

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, amended or final 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. Final statements are filed upon termination of registration.

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;" appeared before the Public Service Commission to request rate increase for XYZ Electric Utility."

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

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 expenditure or 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 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 contact for the real party in interest and the date on which the statement was signed. The signing of the statement attests to the completeness and accuracy of the statement. The certification also states that the real party, employer, and agent(s) have complied with KRS 11A.236 which states:

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, including payment based on the awarding of a contract or payment of a percentage of a government contract awarded, 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, including payment based on the awarding of a contract or payment of a percentage of a government contract awarded. An employer who pays an executive agency lobbyist based on the awarding of a contract or payment of a percentage of a government contract awarded shall be barred from doing business with the Commonwealth for a period of five (5) years from the date on which such a payment is revealed to the Executive Branch Ethics Commission.

(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.

You may complete the statement electronically by accessing the form from the Commission's website. The signed statement may be submitted in original form via hand delivery, regular mail, delivery service, or electronically by facsimile, email, or through an online system established by the Commission.

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Completed and Signed Statements are due at the end of each reporting year *ON OR BEFORE* July 31 on an annual basis. You will have July 1 - July 31 to complete and submit the statement and registration fee.

If you have questions, contact:

Executive Branch Ethics Commission
Capital Complex East
1025 Capital Center Drive, Suite 104
Frankfort, Kentucky 40601
(502) 564-7954
FAX (502) 695-5939
EMAIL: ethicsfiler@ky.gov