

BALTIMORE CITY ETHICS BOARD
626 City Hall
Baltimore, Maryland 21202
Phone: 410-396-4730 Fax: 410-396-8483
<http://ethics.baltimorecity.gov>

LATE FEE: \$10/DAY

**LOBBYING ACTIVITY REPORT –
DIRECTIONS**

GENERAL INFORMATION

NOTE: *Bold-italicized terms* are defined at the end of these Directions.

I. WHO MUST REPORT

Unless excepted under Article 8, § 8-31 {"General exemptions"}, § 8-32 {"Qualified exemptions"}, or § 8-33 {"Employer of reporting lobbyist"}, every *lobbyist* must (i) register with the Ethics Board (see **Lobbying Registration Directions**) and (ii) file an Activity Report for each *reporting period* during all or part of which the *lobbyist* was registered.

If you were registered during all or any part of a *reporting period*, you must file an Activity Report for that *reporting period* even if you did not engage in *lobbying* activities during the *reporting period*, received no *compensation* for *lobbying* activities during the *reporting period*, and incurred no expenses for *lobbying* activities during the *reporting period*. In that case, however, you need only check the appropriate line in Part I {"Scope of Report"} and complete Part II {"Identification and Registration Information"}, Part V {"Business Transactions with Officials"}, and Part VI {"Signature and Notarization"}.

If you engaged in *lobbying* for more than 1 person, you must file a separate Registration Statement and a separate Activity Report for each person. Use one Activity Report for each registration.

II. WHEN AND WHERE TO REPORT

The Activity Report must be filed (i) on or before the January 31 that first follows the *reporting period* or (ii) within 30 days after the filing of a Notice of Termination.

The Activity Report must be filed with

Baltimore City Ethics Board
626 City Hall
100 North Holliday Street
Baltimore, Maryland 21202
410-396-4730

III. COORDINATION OF REPORTS

One Activity Report should be used for each Registration Statement previously filed, even if different kinds of *lobbying* activities were performed under that one Statement. The Activity Report should cover all expenses incurred and *compensation* received in support of those *lobbying* activities. However, an expense or *compensation* item should be reported only once on the form.

If more than one *lobbyist* performed services for an employer or if a *lobbyist* and an employer are both reporting, they should coordinate their efforts to assure that (i) all *compensation* and expenses are reported, but that (ii) no expense or *compensation* item is reported on more than one form.

IV. BOOKS AND RECORDS

The law requires every *lobbyist* to obtain and preserve all accounts, bills, receipts, books, papers, documents, and other records necessary to complete and substantiate all reports, statements, or other items filed or required to be filed with the Ethics Board.

All of these records must be (i) kept for at least 3 years from the date the report, statement, or other item was filed or required to be filed and (ii) made available for inspection by the Ethics Board or the City Solicitor, on request and reasonable notice.

V. PENALTIES AND SANCTIONS

Any person who knowingly violates any provision of City Code Article 8 {“Ethics”}, Subtitle 8 (“Lobbying”) is guilty of a misdemeanor and, on conviction, is subject to a fine of up to \$1,000 or imprisonment for up to 12 months or both. If the person is a business or other entity, each officer or partner who knowingly authorized or participated in the violation is guilty of a misdemeanor and, on conviction, subject to the same penalties as the business entity.

Failure to comply may also subject a person or entity to injunctive relief as well as substantial civil penalties of up to \$1,000 a day.

In addition, any person who submits an Activity Report after the filing deadline will be assessed a late fee of \$10 a day, to a maximum of \$250.

DIRECTIONS FOR COMPLETING STATEMENT

PART I. SCOPE OF REPORT

Check whether you had or did not have any reportable *compensation* or expenses during the *reporting period* and proceed in accordance with the applicable directions.

PART II. IDENTIFICATION AND REGISTRATION INFORMATION

Part II requires the same general information as that given on the Registration Statement. Its purpose is to bring that information current. When completing this Part II, make sure the information given conforms to that on your Registration Statement. Explain all changes or other differences.

Item II-A. Class of Registration

Check each applicable type of registration. Make sure that this information accurately reflects (or brings current) the information given in Part A of your Registration Statement. Explain any differences.

Item II-B. Identification of Registrant/*Lobbyist*

Complete all blanks. Make sure that this information accurately reflects (or brings current) the information given in Part B of your Registration Statement. Explain any differences.

Item II-C. Identification of Others Required to Register

Complete all blanks. Make sure that this information accurately reflects (or brings current) the information given in Part C of your Registration Statement. Explain any differences.

Item II-D. Identification of Principal(s) for Whom Registrant/*Lobbyist* is Acting

Complete all blanks. Make sure that this information accurately reflects (or brings current) the information given in Part D of your Registration Statement. Explain any differences.

Item II-E. Registration Information

Complete all blanks. Make sure that this information accurately reflects (or brings current) the information given in Part E of your Registration Statement. Explain any differences.

Item II-F. Employer/Principal's Exemption Status

Complete all blanks. If your employer/principal's exemption status has changed from that reported in Part F of your Registration Statement, explain the change.

PART III. COMPENSATION AND EXPENSES

In Part III, you must report all expenses incurred and all *compensation* received during the *reporting period* for all *lobbying* and certain related activities.

If you are engaged in both *executive lobbying* and *legislative lobbying*, you need not segregate the figures for these activities. A single figure that combines expenses and *compensation* for both may be listed for each item in Part III.

If the employer or other principal is entitled to a reporting exemption, you must report *all* of that principal's expenses in support of the *lobbying* activity. *Consult with your employer or other principal before submitting this Report to assure accuracy and completeness.*

Item III-A. Meals and Beverages

State the total expenses incurred, *whether or not expended in connection with lobbying activities*, for meals and beverages provided to officials or employees of the *City* or their *family members*.

You must also list, in the spaces indicated, the name of each official, employee, or *family member* who benefitted from this expense.

Meals and beverages provided as part of an event otherwise reported in Item III-B {"Special Events"} or Item III-C {"Tickets or Free Admission"} should be reported in this Item III-A. Expenses incurred for a *lobbyist's* own meals should be reported in Item III-L {"Other Expenses"}.

Item III-B. Special Events

State the total expenses incurred, *whether or not expended in connection with lobbying activities*, for special events (including parties, dinners, athletic events, entertainment, and other functions) to which officials or employees of the *City* or their *family members* were invited.

You must also list, in the spaces indicated, (i) the date and location of each event, *and* (ii) your aggregate expense for that event.

Meals and beverages provided officials, employees, or *family members* who attended should be reported in Item III-A {"Meals and Beverages"} and not here.

Item III-C. Tickets or Free Admission

State the total expenses incurred, *whether or not expended in connection with lobbying activities*, for tickets or free admission for officials or employees of the *City* or their *family members* to attend a professional or intercollegiate sporting event or a charitable, cultural, or political event.

You must also list, in the spaces indicated, (i) the date and location of each event, *and* (ii) your aggregate expense for that event.

Meals and beverages provided these officials, employees, or *family members* should be reported in Item III-A {"Meals and Beverages"} and not here.

Item III-D. Food, Lodging, etc., for Meetings

State the total expenses incurred, *whether or not expended in connection with lobbying activities*, for food, lodging, or entertainment of officials or employees of the *City* or their *family members* while attending a meeting.

You must also list, in the spaces indicated, (i) the date and location of each event, *and* (ii) your aggregate expense for that event, *and* (iii) the name of each official, employee, or *family member* for the benefit of whom more than \$200 was expended.

Item III-E. Gifts

State the total expenses incurred, *whether or not expended in connection with lobbying activities*, for all *gifts* (other than those reported in Items III-A through III-D) made to, or for the benefit of, officials or employees of the *City* or their *family members*.

Insert Subtotal of Items III-A through III-E in Space Provided

Item III-F. Lobbyist Compensation

State the total *compensation* paid or to be paid to the *lobbyist* for *lobbying* activities performed during the *reporting period*. Do not include reimbursement for expenses reported elsewhere in Part III.

If the *lobbying* activities described in Part II are only a portion of the services for which an employer compensated the *lobbyist*, state the prorated amount (based on time spent) for *lobbying* activities and check the line indicating proration.

Item III-G. Staff Compensation

State the total expenses incurred for salaries or other *compensation* paid or to be paid by the *lobbyist* to staff for services provided in connection with *lobbying* activities. Include expenses incurred by staff for which they were reimbursed by the *lobbyist* or the *lobbyist's* employer.

Item III-H. Office Expenses

State the total expenses incurred for operating the *lobbyist*'s office in connection with *lobbying* activities. These expenses would include, for example, rent, telephone, utilities, transportation, parking, and the like. Do not include, however, expenses reported in Item III-F {"Lobbyist Compensation"} or Item III-G {"Staff Compensation"}.

Item III-I. Special Assistance

State the total expenses incurred for professional and technical research and assistance in connection with *lobbying* activities. Do not include expenses reported in Item III-F {"Lobbyist Compensation"} or Item III-G {"Staff Compensation"}.

Item III-J. Publications

State the total expenses incurred in preparing, printing, and distributing publications for the purpose of encouraging others to communicate with one or more officials or employees of the *City*. These expenses would include, for example, salaries, postage, telecommunications, advertising, and the like.

Item III-K. Witnesses

State the total expenses incurred for witnesses in connection with *lobbying* activities.

You must also list, in the spaces indicated, (i) the name of each witness, *and* (ii) the fees and expenses paid to each.

Item III-L. Other Expenses

State the total of all expenses incurred in connection with *lobbying* activities and not otherwise reported. These would include, for example, a *lobbyist*'s own meals, lodging, travel, etc.

Insert Total of Items III-A through III-L in Space Provided

PART IV. GIFT RECIPIENTS

In Part IV, you must identify each official or employee of the *City* and each *family member* of an official or employee to whom or for whose benefit you, your employer, or anyone on your or your employer's behalf, alone or in combination, has given, during the *reporting period*, one or more *gifts* with a cumulative value of \$150 or more.

This report must be made *whether or not the gifts were made in connection with lobbying activities*. This report does not apply, however, to expenses already reported in Item III-B {"Special Events"} or Item III-D {"Food, Lodging, etc., for Meetings"}.

PART V. BUSINESS TRANSACTIONS WITH OFFICIALS

An individual *lobbyist* is required by law to report certain business transactions with certain officials of the *City*, their *family members*, or entities with which they are affiliated. To determine if you must so report, answer each of the questions in Part V.A. If you answered “yes” to all 3 questions, you must then provide the information requested in Part V.B. Otherwise, proceed to Part VI.

PART VI. AFFIRMATION AND NOTARIZATION

All information must be given under oath or affirmation and must be notarized. For your convenience, Notaries Public are available to administer the oath, for a small administrative fee, in the Board’s office.

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DEFINITIONS OF TERMS

All defined terms are indicated by *bold italics*.

“City”.

(a) *General.*

“City” means any department, board, commission, council, authority, committee, office, or other unit of City government.

(b) *Inclusions.*

“City” includes the following entities:

- (1) Baltimore City Parking Authority.
- (2) Baltimore Development Corporation.
- (3) Baltimore Police Department.
- (4) Board of Liquor License Commissioners for Baltimore City.
- (5) Civilian Review Board of Baltimore City.
- (6) Enoch Pratt Free Library of Baltimore City.
- (7) Housing Authority of Baltimore City.
- (8) Local Development Council, South Baltimore Video Lottery Terminal.
- (9) Pimlico Community Development Authority.

“Compensation”.

(a) *General.*

“Compensation” means any money or thing of value, regardless of form, received or to be received by a person for services rendered.

(b) *Proration.*

If *lobbying* is only part of a person’s employment, “compensation” means a prorated amount of the person’s total compensation, based on the time devoted by the person to *lobbying* compared to the time devoted to other employment duties. For reporting purposes, a prorated amount must be so labeled.

“Executive action”.

“Executive action” means any official action or nonaction that:

- (1) is taken by an official or employee of the *City*; and
- (2) is not *legislative action*, as defined.

“Executive lobbying”.

“Executive lobbying” means any activity by which a person, during a *reporting period*:

- (1) for the purpose of influencing any *executive action*, communicates with an official or employee of the *City*; and
- (2) in furtherance of or in connection with all such communications for that or any other *executive action*, and all activities relating to those communications:
 - (i) expends \$100 or more for gifts, including meals, beverages, or special events, to 1 or more an officials or employees of the *City*; or
 - (ii) for actions involving regulations or executive orders:
 - a. incurs any expenses of \$500 or more; or
 - b. earns \$2,500 or more in *compensation*; or
 - (iii) for procurement contracts or business grants or loans that exceed \$50,000, receives any *compensation* (subject to certain exceptions for in-house sales persons and certain others).

“Family member”.

“Family member” means any:

- (1) spouse;
- (2) parent;
- (3) sibling; or
- (4) child, including an adopted child, stepchild, ward, or foster child, regardless of age.

“Gift”.

(a) *General.*

“Gift” means, except as specified in paragraph (b), the transfer of any thing or any service of economic value, regardless of the form, without adequate, tangible, and lawful consideration.

(b) *Exception.*

“Gift” does not include political contributions that are regulated under state law.

“Grass roots’ lobbying”.

“Grass roots’ lobbying” means any activity by which a person, during a *reporting period*:

- (1) for the purpose of influencing any *legislative* or *executive action*, solicits others to communicate with an official or employee of the *City*; and
- (2) in furtherance of or in connection with that solicitation, expends \$1,000 or more, including expenditures for salaries, contractual employees, postage, telecommunications services, electronic services, advertising, printing, or delivery services.

“Legislative action”.

(a) *General.*

“Legislative action” means any official action or nonaction relating to:

- (1) any bill, resolution, nomination, appointment, report, or other matter within the jurisdiction of the City Council; or
- (2) any bill or resolution presented to the Mayor for approval or veto.

(b) *Illustrations.*

“Legislative action” includes:

- (1) introduction;
- (2) sponsorship;
- (3) consideration and debate;
- (4) amendment;
- (5) passage or defeat; and
- (6) approval or veto.

“Legislative lobbying”.

“Legislative lobbying” means any activity by which a person, during a *reporting period*:

- (1) for the purpose of influencing any *legislative action*, communicates with an official or employee of the *City*; and
- (2) in furtherance of or in connection with all such communications for that or any other *legislative action*, and all activities relating to those communications:
 - (i) expends \$100 or more for gifts, including meals, beverages, or special events, to 1 or more an officials or employees of the *City*;
 - (ii) incurs any expenses of \$500 or more; or
 - (iii) earns \$2,500 or more in *compensation*.

“Lobbying”.

(a) *General.*

“Lobbying” means to do any act that requires registration under Subtitle 8 {“Lobbying”} of City Code Article 8 {“Ethics”}.

(b) *Inclusions.*

“Lobbying” includes:

- (1) *legislative lobbying*;
- (2) *executive lobbying*; and
- (3) *“grass roots” lobbying*.

“Lobbyist”.

“Lobbyist” means any person required to register under Subtitle 8 {“Lobbying”} of City Code Article 8 {“Ethics”}.

“Reporting period”.

“Reporting period” means the period from January 1 of any year through December 31 of the same year.

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LATE FEE: \$10/DAY

**IMPORTANT:
CAREFULLY READ
ACCOMPANYING DIRECTIONS**

LOBBYING ACTIVITY REPORT

NOTE: *Bold-italicized terms* are defined in the accompanying Activity Report Directions, which should be reviewed carefully before completing this Report.

Name of Registrant: _____

Reporting Period: _____, 20__ through December 31, 20__.

Date Received for Filing (to be completed only by Ethics Board): _____

PART I. SCOPE OF REPORT

Check one:

Registrant had reportable *compensation* or expenses during the *reporting period*.
(Complete all Parts of Report.)

Registrant had no reportable *compensation* or expenses during the *reporting period*.
(Complete Parts II, V, and VI.)

PART II. IDENTIFICATION AND REGISTRATION INFORMATION

II-A. CLASS OF REGISTRATION

Check one or more, as appropriate:

Executive Action Lobbyist _____ *Legislative Action Lobbyist* _____ *“Grass Roots” Lobbyist* _____

Non-Exempt Employer/Principal _____

Explain differences, if any, from Registration Statement: _____

II-B. IDENTIFICATION OF REGISTRANT/LOBBYIST

Complete all blanks:

Name _____

Business Address (Including Firm Name) _____

Office/Business Telephone (____) _____ Email Address: _____

Profession, Occupation, or Business _____

Explain differences, if any, from Registration Statement: _____

II-C. IDENTIFICATION OF OTHERS REQUIRED TO REGISTER

Identify any other person who, acting on behalf of the person identified in Part II-B, was required to register as a lobbyist (if none, put in "NONE):

Name _____

Business Address (Including Firm Name) _____

Office/Business Telephone (____) _____ Email Address: _____

Profession, Occupation, or Business _____

Explain differences, if any, from Registration Statement: _____

II-D. IDENTIFICATION OF PRINCIPAL(S) FOR WHOM REGISTRANT/LOBBYIST IS ACTING

1. Identify each person(s) from which the lobbyist received or is owed compensation for his or her lobbying activity or, if the lobbyist is uncompensated, who authorized or directed those activities:

Name _____

Business Address (Including Firm Name) _____

Office/Business Telephone (____) _____ Email Address: _____

Nature of Business _____

2. Identify any other person(s) on whose behalf the lobbyist was acting on matters covered by this Report (if none, put in "NONE"):

Name _____

Business Address (Including Firm Name) _____

Office/Business Telephone (____) _____ Email Address: _____

Nature Business _____

Explain differences, if any, from Registration Statement: _____

II-E. REGISTRATION INFORMATION

1. State the period (both beginning and ending month, day, and year) for which registration is effective:

From _____ to _____

2. Identify the matters (including formal designation if known) on which the lobbyist acted or employed someone to act during the registration period:

Explain differences, if any, from Registration Statement: _____

II-F. EMPLOYER/PRINCIPAL'S EXEMPTION STATUS

Do the principal(s) identified in Part II-D claim an exemption from filing its (their) own Registration Statement and Activity Reports?

___ Yes ___ No

Explain changes, if any, from Registration Statement: _____

PART III. COMPENSATION AND EXPENSES

Note: Items A through E apply to *all* expenses of the type described, *whether or not expended in connection with a lobbying activity.*

A. Meals and Beverages Provided Officials, Employees, or **Family Members** – A. \$ _____

State the name of each official, employee, or **family member** who benefitted from this expense:

B. Special Events (Including Parties, Dinners, Athletics Events, Entertainment, Other Functions) to which Officials, Employees, or **Family Members** were invited – B. \$ _____

For each event, provide the following information:

<i>Date</i>	<i>Location</i>	<i>Aggregate Cost</i>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

C. Tickets or Free Admissions Provided for Officials, Employees, or **Family Members** to Attend a Professional or Intercollegiate Sporting Event or a Charitable, Cultural or Political Event – C. \$ _____

For each event, provide the following information:

<i>Date</i>	<i>Location</i>	<i>Aggregate Cost</i>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

D. Food, Lodging, or Entertainment of Officials, Employees, or **Family Members** While Attending a Meeting – D. \$ _____

For each event, provide the following information:

<i>Date</i>	<i>Location</i>	<i>Aggregate Cost</i>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

And state the name of each official, employee, or **family member** for the benefit of whom more than \$200 was expended:

E. Gifts (Other than those Reported in Items A through D) Made to, or for the Benefit of, Officials, Employees, or **Family Members** – E. \$ _____

Subtotal of Items A through E – \$ _____

F. **Compensation** Paid or to be Paid **Lobbyist** for **Lobbying** Activities (Not Including Reimbursement for Expenses Reported Elsewhere in this Part III) – F. \$ _____

If the amount reported is prorated (see **Directions**), check here: _____

G. **Compensation** and Reimbursed Expenses Paid or to be Paid to Staff of **Lobbyist** – G. \$ _____

H. Office Expenses (Not Including **Compensation** and Expenses Reported in Item F or Item G) – H. \$ _____

I. Professional and Technical Research and Assistance (Not Including **Compensation** and Expenses Reported in Item F or Item G) – I. \$ _____

J. Publications – J. \$ _____

K. Witnesses –

K. \$ _____

For each witness, provide the following information:

<i>Name</i>	<i>Fees</i>	<i>Expenses</i>

L. Other Expenses –

L. \$ _____

Total of Items A through L –

\$ _____

PART IV. GIFT RECIPIENTS

Have you, your employer, or anyone on your or your employer's behalf, alone or in combination, whether or not in connection with *lobbying* activities, given 1 or more *gifts* with a cumulative value of \$150 or more to any official or employee of the *City* or any *family member* of an official or employee (excluding any expenses reported in Item III-B {"Special Events"} or Item III-D {"Food, Lodging, etc., for Meetings"})?

___ Yes ___ No

If yes, state the name of each official, employee, or *family member* who received this *gift* or series of *gifts*:

And, for each gift made after the \$150-cumulative value was reached, provide the following information:

<i>Date</i>	<i>Recipient</i>	<i>Nature of Gift</i>	<i>Value</i>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

PART V. BUSINESS TRANSACTIONS WITH OFFICIALS

A. Answer each of the following questions:

1. Are you an individual engaged in *lobbying* activities (other than exclusively as (i) a *grass roots lobbyist* or (ii) the employer of a *lobbyist*)?

___ Yes ___ No

2. During the *reporting period*, were you engaged, directly or indirectly, in any business transaction or series of business transactions with

(a) any of the following *City* officials

- (1) Mayor,
- (2) City Comptroller,
- (3) President of the City Council,
- (4) a Member of the City Council,
- (5) the head of any department, or
- (6) the head of any bureau or division within a department, *or*

(b) any of the following affiliated persons

- (1) a *family member* of an official listed in item (a),
- (2) an entity in which an official listed in item (a) is a proprietor or partner, or
- (3) an entity in which an official listed in item (a) has an ownership interest of 10% or more?

___ Yes ___ No

3. Did that transaction or series of transactions involve consideration of (a) \$1,000 or more for a single transaction or (b) \$5,000 or more for a series of transaction?

___ Yes ___ No

B. If you answered “yes” to all 3 questions, you must provide the following information for each transaction or series of transactions:

Date or Dates of Transaction(s): _____

Name and Title of Official: _____

Name of *Family Member* or Affiliated Entity: _____

Nature of Transaction(s): _____

Nature and Value of Anything Exchanged in the Transaction(s): _____

PART VI. AFFIRMATION AND NOTARIZATION

I, _____, solemnly affirm under the penalties of perjury that the contents of this Lobbying Activity Report are true to the best of my knowledge, information, and belief.

(Signature)

STATE OF MARYLAND
CITY/COUNTY OF _____

I CERTIFY that, on this ____ day of _____, 20____, before me, a Notary Public in and for the City/County of _____, personally appeared _____, who acknowledged that this Lobbying Activity Report, and the preceding Affirmation were all his/her act.

AS WITNESS, my hand and Notarial Seal:

(Notary Public)

My Commission Expires: _____