(EBEC-EAL-201 Rev. 5/2019) **INITIAL REGISTRATION STATEMENT**

Executive Agency Lobbyist/Employer/Real Party in Interest

After completing, submit your Initial Registration Statement by mail, fax, or email to the location below:

Commonwealth of Kentucky

Executive Branch Ethics Commission

1025 Capital Center Drive, Suite 104

Frankfort, Kentucky 40601

PHONE (502) 564-7954 FAX (502) 695-5091, EMAIL: ethicsfiler@ky.gov

**ATTENTION FORMER EXECUTIVE BRANCH EMPLOYEES**:

Please review the post-employment provisions in KRS 11A.040 (7) and (8) before completing this form.

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

[ ]  Agricultural Policy, Governor’s Office of

**[ ]** Agriculture, Commissioner of

[ ]  Attorney General, Office of the

[ ]  Auditor of Public Accounts

[ ]  Board of Elections

[ ]  Coal Marketing and Export, Office of

[ ]  Governor

[ ]  Homeland Security, Office of

[ ]  Kentucky Coal Council

[ ]  Kentucky Commission on Human Rights

[ ]  Kentucky Commission on Military Affairs

[ ]  Kentucky Commission on Women

[ ]  Kentucky Infrastructure Authority

[ ]  Lieutenant Governor

[ ]  Local Government, Department for

[ ]  Military Affairs, Department for

[ ]  Minority Empowerment

[ ]  Registry of Election Finance

[ ]  Secretary of State

[ ]  State Budget Director

[ ]  State Treasurer

[ ]  Veterans’ Affairs

###  Economic Development Cabinet

[ ]   Bluegrass State Skills Corporation

[ ]   Business Development, Department for

[ ]   Entrepreneurship, Office of

[ ]   Kentucky Economic Development Finance

 Authority

[ ]   Kentucky Economic Development Partnership

[ ]   Kentucky Innovation Network

[ ]   Secretary, Office of the

[ ]   Small Business Advocacy Commission

 **Education and Workforce Development Cabinet**

[ ]  Americans with Disabilities Act, Ky. Office of

[ ]  Blind, Office for the

[ ]  Career and Technical Education, Office of

[ ]  Center for School Safety

[ ]  Center for Education & Workforce Statistics

[ ]  Council on Postsecondary Education

## [ ]  Deaf and Hard of Hearing, Commission on

## [ ]  Early Childhood Advisory Council[ ]  Education Professional Standards Board

[ ]  Education, Department of

[ ]  Education, Kentucky Board of

[ ]  Educational Programs/Work Ready Communities

[ ]  Employment and Training, Office of

[ ]  Environmental Education Council, Kentucky

[ ]  Governor’s Scholars Program [ ]  Kentucky Education Television

[ ]  Libraries and Archives, Department

[ ]  Proprietary Education, Commission on

## [ ]  Secretary, Office of the

[ ]  Unemployment Insurance Commission

[ ]  Vocational Rehabilitation, Office of

[ ]  Workforce Innovation Board, Kentucky

[ ]  Workforce Investment, Department of

### Energy and Environment Cabinet

[ ]  Abandoned Mine Lands, Division of

[ ]  Administrative Hearings, Office of

[ ]  Air Quality, Division for

[ ]  Conservation, Division of

[ ]  Energy Development and Independence,

[ ]  Environmental Protection, Department for

[ ]  Environmental Quality Commission[ ]  Forestry, Division of

[ ]  Heritage Land Conservation Fund, Kentucky

[ ]  Inspector General, Office of

[ ]  Legal Services, Office of

[ ]  Mine Permits, Division of

[ ]  Mine Reclamation and Enforcement, Division of

[ ]  Mine Safety and Licensing, Office of[ ]  Mine Safety Review Commission

**[ ]** Natural Resources, Department for

[ ]  Oil and Gas Conservation, Division of

[ ]  Public Service Commission

## [ ]  Secretary, Office of the

## [ ]  State Nature Preserves Commission, Kentucky

[ ]  Waste Management, Division of

[ ]  Water, Division of

###  Finance and Administration Cabinet

[ ]  Administrative Services, Office of

[ ]  Commonwealth Office of Technology

## [ ]  Controller, Office of the

## [ ]  Facilities & Support Services, Department for

[ ]  Financial Management, Office of

## [ ]  General Counsel, Office of

## [ ]  Kentucky Gas Pipeline Authority

[ ]  Kentucky Higher Education Assistance Authority[ ]  Kentucky Higher Education Student Loan

 Corporation

## [ ]  Kentucky Housing Corporation

[ ]  Kentucky Lottery Corporation

[ ]  Kentucky River Authority

[ ]  Local Correctional Facilities Construction

 Authority

[ ]  Material and Procurement Services, Office of

[ ]  Property Valuation, Office of[ ] Retirement Systems, Kentucky

## [ ]  Revenue, Department of

## [ ]  School Facilities Construction Commission

## [ ]  Secretary, Office of the

## [ ]  State Investment Commission

[ ]  State Property and Buildings Commission

## [ ]  Teachers’ Retirement System, Kentucky

[ ]  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 & VolunteerServices

**[ ]** 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

[ ]  Accountancy, Board of

[ ]  Alcohol and Drug Counselors, Board of

[ ]  Applied Behavior Analysis, Board of

[ ]  Architects, Board of

[ ]  Auctioneers, Board of

[ ]  Barbering, Board of

[ ]  Chiropractic Examiners, Board of

[ ]  Dentistry, Board of

[ ]  Dieticians and Nutritionists, Board of Certification

[ ]  Embalmers and Funeral Directors, Board of

[ ]  Emergency Medical Services, Board of

[ ]  Executive Branch Ethics Commission

[ ]  Fee-Based Pastoral Counselors, Board of

[ ]  Hairdressers and Cosmetologists, Board of

[ ]  Hearing Instruments, Board of Specialists in

[ ]  Heating, Ventilation and Air Conditioning

 Contractors, Board of

[ ]  Home Inspectors, Board of

[ ]  Interpreters for the Deaf and Hard of Hearing,

Board of

[ ]  Landscape Architects, Board of Examiners &

Registration of

[ ]  Manufactured Home Certification and Licensure,

Board of

[ ]  Marriage and Family Therapists, Board of

 Certification of

[ ]  Massage Therapy, Board of Licensure for

[ ]  Medical Licensure, Board of

[ ]  Nursing Home Administrators, Board of Licensure for

[ ]  Nursing, Board of

[ ]  Occupational Therapy, Board of Licensure for

[ ]  Ophthalmic Dispensers, Board of

[ ]  Optometric Examiners, Board of

[ ]  Personnel Board

[ ]  Pharmacy, Board of

[ ]  Physical Therapy, Board of

[ ]  Podiatry, Board of

[ ]  Private Investigators, Board of Licensure for

[ ]  Professional Art Therapists, Board of

 Certification for

[ ]  Professional Counselors, Board of

[ ]  Professional Engineers and Land Surveyors,

 Board of Licensure for

[ ]  Professional Geologists, Board of

[ ]  Prosthetics, Orthotics, and Pedorthics, Board of

[ ]  Psychology, Board of Examiners of

[ ]  Real Estate Appraisers, Board of

[ ]  Real Estate Commission

[ ]  Respiratory Care, Board of

[ ]  Social Work, Board of

[ ]  Speech-Language Pathology and

 Audiology, Board of

[ ]  Veterinary Examiners, Board

**Agencies Not Listed:**

**F. List compensation paid to executive agency lobbyist by the employer:**

[“Compensation” means “any money, thing of value, or economic benefit conferred on, or received by, any person in return for services, rendered , as to be rendered, by himself or another.” KRS 11A.201(1)].

**I certify under penalty of law that the employer and agent have complied with KRS 11A.236 and 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]](#footnote-1)**

 Date:  Signature\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 *(Executive Agency Lobbyist)*

 Date:  Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 *(Employer Contact)*

 Type name and title of Employer Contact:

 **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 between July 1 and July 31 following the filing of this Initial Statement.**

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 [↑](#footnote-ref-1)