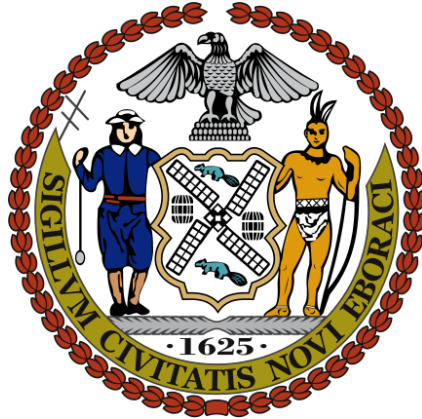


Office of the City Clerk



Clerk of the Council

Office of the City Clerk

Clerk of the Council

Lobbying Bureau

Annual Report

Michael McSweeney
City Clerk, Clerk of the Council

Alisa Fuentes
Deputy City Clerk

Damaris Acosta
Deputy City Clerk

Patrick L. Synmoie
Counsel to the City Clerk

Jaime Lynn Chirichella
Deputy Counsel

Walter Carcione
Chief Investigator

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Introduction

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

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

Listed below is the information required by the above listed section of New York City’s lobbying law (“Lobbying Law”) for calendar year 2015.

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

In 2015, the Lobbying Bureau did not receive any complaints from the public regarding possible violations of the Lobbying Law. Two complaints from 2014 were resolved. The results of the Lobbying Bureau’s investigations are as follows:

1. In response to a complaint that Seyfarth Shaw LLP (“Seyfarth”) violated Administrative Code §§3-213(a)(1), 3-216(a)(1), or 3-217(a) *et seq.*, the Lobbying

Bureau determined that there was no probable cause that Seyfarth violated such provisions.

2. In response to a complaint that Himmelstein, McConnell, Gribben, Donoghue & Joseph (“Himmelstein”) violated Administrative Code §§3-213(a)(1), 3-216(a)(1), or 3-217(a) *et seq.*, the Lobbying Bureau determined that there was no probable cause that Himmelstein violated such provisions.

An investigation from 2013 has been tolled because the subject of the investigation submitted an amnesty application. See [\(xi\) Other information and analysis](#) for further information about the amnesty program.

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

Violators of the Lobbying Law are subject to the penalties detailed in Administrative Code §3-223 *et seq.* Pursuant to Administrative Code §3-223(a), the penalties for knowing and willful violations of the Lobbying Law include: a civil penalty not to exceed \$30,000; the issuance of a cease and desist order; or both a civil penalty and a cease and desist order. Pursuant to Administrative Code §3-223(b), violators are subject to a civil penalty not to exceed \$30,000 for violating a cease and desist order or for violating the proscription against contingency agreements provided in the Lobbying Law. In addition to penalties for the late filing of any statement or report, pursuant to Administrative Code §3-223(c), violators are subject to a civil penalty not to exceed \$20,000 if a late filing is not cured within 14 business days from the date of the mailing of a notice to cure such violation. For any violation of the Lobbying Law not covered in the foregoing provisions, pursuant to Administrative Code §3-223(d), violators are subject to a civil penalty not to exceed \$20,000. Listed below are late filing penalties¹ incurred for each reporting period as of February 29, 2016.

¹ The late filing penalties contained in this report are restricted to penalties resulting from the late filing of 2014 annual reports (client annual reports and sixth periodic reports) and 2015 filings including: statements of registration, amended statements of registration, first through fifth periodic reports and first through fifth periodic fundraising and political consulting reports.

2014 Annual Reports (Client Annual Reports and Sixth Periodic Reports)

The Lobbying Bureau identified 169 filers² that failed to timely file an aggregate of 185 annual reports³ for 2014. Thirty-six late reports were attributable to 20 Lobbyists,⁴ who incurred an aggregate of \$6,525 in late filing penalties. (See [Appendix A](#) attached hereto.) The remaining 149 late 2014 annual reports were attributable to clients who each filed a late report and consequently incurred an aggregate of \$61,915 in late filing penalties. (See [Appendix B](#) attached hereto.)

No civil penalties were warranted for the late filing of 2014 annual reports.

2015 Statements of Registration and Periodic Reports

The Lobbying Bureau identified 55 Lobbyists who failed to timely file an aggregate of 78 statements of registration. For this failure, such Lobbyists incurred \$37,455 in aggregate late filing penalties. (See [Appendix C](#) attached hereto.)

The Lobbying Bureau identified 16 Lobbyists who failed to timely file an aggregate of 26 amended statements of registration. For this failure, such Lobbyists incurred \$17,550 in aggregate late filing penalties. (See [Appendix D](#) attached hereto.)

The Lobbying Bureau identified 42 Lobbyists who failed to timely file an aggregate of 48 first periodic reports. For this failure, such Lobbyists incurred \$6,800 in aggregate late filing penalties. (See [Appendix E](#) attached hereto.)

The Lobbying Bureau identified 23 Lobbyists who failed to timely file an aggregate of 26 second periodic reports. For this failure, such Lobbyists incurred \$4,150 in aggregate late filing penalties. (See [Appendix F](#) attached hereto.)

The Lobbying Bureau identified 18 Lobbyists who failed to timely file an aggregate of 19 third periodic reports. For this failure, such Lobbyists incurred \$1,000 in aggregate late filing penalties. (See [Appendix G](#) attached hereto.)

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

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

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

The Lobbying Bureau identified 16 Lobbyists who failed to timely file an aggregate of 16 fourth periodic reports. For this failure, such Lobbyists incurred \$2,650 in aggregate late filing penalties. (See [Appendix H](#) attached hereto.)

The Lobbying Bureau identified 22 Lobbyists who failed to timely file an aggregate of 43 fifth periodic reports. For this failure, such Lobbyists incurred \$4,725 in aggregate late filing penalties. (See [Appendix I](#) attached hereto.)

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

2015 Fundraising and Political Consulting Reports

In total, the Lobbying Bureau identified 7 Lobbyists who failed to timely file a total of 8 fundraising and political consulting reports. For this failure, such Lobbyists incurred \$13,425 in aggregate late filing penalties. (See [Appendix J](#) attached hereto.)

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

2015 Late Termination Notices

In total, the Lobbying Bureau identified 6 clients who failed to timely file termination notices. For this failure, such clients incurred an aggregate of \$3,300 in civil penalties. (See [Appendix K](#) attached hereto.)

2015 Incorrect Reports

In total, the Lobbying Bureau identified 9 Lobbyists who failed to timely correct 18 lobbying reports. For this failure, such Lobbyists incurred an aggregate of \$6,790 in civil penalties. (See [Appendix L](#) attached hereto.)

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

None.

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

The Lobbying Bureau audited 45 Lobbyists in 2015. The audits encompassed an examination of all filings made in 2014 by the randomly selected Lobbyists to determine if such filings were complete, accurate, timely filed and otherwise in compliance with the Lobbying Law. The audits resulted in the issuance of approximately 88 findings and 88 required actions. Samples of audit findings included: reporting incorrect compensation and expenses; failing to file a termination notice; reporting incorrect compensation; failing to file timely reports; failing to properly describe subject details; missing target information; registering a client in the wrong name; and failing to list lobbying employees. Examples of required actions included: amending reports; providing an affidavit to corroborate financial information; and filing a termination notice.

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

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

Training

First-Time Filer Training

The Lobbying Bureau continued to hold small group training sessions for first-time e-Lobbyist enrollees at its office. Attorney participants received 1.5 CLE credit hours in the Professional Practice category for attending. The training sessions took place on: (1) April 16, 2015 (lobbyist/client filers); (2) April 21, 2015 (lobbyist/client filers); (3) April 28, 2015 (lobbyist filers); (4) June 11, 2015 (lobbyist/client filers); (5) October 21, 2015 (lobbyist filers);

and (6) October 27, 2015 (lobbyist filers). Attendees included employees of investment managers, real estate companies and not-for-profit organizations. The training sessions included a detailed overview of the requirements of the Lobbying Law and provided in-depth instructions on filing reports on e-Lobbyist. The Lobbying Bureau will continue to offer these small group training sessions to first-time enrollees in 2016.

Client Training

To help clients prepare to file client annual reports, the Lobbying Bureau held several client training sessions at its office. These sessions included a detailed overview of the client's obligations under the Lobbying Law and provided in-depth instructions on filing client annual reports and termination notices. Initially, four trainings were scheduled and held on: (1) October 20, 2015; (2) October 22, 2015; (3) October 28, 2015; and (4) October 29, 2015. However, in order to accommodate continued interest from clients, an additional four trainings were added to the schedule and took place on: (5) November 4, 2015; (6) November 5, 2015; (7) November 10, 2015; and (8) November 17, 2015. Attendees included corporate officers, executive directors of not-for-profit organizations and compliance attorneys.

Amended Rules Training

Amendments to Chapter 1 of Title 51 of the Rules of the City of New York (the "Rules") were published in the City Record on October 5, 2015 and became effective as of November 4, 2015. To help Lobbyists prepare for the changes to the Rules, the Lobbying Bureau held training sessions. The training sessions included a detailed summary of changes to the Rules. The first of these training sessions took place on December 14, 2015. See [*\(xi\) Other information and analysis*](#) for further information on the Rules.

Outreach and Education

Notification to Recipients of Discretionary Funds under the City Council Fiscal Year 2016 Adopted Expense Budget - Schedule C

To educate entities about the Lobbying Law and ensure compliance, the Lobbying Bureau sent letters to entities that received discretionary funding from the City Council in fiscal year 2016, but had not registered with the Lobbying Bureau. In total, over 1,680 letters were

sent. The letter alerted entities to the Lobbying Law and encouraged them to review their activities and related expenses to determine whether or not they were required to comply with the Lobbying Law. Enclosed with the letter was a summary of the Lobbying Law and information about the Lobbying Bureau's amnesty program. See [\(xi\) Other information and analysis](#) for further information about the amnesty program. Entities were encouraged to review the Lobbying Law and amnesty program information and to apply for amnesty if they qualified. The Lobbying Bureau received several telephone and email inquiries as a result of this correspondence.

Other Compliance Efforts

The Lobbying Bureau routinely examines statements of registration and reports filed on e-Lobbyist to determine the accuracy of the information contained in the filings. Among the areas of review are: start and end dates of lobbying activities listed on retainer agreements; entity names listed on statements of registration; and compensation listed on periodic reports.

Date Changes

In 2015, the Lobbying Bureau discovered approximately 97 issues with start and end dates in Lobbyists' filings by comparing the dates on the statements of registration with the dates listed on the retainer agreements. Each Lobbyist was notified of any discrepancies and instructed to resolve the discrepancy by amending either the date on the statement of registration or the date on the corresponding retainer agreement.

Name Changes

In order to resolve name discrepancies, the Lobbying Bureau cross-checked client names listed on the statements of registration with the corresponding retainer agreements in e-Lobbyist. The Lobbying Bureau discovered approximately 85 issues involving entity names. This represents a 16% decrease in name issues compared to 2014. The Lobbying Bureau instructed the entities to correct their legal entity name by one of the following means: (1) requesting a change of the enrollment name; (2) filing an amended statement of registration with an amended retainer agreement listing the correct legal entity name; or (3) requiring both a name change and submission of an amended retainer by the entity.

Compensation Discrepancies

In order to resolve compensation discrepancies, the Lobbying Bureau cross-checked the compensation listed in the periodic reports with the compensation listed in the corresponding retainer agreements. The Lobbying Bureau discovered over 104 instances where the compensation amount listed in a periodic report did not match the payments listed in the retainer agreement. This represents a 39% decrease in compensation discrepancies compared to 2014. The Lobbyists were notified of the discrepancy and instructed to resolve it by either amending the compensation reported or by providing a letter justifying the discrepancy.

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

In 2015, the Lobbying Bureau recorded its activities and the types and number of requests received.⁵ From January 1, 2015 through December 31, 2015, the Lobbying Bureau's time was allocated as follows: compliance 38%, enforcement 15%, e-Lobbyist assistance 15%, audits 11%, administration 10%, outreach and education 7% and investigations 4% (see page 41). In addition, the Lobbying Bureau received approximately 1,889 telephone calls (see pages 42-43) and 4,900 email requests (see pages 44-45). The majority of telephone calls and emails involved filers requesting technical assistance with completing a filing on e-Lobbyist. There was a 22% increase in the number of telephone calls received in 2015 and a 71% increase in the number of emails received by the Lobbying Bureau in 2015 compared to 2014. A number of factors may have contributed to this increase. The Department of Information Technology & Telecommunications implemented a system wide e-Lobbyist account reset in June 2015. Many filers required assistance re-setting their accounts and encountered technical difficulties with the change. In addition, the Lobbying Bureau commenced extensive outreach efforts in the fall of 2015 to publicize the amnesty program. The outreach efforts generated significant inquiries regarding the Lobbying Law and the amnesty program.

⁵ All data is compiled from information recorded and reported by Lobbying Bureau staff members and constitute best estimates.

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

In 2015, about 78 Lobbyists filed statements of registration for the first time. Twenty-five of these entities are lobbyists that filed statements of registration on behalf of clients and the remaining 53 entities filed as lobbyist/client filers. The 53 lobbyist/client filers' industries were reported as follows: (1) 24 not-for-profit organizations and/or community service organizations; (2) 19 unions, consultants, real estate, construction, healthcare and education companies; and (3) 10 financial service 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 pages 36-37.

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

See [Analysis of Lobbying Data](#) below and charts on page 38.

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

See [Analysis of Lobbying Data](#) below and charts on pages 15-21 and 25-28.

(xi) Other information and analysis.

2015 Amendments to Chapter 1 of Title 51 of the Rules of the City of New York

To conform to the amendments enacted by Local Law 129 of 2013, chapter 1 of title 51 of the Rules of the City of New York was amended by replacing the Rules in their entirety.

Specifically, the amended Rules: set criteria for requesting advisory opinions; set forth the procedure for enrolling in e-Lobbyist; define the roles of principal officer, designee and compliance officer; provide requirements for retainers and authorization letters; include a

process to deactivate statements of registration and other inadvertently filed reports; indicate when filing extensions may be obtained; set forth procedures for obtaining a waiver of late filing penalties; establish Lobbying Bureau enforcement procedures; and detail procedures for the amnesty program. The proposed amended Rules were published in the City Record on April 17, 2015. The public hearing was held on May 19, 2015 and was attended by various lobbying firms, good government groups and not-for-profit organizations including Citizens' Union, the Lawyers Alliance of New York and the New York Advocacy Association. Various organizations that did not attend the hearing submitted written comments for consideration. Many suggestions contained in the public comments were incorporated into the final version of the amended Rules. The amended Rules were published in the City Record on October 5, 2015 and took effect on November 4, 2015.

Advisory Opinions

In response to a written request inquiring whether various communications at a dinner hosted by an investment management firm for the Comptroller's office staff and the Pension Funds' staff and trustees regarding its investment services constituted lobbying, the City Clerk opined that both the presentation and casual conversations regarding investment services after the presentation constitute lobbying because such investments would involve the disbursement of public monies. *See* Advisory Opinion 2015-1 available at:

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

The Amnesty Program

Local Law 129 of 2013 created an amnesty program to increase compliance with the Lobbying Law. Pursuant to the Administrative Code, any filer that was required to file, but never filed a statement of registration or a client annual report on or after December 10, 2006, may apply for amnesty and immediately comply with the Lobbying Law and if amnesty is granted will not receive any late fines or civil penalties for which the filer may have been liable. Prior to the commencement of the amnesty period, filers that wished to immediately comply with the Lobbying Law could participate in pre-amnesty by filing a notice of intent to participate in the amnesty program and immediately file requisite reports pending the commencement of the

amnesty program. Such applicants must subsequently file for amnesty. The Lobbying Bureau received six pre-amnesty applications.

The amnesty period commenced on January 1, 2016 and continues through June 30, 2016. In order to qualify for amnesty, a participant must not be under criminal investigation or a party to criminal litigation related to a Lobbying Law violation. The participant must submit an application on forms provided by the City Clerk. In order to maximize amnesty participation, the Lobbying Bureau engaged in various training and outreach efforts in 2015 and will continue these efforts in 2016. Efforts included: holding training sessions, publishing announcements and advertisements, distributing brochures, attending and speaking at public meetings and enhancing the Lobbying Bureau's social media presence.

Training

To encourage participation in the amnesty program, the Lobbying Bureau held two information sessions at its office. The sessions took place on December 9, 2015 and December 15, 2015. Attendees included representatives from good government groups, compliance officers and lobbyists. The information sessions included an overview of the Lobbying Law and details regarding the amnesty program including eligibility and the application process. Additionally, the Lobbying Bureau began holding weekly amnesty training sessions, which will continue for the duration of the amnesty period. The training focuses on specific questions about the amnesty program and the application process.

Announcements & Other Media Outreach

The Lobbying Bureau distributed an amnesty announcement on October 19, 2015 to all e-Lobbyist users. On October 30, 2015, the Lobbying Bureau sent letters to all City elected officials announcing the amnesty program. A press release was issued on November 13, 2015 to local media outlets publicizing the amnesty program.

In addition, the Lobbying Bureau published a brochure that included a 3-step analysis to assist filers in determining their eligibility for amnesty. The brochure is available on our website at http://www.cityclerk.nyc.gov/downloads/pdf/Amnesty_Brochure_12-15-2015_REVISED.pdf.

The brochure was distributed at all events attended by the Lobbying Bureau. In addition, copies of the brochure were distributed to all entities that received discretionary funding from the City Council.

To further publicize the amnesty program, the Lobbying Bureau placed advertisements in the following publications: (1) City & State (print version); (2) The Chief (online edition); (3) Pensions & Investments (online edition); and (4) Staten Island Live (online edition). The Lobbying Bureau also created a twitter account (@NYCLobbying) to further promote the amnesty program. See <https://twitter.com/NYCLobbying>.

Public Meetings

The Lobbying Bureau attended each borough board meeting to make presentations about the amnesty program. The meetings took place on the following dates: (1) November 19, 2015 (Manhattan Borough Board); (2) December 1, 2015 (Brooklyn Borough Board); (3) December 7, 2015 (Queens Borough Board); (4) December 9, 2015 (Staten Island Borough Board); and (5) December 17, 2015 (Bronx Borough Board).

The Lobbying Bureau began attending community board meetings throughout the City to present details about the amnesty program and answer related questions. The first presentation took place on December 22, 2015 at Manhattan Community Board 3. The Lobbying Bureau will continue to attend community board meetings throughout the amnesty period.

The Lobbying Bureau will also continue to attend other public events to promote the amnesty program.

Number of Reporting Lobbyists and Clients

As of February 26, 2016, approximately 1,358 Lobbyists and 3,739 clients were enrolled in e-Lobbyist. In 2015, approximately 2,434 statements of registration were filed on e-Lobbyist.

Outlook For 2016

The amnesty program mandated by Local Law 129 of 2013 began on January 1, 2016 and ends on June 30, 2016. The Lobbying Bureau's extensive training, outreach and education efforts will continue up until the conclusion of the program.

Local Law 129 of 2013 included statutory exclusions from the definition of lobbying applicable to architects and engineers. In 2016, the Lobbying Bureau intends to address the complexities of this section of the local law.

The Lobbying Bureau continues to make improvements to the e-Lobbyist filing system and enhance the user-friendliness of the system including: text changes to screens and the user-guide; adding more drop-downs to replace free-form fields; editing the automatic e-Lobbyist emails; and continuing to work on the enhancement which will permit lobbyist/client filers, whose total compensation is between \$5,000 and \$10,000, to file two periodic reports per year instead of six.

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

In 2015, the Lobbying Bureau hired an Outreach and Training Coordinator. With the addition of this staff member, the Lobbying Bureau plans to develop and expand its training program. The Lobbying Bureau plans to present several specialized training programs that will include partnering with other groups and institutions.

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

Analysis of Lobbying Data⁶

Each year the Lobbying Bureau analyzes the available data and reports on various macro and micro trends in City lobbying. In addition, the Lobbying Bureau receives many requests for information about City lobbying activity from the media, good government groups and government watchdog organizations. In order to facilitate the transparency goals of the Lobbying Law, and in response to requests for information, lobbying data comparisons and analyses are included in the subsequent pages of this report. The data includes: top ten list of

⁶ Please note, all data contained in the following charts and graphs is self-reported. All data is subject to change since filers can amend filings at any time.

lobbyists based on total cumulative compensation (see pages 15-21); top lobbyist ranked by number of clients registered (see pages 22-23); and top lobbyist ranked by number of employees listed on statements of registration (see page 33). This year's data shows the largest increase in compensation (20%) reported by lobbyists in several years. The data also shows that lobbying firms continue to report significantly higher compensation for lobbying than lobbyist/client filers (see page 28).

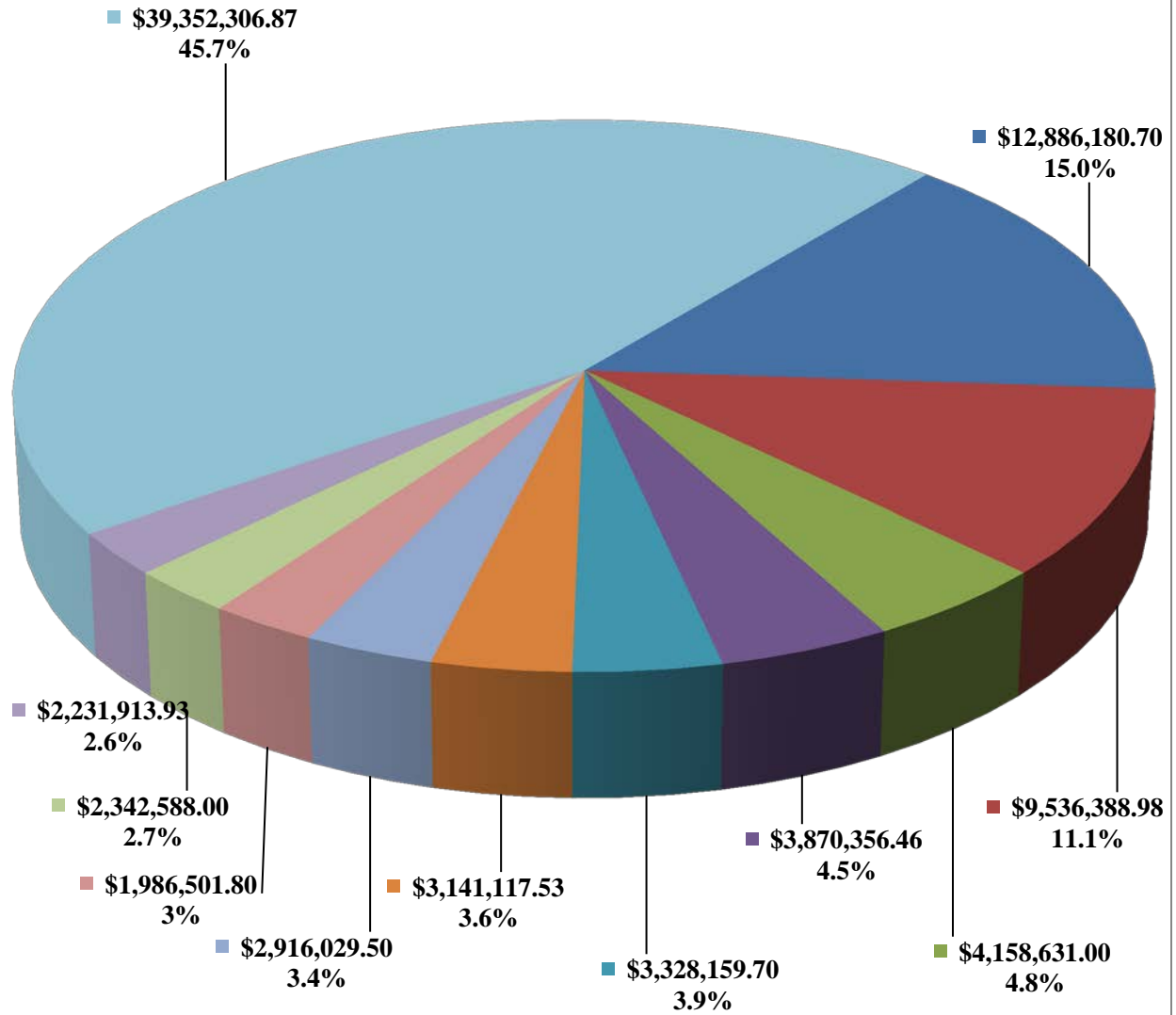
The analysis of lobbyist/client filers includes top ten lobbyist/client filers ranked by total cumulative compensation paid to all reported employees (see pages 25-26) and top lobbyist/client filers ranked by number of reported employees (see page 34). The analyses also include information regarding clients including: top clients ranked by total compensation paid to all retained lobbying firms (see pages 29-30); top clients ranked by number of lobbying firms retained (see page 31); the top ten lobbying contracts (see page 32); and a breakdown of registered client's industries (see page 35). Also included is the top activities by subject category (see pages 36-37) and top target (see page 38) reported by lobbyists and an analysis of the data reported in the fundraising reports (see page 40).

TOP TEN LOBBYISTS OF 2015 BY COMPENSATION⁷

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

⁷ Data is based on the cumulative compensation reported by the lobbyist in its 2015 periodic reports (period one through six) and is subject to change.

TOP TEN LOBBYISTS OF 2015 BY COMPENSATION



- James F. Capalino & Associates, Inc.
- Kasirer LLC
- Pitta Bishop Del Giorno & Giblin LLC
- Bolton-St. Johns, LLC
- Constantinople & Vallone Consulting LLC
- Greenberg Traurig, LLP
- Davidoff Hutcher & Citron LLP
- Manatt, Phelps & Phillips, LLP
- Geto & de Milly Inc.
- Mercury Public Affairs, LLC
- Other

TOP TEN LOBBYISTS OF 2014 BY COMPENSATION⁸

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

⁸ Data is based on the cumulative compensation reported by the lobbyist in its periodic reports as reported in the Lobbying Bureau Annual Report dated March 1, 2015.

TOP TEN LOBBYISTS OF 2013 BY COMPENSATION⁹

<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>

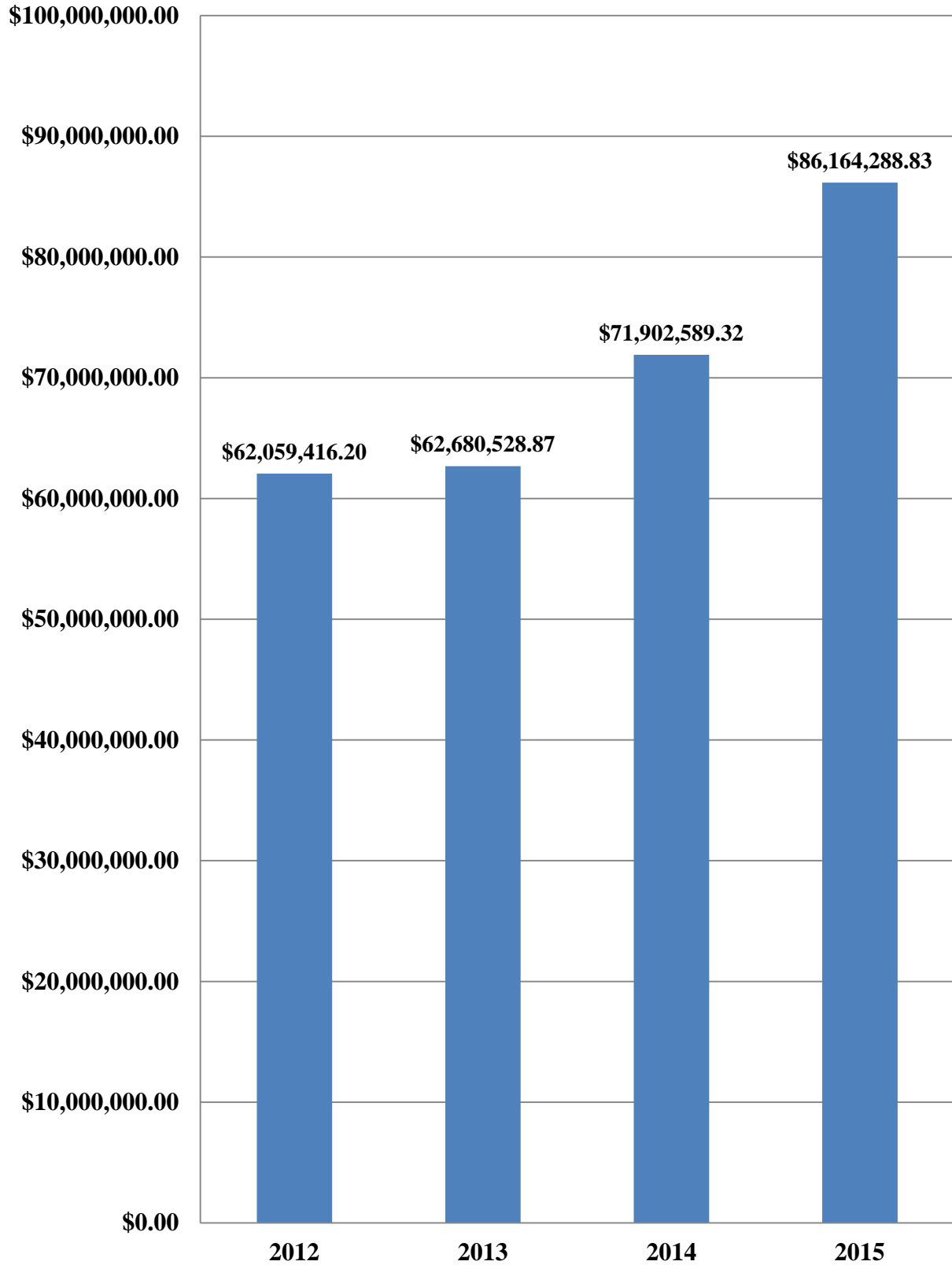
⁹ Data is based on the cumulative compensation reported by the lobbyist in its periodic reports as reported in the Lobbying Bureau Annual Report dated March 1, 2014.

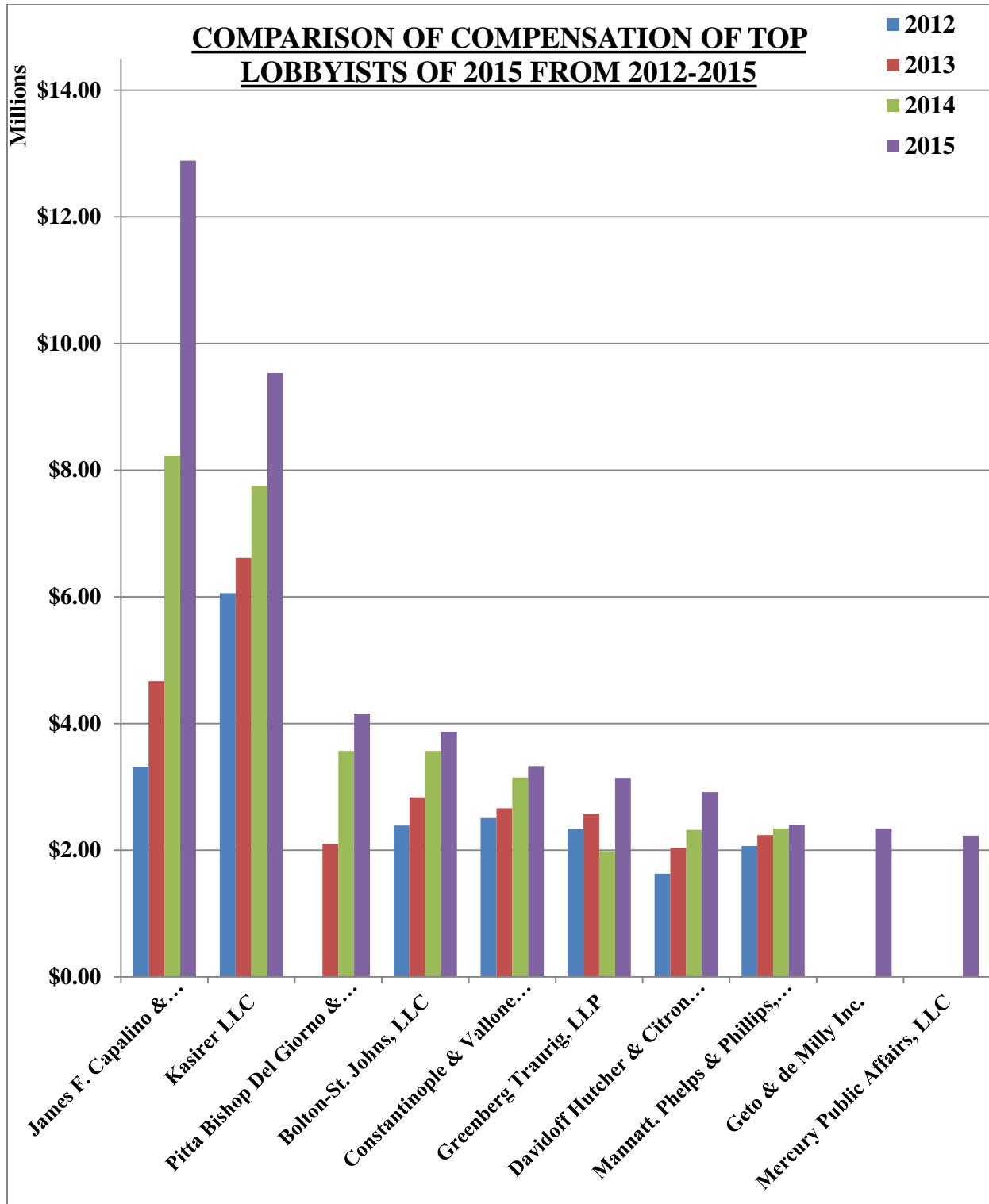
TOP TEN LOBBYISTS OF 2012 BY COMPENSATION¹⁰

<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>

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, 2013.

COMPARISON OF COMPENSATION OF LOBBYISTS FROM 2012-2015





*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.

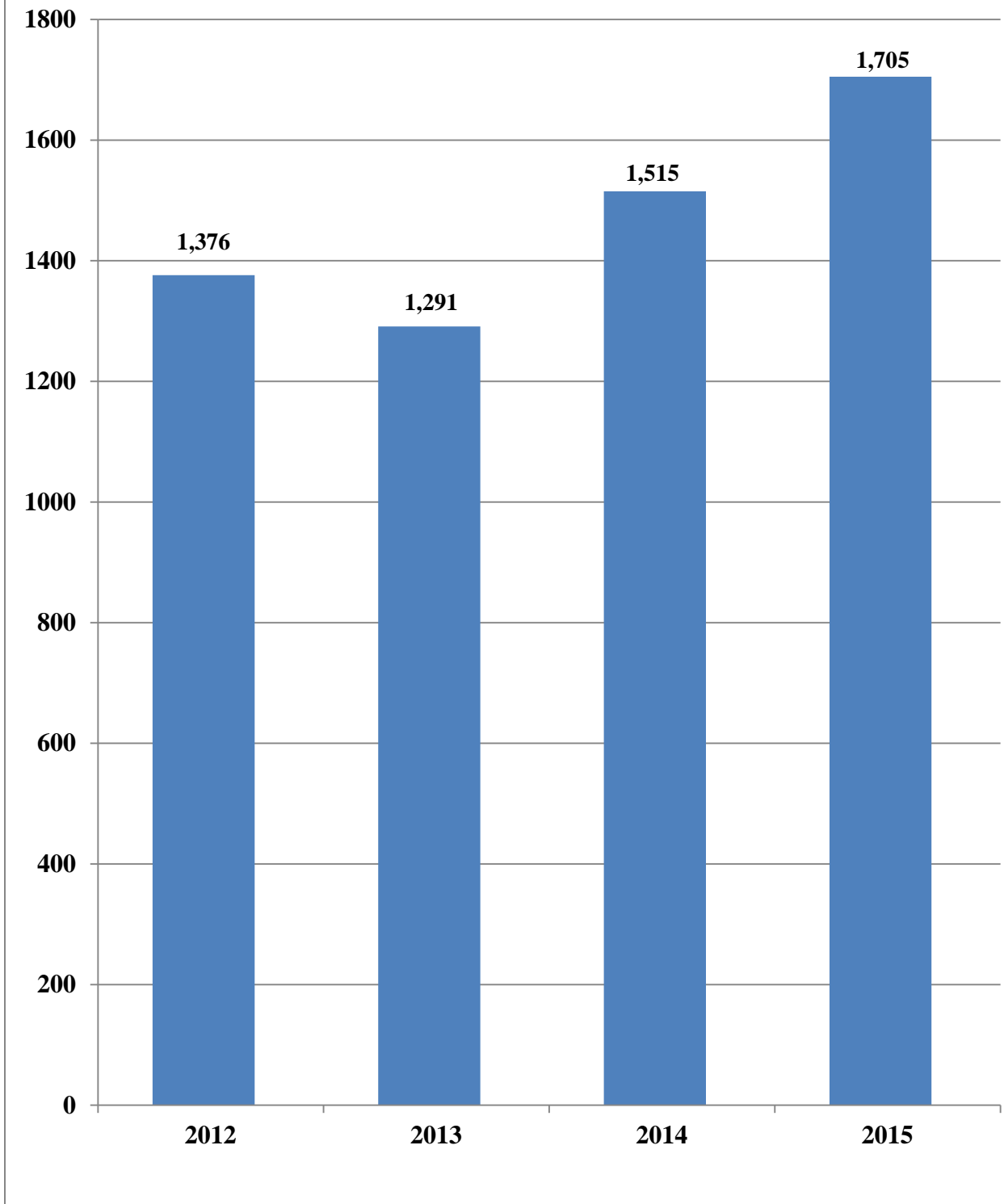
TOP TEN LOBBYISTS OF 2015 BY NUMBER OF CLIENTS¹¹ REGISTERED¹²

<u>Lobbyist</u>	<u>Number of Clients Registered</u>
James F. Capalino & Associates, Inc.	304
Kasirer LLC	155
Pitta Bishop Del Giorno & Giblin LLC	101
Sheldon Lobel, P.C.	89
Constantinople & Vallone Consulting LLC	64
Bolton-St. Johns, LLC	64
Greenberg Traurig, LLP	61
Wilson, Elser, Moskowitz, Edelman & Dicker LLP	58
Manatt, Phelps & Phillips, LLP	54
Davidoff Hutcher & Citron LLP	50
TLM Associates, LLC	47

¹¹ “Clients” includes clients and only lobbyist/client filers that reported retaining an outside lobbying entity in 2015.

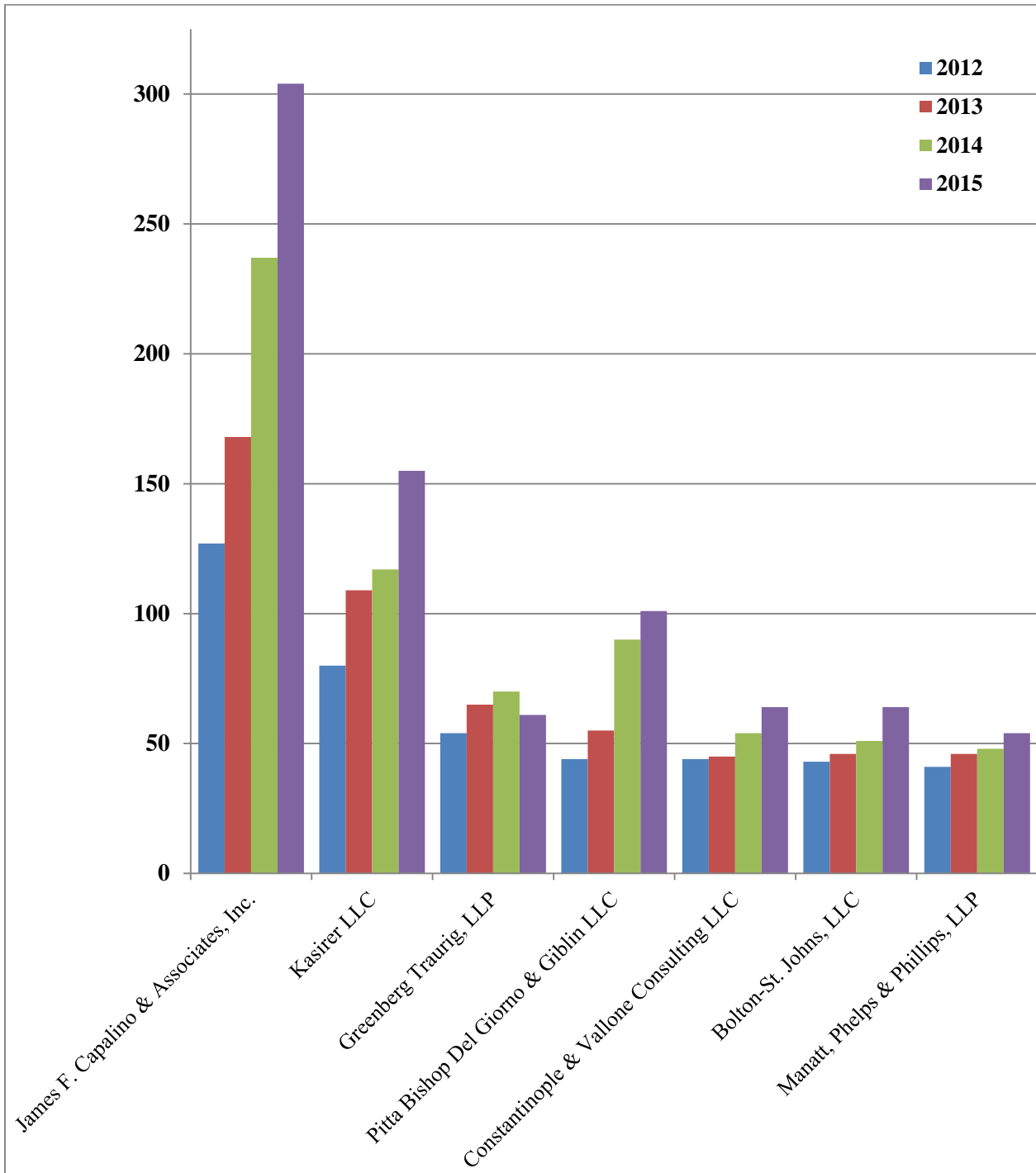
¹² Data is based on statements of registration filed by lobbyists. For previous years, the data is based on the number of clients published in the respective year’s Lobbying Bureau Annual Report.

COMPARISON OF TOTAL CLIENTS FROM 2012-2015*



*Data is based on the cumulative compensation reported by lobbyist/client filers in its periodic reports in 2015 and as reported in the Lobbying Bureau Annual Report for the respective previous years.

COMPARISON OF TOTAL CLIENTS OF TOP LOBBYISTS FROM 2012-2015*



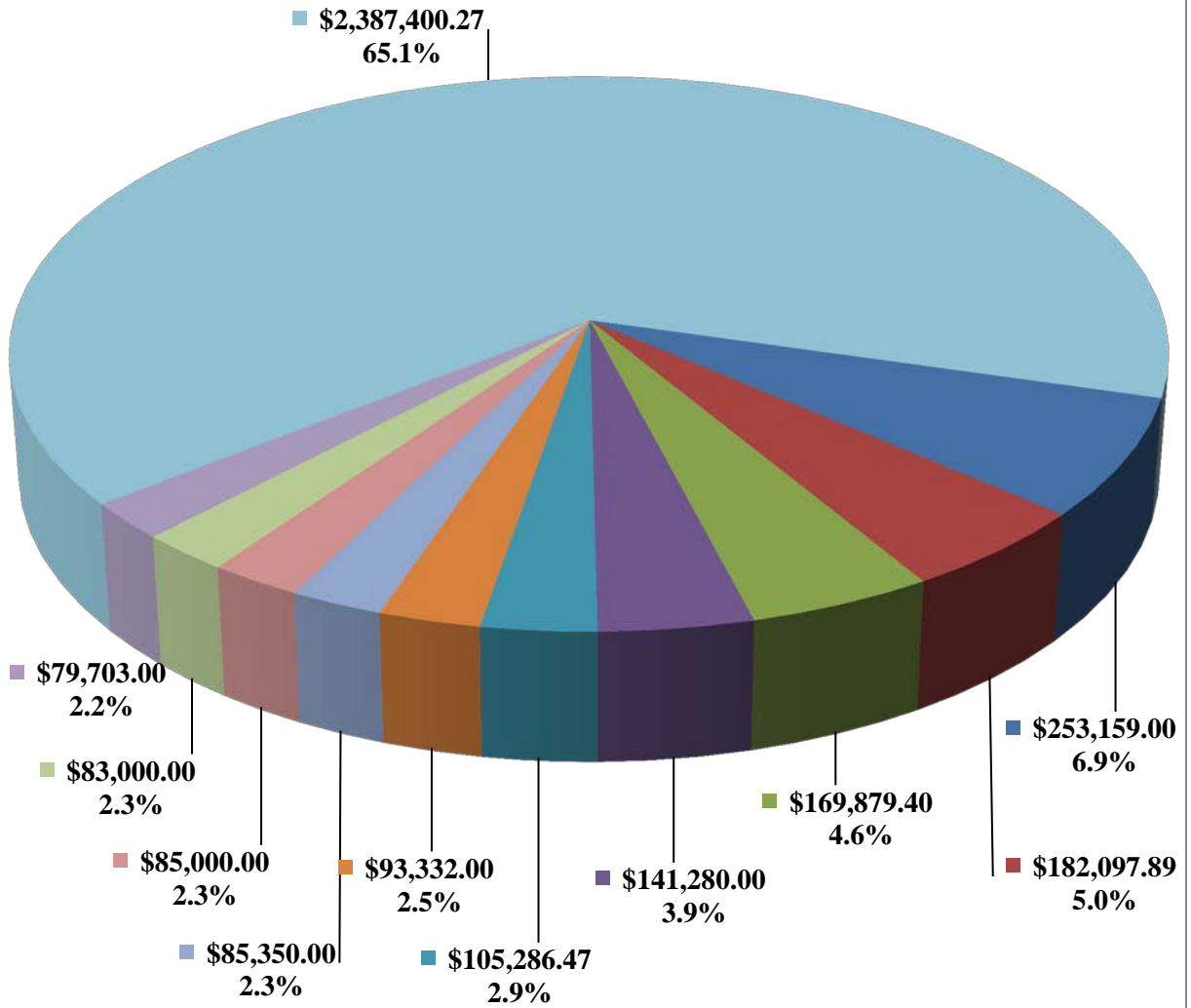
*This chart includes a comparison of top lobbyists that have appeared on the “top ten lobbyists by number of clients registered” in the lobbying bureau annual report for years 2012-2015.

TOP TEN LOBBYIST/CLIENT FILERS OF 2015 BY COMPENSATION¹³

<u>Lobbyist/Client</u>	<u>Compensation</u>
United Federation of Teachers	\$253,159.00
New York Hotel and Motel Trades Council AFL-CIO	\$182,097.89
Goldman, Sachs & Co.	\$169,879.40
Community Health Care Association of New York State, Inc.	\$141,280.00
Greater New York Hospital Association, Inc.	\$105,286.47
T. Rowe Price Associates, Inc.	\$93,332.00
The Metropolitan Museum of Art	\$85,350.00
Long Island Board of Realtors, Inc.	\$85,000.00
Brooklyn Public Library	\$83,000.00
The Related Companies, LP	<u>\$79,703.00</u>
SUB-TOTAL	\$1,278,087.76
OTHER LOBBYIST/CLIENTS	<u>\$2,387,400.27</u>
TOTAL COMPENSATION OF LOBBYIST/CLIENTS	<u>\$3,665,488.03</u>

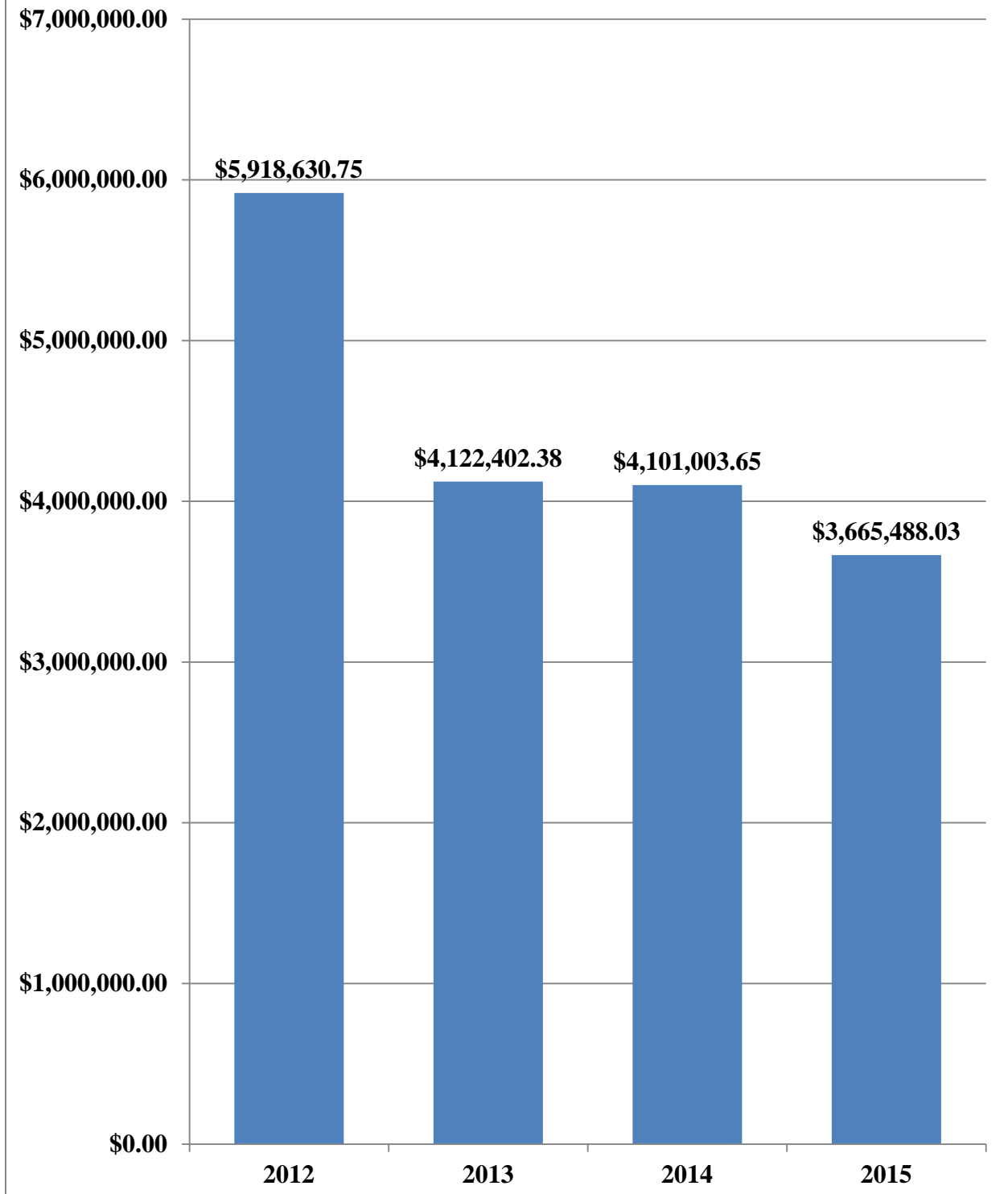
¹³ Data is based on cumulative compensation reported in periodic reports filed by lobbyist/client filers.

TOP TEN LOBBYIST/CLIENT FILERS OF 2015 BY COMPENSATION



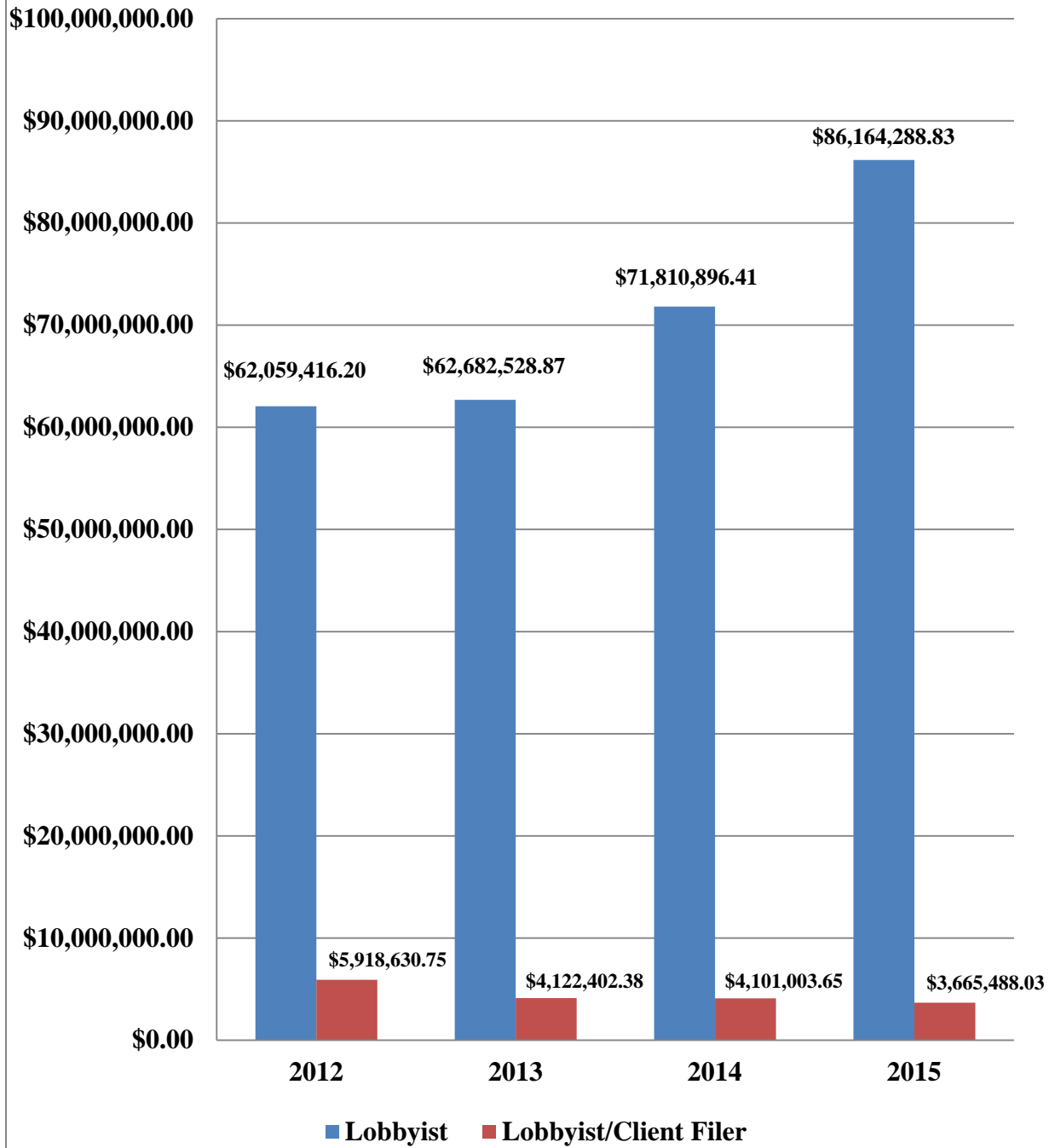
- United Federation of Teachers
- New York Hotel and Motel Trades Council AFL-CIO
- Goldman, Sachs & Co.
- Community Health Care Association of New York State, Inc.
- Greater New York Hospital Association, Inc.
- T. Rowe Price Associates, Inc.
- The Metropolitan Museum of Art
- Long Island Board of Realtors, Inc.
- Brooklyn Public Library
- The Related Companies, LP
- Other

**COMPARISON OF LOBBYIST/CLIENT FILER
COMPENSATION FROM 2012-2015***



*Data is based on the cumulative compensation reported by lobbyist/client filers in its periodic reports in 2015 and as reported in the Lobbying Bureau Annual Report for the respective previous years.

**COMPARISON OF LOBBYIST AND LOBBYIST/CLIENT
FILER COMPENSATION FROM 2012-2015***



*Data is based on the cumulative compensation reported by lobbyists and lobbyist/client filers in its periodic reports in 2015 and as reported in the Lobbying Bureau Annual Report for the respective previous years.

TOP TEN CLIENTS¹⁴ OF 2015 BY COMPENSATION TO ALL LOBBYING FIRMS¹⁵

<u>Client</u>	<u>Lobbyist</u>	<u>Compensation</u>
Albee Development LLC	James F. Capalino & Associates, Inc.	\$65,000.00
	Washington Square Partners Incorporated	<u>\$1,208,726.87</u>
		<u>\$1,273,726.87</u>
JCDecaux North America, Inc.	Brenda Levin	\$24,000.00
	George Arzt Communications, Inc.	\$12,500.00
	Greenberg Traurig, LLP	\$849,412.87
	The Ickes and Enright Group, Inc.	<u>\$165,000.00</u>
		<u>\$1,050,912.87</u>
Uber Technologies, Inc.	Dentons US LLP	\$60,000.00
	Francis J. Sanzillo & Associates, Inc.	\$84,000.00
	James F. Capalino & Associates, Inc.	\$165,000.00
	Kasirer LLC	\$90,000.00
	McKenna Long & Aldridge LLP	\$60,000.00
	Patrick B. Jenkins & Associates	<u>\$102,000.00</u>
		<u>\$561,000.00</u>
CSC Holdings LLC	99 Solutions LLC.	\$90,000.00
	Kasirer LLC	\$180,000.00
	Patricia Lynch Associates	\$120,000.00
	Robinson & Cole LLP	<u>\$120,000.00</u>
		<u>\$510,000.00</u>
Spectra Energy Corp	CDD Strategies, LLC	\$360,000.00
	TLM Associates LLC	<u>\$73,000.00</u>
		<u>\$433,000.00</u>
1-10 Bush Terminal Owner, LP with 19-20 Bush Terminal Owner, LP	99 Solutions LLC.	\$60,000.00
	HR&A Advisors, Inc.	\$120,000.00
	James F. Capalino & Associates, Inc.	\$60,000.00
	Miram Group LLC	\$65,100.00
	Yoswein New York, Inc.	<u>\$120,000.00</u>
		<u>\$425,100.00</u>

¹⁴ The compensation reported does not include compensation reported as a lobbyist/client filer. It only includes compensation reported paid to outside lobbying firms.

¹⁵ Data is based on the cumulative compensation reported by the lobbyist in its 2015 periodic reports.

Verizon Corporate Resources Group LLC	Bolton-St. Johns, LLC	\$99,999.98
	Connelly McLaughlin & Woloz	\$99,999.96
	National Strategies, LLC	\$96,000.00
	Tonio Burgos & Associates, Inc.	<u>\$100,000.00</u>
		<u>\$395,999.94</u>
SJ Owner LLC	James F. Capalino & Associates, Inc.	\$120,000.00
	Kramer Levin Naftalis & Frankel LLP	<u>\$263,862.50</u>
		<u>\$383,862.50</u>
Fulton SCG Development LLC	James F. Capalino & Associates, Inc.	\$283,064.00
	Stroock & Stroock & Lavan LLP	\$62,306.00
	Yoswein New York, Inc.	<u>\$36,000.00</u>
		<u>\$381,370.00</u>
Committee For Taxi Safety Inc.	Bolton-St. Johns, LLC	\$313,000.00
	Connective Strategies Associates Inc.	\$33,000.00
	Connective Strategies LLC	<u>\$12,000.00</u>
		<u>\$358,000.00</u>

TOP CLIENTS OF 2015 BY RETAINED LOBBYING FIRMS¹⁶

<u>Client</u>	<u># of Firms Retained</u>
MSG Sports & Entertainment, LLC	7
SL Green Realty Corp.	6
Uber Technologies, Inc.	6
1-10 Bush Terminal Owner, LP with 19-20 Bush Terminal Owner, LP	5
Altria Client Services, Inc.	5
TWC Administration LLC	5
BFC Partners, L.P.	4
CSC Holdings LLC	4
JCDecaux North America, Inc.	4
New York Hotel and Motel Trades Council AFL-CIO	4
Property Markets Group, Inc	4
The Coca-Cola Company/Coca-Cola Refreshments USA, Inc.	4
Verizon Corporate Resources Group LLC	4

¹⁶ Data is based on statements of registration filed by lobbyists and only includes lobbyist/client filers who have retained an outside lobbyist.

TOP TEN LOBBYING CONTRACTS IN 2015
(COMPENSATION PAID¹⁷ TO ONE LOBBYING FIRM)¹⁸

<u>Client</u>	<u>Lobbyist</u>	<u>Compensation</u>
Albee Development LLC	Washington Square Partners Incorporated	\$1,208,726.87
JCDecaux North America, Inc.	Greenberg Traurig, LLP	\$894,412.87
Spectra Energy Corp	CDD Strategies, LLC	\$360,000.00
ArchCare at Terence Cardinal Cooke Health Care Center	Washington Square Partners Incorporated	\$334,859.36
Committee For Taxi Safety Inc.	Bolton-St. Johns, LLC	\$313,000.00
East Garden LLC	Seyfarth Shaw LLP	\$312,485.00
Sprucegrove Investment Management Ltd.	Fair Haven Partners, LLC	\$300,000.00
Fulton SCG Development LLC	James F. Capalino & Associates, Inc.	\$283,064.00
Oxford Nursing Home, Inc.	Davidoff Hutcher & Citron LLP	\$278,395.50
SJ Owner LLC	Kramer Levin Naftalis & Frankel LLP	\$263,862.50

¹⁷ The compensation reported does not include compensation reported as a lobbyist/client filer. It only includes compensation paid to outside lobbying firms.

¹⁸ Based on the cumulative compensation reported by the lobbyist in its 2015 periodic reports.

TOP LOBBYISTS OF 2015 BY NUMBER OF EMPLOYEES¹⁹

<u>Lobbyist</u>	<u># of Employees</u>
Greenberg Traurig, LLP	24
Howard Hughes Management Co., LLC	21
James F. Capalino & Associates, Inc.	20
Akerman LLP	18
Kramer Levin Naftalis & Frankel LLP	18
Bolton-St. Johns, LLC	16
Pitta Bishop Del Giorno & Giblin LLC	15
Constantinople & Vallone Consulting LLC	14
Park Strategies, LLC	14
Sheldon Lobel, P.C.	14
Davidoff Hutcher & Citron LLP	13
Mercury Public Affairs, LLC	12
Bryan Cave LLP	11

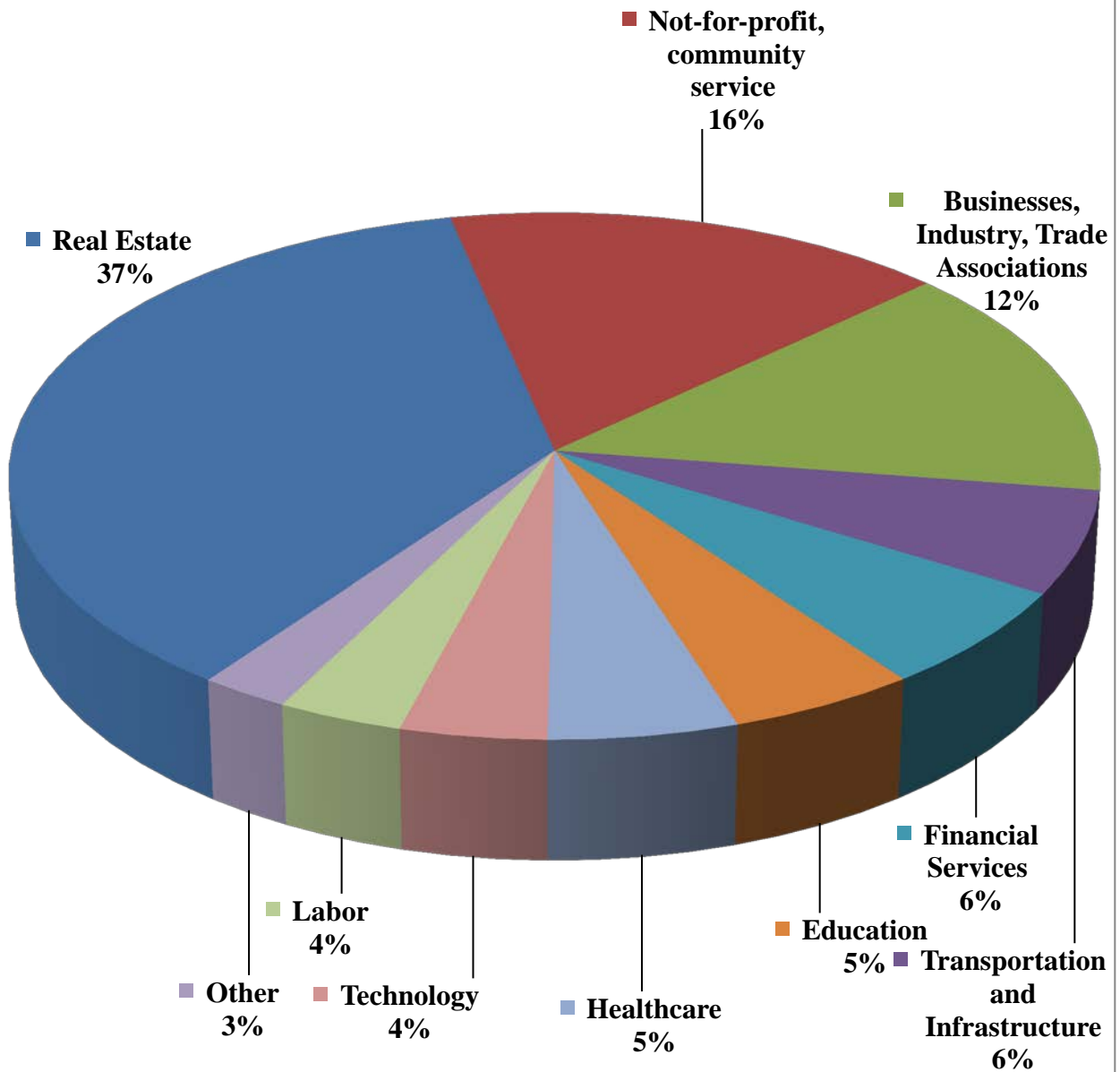
¹⁹ Data is based on employees listed on the statements of registration filed by lobbyists.

TOP LOBBYIST/CLIENT FILERS OF 2015 BY NUMBER OF EMPLOYEES²⁰

<u>Lobbyist</u>	<u># of Employees</u>
United Federation of Teachers	36
Legal Services NYC	34
Make the Road New York	33
Fund for the City of New York, Inc.	32
MFY Legal Services, Inc.	30
CAMBA, Inc.	29
The College Board	27
Blackstone Administrative Services Partnership L.P.	26
Consolidated Edison, Inc.	26
The Related Companies, LP	26
New York Legal Assistance Group, Inc.	24
Environmental Defense Action Fund	19
New York Civil Liberties Union, Inc.	19

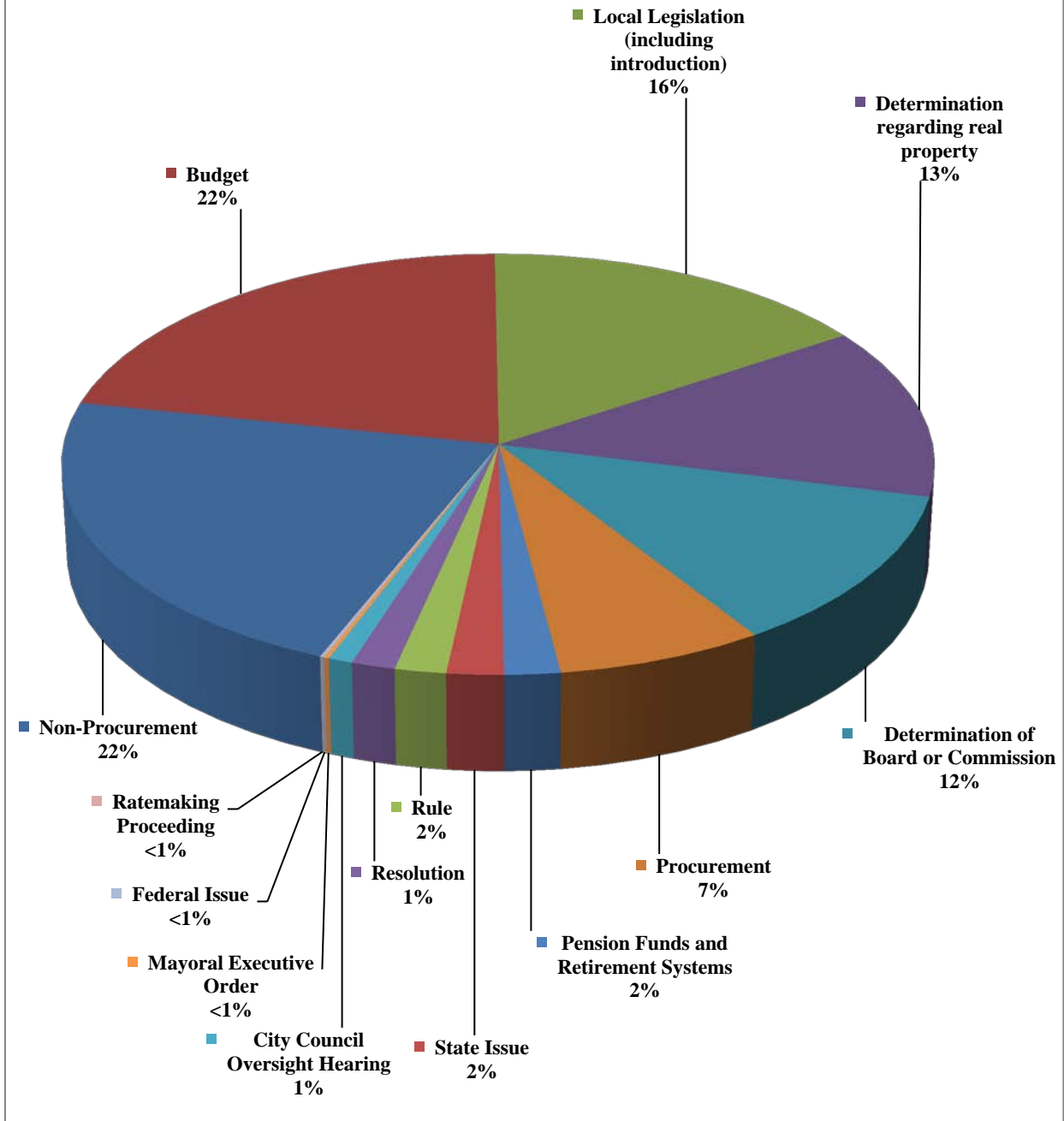
²⁰ Data is based on employees listed on the statements of registration filed by lobbyist/client filers.

DISTRIBUTION OF CLIENT INDUSTRIES IN 2015*



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

DISTRIBUTION OF SUBJECT CATEGORIES OF 2015*



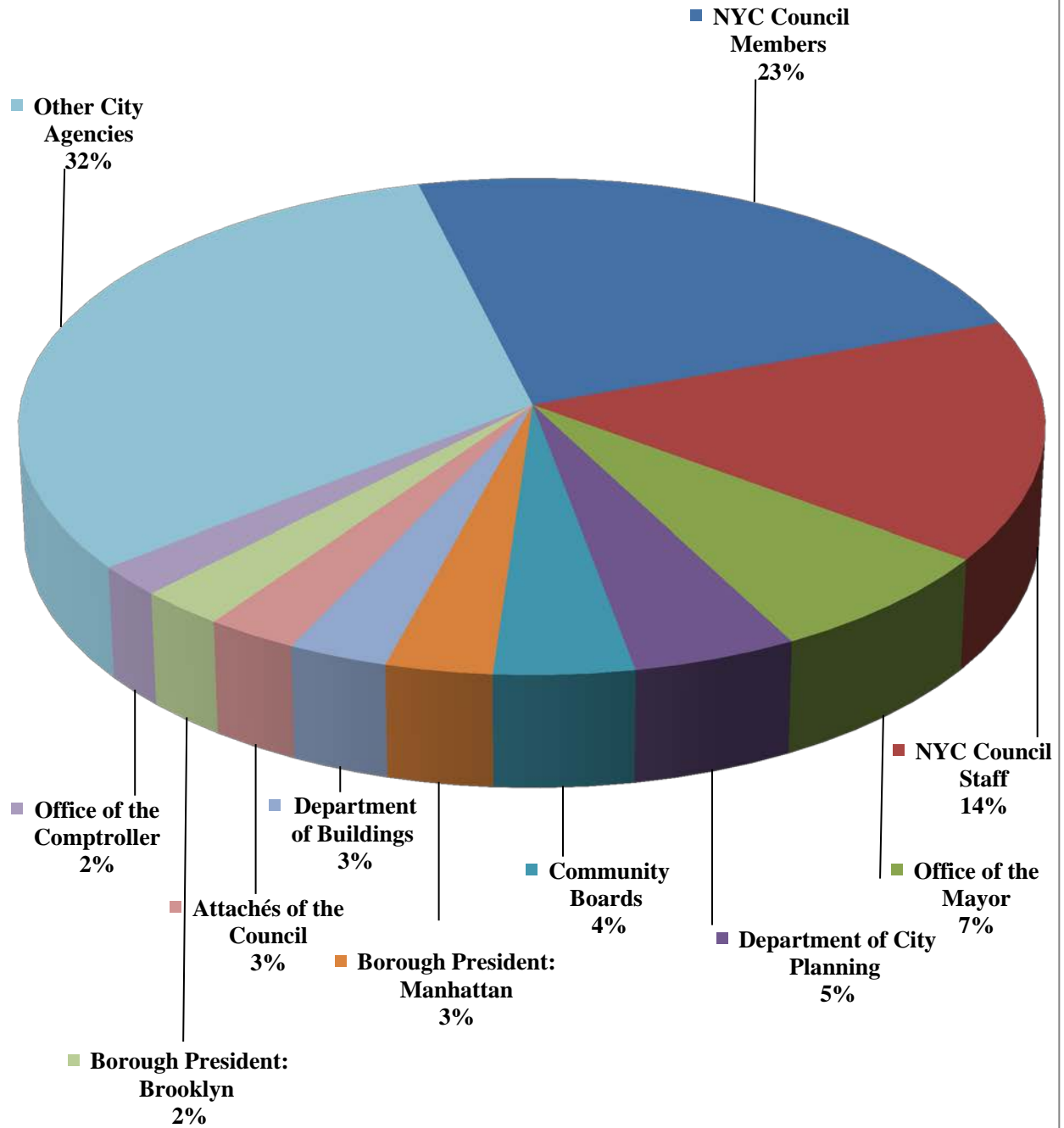
*Data is based on the subject category reported on periodic reports filed by Lobbyists. Variance due to rounding.

DISTRIBUTION OF SUBJECT CATEGORIES IN 2015

<u>Subject</u>	<u>Percentage</u>
Budget	22%
Non-Procurement ²¹	22%
Local Legislation (including introduction)	16%
Real Property	13%
Board/Commission	12%
Procurement	7%
Pension Funds and Retirement Systems	2%
State Issue	2%
Rule	2%
Resolution	1%
City Council Oversight Hearing	1%
Mayoral Executive Order	Less than 1%
Federal Issue	Less than 1%
Ratemaking Proceeding	Less than 1%

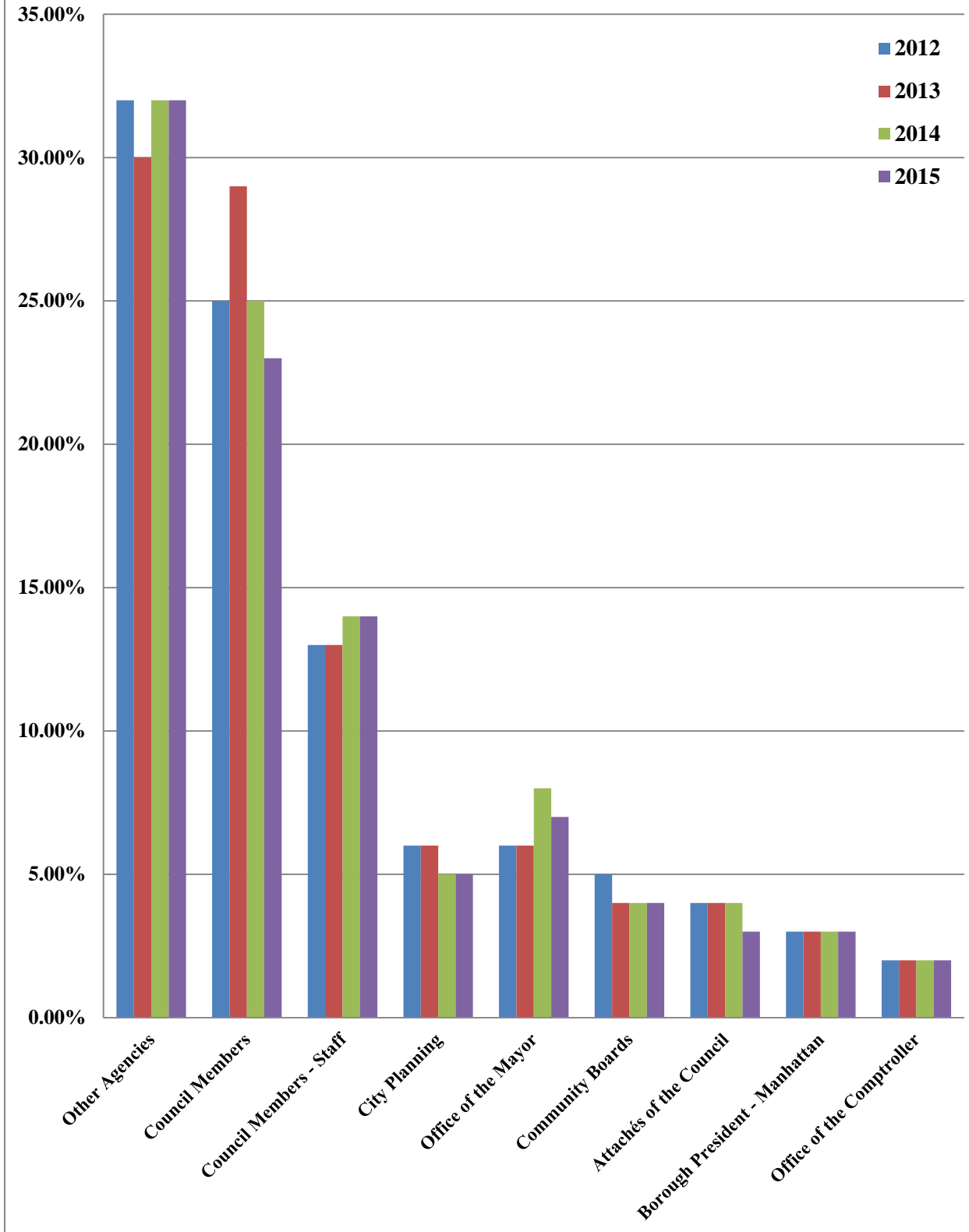
²¹ Non-procurement is a catch-all category for activities that cannot be included in another category.

TOP TARGETS OF 2015*

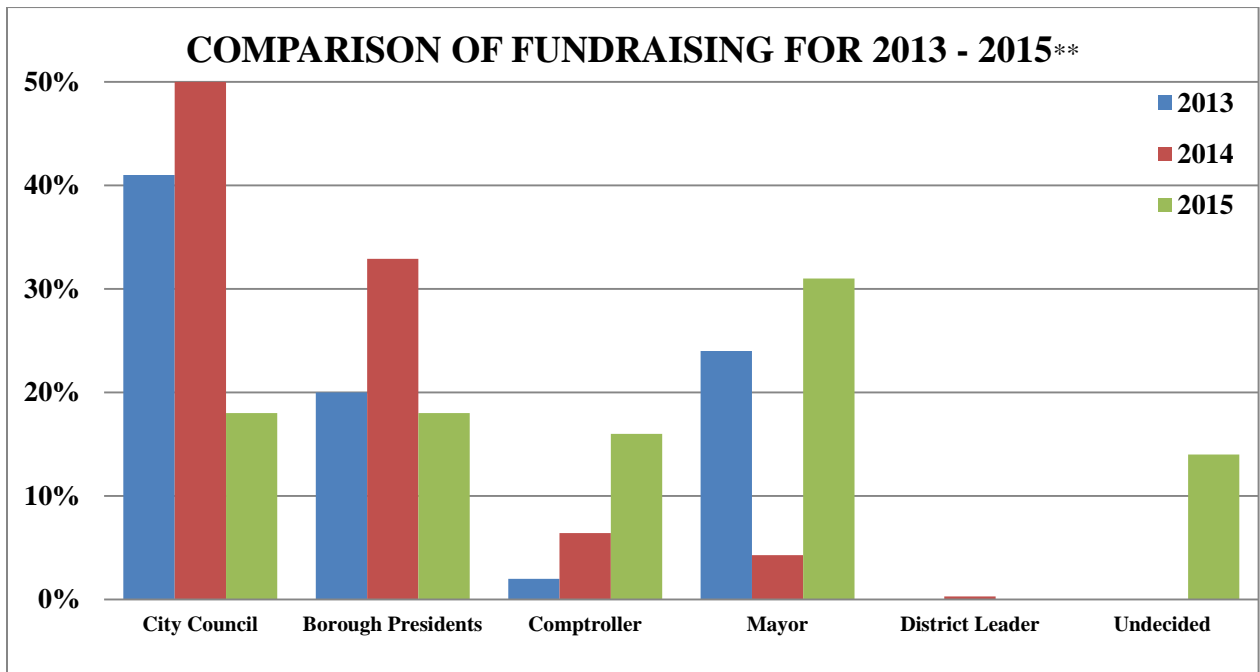
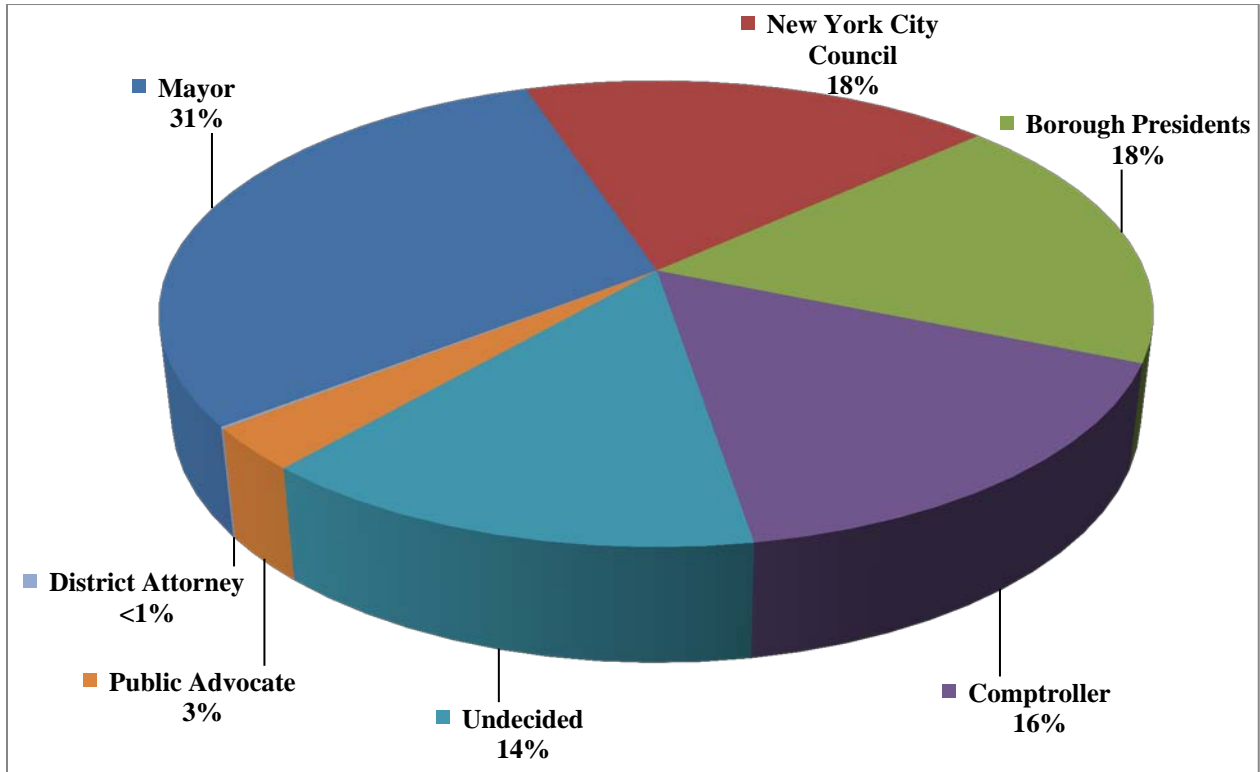


*Data is based on target agencies reported on all periodic reports filed by Lobbyists. Variance due to rounding.

COMPARISON OF TARGETS IN 2012-2015



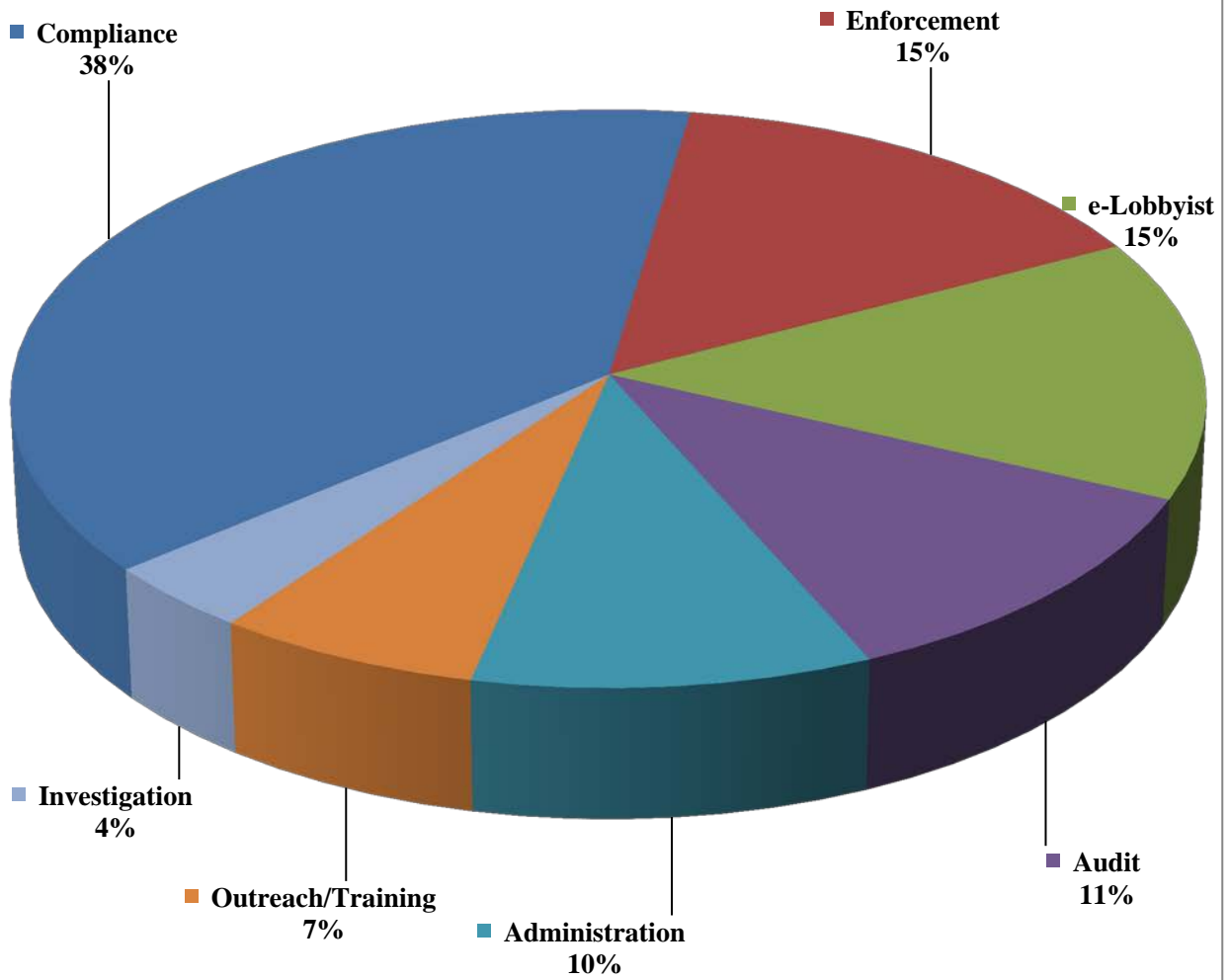
ANALYSIS OF FUNDRAISING REPORTS



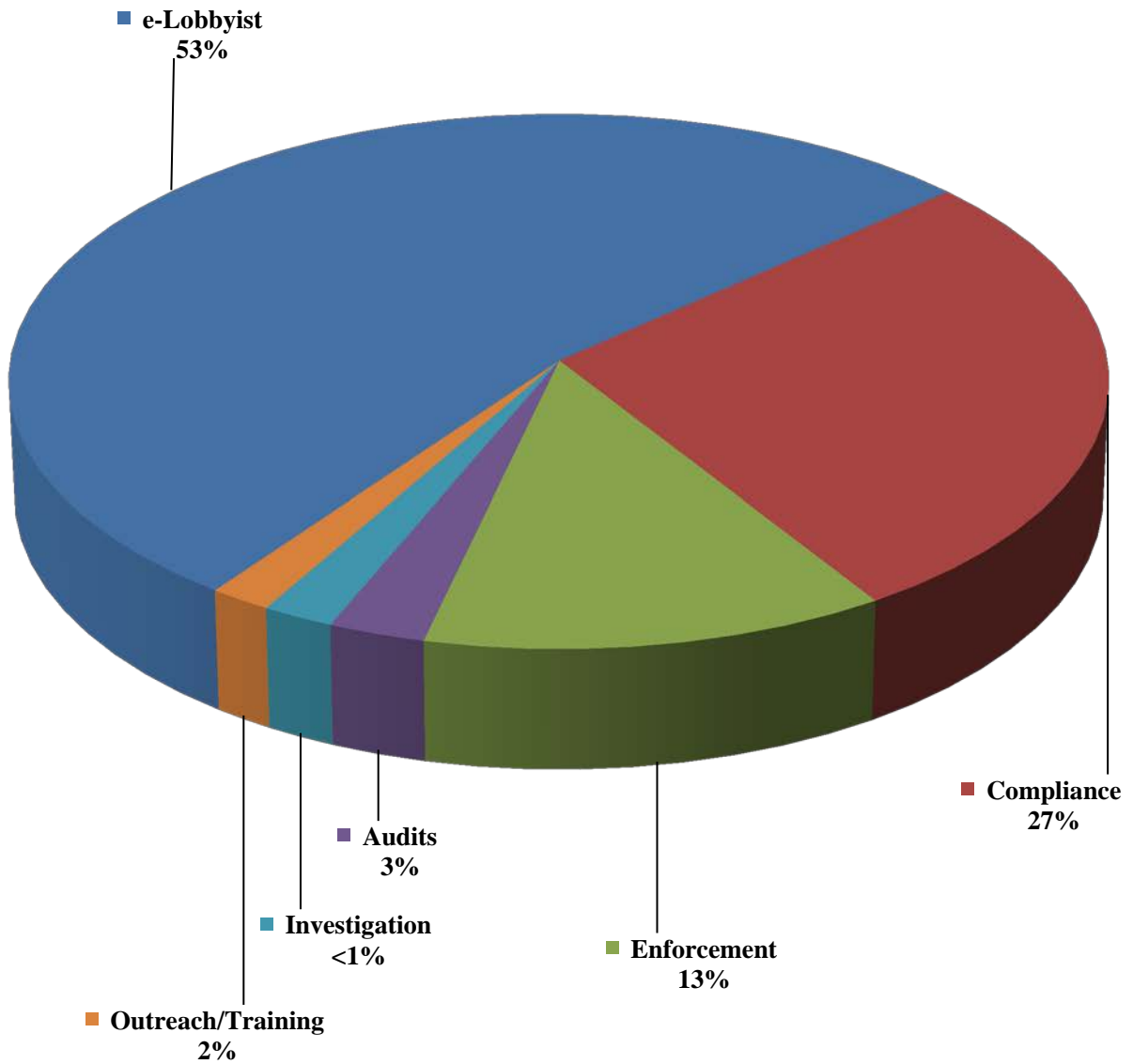
*If a year is omitted, no fundraising occurred for that elected office in that year.

**Data is based on fundraising reported in 2015 fundraising and political consulting reports and as reported in the Lobbying Bureau Annual Report for the respective previous years.

ANALYSIS OF LOBBYING BUREAU STAFF TIME BY SUBJECT CATEGORY



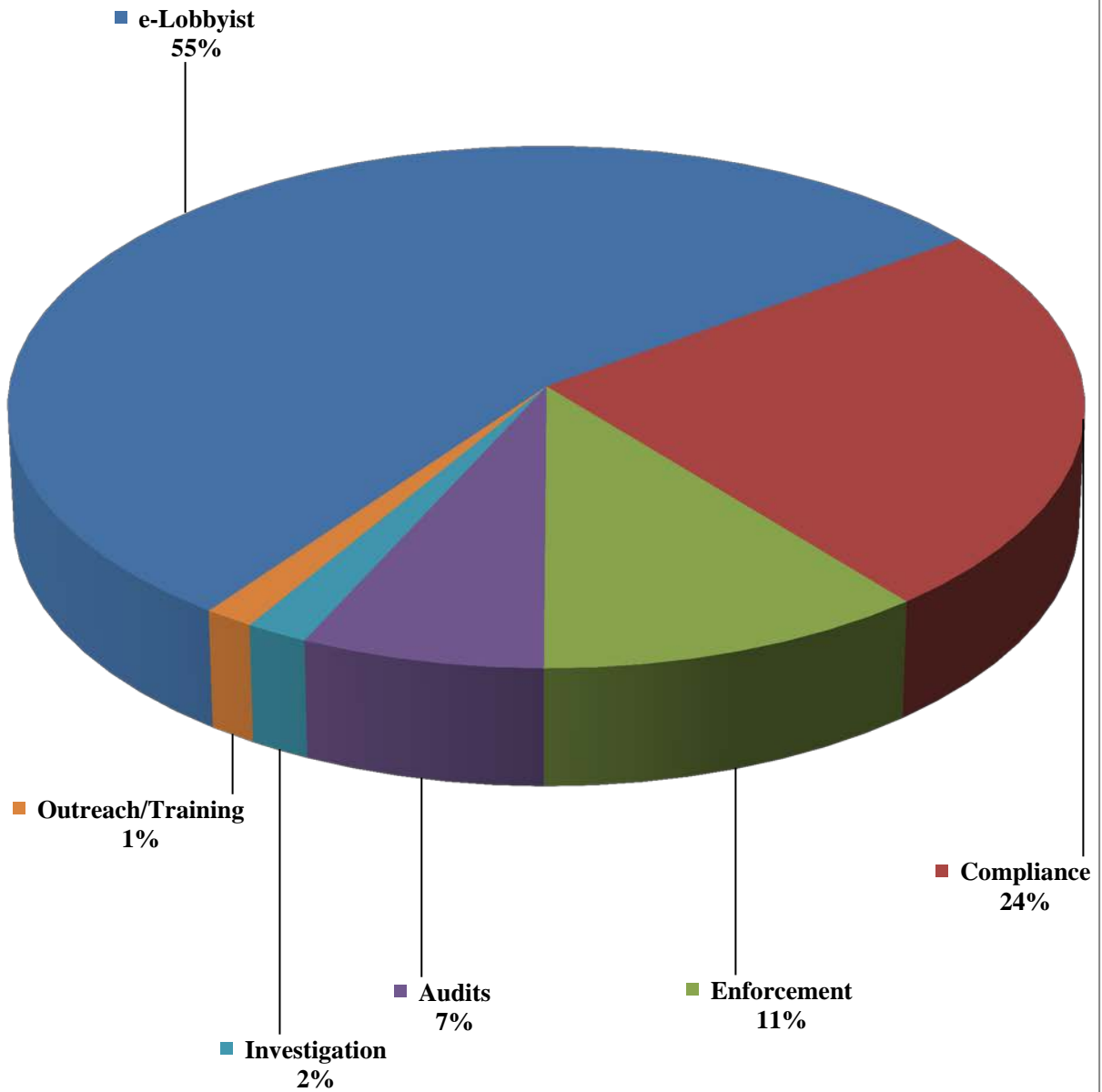
DISTRIBUTION OF TELEPHONE INQUIRIES BY SUBJECT CATEGORY



DISTRIBUTION OF TELEPHONE CALLS BY CATEGORY

<u>Category</u>	<u>Number of Calls</u>
Audit – Drafted Report	1
Audit - Preparation	26
Audit - Other	16
Audit - Field Examination	<u>8</u>
	<u>51</u>
Enforcement - Notice to Cure	96
Enforcement - Petition	84
Enforcement - Other	42
Enforcement - Fine	<u>17</u>
	<u>239</u>
e-Lobbyist - Filing Assistance	359
e-Lobbyist - Other	200
e-Lobbyist - Log-in issues	160
e-Lobbyist - Change in PO	117
e-Lobbyist - Error Message	51
e-Lobbyist - Enrollment Issue	110
e-Lobbyist - Inquiries	<u>7</u>
	<u>1004</u>
Compliance - Inquiries	321
Compliance - Other	104
Compliance - Filing Issues	71
Compliance - Administrative	15
Compliance - Extension Request	<u>8</u>
	<u>519</u>
Investigation	<u>37</u>
Outreach/Training	<u>32</u>
Other	<u>7</u>
Total Telephone Calls	<u>1889</u>

DISTRIBUTION OF EMAIL REQUESTS BY SUBJECT CATEGORY



DISTRIBUTION OF EMAILS BY CATEGORY

<u>Category</u>	<u>Number of Emails</u>
Audit - Preparation	243
Audit - Other	81
Audit - Drafted Report	4
Audit - Field Examination	<u>3</u>
	<u>331</u>
Enforcement - Petition	243
Enforcement - Notice to Cure	230
Enforcement - Fine	44
Enforcement - Other	<u>17</u>
	<u>534</u>
e-Lobbyist - Other	942
e-Lobbyist - Enrollment Issue	568
e-Lobbyist - Error Message	520
e-Lobbyist - Change in PO	349
e-Lobbyist - Filing Assistance	232
e-Lobbyist - Log-in issues	60
e-Lobbyist - Inquiries	<u>5</u>
	<u>2,676</u>
Compliance - Filing Issues	640
Compliance - Other	213
Compliance - Inquiries	206
Compliance - Extension Request	82
Compliance - Administrative	<u>44</u>
	<u>1,185</u>
Investigation	<u>85</u>
Outreach/Training	<u>68</u>
Other	<u>21</u>
Total Emails	<u>4,900</u>

APPENDIX A

LATE FILING PENALTIES: LOBBYIST 2014 SIXTH PERIODIC/ANNUAL REPORT

<u>Lobbyist Entity Name</u>	<u>Total</u>
Axelrod Law Group, P.C.	\$1,025.00
Blackstone Real Estate Advisors L.P.	\$25.00
Blackstone Real Estate Special Situations Advisors L.L.C	\$25.00
Brendan Sexton	\$125.00
Carl Andrews & Associations, Inc.	\$150.00
Citizens Union of the City of New York	\$25.00
Consortium for Worker Education, Inc.	\$475.00
Friends Of The High Line, Inc.	\$475.00
George Delis Public Relations Consultant LLC	\$475.00
Lawrence R. Schillinger, Esq.	\$625.00
Mercury Public Affairs, LLC	\$650.00
Park Strategies, LLC	\$50.00
Picture the Homeless, Inc.	\$25.00
Sheinkopf LTD.	\$250.00
Sirefman Ventures, Inc.	\$125.00
The Blackstone Group L.P.	\$25.00
The Ickes and Enright Group, Inc.	\$125.00
Wildlife Conservation Society	\$125.00
Working Families Organization, Inc.	\$25.00
York Group Associates LLC	\$1,700.00
<u>TOTAL</u>	<u>\$6,525.00</u>

APPENDIX B

LATE FILING PENALTIES: 2014 CLIENT ANNUAL REPORT

<u>Client Entity Name</u>	<u>Total</u>
1 Flatbush Avenue Property Owner LLC	\$730.00
1-10 Industry Associates LLC	\$675.00
150-13 89th LLC	\$900.00
195 Broadway LLC	\$675.00
2857 West 8th Street Associates LLC	\$2,300.00
328-36 West 53rd Street Redevelopment Company LP	\$125.00
39E72 LLC	\$350.00
414-24 West 48th Street Redevelopment Company LP	\$125.00
47th Street Business Improvement District, Inc.	\$125.00
49-51 Chambers LLC	\$570.00
50 & 70 West 93 Member LLC	\$870.00
A.L. Eastmond & Sons Inc. on behalf of A.L. Eastmond & Sons Inc. and Easco Boiler Corp.	\$1,000.00
AIDS Healthcare Foundation	\$350.00
Albanese Development Corporation	\$260.00
All My Children Day Care and Nursery School	\$860.00
Apogee Retail NY, LLC	\$220.00
Association of Car Wash Owners Inc.	\$125.00
Atlas Capital Group, LLC	\$500.00
Bais Ruchel D'Satmar Inc.	\$175.00
Bank Street College of Education	\$1,550.00
BCB Property Management Inc.	\$175.00
BCI Burke Company, LLC	\$260.00
Bedford Arms, LLC	\$130.00
Bedford Roth Holding LLC	\$380.00
Benenson Capital Partners, LLC	\$675.00
Better Waters	\$50.00
Beverly Hotel Associates, LLC	\$70.00
BLDG Greene St LLC	\$660.00
Broadway Metro Associates, L.P.	\$120.00
Brooklyn Public Library	\$300.00
Cadman Associates LLC	\$50.00
CAR2GO N.A. LLC	\$650.00
Center Against Domestic Violence	\$125.00
CFC Capital, LLC	\$675.00
Cheap Shots NY LLC	\$880.00

Clean Energy	\$100.00
CollegePoint Distribution, LLC	\$620.00
Columbus Square Management LLC	\$150.00
Communications Workers of America, Local 1182	\$650.00
Continental Ventures Realty LLC on behalf of 130 7 Ave S Holdings LLC and 52 Wooster	\$125.00
Cool Culture, Inc.	\$350.00
Copia Interactive, LLC	\$650.00
Cornell Realty Management LLC	\$180.00
Creative Foods Group LLC	\$1,050.00
CREP River Terrace Holdings LLC	\$50.00
CWA Local 1180	\$125.00
David M Shapiro Disaster Planning & Recovery Consultants, Inc.	\$290.00
Development Associates (BUFF) L.P.	\$25.00
Douglaston Realty Associates, L.L.C.	\$40.00
Elmhurst Dairy, Inc.	\$25.00
Empire State Pride Agenda, Inc.	\$175.00
Equity One, Inc.	\$125.00
Fahari Academy Charter School	\$860.00
Family San Juan Radio Dispatch	\$940.00
Faruqi & Faruqi, LLP	\$200.00
FedEx Corporation	\$50.00
Financial Services Institute, Inc.	\$80.00
First Equity Abstract Corp.	\$875.00
Flatiron 21 Associates LLC	\$80.00
Flushing Management LLC	\$1,175.00
Freelancers Insurance Company, Inc.	\$125.00
Friends of Flushing Creek, Inc.	\$350.00
FT. Greene Holding Corp.	\$40.00
Gerard Avenue LLC	\$725.00
Goddard Riverside Community Center	\$175.00
Goldcrest Post Productions Ltd	\$880.00
Golf City, LLC	\$70.00
H&M Hennes & Mauritz, L.P.	\$100.00
Harrison Realty LLC	\$250.00
High Line Development LLC	\$675.00
Horse Celebrations, LLC	\$70.00
Institute of Scrap Recycling Industries Inc.	\$675.00
Intergraph Corporation	\$150.00
International Brotherhood of Teamsters	\$125.00
International Code Council, Inc	\$150.00

JC Dwight Inc	\$175.00
JMED Holdings LLC	\$725.00
KVI Holdings, LLC	\$20.00
Ladera, LLC	\$100.00
Liberty Theaters, LLC	\$70.00
Limousine Association of New Jersey, Inc.	\$250.00
Los Angeles Universal Preschool	\$570.00
Madelaine Chocolate Novelties, Inc.	\$150.00
MDG Design & Construction LLC	\$150.00
Midtown HVAC Enterprises Ltd.	\$140.00
Mike's Hop, Inc.	\$500.00
Motion Picture Association of America, Inc.	\$700.00
Mountain Eagle LLC	\$10.00
MPE Hotel I Tenant (Downtown NY) LLC	\$125.00
Nakash Holding LLC	\$1,000.00
Neapolitan Express LLC	\$2,325.00
New York City Special Riggers Association Inc.	\$350.00
New York Container Terminal, LLC	\$125.00
New York Master Cabbie Corp.	\$50.00
North American Manufacturing Enterprises, Inc.	\$260.00
Northeast Brooklyn Housing Development Corporation	\$900.00
NYC Master Riggers Association Inc.	\$100.00
Onexim Basketball, LLC	\$175.00
Park Avenue Armory	\$125.00
Park Slope Residence LLC	\$1,325.00
PFNY, LLC	\$1,675.00
Portofino Spas LLC with Salon Management USA LLC and City Sun New York, Inc.	\$620.00
Ports America, Inc.	\$25.00
Privateer Holdings, Inc.	\$10.00
Project Renewal, Inc.	\$200.00
ProSource Technologies, LLC	\$625.00
Puerto Rican Family Institute, Inc.	\$875.00
Queens Portfolio I Owner LLC	\$20.00
Queens Portfolio II Owner LLC	\$50.00
Queensboro Tower, LLC	\$70.00
Red Hook Lane GP LLC	\$1,550.00
Redflex Traffic Systems, Inc.	\$675.00
Salon Management USA LLC with City Sun New York, Inc. and Portofino Spas LLC	\$280.00
Sanctuary for Families, Inc.	\$150.00

SCO Family of Services	\$125.00
Sea Wave Realty Corp.	\$175.00
Shema Kolainu - Hear our Voices	\$100.00
Sherwood 36 Associates, L.P.	\$350.00
Somerset Partners, LLC	\$260.00
St. Barnabas Hospital	\$650.00
Stanco Systems Electrical Contracting Inc.	\$50.00
Starbucks Coffee Company	\$1,725.00
State Partners LLC for the benefit of EMC Corporation	\$150.00
STOP, LLC.	\$50.00
Sussman Sales Co., Inc.	\$410.00
Tegsco, LLC	\$150.00
The Cement League, Inc.	\$650.00
The Chetrit Group LLC	\$1,550.00
The Gothic Apartments, Inc.	\$150.00
The Hudson Companies Incorporated	\$50.00
The Legal Aid Society	\$125.00
The Williams Companies, Inc.	\$350.00
Toll Bros., Inc. - Brooklyn NY	\$125.00
Total Safety Consulting, LLC	\$40.00
Transport Workers Union, Local 100	\$125.00
True Entertainment LLC	\$10.00
Unisys Corporation	\$50.00
Upper Midtown Chabad-Lubavitch, Inc.	\$950.00
USE Acquisition LLC	\$280.00
Vertikal lifting Solutions, LLC.	\$825.00
Vista Maro LLC	\$25.00
Vocational Instruction Project Community Services, Inc.	\$260.00
Vornado Realty LP and VNO 225 West 58th Street LLC	\$50.00
West 57 Tov LLC	\$130.00
Windermere Properties LLC	\$1,850.00
WW 110 WALL LLC	\$60.00
Youngwoo & Co. LLC	\$25.00
YWA-BP P57 Investors LLC	\$10.00
ZHN Contracting Corporation	<u>\$1,550.00</u>
<u>TOTAL</u>	<u>\$61,915.00</u>

APPENDIX C

LATE FILING PENALTIES: LOBBYIST 2015 STATEMENTS OF REGISTRATION

<u>Lobbyist Entity Name</u>	<u>Total</u>
1199 SEIU United Healthcare Workers East	\$1,500.00
AIDS Community Research Initiative of America	\$125.00
Axelrod Law Group, P.C.	\$775.00
Brendan Sexton	\$2,025.00
Brigade Capital Management, LP	\$1,500.00
Brown & Weinraub, PLLC	\$475.00
Bryan Cave LLP	\$150.00
Carlson Capital Management, L.P.	\$175.00
Carnevale Consulting, LLC	\$325.00
Center for Employment Opportunities, Inc.	\$600.00
Charter Communications, Inc.	\$230.00
CityView Management Services, LLC	\$125.00
Common Cause/NY	\$1,875.00
Community Preservation Corporation	\$1,525.00
Cozen O'Connor	\$650.00
CSC Holdings LLC	\$100.00
David Yassky LLC	\$1,000.00
EffectiveNY Inc.	\$675.00
Empire Government Strategies	\$75.00
Freelancers Union	\$600.00
Fund for the City of New York, Inc.	\$150.00
Greenberg Traurig, LLP	\$450.00
James F. Capalino & Associates, Inc.	\$750.00
Jewish Board of Family and Children's Services, Inc.	\$2,250.00
John Sabini & Associates, LLC	\$840.00
Kasirer LLC	\$75.00
Manatt, Phelps & Phillips, LLP	\$125.00
Mercury Public Affairs, LLC	\$125.00
Metallic lathers and Ironworkers Local 46	\$175.00
Mirram Group LLC	\$1,125.00
Motion Picture Association of America, Inc.	\$125.00
Nissan North America, Inc.	\$1,525.00
Nurse Family Partnership	\$150.00

Opportunities for a Better Tomorrow, Inc.	\$675.00
Park Strategies, LLC	\$250.00
Picture the Homeless, Inc.	\$25.00
Prospect Park Alliance, Inc.	\$1,375.00
Redland Strategies	\$1,500.00
Settlement Housing Fund, Inc.	\$560.00
Slater & Beckerman, P.C.	\$750.00
The Advance Group Inc.	\$775.00
The Alliance for a Greater New York, Inc.	\$150.00
The Alliance of Resident Theatres/New York, Inc.	\$350.00
The Carey Group LLC	\$25.00
The Center for New York City Neighborhood, Inc.	\$375.00
The College Board	\$500.00
The Friedlander Group	\$800.00
The Wright Group NY, Inc.	\$1,075.00
TLM Associates LLC	\$150.00
Torchlight Investors, LLC	\$1,425.00
Transportation Alternatives, Inc.	\$150.00
Union Settlement Association, Inc.	\$300.00
Vaughn College of Aeronautics and Technology	\$400.00
Working Families Organization, Inc.	\$1,500.00
York Group Associates LLC	<u>\$1,975.00</u>
<u>TOTAL</u>	<u>\$37,455.00</u>

APPENDIX D

**LATE FILING PENALTIES: LOBBYIST 2015 AMENDED STATEMENTS OF
REGISTRATION**

<u>Lobbyist Entity Name</u>	<u>Total</u>
Brown & Weinraub, PLLC	\$2,150.00
Carl Andrews & Associations, Inc.	\$25.00
Davidoff Hutcher	\$925.00
Driscoll Group, Inc.	\$275.00
Geto & de Milly Inc.	\$200.00
Gotham Government Relations LLC	\$100.00
Hawkins Consulting, Inc.	\$625.00
Jochmans Consulting, LLC	\$3,475.00
JLO Consultant, Inc.	\$175.00
Mercury Public Affairs, LLC	\$1,650.00
Mirram Group LLC	\$1,675.00
National Strategies, LLC	\$4,175.00
Ostroff Associates, Inc.	\$325.00
Park Strategies, LLC	\$125.00
The Parkside Group, LLC	\$1,400.00
TLM Associates LLC	<u>\$250.00</u>
<u>TOTAL</u>	<u>\$17,550.00</u>

APPENDIX E

LATE FILING PENALTIES: LOBBYIST 2015 FIRST PERIODIC REPORT

<u>Lobbyist Entity Name</u>	<u>Total</u>
Advocates for Children of New York, Inc.	\$50.00
American Red Cross in Greater New York	\$275.00
Ardian US LLC	\$25.00
Association of Legal Aid Attorneys UAW 2325	\$25.00
Best Friends Animal Society	\$350.00
Blue Marble Project	\$350.00
Brendan Sexton	\$275.00
BTG Pactual Asset Management US LLC	\$25.00
Center For Employment Opportunities, Inc	\$225.00
COFCCA, Inc.	\$25.00
Common Cause/NY	\$350.00
Community Preservation Corporation	\$25.00
District Council 37	\$50.00
Ellington Management Group, L.L.C.	\$50.00
Farley & Kessler, P.C.	\$50.00
Feingold O'Keeffe Capital, LLC	\$25.00
Fox Rothschild LLP	\$175.00
FS Capital Partners VI, LLC	\$50.00
Goldentree Asset Management LP	\$50.00
Hawkins Consulting, Inc.	\$250.00
Housing Conservation Coordinators, Inc.	\$175.00
James F. Capalino & Associates, Inc.	\$450.00
Jewish Board of Family and Children's Services, Inc.	\$1,000.00
Jewish Community Council of Greater Coney Island, Inc	\$50.00
Local Initiatives Support Corporation	\$225.00
Millennium Management LLC	\$100.00
Mirram Group LLC	\$50.00
Museum of the City of New York, Inc.	\$50.00
NARAL Pro-Choice New York, Inc.	\$50.00
New York Historical Society	\$50.00
Nissan North America, Inc.	\$25.00
Rosenberg & Estis, P.C.	\$100.00
Selfhelp Community Services, Inc.	\$450.00
Simons & Wright LLC	\$50.00
Spinnaker Capital Limited	\$275.00
The Women's Housing and Economic Development Corporation	\$50.00

Tully Construction Co. Inc.	\$50.00
Village Care of New York, Inc.	\$25.00
WCAS Management Corporation	\$50.00
White Oak Global Advisors, LLC	\$350.00
Yeshiva University	\$300.00
York Group Associates LLC	<u>\$175.00</u>
<u>TOTAL</u>	<u>\$6,800.00</u>

APPENDIX F

LATE FILING PENALTIES: LOBBYIST 2015 SECOND PERIODIC REPORT

<u>Lobbyist Entity Name</u>	<u>Total</u>
Brendan Sexton	\$100.00
Citizens Union of the City of New York	\$75.00
COFCCA, Inc.	\$50.00
Demos: A Network For Ideas And Action, Ltd.	\$75.00
Distinctive Public Affairs. LLC	\$75.00
Duane Morris LLP	\$50.00
E.T. Consulting Services Inc.	\$75.00
Gerber & Gerber, PLLC	\$75.00
Homeless Services United, Inc.	\$75.00
Jewish Community Council of Greater Coney Island, Inc.	\$100.00
Law Offices of Marvin B. Mitzner	\$50.00
Mercury Public Affairs, LLC	\$325.00
MinKwon Center for Community Action, Inc.	\$25.00
Mirram Group LLC	\$825.00
Patrolmen's Benevolent Association of the City of New York	\$175.00
Plus Securities LLC	\$75.00
Sanctuary for Families, Inc.	\$300.00
Selfhelp Community Services, Inc.	\$425.00
Sheldon Lobel, P.C.	\$25.00
The Friedlander Group	\$50.00
VOCAL-NY Action Fund, Inc.	\$75.00
Warshaw Burstein, LLP	\$150.00
York Group Associates LLC	\$900.00
<u>TOTAL</u>	<u>\$4,150.00</u>

APPENDIX G

LATE FILING PENALTIES: LOBBYIST 2015 THIRD PERIODIC REPORT

<u>Lobbyist Entity Name</u>	<u>Total</u>
ARosa Solutions LLC	\$50.00
COFCCA, Inc.	\$25.00
Common Cause/NY	\$25.00
Cozen O'Connor	\$150.00
David Yassky LLC	\$25.00
Ellington Management Group, L.L.C.	\$50.00
MinKwon Center for Community Action, Inc.	\$125.00
Neighborhood Housing Services of New York City, Inc.	\$50.00
New Immigrant Community Empowerment, Inc.	\$25.00
New Yorkers for Clean Livable & Safe Streets Inc.	\$25.00
Plus Securities LLC	\$25.00
Research Affiliates LLC	\$25.00
Sheinkopf LTD.	\$50.00
Slater & Beckerman, P.C.	\$100.00
The American Museum of Natural History	\$25.00
The Center for New York City Neighborhood, Inc.	\$125.00
The Greater New York City Chapter of the ALS Association, Inc.	\$50.00
White Oak Global Advisors, LLC	<u>\$50.00</u>
<u>TOTAL</u>	<u>\$1,000.00</u>

APPENDIX H

LATE FILING PENALTIES: LOBBYIST 2015 FOURTH PERIODIC REPORT

<u>Lobbyist Entity Name</u>	<u>Total</u>
Agudath Israel of America	\$25.00
Best Friends Animal Society	\$1,125.00
Blackstone Administrative Services Partnership L.P.	\$50.00
Brooklyn Public Library	\$50.00
BTG Pactual Asset Management US LLC	\$25.00
Davis Wright Tremaine LLP	\$50.00
Gay Men's Health Crisis, Inc.	\$525.00
Gerber & Gerber, PLLC	\$25.00
Habitat For Humanity New York City, Inc.	\$25.00
MinKwon Center for Community Action, Inc.	\$175.00
NARAL Pro-Choice New York, Inc.	\$400.00
National Waste & Recycling Association	\$50.00
Sheinkopf LTD.	\$50.00
Sheldon Lobel, P.C.	\$25.00
Uniformed Firefighters Association of Greater New York	\$25.00
Vera Institute of Justice, Inc.	<u>\$25.00</u>
<u>TOTAL</u>	<u>\$2,650.00</u>

APPENDIX I

LATE FILING PENALTIES: LOBBYIST 2015 FIFTH PERIODIC REPORT

<u>Lobbyist Entity Name</u>	<u>Total</u>
Brendan Sexton	\$100.00
Brooklyn Public Library	\$25.00
Consolidated Edison, Inc.	\$450.00
CSX Transportation, Inc.	\$50.00
Davis Wright Tremaine LLP	\$100.00
Empire Strategic Planning	\$225.00
Encher Consulting, LLC	\$725.00
Gay Men's Health Crisis, Inc.	\$175.00
Gerber & Gerber, PLLC	\$50.00
Hawkins Consulting, Inc.	\$125.00
Holland & Knight LLP	\$50.00
Law Offices of Marvin B. Mitzner	\$50.00
MinKwon Center for Community Action, Inc.	\$175.00
Mirram Group LLC	\$50.00
P.S. 1 Contemporary Art Center, Inc.	\$50.00
Patrick B. Jenkins & Associates	\$75.00
Picture the Homeless, Inc.	\$350.00
Slater & Beckerman, P.C.	\$275.00
The Friedlander Group	\$50.00
The Humane Society of the United States	\$50.00
The Parkside Group, LLC	\$225.00
York Group Associates, LLC.	<u>\$1,300.00</u>
<u>TOTAL</u>	<u>\$4,725.00</u>

APPENDIX J

**LATE FILING PENALTIES: LOBBYIST 2015 FIRST THROUGH FIFTH PERIODIC
FUNDRAISING/POLITICAL CONSULTING REPORTS**

<u>Lobbyist Entity Name</u>	<u>Total</u>
<u>First Period</u>	
Durst Organization	\$3,400.00
Patricia Lynch Associates	\$3,675.00
<u>Second Period</u>	
Patricia Lynch Associates	\$2,175.00
The Roffe Group PC	\$2,275.00
<u>Third Period</u>	
Connelly McLaughlin & Woloz	\$550.00
James F. Capalino & Associates, Inc.	\$725.00
Mercury Public Affairs, LLC.	\$575.00
Schnur Associates Inc.	<u>\$50.00</u>
<u>TOTAL</u>	<u>\$13,425.00</u>

APPENDIX K

CIVIL PENALTIES: 2015 TERMINATION NOTICES

<u>Client Entity Name</u>	<u>Total</u>
Fahari Academy Charter School	\$375.00
Genesys Telecommunications Laboratories, Inc.	\$650.00
Henningson, Durham & Richardson Architecture and Engineering, P.C.	\$650.00
Hispanic Federation	\$200.00
Midtown Trackage Ventures LLC	\$425.00
West 57 Tov LLC	<u>\$1,000.00</u>
<u>TOTAL</u>	<u>\$3,300.00</u>

APPENDIX L

CIVIL PENALTIES: 2015 INCORRECT REPORTS

<u>Lobbyist Entity Name</u>	<u>Total</u>
HR&A Advisors, Inc.	\$700.00
John Sabini & Associates, LLC	\$200.00
Kasirer LLC	\$3,000.00
Manatt, Phelps & Phillips, LLP	\$180.00
Park Strategies, LLC	\$735.00
RREEF America LLC	\$700.00
SHoP Architects PC	\$375.00
Tully Construction Co. Inc.	\$700.00
York Group Associates, LLC	<u>\$200.00</u>
<u>TOTAL</u>	<u>\$6,790.00</u>