.

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

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

TOP TEN LOBBYISTS OF 2013 BY NUMBER OF CLIENTS¹³ REGISTERED¹⁴

| <u>Lobbyist</u> | <u>Number of Clients Registered</u> |
|--|--|
| James F. Capalino & Associates, Inc. | 168 |
| Kasirer Consulting LLC | 109 |
| Greenberg Traurig, LLP | 65 |
| Pitta Bishop Del Giorno & Giblin LLC | 55 |
| Bolton-St. Johns, LLC | 46 |
| Manatt, Phelps & Phillips, LLP | 46 |
| Wilson, Elser, Moskowitz, Edelman & Dicker LLP | 46 |
| Constantinople & Vallone Consulting LLC | 45 |
| TLM Associates LLC | 41 |
| George Arzt Communications, Inc. | 40 |

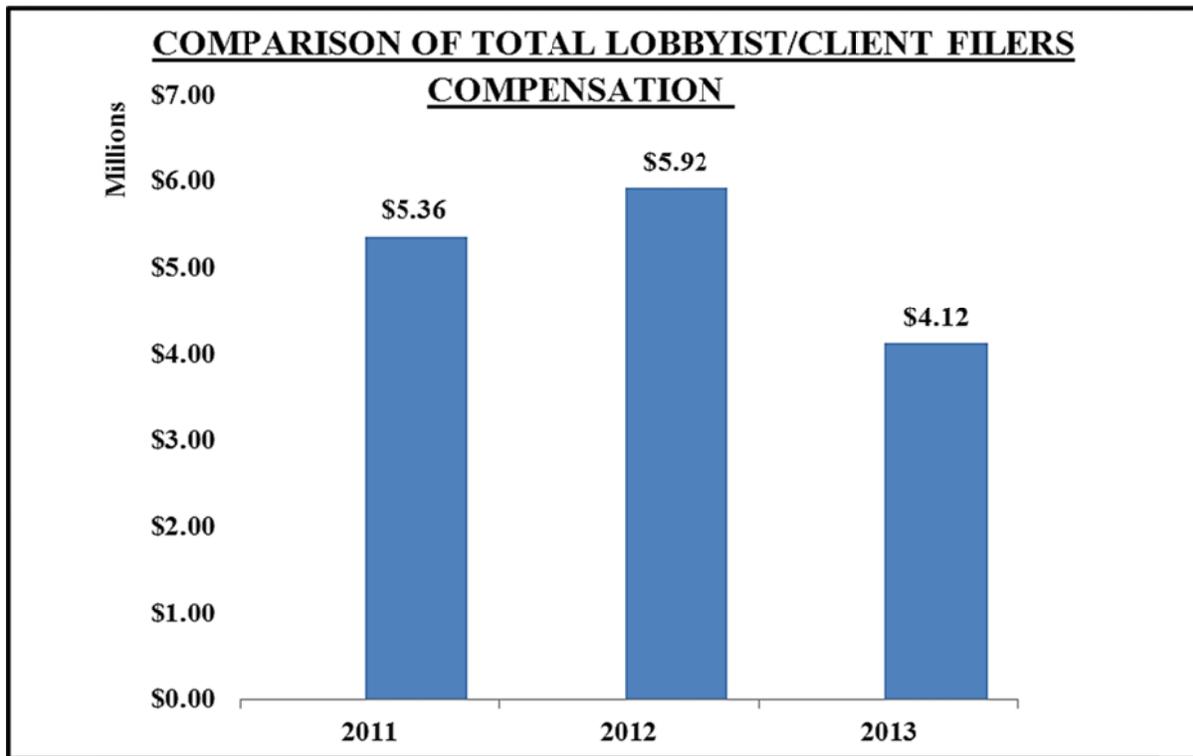


¹³ “Clients” includes only lobbyist/client filers that reported retaining an outside lobbying entity in 2013.

¹⁴ Data is based on statements of registration filed by lobbyists.

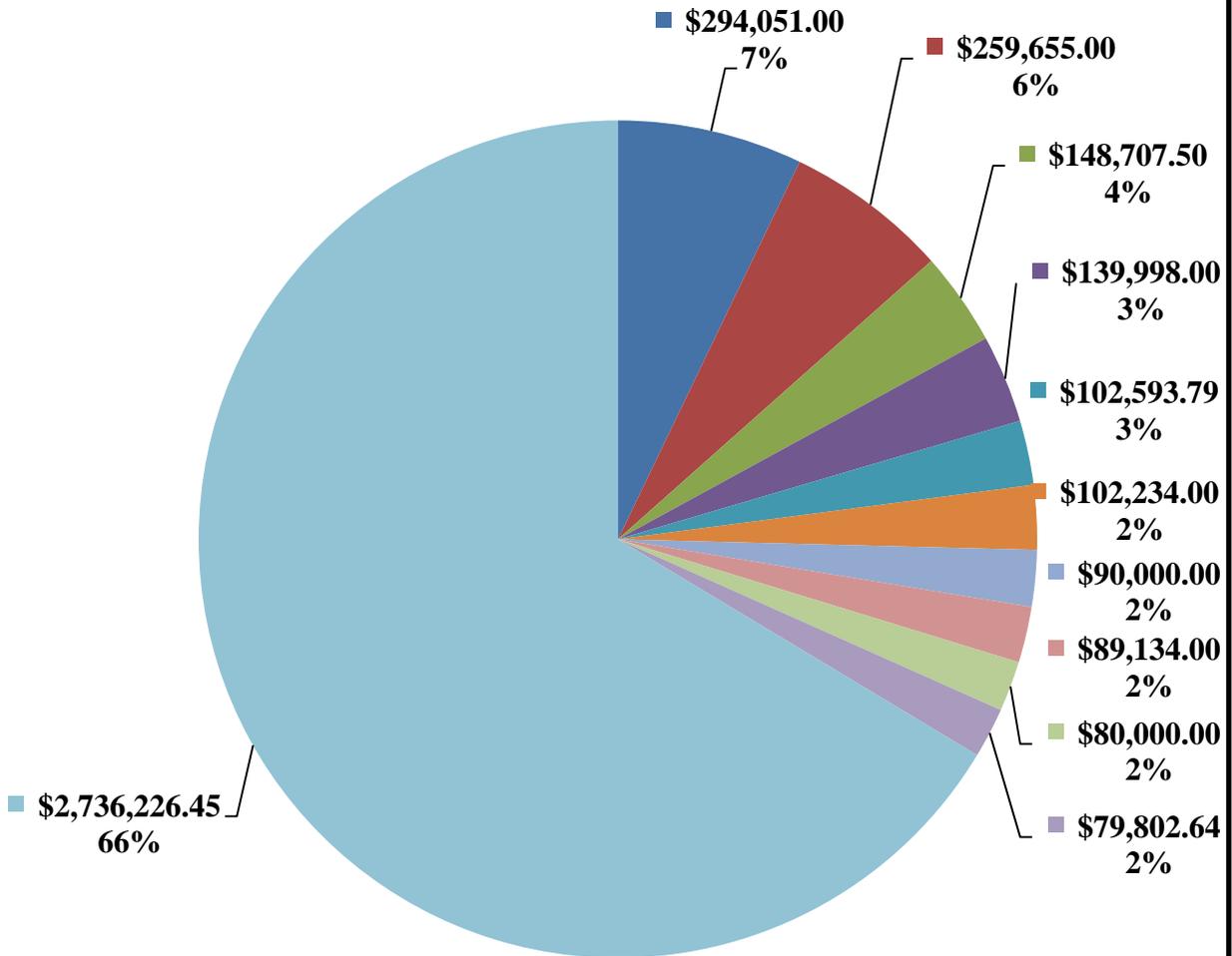
TOP TEN LOBBYIST/CLIENT FILERS OF 2013 BY COMPENSATION¹⁵

| <u>Lobbyist/Client</u> | <u>Compensation</u> |
|--|------------------------------|
| Environmental Defense Fund, Inc. | \$294,051.00 |
| United Federation of Teachers | \$259,655.00 |
| Goldman, Sachs & Co. | \$148,707.50 |
| T. Rowe Price Associates, Inc. | \$139,998.00 |
| New York Hotel and Motel Trades Council AFL-CIO | \$102,593.79 |
| Yeshiva University | \$102,234.00 |
| Committee for Hispanic Children and Families, Inc. | \$90,000.00 |
| Citizens Committee for New York City | \$89,134.00 |
| Starwood Capital, L.L.C. | \$80,000.00 |
| The American Museum of Natural History | <u>\$79,802.64</u> |
| SUB-TOTAL | \$1,386,175.93 |
| OTHER LOBBYIST/CLIENTS | <u>\$2,736,226.45</u> |
| TOTAL COMPENSATION OF LOBBYIST/CLIENTS | <u>\$4,122,402.38</u> |



¹⁵ Data is based on cumulative compensation reported in periodic reports filed by lobbyist/client filers.

TOP TEN LOBBYIST/CLIENT FILERS OF 2013 BY COMPENSATION



- Environmental Defense Fund, Inc.
- United Federation of Teachers
- Goldman, Sachs & Co.
- T. Rowe Price Associates, Inc.
- New York Hotel and Motel Trades Council AFL-CIO
- Yeshiva University
- Committee for Hispanic Children and Families, Inc.
- Citizens Committee for New York City
- Starwood Capital, L.L.C.
- The American Museum of Natural History
- Other Lobbyist/Clients

TOP TEN CLIENTS¹⁶ OF 2013 BY COMPENSATION TO ALL LOBBYING FIRMS¹⁷

| <u>Client</u> | <u>Lobbyist</u> | <u>Compensation</u> |
|---------------------------------|--|------------------------------|
| Albee Development LLC | James F. Capalino & Associates, Inc. | \$90,000.00 |
| | Washington Square Partners Inc. | <u>\$1,156,000.00</u> |
| | | <u>\$1,246,000.00</u> |
| Major League Soccer, L.L.C. | Beaudoin & Company, LLC | \$30,000.00 |
| | Bolton-St. Johns, LLC | \$37,500.00 |
| | Fried, Frank, Harris, Shriver & Jacobson LLP | \$55,661.00 |
| | Global Strategy Group, LLC | \$202,000.00 |
| | HR&A Advisors, Inc. | <u>\$453,222.50</u> |
| | | <u>\$778,383.50</u> |
| Halletts A Development Co., LLC | Cozen O'Connor | \$577,727.00 |
| | Norman Levy, P.C. | \$35,000.00 |
| | Sheinkopf LTD. | <u>\$22,500.00</u> |
| | | <u>\$635,227.00</u> |
| Waterview at Greenpoint LLC | Greenberg Traurig, LLP | <u>\$600,000.00</u> |
| MSG Holdings, L.P. | 99 Solutions LLC. | \$12,500.00 |
| | Kasirer Consulting LLC | \$150,000.00 |
| | Kramer Levin Naftalis & Frankel LLP | \$282,262.70 |
| | Miram Group LLC | \$7,500.00 |
| | Patricia Lynch Associates | \$0.00 |
| | Phillips Nizer LLP | <u>\$0.00</u> |
| | | <u>\$452,262.70</u> |
| 5 Bay Street, LLC | Cozen O'Connor | <u>\$440,933.80</u> |
| CSC Holdings LLC | Kasirer Consulting LLC | \$180,000.00 |
| | Patricia Lynch Associates | \$120,000.00 |
| | Robinson & Cole LLP | \$120,000.00 |
| | Phillips Nizer LLP | <u>\$0.00</u> |
| | | <u>\$420,000.00</u> |
| TF Cornerstone Inc. | Fried, Frank, Harris, Shriver & Jacobson LLP | \$345,047.00 |
| | James F. Capalino & Associates, Inc. | <u>\$72,000.00</u> |
| | | <u>\$417,047.00</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 Data is based on the cumulative compensation reported by the lobbyist in its periodic reports.

| | | |
|--|---|----------------------------|
| Verizon Corporate Resources Group LLC | Bolton-St. Johns, LLC | \$90,000.00 |
| | Martin J. McLaughlin Communications, Inc. | \$99,999.99 |
| | National Strategies, LLC | \$88,000.00 |
| | Tonio Burgos & Associates, Inc. | \$135,000.00 |
| | | <u>\$412,999.96</u> |
| Spectra Energy Corp | CDD Strategies, LLC | \$180,000.00 |
| | TLM Associates LLC | <u>\$230,000.00</u> |
| | | <u>\$410,000.00</u> |

TOP CLIENTS OF 2013 BY RETAINED LOBBYING FIRMS¹⁸

| <u>Client</u> | <u># of Firms Retained</u> |
|--|-----------------------------------|
| MSG Holdings, L.P. | 6 |
| SL Green Realty Corp. | 6 |
| Altria Client Services, Inc. | 5 |
| Atlantic Yards Development Company, LLC. | 5 |
| Major League Soccer, L.L.C. | 5 |
| BFC Partners, L.P. | 4 |
| CFG Stadium Group LLC | 4 |
| Coca-Cola Refreshments USA, Inc. | 4 |
| CSC Holdings LLC | 4 |
| The Rector, Church-Wardens and Vestrymen of Trinity Church | 4 |
| Triangle Equities Development Company, LLC | 4 |
| Two Trees Management Co., LLC | 4 |

¹⁸ Data is based on statements of registration filed by lobbyists and 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 2013
(COMPENSATION PAID¹⁹ TO ONE LOBBYING FIRM)²⁰

| <u>Client</u> | <u>Lobbyist</u> | <u>Compensation</u> |
|--|--|----------------------------|
| Albee Development LLC | Washington Square Partners, Inc. | \$1,156,000.00 |
| Waterview at Greenpoint LLC | Greenberg Traurig, LLP | \$600,000.00 |
| Halletts A Development Co., LLC | Cozen O'Connor | \$577,727.00 |
| Major League Soccer, L.L.C. | HR&A Advisors, Inc. | \$453,222.50 |
| 5 Bay Street, LLC | Cozen O'Connor | \$440,933.80 |
| 525 West 52nd St. Dev. LLC | Kramer Levin Naftalis & Frankel LLP | \$353,294.00 |
| TF Cornerstone Inc. | Fried, Frank, Harris, Shriver & Jacobson LLP | \$345,047.00 |
| Flushing Management LLC | Herrick, Feinstein LLP | \$300,245.50 |
| 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 paid to outside lobbying firms.

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

TOP LOBBYISTS OF 2013 BY NUMBER OF EMPLOYEES²¹

| <u>Lobbyist</u> | <u># of Employees</u> |
|--|------------------------------|
| Wilson, Elser, Moskowitz, Edelman & Dicker LLP | 21 |
| Bryan Cave LLP | 17 |
| Bolton-St. Johns, LLC | 14 |
| Greenberg Traurig, LLP | 14 |
| Kramer Levin Naftalis & Frankel LLP | 14 |
| Pitta Bishop Del Giorno & Giblin LLC | 14 |
| Sheldon Lobel, P.C. | 14 |
| Akerman Senterfitt LLP | 12 |
| Fried, Frank, Harris, Shriver & Jacobson LLP | 12 |
| Constantinople & Vallone Consulting LLC | 11 |
| Park Strategies, LLC | 11 |

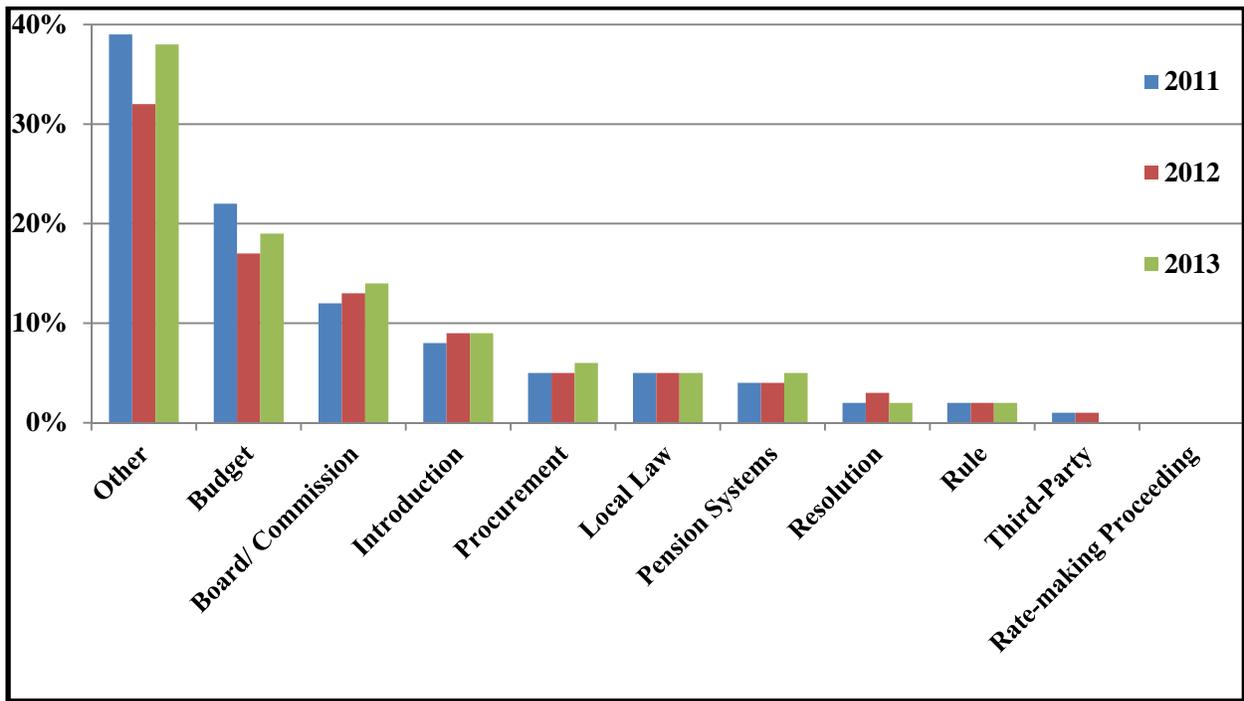
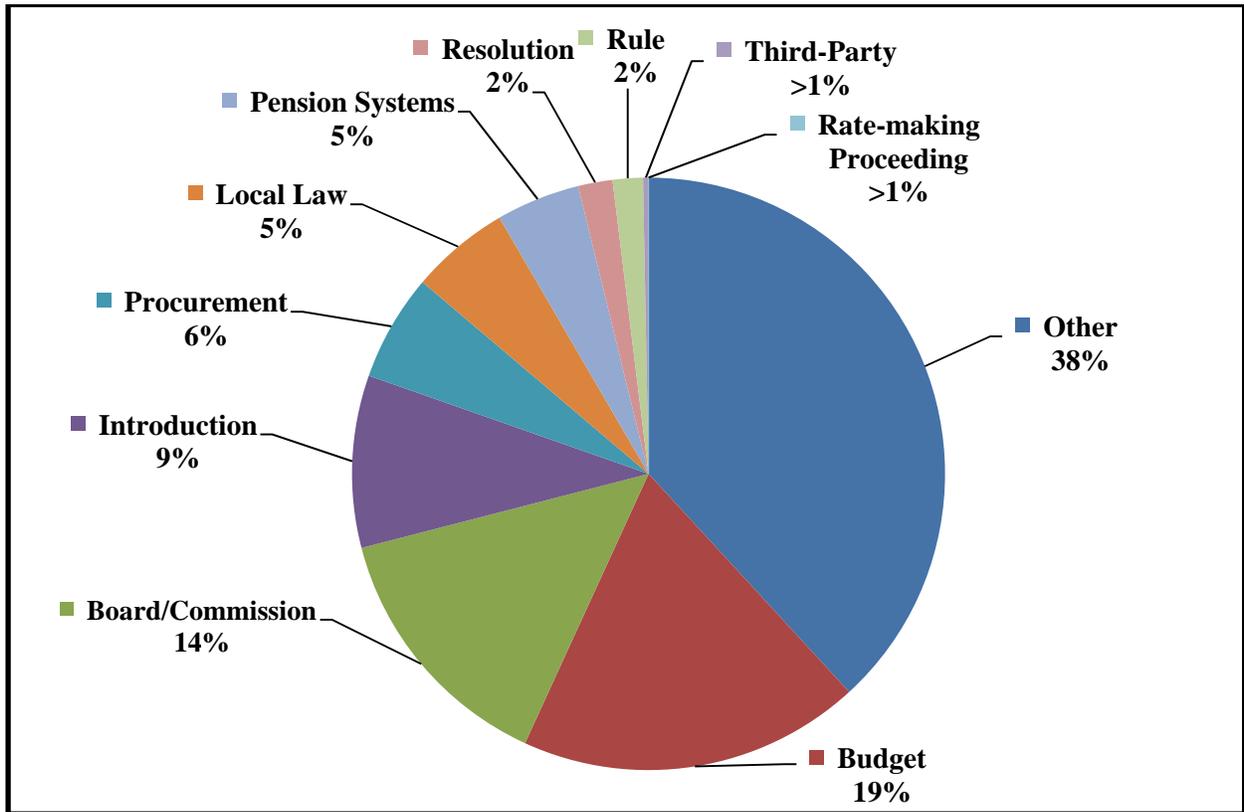
²¹ Data is based on employees listed on the statements of registration filed by lobbyists.

TOP LOBBYIST/CLIENT FILERS OF 2013 BY NUMBER OF EMPLOYEES²²

| <u>Lobbyist</u> | <u># of Employees</u> |
|--|------------------------------|
| Urban Justice Center | 49 |
| New York Communities For Change, Inc. | 46 |
| Make the Road New York | 43 |
| United Federation of Teachers | 38 |
| Jewish Association for Services for the Aged | 37 |
| Consolidated Edison, Inc. | 33 |
| CAMBA, Inc. | 32 |
| Legal Services NYC | 24 |
| New York Civil Liberties Union, Inc. | 22 |
| Center for Constitutional Rights, Inc. | 21 |
| The Related Companies, LP | 21 |

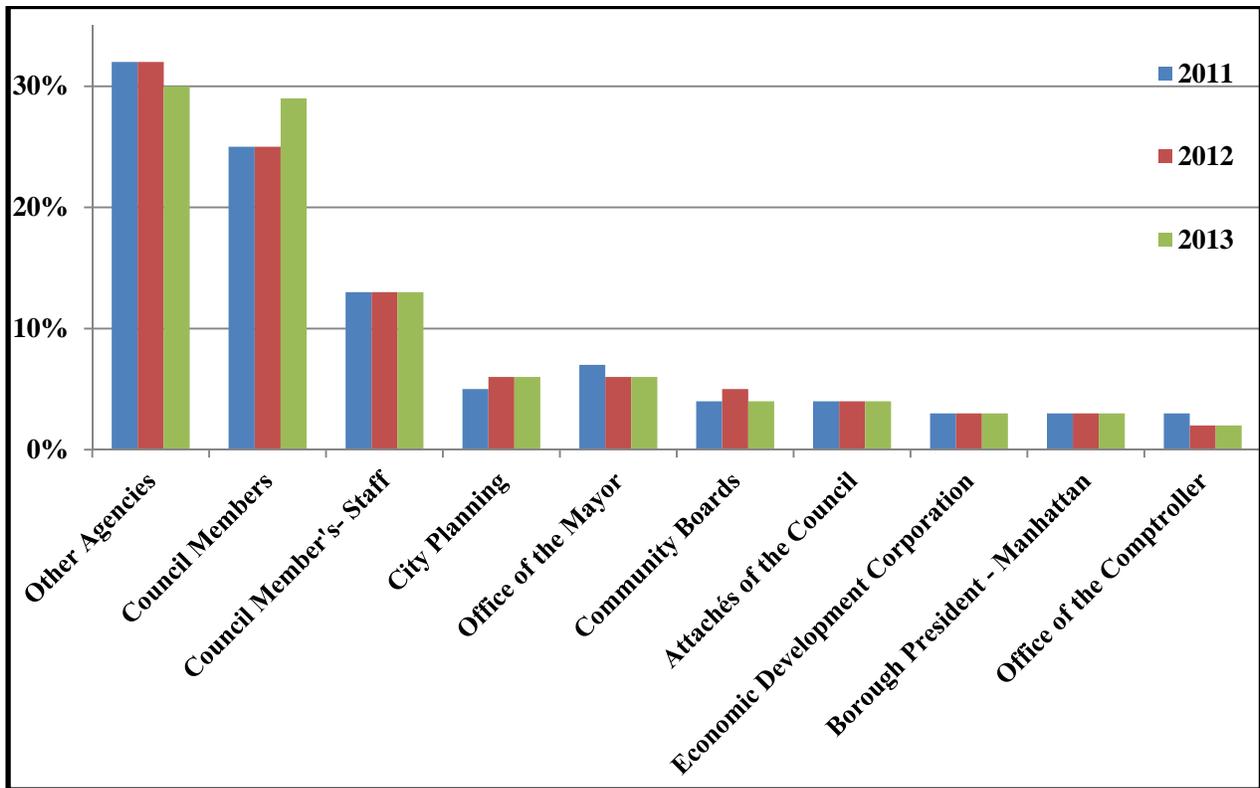
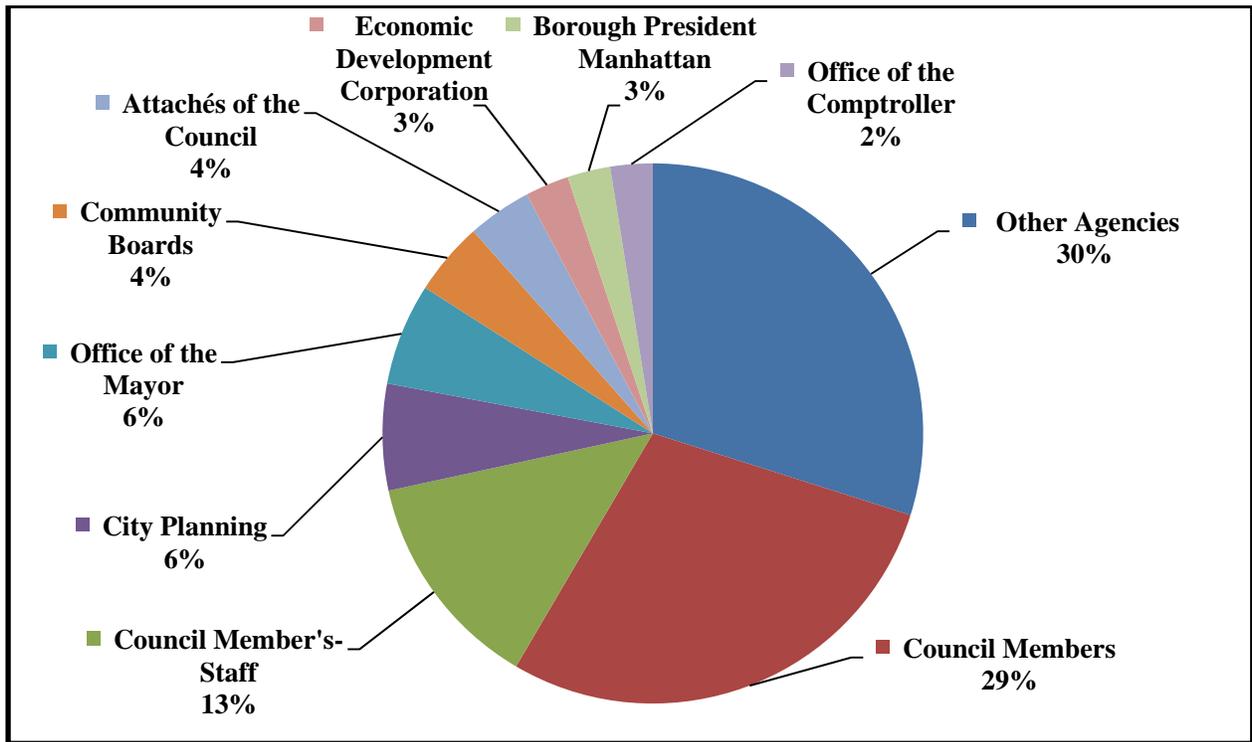
²² Data is based on employees listed on the statements of registration filed by lobbyists.

DISTRIBUTION OF SUBJECT CATEGORIES REPORTED IN 2013²¹



²¹ Data is based on the subject category reported on all periodic reports filed by lobbyists and lobbyist/client filers.

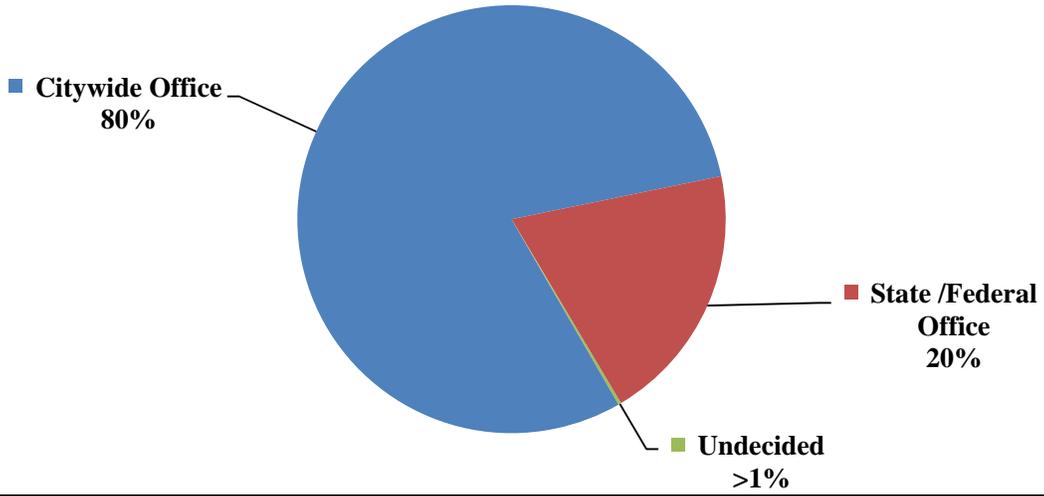
TOP TARGETS REPORTED IN 2013²²



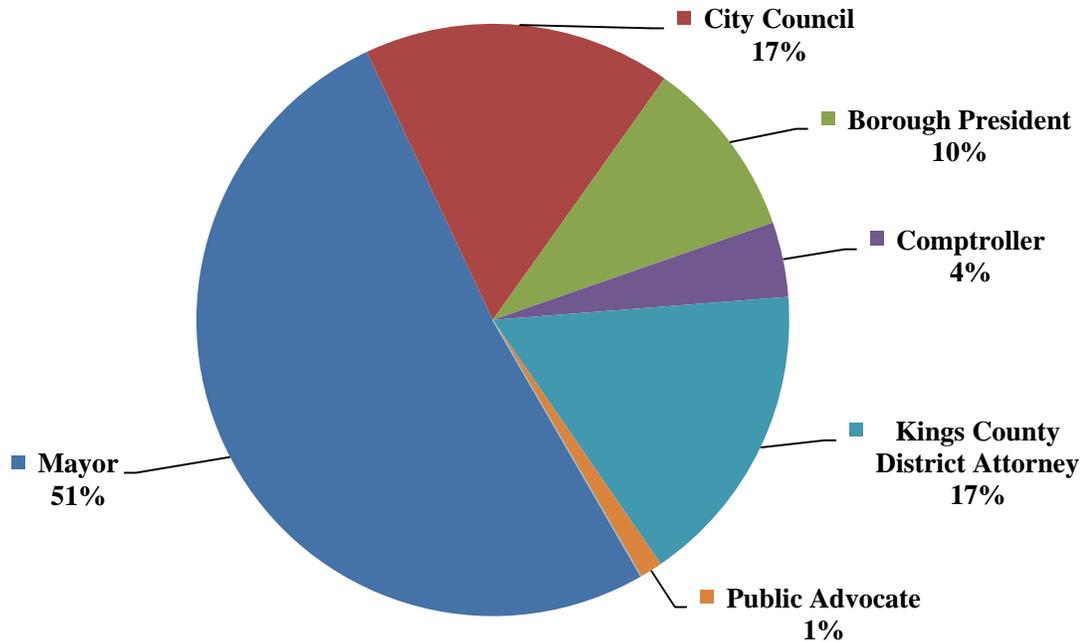
²² Data is based on target agency reported on all periodic reports filed by lobbyists and lobbyist/client filers.

ANALYSIS OF FUNDRAISING REPORTS

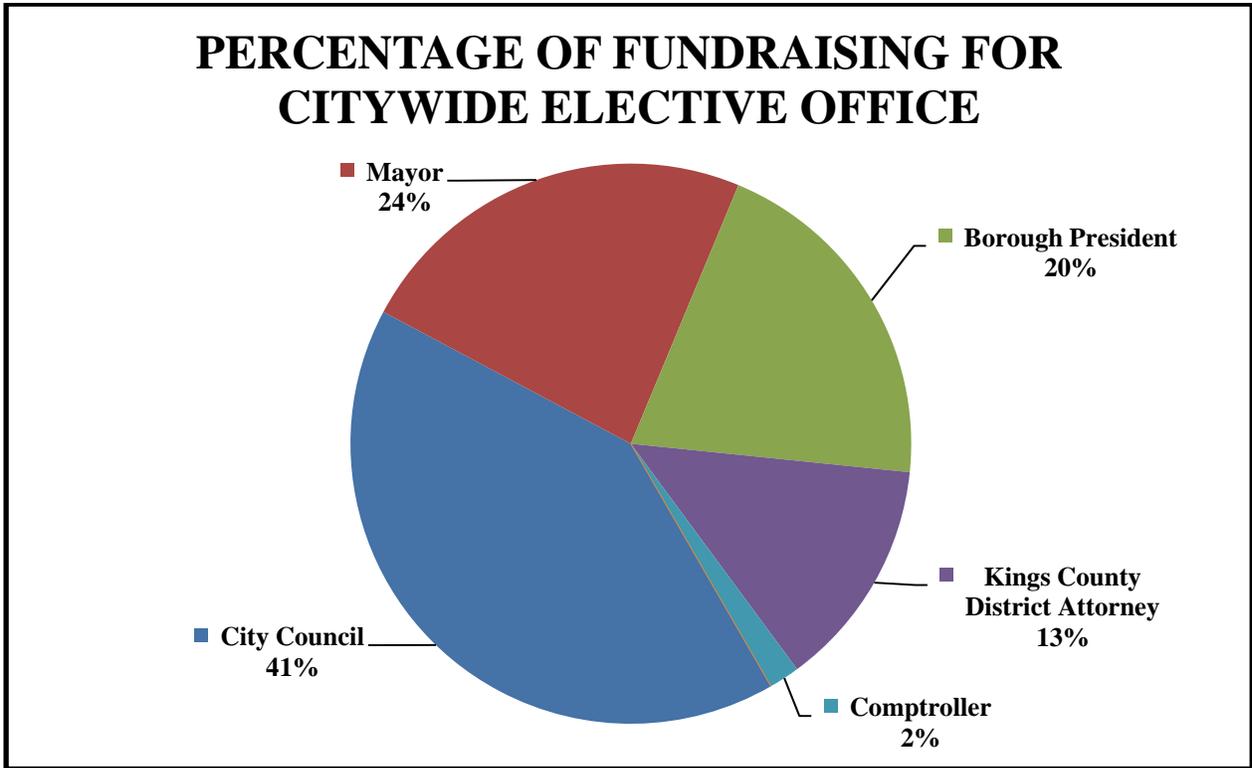
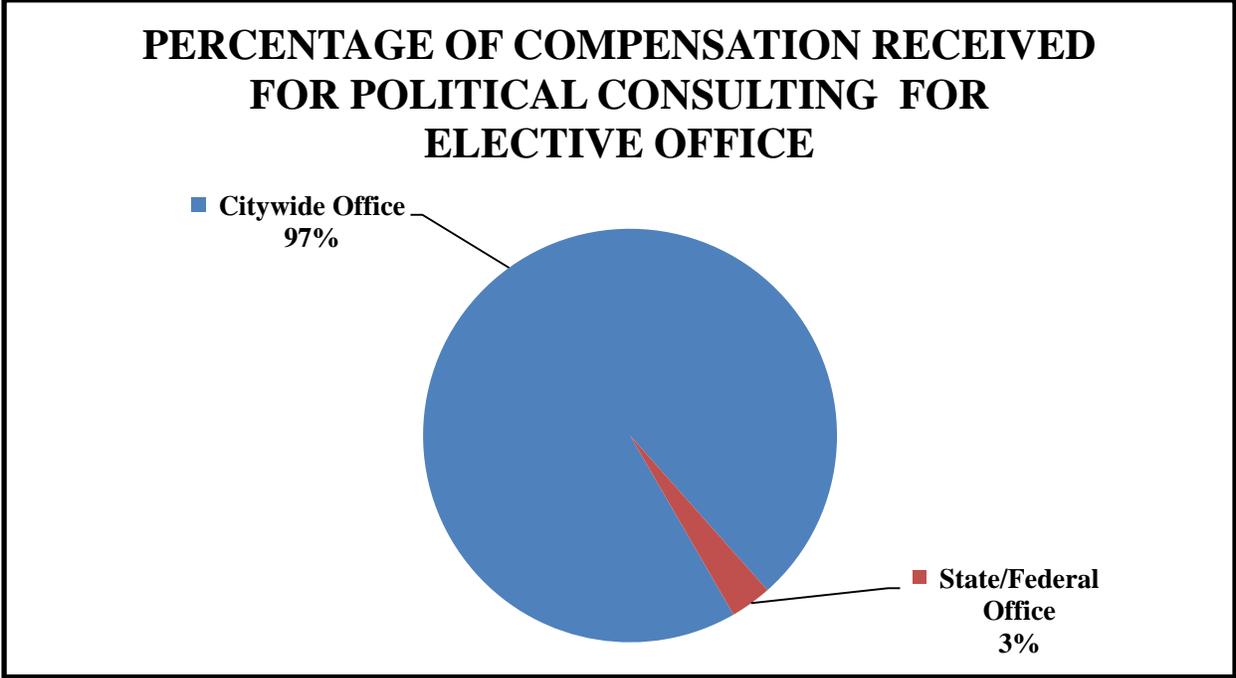
PERCENTAGE OF FUNDRAISING FOR ELECTIVE OFFICE



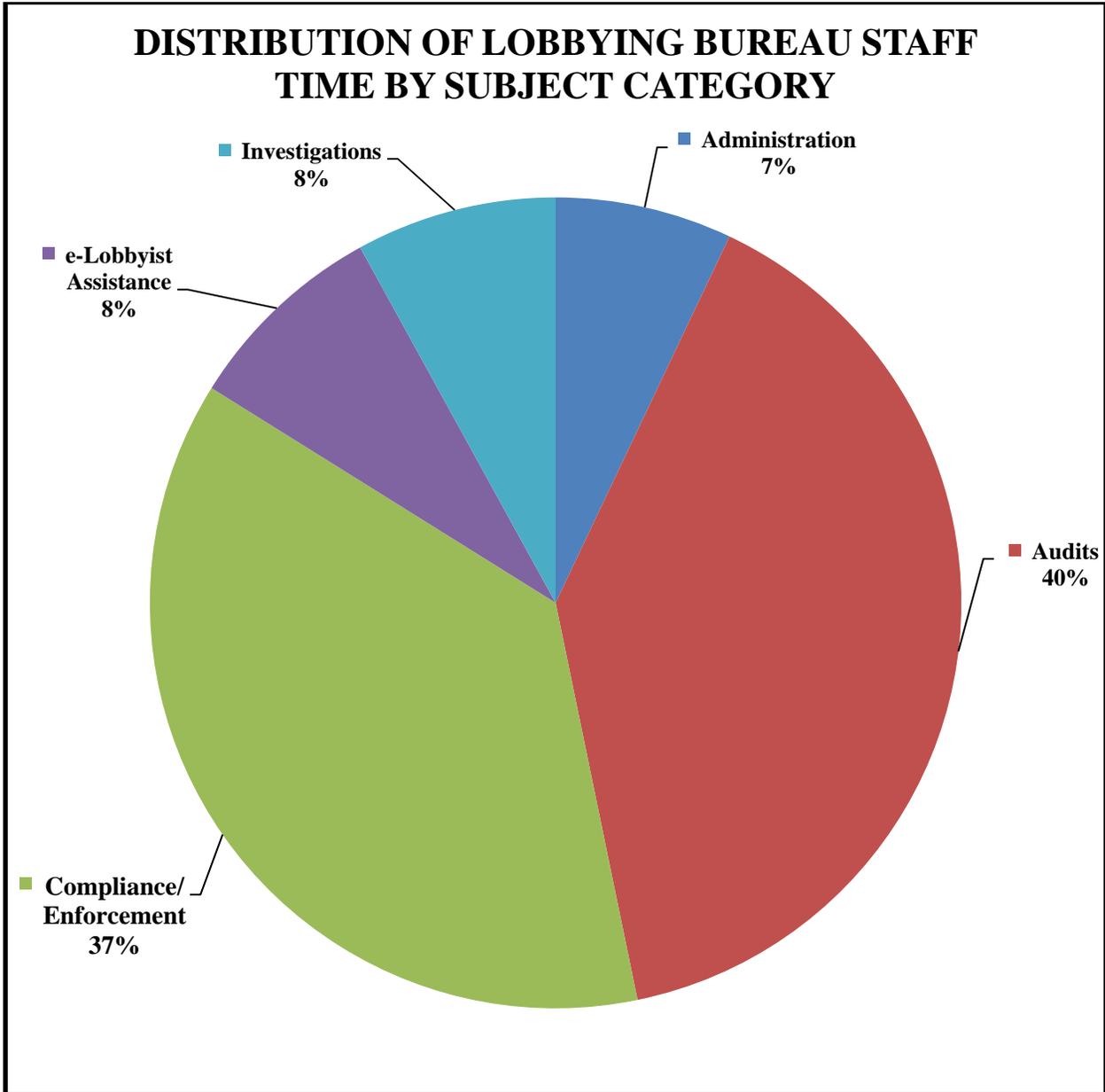
PERCENTAGE OF FUNDRAISING FOR CITYWIDE ELECTIVE OFFICE



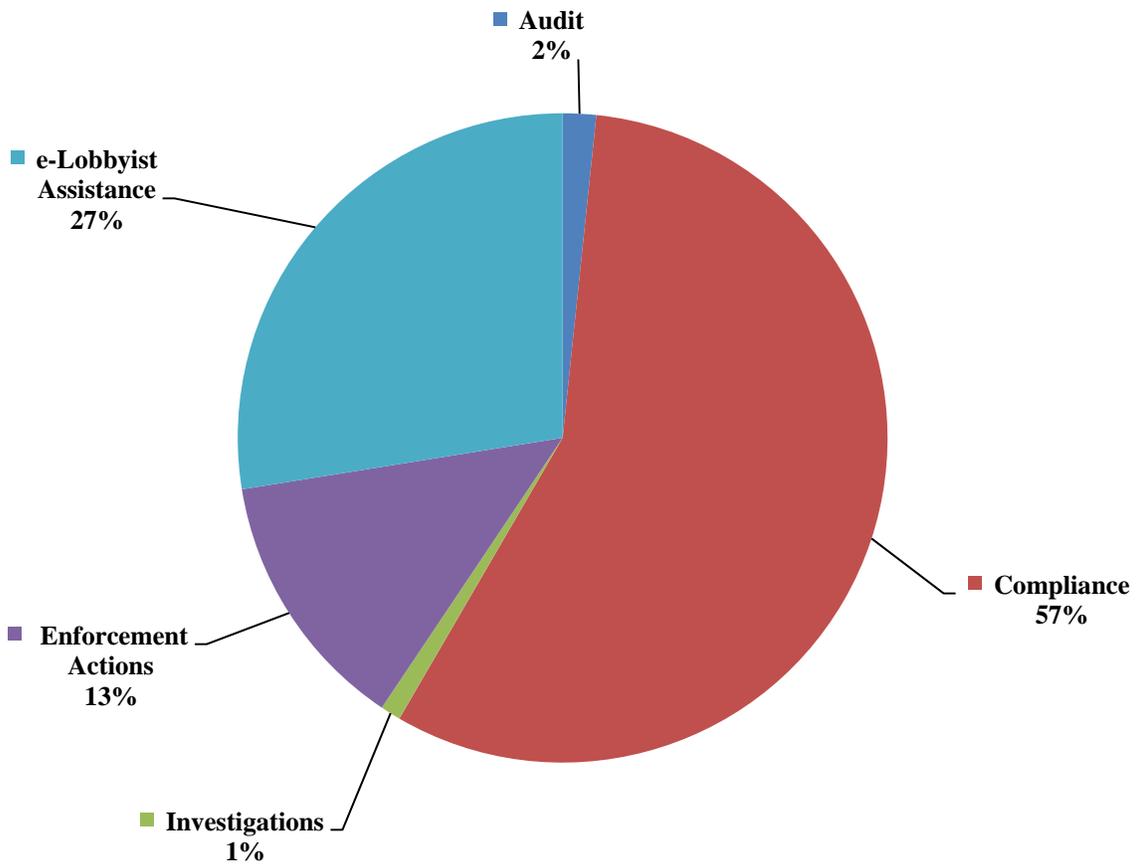
ANALYSIS OF POLITICAL CONSULTING REPORTS



ANALYSIS OF LOBBYING BUREAU STAFF TIME



DISTRIBUTION OF EMAIL REQUESTS BY SUBJECT CATEGORY



| <u>Subject Category</u> | <u>Numbers of Emails</u> |
|-------------------------|--------------------------|
| Compliance | 616 |
| e-Lobbyist Assistance | 299 |
| Enforcement Actions | 142 |
| Audits | 18 |
| Investigations | 11 |
| Total | <u>1086</u> |

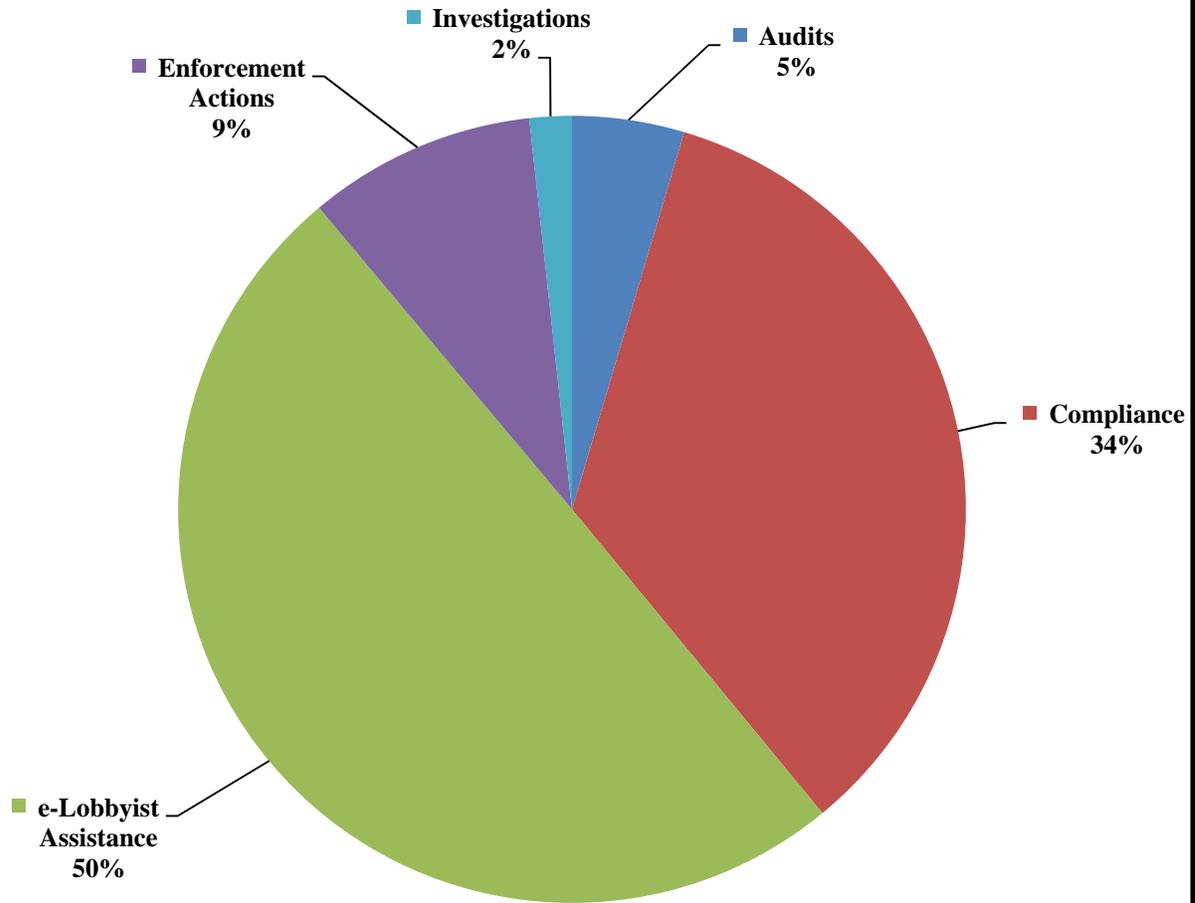
DISTRIBUTION OF EMAILS BY SUB-CATEGORY

| <u>Compliance</u> | <u>Number of Emails</u> |
|--|--------------------------------|
| Compliance - Filing issues pertaining to the contents of a specific filing | 298 |
| Compliance - Administrative | 107 |
| Compliance - Inquiries regarding the requirements of the Lobbying Law | 68 |
| Compliance - Extension Request | 63 |
| Compliance - Outreach/Training | 47 |
| Compliance - Other | 33 |
| Total: | <u>616</u> |

| <u>e-Lobbyist Assistance</u> | <u>Number of Emails</u> |
|---|--------------------------------|
| e-Lobbyist - Change in Principal Officer | 94 |
| e-Lobbyist - Filing Assistance with a specific filing | 80 |
| e-Lobbyist - Enrollment Issue | 43 |
| e-Lobbyist - Other | 31 |
| e-Lobbyist - Log-in Issues | 23 |
| e-Lobbyist - Error Message | 15 |
| e-Lobbyist - General Inquiries | 13 |
| Total: | <u>299</u> |

| <u>Enforcement Actions</u> | <u>Number of Emails</u> |
|-----------------------------------|--------------------------------|
| Enforcement - Notice to Cure | 53 |
| Enforcement - OATH Petition | 39 |
| Enforcement - Late Filing Penalty | 29 |
| Enforcement - Other | 21 |
| Total: | <u>142</u> |

DISTRIBUTION OF TELEPHONE INQUIRIES BY SUBJECT CATEGORY



| <u>Subject Category</u> | <u>Number of Telephone Calls</u> |
|-------------------------|----------------------------------|
| e-Lobbyist Assistance | 575 |
| Compliance | 397 |
| Enforcement Actions | 108 |
| Audits | 53 |
| Investigations | 20 |
| Total | <u>1153</u> |

DISTRIBUTION OF TELEPHONE CALLS BY SUB-CATEGORY

| <u>Compliance</u> | <u>Number of Calls</u> |
|--|-------------------------------|
| Compliance - Inquiries regarding the requirements of the Lobbying Law | 249 |
| Compliance - Filing issues pertaining to the contents of a specific filing | 70 |
| Compliance - Other | 55 |
| Compliance - Administrative | 16 |
| Compliance - Extension Request | 4 |
| Compliance - Outreach/Training | 3 |
| Total | <u>397</u> |

| <u>e-Lobbyist Assistance</u> | <u>Number of Calls</u> |
|---|-------------------------------|
| e-Lobbyist - Filing Assistance with a specific filing | 413 |
| e-Lobbyist - Enrollment Issues | 58 |
| e-Lobbyist - Log-in Issues | 39 |
| e-Lobbyist - Change in Principal Officer | 25 |
| e-Lobbyist - General Inquiries | 21 |
| e-Lobbyist - Other | 19 |
| e-Lobbyist - Error Message | 0 |
| Total | <u>575</u> |

| <u>Enforcement Actions</u> | <u>Number of Calls</u> |
|-----------------------------------|-------------------------------|
| Enforcement - Notice to Cure | 47 |
| Enforcement - Late Filing Penalty | 29 |
| Enforcement - OATH Petition | 24 |
| Enforcement - Other | 8 |
| Total | <u>108</u> |

APPENDIX A

LATE FILING PENALTIES: LOBBYIST 2012 SIXTH PERIODIC/ANNUAL REPORT

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|--|---------------------------|
| Adam Powell | \$25.00 |
| American Cancer Society, Eastern Division, Inc. | \$25.00 |
| Archie H. Spigner | \$75.00 |
| Brooklyn Bridge Park Conservancy, Inc. | \$25.00 |
| Brooklyn Public Library | \$75.00 |
| Cozen O'Connor | \$300.00 |
| Cozen O'Connor Public Strategies, LLC | \$225.00 |
| COFCCA, Inc. | \$75.00 |
| District Council 37 | \$25.00 |
| Empire Government Strategies | \$25.00 |
| Herrick, Feinstein LLP | \$150.00 |
| Hudson Eagle LLC | \$25.00 |
| JGM Consulting | \$25.00 |
| Law Offices of Marvin B. Mitzner | \$100.00 |
| Major League Soccer, L.L.C. | \$75.00 |
| New York Taxi Workers Alliance, Inc. | \$500.00 |
| Norman Levy, P.C. | \$75.00 |
| Pesetsky and Bookman | \$25.00 |
| Schnur Associates Inc. | \$75.00 |
| Sheinkopf LTD. | \$125.00 |
| Stroock & Stroock & Lavan LLP | \$25.00 |
| Structured Employment Economic Development Corp. | \$25.00 |
| The Humane Society of the United States | \$25.00 |
| The Women's Housing and Economic Development Corporation | \$25.00 |
| York Group Associates LLC | <u>\$25.00</u> |
| TOTAL | <u>\$ 2,175.00</u> |

APPENDIX B

LATE FILING PENALTIES: 2012 CLIENT ANNUAL REPORT

| <u>Client Entity Name</u> | <u>Total</u> |
|---|--------------|
| 39 Emerald St. LLC | \$150.00 |
| 117th Street Equities LLC | \$10.00 |
| 174 Mott Group LLC | \$150.00 |
| 215 Chrystie LLC | \$300.00 |
| 361 Broadway Associates, LLC | \$10.00 |
| 375 Pleasant Inc. | \$300.00 |
| Academy Services, Inc. | \$150.00 |
| AM Property Holding II Corp. | \$150.00 |
| American Airlines, Inc. | \$150.00 |
| American Cancer Society, Eastern Division, Inc. | \$150.00 |
| American Chemistry Council, Inc. | \$25.00 |
| Atlantis Management Group II LLC | \$150.00 |
| Avant Guards Manufacturing Inc. | \$150.00 |
| BingHua Tsang | \$300.00 |
| Bossert LLC | \$10.00 |
| Boston Properties Limited Partnership | \$10.00 |
| Broadway Housing Communities, Inc. | \$75.00 |
| Broadway Stages, Ltd | \$300.00 |
| Brookfield Financial Properties LLC | \$300.00 |
| Brooklyn Bridge Park Conservancy, Inc. | \$25.00 |
| Brooklyn Children's Museum | \$25.00 |
| Brooklyn Public Library | \$75.00 |
| Casabe Housing Development Fund Company Inc. | \$300.00 |
| Catapult Learning, LLC | \$25.00 |
| China Institute in America Incorporated | \$150.00 |
| Chrysler Group Realty Company LLC | \$25.00 |
| CityScan Inc. | \$150.00 |
| Clipper Equity LLC | \$25.00 |
| Columbus Square Management LLC | \$20.00 |
| Community First Services, Inc. | \$25.00 |
| Comunilife, Inc. | \$75.00 |
| Cooper and 6th Property LLC | \$150.00 |
| Cornell & Company, Inc. | \$20.00 |
| CSC Holdings, Inc. | \$150.00 |
| Delshah Capital, LLC | \$25.00 |
| Demand Pooling Global Services, LLC | \$25.00 |
| Disco Sushi Inc. | \$150.00 |
| Downtown Brooklyn Partnership, Inc. | \$150.00 |
| Downtown Re Holdings, LLC | \$25.00 |
| Dunkin' Brands, Inc. | \$25.00 |

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|---|----------|
| Dyntek Services, Inc. | \$150.00 |
| EBNB 70 Pine Owner LLC | \$150.00 |
| Elmy's Special Services, Inc. | \$300.00 |
| Entergy Nuclear Operations Inc. | \$75.00 |
| Enterprise Holdings, Inc. | \$300.00 |
| Exxon Mobil Corporation | \$150.00 |
| Faruqi & Faruqi, LLP | \$20.00 |
| Fleet Center, Inc. | \$300.00 |
| Forty Seventh Fifth Company LLC | \$150.00 |
| G & M Realty L.P. | \$150.00 |
| GAP VI Properties, LLC | \$150.00 |
| GHc Development LLC | \$300.00 |
| Greenpoint Industrial Center, Inc. | \$150.00 |
| GRIOT Circle, Inc. | \$300.00 |
| HANAC, Inc. | \$300.00 |
| Harlem Renaissance 2012 LLC | \$10.00 |
| HealthPass | \$300.00 |
| Healthy Brand Oil Corp. | \$150.00 |
| Hornblower Cruises & Events | \$25.00 |
| Hudson-Spring Partners, L.P. | \$150.00 |
| Human Services Council of New York | \$25.00 |
| Institute of Scrap Recycling Industries Inc. | \$20.00 |
| Isabella Geriatric Center, Inc. | \$10.00 |
| Jay Wartski | \$300.00 |
| JBH Environmental Inc | \$25.00 |
| JC Dwight Inc. | \$25.00 |
| JMP Ventures, LLC | \$25.00 |
| JRK Investors Inc. | \$150.00 |
| Kenmare Square LLC | \$150.00 |
| Kolel Beth Yechiel Mechil of Tartikov, Inc. | \$300.00 |
| Korean Community Services of Metropolitan New York, Inc. | \$25.00 |
| LDV 16 LLC | \$20.00 |
| Lillo Brothers Holding Corp. | \$150.00 |
| Livestream LLC | \$150.00 |
| Local 205 Community and Social Agency District Council 1707 | \$25.00 |
| Local 32BJ SEIU | \$25.00 |
| Local 376 AFSCME | \$25.00 |
| Local 420 AFSCME AFL-CIO | \$300.00 |
| Major League Soccer, L.L.C. | \$75.00 |
| Man-Dell Food Stores, Inc. | \$10.00 |
| Manhattan Telecommunications Corporation | \$25.00 |
| Marine Park Seaside Links, LLC | \$25.00 |
| Masterpiece US, Inc. | \$25.00 |
| Meadow Park Rehabilitation and Health Care Center, LLC | \$25.00 |
| Mehta Family II LLC | \$20.00 |
| Melohn Properties, Inc. | \$25.00 |

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| Merkos L'inyonei Chinuch | \$150.00 |
| Metropolitan Arts & Antiques Pavilion LTD | \$25.00 |
| Metropolitan Realty Group, LLC | \$300.00 |
| Mobile Commons, Inc. | \$300.00 |
| Monster Energy Company | \$150.00 |
| Moshe Lax | \$150.00 |
| Nakash Holding LLC | \$300.00 |
| National Media Services, Inc. | \$300.00 |
| NBC Universal, Inc. | \$150.00 |
| New York Nightlife Association, Inc. | \$25.00 |
| New York Restoration Project (NYRP) | \$150.00 |
| New York State Trial Lawyers Association, Inc. | \$25.00 |
| Northside Center for Child Development, Inc. | \$150.00 |
| NPE Holdings LLC | \$150.00 |
| NRG Energy, Inc. | \$300.00 |
| ODA Primary Health Care Center | \$150.00 |
| Orchard Retail Owner LLC | \$25.00 |
| Park 121 Realty LLC | \$500.00 |
| Park Street Ventures LLC | \$150.00 |
| Parsons Transportation Group Inc. | \$300.00 |
| Pennoni Engineering & Surveying of New York P.C. | \$75.00 |
| PepsiCo, Inc. | \$25.00 |
| Pioneer Parking LLC | \$10.00 |
| Plasco Energy Group Inc. | \$75.00 |
| Point Wrecking and Salvage Corp. | \$150.00 |
| Pomerantz Haudek Black & Grossman LLP | \$300.00 |
| Pratt Holdings (USA), Inc. | \$25.00 |
| Proskauer Rose LLP | \$75.00 |
| QT Soho Realty LLC | \$25.00 |
| Red Apple Group, Inc. | \$150.00 |
| Redflex Traffic Systems, Inc. | \$75.00 |
| Residents For Sane Trash Solutions Inc. | \$150.00 |
| Risingsam Staten Island LLC | \$150.00 |
| Rocket Learning Partners, LLC | \$150.00 |
| Rolls Elevator | \$150.00 |
| Second Development Services, Inc. | \$300.00 |
| Shikibo Ltd. | \$150.00 |
| Social Service Employees Union Local 371, AFSCME,AFL-CIO | \$75.00 |
| SOHO AOA Owner, LLC | \$500.00 |
| Statue Cruises, LLC | \$10.00 |
| SVAM International Inc. | \$150.00 |
| Teachers College, Columbia University | \$150.00 |
| Teamsters Local 237 | \$25.00 |
| The Brotherhood/Sister Sol Inc | \$25.00 |
| The Crenulated Company, Ltd. | \$300.00 |
| The Lightstone Group, LLC | \$25.00 |

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| The Lower Eastside Girls Club of New York, Inc. | \$300.00 |
| Tiffany and Company | \$150.00 |
| Tile, Marble & Terrazzo BAC Union Local 7 PAC Fund | \$20.00 |
| Underground Utilities, Inc. | \$150.00 |
| United Ambulette Coalition, Inc. | \$300.00 |
| Urban Strategic Partners, LLC | \$25.00 |
| Vantage Properties, LLC | \$300.00 |
| Varsity Bus Co., Inc. | \$300.00 |
| Visiting Nurse Service of New York | \$25.00 |
| WB Stellar IP Owner, LLC | \$300.00 |
| WeRecycle LLC | \$25.00 |
| Youngwoo & Associates LLC | <u>\$150.00</u> |
| TOTAL | <u>\$ 19,130.00</u> |

APPENDIX C

LATE FILING PENALTIES: LOBBYIST 2013 STATEMENTS OF REGISTRATION

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|---|---------------------|
| AARP | \$150.00 |
| Adam Powell | \$150.00 |
| American Heart Association, Inc. | \$300.00 |
| Apollo Management Holdings, L.P. | \$300.00 |
| Archie H. Spigner | \$25.00 |
| Association of Legal Aid Attorneys UAW 2325 | \$300.00 |
| BC Partners, Inc. | \$25.00 |
| Betsy Gotbaum Associates LLC | \$300.00 |
| BJH Advisors, LLC. | \$150.00 |
| Bloom Energy Corporation | \$25.00 |
| BlueMountain Capital Management, LLC. | \$300.00 |
| Brendan Sexton | \$300.00 |
| Brigade Capital Management, LLC | \$300.00 |
| Brooklyn Bridge Park Conservancy, Inc. | \$150.00 |
| Brown & Weinraub, PLLC | \$25.00 |
| Carl Weisbrod | \$25.00 |
| Center For Children's Initiatives, Inc. | \$300.00 |
| Chamber of Commerce Borough of Queens | \$500.00 |
| Cinven Partners LLP | \$75.00 |
| Coalition of Behavioral Health Agencies, Inc. | \$300.00 |
| Community Housing Improvement Program, Inc. | \$300.00 |
| Contrarian Capital Management, L.L.C. | \$1,000.00 |
| Cornell University | \$150.00 |
| Cozen O'Connor | \$425.00 |
| Cozen O'Connor Public Strategies, LLC | \$150.00 |
| Craton Equity Partners LLC | \$300.00 |
| DCI Group AZ, LLC | \$75.00 |
| Diamond Hill Capital Management, Inc. | \$300.00 |
| Encher Consulting, LLC | \$20.00 |
| Eric Palatnik, P.C. | \$300.00 |
| Extell Development Company | \$150.00 |
| Federation of Protestant Welfare Agencies, Inc. | \$150.00 |
| Feingold O'Keeffe Capital, LLC | \$25.00 |
| Fordham University | \$25.00 |
| Forum Strategies & Communications, LLC | \$75.00 |
| Friedman & Gotbaum LLP | \$75.00 |
| FS Capital Partners VI, LLC | \$300.00 |
| Gleacher Mezzanine Fund II, LP | \$300.00 |
| Goddard Global, LLC | \$300.00 |
| Goldman Sachs Asset Management, L.P. | \$150.00 |

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|---|------------|
| Goldman, Sachs & Co. | \$150.00 |
| Google, Inc. | \$25.00 |
| Greenberg Traurig, LLP | \$1,025.00 |
| Hotel, Restaurant & Club Employees & Bartenders Union Local 6 | \$300.00 |
| HR&A Advisors, Inc. | \$50.00 |
| inMotion, Inc. | \$150.00 |
| Inter-Agency Council of Mental Retardation and Developmental Disabilities Agencies, Inc. | \$300.00 |
| Invesco Advisors, Inc. | \$300.00 |
| Iridian Asset Management LLC | \$300.00 |
| James F. Capalino & Associates, Inc. | \$50.00 |
| JEM Associates NY, LLC | \$100.00 |
| Jewish Community Council of Greater Coney Island, Inc. | \$150.00 |
| JLO Consultant, Inc. | \$300.00 |
| Kainos Capital LLC | \$75.00 |
| Kramer Levin Naftalis & Frankel LLP | \$775.00 |
| Legal Action Center of the City of New York, Inc. | \$300.00 |
| Lesbian and Gay Community Services Center, Inc | \$300.00 |
| Lighthouse International | \$25.00 |
| Lutheran Medical Center | \$600.00 |
| Major League Soccer, L.L.C. | \$75.00 |
| MAST Capital Management, LLC | \$300.00 |
| Mercury Public Affairs, LLC | \$25.00 |
| Millennium Management LLC | \$300.00 |
| Miram Group LLC | \$50.00 |
| Montgomery, McCracken, Walker & Rhoads, LLP | \$25.00 |
| Moorfield Group Limited | \$25.00 |
| Municipal Art Society of New York | \$300.00 |
| National Association of Tobacco Outlets, Inc. | \$300.00 |
| National Railroad Passenger Corporation (Amtrak) | \$75.00 |
| New York Association of Convenience Stores, Inc. | \$25.00 |
| New York City Central Labor Council, AFL-CIO | \$300.00 |
| New York Hotel and Motel Trades Council AFL-CIO | \$300.00 |
| New York Lawyers for the Public Interest, Inc. | \$25.00 |
| New York State Nurses Association | \$25.00 |
| New York State Tenant and Neighborhood Coalition, Inc. | \$25.00 |
| New York State Trial Lawyers Association, Inc. | \$25.00 |
| New York Taxi Workers Alliance, Inc. | \$500.00 |
| New York University | \$150.00 |
| New Yorkers for Clean Livable & Safe Streets Inc. | \$300.00 |
| Nicholas & Lence Communications LLC | \$25.00 |
| Nordic Capital VIII Limited | \$300.00 |
| Park Strategies, LLC | \$275.00 |
| Pesetsky and Bookman | \$300.00 |
| Picture the Homeless, Inc. | \$300.00 |
| Prologis, L.P. | \$300.00 |

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| QS Investors LLC | \$300.00 |
| R. Randy Lee, P.C. | \$600.00 |
| Safe Healthy Affordable Energy in New York, Inc. | \$150.00 |
| Safe Horizon, Inc. | \$300.00 |
| Sheldon Lobel, P.C. | \$500.00 |
| Sirefman Ventures, Inc. | \$1,000.00 |
| Slater & Beckerman, P.C. | \$300.00 |
| Solera Capital, LLC | \$300.00 |
| Starwood Capital, L.L.C. | \$300.00 |
| The Advance Group Inc. | \$200.00 |
| The Carey Group LLC | \$25.00 |
| The New York Academy of Medicine | \$300.00 |
| The New York Immigration Coalition | \$300.00 |
| The Parkside Group, LLC | \$25.00 |
| The Stember Group, LLC | \$300.00 |
| TLM Associate LLC | \$25.00 |
| United Federation of Teachers | \$25.00 |
| United Way of New York City | \$75.00 |
| Vaughn College of Aeronautics and Technology | \$300.00 |
| Village Care of New York, Inc. | \$300.00 |
| Violence Intervention Program, Inc. | \$25.00 |
| Vornado Realty L.P. | \$1,000.00 |
| Wachtel Masyr & Missry LLP | \$225.00 |
| Warshaw Burstein, LLP | \$25.00 |
| York Group Associates LLC | \$50.00 |
| Yoswein New York, Inc. | <u>\$25.00</u> |
| TOTAL | <u>\$25,470.00</u> |

APPENDIX D

**LATE FILING PENALTIES: LOBBYIST 2013 AMENDED STATEMENTS OF
REGISTRATION**

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|--------------------------------------|---------------------------|
| Bender Cantone Consulting, Inc. | \$150.00 |
| Civic Ventures Co. | \$300.00 |
| Davis Wright Tremaine LLP | \$300.00 |
| Driscoll Group Inc. | \$25.00 |
| Geto & de Milly Inc. | \$300.00 |
| Gotham Government Relations LLC | \$25.00 |
| James F. Capalino & Associates, Inc. | \$25.00 |
| JJMH Consulting LLC | \$25.00 |
| Mercury Public Affairs, LLC | \$525.00 |
| Mirram Group LLC | \$750.00 |
| National Strategies, LLC | \$175.00 |
| Nicholas & Lence Communications LLC | \$25.00 |
| Park Strategies, LLC | \$600.00 |
| Patrick B. Jenkins & Associates | \$300.00 |
| Sheinkopf Ltd. | \$300.00 |
| TLM Associates LLC | <u>\$150.00</u> |
| TOTAL | <u>\$ 3,975.00</u> |

APPENDIX E

LATE FILING PENALTIES: LOBBYIST 2013 FIRST PERIODIC REPORT

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|---|--------------|
| Adam Powell | \$300.00 |
| Agudath Israel of America | \$25.00 |
| Apollo Management Holdings, L.P. | \$150.00 |
| Archie H. Spigner | \$25.00 |
| AXA Real Estate Investment Managers US LLC | \$25.00 |
| Bard College | \$25.00 |
| Brendan Sexton | \$450.00 |
| Bronx River Alliance, Inc. | \$25.00 |
| Brooklyn Bridge Park Conservancy, Inc. | \$25.00 |
| Caesars Entertainment Operating Company, Inc. | \$25.00 |
| Carl Weisbrod | \$25.00 |
| Citizens Budget Commission, Inc. | \$25.00 |
| Coalition for the Homeless, Inc. | \$25.00 |
| COFCCA, Inc. | \$150.00 |
| Community Voices Heard, Inc. | \$25.00 |
| Contrarian Capital Management, L.L.C. | \$1,000.00 |
| Craton Equity Partners LLC | \$25.00 |
| Cynthia Dames Consulting, LLC | \$50.00 |
| DLJ Real Estate Capital Partners, LLC | \$150.00 |
| FS Capital Partners VI, LLC | \$25.00 |
| Gerber & Gerber, PLLC | \$25.00 |
| Habitat For Humanity New York City, Inc. | \$25.00 |
| HR&A Advisors, Inc. | \$25.00 |
| Inter-Agency Council of Mental Retardation and Developmental Disabilities Agencies, Inc. | \$25.00 |
| MinKwon Center for Community Action, Inc. | \$75.00 |
| Montgomery, McCracken, Walker & Rhoads, LLP | \$25.00 |
| NARAL Pro-Choice New York, Inc. | \$25.00 |
| National Employment Law Project Inc. | \$25.00 |
| New York Hall of Science | \$25.00 |
| New York Taxi Workers Alliance, Inc. | \$300.00 |
| Pesetsky and Bookman | \$25.00 |
| R. Randy Lee, P.C. | \$300.00 |
| Reach Out And Read Of Greater New York, Inc. | \$25.00 |
| Safe Horizon, Inc. | \$25.00 |
| Sheldon Lobel, P.C. | \$150.00 |
| Slater & Beckerman, P.C. | \$300.00 |
| Solera Capital, LLC | \$300.00 |
| Starwood Capital, L.L.C. | \$75.00 |
| The Advance Group Inc. | \$300.00 |

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|-------------------------------------|--------------------------|
| The Dryfoos Group, Inc. | \$125.00 |
| Tully Construction Co. Inc. | \$25.00 |
| Violence Intervention Program, Inc. | \$25.00 |
| Vornado Realty L.P. | \$1,000.00 |
| Wachtel Masyr & Missry LLP | <u>\$25.00</u> |
| TOTAL | <u>\$5,850.00</u> |

APPENDIX F

LATE FILING PENALTIES: LOBBYIST 2013 SECOND PERIODIC REPORT

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|--|--------------|
| American Securities LLC | \$25.00 |
| An Claidheamh Soluis, Inc. | \$25.00 |
| Archie H. Spigner | \$25.00 |
| AXA Private Equity US, LLC | \$25.00 |
| Bard College | \$25.00 |
| Betsy Gotbaum Associates LLC | \$25.00 |
| BlueMountain Capital Management, LLC | \$25.00 |
| Brendan Sexton | \$75.00 |
| Brooklyn Public Library | \$500.00 |
| Capstone Investment Advisors, LLC | \$25.00 |
| Chamber of Commerce Borough of Queens | \$300.00 |
| CIM Group, L.P. | \$25.00 |
| Citizens Union of the City of New York | \$25.00 |
| Community Voices Heard Power, Inc. | \$25.00 |
| Community Voices Heard, Inc. | \$25.00 |
| Contrarian Capital Management, L.L.C. | \$500.00 |
| Credit Suisse Asset Management LLC | \$25.00 |
| DLJ Real Estate Capital Partners, LLC | \$75.00 |
| Extell Development Company | \$25.00 |
| Greenberg Traurig, LLP | \$25.00 |
| Law Offices of Marvin B. Mitzner | \$25.00 |
| Major League Soccer, L.L.C. | \$150.00 |
| Man Investments, Inc. | \$150.00 |
| Metallic Lathers and Ironworkers Local 46 | \$25.00 |
| Montgomery, McCracken, Walker & Rhoads, LLP | \$25.00 |
| Morgan Creek Capital Management, LLC | \$25.00 |
| National Solid Wastes Management Association | \$25.00 |
| Neighborhood Housing Services of New York City, Inc. | \$25.00 |
| New York City Central Labor Council, AFL-CIO | \$25.00 |
| New York Communities For Change, Inc. | \$25.00 |
| New York Taxi Workers Alliance, Inc. | \$150.00 |
| Nordic Capital VIII Limited | \$300.00 |
| Pyramis Global Advisors Holding Corp | \$75.00 |
| Queens Community House, Inc. | \$25.00 |
| Queens Theatre in the Park, Inc. | \$75.00 |
| R. Randy Lee, P.C. | \$50.00 |
| Security Capital Research & Management Incorporation | \$25.00 |
| Sirefman Ventures, Inc. | \$1,000.00 |
| Staten Island Chamber of Commerce | \$25.00 |
| The Alliance for a Greater New York, Inc. | \$25.00 |

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|---|--------------------------|
| The Center for New York City Neighborhood, Inc. | \$25.00 |
| Trive Capital Management LLC | \$75.00 |
| U.S. Green Building Council, New York Chapter | \$25.00 |
| Vornado Realty L.P. | <u>\$500.00</u> |
| TOTAL | <u>\$4,700.00</u> |

APPENDIX G

LATE FILING PENALTIES: LOBBYIST 2013 THIRD PERIODIC REPORT

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|--|------------------------------|
| ANHD, Inc. | \$25.00 |
| AXA Private Equity US, LLC | \$25.00 |
| Brendan Sexton | \$225.00 |
| Brooklyn Public Library | \$300.00 |
| Brown & Weinraub, PLLC | \$75.00 |
| COFCCA, Inc. | \$25.00 |
| Community Voices Heard, Inc. | \$150.00 |
| Contrarian Capital Management, L.L.C. | \$500.00 |
| DLJ Real Estate Capital Partners, LLC | \$300.00 |
| Farley & Kessler, P.C. | \$25.00 |
| FS Capital Partners VI, LLC | \$25.00 |
| Greenberg Traurig, LLP | \$25.00 |
| Goddard Global, LLC | \$300.00 |
| James F. Capalino & Associates, Inc. | \$75.00 |
| JG Milestone Properties, LLC | \$25.00 |
| Local 32BJ SEIU | \$25.00 |
| Major League Soccer, L.L.C. | \$25.00 |
| Man Investments, Inc. | \$150.00 |
| MinKwon Center for Community Action, Inc. | \$25.00 |
| Montgomery, McCracken, Walker & Rhoads, LLP | \$25.00 |
| New York Association of Convenience Stores, Inc. | \$25.00 |
| New York Communities For Change, Inc. | \$25.00 |
| New York Taxi Workers Alliance, Inc. | \$75.00 |
| Phillips Nizer LLP | \$50.00 |
| Queens Theatre in the Park, Inc. | \$150.00 |
| Reckitt Benckiser Pharmaceuticals Inc. | \$25.00 |
| Sirefman Ventures, Inc. | \$500.00 |
| Solus Alternative Asset Management LP | \$25.00 |
| The Stember Group, LLC | \$300.00 |
| Urban Justice Center | \$25.00 |
| Violence Intervention Program, Inc. | \$25.00 |
| Vornado Realty L.P. | <u>\$300.00</u> |
| TOTAL | <u>\$3,875.00</u> |

APPENDIX H

LATE FILING PENALTIES: LOBBYIST 2013 FOURTH PERIODIC REPORT

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|---|----------------|
| Alinda Capital Partners LLC | \$25.00 |
| American Securities LLC | \$25.00 |
| An Claidheamh Soluis, Inc. | \$25.00 |
| Archie H. Spigner | \$150.00 |
| AXA Private Equity US, LLC | \$25.00 |
| Brendan Sexton | \$225.00 |
| Brooklyn Public Library | \$25.00 |
| Chamber of Commerce Borough of Queens | \$25.00 |
| Coalition of Behavioral Health Agencies, Inc. | \$25.00 |
| COFCCA, Inc. | \$25.00 |
| Contrarian Capital Management, L.L.C. | \$150.00 |
| Cozen O'Connor | \$25.00 |
| Cynthia Dames Consulting, LLC | \$175.00 |
| Diamond Hill Capital Management, Inc. | \$300.00 |
| Greenberg Traurig, LLP | \$25.00 |
| Goldman Harris LLC | \$25.00 |
| Hotel, Restaurant & Club Employees & Bartenders Union Local 6 | \$75.00 |
| James F. Capalino & Associates, Inc. | \$75.00 |
| Joint Council No 16 International Brotherhood of Teamsters | \$25.00 |
| Law Offices of Marvin B. Mitzner | \$125.00 |
| Lighthouse International | \$25.00 |
| National Association of Social Workers-New York City Chapter | \$25.00 |
| New York Historical Society | \$25.00 |
| New York Hotel and Motel Trades Council AFL-CIO | \$75.00 |
| New Yorkers for Clean Livable & Safe Streets Inc. | \$25.00 |
| Partners Group (USA) Inc. | \$25.00 |
| Patrolmen's Benevolent Association of the City of New York | \$25.00 |
| R. Randy Lee, P.C. | \$50.00 |
| Schnur Associates Inc. | \$25.00 |
| Sheinkopf Ltd. | \$150.00 |
| Sheldon Lobel, P.C. | \$325.00 |
| Sirefman Ventures, Inc. | \$300.00 |
| The Alliance for a Greater New York, Inc. | \$25.00 |
| The Dryfoos Group, Inc. | \$675.00 |
| The Metropolitan Museum of Art | \$25.00 |
| Tully Construction Co. Inc. | \$25.00 |
| Uniformed Firefighters Assn. of Greater NY | \$25.00 |
| United Way of New York City | \$25.00 |
| Vornado Realty L.P. | <u>\$75.00</u> |

TOTAL

\$3,525.00

APPENDIX I

LATE FILING PENALTIES: LOBBYIST 2013 FIFTH PERIODIC REPORT

| <u>Lobbyist Entity Name</u> | <u>Total</u> |
|---|--------------------------|
| An Claidheamh Soluis, Inc. | \$25.00 |
| Associated General Contractors of New York State, LLC | \$150.00 |
| Brendan Sexton | \$450.00 |
| Citizens Budget Commission, Inc. | \$25.00 |
| Citizens Union of the City of New York | \$25.00 |
| City Harvest, Inc. | \$25.00 |
| Coalition of Behavioral Health Agencies, Inc. | \$25.00 |
| Community Voices Heard, Inc. | \$25.00 |
| Davidoff Hutcher & Citron LLP | \$150.00 |
| Davis Wright Tremaine LLP | \$25.00 |
| District Council 37 | \$25.00 |
| Friends of The High Line, Inc. | \$25.00 |
| Greenberg Traurig, LLP | \$950.00 |
| HR&A Advisors, Inc. | \$300.00 |
| James F. Capalino & Associates, Inc. | \$100.00 |
| Major League Soccer, L.L.C. | \$75.00 |
| MAST Capital Management, LLC | \$25.00 |
| Sheldon Lobel, P.C. | <u>\$50.00</u> |
| TOTAL | <u>\$2,475.00</u> |

APPENDIX J

LATE FILING PENALTIES: LOBBYIST 2013 FIRST THROUGH FIFTH PERIODIC FUNDRAISING/POLITICAL CONSULTING REPORTS

FIRST PERIOD

Total

| | |
|--|-------------------|
| Coca-Cola Refreshments USA, Inc. | \$150.00 |
| Rent Stabilization Association of N.Y.C., Inc. | <u>\$1,000.00</u> |
| | \$1,150.00 |

SECOND PERIOD

| | |
|--------------------------------------|-----------------|
| Museum of the City of New York, Inc. | \$150.00 |
| Sheinkopf Ltd. | <u>\$150.00</u> |
| | \$300.00 |

THIRD PERIOD

| | |
|--|-------------------|
| Extell Development Company | \$300.00 |
| New York State Trial Lawyers Association, Inc. | \$75.00 |
| Park Strategies, LLC | \$300.00 |
| Rent Stabilization Association of N.Y.C., Inc. | \$50.00 |
| TLM Associates LLC | <u>\$300.00</u> |
| | \$1,025.00 |

FOURTH PERIOD

| | |
|--|-------------------|
| Gotham Government Relations LLC | \$500.00 |
| Rent Stabilization Association of N.Y.C., Inc. | \$500.00 |
| United Federation of Teachers | <u>\$500.00</u> |
| | \$1,500.00 |

FIFTH PERIOD

| | |
|----------------------------------|----------------|
| Robert A. Ungar Associates, Inc. | \$25.00 |
|----------------------------------|----------------|

TOTAL

\$4,000.00

APPENDIX K

CIVIL PENALTIES: 2013 TERMINATION NOTICES

| <u>Client Entity Name</u> | <u>Total</u> |
|--|---------------------------|
| 62 Wooster LLC | \$1,000.00 |
| SDS Great Jones LLC | \$4,000.00 |
| Harlem Children Society | \$2,000.00 |
| New York City Food Truck Association, Inc. | \$1,000.00 |
| Obagi Medical Products, Inc. | \$1,000.00 |
| Oneida Indian Nation | \$1,500.00 |
| The Brookdale Hospital Medical Center | <u>\$1,750.00</u> |
| TOTAL | <u>\$12,250.00</u> |