

REGISTRATION PROCEDURES

The Act requires most lobbying filers to submit registration statements that identify persons engaged in lobbying activity. This chapter provides guidance on completing the forms. File all forms with the Secretary of State. Filers must submit all registration forms on paper and lobbying entities that must file electronically also submit an electronic form. Once a lobbying entity qualifies for electronic filing, it must file all future registration forms in paper format and online.

A. Name Identification Requirements

The Act requires that any person or entity that engages in lobbying activity disclose its name. If a lobbyist employer is a business entity with subsidiaries, the Act may require that the names of the subsidiaries be separately identified along with the corporate parent's name. This manual cannot address all of the different relationships of affiliated entities. The following summarizes Commission advice, and you may contact the FPPC for specific guidance.

A corporation and its subsidiary both make payments to a lobbying firm; list the name of the filer as: ABC Company and its affiliate, XYZ Subsidiary.

A lobbying firm represents the lobbying interests of a corporation and its subsidiary, both entities provide the lobbying firm direction. The filer's name should be listed as: ABC Company and its affiliate, XYZ Subsidiary. This is true whether the corporation makes all the payments or both entities make payments to the lobbying firm.

Ex 3.1 - A corporation has several subsidiaries. The corporation directs and controls the lobbying activity and makes all payments to the lobbying firm. The subsidiaries are not involved with lobbying activity nor do they make payments to the lobbying firm. Even though the subsidiaries may benefit from the lobbying firm's services, the filer's name should be listed as: ABC Corporation. The filer need not identify the subsidiaries.

Ex 3.2 - A corporation makes payments to a lobbying firm. The corporation's subsidiary makes payments to a different lobbying firm. The corporation's and its subsidiary's lobbying activities are independent. The corporation does not pay for the subsidiary's activities or control its lobbying activities. The law does not require the corporation to identify the subsidiary's name on its reports, nor does it require the subsidiary to identify the parent corporation on its reports.

B. Registration Forms

The Act requires all lobbyists, lobbying firms and lobbyist employers who employ in-house lobbyists to file registration forms. \$5,000 filers do not file registration forms.

Filer	Form
All Lobbyists	604
All Lobbying Firms	601
Lobbyist Employer (with in-house lobbyist)	603
Lobbyist Employer (contracts with lobbying firm)	602
All (amending a Form 604, 601, 603, or 602)	605

All filers must verify and sign their registration forms. All registration forms are filed on paper (hard copy) with the Secretary of State. Lobbying entities that are required to file electronically also file an electronic form.

C. Form 604 – Lobbyist Certification Statement

An individual who qualifies as a lobbyist must complete and sign the Lobbyist Certification Statement, Form 604. His or her lobbying firm or lobbyist employer/lobbying coalition, whichever is applicable, files the lobbyist's Form 604 with its registration or amendment to the registration form. A recent photograph of the lobbyist's head and shoulders along with a \$50 fee per year for the two-year legislative session (\$100/renewal registrations) must also be included. The photograph must be recent and of professional quality. A lobbyist may only have one Form 604 on file at any one time.

Filing Deadlines for Form 604:

New Lobbyist:

- Within 10 days of qualifying as a lobbyist.

New Placement Agent

- Before initial contact with a state retirement board.

Lobbyist Renewing Certification:

- Between November 1 and December 31 of each even-numbered year.

Lobbyist Ethics Orientation Course

All lobbyists must attend a lobbyist ethics course as part of the registration process. The Assembly Legislative Ethics Committee and the Senate Committee on Legislative Ethics conducts the course. At the time of publication of this manual, lobbyists must attend in person. There is no online course. Contact the legislative committees for course dates and times.

A lobbyist must file a conditional certification statement, Form 604, if he or she has not taken the course within the previous 12 months. Whether the lobbyist is renewing the certification or filing his or her first certification determines the conditional certification's validity period.

- New lobbyists must take the course within 12 months after registering as a lobbyist.
- Lobbyists who were registered in the prior legislative session, but have not taken the course in the 12 months prior to renewing their certification, must take the course by June 30 of the following year.

Ex 3.3 - Al Johnson is promoted to become the first lobbyist for his employer. Al must complete a Lobbyist Certification Statement, Form 604. The employer must submit this form along with Al's photo and a \$50 per year payment to the Secretary of State. The employer must file the Lobbyist Employer Registration Statement, Form 603, to indicate that the company has qualified as a lobbyist employer and that it employs Al Johnson to lobby on its behalf. Later, the employer also hires Susan Gomez as an in-house lobbyist. Susan completes a Lobbyist Certification Statement, Form 604. Her employer completes the Form 605 and submits her photo and a \$50 per year payment to the Secretary of State.

Ex 3.4 - John Liu was a new lobbyist in the 2017-2018 Legislative Session and took the course in June 2018. Mr. Liu registered in December 2018 for the 2019-2020 Legislative Session. Because less than 12 months had elapsed since he took the course he is not required to take the course in 2019 or 2020.

Ex 3.5 - Susan White is a new lobbyist and begins lobbying on September 1, 2019 for the 2019-20 Legislative Session. She must take the course before September 1, 2020.

Ex 3.6 - Margaret Johnson was a registered lobbyist in the 2017-18 Legislative Session and took the course on March 5, 2017. On December 5, 2018, she registers to lobby for the 2019-20 Session. Because 12 months elapsed since she took the course and because she was registered to lobby in the prior session, she must take the course by June 30, 2019.

Ex 3.7 - Sean Spencer was a registered lobbyist in the 2017-18 Legislative Session. In February 2019, he registers to lobby for the 2019-20 session. Because Mr. Spencer was registered to lobby in the prior legislative session he must take the course by June 30, 2019.

Ex 3.8 - Matt Nelson was a registered lobbyist in the 2017-18 Legislative Session. He had a lapse in lobbying activity and did not register as a lobbyist for the 2019-20 Legislative Session until October 2019. Mr. Nelson must take the course by June 30, 2020.

Failure to take the course at the times prescribed will void the conditional certification. Once voided, an individual is prohibited from acting as a lobbyist until he or she has completed the ethics training course and filed an amended certification statement indicating the date the course was taken. **The FPPC cannot grant waivers to the ethics training requirement.**

Lobbyist Certification Statement

(Government Code Section 86103)

Legislative Session	CALIFORNIA FORM 604 FAIR POLITICAL PRACTICES COMM. For Official Use Only
20XX - 20XX (Insert Years)	

Type or Print in Ink

Check Box if an Amendment

NAME OF LOBBYIST: (Last) (First) (M.I.)	If this is an Initial Certification, enter the DATE QUALIFIED as a Lobbyist:
Wilder Matt	
BUSINESS ADDRESS: (Number and Street) (City) (State) (Zip Code)	TELEPHONE NUMBER:
1180 Hudson Sacramento CA 95822	(916) 555-4214
MAILING ADDRESS: (If different than above)	FAX NUMBER: (Optional)
	()
NAME OF LOBBYIST EMPLOYER OR LOBBYING FIRM:	E-MAIL:
Capitol Care, Inc.	mwilder@atn.net

I. LOBBYIST ETHICS ORIENTATION COURSE

Check one box:

- I have not taken the course within the previous 12 months. I will attend the course (*check one*):
 - New Certification – Within the next 12 months
 - Renewal – By June 30 of the next calendar year
- I completed the course on 12 / 10 / XX
(Mo./Day/Year)

II. AGENCIES LOBBIED

Check one box:

- I will lobby the agencies identified on the Lobbyist Employer or Lobbying Firm Registration Statement (Form 601/603) and subsequent amendments.
- I will *only* lobby the agencies identified below:
 Will you lobby the State Legislature? State Agencies: Governor's Office
 Yes No

III. LOBBYIST RESTRICTIONS

By signing the verification below, I certify that I have read and understand that I am subject to the prohibitions contained in Government Code Sections 86203 and 86205. (Provided on reverse.)

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 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 12/11/XX By [Signature Required]
DATE SIGNATURE OF LOBBYIST

FPPC Form 604 (10/14)
FPPC Advice Email: advice@fppc.ca.gov
FPPC Toll-Free Helpline: 866/275-3772 www.fppc.ca.gov

How to Complete Form 604

The Form 604 identifies the lobbyist's name, address, telephone number and name of his or her lobbying firm or lobbyist employer/lobbying coalition. On the initial statement, the individual must provide the date he or she qualified as a lobbyist; the date is not required on renewals. The lobbyist must verify and sign the paper Form 604. No other individual may sign Form 604 on behalf of the lobbyist.

Agencies Lobbied: If the lobbyist will not be lobbying all the agencies listed on the Lobbyist Employer or Lobbying Firm Registration Statement (Form 603 or 601) that his or her employer or firm filed, check the second box, indicate if the lobbyist will be lobbying the State Legislature and specify the state agencies to be lobbied.

The lobbyist gift limit and contribution restrictions apply to agencies the lobbyist lobbies.

D. Form 601 – Lobbying Firm Registration Statement

An individual or business entity that qualifies as a lobbying firm must register within 10 days of qualifying.

Each lobbying firm must renew its registration between November 1 and December 31 of each even-numbered year. If the registration is not renewed, the Secretary of State will automatically terminate the lobbying firm's registration at the end of the legislative session.

Registration and registration renewal requirements may include:

- Submitting Form 601;
- Submitting Form 602 that each lobbyist employer that contracts with the lobbying firm completes;
- Submitting Form 604 that each partner, owner, officer, or employee of the lobbying firm who qualifies as a lobbyist completes;
- A recent photograph of each lobbyist picturing only the lobbyist's head and shoulders; and
- A \$50/per year (\$100 for the two-year session) registration fee payable to the Secretary of State for each of the firm's lobbyists. Payment is required at the time of filing.

Quick Tip!

A lobbying firm performing pro-bono services is not required to register the client.

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

Legislative Session 20XX - 20XX (Insert Years)	CALIFORNIA FORM 601 FAIR POLITICAL PRACTICES COMM. For Official Use Only
Page <u>1</u> of <u>3</u>	

Type or Print in Ink

SEE INSTRUCTIONS ON REVERSE

NAME OF LOBBYING FIRM:

Capitol Care, Inc.

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

1180 Hudson Sacramento CA 95822

MAILING ADDRESS: (If different than above.)

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

TELEPHONE NUMBER:

(916) 555-4214

FAX NUMBER: (Optional)

()

E-MAIL:
capcare@atn.net

I Individual Lobbyists

- List the full name of each partner, owner, officer, or employee of your lobbying firm who is a lobbyist. Attach 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."

Matt Wilder

Sean Spencer

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

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 a Form 602 for each person identified in Section A or B.

SECTION A

Employer's Name, Address and Telephone Number California Care Providers' Association 819 L Street, Suite 900 Sacramento, CA 95814 Agencies to be Lobbied Legislature and Governor's Office	Effective Date 12/1/XX	Period of Contract Indefinite
Description of Employer's Lobbying Interests Legislation relating to the health care industry; specifically hospitals		
Employer's Name, Address and Telephone Number Evercare, Inc. 790 O Street, Suite 190 Sacramento, CA 95814 Agencies to be Lobbied Legislature and Governor's Office	Effective Date 12/1/XX	Period of Contract 12 months
Description of Employer's Lobbying Interests Legislation relating to the health care industry; specifically nursing homes		

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

How to Complete Form 601

The **Lobbying Firm Registration Statement** provides identifying information about the lobbying firm and its clients. Enter the date qualified as a lobbying firm only on an initial registration, but not on subsequent renewals.

- When reporting the names of lobbyists, do not list any individual who is separately registered as a lobbying firm or who is employed by a lobbying firm with which this firm contracts.
- A lobbying firm must designate as a responsible officer a partner, owner, or officer of the firm to file statements and reports and keep records. An individual contract lobbyist filing the Form 601 as a lobbying firm is the responsible officer.

Ex 3.9 - ZB Corporation develops, manufactures, and distributes pharmaceuticals. On Form 601, state “legislation relating to the development, manufacturing, and distribution of pharmaceuticals.”

Lobbying Firm Registration Statement

Type or Print in Ink

NAME OF LOBBYING FIRM:

Capitol Care, Inc.

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

Page 2 of 3

SECTION B -- Subcontracted Clients

Name, Address and Telephone Number of Subcontracting Lobbying Firm:

California Sports and Therapy Group

455 P Street, Suite 900

Sacramento, CA 95814

Effective Date of Contract

12/1/XX

Period of Contract

Indefinite

Name, Address and Telephone Number of Client on Whose Behalf Your Firm will Lobby:

Universal Therapists, Inc.

1231 Evergreen Way

Rancho Cordova, CA 95670

Agencies to be Lobbied

Legislature and Governor's Office and Dept of Occupational Therapy

Description of Client's Lobbying Interests

Legislation and regulations: occupational therapy

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

- A lobbying firm that contracts to lobby for another lobbying firm’s client must identify both the subcontracting lobbying firm and the client(s)/employer(s) on whose behalf the firm will lobby.
- List the name of each client/lobbyist employer and the agencies to be lobbied. List each state office (including the Governor’s office, if applicable), department, division, bureau, board, or commission the lobbyist employer/lobbying coalition will attempt to influence. Do not include the courts, or federal or local agencies. The firm may list “all state agencies.” In addition, provide a description of the lobbyist employer/lobbying coalition’s lobbying interests.

E. Form 602 – Lobbying Firm Activity Authorization

Each client that retains a lobbying firm must complete a Lobbying Firm Activity Authorization, Form 602, to authorize the lobbying firm to lobby on its behalf. The lobbying firm must submit the Form 602 along with its Lobbying Firm Registration Statement, Form 601, or its Amendment to Registration, Form 605.

A lobbying firm that subcontracts clients to another lobbying firm must complete Form 602 and identify the names of the subcontracted client(s). The law does not require the firm to complete the “Nature and Interests” section for the client(s) with which it subcontracts.

How to Complete Form 602

Lobbyist Employer’s Nature and Interests

Describe the lobbyist employer/lobbying coalition’s lobbying interests by stating whether the lobbyist employer/coalition focuses on, for example, agriculture, air quality, transportation, computer software, labor, or government. A city, county, or other governmental agency will complete Part D. When listing the nature and interests of an association with fewer than 50 members, identify all the members’ names. A lobbyist employer comprised of affiliated entities must report the nature and interests of all entities that comprise the lobbyist employer.

Ex 3.10 - Capital Watch, a lobbying firm, has a client, Silo Manufacturers of California (SMC). Capital Watch wishes to subcontract this client to Meyers & Nguyen, another lobbying firm. Before Meyers & Nguyen may begin lobbying on SMC’s behalf, Capital Watch must complete a Form 602 that its responsible officer signs, identifying SMC as the subcontracted client and authorizing Meyers & Nguyen to lobby on SMC’s behalf.

Ex 3.11 - A trade association that represents electricity distributors will complete section C 1. A trade association that represents only one segment of an industry should complete sections C. 1 and 2. For example, an association representing insurance companies that sell only automobile policies may identify in section C 1, “insurance,” and identify in section C 2, “automobile insurance policies.”

Lobbying Firm
Activity Authorization
 (Government Code Section 86104)

Check *one* box, if applicable

Lobbyist Employer
 (Gov. Code Section 82039.5)

Lobbying Coalition
 (FPPC Regulation 18616.4)

Type or Print in Ink

Legislative Session	CALIFORNIA FORM 602 FAIR POLITICAL PRACTICES COMM.
20XX-20XX (Insert Years)	For Official Use Only
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NAME OF FILER: California Care Providers' Association	ELECTIVE DATE: 12/1/XX
BUSINESS ADDRESS: (Number and Street) (City) (State) (Zip Code) 819 L Street, Suite 900 Sacramento CA 95814	TELEPHONE NUMBER: (916) 444-5555
MAILING ADDRESS: (If different than above.)	FAX NUMBER: (Optional) ()
	E-MAIL: (Optional) CCPRO@universe.com

I hereby authorize Capitol Care, Inc.
 (Name of Lobbying Firm)
1180 Hudson Avenue, Sacramento, CA 95822
 (Business Address)

to engage in the activities of a lobbying firm (as defined in California Government Code Section 82038.5 and 2 Cal. Code of Regs. Section 18238.5) on behalf of the above named employer.

If you are authorizing another lobbying firm to lobby on behalf of your firm's client(s), provide the name(s) of the client(s) below. (It is not necessary to complete the Nature and Interests section.)

NAME OF SUBCONTRACTED CLIENT:	NAME OF SUBCONTRACTED CLIENT:
NAME OF SUBCONTRACTED CLIENT:	NAME OF SUBCONTRACTED CLIENT:

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 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 12/10/XX
 DATE

By [Signature Required]
 SIGNATURE OF RESPONSIBLE OFFICER

Name of Responsible Officer James S. Jennings
 PRINT OR TYPE

Title Chief Operating Officer

FPPC Form 602 (10/15)
 FPPC Advice Email: advice@fppc.ca.gov
 FPPC Toll-Free Helpline: 866/275-3772 www.fppc.ca.gov

Activity Authorization

SEE INSTRUCTIONS ON REVERSE

Type or Print in Ink

NAME OF FILER: California Care Providers' Association

Page 2 of 2

Nature and Interests of Lobbyist Employer

Check *one* box only:

INDIVIDUAL (Complete only Parts A and E)

BUSINESS ENTITY (Complete only Parts B and E)

INDUSTRY, TRADE OR PROFESSIONAL ASSN. (Complete only Parts C and E)

OTHER (e.g., lobbying coalition) (Complete only Parts D and E)

A. Individual

1. Name and address of employer (or principal place of business if self-employed):

2. Description of business activity in which you or your employer are engaged:

B. Business Entity

Description of business activity in which engaged:

C. Industry, Trade or Professional Association

1. Description of industry, trade or profession represented:

Health Care Industry

2. Specific description of any portion or faction of the industry, trade, or profession which the association exclusively or primarily represents:

Long Term and Elderly Care

3. Number of members in association (*check appropriate box*)

50 OR LESS (provide names of all members on an attachment.)

MORE THAN 50

D. Other

1. Statement of nature and purposes:

2. Description of any trade, profession, or other group with a common economic interest which is principally represented or from which membership or financial support is principally derived:

E. Industry Group Classification

Check one box which most accurately describes the industry group which you represent. See instructions on reverse.

AGRICULTURE

LEGAL

ENTERTAINMENT/RECREATION

OIL AND GAS

EDUCATION

PUBLIC EMPLOYEES

FINANCE/INSURANCE

PROFESSIONAL/TRADE

GOVERNMENT

POLITICAL ORGANIZATIONS

LODGING/RESTAURANTS

REAL ESTATE

HEALTH

UTILITIES

MANUFACTURING/INDUSTRIAL

TRANSPORTATION

LABOR UNIONS

OTHER: _____
(Describe in detail)

MERCHANDISE/RETAIL

OTHER: _____
(Specific Description)

F. Form 603 – Lobbyist Employer or Lobbying Coalition Registration Statement

An individual, business entity, organization, or lobbying coalition that has an in-house employee who qualifies as a lobbyist must register with the Secretary of State within 10 days of qualifying as a lobbyist employer.

Each registered lobbyist employer/lobbying coalition must renew its registration between November 1 and December 31 of each even-numbered year. If it does not renew its registration, the lobbyist employer/lobbying coalition will automatically be terminated at the end of the legislative session.

Registration and registration renewal requirements include:

- Submitting Form 603;
- Submitting Form 604 that each partner, owner, officer, or employee who qualifies as an in-house lobbyist completes;
- Submitting a recent photograph of the lobbyist's head and shoulders only; and
- A \$50/per year (\$100 if at the beginning of the two-year session, \$50 if in the second year) payable to the Secretary of State for each individual who qualifies as an in-house lobbyist. Payment is required at time of filing.
- A lobbyist employer, including an individual contract lobbyist, that **only** contracts with a lobbying firm must complete the Lobbying Firm Authorization Statement, Form 602, and does not complete the Lobbyist Employer Registration Statement, Form 603.
- A registered lobbyist employer that employs an in-house lobbyist and also contracts with a lobbying firm must complete the Lobbying Firm Activity Authorization, Form 602, for the lobbying firm.

Check the applicable box:

- Lobbyist Employer Registration Statement**
- Lobbying Coalition Registration Statement**
(Government Code Section 86105)

Type or Print in Ink

Legislative Session 20XX - 20XX <small>(Insert Years)</small>	CALIFORNIA 603 FORM <small>FAIR POLITICAL PRACTICES COMM.</small> For Official Use Only
Page <u>1</u> of <u>2</u>	

NAME OF LOBBYIST EMPLOYER OR LOBBYING COALITION: California Care Providers' Association	If this is an initial registration, enter the DATE QUALIFIED: n/a
BUSINESS ADDRESS: (Number and Street) (City) (State) (Zip Code) 819 L Street, Suite 900 Sacramento CA 95814	TELEPHONE NUMBER: (916) 444-5555
MAILING ADDRESS: (If different than above)	FAX NUMBER: (Optional) ()
	E-MAIL: CCPRO@universe.com

I Lobbyists and Lobbying Firms Employed

- List the full name of each in-house lobbyist employed and each lobbying firm with which you contract.

In-House Employee Lobbyists:	Lobbying Firms:
Jennifer Marks	Capitol Care, Inc.
Sue Davis	

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

II List Below the State Agencies Whose Actions you Will Attempt to Influence

- Will you attempt to influence the State Legislature? Yes No

Health and Human Services Agency	
Department of Health Care Services	
Department of Aging	

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

III Description of Lobbying Interests

- For assistance, see the instructions on the back of this form or the "Information Manual on Lobbying Disclosure Provisions of the Political Reform Act." Legislation related to the health care industry; specifically long term and elderly care.

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 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 12/8/XX By [Signature Required]
DATE SIGNATURE OF RESPONSIBLE OFFICER

Name of Responsible Officer James S. Jennings Title Chief Operating Officer
TYPE OR PRINT

FPPC Form 603 (10/14)
FPPC Advice Email: advice@fppc.ca.gov
FPPC Toll-Free Helpline: 866/275-3772 www.fppc.ca.gov

How to Complete Form 603

If this is an initial registration, enter the date qualified as a lobbyist employer/lobbying coalition.

- List each in-house lobbyist's full name as well as the name of any lobbying firm with which the employer/coalition contracts.
- List each state office (including the Governor's office, if applicable), department, division, bureau, board, or commission the lobbyist employer/lobbying coalition will attempt to influence. Do not include the courts, or federal or local agencies. The employer/coalition may list "all state agencies."
- Describe the lobbyist employer/lobbying coalition's interests and complete the Nature and Interests of the Filer section. In Part B, affiliated entities must report the nature and interests of all entities that comprise the lobbyist employer. In Part C, when listing the nature and interests of an association with fewer than 50 members, identify all members' names. A city, county or other governmental agency will complete Part D.
- A responsible officer, or an attorney or a certified public accountant who acts as an agent for the lobbyist employer/lobbying coalition, must sign the verification.

Lobbyist Employer/Lobbying Coalition Registration Statement

CALIFORNIA FORM 603 <small>FAIR POLITICAL PRACTICES COMM.</small>
Page <u>2</u> of <u>2</u>

SEE INSTRUCTIONS ON REVERSE

Type or Print in Ink

NAME OF LOBBYIST EMPLOYER OR LOBBYING COALITION:

California Care Providers' Association

Nature and Interests of Filer

Check **one** box only:

- | | | | |
|---|--|---|---|
| <input type="checkbox"/> INDIVIDUAL (Complete only Parts A and E) | <input type="checkbox"/> BUSINESS ENTITY (Complete only Parts B and E) | <input checked="" type="checkbox"/> INDUSTRY, TRADE OR PROFESSIONAL ASSN. (Complete only Parts C and E) | <input type="checkbox"/> OTHER (e.g., lobbying coalition) (Complete only Parts D and E) |
|---|--|---|---|

E. Industry Group Classification

Check one box which most accurately describes the industry group which you represent. See instructions on reverse.

- | | | | |
|--|---|--|---|
| <input type="checkbox"/> AGRICULTURE | <input type="checkbox"/> LEGAL | <i>BUSINESS (Check one of the following sub-categories.)</i> | |
| <input type="checkbox"/> EDUCATION | <input type="checkbox"/> PUBLIC EMPLOYEES | <input type="checkbox"/> ENTERTAINMENT/RECREATION | <input type="checkbox"/> OIL AND GAS |
| <input type="checkbox"/> GOVERNMENT | <input type="checkbox"/> POLITICAL ORGANIZATIONS | <input type="checkbox"/> FINANCE/INSURANCE | <input type="checkbox"/> PROFESSIONAL/TRADE |
| <input checked="" type="checkbox"/> HEALTH | <input type="checkbox"/> UTILITIES | <input type="checkbox"/> LODGING/RESTAURANTS | <input type="checkbox"/> REAL ESTATE |
| <input type="checkbox"/> LABOR UNIONS | <input type="checkbox"/> OTHER: _____
(Describe) | <input type="checkbox"/> MANUFACTURING/INDUSTRIAL | <input type="checkbox"/> TRANSPORTATION |
| | | <input type="checkbox"/> MERCHANDISE/RETAIL | <input type="checkbox"/> OTHER: _____
(Describe) |

G. Form 605 – Amendment to Registration

Use Form 605 to report changes to a registration statement.

Deadlines for filing Form 605 are as follows:

- If a lobbying firm **adds** a new lobbyist employer/lobbying coalition, file the amendment prior to attempting to influence legislative or administration action on behalf of that lobbyist employer/lobbying coalition.
- If a lobbying firm **amends** the name of a lobbyist employer/coalition, file the amendment prior to attempting to influence legislative or administrative action on behalf of that employer/coalition.
- Within 20 days of any other change.

Amendment to Registration Statement
(Government Code Section 86107)

Legislative Session	CALIFORNIA FORM 605 FAIR POLITICAL PRACTICES COMM. For Official Use Only
20XX-20XX (Insert Years)	

Check the applicable box:

- LOBBYING FIRM REGISTRATION
- LOBBYIST EMPLOYER REGISTRATION
- LOBBYING COALITION REGISTRATION

Type or Print in Ink

NAME OF FILER:

Capitol Care, Inc.

ADDRESS (Number and Street)	(City)	(State)	(Zip)	TELEPHONE NUMBER:
1180 Hudson	Sacramento	CA	95822	(916) 555-4214

I Description of Changes (See instructions on cover sheet and examples on the back of this page.)

Check appropriate box(es)

Adding Lobbyist

_____/_____/_____
Name of Lobbyist Effective Date
Attach Form 604

Lobbying Firm Deleting Lobbyist Employer

Evercare, Inc. 10/1/XX
_____/_____/_____
Name of Employer Effective Date
No attachment required

Lobbying Firm Adding Lobbyist Employer
(Including Subcontract Clients)

_____/_____/_____
Name of Lobbyist Employer Effective Date
Complete Part II and Attach Form 602

Registered Lobbyist Employer Deleting Lobbying Firm

_____/_____/_____
Name of Firm Effective Date
No attachment required

Registered Lobbyist Employer Adding Lobbying Firm

_____/_____/_____
Name of Lobbying Firm Effective Date
No attachment required

Deleting Lobbyist

_____/_____/_____
Name of Lobbyist Effective Date

Other - Describe in detail and provide attachments as required.

_____/_____/_____
Effective Date

- Check one
- Form 606 is attached as the lobbyist is ceasing activities as a lobbyist.
 - Form 606 is NOT attached as the lobbyist is no longer employed by the filer but will lobby on behalf of others. (Gov. Code Section 86107 requires the lobbyist and the new employer to file the appropriate forms within 20 days.)

VERIFICATION

I have used all reasonable diligence in preparing this Amendment. I have reviewed this Amendment and to the best of my knowledge the information contained herein 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 10/18/XX By _____ [Signature Required]
DATE SIGNATURE OF RESPONSIBLE OFFICER

Name of Responsible Officer Sean Spencer Title Owner
TYPE OR PRINT

How to Complete Form 605

Adding a Lobbyist

File Form 605 and also file Form 604. Enclose a \$50/per year fee (\$100 if lobbying for the full two-year session) payable to the Secretary of State, and, if the lobbyist is newly qualified, a recent photograph (head and shoulders only). Do not submit a photograph if the lobbyist is already registered for the current legislative session.

Deleting a Lobbyist

File Form 605 and Form 606 if a lobbyist is ceasing all lobbying activities. If the lobbyist will no longer be employed by the firm or employer, but the lobbyist will continue lobbying on behalf of others, do not file a Form 606.

Lobbying Firm Adding Lobbyist Employer/Lobbying Coalition

File Form 602 and Form 605 (Parts I and II A).

Registered Lobbyist Employer Adding Lobbying Firm

File Form 605; no attachment is necessary. But the lobbying firm must also file a Form 605 and attach a Form 602 that the lobbyist employer's responsible officer signs.

Lobbying Firm Subcontracting a Lobbyist Employer/Lobbying Coalition

A lobbying firm that is adding a client through a subcontract must complete Form 605 (Parts I and II B) and include a Form 602 that the subcontracting firm signs. The applicable registration forms related to the subcontractor must be filed before lobbying may begin. The client does not file a Form 602.

Lobbying Firm Deleting a Lobbyist Employer/Lobbying Coalition

File Form 605. No attachment is necessary.

A Change in a Lobbying Firm's Designated Responsible Officer

File Form 605 and Part III of Form 601. A lobbyist employer/lobbying coalition does not need to file an amendment when it changes its designated responsible officer.

Ex 3.12 - Capital Watch, a lobbying firm, has a client, Silo Manufacturers of California (SMC). Capital Watch wishes to subcontract this client to Meyers & Nguyen, another lobbying firm. Before Meyers & Nguyen may begin lobbying on SMC's behalf, Capital Watch must provide a Form 602 to Meyers & Nguyen identifying SMC as the subcontracted client and authorizing Meyers & Nguyen to lobby on SMC's behalf. Meyers & Nguyen must file a Form 605 naming the new subcontracted client, along with the Form 602 from Capital Watch.

Lobbyist Employer Deleting a Lobbying Firm

When a registered lobbyist employer terminates a contract with a lobbying firm, both the registered lobbyist employer and the lobbying firm must file a Form 605. A lobbyist employer that is not registered (i.e., has no in-house lobbyists) is not required to file Form 605 when it terminates a contract with a lobbying firm, but the lobbying firm is required to.

H. Form 606 – Notice of Termination

If a lobbyist (including a placement agent), lobbying firm, or registered lobbyist employer/lobbying coalition ceases all lobbying activity **during** the legislative session, a Notice of Termination, Form 606, must be filed. The Form 606 is not filed if ceasing all lobbying activity at the **end** of the legislative session.

Exceptions:

- Lobbyist employers/lobbying coalitions that only contract for the services of a lobbying firm do not file Form 606. The lobbying firm must file an Amendment to Registration Statement, Form 605, to delete the lobbyist employer.
- A lobbyist who changes employment and continues to lobby does not file a Form 606. The lobbying firm or lobbyist employer/lobbying coalition that the lobbyist is leaving must file a Form 605 indicating the lobbyist's termination. The lobbyist's new lobbying firm or lobbyist employer/lobbying coalition must also file a Form 605 (or file a registration statement if it is not currently registered) adding the new lobbyist.

Notice of Termination

(Government Code Section 86107)

Type or Print in Ink

Effective Date of Termination 7/31/20XX
(Month/Day/Year)

Legislative Session 20XX-20XX (Insert Years)	CALIFORNIA 606 1997/98 FORM FAIR POLITICAL PRACTICES COMM. For Official Use Only
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NAME OF FILER:

Bob Jones

NAME OF LOBBYIST EMPLOYER OR FIRM: (If this Notice is being filed by a lobbyist)

Government Associates

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

852 State Street Sacramento, CA 95814

Lobbyists and Lobbying Firms Note:

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.

“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. (Government Code Section 86201.)

VERIFICATION

I certify that all activities which required registration under Government Code Section 86100, et seq. have ceased. If this notice is filed more than **20 days** after the effective date for which all activities were terminated, I understand that I must file quarterly reports covering the entire period until the filing of this notice.

I understand that a lobbyist or lobbying firm remains subject to the gift prohibition in Government Code Section 86203 for six months after filing this notice of termination.

I have used all reasonable diligence in preparing this Notice. I have reviewed the Notice and to the best of my knowledge the information contained herein 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 8/1/20XX
DATE

By _____ [Signature Required]
SIGNATURE OF LOBBYIST

Executed on _____
DATE

By _____
SIGNATURE OF RESPONSIBLE OFFICER

How to Complete Form 606

File Form 606 within 20 days of ceasing all lobbying activity. Additionally, file a quarterly report covering the final quarter of lobbying activity.

If a lobbyist employer terminates a contract with a lobbying firm and there remains a dispute over payment of fees, the lobbyist employer may file a Form 606, but must file a Form 635 at a later date if the lobbying firm receives additional payments as a result of the dispute.

A lobbyist must sign the verification that he/she is no longer lobbying.

Quick Tip

Lobbyists and lobbying firms remain subject to the \$10 gift prohibition for six months after ceasing lobbying activity.

Notice of Withdrawal

(Government Code Section 86100,
2 Cal. Code of Regs. Section 18601)

Type or Print in Ink

Effective Date of Withdrawal 2/1/20XX
(Month/Day/Year)

Legislative Session

20XX-20XX
(Insert Years)

CALIFORNIA
FORM 607
FAIR POLITICAL PRACTICES COMM.

For Official Use Only

NAME OF FILER:

Alice Smith

NAME OF EMPLOYER OR FIRM: (If this Notice is being filed by a lobbyist)

Coalition of Healthcare Providers

BUSINESS ADDRESS: (Number and Street) (City) (State) (Zip Code)
1234 State Street Sacramento CA 95814

FOR USE BY: Lobbyists and lobbying firms which are not and have not been, since filing a "Lobbyist Certification Statement" (Form 604) or "Lobbying Registration Statement" (Form 601), a "lobbyist" within the meaning of Government Code Section 82039, or a "lobbying firm" within the meaning of Government Code Section 82038.5.

I have not met the qualification requirements to register as a:

Check applicable box(es)

Lobbyist within the meaning of Government Code Section 82039 and Regulation 18239.

Lobbying Firm within the meaning of Government Code Section 82038.5 and Regulation 18238.5.

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 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 2/1/20XX
DATE

By [Signature Required]
SIGNATURE OF LOBBYIST OR LOBBYING FIRM RESPONSIBLE OFFICER

Name of Lobbyist or Lobbying Firm Responsible Officer Alice Smith Title Lobbyist
TYPE OR PRINT

FOR INFORMATION REQUIRED TO BE PROVIDED TO YOU PURSUANT TO THE INFORMATION PRACTICES ACT OF 1977, SEE [INFORMATION MANUAL ON LOBBYING DISCLOSURE PROVISIONS OF THE POLITICAL REFORM ACT](#).

FPPC Form 607 (10/15)
FPPC Advice Email: advice@fppc.ca.gov
FPPC Toll-Free Helpline: 866/275-3772 www.fppc.ca.gov

I. Form 607 – Notice of Withdrawal

Individuals and entities that file registration reports but never meet the definition of lobbyist or lobbying firm may file a Notice of Withdrawal, Form 607, to terminate reporting obligations. Once the form is on file with the Secretary of State, the \$10 gift prohibition does not apply. Do not use this form to terminate filing obligations for any person or entity who has qualified.

J. Common Situations Resulting in Registration or Amendment Statements

The following chart summarizes several common situations that result in filing registration and/or amendment statements.

Situation	Registration Requirement	Deadline
Entity qualifies as lobbyist employer by retaining an existing lobbying firm.	Firm files 605, attaches 602 signed by lobbyist employer.	Before the firm engages in direct communication.
Entity qualifies as lobbyist employer by employing an in-house lobbyist.	Lobbyist employer files 603, attaches 604 signed by lobbyist.	Within 10 days of qualifying as a lobbyist employer.
Entity qualifies as a lobbying firm by contracting with a lobbyist employer.	Firm files 601, attaches 602 signed by lobbyist employer.	Within 10 days of qualifying as a lobbying firm.
Lobbying Firm A subcontracts a client to Lobbying Firm B.	Firm B files 605 and attaches a 602 signed by Firm A. No registration requirement for the client.	Before Firm B lobbies for the client.
Lobbyist changes employment. Leaves lobbyist employer to work for existing lobbying firm.	Employer files 605 – no attachment. Firm files 605, attaches 604 signed by lobbyist (fee required).	Within 20 days of the effective date.
Lobbying firm stops lobbying for a client. Client does not employ a lobbyist.	Firm files 605. No form required of client.	Within 20 days of the effective date.
Lobbying firm stops lobbying for a client. Client then employs an in-house lobbyist.	Firm files 605. Lobbyist employer files 603, attaches 604 signed by lobbyist (picture & fee required).	Within 20 days of the effective date.
Lobbyist employer with an in-house lobbyist renews registration.	Employer files 603, attaches 604 signed by lobbyist (picture & fee required).	Between November 1 and December 31 of each even-numbered year.
Lobbying firm renews registration.	Firm files 601, attaches 602 signed by each client and 604 signed by each lobbyist (picture & fee required).	Between November 1 and December 31 of each even-numbered year.

Answering Your Questions

A. May an entity or individual register as a lobbying firm if it intends to lobby but does not have a client at the time of registration?

Yes. If the firm subsequently never engages in lobbying activity, it should file a Notice of Withdrawal, Form 607.

B. If the lobbying firm's responsible officer changes, must the lobbying firm amend its registration?

Yes. The lobbying firm must amend its registration within 20 days of the change.

C. Is a lobbying firm or lobbyist employer/lobbying coalition required to pay the \$50/per year registration fee when it hires a lobbyist who is already registered?

Yes, however, a new picture of the lobbyist is not required.

D. When is a registered lobbyist employer required to amend its registration to add a state agency it will lobby?

Within 20 days of engaging in direct communication with the agency's officials to influence administrative action.

E. Must a lobbyist employer list on its registration statements all departments it lobbies under a state agency’s umbrella, or is it sufficient to list only the state agency?

The lobbyist employer must list all departments and agencies it lobbies. For example, Department of Technology is under the Government Operations Agency’s umbrella. If the employer lobbies both the Department of Technology and the Government Operations Agency, then it must list both. Similarly, both the Board of Nursing and the Board of Pharmacy are under the umbrella of the Department of Consumer Affairs. If the employer lobbies both boards, then it must list the Board of Nursing and the Board of Pharmacy. It is not sufficient to list only the Department of Consumer Affairs.

F. If the lobbyist employer or lobbying firm intends to lobby all state agencies, may it declare “All State Agencies” under “Agencies to be Lobbied,” or must it itemize each agency?

In lieu of listing every state agency, the lobbyist employer or lobbying firm may declare that it will lobby all state agencies. Remember, this means that the gift limits and contribution prohibitions will apply to all state agency officials and all state candidates and officeholders.

Authority

The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

Government Code Sections

- 8956 Ethics Training Courses.
- 86100 Registration.
- 86101 Registration; Time.
- 86102 Registration Fees.
- 86103 Lobbyist Certification; Requirements.
- 86104 Lobbying Firm; Registration Requirements.
- 86105 Lobbyist Employer; Registration Requirements.
- 86106 Renewal of Registration.
- 86107 Registration Statement; Amendment; Termination.
- 86118 Periodic Reports; Where to File.

Title 2 Regulation

- 18601 Withdrawal of Lobbyist Certification or Lobbying Firm Registration.