(Rev. 4/2016)

#  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 (Include Street, Suite No or PO Box, City, State, And Zip Code):

 Residential Address (Include Street, Suite No or PO Box, City, State, And 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 3 for each of your Employers listing the Employer’s name, your name, and EAL# at the top. Continue completing Section B and C as it relates to the 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, pleaselist 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. KRS 11A.226

**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. KRS 11A.226

**CERTIFICATION: I certify that the information contained in this registration statement is complete and accurate**. A**ny person who knowingly files a false statement is in violation of state law and subject to fines and other penalties.[[1]](#footnote-1)**

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Signature of Executive Agency Lobbyist 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. [↑](#footnote-ref-1)