

## 2012 P5 Client Periodic Report

Lobbyist Name: Smith Breeden Associates, Inc.

Client Name: Smith Breeden Associates, Inc.

### Lobbyist Information

Principal Officer Name Aimee, Harmelink

Principal Officer Title Senior Compliance Officer

Principal Officer Email BLOCKED\_EMAIL

Principal Officer Phone (919) 328-4762

Lobbyist Business Name Smith Breeden Associates, Inc.

Lobbyist Business Address 280 South Mangum St., Suite 301, Durham, NC 27701  
United States of America

Lobbyist Business Phone (919) 967-7221

### Client Information

Client Name Smith Breeden Associates, Inc.

Business Address 280 South Mangum St., Suite 301, Durham, NC 27701  
United States of America

Client P.O. Name Aimee, Harmelink

Business Phone (919) 967-7221

Business Email BLOCKED\_EMAIL

### Employee(s) Lobbying for Client

#### Employee # 1

Employee's Name Adler, Daniel

Employee's Work Address 280 South Mangum Street, Suite 301, Durham, NC  
27701 United States of America

Employee's Work Phone (919) 967-7221

Employee's Salary \$49.24

#### Employee # 2

## 2012 P5 Client Periodic Report

Lobbyist Name: Smith Breeden Associates, Inc.

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Employee's Name	Cunneen, Timothy
Employee's Work Address	280 South Mangum St., Suite 301, Durham, NC 27701 United States of America
Employee's Work Phone	(919) 967-7221
Employee's Salary	\$70.70

### Employee # 3

Employee's Name	Curd, Julie
Employee's Work Address	280 South Mangum St., Suite 301, Durham, NC 27701 United States of America
Employee's Work Phone	(919) 967-7221
Employee's Salary	\$66.96

### Employee # 4

Employee's Name	Eason, Stephen
Employee's Work Address	280 South Mangum St., Suite 301, Durham, NC 27701 United States of America
Employee's Work Phone	(919) 967-7221
Employee's Salary	\$49.24

### Employee # 5

Employee's Name	Giarla, Michael
Employee's Work Address	280 South Mangum Street, Suite 301, Durham, NC 27701 United States of America
Employee's Work Phone	(919) 967-7221
Employee's Salary	\$6.31

## Lobbying Activities

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Lobbyist Name: Smith Breeden Associates, Inc.

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## Activity # 1

**Subject Category** Pension Funds and Retirement Systems

**Subject Details** Provide investment advisory services.

Target	Office/Department	Contact Name
Employees' Retirement System (NYCERS)		Gantz, Martin Barclay, Karen Puliscic, Wesley Divigi, Aditya
Comptroller's Office		Gantz, Martin Barclay, Karen Puliscic, Wesley Divigi, Aditya
Teachers' Retirement System (TRS)		Gantz, Martin Barclay, Karen Puliscic, Wesley Divigi, Aditya
Police Pension Fund		Gantz, Martin Barclay, Karen Puliscic, Wesley Aditya, Divigi
Fire Department Pension Fund		Gantz, Martin Barclay, Karen Puliscic, Wesley Divigi, Aditya
Education Retirement System, Board of (BERS)		Gantz, Martin Barclay, Karen Puliscic, Wesley Divigi, Aditya

## Summary of Compensation from Client

**Total Compensation Paid or Owed for Current Period** \$242.45

## Lobbying Expenses

**Aggregate of all expenses for salaries of support staff** \$322.07

**Total of Aggregate Expenses \$75.00 or less** \$0.00

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Are there expenses greater than \$75.00? YES

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### Itemized Expenses

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#### Itemized Expense # 1

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Paid to Smith Breeden

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Amount \$2,616.90

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Purpose overhead

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Itemized Expense Total \$2,616.90

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Total Expenses for Current Period \$2,938.97

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### Reimbursed Expenses

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Total Reimbursed Expenses for Current Period \$0.00

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## 2012 P5 Client Periodic Report

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Client Name: Smith Breeden Associates, Inc.

### CERTIFICATION

I certify that all statements made on this report are true and correct to the best of my knowledge and belief, and I understand that the willful false statement of any material fact herein will subject me to the provisions of law relevant to the making of false instruments and will render such statement null and void.

Principal Officer Name	Aimee, Harmelink
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Principal Officer Email	BLOCKED_EMAIL
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Certification Date	11/13/2012 10:47
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### ELECTRONIC SIGNATURE

Harmelink Aimee was required to indicate acceptance of the representations made in the following statement by entering his or her password used to access the E-Lobbyist, New York City Lobbyist Filing System and pressing the Submit button to affix his or her electronic signature and file the report with the Office of City Clerk - City of New York.

"I certify that all statements made on this report are true and correct to the best of my knowledge and belief, and I understand that the willful false statement of any material fact herein will subject me to the provisions of law relevant to the making of false instruments and will render such statement null and void."