

COMMONWEALTH OF KENTUCKY

EXECUTIVE AGENCY LOBBYING
HANDBOOK



APRIL 2018

Printed with state funds

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GENERAL INFORMATION

The following is an informational guide to the portions of the Executive Branch Code of Ethics, KRS Chapter 11A, that apply to Executive Agency Lobbying. Please review KRS Chapter 11A and Chapter 9 of the Kentucky Administrative Regulations for further information. The Executive Branch Ethics Commission is charged with administering the executive agency lobbying process.

The purpose of the executive agency lobbying law is to provide transparency to the public at large to know which persons or entities are making a significant effort to influence public policy as it relates to the expenditure of state funds. The executive agency lobbying laws in the Commonwealth of Kentucky only apply to attempts to influence on the state level; the requirements addressed in this publication do not apply to activities involving attempts to influence the decisions of county or municipal officials.

Executive Agency Lobbying vs. Legislative Lobbying

If you are attempting to promote, oppose, or otherwise influence the outcome of an executive agency decision involving the expenditure of state funds, you are conducting executive agency lobbying and you must register as an executive agency lobbyist with the Executive Branch Ethics Commission. If you are attempting to promote, advocate, or oppose the passage, modification, defeat, or executive approval or veto of any bill, resolution, amendment, nomination, and any other matter pending before or acted upon the Kentucky General Assembly, then you are conducting legislative lobbying and you must register as a legislative agent with the Kentucky Legislative Ethics Commission. The Legislative Ethics Commission administers legislative lobbying. The distinction between the two types of lobbying is based upon subject matter; therefore, when deciding whether to register as a legislative agent or an executive agency lobbyist you should determine *what* you will be attempting to influence and *who* you will be contacting to attempt to influence.

What is Executive Agency Lobbying?

The executive agency lobbying law requires that people, organizations or other groups who expend funds or receive compensation to influence an executive agency decision must register with the Executive Branch Ethics Commission (“the Commission”). An **executive agency decision** means a decision of an executive agency regarding the expenditure of state funds with respect to the award of a contract, grant, lease, the inclusion or deletion of items in the executive branch state budget, entitlement programs, or other financial arrangement under which state funds are distributed or allocated.

Who Should Register as an Executive Agency Lobbyist, Employer, or Real Party in Interest?

Whether a person should register as an executive agency lobbyist is determined by the person's activity. An executive agency lobbyist is any individual who is engaged by an employer or a real party in interest on a substantial basis, as one of his or her main purposes, to influence executive agency decisions or to conduct executive agency lobbying activity. If the advocacy by direct communication regarding an executive agency decision is directed to the office of an elected executive official, a cabinet listed in KRS 12.250, an executive branch official, or any other state agency, department, board, or commission controlled or directed by an elected executive official or otherwise subject to their authority, and the person is attempting to influence an executive agency decision, then the person engaged in such advocacy is an executive agency lobbyist.

The question often arises what does the phrase "on a substantial basis, as one of his or her main purposes" mean. In other words, at what point have you performed sufficient activity to warrant registration as an executive agency lobbyist? As a rule of thumb, if you have made direct contacts during a calendar year, for the purpose of influencing an executive agency decision involving state funds of at least \$5,000 per year, you are required to be registered as an executive agency lobbyist.

ATTENTION: Former Executive Branch Employees

KRS 11A.040(8) prohibits you for one (1) year from the date you leave state employment from lobbying on matters in which you had direct involvement the last thirty-six (36) months of your state employment.

Statutory definitions found in KRS 11A.201 *et seq.* are outlined as follows.

Who is an Executive Agency Lobbyist?

An *executive agency lobbyist* (EAL) is any **person** who is employed or *engaged* to influence *executive agency decisions* or to conduct *executive agency lobbying activity* as one of his main purposes on a *substantial basis*. The term "executive agency lobbyist" shall also include *placement agents* and *unregulated placement agents*.

Engage means to make any arrangement, and *engagement* means any arrangement, whereby an individual is employed or retained for *compensation* to act for or on behalf of an employer to influence executive agency decisions or to conduct any executive agency lobbying activity.

Compensation means any money, thing of value, or economic benefit conferred on, or received by, any person in return for service rendered, or to be rendered by himself or another.

Executive Agency Decision means a decision of an executive agency regarding the expenditure of funds of the state or of an *executive agency* with respect to the award of a contract, grant, lease, or other financial arrangement under which such funds are distributed or allocated.

Executive Agency means the office of an elected executive official, a cabinet listed in KRS 12.250 or any other state agency, department, board, or commission controlled or directed by an elected executive official or otherwise subject to their authority. "Executive agency" does not include any court the Kentucky General Assembly.

Executive Agency Lobbying Activity means contacts made to promote, oppose, or otherwise influence the outcome of an executive agency decision by direct communication with an elected executive official, the secretary of any cabinet listed in KRS 12.250, any *executive agency official*, or a member of the *staff* of any of the officials listed in this paragraph.

Executive Agency Official means an officer or employee of an executive agency whose principal duties are to formulate policy or to participate directly or indirectly in the preparation, review, or award of contracts, grants, leases, or other financial arrangements with an executive agency.

Person means an individual, proprietorship, firm, partnership, joint venture, joint stock company, syndicate, business, trust, estate, company, corporation, association, club, committee, organization, or group of persons acting in concert.

Placement agent means an individual or firm who is compensated or hired by an employer or other real party in interest for the purpose of influencing an executive agency decision regarding the investment of the Kentucky Retirement Systems or the Kentucky Teachers' Retirement System assets; and *Unregulated placement agent* means a placement agent who is prohibited by federal securities laws and regulations promulgated thereunder from receiving compensation for soliciting a government agency.

Staff means any employee of the office of the Governor, or cabinet official listed in KRS 12.250, whose official duties are to formulate policy and who exercises administrative or supervisory authority or who authorizes the expenditure of state funds.

Substantial Basis means contacts which are intended to influence a decision that involves one or more disbursements of state funds in an amount of at least five thousand dollars (\$5,000) per year.

Who Is An Employer Of An Executive Agency Lobbyist?

An *employer* means any *person* who employs or engages an executive agency lobbyist.

Who is a Real Party in Interest?

A *real party in interest* is the person or organization on whose behalf the executive agency lobbyist is acting, if that person is not the employer. For example, if the ABC Corporation engages XYZ Government Relations Firm that, in turn, hires John Smith to influence decisions or conduct executive agency lobbying on behalf of ABC Corporation: (a) John Smith is the executive agency lobbyist; (b) XYZ Government Relations Firm is the employer; and (c) ABC Corporation is the real party in interest.

Who is Exempt from Registering as an Executive Agency Lobbyist?

- 1) Unpaid lobbyists.
- 2) A person who is attempting to influence a decision of an executive agency **that does not involve** the expenditure of state funds or the award of a contract, grant, lease, or other financial arrangement under which such funds are distributed or allocated. Examples: a public utility appears before the Public Service Commission to request a rate increase; a manufacturing plant communicates directly with officials with the Air Quality Commission to discuss policies/regulations regarding air pollution.
- 3) A person whose job does not include lobbying as a “main purpose.” Example: an engineer for a public utility who sometimes is in contact with state highway officials about moving utility lines, but whose main duties do not include lobbying.
- 4) A person whose state contacts do not involve “substantial” state spending. Decisions involving state spending of less than \$5,000 per year are not considered “substantial.”
- 5) A firm or individual merely submitting a bid or responding to a Request for Proposal for a contract.
- 6) A person whose contacts with state officials are for the sole purpose of gathering information contained in a public record. Example: a businessman who seeks a fuller explanation of bidding specifications but makes no effort to change or otherwise influence a state decision on the bids.
- 7) A person whose lobbying is done only during appearances before public meetings of executive agencies.
- 8) A person whose contacts are limited to those employees whose official duties do not include policy formulation, administrative or supervisory authority, or expenditure authorization. To be considered lobbying, contacts must be with an elected official; a cabinet secretary; officials whose principal duties are to make policy or participate in the preparation or award of state contracts or other financial arrangements, or the staff of any of the above officials. (See KRS 11A.201(9), (10) and (14) for complete details.)
- 9) Officers or employees of federal, state or local governments or of state colleges and universities when acting within their official duties.
- 10) Persons exercising their constitutional right to assemble with others for their common good and petition state executive branch agencies for redress of grievances.

- 11) Persons acting to promote, oppose or otherwise influence the outcome of a decision of the Cabinet for Economic Development or any board or authority within or attached to the Cabinet relating to the issuance or award of a bond, grant, lease, loan, assessment, incentive inducement, or tax credit pursuant to KRS 42.4588, 103.210, Chapter 154 or Chapter 224A, or otherwise relating to another component of an economic incentive package.

The executive agency lobbying laws do not apply to the efforts of persons who are attempting to influence executive agency decisions or conducting executive agency lobbying activity in any of the following circumstances:

- 1) Appearances at public hearings of the committees of the General Assembly, at court proceedings, at rule-making or adjudication proceedings, or at other public meetings;
- 2) News, editorial, and advertising statements published in newspapers, journals, or magazines, or broadcast over radio or television;
- 3) The gathering and furnishing of information and news by bona fide reporters, correspondents, or news bureaus to news media described in number two above; and
- 4) Publications primarily designed for and distributed to members of associations or charitable or fraternal nonprofit corporations.

Is There a Registration Fee?

Yes. Each employer of one or more lobbyists, and each real party in interest, must pay a registration fee of **\$500** upon the filing of an **Updated Registration Statement due July 31** each year. Do not submit fees when filing the Initial Registration Statement. The registration fee may be paid using a check, credit card, money order, or electronic check payment. Credit card and electronic check payments are made via the Commission's website credit card app. Checks are made payable to "Kentucky State Treasurer". It is preferred that the **\$500 registration fee** accompany the submitted **Updated Registration Statement** for accurate recording purposes.

When an employer or real party in interest has terminated the engagement of **all** executive agency lobbyists registered on their behalf, the employer or real party in interest has consequently terminated its registration with the Commission. When the employer or real party terminates their registration at any time during the reporting period, a **final Updated Registration Statement and \$500 registration fee must be submitted** to the Commission. Failure to pay the \$500 registration fee either with a regular Updated Statement or a final Updated Statement will constitute a deficiency in the filing of an updated registration statement and will subject the employer/real party in interest to the penalties outlined in KRS 11A.990(5).

INITIAL REGISTRATION STATEMENTS

How to Register

Each executive agency lobbyist (“EAL”) must file an *Initial Registration Statement* that will, simultaneously, register the lobbyist, the employer, and the real party in interest. An executive agency lobbyist engaged by more than one employer must file a separate *Initial Registration Statement* for each employer. Employers must ensure that each individual executive agency lobbyist engaged to represent the employer has filed an *Initial Registration Statement*. The *Initial Registration Statement* is available for electronic completion on the Executive Branch Ethics Commission’s internet website at <http://ethics.ky.gov/>.

The *Initial Registration Statement* is filed with the Executive Branch Ethics Commission (“the Commission”), 1025 Capital Center Drive, Suite #104 Frankfort, Kentucky 40601. The *Initial Registration Statement* may be completed electronically via the Commission’s website, but must be printed, signed by both the executive agency lobbyist and the employer contact, and submitted via regular mail, scanned/emailed or through an online system established by the Commission.

When Should You Register?

Each executive agency lobbyist is required to file an *Initial Registration Statement* **within ten (10) days** of the engagement of the executive agency lobbyist by the employer or real party in interest. Pursuant to KRS 11A.211, executive agency lobbyists and employers who fail to register, or who file an incomplete registration, will be afforded the opportunity for correction. Failure to comply with such opportunity may result in the Commission's initiation of an investigation, and notification to each elected official and the Secretary of each Cabinet listed in KRS 12.250 of the pending investigation.

How Long is the Registration Valid?

Following registration, the executive agency lobbyist will be issued a registration card by the Commission effective from the date of its issuance until July 31. The employer will receive confirmation of their registration along with an updated list of all executive agency lobbyists registered on their behalf. Both the lobbyist and the employer/real party will receive communication regarding their requirements after registration. The executive agency lobbyist will be issued a new registration card for the next reporting period upon filing of the *Updated Registration Statement, Executive Agency Lobbyist* due on July 31 each year.

Until an executive agency lobbyist terminates their registration with the Commission, the lobbyist and his/her employer/real party interest are considered “active” and therefore required to file updated registration statements and pay registration fees on an annual basis.

INSTRUCTIONS

INITIAL REGISTRATION STATEMENT

EXECUTIVE AGENCY LOBBYIST/EMPLOYER AND REAL PARTY IN INTEREST

Please complete all sections and all items of the *Initial Registration Statement*. **Do not leave blanks**

A. Executive Agency Lobbyist Information

Provide information requested as it relates to the executive agency lobbyist.

Item 11, Date of Engagement: The date the executive agency lobbyist entered into an agreement for compensation to conduct executive agency lobbying activity on behalf of the employer or real party in interest. Executive agency lobbyists may be in-house employees of the employer or contract lobbyists. Employees would not necessarily put the starting date of employment, but the date the employee was assigned the task to conduct executive agency lobbying on behalf of the employer.

B. Employer Information

Provide information requested as it relates to the employer.

Item 4, Employer Contact: The designated "Employer Contact" serves as the liaison between the Commission staff and the employer as it relates to all matters of compliance and reporting. This individual will be responsible for the completion and submission of the *Updated Registration Statement, Employer of Executive Agency Lobbyist* and payment of the \$500 registration fee both due **July 31** of each year.

C. Real Party in Interest

The "real party in interest" is the person or organization on whose behalf the executive agency lobbyist is acting, if that person is not the employer. For example, if the ABC Corporation engages XYZ Government Relations Firm that, in turn, hires John Smith to influence decisions or conduct executive agency lobbying on behalf of ABC Corporation: (a) John Smith is the executive agency lobbyist; (b) XYZ Government Relations Firm is the employer; and (c) ABC Corporation is the "real party in interest."

Remember that it makes no difference how many parties come between the executive agency lobbyist and the real party in interest. The requirement is that the statement specifically identifies the real party in interest, if different from the employer.

Item 4, Real Party in Interest Contact: The designated "Real Party in Interest Contact" serves as the liaison between the Commission staff and the real party in interest as it relates to all matters of compliance and reporting. This individual will be responsible for the completion and submission of the *Updated Registration Statement, Real Party in Interest* and payment of the \$500 registration fee both **due July 31** of each year

D. Brief Description of the Executive Agency Decision to Which Engagement Relates

The description should state the purpose and the subject matter areas for which the executive agency lobbyist is engaged. Examples: award of a lease for office space; award of a contract to provide equipment; marketing products or services to an executive branch state agency; award of a personal service contract; attempts to increase/decrease state funding through the budget process; investment/financial services for state retirement accounts or banking services; award of grants for social services; formularies or agreements related to entitlement programs.

E. Listing of Executive Agencies to Be Lobbied

Please check the state agency(ies) to which the engagement relates, meaning those agencies most likely be contacted while conducting executive agency lobbying activity. This listing is subject to change due to reorganization by the governor or legislation enacted by the Kentucky General Assembly. Add additional agencies not listed in the space provided.

Note: Executive agency officials may require certification from any person seeking the award of a contract, grant, lease, or financial arrangement that the person and his employer are in compliance with KRS 11A.211. The EAL registration card, supplied by the Executive Branch Ethics Commission, will serve as certification as well as the official listing of Executive Agency Lobbyists and their Employers on the Commission's website <http://ethics.ky.gov/>

Certification and Signature:

The *Initial Registration Statement* **must be signed** and certified by both the executive agency lobbyist and the employer designee. The signed statement may be submitted in original form via hand delivery, regular mail, delivery service, electronically by facsimile/electronic mail or through an online system established by the Commission.

Do not submit registration fees when filing the *Initial Registration Statement*. The registration fee is paid when the employer/real party in interest files the annual Updated Registration Statement due July 31 of each year.

INITIAL REGISTRATION STATEMENT EXECUTIVE AGENCY LOBBYIST/EMPLOYER/REAL PARTY IN INTEREST

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Capital Complex East, 1024 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 695-5939

ATTENTION FORMER EXECUTIVE BRANCH EMPLOYEES:

KRS 11A.040(8) prohibits you for one (1) year from the date you leave state employment from lobbying on matters in which you had direct involvement the last thirty-six (36) months of your state employment.

This statement must be filed with the Executive Branch Ethics Commission within **ten (10) days of engagement**. Please read instructions and review Kentucky Revised Statutes 11A.211 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days. **Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.**

A. Executive Agency Lobbyist Information

1. Full Name: _____
2. Occupation: _____ 3. Title: _____
4. Firm Name: _____
5. Business Address: _____
6. Business Telephone: _____ 7. E-Mail Address: _____
8. Cell/Mobile Telephone: _____
9. Permanent Residential Address: _____
10. Date of Engagement as Executive Agency Lobbyist with this Employer: _____

B. Employer Information

1. Full name of company/organization: _____
2. Type of Industry: _____
3. Business Address: _____
4. Employer Contact: Name and title of person responsible for completing the *Updated Registration Statement/Employer of Executive Agency Lobbyist* (each Employer should name one person as a contact).

Name: _____ Title: _____
Address (if different from Employer above): _____
Telephone: _____ E-mail Address: _____

C. Real Party in Interest Information (if applicable)

1. Full name of company/organization: _____
2. Type of Industry: _____
3. Business Address: _____
4. Name and title of person responsible for completing the *Updated Registration Statement/Real Party in Interest* (each Real Party should name one person as a contact).

Name: _____ Title: _____
Address (if different from Real Party above): _____
Telephone: _____ E-mail Address: _____

D. Brief description of the executive agency decision(s) to which executive agency lobbyist's engagement relates: **Do Not Leave Blank _____**

E. Listing of Executive Branch Agencies to which engagement relates: Please check all agencies you anticipate contacting in your capacity as an executive agency lobbyist for the employer listed on this form.

CONSTITUTIONAL AGENCIES/ELECTED OFFICIALS

- | | | |
|--|--|---|
| <input type="checkbox"/> Agricultural Policy, Governor's Office of | <input type="checkbox"/> Homeland Security, Office of | <input type="checkbox"/> Local Government, Department for |
| <input type="checkbox"/> Agriculture, Commissioner of | <input type="checkbox"/> Kentucky Coal Council | <input type="checkbox"/> Military Affairs, Department for |
| <input type="checkbox"/> Attorney General, Office of the | <input type="checkbox"/> Kentucky Commission on Human Rights | <input type="checkbox"/> Minority Empowerment |
| <input type="checkbox"/> Auditor of Public Accounts | <input type="checkbox"/> Kentucky Commission on Military Affairs | <input type="checkbox"/> Registry of Election Finance |
| <input type="checkbox"/> Board of Elections | <input type="checkbox"/> Kentucky Commission on Women | <input type="checkbox"/> Secretary of State |
| <input type="checkbox"/> Coal Marketing and Export, Office of | <input type="checkbox"/> Kentucky Infrastructure Authority | <input type="checkbox"/> State Budget Director |
| <input type="checkbox"/> Governor | <input type="checkbox"/> Lieutenant Governor | <input type="checkbox"/> State Treasurer |
| | | <input type="checkbox"/> Veterans' Affairs |

ECONOMIC DEVELOPMENT CABINET

- | | | |
|---|--|---|
| <input type="checkbox"/> Bluegrass State Skills Corporation | <input type="checkbox"/> Kentucky Economic Development Finance Authority | <input type="checkbox"/> Kentucky Innovation Network |
| <input type="checkbox"/> Business Development, Department for | <input type="checkbox"/> Kentucky Economic Development Partnership | <input type="checkbox"/> Secretary, Office of the |
| <input type="checkbox"/> Entrepreneurship, Office of | | <input type="checkbox"/> Small Business Advocacy Commission |

EDUCATION AND WORKFORCE DEVELOPMENT CABINET

- | | | |
|---|--|---|
| <input type="checkbox"/> Americans with Disabilities Act, Ky. Office of | <input type="checkbox"/> Education Professional Standards Board | <input type="checkbox"/> Kentucky Education Television |
| <input type="checkbox"/> Blind, Office for the | <input type="checkbox"/> Education, Department of | <input type="checkbox"/> Libraries and Archives, Department |
| <input type="checkbox"/> Career and Technical Education, Office of | <input type="checkbox"/> Education, Kentucky Board of | <input type="checkbox"/> Proprietary Education, Commission on |
| <input type="checkbox"/> Center for School Safety | <input type="checkbox"/> Educational Programs/Work Ready Communities | <input type="checkbox"/> Secretary, Office of the |
| <input type="checkbox"/> Center for Education & Workforce Statistics | <input type="checkbox"/> Employment and Training, Office of | <input type="checkbox"/> Unemployment Insurance Commission |
| <input type="checkbox"/> Council on Postsecondary Education | <input type="checkbox"/> Environmental Education Council, Kentucky | <input type="checkbox"/> Vocational Rehabilitation, Office of |
| <input type="checkbox"/> Deaf and Hard of Hearing, Commission on | <input type="checkbox"/> Governor's Scholars Program | <input type="checkbox"/> Workforce Innovation Board, Kentucky |
| <input type="checkbox"/> Early Childhood Advisory Council | | <input type="checkbox"/> Workforce Investment, Department of |

ENERGY AND ENVIRONMENT CABINET

- | | | |
|---|--|--|
| <input type="checkbox"/> Abandoned Mine Lands, Division of | <input type="checkbox"/> Forestry, Division of | <input type="checkbox"/> Mine Safety Review Commission |
| <input type="checkbox"/> Administrative Hearings, Office of | <input type="checkbox"/> Heritage Land Conservation Fund, Kentucky | <input type="checkbox"/> Natural Resources, Department for |
| <input type="checkbox"/> Air Quality, Division for | <input type="checkbox"/> Inspector General, Office of | <input type="checkbox"/> Oil and Gas Conservation, Division of |
| <input type="checkbox"/> Conservation, Division of | <input type="checkbox"/> Legal Services, Office of | <input type="checkbox"/> Public Service Commission |
| <input type="checkbox"/> Energy Development and Independence, | <input type="checkbox"/> Mine Permits, Division of | <input type="checkbox"/> Secretary, Office of the |
| <input type="checkbox"/> Environmental Protection, Department for | <input type="checkbox"/> Mine Reclamation and Enforcement, Division of | <input type="checkbox"/> State Nature Preserves Commission, Kentucky |
| <input type="checkbox"/> Environmental Quality Commission | <input type="checkbox"/> Mine Safety and Licensing, Office of | <input type="checkbox"/> Waste Management, Division of |
| | | <input type="checkbox"/> Water, Division of |

FINANCE AND ADMINISTRATION CABINET

- | | | |
|---|--|--|
| <input type="checkbox"/> Administrative Services, Office of | <input type="checkbox"/> Kentucky Higher Education Student Loan Corp | <input type="checkbox"/> Retirement Systems, Kentucky |
| <input type="checkbox"/> Commonwealth Office of Technology | <input type="checkbox"/> Kentucky Housing Corporation | <input type="checkbox"/> Revenue, Department of |
| <input type="checkbox"/> Controller, Office of the | <input type="checkbox"/> Kentucky Lottery Corporation | <input type="checkbox"/> School Facilities Construction Commission |
| <input type="checkbox"/> Facilities & Support Services, Department for | <input type="checkbox"/> Kentucky River Authority | <input type="checkbox"/> Secretary, Office of the |
| <input type="checkbox"/> Financial Management, Office of | <input type="checkbox"/> Local Correctional Facilities Construction Auth | <input type="checkbox"/> State Investment Commission |
| <input type="checkbox"/> General Counsel, Office of | <input type="checkbox"/> Material and Procurement Services, Office of | <input type="checkbox"/> State Property and Buildings Commission |
| <input type="checkbox"/> Kentucky Gas Pipeline Authority | <input type="checkbox"/> Property Valuation, Office of | <input type="checkbox"/> Teachers' Retirement System, Kentucky |
| <input type="checkbox"/> Kentucky Higher Education Assistance Authority | | <input type="checkbox"/> Turnpike Authority of Kentucky |

HEALTH AND FAMILY SERVICES CABINET

- Administrative Hearings
- Aging & Independent Living, Department for
- Behavioral Health, Developmental & Intellectual Disabilities,
- Certificate of Need
- Child Care/Child Support
- Children with Special Health Care Needs, Commission for
- Community Based Services, Department for
- Community Volunteerism and Service, Kentucky Commission on
- Disability Determination Services
- Family Resource Centers & Volunteer Services
- Family Support, Division of
- Health Benefit & Health Information Exchange, Office of
- Health Policy, Office of
- Income Support, Department for
- Inspector General, Office of
- Kentucky e-Health Network Board
- Medicaid Services, Department for
- Ombudsman, Office of
- Policy & Budget Office of
- Prevention Violence Resources, Division of
- Public Health, Department for
- Secretary, Office of the

JUSTICE AND PUBLIC SAFETY CABINET

- Child Fatality & Near Fatality External Review Panel
- Corrections, Department of
- Criminal Justice Council
- Criminal Justice Training, Department of
- Drug Control Policy, Office of
- Grants Management Branch
- Internal Investigations, Office of
- Juvenile Justice, Department of
- Juvenile Justice Oversight Council
- Kentucky State Police, Department of
- Legal Services, Office of
- Legislative & Intergovernmental Services, Office of
- Motor Vehicle Enforcement
- Parole Board
- Public Advocacy, Department for
- Secretary, Office of the
- State Medical Examiner, Kentucky

LABOR CABINET

- Apprenticeship & Training Council
- General Counsel
- Kentucky Employers Mutual Insurance
- Kentucky Occupational Safety & Health Review Commission
- Labor-Management Advisory Council
- Labor Relations Board, State
- Prevailing Wage Review Board
- Secretary, Office of the
- Workers' Claims, Department of
- Workers' Compensation Funding Commission
- Workplace Standards, Department of

PERSONNEL CABINET

- Administrative Services, Office of
- Center for Strategic Innovation
- Diversity and Equality, Office of
- Employee Insurance, Department of
- Employee Relations, Office of
- Governmental Services Center
- Human Resources Administration, Department
- Kentucky Public Employees Deferred Compensation Authority
- Legal Services, Office of
- Secretary, Office of the

PUBLIC PROTECTION CABINET

- Alcoholic Beverage Control, Department of
- Boxing and Wrestling Authority, Kentucky
- Charitable Gaming, Department of
- Claims, Board of
- Crime Victims Compensation Board
- Financial Institutions, Department of
- Horse Racing Commission, Kentucky
- Housing, Buildings & Construction, Department of
- Insurance, Department of
- Occupations and Professions, Office of
- Secretary, Office of the
- Tax Appeals, Board of

TOURISM ARTS AND HERITAGE CABINET

- Creative Services, Office of
- Fish and Wildlife Resources
- Frankfort Convention Center
- Governor's School for the Arts
- Kentucky Artisan Center
- Kentucky Arts Council
- Kentucky Center for the Arts
- Kentucky Heritage Council
- Kentucky Historical Society
- Kentucky Horse Park
- Kentucky Humanities Council
- Kentucky Sports Authority
- Kentucky State Fair Board
- Kentucky State Parks
- Secretary, Office of the
- Travel, Department of

TRANSPORTATION CABINET

- Aviation, Department of
- Budget & Fiscal Management, Office of
- Highways, Department of
- Highway Safety, Office of
- Inspector General, Office of
- Kentucky Airport Zoning Commission
- Project Delivery & Preservation, Office of
- Project Development, Office of
- Rural and Municipal Aid, Department for
- Secretary, Office of the
- Transportation Delivery, Office for
- Vehicle Regulation, Department of

GENERAL GOVERNMENT / BOARDS AND COMMISSIONS

- | | | |
|--|--|---|
| <input type="checkbox"/> Accountancy, Board of
<input type="checkbox"/> Alcohol and Drug Counselors, Board of
<input type="checkbox"/> Applied Behavior Analysis, Board of
<input type="checkbox"/> Architects, Board of
<input type="checkbox"/> Auctioneers, Board of
<input type="checkbox"/> Barbering, Board of
<input type="checkbox"/> Chiropractic Examiners, Board of
<input type="checkbox"/> Dentistry, Board of
<input type="checkbox"/> Dieticians and Nutritionists, Board of Certification
<input type="checkbox"/> Embalmers and Funeral Directors, Board of
<input type="checkbox"/> Emergency Medical Services, Board of
<input type="checkbox"/> Executive Branch Ethics Commission
<input type="checkbox"/> Fee-Based Pastoral Counselors, Board of
<input type="checkbox"/> Hairdressers and Cosmetologists, Board of
<input type="checkbox"/> Hearing Instruments, Board of Specialists in
<input type="checkbox"/> Heating, Ventilation and Air Conditioning Contractors, Board of
<input type="checkbox"/> Home Inspectors, Board of | <input type="checkbox"/> Interpreters for the Deaf and Hard of Hearing, Board of
<input type="checkbox"/> Landscape Architects, Board of Examiners & Registration of
<input type="checkbox"/> Manufactured Home Certification and Licensure, Board of
<input type="checkbox"/> Marriage and Family Therapists, Board of Certification of
<input type="checkbox"/> Massage Therapy, Board of Licensure for
<input type="checkbox"/> Medical Licensure, Board of
<input type="checkbox"/> Nursing Home Administrators, Board of Licensure for
<input type="checkbox"/> Nursing, Board of
<input type="checkbox"/> Occupational Therapy, Board of Licensure for
<input type="checkbox"/> Ophthalmic Dispensers, Board of
<input type="checkbox"/> Optometric Examiners, Board of
<input type="checkbox"/> Personnel Board
<input type="checkbox"/> Pharmacy, Board of | <input type="checkbox"/> Physical Therapy, Board of
<input type="checkbox"/> Podiatry, Board of
<input type="checkbox"/> Private Investigators, Board of Licensure for
<input type="checkbox"/> Professional Art Therapists, Board of Certification for
<input type="checkbox"/> Professional Counselors, Board of
<input type="checkbox"/> Professional Engineers and Land Surveyors, Board of Licensure for
<input type="checkbox"/> Professional Geologists, Board of Registration for
<input type="checkbox"/> Prosthetics, Orthotics, and Pedorthics, Board of
<input type="checkbox"/> Psychology, Board of Examiners of
<input type="checkbox"/> Real Estate Appraisers, Board of
<input type="checkbox"/> Real Estate Commission
<input type="checkbox"/> Respiratory Care, Board of
<input type="checkbox"/> Social Work, Board of
<input type="checkbox"/> Speech-Language Pathology and Audiology, Board of
<input type="checkbox"/> Veterinary Examiners, Board |
|--|--|---|

Agencies not listed: _____

I certify under penalty of law that the information given in this Initial Registration Statement is complete and accurate. Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.¹

Date: _____ Signature _____
(Executive Agency Lobbyist)

Date: _____ Signature _____
(Employer Contact)

 Print Name of Employer Contact

 Print Title of Employer Contact

After completing, submit your Initial Registration Statement to:

Commonwealth of Kentucky
 EXECUTIVE BRANCH ETHICS COMMISSION
 Capital Complex East, 1024 Capital Center Drive, Suite #104
 Frankfort, Kentucky 40601
 (502) 564-7954 FAX (502) 695-5939

Do Not Submit Registration Fees with the Initial Registration Statement
Registration Fees are paid by the Employer/Real Party in Interest upon the filing of the annual Updated Registration Statement due in July.

¹ KRS 11A.990

(4) Any executive agency lobbyist, employer, or real party in interest who violates any provision in KRS 11A.206 shall for the first violation be subject to a civil penalty not to exceed five thousand dollars (\$5,000). For the second and each subsequent violation, he shall be guilty of a Class D felony.
 (5) Any executive agency lobbyist, employer, or real party in interest who fails to file the initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000).
 (6) Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony.
 (7) An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.
 (8) Violation of KRS 11A.236 is a Class D felony.

UPDATED REGISTRATION STATEMENTS

Once registered, each executive agency lobbyist, employer, and real party in interest must file an Updated Registration Statement on an annual basis with the Executive Branch Ethics Commission (“the Commission”). Updated Registration Statements are due **July 31** for the reporting period July 1 through June 30 and information submitted on all updates are to cover the prior reporting period. Each employer and real party in interest is required to pay a \$500 registration fee upon filing the respective updated registration statements. The \$500 registration fee covers the prior reporting period. Reminder notices are issued approximately 30 days prior to the deadline.

In addition to reporting changes in name, address, employer name, etc., an Updated Registration Statement has four types of information:

1. **Confirmation** of the continuing existence of each engagement described in the Initial Registration Statement;
2. A **list of the specific executive agency decisions** that the lobbyist sought to influence under the engagement during the period covered by the Updated Registration Statement;
3. A **statement of expenditures**; and
4. Details of any **financial transactions**.

The following sections explain in detail the individual reporting requirements for the executive agency lobbyist, the employer, and the real party in interest.

Confirmation of Engagement

Executive Agency Lobbyist Confirmation

The *Updated Registration Statement, Executive Agency Lobbyist* asks the lobbyist whether he/she will remain active for the employer/real party in interest. When answering "No," state the date of termination. If terminating for more than one employer, list each employer and the respective termination date.

If a lobbyist terminates during the middle of reporting period, the lobbyist is required to file a final Updated Registration Statement for that reporting period thru the date of termination along with the *Termination Notification*.

Employer/Real-Party Confirmation

If an employer/real party in interest lists at least one active executive agency lobbyist on the *Updated Registration Statement, Employer of Executive Agency Lobbyist* then the employer/real party is confirming their registration going forward into the next reporting period. When all lobbyists engaged by an employer or real party in interest terminate their registrations with the Commission, then the employer/real party in interest has effectively terminated its registration with the Commission. If the employer/real party terminates their registration in the middle of a reporting period, **the employer/real party in interest must file a final Updated Registration Statement with the Commission and pay the \$500 registration fee for the final reporting period.**

List of Specific Executive Agency Decisions

The Updated Registration Statement requires the lobbyist, employer, and real party in interest to report the specific executive agency decisions the lobbyist attempted to influence on behalf of the employer/real party in interest during the reporting period.

Statement of Expenditures

Each Updated Registration Statement is required to contain a statement of expenditures if applicable. An executive agency lobbyist is required to file a **separate** statement of expenditures for **each** employer engaging him. Each employer or real party in interest is required to file only one statement of expenditures regardless of the number of executive agency lobbyists it engages. Those expenditures attributable to an employer or real party in interest are those that are paid directly by the company or paid by an individual on behalf of the company and the individual is not the registered executive agency lobbyist.

What is an Expenditure?

Expenditure means any of the following that is made to or for the benefit of an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of such officials.

- (1) A payment, distribution, loan, advance, deposit, reimbursement, or gift of money, real estate, or anything of value, including, but not limited to, food and beverages, entertainment, lodging, transportation, or honoraria;
- (2) A contract, promise, or agreement to make an expenditure; or
- (3) The purchase, sale, or gift of services or any other thing of value.

What is Not an Expenditure?

"Expenditure" does not include:

- (1) A contribution, gift, or grant to a foundation or other charitable organization that is exempt from federal income taxation under subsection 501(c)(3) of the Internal Revenue Code;
- (2) The purchase, sale, or gift of services or any other thing of value that is available to the general public on the same terms as it is available to the persons listed above;
- (3) A payment, contribution, gift, purchase, or any other thing of value that is made to or on behalf of any elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of the officials listed in this paragraph who works for a state agency for which the executive agency lobbyist is not registered to influence.

Expenditures do not include the employer's cost to lobby such as each lobbyist's compensation, travel, or other business expenses.

Statement of Financial Transactions

Also included in the Updated Registration Statement is a Statement of Financial Transactions. *Financial transaction* means a transaction or activity that is conducted or undertaken for profit and arises from the ownership, or the joint ownership, or part ownership in common of any real or personal property or any commercial or business enterprise of whatever form or nature between the following:

- (1) An executive agency lobbyist, his employer, a real party in interest, or a member of the *immediate family* of the executive agency lobbyist or his employer or a real party in interest; and
- (2) An elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of such official.

"Financial transaction" does not include any transaction or activity if it is available to the general public on the same terms.

INSTRUCTIONS

UPDATED REGISTRATION STATEMENT

EXECUTIVE AGENCY LOBBYIST

Do not leave any section or question blank. If the question does not apply, check the box "If None, Check Here"

A. General Information

Items 1 & 2: Provide your full name; your executive agency lobbyist number as found on your Executive Agency Lobbyist Registration Card; and the name of your employer. Update any changes in contact information.

Item 3: Indicate whether this is a regular, final, or an amended statement. An amended statement should be filed if a correction needs to be made after the reporting deadline. When filing an amended statement, indicate which reporting year the statement is amending, and complete only those sections changed by the amended filing.

Item 4: Indicate if you will remain active or terminate your registration for the employer(s) listed on the form. For reporting purposes, "termination" means the date you were no longer acting as an executive agency lobbyist for the employer either thru terminating a contract to represent the employer, a reassignment within the company, or you resigned your position with the employer.

Item 5: If your *Initial Registration Statement* indicated any real party(ies) in interest, you will record any additions/deletions in this table.

B. Executive Agency Decisions

If you are an executive agency lobbyist *who represents more than one employer*, you must complete Sections B and C for each employer you represent by copying the third page of the statement. At the top of the third page, indicate the employer for which you are reporting, your name and lobbyist number. Then complete Section B and Section C as it relates to the employer you listed at the top of the page. Attach the additional copies of the third page to the Updated Registration Statement, making sure to include the signature page.

Item 1: List the specific executive agency decisions which you attempted to influence, on behalf of the employer during the reporting period and the specific agencies contacted. Examples of an executive agency decision to be listed: "contract for purchase of (commodity) by Kentucky Department of Corrections;" "Met with officials of the Transportation Cabinet to discuss budget items for the State Road Fund."

Item 2: Since your *Initial Registration Statement* or most recent Updated Registration Statement, describe any additional types of executive agency decisions that relate to your engagement. For example, if your initial registration stated that you will be attempting to influence executive agency decisions related to "Contracts for data processing services", and now you will be attempting to influence "Contracts for purchase of computer hardware", report the latter.

Item 3: Add or delete from the list of executive branch agencies originally provided on the *Initial Registration Statement* or last Updated Registration Statement.

C. Executive Agency Lobbyist Expenditure Statement

Report all expenditures made by you on behalf of your employer to, or for the benefit of, an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of any of these officials. Examples of expenditures to be reported include amounts for food and beverages, entertainment, tickets to sporting events, transportation, lodging, honoraria, and miscellaneous expenditures. List the name of the official or employee for whom the expenditure was made; type of expenditure; for what meeting, event or occasion; when the expenditure occurred; and the amount of the expenditure. Any expenditure reported requires the naming of an official or employee, and requires that you deliver a copy of the applicable section(s) of the expenditure statement to the identified official or employee at least ten (10) days before the statement is to be filed with the Commission.

See KRS 11A.226 for the procedure to be followed relative to any dispute which may arise concerning a reported expenditure.

D. Financial Transactions Involving Executive Agency Lobbyists

If you, or a member of your immediate family, had, during the reporting period, a financial transaction with, or for the benefit of an official or employee so listed, state the name of the official or employee, the purpose and nature of the transaction, the date such transaction was made or entered into, and any other pertinent details.

The reporting of any financial transaction requires the naming of an official or employee, and requires that you deliver a copy of the financial transaction statement to the identified official or employee at least ten (10) days before the statement is to be filed with the Commission.

See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning a reported financial transaction.

Certification:

This section requires the signature of the executive agency lobbyist and the date the statement was signed. The signing of the statement attests to the completeness and accuracy of the statement, according to the best knowledge of the executive agency lobbyist. The signed statement may be submitted in original form via hand delivery, regular mail, delivery service, electronically by facsimile/electronic mail or through an online system established by the Commission.

Do not leave any section or question blank. If the question does not apply, check the box "If None, Check Here"

Completed And Signed Statements Are Due *On Or Before* July 31.

If you have questions, contact:

Executive Branch Ethics Commission
1025 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954
Jenny A. May
Jenny.May@ky.gov

UPDATED REGISTRATION STATEMENT EXECUTIVE AGENCY LOBBYIST

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Capital Complex East, 1025 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 695-5939

This statement must be filed with the Executive Branch Ethics Commission by the last day of July. Please read instructions and review KRS 11A.211, 11A.216 and 11A.221 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days.

Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.

A. GENERAL INFORMATION

1. Full Name of Executive Agency Lobbyist _____
Executive Agency Lobbyist # _____
Name of Employer(s) _____

2. Based on your Initial Registration Statement or last Updated Registration Statement, state any changes in:

Business Address: _____
Street Suite #

City State Zip Code Telephone

Residential Address: _____
Street Suite #

City State Zip Code

E-Mail Address: _____ Telephone _____

If no changes, check here

3. Type of Report:
 Regular Update Statement for the period July 1 - June 30, 20 ____ (due July 31)
 Amended Statement for the period of: _____
 Final Update Statement for the period July 1 - TERMINATION

4. **Terminations:** Do you continue to represent the Employer(s) listed on this form as an executive agency lobbyist?

Yes No

If no, please list all terminated Employers and the date of termination:

EMPLOYER NAME

Date of Termination

5. Based on your Initial Registration Statement or last Updated Registration Statement, state any additions or deletions of Real Party(ies) in Interest:

NAME OF REAL PARTY IN INTEREST	DATE OF ADDITION	DATE OF DELETION

If none, check here

Instructions for Completing Section B and Section C

Lobbyist engaged for one (1) Employer: List the name of your employer, your name and EAL # at the top of page 3. Complete Section B., C., and D., sign, and submit.

Lobbyists engaged for multiple Employers: If you represent more than one employer, you must complete the following page (Page 3, Section B and C) for each. Copy page three for each of your employer(s) listing the employer’s name, your name and EAL # at the top. Continue completing Section B. and C. as it relates to each employer listed at the top. Attach the additional copies to the Updated Registration Statement. Complete the rest of the form, sign, and submit.

EMPLOYER: _____ **EAL NAME & NUMBER:** _____

B. EXECUTIVE AGENCY DECISIONS

1. If you had direct communication or contacts with executive branch officials during this reporting period, please list the specific executive agency decisions you sought to influence. (Attach an additional sheet if necessary)

If none, check here []

2. Since your Initial Registration Statement or last Updated Registration Statement, describe any additional types of executive agency decisions to which this engagement relates:

If none, check here []

3. State any additions to or deletions from the list of elected executive officials, departments or agencies for which you will be influencing executive agency decisions for this named Employer:

If none, check here []

C. EXECUTIVE AGENCY LOBBYIST EXPENDITURES STATEMENT

List any expenditures made during this reporting period for the benefit of an elected executive official, Secretary of a Cabinet listed in KRS 12.250, an executive branch agency official, or a member of the staff of any of these officials for which the Employer is registered to influence. Provide the following information regarding the expenditures (Attach additional sheet if necessary)

Name of Official, Employee or Staff Member of Official	Describe type of expenditure (transportation, lodging, meals, entertainment etc.) and a description of the meeting, event or occasion to which the expenditure pertains.	Date of Expenditure	Amount of Expenditure
			\$
			\$
			\$
TOTAL			\$

If none, check here []

Any Executive Agency Lobbyist who is required to complete Section C shall deliver a copy of the expenditure statement, or the portion showing the expenditures, to the person identified as receiving the benefit of the expenditure, at least ten (10) days before this statement is filed. If a dispute arises, the disputed expenditure does not have to be reported until a final decision by the Commission.

D. FINANCIAL TRANSACTIONS INVOLVING EXECUTIVE AGENCY LOBBYIST

During the reporting period, if you, or a member of your immediate family, had, a financial transaction, with or for the benefit of, an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of these officials above, provide the following information regarding such financial transaction.

1. Name of official, employee or staff member: _____

2. Brief description of the purpose and nature of the transaction:

3. Date transaction was made or entered into: _____

4. Other pertinent details:

(Attach sheet for each additional official, employee, or staff member.)

If none, check here []

Any Executive Agency Lobbyist who is required to complete Section D shall deliver a copy of the financial transaction statement to the person identified in Section D above at least ten (10) days before this statement is filed. If a dispute arises, the disputed financial transaction does not have to be reported until a final decision by the Commission.

CERTIFICATION: I certify that the information contained in this registration statement is complete and accurate. Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.¹

Signature of Executive Agency Lobbyist

Date

¹KRS 11A.990

(4) Any executive agency lobbyist, employer, or real party in interest who violates any provision in KRS 11A.206 shall for the first violation be subject to a civil penalty not to exceed five thousand dollars (\$5,000). For the second and each subsequent violation, he shall be guilty of a Class D felony.

(5) Any executive agency lobbyist, employer, or real party in interest who fails to file the initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000).

(6) Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony.

(7) An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.

(8) Violation of KRS 11A.236 is a Class D felony.

INSTRUCTIONS

UPDATED REGISTRATION STATEMENT

EMPLOYER OF EXECUTIVE AGENCY LOBBYIST

Do not leave any section or question blank. If the question does not apply, check the box "If None, Check Here"

A. General Information

Items 1 & 2: Provide full name of the company/organization engaging the executive agency lobbyist(s) as it appears on the Initial Registration Statement. Record any changes in employer name, employer contact, title, address, email and telephone.

Item 3: Indicate whether this is a regular, final, or an amended statement. An amended statement should be filed if a correction needs to be made after the reporting deadline. If an amended statement is being filed, indicate which reporting year the statement is amending, and complete only those sections that are being changed by the amended filing.

Item 4: Provide the full name of ALL executive agency lobbyists who were registered to represent the employer during the reporting period, including those executive agency lobbyists who are no longer engaged by the employer, but were active during any part of the reporting period. Fill in the EAL registration number(s) of each, if known. **Do Not Leave This Section Blank**

Item 5: If the engagement of an executive agency lobbyist was terminated or a new executive agency lobbyist was engaged, during the reporting period, state the name(s) of the individual(s) and the applicable dates.

Item 6: If the Initial Registration Statement indicated any real party(ies) in interest, and the employer is adding or deleting a real party, list the name and indicate whether the real party is an addition or deletion.

B. Executive Agency Decisions

List the specific executive agency decisions which your executive agency lobbyists attempted to influence during the reporting period. Examples of an executive agency decision to be listed: "contract for purchase of (commodity) by Kentucky Department of Corrections;" "met with officials of the Transportation Cabinet to discuss budget items for the State Road Fund."

C. Employer Expenditures Statement

Report ALL expenditures made by the employer, which were made to, or for the benefit of, an elected executive official, any secretary of a Cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of any of those officials. List the name of the official or employee for whom the expenditure was made; type of expenditure; description of meeting, event, or occasion for which the expenditure was made; the date the expenditure occurred; and the amount of the expenditure.

Examples of expenditures to be reported include the cost of a reception, entertainment, gifts, tickets to sporting events, food and beverage, transportation, or travel expenses for any of the state officials listed above. You are not required to report your cost for lobbying such as expenditures for office facilities, support services, or your lobbyist(s)' compensation.

Any expenditure reported requires the naming of an official or employee, and requires that you deliver a copy of the applicable section(s) of the expenditure statement to the identified official or employee at least ten (10) days before this statement is to be filed with the Commission.

See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning the reported expenditure.

D. Financial Transactions Involving Employer of Executive Agency Lobbyist

If the employer, or a member of the employer's immediate family, had, during the reporting period, a financial transaction with, or for the benefit of, an official or employee so listed, state the name of the official or employee, the purpose and nature of the transaction, the date such transaction was made or entered into, and any other pertinent details.

The reporting of any financial transaction requires the naming of an official or employee, and requires that you deliver a copy of the financial transaction statement to the identified official or employee at least ten (10) days before the statement is to be filed with the Executive Branch Ethics Commission.

See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning a reported financial transaction.

E. Registration Fee

Each employer of one or more executive agency lobbyists is required to pay a registration fee of \$500.00 with the filing of the *Updated Registration Statement, Employer of Executive Agency Lobbyist(s)* whether the employer is submitting a regular or final report. KRS 11A. 211(5). Payment may be made by credit card, check, or money order payable to the "**KENTUCKY STATE TREASURER**". For accuracy in recording, it is preferred that check payments accompany the filing of the updated registration statement. Failure to submit the \$500 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject the employer to penalties outlined in KRS 11A.990 (5)

Certification:

This section requires the signature of the employer contact and the date the statement was signed. The signing of the statement attests to the completeness and accuracy of the statement, according to the best knowledge of the employer contact. You may complete the statement electronically by accessing the form from the Commission's internet website. The signed statement may be submitted in original form via hand delivery, regular mail, delivery service, electronically by facsimile/electronic mail or through an online system established by the Commission.

Do not leave any section or question blank. If the question does not apply, check the box "If None, Check Here"

Completed And Signed Statements Are Due *On Or Before* July 31.

If you have questions, contact:

Executive Branch Ethics Commission
1025 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954
FAX (502) 695-5939
Jenny A. May
Jenny.May@ky.gov

UPDATED REGISTRATION STATEMENT EMPLOYER OF EXECUTIVE AGENCY LOBBYIST

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
1025 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 695-5939

This statement and a \$500 registration fee must be filed with the Executive Branch Ethics Commission by the last day of July. Please read instructions and review KRS 11A.211, 11A.216, and 11A.221 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days.

Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.

A. GENERAL INFORMATION

1. Full Name of Employer: _____

2. Based on your Initial Registration Statement or last Updated Registration Statement, state any changes in:

Employer's Name: _____

Employer's Contact: _____

Employer Contact Title: _____

Employer's Business Address, Telephone, E-Mail Address:

Street *Suite #*

City *State* *Zip*

Telephone *E-Mail Address*

If none, check here

3. Type of Report:

Regular Update Report for the period July 1 - June 30, 20 _____ (due July 31)

Amended Statement for the period of: _____.

Final Update Statement for the period July 1 - TERMINATION.

4. Provide the full name of all Executive Agency Lobbyists who were registered to represent the employer at any time during the reporting period. **Do not leave this section blank.**

Name of Executive Agency Lobbyist	Lobbyist Registration #

(Attach additional sheet if necessary)

5. If the Employer terminated the engagement of any Executive Agency Lobbyist or engaged a new Executive Agency Lobbyist at any time during this reporting period, state the name of the Executive Agency Lobbyist and the date on which the termination or engagement occurred:

Name of Executive Agency Lobbyist	Termination Date	Engagement Date	Registration # (if known)

(Attach additional sheet if necessary)

6. Based on your Initial Registration Statement or last Updated Registration Statement, state any additions or deletions of Real Party(ies) in Interest (attach additional sheet if necessary):

Name of Real Party In Interest	Business Address	Date of Addition	Date of Deletion

If none, check here []

B. EXECUTIVE AGENCY DECISIONS

If you or your executive agency lobbyist(s) had direct communication or contacts with executive branch officials during this reporting period, please list the specific executive agency decisions you sought to influence. (Attach an additional sheet if necessary)

C. EMPLOYER EXPENDITURES STATEMENT

List any expenditures made during this reporting period to/for the benefit of an elected executive official, Secretary of a Cabinet listed in KRS 12.250, an executive branch agency official, or a member of the staff of any of these officials for which the Employer is registered to influence. Provide the following information regarding the expenditures (Attach additional sheet if necessary)

Name of Official, Employee or Staff Member of Official	List type of expenditure (transportation, lodging, meals, entertainment etc.) and a description of the meeting, event, or occasion to which the expenditure pertains.	Date of Expenditure	Amount of Expenditure
			\$
			\$
			\$
			\$
		TOTAL	\$

If none, check here []

Any Employer of an Executive Agency Lobbyist who is required to complete Section C shall deliver a copy of the expenditure statement, or the portion showing the expenditures, to the person identified as receiving the benefit of the expenditure, at least ten (10) days before this statement is filed. If a dispute arises, the disputed expenditure does not have to be reported until a final decision by the Commission.

D. FINANCIAL TRANSACTIONS INVOLVING EMPLOYER OF EXECUTIVE AGENCY LOBBYIST

During the reporting period, if the Employer, or a member of the Employer’s immediate family, had, a financial transaction with, or for the benefit of, an elected executive branch official, the Secretary of a Cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of the officials above, provide the following information regarding such financial transaction:

(If more than one, attach additional sheet for each)

1. Name of official, employee or staff member: _____
2. Brief description of the purpose and nature of the transaction: _____

3. Date transaction made or entered into: _____
4. Other pertinent details: _____

If none, check here []

Any Employer of an Executive Agency Lobbyist who is required to disclose a financial transaction described in Section D shall deliver a copy of the financial transaction statement to the person identified in Section D above, at least ten (10) days before this statement is filed. If a dispute arises, the disputed financial transaction does not have to be reported until a final decision by the Commission.

E. REGISTRATION FEE

Each employer of one or more executive agency lobbyists shall pay a registration fee of \$500.00 with the filing of the Updated Registration Statement for this reporting period pursuant to KRS 11A. 211(5). Failure to submit the \$500.00 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject you to penalties outlined in KRS 11A.990 (5).

CERTIFICATION: I certify that the information contained in this registration statement is complete and accurate. **Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.¹**

BY: _____
Signature of Employer Contact *Date*

Print Name *Print Title*

¹ KRS 11A.990
(4) Any executive agency lobbyist, employer, or real party in interest who violates any provision in KRS 11A.206 shall for the first violation be subject to a civil penalty not to exceed five thousand dollars (\$5,000). For the second and each subsequent violation, he shall be guilty of a Class D felony.
(5) Any executive agency lobbyist, employer, or real party in interest who fails to file the initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000).
(6) Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony.
(7) An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.
(8) Violation of KRS 11A.236 is a Class D felony.

INSTRUCTIONS

UPDATED REGISTRATION STATEMENT

REAL PARTY IN INTEREST

Do not leave any section or question blank. If the question does not apply, check the box "If None, Check Here"

A. General Information

Items 1 & 2: Provide full name of the real party in interest engaging the executive agency lobbyist(s) as it appears on the Initial Registration Statement. Record any changes in real party in interest name, real party in interest contact, title, address, email and telephone.

Item 3: Indicate whether this is a regular, final, or amended statement. An amended statement should be filed if a correction needs to be made after the reporting deadline. If an amended statement is being filed, indicate which reporting year the statement is amending, and complete only those sections that are being changed by the amended filing.

Item 4: Provide the full name of ALL executive agency lobbyists who were registered to represent the real party in interest during the reporting period, including those executive agency lobbyists who are no longer engaged by the real party in interest, but were active during any part of the reporting period. Fill in the EAL registration number(s) of each, if known. **DO NOT LEAVE THIS SECTION BLANK**

Item 5: If the engagement of an executive agency lobbyist was terminated or a new executive agency lobbyist was engaged, during the reporting period, state the name(s) of the individual(s) and the applicable dates.

B. Executive Agency Decisions

List the specific executive agency decisions which your executive agency lobbyists attempted to influence during the reporting period. Examples of an executive agency decision to be listed: "contract for purchase of (commodity) by Kentucky Department of Corrections;" "met with officials of the Transportation Cabinet to discuss budget items for the State Road Fund."

C. Real Party in Interest Expenditures Statement

Report ALL expenditures made by the real party in interest, which were made to, or for the benefit of, an elected executive official, any secretary of a Cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of any of those officials. List the name of the official or employee for whom the expenditure was made; type of expenditure; description of meeting, event, or occasion for which the expenditure was made; when the expenditure occurred; and the amount of the expenditure

Examples of expenditures to be reported include the cost of a reception, entertainment, gifts, tickets to sporting events, food and beverage, transportation, or travel expenses for any of the state officials listed above. You are not required to report your cost for lobbying such as expenditures for office facilities, support services, or your lobbyist(s)' compensation.

Any expenditure reported requires the naming of an official or employee, and requires that you deliver a copy of the applicable section(s) of the expenditure statement to the identified official or employee at least ten (10) days before this statement is to be filed with the Commission.

See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning the reported expenditure.

D. Financial Transactions Involving Real Party In Interest

If, during the reporting period, the real party in interest, or a member of real party in interest's immediate family had a financial transaction with, or for the benefit of, an official or employee so listed, state the name of the official or employee, the purpose and nature of the transaction, the date such transaction was made or entered into, and any other pertinent details.

The reporting of any financial transaction requires the naming of an official or employee, and requires that you deliver a copy of the financial transaction statement to the identified official or employee at least ten (10) days before the statement is to be filed with the Commission.

See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning a reported financial transaction.

E. Registration Fee

Each real party in interest of one or more executive agency lobbyist(s) is required to pay a registration fee of \$500.00 with the filing of the *Updated Registration Statement, Real Party In Interest* whether the real party in interest is submitting a regular or final report. KRS 11A. 211(5). Payment may be made by credit card, check, or money order payable to the "**KENTUCKY STATE TREASURER**". For accuracy in recording, it is preferred that payment accompany the filing of the updated registration statement. Failure to submit the \$500 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject the real party in interest to penalties outlined in KRS 11A.990 (5).

Certification:

This section requires the signature of the person signing for the real party in interest and the date the statement was signed. The signing of the statement attests to the completeness and accuracy of the statement, according to the best knowledge of the real party in interest. The signed statement may be submitted in original form via hand delivery, regular mail, delivery service, electronically by facsimile/electronic mail or through an online system established by the Commission.

Do not leave any section or question blank. If the question does not apply, check the box "If None, Check Here"

Completed And Signed Statements Are Due ***On Or Before*** July 31.

If you have questions, contact:

Executive Branch Ethics Commission
1025 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954
Jenny A. May Jenny.May@ky.gov

UPDATED REGISTRATION STATEMENT *REAL PARTY IN INTEREST*

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Capital Complex East, 1025 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 695-5939

This statement and a \$500 registration fee must be filed with the Executive Branch Ethics Commission by the last day of July. Please read instructions and review KRS 11A.211, 11A.216, and 11A.221 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days.

ANY PERSON WHO KNOWINGLY FILES A FALSE STATEMENT IS IN VIOLATION OF STATE LAW AND SUBJECT TO FINES AND OTHER PENALTIES.

A. GENERAL INFORMATION

1. Full Name of Real Party in Interest: _____

2. Based on your Initial Registration Statement or last Updated Registration Statement, state any changes in :

Real Party in Interest Name: _____

Real Party in Interest Business Address, Telephone, E-mail, Contact:

<i>Street</i>	<i>Suite #</i>
<i>City</i>	<i>State</i>
<i>Telephone</i>	<i>Contact</i>

If none, check here []

3. Type of Report:

Regular Update Report for the period July 1 through June 30, 20 _____ (due July 31)

Amended Statement for the period of: _____

Final Update Statement for the period July 1 - TERMINATION.

4. Provide the full name of all Executive Agency Lobbyists who were registered to act on behalf of the Real Party in Interest during this reporting period: **Do not leave this section blank.**

Name of Executive Agency Lobbyist	Lobbyist Registration #

(Attach additional sheet if necessary)

5. If the Real Party in Interest terminated the engagement of any Executive Agency Lobbyist or engaged a new Executive Agency Lobbyist at any time during this reporting period, state the name of the Executive Agency Lobbyist and the date on which the termination or engagement occurred:

Name of Executive Agency Lobbyist	Termination Date	Engagement Date	Registration # (if known)

B. EXECUTIVE AGENCY DECISIONS

If you or your executive agency lobbyists had direct communication or contacts with executive branch officials during this reporting period, please list the specific executive agency decisions you or your executive agency lobbyists sought to influence:

C. REAL PARTY IN INTEREST EXPENDITURES STATEMENT

List any expenditures made during this reporting period to/for the benefit of an elected executive official, Secretary of a Cabinet listed in KRS 12.250, an executive branch agency official, or a member of the staff of any of these officials for which the Real Party in Interest is registered to influence. Provide the following information regarding the expenditures (Attach additional sheet if necessary)

Name of Official, Employee or Staff Member of Official	List type of expenditure (transportation, lodging, or meals, entertainment etc.) and provide a description of each meeting, event, or occasion to which the expenditure pertains.	Date of Expenditure	Amount of Expenditure
			\$
			\$
			\$
			\$
		TOTAL	\$

If none, check here []

Any Real Party in Interest employing an Executive Agency Lobbyist who is required to complete Section C shall deliver a copy of the expenditure statement, or that portion showing the expenditure to the person identified as receiving the benefit of the expenditure, at least ten (10) days before this statement is filed. If a dispute arises, the disputed expenditure does not have to be reported until a final decision by the Commission.

D. FINANCIAL TRANSACTIONS INVOLVING REAL PARTY IN INTEREST

During the reporting period, if the Real Party in Interest, or a member of the Real Party in Interest’s immediate family, had a financial transaction with, or for the benefit of, an elected executive official, the Secretary of a Cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of the officials above, provide the following information regarding such financial transaction:

(If more than one attach additional sheet for each.)

- 1. Name of official, employee or staff member: _____
- 2. Brief description of the purpose and nature of the transaction:

- 3. Date transaction made or entered into: _____
- 4. Other pertinent details: _____

If none, check here []

Any Real Party in Interest who is required to disclose a financial transaction described in Section D shall deliver a copy of the financial transaction statement to the person identified in Section D above, at least ten (10) days before this statement is filed. If a dispute arises, the disputed financial transaction does not have to be reported until a final decision by the Commission.

E. REGISTRATION FEE

Each Real Party in Interest shall pay a registration fee of \$500.00 with the filing of the Updated Registration Statement for this reporting period pursuant to KRS 11A.211(5). Failure to submit the \$500 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject you to penalties outlined in KRS 11A.990(5).

CERTIFICATION: I certify that the information contained in this registration statement is complete and accurate. **Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.¹**

BY: _____

Signature of Real Party in Interest Contact *Date*

Print name *Print title*

¹ KRS 11A.990

(4) Any executive agency lobbyist, employer, or real party in interest who violates any provision in KRS 11A.206 shall for the first violation be subject to a civil penalty not to exceed five thousand dollars (\$5,000). For the second and each subsequent violation, he shall be guilty of a Class D felony.

(5) Any executive agency lobbyist, employer, or real party in interest who fails to file the initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000).

(6) Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony.

(7) An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.

(8) Violation of KRS 11A.236 is a Class D felony.

UPDATED REGISTRATION STATEMENT EXECUTIVE AGENCY LOBBYIST/ EMPLOYER "COMBINED"

When a lobbyist has only one employer and that employer has only one lobbyist, with the lobbyist listed as the "employer contact" on the Initial Registration Statement, the lobbyist and employer may alternately file an *Updated Registration Statement Lobbyist/Employer "COMBINED"* in lieu of filing two separate updated registration statements. The "COMBINED" form may only be used if neither the lobbyist nor the employer have expenses or financial transactions to report.

Only the lobbyists and employers who meet **all** of the following requirements may complete the "COMBINED" form:

1. There is only **one** executive agency lobbyist registered to represent the employer.
2. There is only **one** employer registered for the same lobbyist.
3. The lobbyist that is registered is also listed as the employer contact for the employer.
4. Both the employer and the lobbyist have no expenditures or financial transactions to report.

The "COMBINED" form is password protected. The lobbyist will be provided the password only if meeting the requirements listed above.

INSTRUCTIONS

Do not leave any section or question blank. If the question does not apply, check the box "If None, Check Here"

A. General Information

Items 1 & 2: Provide your full name; your executive agency lobbyist number; and the name of your employer. Update any changes in the lobbyist's/employer's name, mailing address, and other contact information.

Item 3: Indicate whether this is a regular, final, or an amended statement. An amended statement should be filed if a correction needs to be made after the reporting deadline. If an amended statement is being filed, indicate which reporting year the statement is amending, and complete only those sections which are being changed by the amended filing.

Item 4: If you have terminated your registration with the employer listed on the form, check "No" and indicate the termination date.

B. Executive Agency Decisions

Item 1: List the specific executive agency decisions which you attempted to influence, on behalf of the employer during the reporting period and the specific agencies contacted. Examples of an executive agency decision to be listed: "contract for purchase of (commodity) by Kentucky Department of Corrections;" "Met with officials of the Transportation Cabinet to discuss budget items for the State Road Fund."

Item 2: Since your *Initial Registration Statement* or most recent Updated Registration Statement, describe any additional types of executive agency decisions which relate to your engagement. For example, if your initial registration stated that you will be attempting to influence executive agency decisions related to "Contracts for Data Processing Services", and you will also be attempting to influence "Contracts for Purchase of Computer Hardware", report the latter.

Item 3 Add or delete from the list of executive branch agencies originally provided on the *Initial Registration Statement* or last Updated Registration Statement.

C. Registration Fee

Each employer of one or more executive agency lobbyists is required to pay a registration fee of \$500.00 with the filing of the *Updated Registration Statement*, *COMBINED* whether the employer is submitting a regular or final report. KRS 11A. 211(5). Payment may be made by credit card, check, or money order payable to the "**KENTUCKY STATE TREASURER**". For accuracy in recording, it is preferred that payments made by check accompany the filing of the updated registration statement. Failure to submit the \$500 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject the employer to penalties outlined in KRS 11A.990(5).

Certification:

This section requires the signature of the executive agency lobbyist and the date on which the statement was signed. The signing of the statement attests to the completeness and accuracy of the combined statement, according to the best knowledge of the executive agency lobbyist and the respective employer. The signed statement may be submitted in original form via hand delivery, regular mail, delivery service, electronically by facsimile/electronic mail or through an online system established by the Commission.

Completed statements and registration fees are due **ON OR BEFORE** July 31.

Do not leave any section or question blank. If the question does not apply, check the box "If None, Check Here"

If you have questions, contact:

Executive Branch Ethics Commission
1025 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954
Jenny A. May Jenny.May@ky.gov

UPDATED REGISTRATION STATEMENT EXECUTIVE AGENCY LOBBYIST/EMPLOYER "COMBINED"

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Capital Complex East, 1025 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 695-5939

ANY PERSON WHO KNOWINGLY FILES A FALSE STATEMENT IS IN VIOLATION OF STATE LAW AND SUBJECT TO FINES AND OTHER PENALTIES.

This statement and a \$500 registration fee must be filed with the Executive Branch Ethics Commission by the last day of July. Please read instructions and review KRS 11A.211, 11A.216, and 11A.221 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days.

Attention: This form may only be completed by those who meet all of the following requirements:

1. There is only **one** executive agency lobbyist registered to represent the employer.
2. There is only **one** employer registered for the same lobbyist.
3. The lobbyist that is registered is also listed as the employer contact.
4. Both the employer and the lobbyist have no expenditures or financial transactions to report.

A. GENERAL INFORMATION

1. Name of Executive Agency Lobbyist _____
 Executive Agency Lobbyist Registration Number _____
 Name of Employer _____

2. Based on your Initial Registration Statement or last Updated Registration Statement, state any changes in:
 Lobbyist Name _____
 Lobbyist Mailing Address _____
 Lobbyist Phone Number _____ E Mail Address _____
 Employer Name _____
 Employer Mailing Address _____
 Employer Phone Number _____ E Mail Address _____

If no changes, check here []

3. Type of Report:

Regular Update Report for the period July 1 – June 30, 20 _____ (due July 31)

Amended Statement for the period of: _____.

Final Update Statement for the period July 1 – TERMINATION.

4. Termination: Do you continue to represent the Employer listed on this form as an executive agency lobbyist?

YES

NO

If no, list your termination date: _____

B. EXECUTIVE AGENCY DECISIONS

1. If you had direct communication or contacts with executive branch officials during this reporting period, please list the specific agency decisions you sought to influence for the named Employer. (Attach an additional sheet if necessary)

2. Since your Initial Registration Statement or last Updated Registration, describe any additional types of executive agency decisions to which this engagement relates.

3. State any additions / deletions to the list of elected executive officials, departments or agencies for which you will be influencing executive agency decisions for your employer.

If no changes, check here

C. REGISTRATION FEE

Each employer of one or more executive agency lobbyists shall pay a registration fee of \$500.00 with the filing of the Updated Registration Statement for this reporting period pursuant to KRS 11A. 211(5). Failure to submit the \$500.00 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject you to penalties outlined in KRS 11A.990(5).

CERTIFICATION: I certify that the information contained in this updated registration statement is complete and accurate and that neither the lobbyist nor the employer have any expenditures or financial transactions for the reporting period listed on the face of this form. **Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.¹**

Signature of Executive Agency Lobbyist/Employer Contact

Date

¹ KRS 11A.990

(4) Any executive agency lobbyist, employer, or real party in interest who violates any provision in KRS 11A.206 shall for the first violation be subject to a civil penalty not to exceed five thousand dollars (\$5,000). For the second and each subsequent violation, he shall be guilty of a Class D felony.

(5) Any executive agency lobbyist, employer, or real party in interest who fails to file the initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000).

(6) Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony.

(7) An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.

(8) Violation of KRS 11A.236 is a Class D felony.

REVIEW OF STATEMENTS, PENALTIES, CONTINGENCY FEES AND DISPUTED INFORMATION

Initial Registration Statements and Updated Registration Statements are reviewed and audited by the Executive Branch Ethics Commission staff. Filers will be given an opportunity to correct any errors or clarify discrepancies regarding information provided on the statements

Penalties for Failure to Register or File Updated Registration Statements

Any executive agency lobbyist, employer, or real party in interest who fails to file the *Initial Registration Statement* or Updated Registration Statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000). Failure to submit the \$500 registration fee will constitute a deficiency in the filing of an updated registration statement for employers and real parties in interest. *KRS 11A.990(5)*

If it is determined that an executive agency lobbyist, employer, or real party in interest has failed to file either the Initial Registration Statement or the required Updated Registration Statement, the Executive Branch Ethics Commission (“the Commission”) will send written notification by certified mail to the person or entity who failed to file the form. Any person or entity so notified shall, within 15 days after receiving the notice, file the delinquent/incomplete/amended statement. Failure to file the requested statement within the 15 days may result in an investigation of the matter. If an investigation is initiated, the Commission will also notify each elected official and cabinet secretary.
KRS 11A.211(7)

An executive agency lobbyist, employer or real party in interest who intentionally fails to register, knowingly fails to keep a receipt or maintain required records or knowingly fails to file an expenditure statement shall for the first violation be subject to a civil penalty not to exceed \$5,000. For each subsequent violation, he shall be guilty of a Class D felony.
KRS 11A.990(4) KRS 11A.206

Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony. An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement. *KRS 11A.990(6)(7)*

Contingent Fees

No person shall engage any person to influence executive agency decisions or conduct executive agency lobbying activity for compensation that is contingent in any way on the outcome of an executive agency decision. No person shall accept any engagement to influence executive agency decisions or conduct executive agency lobbying activity for compensation that is contingent in any way on the outcome of an executive agency decision, except for certain sales commissions. Violation is a Class D felony.

KRS 11A.236(1)(2) KRS 11A.990(8)

Disputed Information

If a dispute arises between an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of those officials and a real party in interest, an employer or an executive agency lobbyist with respect to an expenditure or financial transaction alleged in any statement to be filed under KRS 11A.216 or 11A.221, the official, employee, real party in interest, employer, or executive agency lobbyist may file a complaint with the Executive Branch Ethics Commission. The Commission shall investigate the complaint.

The complaint shall be filed at least three days prior to the time the statement is required to be filed with the Executive Branch Ethics Commission. The time for filing a disputed expenditure or financial transaction on any statement of expenditures or the details of a financial transaction shall be extended pending the final decision of the Commission. This extension does not extend the time for filing the non-disputed portions of an expenditure statement or of the details of a financial transaction. The Commission shall notify the parties of its final decision by certified mail. If the Commission decides that the disputed expenditure or financial transaction should be reported, the employer, real party in interest, or executive agency lobbyist shall include the matter in an amended statement and file the amended statement no later than ten days after receiving notice of the decision of the Commission by certified mail.

TERMINATION OF ENGAGEMENT

An executive agency lobbyist has an affirmative duty to notify the office of the Executive Branch Ethics Commission (“the Commission”) within 30 days after the termination of an engagement. Such notification is made using the *Termination Notification Form*. The form should be completed, signed and attached to the executive agency lobbyist's final Updated Registration Statement and submitted to the Commission. The employer will record any executive agency lobbyists’ terminations on the next *Updated Registration Statement, Employer* in July.

When all lobbyists engaged by an employer or real party in interest terminate their registrations with the Commission, then the employer/real party in interest has effectively terminated their registration with the Commission. **The employer/real party in interest must file a final Updated Registration Statement with the Commission and pay the \$500 registration fee for the final reporting period.**

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION

**TERMINATION NOTIFICATION
AS
EXECUTIVE AGENCY LOBBYIST**

You must file a final *Updated Registration Statement, Executive Agency Lobbyist* with the Termination Notification to report your activity from July 1 of the current reporting period through your date of termination.

Executive Agency Lobbyist Number: _____

Full Name: _____

I wish to inform the Executive Branch Ethics Commission that I am no longer engaged to represent the employer and/or real party in interest named below, as of _____.

(Termination Date)

Name of Employer: _____

Address: _____
Street City State Zip Code

Name of Real Party In Interest (if applicable) _____

Executive Agency Lobbyist Permanent Address:

Street City State Zip Code

CERTIFICATION: I certify that the information contained in this termination notice is complete and accurate **Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.¹**

Signature of Executive Agency Lobbyist/Employer Contact

Date

Please send completed Termination Notification and final *Updated Registration Statement, Executive Agency Lobbyist* to:
Executive Branch Ethics Commission
Capital Complex East, 1025 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601

¹ KRS 11A.990

(4) Any executive agency lobbyist, employer, or real party in interest who violates any provision in KRS 11A.206 shall for the first violation be subject to a civil penalty not to exceed five thousand dollars (\$5,000). For the second and each subsequent violation, he shall be guilty of a Class D felony.
(5) Any executive agency lobbyist, employer, or real party in interest who fails to file the initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000).
(6) Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony.
(7) An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.
(8) Violation of KRS 11A.236 is a Class D felony.

SERVICES OFFERED

Below is a list of the services and materials available from the Executive Branch Ethics Commission (“the Commission”) related to executive agency lobbying.

1. An alphabetical listing of all executive agency lobbyists and their employers or real parties in interest is available on the Commission’s website at <http://ethics.ky.gov/>. Hard copies are available upon request.
2. In its biennial report, the Commission includes statistical information regarding the Updated Registration Statements filed by executive agency lobbyists, employers, and real parties in interest during the preceding biennium.
3. Advisory Opinions issued by the Commission related to executive agency lobbying are available on the Commission’s website using the search function provided. Hard copies are available upon request.
4. All of the required forms related to Executive Agency Lobbying are available on the Commission’s website along with a printable PDF version of the Executive Agency Lobbying Handbook. Forms may be completed, printed, signed and submitted by hard copy via regular mail, delivery service, or hand delivered. Completed and signed forms may also be submitted electronically via email/scan, fax or through an online system established by the Commission.
5. All records related to Executive Agency Lobbying are available to the public for review and subject to Open Records. Requests for review can be made by contacting Commission staff.
6. The staff of the Commission is available between the hours of 8:00 a.m. – 4:30 p.m. EST Monday thru Friday by calling 502-564-7854. The Commission staff can assist with any questions regarding the registration and updating process, provide guidance on the need for registration, and render both formal and informal opinions regarding those matters related to executive agency lobbying.

APPENDIX A

**CHAPTER 11A
EXECUTIVE BRANCH CODE OF ETHICS**

**UNOFFICIAL TEXT OF STATUTES
FOR INFORMATION ONLY
(June 29, 2017)**

This printing of a portion of the *Kentucky Revised Statutes* does not constitute an official version of these statutes and is provided for informational purposes only. For the official text of statutes and for current supplementation, the user should consult an official edition of the *Kentucky Revised Statutes*.

Executive Agency Lobbying

11A.201 Definitions for KRS 11A.201 to 11A.246 and KRS 11A.990.

As used in KRS 11A.201 to 11A.246 and KRS 11A.990:

- (1) "Compensation" means any money, thing of value, or economic benefit conferred on, or received by, any person in return for services rendered, or to be rendered, by himself or another;
- (2) (a) "Expenditure" means any of the following that is made to, or for the benefit of an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of any of the officials listed in this paragraph:
 1. A payment, distribution, loan, advance, deposit, reimbursement, or gift of money, real estate, or anything of value, including, but not limited to, food and beverages, entertainment, lodging, transportation, or honoraria;
 2. A contract, promise, or agreement to make an expenditure; or
 3. The purchase, sale, or gift of services or any other thing of value.
- (b) "Expenditure" does not include a contribution, gift, or grant to a foundation or other charitable organization that is exempt from federal income taxation under Section 501(c)(3) of the Internal Revenue Code. "Expenditure" does not include the purchase, sale, or gift of services or any other thing of value that is available to the general public on the same terms as it is available to the persons listed in this subsection. "Expenditure" does not include a payment, contribution, gift, purchase, or any other thing of value that is made to or on behalf of any elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of the officials listed in this paragraph who works for a state agency for which the executive agency lobbyist is not registered to influence;
- (3) "Employer" means any person who engages an executive agency lobbyist;
- (4) "Engage" means to make any arrangement, and "engagement" means arrangement, whereby an individual is employed or retained for compensation to act for or on behalf of an employer to influence executive agency decisions or to conduct any executive agency lobbying activity;

- (5) (a) "Financial transaction" means a transaction or activity that is conducted or undertaken for profit and arises from the joint ownership, or the ownership, or part ownership in common of any real or personal property or any commercial or business enterprise of whatever form or nature between the following:
1. An executive agency lobbyist, his employer, a real party in interest, or a member of the immediate family of the executive agency lobbyist, his employer, or a real party in interest; and
 2. Any elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of the officials listed in this subparagraph.
- (b) "Financial transaction" does not include any transaction or activity described in paragraph (a) of this subsection if it is available to the general public on the same terms;
- (6) "Executive agency" means the office of an elected executive official, a cabinet listed in KRS 12.250, or any other state agency, department, board, or commission controlled or directed by an elected executive official or otherwise subject to his authority. "Executive agency" does not include any court or the General Assembly;
- (7) "Executive agency decision" means a decision of an executive agency regarding the expenditure of funds of the state or of an executive agency with respect to the award of a contract, grant, lease, or other financial arrangement under which those funds are distributed or allocated;
- (8) (a) "Executive agency lobbyist" means any person engaged to influence executive agency decisions or to conduct executive agency lobbying activity as one (1) of his main purposes on a substantial basis. The term "executive agency lobbyist" shall also include placement agents and unregulated placement agents.
- (b) "Executive agency lobbyist" does not include an elected or appointed officer or employee of a federal or state agency, state college, state university, or political subdivision who attempts to influence or affect executive agency decisions in his fiduciary capacity as a representative of his agency, college, university, or political subdivision;
- (9) (a) "Executive agency lobbying activity" means contacts made to promote, oppose, or otherwise influence the outcome of an executive agency decision by direct communication with an elected executive official, the secretary of any cabinet listed in KRS 12.250, any executive agency official, or a member of the staff of any one of the officials listed in this paragraph.
- (b) "Executive agency lobbying activity" does not include any of the following:
1. The action of any person having a direct interest in executive agency decisions, if the person acting under Section 1 of the Kentucky Constitution, assembles together with other persons for their common good, petitions any person listed in paragraph (a) of this subsection for the redress of grievances or other proper purposes;
 2. Contacts made for the sole purpose of gathering information contained in a public record; or
 3. Appearances before public meetings of executive agencies;

- (10) "Executive agency official" means an officer or employee of an executive agency whose principal duties are to formulate policy or to participate directly or indirectly in the preparation, review, or award of contracts, grants, leases, or other financial arrangements with an executive agency;
- (11) "Aggrieved party" means a party entitled to resort to a remedy;
- (12) "Elected executive official" means the Governor, Lieutenant Governor, Secretary of State, Auditor of Public Accounts, State Treasurer, Attorney General, and Commissioner of Agriculture;
- (13) "Person" means an individual, proprietorship, firm, partnership, limited partnership, joint venture, joint stock company, syndicate, business or statutory trust, donative trust, estate, company, corporation, limited liability company, association, club, committee, organization, or group of persons acting in concert;
- (14) "Staff" means any employee of the office of the Governor, or a cabinet listed in KRS 12.250, whose official duties are to formulate policy and who exercises administrative or supervisory authority, or who authorizes the expenditure of state funds;
- (15) "Real party in interest" means the person or entity on whose behalf an executive agency lobbyist is acting, if that person or entity is not the employer of the executive agency lobbyist;
- (16) "Substantial basis" means contacts which are intended to influence a decision that involves one or more disbursements of state funds in an amount of at least five thousand dollars (\$5,000) per year;
- (17) "Placement agent" means an individual or firm who is compensated or hired by an employer or other real party in interest for the purpose of influencing an executive agency decision regarding the investment of the Kentucky Retirement Systems or the Kentucky Teachers' Retirement System assets; and
- (18) "Unregulated placement agent" means a placement agent who is prohibited by federal securities laws and regulations promulgated thereunder from receiving compensation for soliciting a government agency.

Effective: June 25, 2013

History: Amended 2013 Ky. Acts ch. 106, sec. 2, effective June 25, 2013. -- Amended 2012 Ky. Acts ch. 75, sec. 2, effective April 11, 2012. -- Amended 2000 Ky. Acts ch. 417, sec. 6, effective December 1, 2000. -- Amended 1996 Ky. Acts ch. 172, sec. 1, effective July 15, 1996. -- Created 1993 (1st Extra. Sess.) Ky. Acts ch. 4, sec. 45, effective September 16, 1993.

Legislative Research Commission Note (12/1/2000). The contingency on the effectiveness of this statute set by 2000 Ky. Acts ch. 417, sec. 18, was met, the voters of the Commonwealth having ratified at the general election on November 7, 2000, a constitutional amendment (see 2000 Ky. Acts ch. 399) abolishing the Railroad Commission.

11A.206 Requirements for executive agency lobbyists, their employers, and real parties in interest.

- (1) An executive agency lobbyist, employer, or real party in interest shall not knowingly fail to register as required under KRS 11A.211.

- (2) An executive agency lobbyist, employer, or real party in interest shall not knowingly fail to keep a receipt or maintain a record that KRS 11A.216 requires the person to keep or maintain.
- (3) An executive agency lobbyist, employer, or real party in interest shall not knowingly fail to file a statement that KRS 11A.216 requires the person to file.

Effective: July 15, 1996

History: Amended 1996 Ky. Acts ch. 172, sec. 2, effective July 15, 1996. -- Created 1993 (1st Extra. Sess.) Ky. Acts ch. 4, sec. 46, effective September 16, 1993.

11A.211 Registration statements for executive agency lobbyists, their employers, and real parties in interest -- Fee -- Trust and agency account for commission operations -- Relationship of registration to state contracts.

- (1) Each executive agency lobbyist, employer, and real party in interest shall file with the commission within ten (10) days following the engagement of an executive agency lobbyist, an initial registration statement showing all of the following:
 - (a) The name, business address, and occupation of the executive agency lobbyist;
 - (b) The name and business address of the employer and of any real party in interest on whose behalf the executive agency lobbyist is acting, if it is different from the employer. However, if a trade association or other charitable or fraternal organization that is exempt from federal income taxation under Section 501(c) of the Internal Revenue Code is the employer, the statement need not list the names and addresses of every member of the association or organization, so long as the association or organization itself is listed;
 - (c) A brief description of the executive agency decision to which the engagement relates;
 - (d) The name of the executive agency or agencies to which the engagement relates; and
 - (e) Certification by the employer and executive agency lobbyist that the information contained in the registration statement is complete and accurate.
- (2) In addition to the initial registration statement required by subsection (1) of this section, each executive agency lobbyist, employer, and real party in interest shall file with the commission, not later than the last day of July of each year, an updated registration statement that confirms the continuing existence of each engagement described in an initial registration statement and that lists the specific executive agency decisions the executive agency lobbyist sought to influence under the engagement during the period covered by the updated statement, and with it any statement of expenditures required to be filed by KRS 11A.216 and any details of financial transaction required to be filed by KRS 11A.221.
- (3) If an executive agency lobbyist is engaged by more than one (1) employer, the executive agency lobbyist shall file a separate initial and updated registration statement for each engagement. If an employer engages more than one (1) executive agency lobbyist, the employer shall file only one (1) updated registration statement under subsection (2) of this section, which shall contain the information required by subsection (2) of this section regarding all executive agency lobbyists engaged by the employer.

- (4) (a) A change in any information required by subsection (1)(a), (b), (c), (d), or (2) of this section shall be reflected in the next updated registration statement filed under subsection (2) of this section.
- (b) Within thirty (30) days following the termination of an engagement, the executive agency lobbyist who was employed under the engagement shall file written notice of the termination with the commission.
- (5) Each employer of one (1) or more executive agency lobbyists, and each real party in interest, shall pay a registration fee of five hundred dollars (\$500) upon the filing of an updated registration statement. All fees collected by the commission under the provisions of this subsection shall be deposited in the State Treasury in a trust and agency fund account to the credit of the commission. These agency funds shall be used to supplement general fund appropriations for the operations of the commission and shall not lapse. No part of the trust and agency fund account shall revert to the general funds of this state.
- (6) Upon registration pursuant to this section, an executive agency lobbyist shall be issued a card annually by the commission showing the executive agency lobbyist is registered. The registration card shall be valid from the date of its issuance through the thirty-first day of July of the following year.
- (7) The commission shall review each registration statement filed with the commission under this section to determine if the statement contains all of the required information. If the commission determines the registration statement does not contain all of the required information or that an executive agency lobbyist, employer, or real party in interest has failed to file a registration statement, the commission shall send written notification of the deficiency by certified mail to the person who filed the registration statement or to the person who failed to file the registration statement regarding the failure. Any person so notified by the commission shall, not later than fifteen (15) days after receiving the notice, file a registration statement or an amended registration statement that includes all of the required information. If any person who receives a notice under this subsection fails to file a registration statement or an amended registration statement within the fifteen (15) day period, the commission may initiate an investigation of the person's failure to file. If the commission initiates an investigation pursuant to this section, the commission shall also notify each elected executive official and the secretary of each cabinet listed in KRS 12.250 of the pending investigation.
- (8) In the biennial report published under KRS 11A.110(13), the commission shall, in the manner and form the commission determines, include a report containing statistical information on the registration statements filed under this section during the preceding biennium.
- (9) If an employer who engages an executive agency lobbyist, or a real party in interest on whose behalf the executive agency lobbyist was engaged is the recipient of a contract, grant, lease, or other financial arrangement pursuant to which funds of the state or of an executive agency are distributed or allocated, the executive agency or any aggrieved party may consider the failure of the real party in interest, the employer, or the executive agency lobbyist to comply with this section as a breach of a material condition of the contract, grant, lease, or other financial arrangement.

- (10) Executive agency officials may require certification from any person seeking the award of a contract, grant, lease, or financial arrangement that the person, his employer, and any real party in interest are in compliance with this section.

Effective: June 29, 2017

History: Amended 2017 Ky. Acts ch. 162, sec. 2, effective June 29, 2017. -- Amended 2006 Ky. Acts ch. 18, sec. 1, effective July 12, 2006. -- Amended 2000 Ky. Acts ch. 542, sec. 1, effective July 14, 2000. -- Amended 1996 Ky. Acts ch. 172, sec. 3, effective July 15, 1996. -- Created 1993 (1st Extra. Sess.) Ky. Acts ch. 4, sec. 47, effective September 16, 1993.

11A.216 Statements of expenditures.

- (1) Each executive agency lobbyist, employer, and real party in interest shall file with the commission, with the updated registration statement required by KRS 11A.211(2), a statement of expenditures as specified in subsections (2) and (3) of this section. An executive agency lobbyist shall file a separate statement of expenditures under this section for each employer engaging him.
- (2) (a) In addition to the information required by paragraph (b) of this subsection, a statement filed by an executive agency lobbyist shall show the total amount of expenditures made by the lobbyist during the reporting period covered by the statement by the executive agency lobbyist.
- (b) 1. If, during a fiscal year, the real party in interest, the employer or any executive agency lobbyist he engaged made expenditures to or on behalf of a particular elected executive official, the secretary of a cabinet listed in KRS 12.250, a particular executive agency official, or a particular member of the staff of any of those officials, the real party in interest, employer, or executive agency lobbyist also shall state the name of the official or employee on whose behalf the expenditures were made, the total amount of the expenditures made, a brief description of the expenditures made, and the approximate date the expenditures were made.
2. Expenditures shall be reported on the expenditure statement for the reporting period that includes the date on which the expenditure was made.
- (3) (a) In addition to the information required by subsection (2)(b) of this section, a statement filed by a real party in interest or an employer shall show the total amount of expenditures during the period covered by the statement. As used in this subsection, "expenditures" does not include the expenses of maintaining office facilities or support services for executive agency lobbyists.
- (b) An employer or real party in interest shall not be required to show any expenditure on a statement filed under this subsection if the expenditure is reported on a statement filed under subsection (2)(a) or (b) of this section by an executive agency lobbyist engaged by the employer.
- (4) Any statement required to be filed under this section shall be filed at the times specified in KRS 11A.211. Each statement shall cover expenditures made during the prior fiscal year.

- (5) If it is impractical or impossible for an executive agency lobbyist, employer, or real party in interest to determine exact dollar amounts or values of expenditures, reporting of good faith estimates, based on reasonable accounting procedures, constitutes compliance with this section.
- (6) Executive agency lobbyists, employers, and real parties in interest shall retain receipts or maintain records for all expenditures that are required to be reported pursuant to this section. These receipts or records shall be maintained for a period ending on the thirtieth day of June of the second fiscal year after the year in which the expenditure was made.
- (7) At least ten (10) days before the date on which the statement is filed, each employer, executive agency lobbyist, or real party in interest who is required to file an expenditure statement under subsection (2)(b) of this section shall deliver a copy of the statement, or the portion showing the expenditure, to the official or employee who is listed in the statement as having received the expenditure or on whose behalf it was made.

Effective: July 14, 2000

History: Amended 2000 Ky. Acts ch. 542, sec. 2, effective July 14, 2000. -- Amended 1996 Ky. Acts ch. 172, sec. 4, effective July 15, 1996. -- Created 1993 (1st Extra. Sess.) Ky. Acts ch. 4, sec. 48, effective September 16, 1993.

11A.221 Statements of financial transactions.

- (1) Any executive agency lobbyist who has had any financial transaction with, or for the benefit of, an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of those officials shall describe the details of the transaction, including the name of the official or employee, the purpose and nature of the transaction, and the date it was made or entered into, in a statement filed with the commission with the updated registration statement required by KRS 11A.211(2). Each statement shall describe each financial transaction that occurred during the prior fiscal year.
- (2) Except as provided in subsection (5) of this section, any employer who has had any financial transaction with or for the benefit of an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of those officials shall describe the details of the transaction, including the name of the official or employee, the purpose and nature of the transaction, and the date it was made or entered into, in a statement filed with the commission with the updated registration statement required by KRS 11A.211(2). The statement shall be filed at the times specified in KRS 11A.211. Each statement shall describe each financial transaction that occurred during the prior fiscal year.
- (3) Except as provided in subsection (6) of this section, any real party in interest who has had any financial transaction with or for the benefit of any elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of those officials shall describe the details of the transaction, including the name of the official or employee, the purpose and nature of the transaction, and the date it was made or entered into, in a statement filed with the commission with the updated registration statement required by KRS 11A.211(2). The statement shall be filed at the times specified in KRS

11A.211. Each statement shall describe each financial transaction that occurred during the prior fiscal year.

- (4) At least ten (10) days before the date on which the statement is filed, each employer, executive agency lobbyist, or real party in interest who is required to file a statement describing a financial transaction under this section shall deliver a copy of the statement to the official or employee with whom or for whose benefit the transaction was made.
- (5) An employer shall not be required to file any statement under this section or to deliver a copy of the statement to an official or employee with whom or for whose benefit the transaction was made if the financial transaction to which the statement pertains is reported by an executive agency lobbyist engaged by the employer.
- (6) A real party in interest shall not be required to file any statement under this section or to deliver a copy of the statement to an official or employee with whom or for whose benefit the transaction was made if the financial transaction to which the statement pertains is reported by an executive agency lobbyist who is acting on behalf of the real party in interest.

Effective: July 14, 2000

History: Amended 2000 Ky. Acts ch. 542, sec. 3, effective July 14, 2000. -- Amended 1996 Ky. Acts ch. 172, sec. 5, effective July 15, 1996. -- Created 1993 (1st Extra. Sess.) Ky. Acts ch. 4, sec. 49, effective September 16, 1993.

11A.226 Dispute resolution with respect to statements of expenditures and statements of financial transactions.

- (1) If a dispute arises between an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of those officials and a real party in interest, an employer, or an executive agency lobbyist with respect to an expenditure or financial transaction alleged in a statement to be filed under KRS 11A.216 or 11A.221, the official, employee, real party in interest, employer, or executive agency lobbyist may file a complaint with the commission. The commission shall investigate the complaint.
- (2) The complaint shall be filed at least three (3) days prior to the time the statement is required to be filed with the commission. The time for filing a disputed expenditure or financial transaction in any statement of expenditures or the details of a financial transaction shall be extended pending the final decision of the commission. This extension does not extend the time for filing the undisputed portions of either type of statement. The commission shall notify the parties of its final decision by certified mail. If the commission decides the disputed expenditure or financial transaction should be reported, the employer, a real party in interest, or the executive agency lobbyist shall include the matter in an amended statement and file the amended statement not later than ten (10) days after receiving notice of the decision of the commission by certified mail.
- (3) An employer, executive agency lobbyist, or real party in interest who files a false statement of expenditures or details of a financial transaction is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.

Effective: July 15, 1996

History: Amended 1996 Ky. Acts ch. 172, sec. 6, effective July 15, 1996. -- Created 1993 (1st Extra. Sess.) Ky. Acts ch. 4, sec. 50, effective September 16, 1993.

11A.231 Activities excepted from KRS 11A.211 and 11A.216.

- (1) KRS 11A.211 and 11A.216 do not apply to efforts to influence executive agency decisions or conduct executive agency lobbying activity by any of the following:
 - (a) Appearances at public hearings of the committees or interim committees of the General Assembly, at court proceedings, at rule-making or adjudication proceedings, or at other public meetings;
 - (b) News, editorial, and advertising statements published in newspapers, journals, or magazines, or broadcast over radio or television;
 - (c) The gathering and furnishing of information and news by bona fide reporters, correspondents, or news bureaus to news media described in subsection (1)(b) of this section; or
 - (d) Publications primarily designed for and distributed to members of associations or charitable or fraternal nonprofit corporations.
- (2) Nothing in KRS 11A.201 to 11A.246 requires the reporting of, or prohibits an elected executive official from soliciting or accepting, a contribution from or an expenditure by any person if the contribution or expenditure is reported in accordance with KRS Chapter 121.

Effective: March 16, 2005

History: Amended 2005 Ky. Acts ch. 105, sec. 15, effective March 16, 2005. -- Created 1993 (1st Extra. Sess.) Ky. Acts ch. 4, sec. 51, effective September 16, 1993.

11A.233 Influencing decision on award of economic incentive package -- Disclosure statement by beneficiary.

- (1) For purposes of KRS 11A.201 to 11A.246, the term "executive agency lobbyist" does not include a person acting to promote, oppose, or otherwise influence the outcome of a decision of the Cabinet for Economic Development or any board or authority within or attached to that cabinet relating to the issuance or award of a bond, grant, lease, loan, assessment, incentive, inducement, or tax credit pursuant to KRS 42.4588, 103.210, Chapter 154, or Chapter 224A, or otherwise relating to any other component of an economic incentive package.
- (2) Notwithstanding subsection (1), before any board or authority within or attached to the Cabinet for Economic Development takes final action on any contract or agreement by which any bond, grant, lease, loan, assessment, incentive, inducement, or tax credit is awarded, the beneficiary of an economic incentive package shall file with the approving board or authority a disclosure statement which shall contain:
 - (a) The identity of the beneficiary of an economic incentive package and any person employed to act on its behalf in its dealings with the Cabinet for Economic Development or any board or authority within or attached to that cabinet regarding the matters to which the contract or agreement refers; and

- (b) The details of any financial transaction as defined in KRS 11A.201(5)(a) between the beneficiary or any other person listed as an employee or agent of the beneficiary as required by paragraph (a) of this subsection and any agent or public servant of the Cabinet for Economic Development, any member of any board or authority within or attached to that cabinet, or any other public servant involved in the negotiation of the economic incentive package.
- (3) After final action by the board or authority, the Cabinet for Economic Development shall file the disclosure statement described in subsection (2) of this section with the Executive Branch Ethics Commission, but the cabinet may delete information identifying the beneficiary of the economic-incentive package if the cabinet believes that identification would damage economic development.
- (4) No beneficiary of an economic incentive package as referred to in this section shall engage any person to influence decisions of the Cabinet for Economic Development or the approving board or authority for compensation that is contingent in any way on the outcome of the decisions of the cabinet or the approving board or authority regarding contracts or agreements specified in subsection (2) of this section, and no person shall accept any engagement to influence these decisions or conduct lobbying activities related to these decisions for compensation that is contingent in any way on the outcome of the decisions of the cabinet or the approving board or authority regarding these contracts or agreements.
- (5) Subsection (4) of this section does not prohibit, and shall not be construed to prohibit, any person from compensating that person's sales employees pursuant to any incentive compensation plan, such as commission sales, if the incentive compensation plan is the same plan used to compensate similarly-situated sales employees who are not engaged by the beneficiary of an economic incentive package in activities and functions referred to in this section.

Effective: July 15, 1994

History: Created 1994 Ky. Acts ch. 450, sec. 37, effective July 15, 1994.

11A.236 Prohibition against lobbying on a contingency basis -- Exception for incentive compensation plans and placement agents.

- (1) Except as provided in subsection (2) of this section, no person shall engage any persons to influence executive agency decisions or conduct executive agency lobbying activity for compensation that is contingent in any way on the outcome of an executive agency decision and no person shall accept any engagement to influence executive agency decisions or conduct executive agency lobbying activity for compensation that is contingent in any way on the outcome of an executive agency decision.
- (2) Subsection (1) of this section does not prohibit, and shall not be construed to prohibit:
 - (a) Any person from compensating his sales employees pursuant to an incentive compensation plan, such as commission sales, if the incentive compensation plan is the same plan used to compensate similarly situated sales employees who are not executive agency lobbyists; or

- (b) Any person from engaging a placement agent to influence investment decisions of the Kentucky Retirement Systems and the Kentucky Teachers' Retirement System for compensation that is contingent on the outcome of investment decisions by the retirement systems' boards of trustees. The provisions of this paragraph shall not apply to unregulated placement agents.

Effective: April 11, 2012

History: Amended 2012 Ky. Acts ch. 75, sec. 3, effective April 11, 2012. -- Created 1993 (1st Extra. Sess.) Ky. Acts ch. 4, sec. 52, effective September 16, 1993.

Legislative Research Commission Note (4/11/2012). The phrase "board of trustees" in subsection (2)(b) of this statute has been changed in codification to "boards of trustees." This manifest clerical or typographical error has been corrected by the Reviser of Statutes under the authority of KRS 7.136(1).

11A.241 Commission's duties with respect to executive agency lobbying.

- (1) The commission shall keep on file the statements required by KRS 11A.211, 11A.216, and 11A.221. These statements are public records and open to public inspection, and the commission shall computerize them so the information contained in them is readily accessible to the general public. The commission shall provide copies of the statements to the public on request and may charge a reasonable fee not to exceed the cost of copying and delivering the statement.
- (2) Not later than the last day of August of each year, the commission shall compile from the registration statements filed with it a complete and updated list of registered executive agency lobbyists and their employers, and real parties in interest and distribute the list to each elected executive branch official and the secretary of each cabinet listed in KRS 12.250, who shall distribute the list to the appropriate personnel under their jurisdiction. The commission shall provide copies of the list to the public upon request and may charge a reasonable fee not to exceed the cost of copying and delivering the list.
- (3) The commission shall maintain a list of all executive agency lobbyists. The commission shall provide copies of the list to the public on request and may charge a reasonable fee not to exceed the cost of copying and delivering the document.
- (4) The commission shall prescribe and make available an appropriate form for the filings required by KRS 11A.211, 11A.216, and 11A.221. The form shall contain the following notice in boldface type: "ANY PERSON WHO KNOWINGLY FILES A FALSE STATEMENT IS IN VIOLATION OF STATE LAW AND SUBJECT TO FINES AND OTHER PENALTIES."
- (5) Any rules adopted by the commission to implement KRS 11A.201 to 11A.246 shall be adopted by administrative regulations promulgated in accordance with KRS Chapter 13A.
- (6) The commission shall publish a handbook that explains in clear and concise language the provisions of KRS 11A.201 to 11A.246 and make it available free of charge to executive agency lobbyists, employers, real parties in interest, and any other interested persons.

Effective: July 14, 2000

History: Amended 2000 Ky. Acts ch. 542, sec. 4, effective July 14, 2000. -- Amended 1996 Ky. Acts ch. 172, sec. 7, effective July 15, 1996. -- Created 1993 (1st Extra. Sess.) Ky. Acts ch. 4, sec. 53, effective September 16, 1993.

11A.246 Authorization for compliance investigations by Attorney General and his designees.

The Attorney General and any assistant or special counsel designated by him may investigate compliance with KRS 11A.201 to 11A.246.

Effective: September 16, 1993

History: Created 1993 (1st Extra. Sess.) Ky. Acts ch. 4, sec. 54, effective September 16, 1993.

Penalties

11A.990 Penalties -- Time limitation on prosecution for violation of KRS 11A.040.

- (1) Any person who violates KRS 11A.040 shall be guilty of a Class D felony. In addition:
 - (a) The judgment of conviction for a violation of KRS 11A.040(2) shall recite that the offender is disqualified to hold office thereafter; and
 - (b) Any person who violates KRS 11A.040(1) to (5) shall be judged to have forfeited any employment, or constitutional or statutory office he holds, provisions of KRS Chapter 18A to the contrary notwithstanding.
- (2) Any officer, public servant, or candidate required to file a statement of financial disclosure under KRS 11A.050 who does not file the statement by a date specified in that section shall have his salary withheld from the first day of noncompliance until he shall have completed the action required by law. The amount withheld shall be deducted from his overall pay and allowances and shall be recoverable upon the filing of the statement of financial disclosure. The commission may grant a reasonable extension of time for filing a statement of financial disclosure for good cause shown.(3) Any person who maliciously files with the commission a false charge of misconduct on the part of any public servant or other person shall be fined not to exceed five thousand dollars (\$5,000), or imprisoned in a county jail for a term not to exceed one (1) year, or both.
- (4) Prosecution for violation of any provision of KRS 11A.040 shall not be commenced after four (4) years have elapsed from the date of the violation. Any executive agency lobbyist, employer, or real party in interest who violates any provision in KRS 11A.206 shall for the first violation be subject to a civil penalty not to exceed five thousand dollars (\$5,000). For the second and each subsequent violation, he shall be guilty of a Class D felony.
- (5) Any executive agency lobbyist, employer, or real party in interest who fails to file the initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000).
- (6) Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony.

- (7) An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.
- (8) Violation of KRS 11A.236 is a Class D felony.

Effective: July 14, 2000

History: Amended 2000 Ky. Acts ch. 475, sec. 8, effective July 14, 2000. -- Amended 1998 Ky. Acts ch. 602, sec. 4, effective July 15, 1998; and ch. 603, sec. 3, effective July 15, 1998. -- Amended 1996 Ky. Acts ch. 172, sec. 8, effective July 15, 1996. -- Amended 1993 (1st Extra. Sess.) Ky. Acts ch. 4, sec. 55, effective September 16, 1993. -- Created 1992 Ky. Acts ch. 287, sec. 15, effective July 14, 1992.

APPENDIX B

INITIAL REGISTRATION STATEMENT EXECUTIVE AGENCY LOBBYIST/EMPLOYER/REAL PARTY IN INTEREST

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Capital Complex East, 1024 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 695-5939

ATTENTION FORMER EXECUTIVE BRANCH EMPLOYEES:

KRS 11A.040(8) prohibits you for one (1) year from the date you leave state employment from lobbying on matters in which you had direct involvement the last thirty-six (36) months of your state employment.

This statement must be filed with the Executive Branch Ethics Commission within **ten (10) days of engagement**. Please read instructions and review Kentucky Revised Statutes 11A.211 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days. **Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.**

A. Executive Agency Lobbyist Information

- 3. Full Name: _____
- 4. Occupation: _____ 3. Title: _____
- 4. Firm Name: _____
- 5. Business Address: _____
- 6. Business Telephone: _____ 7. E-Mail Address: _____
- 8. Cell/Mobile Telephone: _____
- 9. Permanent Residential Address: _____
- 10. Date of Engagement as Executive Agency Lobbyist with this Employer: _____

B. Employer Information

- 1. Full name of company/organization: _____
- 2. Type of Industry: _____
- 3. Business Address: _____
- 4. Employer Contact: Name and title of person responsible for completing the *Updated Registration Statement/Employer of Executive Agency Lobbyist* (each Employer should name one person as a contact).
Name: _____ Title: _____
Address (if different from Employer above): _____
Telephone: _____ E-mail Address: _____

C. Real Party in Interest Information (if applicable)

- 1. Full name of company/organization: _____
- 2. Type of Industry: _____
- 3. Business Address: _____
- 4. Name and title of person responsible for completing the *Updated Registration Statement/Real Party in Interest* (each Real Party should name one person as a contact).
Name: _____ Title: _____
Address (if different from Real Party above): _____
Telephone: _____ E-mail Address: _____

D. Brief description of the executive agency decision(s) to which executive agency lobbyist's engagement relates: **Do Not Leave Blank _____**

E. Listing of Executive Branch Agencies to which engagement relates: Please check all agencies you anticipate contacting in your capacity as an executive agency lobbyist for the employer listed on this form.

CONSTITUTIONAL AGENCIES/ELECTED OFFICIALS

- | | | |
|--|--|---|
| <input type="checkbox"/> Agricultural Policy, Governor's Office of | <input type="checkbox"/> Homeland Security, Office of | <input type="checkbox"/> Local Government, Department for |
| <input type="checkbox"/> Agriculture, Commissioner of | <input type="checkbox"/> Kentucky Coal Council | <input type="checkbox"/> Military Affairs, Department for |
| <input type="checkbox"/> Attorney General, Office of the | <input type="checkbox"/> Kentucky Commission on Human Rights | <input type="checkbox"/> Minority Empowerment |
| <input type="checkbox"/> Auditor of Public Accounts | <input type="checkbox"/> Kentucky Commission on Military Affairs | <input type="checkbox"/> Registry of Election Finance |
| <input type="checkbox"/> Board of Elections | <input type="checkbox"/> Kentucky Commission on Women | <input type="checkbox"/> Secretary of State |
| <input type="checkbox"/> Coal Marketing and Export, Office of | <input type="checkbox"/> Kentucky Infrastructure Authority | <input type="checkbox"/> State Budget Director |
| <input type="checkbox"/> Governor | <input type="checkbox"/> Lieutenant Governor | <input type="checkbox"/> State Treasurer |
| | | <input type="checkbox"/> Veterans' Affairs |

ECONOMIC DEVELOPMENT CABINET

- | | | |
|---|--|---|
| <input type="checkbox"/> Bluegrass State Skills Corporation | <input type="checkbox"/> Kentucky Economic Development Finance Authority | <input type="checkbox"/> Kentucky Innovation Network |
| <input type="checkbox"/> Business Development, Department for | <input type="checkbox"/> Kentucky Economic Development Partnership | <input type="checkbox"/> Secretary, Office of the |
| <input type="checkbox"/> Entrepreneurship, Office of | | <input type="checkbox"/> Small Business Advocacy Commission |

EDUCATION AND WORKFORCE DEVELOPMENT CABINET

- | | | |
|---|--|---|
| <input type="checkbox"/> Americans with Disabilities Act, Ky. Office of | <input type="checkbox"/> Education Professional Standards Board | <input type="checkbox"/> Kentucky Education Television |
| <input type="checkbox"/> Blind, Office for the | <input type="checkbox"/> Education, Department of | <input type="checkbox"/> Libraries and Archives, Department |
| <input type="checkbox"/> Career and Technical Education, Office of | <input type="checkbox"/> Education, Kentucky Board of | <input type="checkbox"/> Proprietary Education, Commission on |
| <input type="checkbox"/> Center for School Safety | <input type="checkbox"/> Educational Programs/Work Ready Communities | <input type="checkbox"/> Secretary, Office of the |
| <input type="checkbox"/> Center for Education & Workforce Statistics | <input type="checkbox"/> Employment and Training, Office of | <input type="checkbox"/> Unemployment Insurance Commission |
| <input type="checkbox"/> Council on Postsecondary Education | <input type="checkbox"/> Environmental Education Council, Kentucky | <input type="checkbox"/> Vocational Rehabilitation, Office of |
| <input type="checkbox"/> Deaf and Hard of Hearing, Commission on | <input type="checkbox"/> Governor's Scholars Program | <input type="checkbox"/> Workforce Innovation Board, Kentucky |
| <input type="checkbox"/> Early Childhood Advisory Council | | <input type="checkbox"/> Workforce Investment, Department of |

ENERGY AND ENVIRONMENT CABINET

- | | | |
|---|--|--|
| <input type="checkbox"/> Abandoned Mine Lands, Division of | <input type="checkbox"/> Forestry, Division of | <input type="checkbox"/> Mine Safety Review Commission |
| <input type="checkbox"/> Administrative Hearings, Office of | <input type="checkbox"/> Heritage Land Conservation Fund, Kentucky | <input type="checkbox"/> Natural Resources, Department for |
| <input type="checkbox"/> Air Quality, Division for | <input type="checkbox"/> Inspector General, Office of | <input type="checkbox"/> Oil and Gas Conservation, Division of |
| <input type="checkbox"/> Conservation, Division of | <input type="checkbox"/> Legal Services, Office of | <input type="checkbox"/> Public Service Commission |
| <input type="checkbox"/> Energy Development and Independence, | <input type="checkbox"/> Mine Permits, Division of | <input type="checkbox"/> Secretary, Office of the |
| <input type="checkbox"/> Environmental Protection, Department for | <input type="checkbox"/> Mine Reclamation and Enforcement, Division of | <input type="checkbox"/> State Nature Preserves Commission, Kentucky |
| <input type="checkbox"/> Environmental Quality Commission | <input type="checkbox"/> Mine Safety and Licensing, Office of | <input type="checkbox"/> Waste Management, Division of |
| | | <input type="checkbox"/> Water, Division of |

FINANCE AND ADMINISTRATION CABINET

- | | | |
|---|--|--|
| <input type="checkbox"/> Administrative Services, Office of | <input type="checkbox"/> Kentucky Higher Education Student Loan Corp | <input type="checkbox"/> Retirement Systems, Kentucky |
| <input type="checkbox"/> Commonwealth Office of Technology | <input type="checkbox"/> Kentucky Housing Corporation | <input type="checkbox"/> Revenue, Department of |
| <input type="checkbox"/> Controller, Office of the | <input type="checkbox"/> Kentucky Lottery Corporation | <input type="checkbox"/> School Facilities Construction Commission |
| <input type="checkbox"/> Facilities & Support Services, Department for | <input type="checkbox"/> Kentucky River Authority | <input type="checkbox"/> Secretary, Office of the |
| <input type="checkbox"/> Financial Management, Office of | <input type="checkbox"/> Local Correctional Facilities Construction Auth | <input type="checkbox"/> State Investment Commission |
| <input type="checkbox"/> General Counsel, Office of | <input type="checkbox"/> Material and Procurement Services, Office of | <input type="checkbox"/> State Property and Buildings Commission |
| <input type="checkbox"/> Kentucky Gas Pipeline Authority | <input type="checkbox"/> Property Valuation, Office of | <input type="checkbox"/> Teachers' Retirement System, Kentucky |
| <input type="checkbox"/> Kentucky Higher Education Assistance Authority | | <input type="checkbox"/> Turnpike Authority of Kentucky |

HEALTH AND FAMILY SERVICES CABINET

- Administrative Hearings
- Aging & Independent Living, Department for
- Behavioral Health, Developmental & Intellectual Disabilities,
- Certificate of Need
- Child Care/Child Support
- Children with Special Health Care Needs, Commission for
- Community Based Services, Department for
- Community Volunteerism and Service, Kentucky Commission on
- Disability Determination Services
- Family Resource Centers & Volunteer Services
- Family Support, Division of
- Health Benefit & Health Information Exchange, Office of
- Health Policy, Office of
- Income Support, Department for
- Inspector General, Office of
- Kentucky e-Health Network Board
- Medicaid Services, Department for
- Ombudsman, Office of
- Policy & Budget Office of
- Prevention Violence Resources, Division of
- Public Health, Department for
- Secretary, Office of the

JUSTICE AND PUBLIC SAFETY CABINET

- Child Fatality & Near Fatality External Review Panel
- Corrections, Department of
- Criminal Justice Council
- Criminal Justice Training, Department of
- Drug Control Policy, Office of
- Grants Management Branch
- Internal Investigations, Office of
- Juvenile Justice, Department of
- Juvenile Justice Oversight Council
- Kentucky State Police, Department of
- Legal Services, Office of
- Legislative & Intergovernmental Services, Office of
- Motor Vehicle Enforcement
- Parole Board
- Public Advocacy, Department for
- Secretary, Office of the
- State Medical Examiner, Kentucky

LABOR CABINET

- Apprenticeship & Training Council
- General Counsel
- Kentucky Employers Mutual Insurance
- Kentucky Occupational Safety & Health Review Commission
- Labor-Management Advisory Council
- Labor Relations Board, State
- Prevailing Wage Review Board
- Secretary, Office of the
- Workers' Claims, Department of
- Workers' Compensation Funding Commission
- Workplace Standards, Department of

PERSONNEL CABINET

- Administrative Services, Office of
- Center for Strategic Innovation
- Diversity and Equality, Office of
- Employee Insurance, Department of
- Employee Relations, Office of
- Governmental Services Center
- Human Resources Administration, Department
- Kentucky Public Employees Deferred Compensation Authority
- Legal Services, Office of
- Secretary, Office of the

PUBLIC PROTECTION CABINET

- Alcoholic Beverage Control, Department of
- Boxing and Wrestling Authority, Kentucky
- Charitable Gaming, Department of
- Claims, Board of
- Crime Victims Compensation Board
- Financial Institutions, Department of
- Horse Racing Commission, Kentucky
- Housing, Buildings & Construction, Department of
- Insurance, Department of
- Occupations and Professions, Office of
- Secretary, Office of the
- Tax Appeals, Board of

TOURISM ARTS AND HERITAGE CABINET

- Creative Services, Office of
- Fish and Wildlife Resources
- Frankfort Convention Center
- Governor's School for the Arts
- Kentucky Artisan Center
- Kentucky Arts Council
- Kentucky Center for the Arts
- Kentucky Heritage Council
- Kentucky Historical Society
- Kentucky Horse Park
- Kentucky Humanities Council
- Kentucky Sports Authority
- Kentucky State Fair Board
- Kentucky State Parks
- Secretary, Office of the
- Travel, Department of

TRANSPORTATION CABINET

- Aviation, Department of
- Budget & Fiscal Management, Office of
- Highways, Department of
- Highway Safety, Office of
- Inspector General, Office of
- Kentucky Airport Zoning Commission
- Project Delivery & Preservation, Office of
- Project Development, Office of
- Rural and Municipal Aid, Department for
- Secretary, Office of the
- Transportation Delivery, Office for
- Vehicle Regulation, Department of

GENERAL GOVERNMENT / BOARDS AND COMMISSIONS

- | | | |
|--|--|---|
| <input type="checkbox"/> Accountancy, Board of
<input type="checkbox"/> Alcohol and Drug Counselors, Board of
<input type="checkbox"/> Applied Behavior Analysis, Board of
<input type="checkbox"/> Architects, Board of
<input type="checkbox"/> Auctioneers, Board of
<input type="checkbox"/> Barbering, Board of
<input type="checkbox"/> Chiropractic Examiners, Board of
<input type="checkbox"/> Dentistry, Board of
<input type="checkbox"/> Dieticians and Nutritionists, Board of Certification
<input type="checkbox"/> Embalmers and Funeral Directors, Board of
<input type="checkbox"/> Emergency Medical Services, Board of
<input type="checkbox"/> Executive Branch Ethics Commission
<input type="checkbox"/> Fee-Based Pastoral Counselors, Board of
<input type="checkbox"/> Hairdressers and Cosmetologists, Board of
<input type="checkbox"/> Hearing Instruments, Board of Specialists in
<input type="checkbox"/> Heating, Ventilation and Air Conditioning Contractors, Board of
<input type="checkbox"/> Home Inspectors, Board of | <input type="checkbox"/> Interpreters for the Deaf and Hard of Hearing, Board of
<input type="checkbox"/> Landscape Architects, Board of Examiners & Registration of
<input type="checkbox"/> Manufactured Home Certification and Licensure, Board of
<input type="checkbox"/> Marriage and Family Therapists, Board of Certification of
<input type="checkbox"/> Massage Therapy, Board of Licensure for
<input type="checkbox"/> Medical Licensure, Board of
<input type="checkbox"/> Nursing Home Administrators, Board of Licensure for
<input type="checkbox"/> Nursing, Board of
<input type="checkbox"/> Occupational Therapy, Board of Licensure for
<input type="checkbox"/> Ophthalmic Dispensers, Board of
<input type="checkbox"/> Optometric Examiners, Board of
<input type="checkbox"/> Personnel Board
<input type="checkbox"/> Pharmacy, Board of | <input type="checkbox"/> Physical Therapy, Board of
<input type="checkbox"/> Podiatry, Board of
<input type="checkbox"/> Private Investigators, Board of Licensure for
<input type="checkbox"/> Professional Art Therapists, Board of Certification for
<input type="checkbox"/> Professional Counselors, Board of
<input type="checkbox"/> Professional Engineers and Land Surveyors, Board of Licensure for
<input type="checkbox"/> Professional Geologists, Board of Registration for
<input type="checkbox"/> Prosthetics, Orthotics, and Pedorthics, Board of
<input type="checkbox"/> Psychology, Board of Examiners of
<input type="checkbox"/> Real Estate Appraisers, Board of
<input type="checkbox"/> Real Estate Commission
<input type="checkbox"/> Respiratory Care, Board of
<input type="checkbox"/> Social Work, Board of
<input type="checkbox"/> Speech-Language Pathology and Audiology, Board of
<input type="checkbox"/> Veterinary Examiners, Board |
|--|--|---|

Agencies not listed: _____

I certify under penalty of law that the information given in this Initial Registration Statement is complete and accurate. Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.¹

Date: _____ Signature _____
(Executive Agency Lobbyist)

Date: _____ Signature _____
(Employer Contact)

Print Name of Employer Contact
Print Title of Employer Contact

After completing, submit your Initial Registration Statement to:

Commonwealth of Kentucky
 EXECUTIVE BRANCH ETHICS COMMISSION
 Capital Complex East, 1024 Capital Center Drive, Suite #104
 Frankfort, Kentucky 40601
 (502) 564-7954 FAX (502) 695-5939

Do Not Submit Registration Fees with the Initial Registration Statement

Registration Fees are paid by the Employer/Real Party in Interest upon the filing of the annual Updated Registration Statement due in July.

¹ KRS 11A.990
 (4) Any executive agency lobbyist, employer, or real party in interest who violates any provision in KRS 11A.206 shall for the first violation be subject to a civil penalty not to exceed five thousand dollars (\$5,000). For the second and each subsequent violation, he shall be guilty of a Class D felony.
 (5) Any executive agency lobbyist, employer, or real party in interest who fails to file the initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000).
 (6) Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony.
 (7) An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.
 (8) Violation of KRS 11A.236 is a Class D felony.

UPDATED REGISTRATION STATEMENT EXECUTIVE AGENCY LOBBYIST

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Capital Complex East, 1025 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 695-5939

This statement must be filed with the Executive Branch Ethics Commission by the last day of July. Please read instructions and review KRS 11A.211, 11A.216 and 11A.221 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days.

Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.

A. GENERAL INFORMATION

1. Full Name of Executive Agency Lobbyist _____
Executive Agency Lobbyist # _____
Name of Employer(s) _____

2. Based on your Initial Registration Statement or last Updated Registration Statement, state any changes in:

Business Address: _____
Street Suite #

City State Zip Code Telephone

Residential Address: _____
Street Suite #

City State Zip Code

E-Mail Address: _____ Telephone _____

If none, check here []

3. Type of Report:
[] Regular Update Statement for the period July 1 - June 30, 20_____. (due July 31)
[] Amended Statement for the period of: _____.
[] Final Update Statement for the period July 1 - TERMINATION.

4. **Terminations:** Do you continue to represent the Employer(s) listed on this form as an executive agency lobbyist?

Yes

No

If no, please list all terminated Employers and the date of termination:

EMPLOYER NAME

Date of Termination

5. Based on your Initial Registration Statement or last Updated Registration Statement, state any additions or deletions of Real Party(ies) in Interest:

NAME OF REAL PARTY IN INTEREST	DATE OF ADDITION	DATE OF DELETION

If none, check here

Instructions for Completing Section B and Section C

Lobbyist engaged for one (1) Employer: List the name of your employer, your name and EAL # at the top of page 3. Complete Section B., C., and D., sign, and submit.

Lobbyists engaged for multiple Employers: If you represent more than one employer, you must complete the following page (Page 3, Section B and C) for each. Copy page three for each of your employer(s) listing the employer's name, your name and EAL # at the top. Continue completing Section B. and C. as it relates to each employer listed at the top. Attach the additional copies to the Updated Registration Statement. Complete the rest of the form, sign, and submit.

EMPLOYER: _____ EAL NAME & NUMBER: _____

B. EXECUTIVE AGENCY DECISIONS

1. If you had direct communication or contacts with executive branch officials during this reporting period, please list the specific agency decisions you sought to influence. (Attach an additional sheet if necessary)

If none, check here []

2. Since your Initial Registration Statement or last Updated Registration Statement, describe any additional types of executive agency decisions to which this engagement relates:

If none, check here []

3. State any additions to or deletions from the list of elected executive officials, departments or agencies for which you will be influencing executive agency decisions for this named Employer:

If none, check here []

C. EXECUTIVE AGENCY LOBBYIST EXPENDITURES STATEMENT

List any expenditures made during this reporting period for the benefit of an elected executive official, Secretary of a Cabinet listed in KRS 12.250, an executive branch agency official, or a member of the staff of any of these officials for which the Employer is registered to influence. Provide the following information regarding the expenditures (Attach additional sheet if necessary)

Name of Official, Employee or Staff Member of Official	Describe type of expenditure (transportation, lodging, meals, entertainment etc.) and a description of the meeting, event or occasion to which the expenditure pertains.	Date of Expenditure	Amount of Expenditure
			\$
			\$
			\$
		TOTAL	\$

If none, check here []

Any Executive Agency Lobbyist who is required to complete Section C shall deliver a copy of the expenditure statement, or the portion showing the expenditures, to the person identified as receiving the benefit of the expenditure, at least ten (10) days before this statement is filed. If a dispute arises, the disputed expenditure does not have to be reported until a final decision by the Commission.

D. FINANCIAL TRANSACTIONS INVOLVING EXECUTIVE AGENCY LOBBYIST

During the reporting period, if you, or a member of your immediate family, had, a financial transaction, with or for the benefit of, an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of these officials above, provide the following information regarding such financial transaction.

1. Name of official, employee or staff member: _____

2. Brief description of the purpose and nature of the transaction:

3. Date transaction was made or entered into: _____

4. Other pertinent details:

(Attach sheet for each additional official, employee, or staff member.)

If none, check here

Any Executive Agency Lobbyist who is required to complete Section D shall deliver a copy of the financial transaction statement to the person identified in Section D above at least ten (10) days before this statement is filed. If a dispute arises, the disputed financial transaction does not have to be reported until a final decision by the Commission.

CERTIFICATION: I certify that the information contained in this registration statement is complete and accurate. Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.¹

Signature of Executive Agency Lobbyist

Date

^{1 1} KRS 11A.990

(4) Any executive agency lobbyist, employer, or real party in interest who violates any provision in KRS 11A.206 shall for the first violation be subject to a civil penalty not to exceed five thousand dollars (\$5,000). For the second and each subsequent violation, he shall be guilty of a Class D felony.

(5) Any executive agency lobbyist, employer, or real party in interest who fails to file the initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000).

(6) Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony.

(7) An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.

(8) Violation of KRS 11A.236 is a Class D felony.

UPDATED REGISTRATION STATEMENT EMPLOYER OF EXECUTIVE AGENCY LOBBYIST

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Capital Complex East, 1025 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 695-5939

This statement and a \$500 registration fee must be filed with the Executive Branch Ethics Commission by the last day of July. Please read instructions and review KRS 11A.211, 11A.216, and 11A.221 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days.

Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.

A. GENERAL INFORMATION

1. Full Name of Employer: _____

2. Based on your Initial Registration Statement or last Updated Registration Statement, state any changes in:

Employer's Name: _____

Employer's Contact: _____

Employer Contact Title: _____

Employer's Business Address, Telephone, E-Mail Address:

Street

Suite #

City

State

Zip

Telephone

E-Mail Address

If none, check here []

3. Type of Report:

[] Regular Update Report for the period July 1 - June 30, 20 _____ (due July 31)

[] Amended Statement for the period of: _____.

[] Final Update Statement for the period July 1 - TERMINATION.

4. Provide the full name of all Executive Agency Lobbyists who were registered to represent the employer at any time during the reporting period. **Do not leave this section blank.**

Name of Executive Agency Lobbyist	Lobbyist Registration #

(Attach additional sheet if necessary)

5. If the Employer terminated the engagement of any Executive Agency Lobbyist or engaged a new Executive Agency Lobbyist at any time during this reporting period, state the name of the Executive Agency Lobbyist and the date on which the termination or engagement occurred:

Name of Executive Agency Lobbyist	Termination Date	Engagement Date	Registration # (if known)

(Attach additional sheet if necessary)

6. Based on your Initial Registration Statement or last Updated Registration Statement, state any additions or deletions of Real Party(ies) in Interest (attach additional sheet if necessary):

Name of Real Party In Interest	Business Address	Date of Addition	Date of Deletion

If none, check here []

B. EXECUTIVE AGENCY DECISIONS

If you or your executive agency lobbyist(s) had direct communication or contacts with executive branch officials during this reporting period, please list the specific executive agency decisions you sought to influence. (Attach an additional sheet if necessary)

C. EMPLOYER EXPENDITURES STATEMENT

List any expenditures made during this reporting period for the benefit of an elected executive official, Secretary of a Cabinet listed in KRS 12.250, an executive branch agency official, or a member of the staff of any of these officials for which the Employer is registered to influence. Provide the following information regarding the expenditures (Attach additional sheet if necessary)

Name of Official, Employee or Staff Member of Official	List type of expenditure (transportation, lodging, meals, entertainment etc.) and a description of the meeting, event, or occasion to which the expenditure pertains.	Date of Expenditure	Amount of Expenditure
			\$
			\$
			\$
			\$
		TOTAL	\$

If none, check here []

Any Employer of an Executive Agency Lobbyist who is required to complete Section C shall deliver a copy of the expenditure statement, or the portion showing the expenditures, to the person identified as receiving the benefit of the expenditure, at least ten (10) days before this statement is filed. If a dispute arises, the disputed expenditure does not have to be reported until a final decision by the Commission.

D. FINANCIAL TRANSACTIONS INVOLVING EMPLOYER OF EXECUTIVE AGENCY LOBBYIST

During the reporting period, if the Employer, or a member of the Employer’s immediate family, had, a financial transaction with, or for the benefit of, an elected executive branch official, the Secretary of a Cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of the officials above, provide the following information regarding such financial transaction:

(If more than one attach additional sheet for each)

1. Name of official, employee or staff member: _____
2. Brief description of the purpose and nature of the transaction: _____

3. Date transaction made or entered into: _____
4. Other pertinent details: _____

If none, check here []

Any Employer of an Executive Agency Lobbyist who is required to disclose a financial transaction described in Section D shall deliver a copy of the financial transaction statement to the person identified in Section D above, at least ten (10) days before this statement is filed. If a dispute arises, the disputed financial transaction does not have to be reported until a final decision by the Commission

E. REGISTRATION FEE

Each employer of one or more executive agency lobbyists shall pay a registration fee of \$500.00 with the filing of the Updated Registration Statement for this reporting period pursuant to KRS 11A. 211(5). Failure to submit the \$500.00 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject you to penalties outlined in KRS 11A.990(5).

CERTIFICATION: I certify that the information contained in this registration statement is complete and accurate. **Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.¹**

BY: _____

Signature of Employer Contact *Date*

Print Name *Print Title*

¹ KRS 11A.990

(4) Any executive agency lobbyist, employer, or real party in interest who violates any provision in KRS 11A.206 shall for the first violation be subject to a civil penalty not to exceed five thousand dollars (\$5,000). For the second and each subsequent violation, he shall be guilty of a Class D felony.

(5) Any executive agency lobbyist, employer, or real party in interest who fails to file the initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000).

(6) Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony.

(7) An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.

(8) Violation of KRS 11A.236 is a Class D felony.

UPDATED REGISTRATION STATEMENT *REAL PARTY IN INTEREST*

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Capital Complex East, 1025 Capital Center Drive, Suite 104
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 695-5939

This statement and a \$500 registration fee must be filed with the Executive Branch Ethics Commission by the last day of July. Please read instructions and review KRS 11A.211, 11A.216, and 11A.221 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days.

ANY PERSON WHO KNOWINGLY FILES A FALSE STATEMENT IS IN VIOLATION OF STATE LAW AND SUBJECT TO FINES AND OTHER PENALTIES.

A. GENERAL INFORMATION

1. Full Name of Real Party in Interest: _____

2. Based on your Initial Registration Statement or last Updated Registration Statement, state any changes in :

Real Party in Interest Name: _____

Real Party in Interest Business Address, Telephone, E-mail, Contact:

<i>Street</i>	<i>Suite #</i>
<i>City</i>	<i>State</i>
<i>Telephone</i>	<i>Contact</i>

If none, check here []

3. Type of Report:

Regular Update Report for the period July 1 through June 30, 20 _____ (due July 31)

Amended Statement for the period of: _____

Final Update Statement for the period July 1 - TERMINATION.

4. Provide the full name of all Executive Agency Lobbyists who were registered to act on behalf of the Real Party in Interest during this reporting period: **Do not leave this section blank.**

Name of Executive Agency Lobbyist	Lobbyist Registration #

(Attach additional sheet if necessary)

5. If the Real Party in Interest terminated the engagement of any Executive Agency Lobbyist or engaged a new Executive Agency Lobbyist at any time during this reporting period, state the name of the Executive Agency Lobbyist and the date on which the termination or engagement occurred:

Name of Executive Agency Lobbyist	Termination Date	Engagement Date	Registration # (if known)

B. EXECUTIVE AGENCY DECISIONS

If you or your executive agency lobbyists had direct communication or contacts with executive branch officials during this reporting period, please list the specific executive agency decisions you or your executive agency lobbyists sought to influence:

C. REAL PARTY IN INTEREST EXPENDITURES STATEMENT

List any expenditures made during this reporting period for the benefit of an elected executive official, Secretary of a Cabinet listed in KRS 12.250, an executive branch agency official, or a member of the staff of any of these officials for which the Real Party in Interest is registered to influence. Provide the following information regarding the expenditures (Attach additional sheet if necessary

Name of Official, Employee or Staff Member of Official	List type of expenditure (transportation, lodging, or meals, entertainment etc.) and provide a description of each meeting, event, or occasion to which the expenditure pertains.	Date of Expenditure	Amount of Expenditure
			\$
			\$
			\$
			\$
		TOTAL	\$

If none, check here []

Any Real Party in Interest employing an Executive Agency Lobbyist who is required to complete Section C shall deliver a copy of the expenditure statement, or that portion showing the expenditure to the person identified as receiving the benefit of the expenditure, at least ten (10) days before this statement is filed. If a dispute arises, the disputed expenditure does not have to be reported until a final decision by the Commission.

D. FINANCIAL TRANSACTIONS INVOLVING REAL PARTY IN INTEREST

During the reporting period, if the Real Party in Interest, or a member of the Real Party in Interest’s immediate family, had a financial transaction with, or for the benefit of, an elected executive official, the Secretary of a Cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of the officials above, provide the following information regarding such financial transaction:

(If more than one attach additional sheet for each.)

- 1. Name of official, employee or staff member: _____
- 2. Brief description of the purpose and nature of the transaction:

- 3. Date transaction made or entered into: _____
- 4. Other pertinent details: _____

Any Real Party in Interest who is required to disclose a financial transaction described in Section D shall deliver a copy of the financial transaction statement to the person identified in Section D above, at least ten (10) days before this statement is filed. If a dispute arises, the disputed financial transaction does not have to be reported until a final decision by the Commission

E. REGISTRATION FEE

Each Real Party in Interest shall pay a registration fee of \$500.00 with the filing of the Updated Registration Statement for this reporting period pursuant to KRS 11A.211(5). Failure to submit the \$500 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject you to penalties outlined in KRS 11A.990(5).

CERTIFICATION: I certify that the information contained in this registration statement is complete and accurate. **Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties¹**

BY: _____
Signature of Real Party in Interest Contact

Date

Print name

Print title

¹ KRS 11A.990

(4) Any executive agency lobbyist, employer, or real party in interest who violates any provision in KRS 11A.206 shall for the first violation be subject to a civil penalty not to exceed five thousand dollars (\$5,000). For the second and each subsequent violation, he shall be guilty of a Class D felony.

(5) Any executive agency lobbyist, employer, or real party in interest who fails to file the initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000).

(6) Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony.

(7) An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.

(8) Violation of KRS 11A.236 is a Class D felony.

UPDATED REGISTRATION STATEMENT EXECUTIVE AGENCY LOBBYIST/EMPLOYER "COMBINED"

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Capital Complex East, 1025 Capital Center Drive, Suite #104
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 695-5939

ANY PERSON WHO KNOWINGLY FILES A FALSE STATEMENT IS IN VIOLATION OF STATE LAW AND SUBJECT TO FINES AND OTHER PENALTIES.

This statement and a \$500 registration fee must be filed with the Executive Branch Ethics Commission by the last day of July. Please read instructions and review KRS 11A.211, 11A.216, and 11A.221 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days.

Attention: This form may only be completed by those who meet all of the following requirements:

1. There is only **one** executive agency lobbyist registered to represent the employer.
2. There is only **one** employer registered for the same lobbyist.
3. The lobbyist that is registered is also listed as the employer contact.
4. Both the employer and the lobbyist have no expenditures or financial transactions to report.

A. GENERAL INFORMATION

1. Name of Executive Agency Lobbyist _____
 Executive Agency Lobbyist Registration Number _____
 Name of Employer _____

2. Based on your Initial Registration Statement or last Updated Registration Statement, state any changes in:
 Lobbyist Name _____
 Lobbyist Mailing Address _____
 Lobbyist Phone Number _____ E Mail Address _____
 Employer Name _____
 Employer Mailing Address _____
 Employer Phone Number _____ E Mail Address _____

If no changes, check here []

3. Type of Report:

- Regular Update Report for the period July 1 – June 30, 20 _____ (due July 31)
- Amended Statement for the period of: _____.
- Final Update Statement for the period July 1 – TERMINATION.

4. Termination: Do you continue to represent the Employer listed on this form as an executive agency lobbyist?

YES

NO

If no list your termination date _____.

B. EXECUTIVE AGENCY DECISIONS

1. If you had direct communication or contacts with executive branch officials during this reporting period, please list the specific agency decisions you sought to influence for the named Employer. (Attach an additional sheet if necessary)

2. Since your Initial Registration Statement or last Updated Registration, describe any additional types of executive agency decisions to which this engagement relates.

3. State any additions /deletions to the list of elected executive officials, departments or agencies for which you will be influencing executive agency decisions for your employer.

If no changes, check here

C. REGISTRATION FEE

Each employer of one or more executive agency lobbyists shall pay a registration fee of \$500.00 with the filing of the Updated Registration Statement for this reporting period pursuant to KRS 11A. 211(5). Failure to submit the \$500.00 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject you to penalties outlined in KRS 11A.990(5).

CERTIFICATION: I certify that the information contained in this updated registration statement is complete and accurate and that neither the lobbyist nor the employer have any expenditures or financial transactions for the reporting period listed on the face of this form. **Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.¹**

Signature of Executive Agency Lobbyist/Employer Contact

Date

¹ KRS 11A.990

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Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION

**TERMINATION NOTIFICATION
AS
EXECUTIVE AGENCY LOBBYIST**

You must file a final *Updated Registration Statement, Executive Agency Lobbyist* with the Termination Notification to report your activity from July 1 of the current reporting period through your date of termination

Executive Agency Lobbyist Number: _____

Full Name: _____

I wish to inform the Executive Branch Ethics Commission that I am no longer engaged to represent the employer and/or real party in interest named below, as of

(Termination Date)

Name of Employer: _____

Address: _____
Street City State Zip Code

Name of Real Party In Interest (if applicable) _____

Executive Agency Lobbyist Permanent Address:

Street City State Zip Code

CERTIFICATION: I certify that the information contained in this termination notification is complete and accurate. **Any person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.¹**

Signature of Executive Agency Lobbyist

Date

Please send completed Termination Notification and final *Updated Registration Statement, Executive Agency Lobbyist* to: Executive Branch Ethics Commission, 1025 Capital Center Drive, #104, Frankfort, Kentucky 40601

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