

Lobbying Firm Registration Statement

The “Lobbying Firm Registration Statement” is used for:

- Initial registration of a lobbying firm (including an individual contract lobbyist).
- Renewal of registration.

Initial Registration of a Lobbying Firm:

Any business entity, including an individual contract lobbyist, must register with the Secretary of State within 10 days of qualifying as a lobbying firm.

To determine if an entity qualifies as a lobbying firm refer to Gov. Code Section 82038.5, 2 Cal. Code of Regulations Section 18238.5. Information is also available in the *Lobbying Disclosure Information Manual* published by the Fair Political Practices Commission.

Renewal of Registration:

Every lobbying firm must renew its registration for each regular session of the State Legislature. Renewal of registration is due between November 1 and December 31 of each even-numbered year.

Registration Requirements:

Attach In addition to the “Lobbying Firm Registration Statement”, file the following:

- A Form 604 (Lobbyist Certification Statement) completed by each owner, partner, officer, or employee of your lobbying firm who qualifies as a lobbyist;
- A recent photograph (head and shoulders only) of each lobbyist;
- **Renewing a Registration:** Submit a \$100 registration fee (\$50 per year) or
- **New Registration:** The registration fee is \$50 per year and when registering in the first year of the two-year session a payment of \$100 is required; and
- A Form 602 (Lobbying Firm Activity Authorization) completed by each lobbyist employer or lobbying coalition with which your firm contracts.

Registration fees must be paid at the time a lobbyist certification is submitted for registration to be active.

NOTE: It is not necessary to **attach file** a Form 604 (Lobbyist Certification Statement) or a registration fee for any lobbyist who is separately registered as a lobbying firm or who is employed by a lobbying firm with which your firm subcontracts.

Registration of Subcontract Clients:

A lobbying firm that contracts to lobby for a client of another lobbying firm must identify both the subcontracting lobbying firm and the client. Use Part II, Section B to report such arrangements. **Attach File** a Form 602 (Lobbying Firm Activity Authorization) completed and signed by a representative of the subcontracting lobbying firm.

Amendment of Lobbying Firm Registration Statement:

If any change occurs in the information contained in the “Lobbying Firm Registration Statement” a Form 605 (Amendment to Registration) must be filed **online or electronically with the Secretary of State:**

- **Prior to attempting to influence legislative or administrative action on behalf of a client** when adding a new client; or
- Within 20 days of any other change. (e.g. dropping a client, adding a lobbyist, etc.)

Section 86100 requires a registration statement to be filed **online or electronically with the Secretary of State (www.sos.ca.gov).** ~~and the original and one copy in paper format with:~~

**Secretary of State
Political Reform Division
1500 11th Street
P.O. Box 1467 Sacramento,
CA 95812-1467**

Additional Information

Refer to the *Lobbying Disclosure Information Manual* for additional information and information required to be provided to you pursuant to the Information Practices Act of 1977.

**Lobbying Firm
Registration Statement**
(Government Code Section 86104)

Legislative Session

(Insert Years)

Page _____ of _____

CALIFORNIA 601
FORM
FAIR POLITICAL PRACTICES COMM.
For Official Use Only

Type or Print in Ink

SEE INSTRUCTIONS ON REVERSE

NAME OF LOBBYING FIRM: _____

If this is an initial registration, enter the DATE QUALIFIED as a Lobbying Firm:

BUSINESS ADDRESS: (Number and Street) (City) (State) (Zip Code)

TELEPHONE NUMBER:
()

MAILING ADDRESS: (If different than above.)

FAX NUMBER: (Optional)
()
E-MAIL:

I Individual Lobbyists

- List the full name of each partner, owner, officer, or employee of your lobbying firm who is a lobbyist. Attach File a Form 604 for each lobbyist.
- Do not list any individual who is separately registered as a lobbying firm or who is employed by a lobbying firm with which you subcontract.
- If your firm does not have a partner, owner, officer, or employee who qualifies as a lobbyist, state "not applicable."

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If more space is needed, check box and use continuation sheets at the end of the form.

II Lobbyist Employers

- Use Section A to report each client with whom your firm has a direct contract to provide lobbying services.
- Use Section B to report lobbying firms with which your firm subcontracts to provide lobbying services and the clients on whose behalf your firm will lobby.
- Attach File a Form 602 for each person identified in Section A or B.

SECTION A

| | | |
|---|--|--------------------|
| Employer's Name, Address and Telephone Number | Effective Date | Period of Contract |
| Agencies to be Lobbied | Email Address | |
| | Description of Employer's Lobbying Interests | |

| | | |
|---|--|--------------------|
| Employer's Name, Address and Telephone Number | Effective Date | Period of Contract |
| Agencies to be Lobbied | Email Address | |
| | Description of Employer's Lobbying Interests | |

If more space is needed, check box and use continuation sheets at the end of the form.

Instructions for Lobbying Firm Registration Statement

Reporting Agencies to be Lobbied

Each lobbyist identified in Part I will be registered to lobby all agencies listed on the Lobbying Firm Registration Statement and all subsequent amendments unless a lobbyist identifies specific agencies on his/her Lobbyist Certification Statement (Form 604).

Reporting Lobbying Interests

Following are some examples of how to report lobbying interests on the registration statement:

Example 1:

Lobbying Firm A has ABC Corporation as a client. ABC Corporation develops, manufactures, and distributes pharmaceuticals. On the firm's Form 601 (Registration Statement), it would not be sufficient to describe the corporation's lobbying interests as "Legislation relating to business," or "Legislation relating to manufacturing." The description should say "Legislation relating to the development, manufacturing, and distribution of pharmaceuticals."

Example 2:

A group of real estate companies decides to share the cost of hiring a lobbying firm to influence a specific regulation being considered by the Department of Fair Employment and Housing. Because there are 10 or more companies pooling funds to hire a lobbyist, the group qualifies as a "lobbying coalition." When the lobbying firm files its Form 601 (Registration Statement), it would not be sufficient to state that the coalition's lobbying interests are "Real estate development." The registration statement should specifically describe the administrative action to be lobbied, such as Regulations of the Department of Fair Employment and Housing relating to adults-only rental policies (Section 12-8, 12-9).

Example 3:

The DEF Association is an organization which represents local government entities, such as cities and counties. Its lobbying firm's primary lobbying efforts during one reporting period are in connection with a bill to limit the liability of local governmental entities in personal injury lawsuits and a bill affecting the powers of redevelopment agencies. The firm also monitors other bills relating to local government issues, but does not actively lobby those bills. The Association's lobbying interests should be described as "Legislation relating to cities, counties, and other local government entities."

Note: Lobbying firms are also required to file quarterly reports disclosing, among other things, the specific legislative or administrative actions lobbied during the period covered by the report. See Form 625 (Report of Lobbying Firm), or the *Lobbying Disclosure Information Manual* for detailed information.

Lobbying Firm Registration Statement

Type or Print in Ink

CALIFORNIA
FORM **601**
FAIR POLITICAL PRACTICES COMM.

NAME OF LOBBYING FIRM:

Page _____ of _____

II Lobbyist Employers

SECTION A -- (Continued)

| | | |
|---|----------------|--|
| Employer's Name, Address and Telephone Number | Effective Date | Period of Contract |
| Agencies to be Lobbied | Email Address | Description of Employer's Lobbying Interests |
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If more space is needed, check box and use continuation sheets at the end of the form.

SECTION B -- Subcontracted Clients

Name, Address, Email Address, and Telephone Number of Subcontracting Lobbying Firm:

| | |
|----------------------------|--|
| Effective Date of Contract | Period of Contract |
| Agencies to be Lobbied | Description of Client's Lobbying Interests |

If more space is needed, check box and use continuation sheets at the end of the form.

Lobbying Firm Registration Statement

Type or Print in Ink

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| CALIFORNIA FORM FAIR POLITICAL PRACTICES COMM. | 601 |
| Page _____ of _____ | |

NAME OF LOBBYING FIRM: _____

III Statement of Responsible Officer

I am a partner, owner, or officer of the lobbying firm of _____.

I am the person responsible for filing statements and reports and keeping records required by Chapter 6 of the Political Reform Act (Government Code Sections 81000-91015). I have read and understand the prohibitions contained in Sections 86203 and 86205.

I certify that I have read and understand that I am subject to the prohibitions on gifts contained in Government Code Section 86203.

I certify that I have read and understand that I am subject to the prohibitions contained in Government Code Section 86205.

86203. It shall be unlawful for a lobbyist or a lobbying firm to make gifts to one person aggregating more than ten dollars (\$10) in a calendar month, or to act as an agent or intermediary in the making of any gift, or to arrange for the making of any gift by any other person. Lobbyists and lobbying firms are subject to the gift limits in Section 86203 for the earlier of six months after either: (1) the filing of a notice of termination; or (2) the close of a regular session of the Legislature if the lobbyist or lobbying firm ceased all activity that required certification or registration when the session closed.

“Gift” as used in Section 86203 means a gift made directly or indirectly to any state candidate, elected state officer, or legislative official, or to an agency official of any agency required to be listed on the Registration Statement of the lobbying firm or the lobbyist employer of the lobbyist.

86205. No lobbyist or lobbying firm shall:

- (a) Do anything with the purpose of placing any elected state officer, legislative official, agency official, or state candidate under personal obligation to the lobbyist, the lobbying firm, or the lobbyist’s or the firm’s employer.
- (b) Deceive or attempt to deceive any elected state officer, legislative official, agency official, or state candidate with regard to any material fact pertinent to any pending or proposed legislative or administrative action.
- (c) Cause or influence the introduction of any bill or amendment thereto for the purpose of thereafter being employed to secure its passage or defeat.
- (d) Attempt to create a fictitious appearance of public favor or disfavor of any proposed legislative or administrative action or to cause any communication to be sent to any elected state officer, legislative official, agency official, or state candidate in the name of any fictitious person or in the name of any real person, except with the consent of such real person.
- (e) Represent falsely, either directly or indirectly, that the lobbyist or the lobbying firm can control the official action of any elected state officer, legislative official, or agency official.
- (f) Accept or agree to accept any payment in any way contingent upon the defeat, enactment, or outcome of any proposed legislative or administrative action.

VERIFICATION

I have used all reasonable diligence in preparing this Statement. I have reviewed this Statement and, to the best of my knowledge, the information contained herein in it is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed On _____ DATE By _____ SIGNATURE OF RESPONSIBLE OFFICER

Name of Responsible Officer _____ Title _____
TYPE OR PRINT

CONTINUATION SHEET FOR PART I

**LOBBYING FIRM REGISTRATION
(FORM 601)**

PAGE _____ OF _____

NAME OF LOBBYING FIRM: _____

PART I Individual Lobbyists (Continued)

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CONTINUATION SHEET FOR PART II

**LOBBYING FIRM REGISTRATION
(FORM 601)**

PAGE _____ OF _____

NAME OF LOBBYING FIRM: _____

II Lobbyist Employers

SECTION A -- (Continued)

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|---|--|--------------------|
| Employer's Name, Address and Telephone Number | Effective Date | Period of Contract |
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SECTION B -- Subcontracted Clients (Continued)

| | |
|--|--|
| Name, Address, Email Address, and Telephone Number of Subcontracting Lobbying Firm: | |
| Effective Date of Contract | Period of Contract |
| Name, Address, Email Address, and Telephone Number of Client on Whose Behalf Your Firm will Lobby: | |
| Agencies to be Lobbied | Description of Client's Lobbying Interests |

If more space is needed, check box and use additional continuation sheets.