

**Exhibit C: Lobbying Certification**

The City Council now requires vendors funded by City Council discretionary awards to certify that they are in compliance with New York City and New York State Lobbying Law requirements. If you have any questions concerning this form, please contact the agency awarding the contract. For more information about lobbying filing requirements, please visit: [http://www.cityclerk.nyc.gov/html/lobbying/lobbying\\_bureau.shtml](http://www.cityclerk.nyc.gov/html/lobbying/lobbying_bureau.shtml).

The undersigned affirms and declares that the Vendor is in compliance with the lobbying registration requirements of the New York City and New York State Lobbying Laws. See Administrative Code of the City of New York § 3-211 et seq. and New York State Legislative Law Article 1-A et seq., respectively. The Vendor's registration status is disclosed below.

Vendors must certify that they are in compliance with both the New York City and State lobbying laws.

**Legal Name of Vendor** \_\_\_\_\_

**Address** \_\_\_\_\_

**City** \_\_\_\_\_ **State** \_\_\_\_\_ **Zip** \_\_\_\_\_

**EIN/TIN** \_\_\_\_\_ **Tel. No.** \_\_\_\_\_ **E-mail** \_\_\_\_\_

**New York City Lobbying Activities Select One**

- Currently registered as a Lobbyist with the New York City Clerk in accordance with § 3-213 of the Administrative Code as \_\_\_\_\_ (insert name(s) of individual or organization).
- Not currently required to register as a Lobbyist pursuant to the Administrative Code.

**New York State Lobbying Activities Select One**

- Currently registered as a Lobbyist with the New York State Joint Commission on Public Ethics pursuant to § 1-E of the NYS Legislative Law.
- Not currently required to register as a Lobbyist pursuant to the NYS Legislative Law.

**New York City Client Activities Select One**

- Currently in compliance with the filing requirements applicable to Clients pursuant to § 3-217 of the Administrative Code as \_\_\_\_\_ (insert name(s) of individual or organization).
- Not currently required to comply with filing requirements applicable to Clients pursuant to the Administrative Code.

**New York State Client Activities Select One**

- Currently in compliance with the filing requirements applicable to Clients pursuant to § 1-J of the NYS Legislative Law.
- Not currently required to register as a Lobbyist or comply with filing requirements applicable to Clients pursuant to the NYS Legislative Law.

Note: A materially false statement willfully or fraudulently made in connection with this certification, and / or the failure to conduct appropriate due diligence in verifying the information that is the subject matter of this certification, may result in rendering the vendor non-responsible for the purpose of contract award, and a materially false statement willfully or fraudulently made in connection with this certification may subject the person making the false statement to criminal charges.

\_\_\_\_\_  
**Name of Authorized Official**

\_\_\_\_\_  
**Signature of Authorized Official**

\_\_\_\_\_  
**Title of Authorized Official**

\_\_\_\_\_  
**Date**

## Exhibit C: Lobbying Certification

### NEW YORK CITY LOBBYING LAW

**Lobbying Definition:** The Administrative Code of the City of New York defines lobbying as any attempt to influence any of the following:

1. The passage or defeat of any local law or resolution by the City Council;
2. The approval or disapproval of any local law or resolution by the Mayor;
3. Any determination made by an elected City official or a City officer or employee with respect to the procurement of goods, services, or construction;
4. Any determination made by the Mayor, the City Council, the City Planning Commission, a borough president, a borough board, or a community board with respect to zoning or the use, development, or improvement of real property subject to City regulation;
5. Any determination made by an elected City official or a City officer or employee with respect to the terms of the acquisition or disposition by the City of any interest in real property, with respect to a license or permit for the use of real property of or by the City, or with respect to a franchise, concession, or revocable consent;
6. The adoption, amendment, or rejection by a City agency of any rule having the force and effect of law;
7. The outcome of any rate-making proceeding before a City agency; or
8. Any determination of a City board or commission.

**Lobbyist Filing Requirements:** The Administrative Code requires every lobbyist to annually file with the City Clerk a statement of registration for each calendar year for which the lobbyist expends, incurs, or receives an amount greater than \$2,000 of reportable compensation and expenses for lobbying in New York City. The filing must be completed on or before January 1<sup>st</sup> by those persons who have been retained, employed, or designated as lobbyists on or before December 15<sup>th</sup> of the previous calendar year and who reasonably anticipate that in the coming year they will expend, incur, or receive combined reportable compensation and expenses in an amount greater than \$2,000 for lobbying in New York City.

**Client Filing Requirements:** An annual report must be filed with the City Clerk by any client who retains, employs, or designates a lobbyist, if during the year such client expended, received, or incurred greater than \$2,000 of combined reportable compensation or expenses. The annual report must be filed with the City Clerk by January 15<sup>th</sup> of the following year.

**For More Information:** For more details on the New York City Lobbying Law (Administrative Code of the City of New York § 3-211 et seq.), including all relevant definitions, please visit:

<http://public.leginfo.state.ny.us/LAWSSEAF.cgi?QUERYTYPE=LAWS+&QUERYDATA=@SLADC0T3C2S C2+&LIST=LAW+&BROWSER=EXPLORER+&TOKEN=13868223+&TARGET=VIEW>

## Exhibit C: Lobbying Certification

### NEW YORK STATE LOBBYING ACT

**Lobbying Definition:** The New York State Legislative Law Article 1-A defines lobbying as any attempt to influence any of the following:

1. The passage or defeat of any legislation or resolution by either house of the State Legislature;
2. The adoption, issuance, rescission, modification, or terms of gubernatorial executive order;
3. The adoption or rejection of any rule or regulation having the force and effect of law by a State agency;
4. The outcome of any rate-making proceeding by a State agency;
5. Any determination by a public official or by a person or entity working in cooperation with a State public official related to a governmental procurement
6. Any determination by an officer or employee of the Unified Court System, or by a person or entity working in cooperation with an officer or employee of the Unified Court System related to a governmental procurement;
7. The approval, disapproval, implementation, or administration of Tribal-State Compacts, memoranda of understanding, or any other Tribal-State Agreements, as well as any other State actions related to Class III gaming;
8. The passage or defeat of any local law, ordinance, resolution, or regulation by any municipality or subdivision thereof within the State;
9. The adoption, issuance, rescission, modification, or terms of an executive order issued by the chief executive officer of a municipality within the State;
10. The adoption or rejection of any rule, regulation, or resolution having the force and effect of a local law, ordinance, resolution, or regulation; or
11. The outcome of any rate-making proceeding by any municipality or subdivision thereof within the State.

**Lobbyist Filing Requirements:** The New York State Legislative Law requires every lobbyist to biennially file with the New York State Joint Commission on Public Ethics a statement of registration for each calendar year for which the lobbyist expends, incurs, or receives an amount greater than \$5,000 of reportable compensation and expenses for lobbying in New York State. The filing must be completed on or before January 1st of the first year of a biennial cycle by those persons who have been retained, employed, or designated as lobbyists on or before December 15th of the previous calendar year and who reasonably anticipate that in the coming year they will expend, incur, or receive combined reportable compensation and expenses in an amount greater than \$5,000 for lobbying in New York State.

**Client Filing Requirements:** Semi-annual reports must be filed by any client who retains employs, or designates a lobbyist, if such client reasonably anticipates that during the year such client will expend or incur an amount greater than \$5,000 of combined reportable compensation and expenses. The semi-annual report must be filed with the New York State Joint Commission on Public Ethics by July 15<sup>th</sup> of the current year and by January 15<sup>th</sup> of the following year.

**For More Information:** For more details on the New York State Lobbying Act (New York State Legislative Law Article 1-A), including all relevant definitions, please visit:

<http://law.onecle.com/new-york/legislative/article1-a.html>