

County of Santa Clara

Office of the Clerk of the Board of Supervisors
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Megan Doyle
Clerk of the Board

Page 1 of 9

LOBBYIST DISCLOSURE REPORT

Please mark the type of report being filed:

- Initial Registration
- Annual Registration and Quarterly Lobbyist Disclosure Report for Oct. 1 - Dec. 31 (*Due Jan. 15*)
- Quarterly Lobbyist Disclosure Report for Jan. 1 - Mar. 31 (*Due Apr. 15th*)
- Quarterly Lobbyist Disclosure Report for Apr. 1 - Jun. 30 (*Due Jul. 15th*)
- Quarterly Lobbyist Disclosure Report for Jul. 1 - Sept. 30 (*Due Oct. 15th*)
- Amendment to Disclosure Filed: _____
- Termination of Lobbying Activity (A lobbyist termination sheet must also be completed)

Report each category of lobbyist: (*Check all that apply*)

- Contract Lobbyist
- In-House Lobbyist
- Expenditure Lobbyist

Lobbyist Information:

Lobbyist Name: _____ Contact: _____
Telephone: _____ FAX: _____
Email: _____

Business Address

Street: _____
City: _____ State: _____ Zip Code: _____

Mailing Address *Same as Above*

Street: _____
City: _____ State: _____ Zip Code: _____

LOBBYIST DISCLOSURE REPORT INSTRUCTIONS

TO COMPLETE THE REPORT:

- Mark the type or report being made.
- Check all applicable types of Lobbyist.

A **Contract Lobbyist** is a person (either an entity or an individual) who has a client that has compensated or will compensate the person in the amount of \$1,000 or more in any consecutive three (3) months to engage in lobbying activity on the client's behalf. Every Contract Lobbyist has a legal obligation to ensure that his or her obligations under the lobbying ordinance are met.

Individuals who work for a lobbying firm may file one registration for the firm and list themselves as employees. In this case, only one registration fee should be paid for the firm and its employees. Each individual Contract Lobbyist has a legal obligation to ensure that his or her registration is accurate and complete, and that all fees are paid.

An **In-House Lobbyist** is an entity, including a sole proprietorship, whose owners, officers, or employees have engaged in lobbying activity on the entity's behalf and whose total time spent lobbying equals ten (10) hours or more in any consecutive twelve (12) month period.

An employee of an in-house lobbyist is also an in-house lobbyist if he or she engages in lobbying activity on behalf of the business or organization in the scope of his or her employment for ten (10) hours or more in any consecutive twelve (12) month period.

The in-house lobbyist and its employees may submit one registration form and pay one fee. Each individual In-House Lobbyist has a legal obligation to ensure that his or her registration is accurate and complete, and that all fees are paid.

Note: An employee may engage in lobbying activity on his or her own initiative without compensation. The time spent by this employee will not be attributed to the ten (10) hours or more in any consecutive twelve (12) month period threshold for qualifying as an In-House Lobbyist.

An **Expenditure Lobbyist** makes payments or incurs expenditures in the aggregate amount of \$5,000 or more in a calendar year to carry out public relations, advertising, or similar activity to urge other persons to communicate directly with a County Official to influence a legislative or administrative action. The \$5,000 threshold does not include compensation paid to Contract Lobbyists or In-House Lobbyists for lobbying activity; or dues or donations paid to an organization.

- Santa Clara County Ordinance Code section A3-64 provides a list of exemptions.
- Fill out the lobbyists' name, telephone number, fax number, email, and business and mailing addresses. If the lobbyist submitting the report is an entity, the lobbyist entity will be asked to list its employees engaged in lobbying activity on subsequent pages.

Describe the organization of the Lobbyist (*i.e. sole proprietorship, partnership, corporation, etc.*):

If the Lobbyist is a sole proprietorship or partnership of fewer than five people, list the names of all owners.

- | | | |
|----|----|----|
| 1. | 2. | 3. |
| 4. | 5. | |

If the Lobbyist is a corporation, list the names of the officers and agent for services of process.

- | | | |
|-----|-----|--------|
| 1. | 2. | 3. |
| 4. | 5. | 6. |
| 7. | 8. | 9. |
| 10. | 11. | Agent: |

The remainder of the Lobbyist Disclosure Report is divided into sections.

- Lobbyist Contact Sheet (**All Lobbyists to complete**)
- Contract Lobbyists must complete Sections IA, IB, and IC.
- In-House Lobbyists must complete Section II.
- Expenditure Lobbyists must complete Section III.
- Fees & Verification (**All Lobbyists to complete**) Section IV.

LOBBYIST DISCLOSURE REPORT INSTRUCTIONS

TO COMPLETE THE REPORT:

- If the Lobbyist is a sole proprietorship or partnership of fewer than five (5) persons, list the name of the sole proprietor or the names of each person with an ownership interest in the business.
- If the Lobbyist is a corporation, list the names of the officers and the agent for service of process.

LOBBYIST CONTACT SHEET

County Official Contacted: _____ Individual Who Made Contact: _____

Identify Action: _____

Date(s) of Contact: _____

Client: _____ Contacts ____ (1) ____ (2-5) ____ (6-10) ____ (11 or more)

County Official Contacted: _____ Individual Who Made Contact: _____

Identify Action: _____

Date(s) of Contact: _____

Client: _____ Contacts ____ (1) ____ (2-5) ____ (6-10) ____ (11 or more)

County Official Contacted: _____ Individual Who Made Contact: _____

Identify Action: _____

Date(s) of Contact: _____

Client: _____ Contacts ____ (1) ____ (2-5) ____ (6-10) ____ (11 or more)

County Official Contacted: _____ Individual Who Made Contact: _____

Identify Action: _____

Date(s) of Contact: _____

Client: _____ Contacts ____ (1) ____ (2-5) ____ (6-10) ____ (11 or more)

County Official Contacted: _____ Individual Who Made Contact: _____

Identify Action: _____

Date(s) of Contact: _____

Client: _____ Contacts ____ (1) ____ (2-5) ____ (6-10) ____ (11 or more)

County Official Contacted: _____ Individual Who Made Contact: _____

Identify Action: _____

Date(s) of Contact: _____

Client: _____ Contacts ____ (1) ____ (2-5) ____ (6-10) ____ (11 or more)

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LOBBYIST DISCLOSURE REPORT INSTRUCTIONS

TO COMPLETE THE REPORT:

- Identify:
 - The name of each County Official contacted,
 - The name of the individual who made the contact,
 - The action the individual was trying to influence,
 - The date(s) of the contacts, and
 - The client on whose behalf the contact was made (if applicable).
- Indicate the number of contacts made by the individual with that County Official.

A **Contact** is attendance at a meeting or any communication (made directly or through an agent of the Lobbyist), with a County Official for the purpose of influencing a legislative or administrative action. The communication may be oral, electronic, or written.

County official means members of the Board of Supervisors and their staff (excluding administrative staff), appointees of the Board of Supervisors, the District Attorney, the Assessor, the Sheriff, the County Executive, Chief Operating Officer, Deputy County Executives, County department and agency heads, members of County boards or commissions, and persons who have been elected to a County office but have not yet been sworn in to office.

If additional space is needed, the page may be duplicated.

Contract Lobbyists must complete the following forms:

- IA: Contract Lobbyist Information (This Form)
- IB: Current and Former Client List
- IC: Current Client Disclosures

THE NATURE OF THE BUSINESS, ORGANIZATION OR ASSOCIATION

Describe the purpose of the Contract Lobbyist's business.

EMPLOYEES ENGAGED IN LOBBY ACTIVITY

If the Contract Lobbyist is an entity, name of each person working for the Contract Lobbyist who contacts County Officials on behalf of the lobbyist, and list his or her clients.

Lobbyist	Client(s)
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	

LOBBYIST DISCLOSURE REPORT INSTRUCTIONS

TO COMPLETE THE REPORT:

- If the Lobbyist is an entity, list the name of each person engaging in lobbying activity directed at County Officials on behalf of the Contract Lobbyist. The person may be an individual employed by the Contract Lobbyist, an individual working as an independent contractor for the Contract Lobbyist, or an entity that has a subcontract with the Contract Lobbyist to engage in lobbying activity.

LOBBYIST DISCLOSURE REPORT INSTRUCTIONS

TO COMPLETE THE REPORT:

Client means a person, including a business or other entity, who compensates a lobbyist for representation before a County Official.

- List all current clients names and the date which they became clients.
- List all former clients whose representation was terminated in the preceding calendar quarter and the date it was terminated.

If additional space is needed, the page may be duplicated.

CLIENT INFORMATION

Contract Lobbyists must complete this form for all current clients.

Current Client Information:

Name: Telephone: Fax:

Email:

Business Address:

Street:

City: State: Zip Code:

Describe the nature and purpose of the Client's business.

Four horizontal lines for describing the nature and purpose of the client's business.

LEGISLATIVE OR ADMINISTRATIVE ACTION(S) LOBBYIST SEEKS TO INFLUENCE

Describe in detail the legislative or administrative action(s) the Contract Lobbyist was retained to influence and the outcome sought.

- 1.
2.
3.
4.
Four numbered lines for describing legislative or administrative actions.

COMPENSATION

The total compensation promised or received from the Client for lobbyist services:

___\$0.00 - \$500 ___\$501 - \$1,000 ___\$1,001 - \$10,000 ___\$10,001 - \$100,000
___\$100,001 - \$200,000 ___\$200,001 - \$300,000 ___\$300,001 - \$400,000 ___Over \$400,001

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LOBBYIST DISCLOSURE REPORT INSTRUCTIONS

Section I. Contract Lobbyist Current Client Information:

- If the Contract Lobbyist has more than one current Client, a separate page should be filled out for each current Client. Client Information sheets need not be completed for former clients.
- Describe the nature and purpose of the Client's business.
- Describe in detail the County legislative or administrative action(s) the Contract Lobbyist was retained to influence and the outcome sought.

Compensation is any economic consideration for services rendered or to be rendered in the future. For example, compensation may include a payment, distribution transfer, loan advance, deposit, money, property, services, or anything else of value (monetary or non-monetary).

Legislative action means the drafting, introduction, consideration, modification, enactment, or defeat of any resolution, ordinance, amendment thereto, report, nomination, policy, or other action of the Board of Supervisors; a County board, commission, or task force; or any joint powers authority of which the County is a party.

Administrative action means the proposal, drafting, development, consideration, advocacy, recommendation, adoption, amendment, termination, extension, or approval of any rule, regulation, agreement, contract, permit, license, policy, or hiring action.

If additional space is needed a duplicate may be made of the page to attach as a continuation page.

LOBBYIST DISCLOSURE REPORT INSTRUCTIONS

Section II. In-House Lobbyist Information:

- Describe the nature and purpose of the In-House Lobbyist's business, organization, or association.
- Describe in detail the County legislative or administrative action(s) the In-House Lobbyist seeks to influence and the outcome sought.

Legislative action means the drafting, introduction, consideration, modification, enactment, or defeat of any resolution, ordinance, amendment thereto, report, nomination, policy, or other action of the Board of Supervisors; a County board, commission, or task force; or any joint powers authority of which the County is a party.

Administrative action means the proposal, drafting, development, consideration, advocacy, recommendation, adoption, amendment, termination, extension, or approval of any rule, regulation, agreement, contract, permit, license, policy, or hiring action.

LOBBYIST DISCLOSURE REPORT INSTRUCTIONS

Section III. Expenditure Lobbyist

- Describe in detail the County legislative or administrative action(s) the Expenditure Lobbyist seeks to influence and the outcome sought.

Legislative action means the drafting, introduction, consideration, modification, enactment, or defeat of any resolution, ordinance, amendment thereto, report, nomination, policy, or other action of the Board of Supervisors; a County board, commission, or task force; or any joint powers authority of which the County is a party.

Administrative action means the proposal, drafting, development, consideration, advocacy, recommendation, adoption, amendment, termination, extension, or approval of any rule, regulation, agreement, contract, permit, license, policy, or hiring action.

SECTION IV. FEES AND VERIFICATION

FEES DUE

- Initial Registration Fee - \$180
(filed between January 1 - June 29 for period ending December 31) \$ _____
 - Reduced Initial Registration Fee - \$90
(filed between June 30 - December 31 for period ending December 31) \$ _____
 - Annual Registration Fee - \$60 (due by January 15th)
(Included with the October-December Disclosure Report) \$ _____
 - Penalty for Delinquent Filing of Registration - \$60 \$ _____
 - Penalty for Delinquent Filing of Quarterly Disclosure Report - \$10
(reports received after April 15th, July 15th and October 15th) \$ _____
- Total Payment Due with Report \$ _____

VERIFICATION (Check all verifications)

- ___ I acknowledge that each Lobbyist is required to file an Annual Registration Report and pay annual fees due on the 15th of January.
- ___ I acknowledge that each Lobbyist is required to file a Quarterly Lobbyist Disclosure Report due on the 15th of each month following the calendar quarter.
- ___ I acknowledge that a late fee will be assessed for late annual and quarterly reports.

I certify that I have been authorized by the Lobbyist(s) identified above to make this verification. I have reviewed the requirements of the provisions of the County of Santa Clara Ordinance Code Division A3, Chapter VII, relating to Lobbying. I certify under penalty of perjury under the laws of the State of California that I have reviewed this Lobbyist Report and to the best of my knowledge the information contained herein is true, correct, and complete.

Print Name _____

Title _____

Signature _____

Date _____

LOBBYIST DISCLOSURE REPORT INSTRUCTIONS

Section IV. Fees and Verification

Fees

- If the Initial Registration Report is filed between January 1 and June 29, the Lobbyist must pay the initial registration fee of \$180. If the Initial Registration Report is filed between June 30 and December 31, the Lobbyist may pay a reduced initial registration fee of \$90.
- Annual Registration Renewal, \$60
- There will be a per diem late fee of \$60, not to exceed 100% of the unpaid fee, assessed if the Annual Registration Report is filed late.
- There will be a late fee of \$10 assessed if the Quarterly Report is filed late.
- If a Contract Lobbyist registers as an entity and the employees engaged in lobbying on behalf of the entity are listed in this report, only one initial or annual registration fee should be filed. Each individual engaged in lobbying is independently liable for ensuring that their activity is properly reported and that the fee is paid.
- The in-house lobbyist and its employees may submit one registration form and pay one fee. Every individual lobbyist has a legal obligation to ensure that his or her obligations under the lobbying ordinance are met.

Verification

- Check the spaces indicating the Lobbyist understands that annual registrations are due on the 15th of each January, that quarterly Lobbyist Disclosure Reports are due on the 15th of each month following the end of the calendar quarter, and that a late fee will be assessed for each late report.
- Complete the verification by signing the statement and entering the date signed. When you sign, you are stating, under penalty of perjury, that to the best of your knowledge the information contained herein is true and complete. **Do not alter the verification statement.**
- Report must be signed by an authorized agent of the Lobbyist organization. No report will be accepted without an original signature.