

2013 P4 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	\$98.73

Employee # 2

2013 P4 Client Periodic Report

Lobbyist Name: Smith Breeden Associates, Inc.

Client Name: Smith Breeden Associates, Inc.

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	\$98.73

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	\$94.33

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	\$98.73

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	\$98.73

Lobbying Activities

2013 P4 Client Periodic Report

Lobbyist Name: Smith Breeden Associates, Inc.

Client Name: Smith Breeden Associates, Inc.

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 Pulistic, Wesley Divigi, Aditya Feng, Robert Kroth, Casi
Comptroller, Office of		Gantz, Martin Barclay, Karen Pulistic, Wesley Divigi, Aditya Feng, Robert Kroth, Casi
Teachers' Retirement System (TRS)		Gantz, Martin Barclay, Karen Pulistic, Wesley Divigi, Aditya Kroth, Casi Feng, Robert
Police Pension Fund		Gantz, Martin Barclay, Karen Pulistic, Wesley Divigi, Aditya Kroth, Casi Feng, Robert
Fire Department Pension Fund		Gantz, Martin Barclay, Karen Pulistic, Wesley Divigi, Aditya Kroth, Casi Feng, Robert
Education Retirement System, Board of (BERS)		Gantz, Martin Barclay, Karen Pulistic, Wesley Divigi, Aditya Kroth, Casi Feng, Robert

2013 P4 Client Periodic Report

Lobbyist Name: Smith Breeden Associates, Inc.

Client Name: Smith Breeden Associates, Inc.

Summary of Compensation from Client

Total Compensation Paid or Owed for Current Period \$489.25

Lobbying Expenses

Aggregate of all expenses for salaries of support staff \$371.57

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

Are there expenses greater than \$75.00? YES

Itemized Expenses

Itemized Expense # 1

Paid to Smith Breeden

Amount \$2,394.63

Purpose Overhead

Itemized Expense Total \$2,394.63

Total Expenses for Current Period \$2,766.20

Reimbursed Expenses

Total Reimbursed Expenses for Current Period \$0.00

2013 P4 Client Periodic Report

Lobbyist Name: Smith Breeden Associates, Inc.

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
------------------------	------------------

Principal Officer Email	BLOCKED_EMAIL
-------------------------	---------------

Certification Date	09/09/2013 14:51
--------------------	------------------

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."