



**ALEX PADILLA** | SECRETARY OF STATE | STATE OF CALIFORNIA  
**POLITICAL REFORM**

1500 11<sup>th</sup> Street, Room 495 | Sacramento, CA 95814 | Tel 916.653.6224 | Fax 916.653.5045 | [www.sos.ca.gov](http://www.sos.ca.gov)

October 14, 2016

**TO: All Registered Lobbying Firms**

**RE: 2017 – 2018 Registration Renewal**

The period for lobbying firms to renew their registration for the 2017-2018 Legislative Session begins November 1 and ends December 31, 2016. This notice provides important information that will assist you in renewing your registration for the upcoming session.

**FILING – Paper AND Electronic**

Firms must submit the required registration documents on paper bearing the original signatures of responsible parties. Registration forms are available online at:

<http://www.sos.ca.gov/campaign-lobbying/lobbying-disclosure-requirements/lobbying-forms-instructions/>.

In addition to the paper requirement, firms may have an electronic filing requirement. The registration documents may be submitted electronically by utilizing either:

1. The Secretary of State's free online filing system known as Cal-Online. (Log on to <https://cafile.sos.ca.gov/CalOnline>.) OR
2. The service of a Secretary of State-certified electronic filing vendor. (Log on to <http://www.sos.ca.gov/campaign-lobbying/electronic-filing-information/> for vendor filing information.)

## **LOBBYIST ETHICS COURSES**

Individual lobbyists are required to complete an ethics course as a condition of registration to lobby. Lobbyists renewing their lobbying certification must take the course by June 30, 2017, if they have not completed the course in the previous 12 months. New lobbyists must complete the course within 12 months of registering. Please contact Stacey Medlock at [Stacey.medlock@sen.ca.gov](mailto:Stacey.medlock@sen.ca.gov) with questions on ethics course registration.

Included with this mailing is a 2017-2018 Legislative Session Lobbyist Ethics Course Requirement information sheet and sign-up form. An electronic version of this sheet may be found at:

<http://seth.senate.ca.gov/sites/seth.senate.ca.gov/files/Lobbyist-signup-form.pdf>

The fee for the ethics course is separate from the registration fee required for each lobbyist certification (Form 604) which you pay to the Secretary of State's Office when you file your registration documents.

## **LOBBYING FIRM REGISTRATION REQUIREMENTS**

To renew your registration, the following items must be filed with the Secretary of State's Political Reform Division:

1. A completed Lobbying Firm Registration Statement (Form 601). Please include your fax number or e-mail address to assist us in contacting you to verify your registration information.
2. A Lobbying Firm Activity Authorization (Form 602) completed by each entity that employs or contracts with the lobbying firm and is listed on the Form 601. The Authorization must include Page 2 of Form 602, "Nature and Interests of the Lobbyist Employer." Only **one** category box may be checked in Section E.
3. A Lobbyist Certification Statement (Form 604) completed by each of the firm's lobbyists.

4. A **recent** photograph of each of the firm's lobbyists. Photograph requirements include:
  - a. The photograph should accurately represent the current appearance of the lobbyist.
  - b. The photograph should be limited to the lobbyist's head and shoulders area.
  - c. Photographs may be in color or black and white.

To ensure proper identification of each lobbyist, each photograph needs to be tagged. The identification tag must include the lobbyist first and last name, telephone number and the employer's name.

Please tape an identification tag to the back, lower portion of the photograph ensuring the information is visible when looking at the front of the photograph

5. A registration fee in the amount of \$100 for each lobbyist. (Fee increase per SB 1001, Chapter 506, Statutes of 2012.)

When submitting registration materials to the Secretary of State's Political Reform Division, **include all required documents in one package**, including all appropriate remittances, authorizations, and photographs.

Registration amendment information filed after January 13, 2017, will not be reflected in the initial version of the online Lobbying Directory. A chart for amending employer/coalition registration information is enclosed.

Sincerely,



CHRIS REYNOLDS, Chief  
Political Reform Division

- Enclosures:
- Photograph tags
  - Lobbying Firm Initial Registration Reference Chart
  - Lobbying Firm Amended Registration Reference Chart
  - Lobbyist Ethics Course Requirement information sheet and sign-up form

**LOBBYING FIRM**  
**--Initial Registration--**  
**Reference Chart**

<b>INITIAL REGISTRATION</b>	<b>FORMS</b>			<b>FEE</b> ( <b>\$100 1st year of session;</b> <b>\$50 2nd year of session)</b>	<b>LOBBYIST PHOTO</b> ( <b>one photo per 2-year legislative session)</b>
<ul style="list-style-type: none"> <li>•Firm</li> <li>•Lobbyist</li> <li>•Lobbyist Employer</li> </ul>	601	602	604	√	√
<ul style="list-style-type: none"> <li>•Firm</li> <li>•Lobbyist</li> <li>•No Lobbyist Employer</li> </ul>	601		604	√	√
<ul style="list-style-type: none"> <li>•Firm</li> <li>•Lobbyist Employer</li> <li>•No Lobbyist</li> </ul>	601	602			
<ul style="list-style-type: none"> <li>•Firm</li> <li>•Lobbyist</li> <li>•Client of another firm (subcontract)</li> </ul>	601	602	604	√	√

**LOBBYING FIRM**  
**--Amended Registration--**  
**Reference Chart**

<b>AMENDED REGISTRATION</b>	<b>FORMS</b>		<b>FEE</b> (\$100 1st year of session; \$50 2nd year of session)	<b>LOBBYIST PHOTO</b> (one photo per 2-year legisla-tive session)	<b>COMMENTS</b>
<b>ADDING:</b>					
Lobbyist	605	604	√	√	
Lobbyist Employer (including subcontract clients)	605	602			
Other (miscellaneous changes to registration, i.e., change of address)	605				
<b>DELETING:</b>					
Lobbyist	605				Form 606 is not filed for a deleted lobbyist if that lobbyist will continue to act as a lobbyist with a different lobbying entity within 20 days of their effective termination date.
Lobbyist (If lobbyist is ceasing all activities as a lobbyist)	605	606			<ul style="list-style-type: none"> <li>•Form 605 must be signed by the Responsible Officer.</li> <li>•Form 606 must be signed by the deleting/terminating lobbyist.</li> </ul>
Lobbyist Employer (including subcontracted clients)	605				
<b>FIRM TERMINATES/ LOBBYIST(S) CONTINUES:</b>					
Firm	605	606			
<b>FIRM AND LOBBYIST(S) TERMINATES:</b>					
Firm AND Each Lobbyist	605 606	606			Applies if lobbyist is terminating and will not be working for anyone else.

*(continued on back)*

**WITHDRAWALS:**

<b>Firm</b> if a person or entity has never met the definition of a "lobbying firm")	<b>607</b>				
<b>Lobbyist</b> (If individual has never met the definition of a "lobbyist.")	<b>605</b>	<b>607</b>			Form 607 must be signed by the withdrawing lobbyist.

**UPDATING LOBBYIST ETHICS TRAINING:**

<b>Lobbyist</b> (amends certification to provide ethics course date)	<b>604</b>				
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# 2017-2018 Legislative Sessions Lobbyist Ethics Course Requirement

California Government Code Section 86103 requires that lobbyists attend an ethics course each legislative session and certify the completion date to the Political Reform Division of the Office of Secretary of State as a condition of registration to lobby in California. The Senate Committee on Legislative Ethics and the Assembly Legislative Ethics Committee jointly conduct these courses.

**KNOW YOUR ETHICS DEADLINES:** It is the responsibility of each lobbyist to obtain the course schedule, to sign up for and attend the course as required, and certify the ethics completion date with the office of the Secretary of State's Political Reform Division by the specified compliance deadline (see Form 604 instructions for filing requirements and compliance deadlines).

Seating is limited on all course dates. To secure a reservation at an ethics course, submit a completed sign-up form accompanied with a \$50 check or money order payable to **JOINT ETHICS COMMITTEE**. Your completed sign-up form and course fee must be received in the Senate Ethics Committee office before the sign-up deadline (see sign-up form) and/or before our seating limit is reached. Spaces are reserved in the order that sign-up forms are received in the office of the Senate Committee on Legislative Ethics at 1020 N Street, Room 238, Sacramento, CA 95814. Early sign-up is recommended for each course. **You will not receive a confirmation upon receipt of your sign-up form. Please email [Stacey.medlock@sen.ca.gov](mailto:Stacey.medlock@sen.ca.gov) to confirm receipt. Committee Staff will contact you if the course you have selected is at capacity.**

There is no provision for waiver of the ethics course requirement or for extension of the ethics completion deadline; nor is there a provision for an extension of a lobbyist's deadline to certify his/her ethics completion date by filing the required amended Form 604 (Lobbyist Certification Statement) with the office of the Secretary of State (see Form 604 instructions page). Non-filers are referred to the Fair Political Practices Commission for non-compliance.

**MCLE CREDIT:** The Assembly Legislative Ethics Committee and the Senate Committee on Legislative Ethics are State Bar of California MCLE approved providers. This activity is approved for 1.5 hours MCLE credit, but no MCLE credit will be offered on the following subjects: (1) Legal Ethics; (2) Elimination of Bias; or (3) Competence Issues. Appropriate forms will be available at the course for attorneys who seek MCLE credit.

**CHECKS RETURNED UNPAID:** A \$20 fee will be charged for any check returned unpaid and the related ethics course certification suspended until the course fee and \$20 returned check charge are received in the Ethics Committee office (payment by money order or certified check).

**LOBBYIST ETHICS COURSE SIGN-UP FORM**

ADVANCE SIGN-UP IS REQUIRED

PLEASE TYPE OR CLEARLY PRINT THE REQUESTED INFORMATION AND SUBMIT A SEPARATE SIGN-UP FORM FOR EACH PERSON TO ATTEND ACCOMPANIED BY A SEPARATE \$50 CHECK OR MONEY ORDER FOR EACH PERSON.

FIRST NAME	INITIAL	LAST NAME	E-MAIL ADDRESS
FIRM/LOBBYIST EMPLOYER NAME			AREA CODE AND TELEPHONE NUMBER
STREET ADDRESS		SUITE#	AREA CODE AND CELL NUMBER
CITY, STATE		POSTAL CODE	AREA CODE AND FAX NUMBER

**COURSE LOCATION: SACRAMENTO CONVENTION CENTER, 1400 J STREET, SACRAMENTO, CA 95814**

<u>Course Date</u>	<u>Room</u>	<u>Course Time</u>	<u>Deadlines</u>
<input type="checkbox"/> Thursday, November 17, 2016	202	10:00 a.m. – 12:00 p.m.	Nov. 10 <sup>th</sup> , by noon
<input type="checkbox"/> Thursday, November 17, 2016	202	1:30 p.m. – 3:30 p.m.	Nov. 10 <sup>th</sup> , by noon
<input type="checkbox"/> Thursday, January 12, 2017	202	1:30 p.m. – 3:30 p.m.	Jan. 5 <sup>th</sup> , by noon
<input type="checkbox"/> Thursday, February 2, 2017	202	1:30 p.m. – 3:30 p.m.	Jan. 27 <sup>th</sup> , by noon
<input type="checkbox"/> Thursday, April 20, 2017	202	1:30 p.m. – 3:30 p.m.	Apr. 13 <sup>th</sup> , by noon
<input type="checkbox"/> Thursday, June 22, 2017	202	1:30 p.m. – 3:30 p.m.	Jun. 15 <sup>th</sup> , by noon

- PLEASE ARRIVE A FEW MINUTES EARLY TO SIGN IN
- APPROPRIATE FORMS WILL BE AVAILABLE FOR ATTORNEYS SEEKING MCLE CREDIT
- LATE ARRIVALS ARE NOT ADMITTED
- EARLY DISMISSALS ARE NOT PERMITTED

**DEADLINE APPLIES TO:**

DATE CHANGE REQUESTS, REFUND REQUESTS, CANCELLATIONS, NO SHOWS, (no shows/cancelations after deadline will be required to mail in new sign-up form and \$50 fee in order to reschedule). Change requests must be submitted in writing by emailing [stacey.medlock@sen.ca.gov](mailto:stacey.medlock@sen.ca.gov) & received in the Committee office BEFORE the course deadline.

- MAKE \$50 CHECK PAYABLE TO: JOINT ETHICS COMMITTEE
- MAIL SIGN-UP FORM & CHECK TO: SENATE COMMITTEE ON LEGISLATIVE ETHICS  
ATTENTION: LOBBYIST COURSE  
1020 N STREET, ROOM 238  
SACRAMENTO, CA 95814