(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 ofRetirement 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 forCommunity 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 ofEmployee 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)