(EBEC – EAL-203 Rev.5/2020)

**UPDATED REGISTRATION STATEMENT**

**Employer of Executive Agency Lobbyist**

After completing, submit your Updated Registration by mail, fax, or email to:

Commonwealth of Kentucky

Executive Branch Ethics Commission

1025 Capital Center Drive, Suite 104, Frankfort, Kentucky 40601

(502) 564-7954 FAX (502) 696-5091, EMAIL: [ethicsfiler@ky.gov](mailto:ethicsfiler@ky.gov)

*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.*

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

**Type of Report:**

Regular Update Report for the period July 1 - June 30, 20  (due between July1- 31)

Amended Statement for the period of:

Final Update Statement for the period July 1 – TERMINATION.

**A. GENERAL INFORMATION**

1. Full Name of Employer:

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

**NO CHANGE**

Employer's Name of Company/Organization:

Employer's Contact Name:  Title:

Employer's Complete Business Address:

Phone:Cell Phone*:* **Email Address***:*

**B. COMPENSATION DISCLOSURE**

**Do not leave this section blank. (Attach additional sheet if necessary)**

**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.” KRS 11A.201(1).** Compensation shall be listed by the amount paid or received, the intervals on which the payment is paid or received, and shall include any other compensation received or paid **AS PART OF THE ENGAGEMENT**. Only report compensation that is received or paid for conducting Executive Branch lobbying efforts for the employer as it relates to the particular engagement**. Only include payments that have been made during the reporting year.**

1. Provide the full name, EAL registration #, and compensation paid by the employer for all EALs who were registered to represent the employer during the reporting period (**if already reported on the EAL form, state “already reported on EAL form”**).

|  |  |  |
| --- | --- | --- |
| **Name of Executive Agency Lobbyist** | **EAL Registration #** | **Compensation paid by the employer to the EAL** |
|  |  |  |
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2. If the Employer terminated the engagement of any EAL or engaged a new EAL at any time during this reporting period, state the name of the EAL, the date on which the termination or engagement occurred and compensation (**if already reported on the EAL form, state “already reported on EAL form”**).

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of Executive Agency Lobbyist** | **Termination Date** | **Engagement Date** | **EAL #**  **(if known)** | **Compensation paid by the employer to the EAL** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

3. Based on your Initial Registration Statement or last Updated Registration Statement, state compensation received by the Employer from the Real Party(ies) in Interest:

|  |  |
| --- | --- |
| **Name of Real Party In Interest** | **Compensation paid by each Real Party In Interest to the Employer** |
|  |  |
|  |  |
|  |  |

**If none, check here**

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

|  |  |  |  |
| --- | --- | --- | --- |
| **Name and address of Real Party In Interest** | **Date of Addition** | **Date of Deletion** | **Compensation paid by Real Party In Interest to the Employer** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**If none, check here**

**C. 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)

**If none, check here**

**D. 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 D 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.

**E. FINANCIAL TRANSACTIONS INVOLVING EMPLOYER OF EAL**

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.KRS 11A.226.

**F. REGISTRATION FEE**

**Each Employer of one or more Executive Agency Lobbyists shall pay a registration fee of $500 with the filing of the Updated Registration Statement for this reporting period pursuant to KRS 11A. 211(5).**

**CERTIFICATION:** I certify that **the employer and agent have complied with KRS 11A.236** and 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)**

BY: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

***Signature of Employer Contact******Date***

*Enter Name of Employer Contact:*  *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. [↑](#footnote-ref-1)