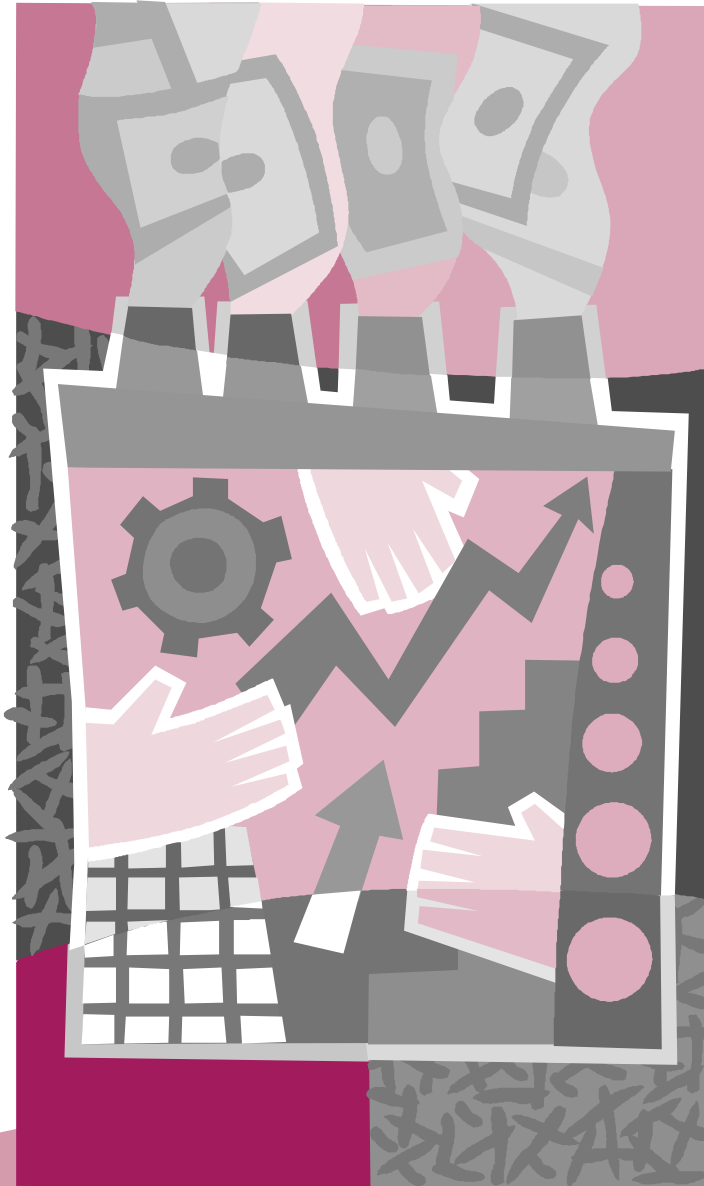


LOBBYIST

H A N D B O O K



City of Phoenix

**Prepared as a Public Service by
The City of Phoenix
City Clerk Department
March 2001**



City of Phoenix

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Sue I. Holden, *Chief Deputy City Clerk*
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Vice Mayor Greg Stanton, District 6

Dave Siebert, District 1
Peggy Neely, District 2
Peggy A. Bilsten, District 3
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EXECUTIVE ASSISTANT TO THE CITY MANAGER

Rick Naimark

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FOREWORD

The purpose of this handbook is to provide lobbyists with information to aid in meeting registration and reporting requirements of the City's Lobbyist Ordinance (*Chapter 2, Article XXX of the Code of the City of Phoenix*). The Lobbyist Ordinance was adopted by the Phoenix City Council on July 7, 1993 and became effective January 1, 1994. Amendments were adopted October 12, 1994 with an effective date of January 1, 1995.

The Lobbyist Ordinance was adopted to provide the public with information about the identity of paid lobbyists, individuals and organizations whose interests are being served by paid lobbyists, what funds are being expended, and who is benefiting from these expenditures and campaign contributions.

It is the goal of City Clerk staff to facilitate compliance with lobbyist registration requirements by providing comprehensive guidelines outlining the procedures to be followed. All persons compensated to lobby on behalf of persons or organizations other than themselves must register prior to lobbying or within five business days thereafter and must re-register annually. Lobbyists shall file expenditure reports and report any campaign contributions quarterly. All statements and reports shall be under oath as prescribed by the City Clerk and filed in the office of the City Clerk.

Lobbyists are reminded that it is their responsibility to comply with this Ordinance. City Clerk staff will answer questions to assist in the completion of the registration form and the quarterly expenditure and campaign contribution reports, but this department does not have the resources or legal mandate to review, monitor, verify, or track the completeness or accuracy of such reports.

The forms for documents which must be filed with the City Clerk's Office are included in this handbook and may be reproduced. Forms are also available on the City of Phoenix web site at www.phoenix.gov/ELECTION/lobbyist.html. Please feel free to contact the City Clerk Department at 602-262-6811 if you have any questions.

Vicky Miel
City Clerk

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SECTION ONE

CALENDAR FOR LOBBYIST FILINGS

| | |
|----------------------------|---|
| <i>January 1</i> | <i>Lobbyist annual re-registration begins</i> |
| <i>January 31</i> | <i>Lobbyist annual re-registration deadline</i> |
| <i>March 31</i> | <i>End of first quarter</i> |
| <i>April 30</i> | <i>Lobbyist first quarterly report due</i> |
| <i>June 30</i> | <i>End of second quarter</i> |
| <i>July 31</i> | <i>Lobbyist second quarterly report due</i> |
| <i>September 30</i> | <i>End of third quarter</i> |
| <i>October 31</i> | <i>Lobbyist third quarterly report due</i> |
| <i>December 31</i> | <i>End of fourth quarter</i> |
| <i>January 31</i> | <i>Lobbyist fourth quarterly report due</i> |

SECTION TWO

REQUIREMENTS FOR LOBBYISTS

The following explanation of the Lobbyist Ordinance is based on Article XXX entitled “Lobbyists” of Chapter 2 of the Code of the City of Phoenix. The full text of the ordinance is set forth in Section Six of this handbook.

DEFINITION OF LOBBYING

Lobbying means communication with any elected City of Phoenix official for the purpose of influencing official action. The communication may take place at a Council or Council Subcommittee meeting, on a visit to a Council person’s office, through a phone call or letter, at a social function or over lunch. Whenever an individual or organization tries to influence or persuade an elected City official to take action, it is considered lobbying. (Further definitions are given in *City Code Section 2-1000*.)

WHO SHOULD REGISTER AS A LOBBYIST

Any individual or organization who is compensated to lobby must register, unless exempt. If any part of a person’s job includes communication with elected City of Phoenix officials about a pending City issue, that person should consider whether or not registration as a lobbyist is required. Even if trying to influence or persuade the Council or a Council member is only a small part of a person’s job, registering as a lobbyist will be required if the person is paid and is not exempt from registration.

Registration is not required for individuals acting on their own behalf, for persons providing technical information or contacting a Council person solely to acquire information. (Other exceptions are given in *City Code Section 2-1002*.)

LOBBYIST REGISTRATION

Lobbyists shall register prior to lobbying or within five business days thereafter and re-register annually in January. Lobbyists are required to list the name and business address of all persons that pay them to lobby and on whose behalf lobbying is performed.

Individual Registration

If lobbyists register as individuals, they must list their employees who lobby and these employees must also register separately.

Organization Registration

An organization has the option of registering all its officers and employees that lobby as a group; or not registering as an entity, if all its officers and employees that lobby are registered individually. If the organization registers as an entity, the Chief Executive Officer and each officer and employee who acts as a lobbyist, must be listed on the registration form. For each person listed, the name and business address of all persons by whom each lobbyist is compensated to lobby and on whose behalf lobbying is performed shall be indicated.

Organizations registering multiple lobbyists may attach an addendum to the registration form. All addendums must include the name of the organization at the top of each page, appropriate headings from the registration form and all the information required under each heading. Lobbyists must be notified by the organization in writing that they have been registered as lobbyists.

CHANGES IN REGISTRATION INFORMATION

Any changes in registration information required by Section 2-1001.1(c) shall be reported to the City Clerk within 30 days. An amended registration form may be filed or an addendum may be added to the original registration. If an addendum is used, the name of the organization and/or lobbyist(s) affected, and the reason for the addendum must be clearly stated in the cover letter. The addendum must include the heading(s) from the registration form and all information required under each heading.

LOBBYIST INTENDING TO MAKE NO EXPENDITURES

At the time of registration or anytime thereafter, a lobbyist may file a statement certifying that the lobbyist intends to make no expenditures. Upon filing this statement, the lobbyist shall be exempt from filing quarterly expenditure reports so long as no expenditures are made; however, if a lobbyist makes any campaign contributions, a quarterly report for these contribution(s) is still required for the quarter during which any contributions were made.

An individual who does not intend to make expenditures, may sign the exemption box on the front of the registration form. An organization may sign the exemption box on the back of the registration form and list the names of each officer and employee to which the exemption applies.

If a lobbyist or organization who has signed an exemption statement subsequently makes reportable expenditures, the lobbyist or organization shall notify the City Clerk in writing within 10 days of making the expenditures. Then the lobbyist shall again be subject to all expenditure reporting requirements.

LOBBYIST EXPENDITURE REPORTS

All expenditures, whether or not made in the course of lobbying, which benefit an elected City official such as meals, etc. must be reported unless specifically exempted under *City Code Section 2-1001.3*. Lobbyists who are subject to the expenditure reporting requirements shall file an expenditure report on a quarterly basis whether or not any expenditures were made during that quarter. Individuals listed as lobbyists on the registration of an organization may comply with this requirement through reports filed by the registered organization. Quarterly reports shall be filed by the last day of the month following the end of the quarter. If the last day of the month falls on a weekend or holiday, the quarterly reports shall be due the next business day.

“Expenditure” means a payment, distribution, loan, advance, deposit or gift, and includes a promise or agreement, whether or not legally enforceable, to make an expenditure that provides a benefit to an elected City official that is incurred by or on behalf of a lobbyist.

All single expenditures over twenty-five dollars must be itemized separately by individual lobbyist, even if reporting on an organization report, listing the date, amount and nature of the expenditure, the name of that person or organization on whose behalf the expenditure was made and the name of the elected City official receiving or benefiting from the expenditure.

Each individual lobbyist, even if reporting on an organization report, may list expenditures of twenty-five dollars or less as a total for each elected City official receiving or benefiting from the expenditure.

Expenditures for events to which all members of the Council or any committee or subcommittee of the Council are invited need not be allocated to individual Council members. Each lobbyist shall list a description of the event, the date it took place, its location, and the total expenditures incurred which benefited Council members. However, the lobbyist has the option of reporting such an expenditure as an expenditure for each individual council member.

LOBBYIST EXPENDITURE REPORTING EXEMPTIONS [Section 2-1001.3]

Lobbyists are not required to report expenditures such as expenditures for the lobbyist's personal sustenance, family gifts, personal hospitality, office expenses, filing fees, legal fees, employees, compensation, lodging and travel. Preparation or distribution of informational materials, campaign contributions, professional or consulting services not made on behalf of another person for compensation, and not rendered primarily for the benefit of an elected City official also are not required to be reported.

LOBBYIST CAMPAIGN CONTRIBUTION REPORTS

If a lobbyist makes a campaign contribution or solicits a campaign contribution on behalf of an elected City official and knows the solicitation has resulted in a contribution, the lobbyist must file a campaign contribution report for the quarter during which the contribution was made. A campaign contribution report does not need to be filed for quarters during which no contributions were made. Individuals listed as lobbyists on the registration of an organization may comply with this requirement through reports filed by the registered organization. Quarterly campaign contribution reports shall be filed by the last day of the month following the end of the quarter. If the last day of the month falls on a weekend or holiday, the quarterly reports shall be due the next business day.

If a lobbyist makes a contribution to a political campaign, the lobbyist must list the amount of the contribution, the date it was made and the elected City official who received the contribution.

If a lobbyist solicits contributions on behalf of a political campaign and knows the solicitations resulted in contributions, the lobbyist must list each contribution by amount, the date it was made, the elected City official who received or benefited from the contribution and the name, address, occupation and employer of the contributor.

LOBBYIST RESPONSIBILITY TO COMPLY

It is the lobbyist's responsibility to comply with this Code provision. Each individual listed as a lobbyist on any lobbyist registration shall be responsible for providing the information and filing the reports required. Individuals listed as lobbyists on the registration of an organization may comply with this requirement through reports filed by the organization.

City Clerk staff will answer whatever questions they can to help complete the registration form and quarterly expenditure and campaign contribution reports, but this department does not have the resources or legal mandate to review, monitor or track the completeness or accuracy of such reports, nor the resources to research or compile statistical information regarding lobbyists filings.

PROHIBITIONS [Sections 2-1001.6 & .7]

No person shall make a gift to, or expenditure on behalf of an elected City official through another person or organization to conceal the identity of the person making the gift or expenditure.

No person shall give a gift to an elected City official for the performance of official duties or if it may reasonably be interpreted to be offered in order to influence any action or decision of an elected City official.

“Gift” means money, real property or tangible personal property. (For further explanation of gift, *see City Code Section 2-1000.4.*)

ARIZONA STATUTE – ENTERTAINMENT BAN

The Mayor and members of the City Council are prohibited by State Law from accepting any entertainment paid for by anyone who is compensated to attempt to influence the passage or defeat of any matter coming before the Council.

In the context of this prohibition, entertainment is defined by A.R.S. § 41-1231(5) as follows:

“Entertainment” means the amount of any expenditure paid or incurred for admission to any sporting or cultural event or for participation in any sporting or cultural activity.

SECTION THREE

COMMON QUESTIONS

DO SPOKESPERSONS FOR CITIZEN GROUPS NEED TO REGISTER?

If you are an unpaid spokesperson for a citizens' group, you do not need to register as a lobbyist even if you are reimbursed for expenses, such as parking fees, incurred while lobbying. If you are a paid representative and you communicate with elected City officials to influence action to benefit your citizens' group, you would need to register.

DO EXECUTIVE DIRECTORS OF NON-PROFIT AGENCIES NEED TO REGISTER AS LOBBYISTS?

If, as a paid executive, you communicate with elected City officials to influence action to benefit your agency, you would need to register. If you serve without compensation, you do not have to register as a lobbyist even if you are reimbursed for expenses, such as parking fees, incurred while lobbying.

DO LOBBYISTS THAT ARE NOT COMPENSATED TO LOBBY NEED TO REGISTER?

If you communicate with elected City officials to influence action to benefit your organization, but receive absolutely no compensation other than expenses, you do not need to register. However, if you receive a salary, although not specifically to lobby, and may communicate with elected City officials to influence action to benefit your organization, you would be considered compensated under the City's definition and would need to register.

IF I LOBBY FOR MORE THAN ONE PERSON OR ORGANIZATION, ON WHOSE BEHALF DO I REGISTER?

List on the registration form all persons or organizations (including their addresses) that compensate you to lobby and on whose behalf you lobby regardless of who compensates you. For example, a lobbyist may be paid by the firm to lobby on behalf of the firm's clients, who in turn may pay the firm for the lobbying. Under these circumstances, the lobbyist would list the entities who pay the firm for lobbying.

WHO NEEDS TO REGISTER - THE ORGANIZATION OR THE INDIVIDUAL DOING THE LOBBYING?

Organizations have the option of registering all their officers and employees that lobby as a group or not registering them if all officers and employees that lobby register individually.

HOW WILL OFFICERS AND EMPLOYEES KNOW IF THE ORGANIZATION REGISTERS FOR THEM?

The organization must notify, in writing, all registered officers and employees that they have been registered as lobbyists.

IF AN ORGANIZATION REGISTERS ITS LOBBYISTS, WHO IS RESPONSIBLE FOR FILING QUARTERLY REPORTS?

Each individual lobbyist shall be responsible for providing the information and filing the reports; however, the organization may file the reports on behalf of their lobbyists. If the organization files a report on behalf of its employees who lobby, a report must still be filed in the name of each registered lobbyist.

WHAT IF THERE ARE CHANGES IN INFORMATION ON THE REGISTRATION FORM WHICH WAS FILED?

Information changes must be reported to the City Clerk within 30 days. An amended registration form may be filed or an addendum may be added to the original registration. If an addendum is used, the name of the organization and/or lobbyist(s) affected, and the reason for the addendum must be clearly stated in the cover letter. The addendum must include the heading(s) from the registration form and all information required under each heading. Adding a new lobbyist requires an amended registration form with notarized signature.

WHAT IF I HAVE EMPLOYEES WHO MAY CONTACT ELECTED CITY OFFICIALS OCCASIONALLY?

If your employees lobby elected City officials even occasionally, they must be registered and follow all the requirements as set forth in this manual.

WHAT IF MORE SPACE IS NEEDED TO ENTER INFORMATION ON THE FORM?

If more space is needed, information may be listed on a separate sheet of paper noting the appropriate heading(s) using the same format as prescribed on the form with all appropriate information under each heading or additional copies of the forms may be photocopied and attached to the original registration or report. Additional pages must contain the lobbyist's name and/or organization name, phone number, be numbered and must be attached to the appropriate forms.

WHAT REPORTS NEED TO BE FILED?

All expenditures and campaign contributions must be reported quarterly. An organization registered as an entity must submit expenditures and contributions by individual lobbyists or each lobbyist may file his/her own report. Expenditure reports must be filed on a quarterly basis even though no expenditures were made for that quarter. If no expenditures were made during a quarter, a statement indicating "no expenditures" may be checked on the quarterly report. If an organization has registered as an entity and has some lobbyists that did not make expenditures or has lobbyists that filed separately, the organization must complete Schedule B on the back of the form. Campaign contributions only need to be reported if made.

IF AN EVENT IS HELD TO WHICH THE ENTIRE COUNCIL OR A COUNCIL SUBCOMMITTEE IS INVITED, WHAT EXPENSES NEED TO BE REPORTED?

Only the expenditures that benefited the Council or Council subcommittee would need to be reported. This amount is then reported under Expenditures for Events.

WHAT IF I DO NOT INTEND TO MAKE ANY EXPENDITURES?

If no expenditures will be made, an exemption statement may be filed. This statement may be signed in the box on the registration form at the time of registration, or a separate form, *LOBBYIST EXEMPTION STATEMENT*, may be signed and notarized at any time after registration. This statement exempts you from filing quarterly expenditure reports; but if campaign contributions are made, a campaign contribution report would need to be filed for the quarter during which contributions were made.

WHAT IF, AFTER FILING THE EXEMPTION STATEMENT, I DO MAKE EXPENDITURES?

If, after filing an exemption statement, reportable expenditures are made, notify the City Clerk in writing within 10 days of these expenditures. (There is no special form for this notification.) Quarterly expenditure reports must then be filed at the end of each quarter whether or not you have additional expenditures.

WHAT IF I HAVE BEEN FILING QUARTERLY EXPENDITURE REPORTS, BUT DO NOT INTEND TO MAKE ANY MORE EXPENDITURES?

If you are not making any reportable expenditures, you may, at any time, file a *LOBBYIST EXEMPTION STATEMENT* and be exempt from filing quarterly expenditure reports for as long as no reportable expenditures are made.

WHAT IF I HAVE FILED AN EXEMPTION STATEMENT, BUT HAVE CAMPAIGN CONTRIBUTIONS?

A quarterly report must be filed for the campaign contributions during the quarter the contributions were made. As long as no expenditures are made, you are exempt from filing an expenditure report.

WHAT IF I SOLICITED CAMPAIGN CONTRIBUTIONS, BUT DO NOT KNOW WHETHER CONTRIBUTIONS WERE ACTUALLY MADE?

Only campaign contributions made by you or solicitations which you know resulted in contributions need to be reported.

WILL I BE NOTIFIED WHEN IT IS TIME TO FILE?

There will be no notification. It is the responsibility of the lobbyist to comply with this ordinance, to file all statements and reports as necessary, and to ensure the completeness and accuracy of all reports that are filed.

HOW DO I OBTAIN THE PROPER FORMS?

You may obtain forms from the City Clerk's office, you may photocopy the forms in this handbook, or you may download the forms from the Internet. The Internet address is: www.phoenix.gov/ELECTION/lobbyist.html.

WILL ALL STATEMENTS AND REPORTS BE REVIEWED FOR ACCURACY?

The lobbyist certifying the statement and/or report is responsible for ensuring its accuracy, completeness and timeliness. City Clerk staff will answer questions to assist with completion of the various forms.

IS THERE A PENALTY FOR FAILURE TO REGISTER OR FILE QUARTERLY REPORTS?

Although the Ordinance does not specify any penalties, there is a general penalty of a Class One Misdemeanor for not complying with the City Code.

HOW CAN I FIND OUT WHO HAS REGISTERED AND/OR FILED QUARTERLY REPORTS?

All documents filed with the City Clerk Department are public records. Anyone can come to this office and review the registration forms and quarterly reports.

HOW DOES THE ARIZONA STATE STATUTE PERTAINING TO ENTERTAINMENT AFFECT THE CITY OF PHOENIX?

The Mayor and members of the City Council cannot accept a gift of attendance or participation in any sporting or cultural event or activity, that is paid for by anyone who is compensated to attempt to influence the passage or defeat of any matter coming before the Council. This is a total prohibition regardless of the amount of the expenditure and regardless of whether or not there is any intent or the appearance of any intent to influence a municipal decision. The exception to this prohibition in A.R.S. § 41-1232.08(C) would have limited application to the Mayor and members of the City Council, since this subsection is directed to State officers and employees.

SECTION FOUR

LOBBYIST COMPLETED SAMPLE FORMS

FILE WITH:

City Clerk Department
Official Records Section
Phoenix City Hall, 15th Floor
200 West Washington Street
Phoenix, Arizona 85003-1611
(602) 262-6811



City of Phoenix

CITY CLERK DEPARTMENT
RECORDS MANAGEMENT DIVISION

Date: 1/4/01

- Initial Registration
- Renewal Registration
- Amended Statement

ANNUAL LOBBYIST REGISTRATION FOR INDIVIDUALS

| | | | |
|--|--|------------------------------------|-------------|
| NAME OF LOBBYIST Dale Jones | | | |
| BUSINESS NAME Jones Company | | BUSINESS TELEPHONE 602-256-4444 | |
| BUSINESS ADDRESS 10 North Main Street | | CITY Phoenix, | STATE AZ |
| | | ZIP 85003 | |

List all persons **BY WHOM THE LOBBYIST IS COMPENSATED TO LOBBY AND ON WHOSE BEHALF LOBBYING IS PERFORMED.** Attach separate page or photocopy form for additional listings.

| | | | |
|--|--------------------------------|-------|------------------------------------|
| NAME | BUSINESS NAME Jones Company | | |
| BUSINESS ADDRESS 10 North Main Street | Phoenix, AZ | 85003 | BUSINESS TELEPHONE 602-256-4444 |
| NAME | BUSINESS NAME | | |
| BUSINESS ADDRESS | BUSINESS TELEPHONE | | |

List any **employees who lobby.** Attach separate page or photocopy form for additional listings. **EMPLOYEES WHO LOBBY MUST ALSO REGISTER SEPARATELY.**

| | | | |
|-----------------------------------|--------------------------------|--|------------------------------------|
| NAME OF EMPLOYEE Brian Smith | BUSINESS NAME Jones Company | | |
| BUSINESS ADDRESS Same as above | | | BUSINESS TELEPHONE 602-256-4444 |
| NAME OF EMPLOYEE | BUSINESS NAME | | |
| BUSINESS ADDRESS | BUSINESS TELEPHONE | | |

EXEMPTION STATEMENT

This is to certify I will make no expenditures reportable under Chapter 2, Article XXX of the Code of the City of Phoenix; therefore, I shall be exempt from filing a quarterly expenditure report. If subsequently I do make a reportable expenditure, within 10 days I shall notify the City Clerk in writing of such expenditure and thereafter conform to the reporting requirements.

SIGN ONLY IF NO EXPENDITURES WILL BE MADE.

Dale Jones

SIGNATURE OF LOBBYIST

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
COUNTY OF MARICOPA)

I do solemnly swear that the foregoing ANNUAL LOBBYIST REGISTRATION FOR INDIVIDUALS filed herewith is in all things true and correct, and fully shows all information required to be reported by me pursuant to the Code of the City of Phoenix, 1969, Section 2-1001.

Dale Jones

SIGNATURE OF LOBBYIST

SUBSCRIBED and sworn to (affirmed) before me this 4th day of January, 20 01

(SEAL)
My Commission Expires _____ (date)

(signature)
Notary Public

FILE WITH:

City Clerk Department
 Official Records Section
 Phoenix City Hall, 15th Floor
 200 West Washington Street
 Phoenix, Arizona 85003-1611
 (602) 262-6811



City of Phoenix
 CITY CLERK DEPARTMENT
 RECORDS MANAGEMENT DIVISION

Date: 1/10/01

- Initial Registration
- Renewal Registration
- Amended Statement

ANNUAL LOBBYIST REGISTRATION FOR ORGANIZATIONS

| | | | | | |
|---|--|-------------------------|---|---------------------|--|
| NAME OF ORGANIZATION A and D Law Firm | | | BUSINESS TELEPHONE 602-234-5678 | | |
| BUSINESS ADDRESS 15 North Main Street | | CITY Phoenix, | STATE AZ | ZIP 85003 | |

List **CEO, ALL OFFICERS AND EMPLOYEES WHO LOBBY** and their positions with organization. Organization **MUST NOTIFY IN WRITING** all lobbyists it registers. Officers and employees do not need to register separately.

| | | | | | |
|---|--|----------------------------|---|---------------------|--|
| NAME OF LOBBYIST John Doe | | POSITION Partner | BUSINESS TELEPHONE 602-234-5678 | | |
| BUSINESS ADDRESS 15 North Main Street | | CITY Phoenix, | STATE AZ | ZIP 85003 | |

List all persons **BY WHOM THIS LOBBYIST IS COMPENSATED TO LOBBY AND ON WHOSE BEHALF LOBBYING IS PERFORMED.**

| | | | | | |
|--|--|--|--------------|---|--|
| NAME | | BUSINESS NAME ABC Incorporated | | | |
| BUSINESS ADDRESS 246 North Main Street | | Phoenix, AZ | 85003 | BUSINESS TELEPHONE 602-432-5867 | |
| NAME David Franke | | BUSINESS NAME D and F Company | | | |
| BUSINESS ADDRESS 1016 East 5th Street | | Phoenix, AZ | 85004 | BUSINESS TELEPHONE 602-534-1642 | |

ATTACH SEPARATE PAGE WITH APPROPRIATE HEADINGS FOR ADDITIONAL LISTINGS.

EXEMPTION STATEMENT

If any officer or employee will not make expenditures, COMPLETE EXEMPTION STATEMENT ON BACK OF REGISTRATION FORM. Each lobbyist not filing an exemption statement must file a quarterly expenditure report whether or not expenditures were made.

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
 COUNTY OF MARICOPA)

I do solemnly swear that the foregoing ANNUAL LOBBYIST REGISTRATION FOR ORGANIZATIONS filed herewith is in all things true and correct, and fully shows all information required pursuant to the Code of the City of Phoenix, 1969, Section 2-1001.

John Doe

 SIGNATURE

SUBSCRIBED and sworn to (affirmed) before me this 10th day of January, 20 01

(SEAL)
 My Commission Expires _____ (date)

 (signature)
 Notary Public

ANNUAL LOBBYIST REGISTRATION FOR ORGANIZATIONS

| | |
|----------------------|--------------------|
| NAME OF ORGANIZATION | BUSINESS TELEPHONE |
|----------------------|--------------------|

IF ANY OFFICER OR EMPLOYEE WILL NOT MAKE EXPENDITURES, COMPLETE EXEMPTION STATEMENT BELOW. EACH LOBBYIST NOT FILING AN EXEMPTION STATEMENT MUST FILE A QUARTERLY EXPENDITURE REPORT WHETHER OR NOT EXPENDITURES WERE MADE.

| | |
|---|------------------|
| EXEMPTION STATEMENT | |
| <p>This is to certify that the following officers and employees will make no expenditures reportable under Chapter 2, Article XXX of the Code of the City of Phoenix; therefore, shall be exempt from filing quarterly expenditure reports. If subsequently anyone does make a reportable expenditure, within 10 days that officer or employee shall notify the City Clerk in writing of such expenditure and thereafter conform to the reporting requirements.</p> | |
| SIGN ONLY IF NO EXPENDITURES WILL BE MADE. | _____ |
| | SIGNATURE |

LIST ALL LOBBYISTS IN ORGANIZATION TO WHOM THE ABOVE EXEMPTION STATEMENT APPLIES.

| | |
|-------|-------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

FILE WITH:

City Clerk Department
Official Records Section
Phoenix City Hall, 15th Floor
200 West Washington Street
Phoenix, Arizona 85003-1611
(602) 262-6811



Date: 4/20/01

City of Phoenix

CITY CLERK DEPARTMENT
RECORDS MANAGEMENT DIVISION

LOBBYIST EXEMPTION STATEMENT

| | | | |
|---|--|---|--------------------|
| NAME OF LOBBYIST Joe Cutter | | | |
| BUSINESS NAME A and D Law Firm | | BUSINESS TELEPHONE 602-234-5679 | |
| BUSINESS ADDRESS 15 North Main Street | | CITY Phoenix, | STATE AZ |
| | | ZIP 85003 | |

Complete form only if no reportable expenditures will be made and Exemption Statement was not signed on Annual Registration Form.

This is to certify I will make no expenditures reportable under Chapter 2, Article XXX of the Code of the City of Phoenix; therefore, I shall be exempt from filing a quarterly expenditure report. If subsequently I do make a reportable expenditure, within 10 days I shall notify the City Clerk in writing of such expenditure and thereafter conform to the reporting requirements.

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
COUNTY OF MARICOPA)

I do solemnly swear that the foregoing LOBBYIST EXEMPTION STATEMENT filed herewith is in all things true and correct pursuant to the Code of the City of Phoenix, 1969, Section 2-1001.

Joe Cutter

SIGNATURE OF LOBBYIST

SUBSCRIBED and sworn to (affirmed) before me this 20th day of April, 20 01

(SEAL)
My Commission Expires _____ (date)

(signature)
Notary Public

FILE WITH:

City Clerk Department
Official Records Section
Phoenix City Hall, 15th Floor
200 West Washington Street
Phoenix, Arizona 85003-1611
(602) 262-6811



City of Phoenix

CITY CLERK DEPARTMENT
RECORDS MANAGEMENT DIVISION

Date: 4/10/01

Circle
Quarter 1 2 3 4

**QUARTERLY LOBBYIST EXPENDITURE REPORT FOR
INDIVIDUALS**

| | | | |
|---|--|---|--------------------|
| NAME OF LOBBYIST Paul Sims | | | |
| BUSINESS NAME D and B Enterprise | | BUSINESS TELEPHONE 602-256-8000 | |
| BUSINESS ADDRESS 12 North Main Street | | CITY Phoenix, | STATE AZ |
| | | ZIP 85003 | |

COMPLETE SCHEDULE A ON THE BACK OF THIS FORM IF LOBBYIST HAS EXPENDITURES.

| |
|--|
| <input checked="" type="checkbox"/> If lobbyist has NO EXPENDITURES, CHECK BOX, and sign verification. |
|--|

| SUMMARY | THIS QUARTER |
|---|--------------|
| TOTAL OF SINGLE EXPENDITURES MORE THAN \$25 (enter 0 if none, or Total from Schedule A on back of form) | _____ |
| TOTAL OF SINGLE EXPENDITURES \$25 OR LESS (enter 0 if none, or Total from Schedule A on back of form) | _____ |
| TOTAL OF EVENTS EXPENDITURES (enter 0 if none, or Total from Schedule A on back of form) | _____ |
| TOTAL EXPENDITURES | _____ |

If expenditure made, **MUST** be detailed on back of form.

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
COUNTY OF MARICOPA)

I do solemnly swear that the foregoing QUARTERLY EXPENDITURE REPORT FOR INDIVIDUALS filed herewith is in all things true and correct, and fully shows all information required to be reported by me pursuant to the Code of the City of Phoenix, 1969, Section 2-1001 and 2-1003.

Paul Sims

SIGNATURE OF LOBBYIST

SUBSCRIBED and sworn to (affirmed) before me this 10th day of April, 20 01

(SEAL)
(date) _____
My Commission Expires _____

(signature) _____
Notary Public

QUARTERLY LOBBYIST EXPENDITURE REPORT FOR INDIVIDUALS

(City Code Section 2-1001)

Date: _____

Circle
Quarter **1** 2 3 4

SCHEDULE A

| | |
|-------------------------|--------------------|
| NAME OF LOBBYIST | BUSINESS TELEPHONE |
|-------------------------|--------------------|

LIST **SINGLE EXPENDITURES MORE THAN \$25**. Attach separate page or photocopy form for additional listings.

| Date | Name and Address on Whose Behalf Expenditure Made | Nature of Expenditure | Elected Official Receiving/ Benefiting from Expenditure | Amount of Expenditure |
|--|---|-----------------------|--|-----------------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| Enter TOTAL OF SINGLE EXPENDITURES MORE THAN \$25 here and on Summary on Front of Form. | | | | |

LIST **TOTAL OF EXPENDITURES \$25 OR LESS** and NAME OF ELECTED CITY OFFICIAL receiving or benefiting from expenditures. Attach separate page or photocopy form for additional listings.

| Name of Elected City Official | Amount of Expenditure |
|---|-----------------------|
| | |
| | |
| | |
| | |
| Enter TOTAL OF EXPENDITURES \$25 OR LESS here and on Summary on Front of Form. | |

LIST **ALL EXPENDITURES FOR EVENTS**. (City Code Section 2-1001.4) Attach separate page or photocopy form for additional listings.

| Date | Description of Event | Location | Total Expenditures |
|---|----------------------|----------|--------------------|
| | | | |
| | | | |
| | | | |
| | | | |
| Enter TOTAL OF EVENTS EXPENDITURES here and on Summary on Front of Form. | | | |

FILE WITH:

City Clerk Department
Official Records Section
Phoenix City Hall, 15th Floor
200 West Washington Street
Phoenix, Arizona 85003-1611
(602) 262-6811



City of Phoenix
CITY CLERK DEPARTMENT
RECORDS MANAGEMENT DIVISION

Date: 4/19/01

Circle
Quarter 1 2 3 4

QUARTERLY LOBBYIST EXPENDITURE REPORT FOR ORGANIZATIONS

| | | | | |
|---|--|---|--------------------|---------------------|
| NAME OF ORGANIZATION A and D Law Firm | | BUSINESS TELEPHONE 602-234-5678 | | |
| BUSINESS ADDRESS 15 North Main Street | | CITY Phoenix, | STATE AZ | ZIP 85003 |

ALL OFFICERS AND EMPLOYEES WHO HAVE NOT FILED EXEMPTION STATEMENTS MUST FILE AN EXPENDITURE REPORT.
COMPLETE SCHEDULE A ON THE BACK OF THIS FORM FOR EACH OFFICER AND EMPLOYEE WHO **HAS EXPENDITURES**.
COMPLETE SCHEDULE B ON THE BACK OF THIS FORM FOR EACH OFFICER AND EMPLOYEE WHO REPORTED SEPARATELY OR DID NOT HAVE EXPENDITURES.

| |
|---|
| <input type="checkbox"/> IF NO OFFICER OR EMPLOYEE IN ORGANIZATION HAS EXPENDITURES, CHECK BOX and sign verification. |
|---|

| SUMMARY | THIS QUARTER |
|---|--------------|
| TOTAL OF SINGLE EXPENDITURES MORE THAN \$25 (enter 0 if none, or Total from Schedule A on back of form) | \$ 30 |
| TOTAL OF SINGLE EXPENDITURES \$25 OR LESS (enter 0 if none, or Total from Schedule A on back of form) | \$ 40 |
| TOTAL OF EVENTS EXPENDITURES (enter 0 if none, or Total from Schedule A on back of form) | \$150 |
| TOTAL EXPENDITURES | \$220 |

If expenditure made, **MUST** be detailed on back of form.

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
COUNTY OF MARICOPA)

I do solemnly swear that the foregoing QUARTERLY EXPENDITURE REPORT FOR ORGANIZATIONS filed herewith is in all things true and correct, and fully shows all information required pursuant to the Code of the City of Phoenix, 1969, Section 2-1001 and 2-1003.

John Doe

SIGNATURE

SUBSCRIBED and sworn to (affirmed) before me this 19th day of April, 2001

(SEAL)
(date)
My Commission Expires _____

(signature)

Notary Public

QUARTERLY LOBBYIST EXPENDITURE REPORT FOR ORGANIZATIONS

(City Code Section 2-1001)

Date: 4/18/01

Circle Quarter 1 2 3 4

| |
|---|
| ORGANIZATION NAME: A and D Law Firm |
|---|

REPORT MUST BE SUBMITTED FOR EACH REGISTERED OFFICER AND EMPLOYEE WHO HAS EXPENDITURES. ATTACH SEPARATE PAGE WITH APPROPRIATE HEADINGS OR PHOTOCOPY FORM FOR ADDITIONAL LOBBYISTS.

SCHEDULE A

| | |
|-------------------------------------|---|
| NAME OF LOBBYIST John Doe | BUSINESS TELEPHONE 602-234-5678 |
|-------------------------------------|---|

LIST **SINGLE EXPENDITURES MORE THAN \$25**. Attach separate page or photocopy form for additional listings.

| Date | Name and Address on Whose Behalf Expenditure Made | Nature of Expenditure | Elected Official Receiving/Benefiting from Expenditure | Amount of Expenditure |
|--|---|-----------------------|--|-----------------------|
| 1/20/01 | ABC Incorporated 245 N. Main St. Phoenix, AZ | Dinner | Mary Council | \$ 30 |
| Enter TOTAL OF SINGLE EXPENDITURES MORE THAN \$25 here and on Summary on Front of Form. | | | | \$ 30 |

LIST **TOTAL OF EXPENDITURES \$25 OR LESS** and NAME OF ELECTED CITY OFFICIAL receiving or benefiting from expenditures. Attach separate page or photocopy form for additional listings.

| Name of Elected City Official | Amount of Expenditure |
|---|-----------------------|
| Joe Council | \$ 40 |
| Enter TOTAL OF EXPENDITURES \$25 OR LESS here and on Summary on Front of Form. | |
| \$ 40 | |

LIST **ALL EXPENDITURES FOR EVENTS**. (City Code Section 2-1001.4) Attach separate page or photocopy form for additional listings.

| Date | Description of Event | Location | Total Expenditures |
|---|----------------------|---|--------------------|
| 2/14/01 | Reception | Phoenix Civic Plaza 225 E. Adams Phoenix, AZ | \$150 |
| Enter TOTAL OF EVENTS EXPENDITURES here and on Summary on Front of Form. | | | \$150 |

SCHEDULE B

IF OFFICER OR EMPLOYEE REPORTED EXPENDITURES SEPARATELY OR DID NOT HAVE EXPENDITURES, LIST NAME BELOW AND CHECK APPROPRIATE COLUMN:

| LIST LOBBYIST NAME | CHECK BELOW IF EXPENDITURE REPORTED SEPARATELY | CHECK BELOW IF NO EXPENDITURE |
|--------------------|--|-------------------------------------|
| Joe Cutter | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> |

FILE WITH:

City Clerk Department
 Official Records Section
 Phoenix City Hall, 15th Floor
 200 West Washington Street
 Phoenix, Arizona 85003-1611
 (602) 262-6811



City of Phoenix

CITY CLERK DEPARTMENT
 RECORDS MANAGEMENT DIVISION

Date: 4/5/01

Circle
 Quarter 1 2 3 4

QUARTERLY LOBBYIST CAMPAIGN CONTRIBUTION REPORT FOR INDIVIDUALS

COMPLETE REPORT ONLY IF
 LOBBYIST HAS MADE AND/OR
 SOLICITED CONTRIBUTIONS

(City Code Section 2-1003)

USE REVERSE SIDE
 FOR ORGANIZATIONS

| | | | |
|---|-------------------------|---|---------------------|
| NAME OF LOBBYIST Dale Jones | | | |
| BUSINESS NAME Jones Company | | BUSINESS TELEPHONE 602-256-4444 | |
| BUSINESS ADDRESS 10 North Main Street | CITY Phoenix, | STATE AZ | ZIP 85003 |

LIST Campaign Contributions **MADE BY** Lobbyist. Attach separate page or photocopy form for additional listings.

| Date | Elected Official Receiving Contribution | Amount of Contributions |
|---------|---|-------------------------|
| 2/15/01 | Mary Council | \$ 25 |
| | | |
| | | |

Campaign Contributions **SOLICITED** by Lobbyist. If lobbyist knows solicitations resulted in contributions, complete the following. Attach separate page or photocopy form for additional listings.

| Date | Name and Address of Contributor | Occupation and Employer of Contributor | Elected Official Receiving Contribution | Amount of Contributions |
|------|---------------------------------|--|---|-------------------------|
| | | | | |
| | | | | |
| | | | | |

TOTAL CAMPAIGN CONTRIBUTIONS \$ 25

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
 COUNTY OF MARICOPA)

I do solemnly swear that the foregoing QUARTERLY CAMPAIGN CONTRIBUTION REPORT FOR INDIVIDUALS filed herewith is in all things true and correct, and fully shows all information required to be reported by me pursuant to the Code of the City of Phoenix, 1969, Section 2-1001 and 2-1003.

Dale Jones

SIGNATURE OF LOBBYIST

SUBSCRIBED and sworn to (affirmed) before me this 5th day of April, 20 01

(SEAL)

My Commission Expires _____ (date)

(signature)

Notary Public

FILE WITH:

City Clerk Department
 Official Records Section
 Phoenix City Hall, 15th Floor
 200 West Washington Street
 Phoenix, Arizona 85003-1611
 (602) 262-6811



City of Phoenix

CITY CLERK DEPARTMENT
 RECORDS MANAGEMENT DIVISION

Date: 4/12/01

Circle
 Quarter 1 2 3 4

QUARTERLY LOBBYIST CAMPAIGN CONTRIBUTION REPORT FOR ORGANIZATIONS

COMPLETE REPORT ONLY IF
 LOBBYIST HAS MADE AND/OR
 SOLICITED CONTRIBUTIONS

(City Code Section 2-1003)

USE REVERSE SIDE
 FOR INDIVIDUALS

| | | | | | |
|---|--|-------------------------|---|---------------------|--|
| NAME OF ORGANIZATION A and D Law Firm | | | BUSINESS TELEPHONE 602-234-5678 | | |
| BUSINESS ADDRESS 15 North Main Street | | CITY Phoenix, | STATE AZ | ZIP 85003 | |

REPORT MUST BE SUBMITTED FOR EACH REGISTERED OFFICER AND EMPLOYEE MAKING OR SOLICITING CONTRIBUTIONS.

| | |
|---------------------------------------|---|
| NAME OF LOBBYIST Jane Smith | BUSINESS TELEPHONE 602-234-5677 |
|---------------------------------------|---|

List Campaign Contributions **MADE BY** Lobbyist.

| Date | Elected Official Receiving Contribution | Amount of Contributions |
|---------|---|-------------------------|
| 2/14/01 | Joe Council | \$150 |
| | | |

Campaign Contributions **SOLICITED** by Lobbyist. If lobbyist knows solicitations resulted in contributions, complete the following.

| Date | Name and Address of Contributor | Occupation and Employer of Contributor | Elected Official Receiving Contribution | Amount of Contributions |
|------|---|--|---|-------------------------|
| 2/14 | Bill Friend 7 W. Good Ave. Phoenix, AZ | Contractor E-Z Construction | Mary Council | \$100 |
| | | | | |

TOTAL CAMPAIGN CONTRIBUTIONS \$250

Attach separate page with appropriate headings for additional listings.

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
 COUNTY OF MARICOPA)

I do solemnly swear that the foregoing QUARTERLY CAMPAIGN CONTRIBUTION REPORT FOR ORGANIZATIONS filed herewith is in all things true and correct, and fully shows all information required pursuant to the Code of the City of Phoenix, 1969, Section 2-1001 and 2-1003.

John Doe

 SIGNATURE

SUBSCRIBED and sworn to (affirmed) before me this 12th day of April, 20 01

(SEAL)
 My Commission Expires _____ (date)

 (signature)
 Notary Public

SECTION FIVE

LOBBYIST FORMS

THE FOLLOWING FORMS MAY
BE USED FOR PHOTOCOPYING

FILE WITH:

City Clerk Department
Official Records Section
Phoenix City Hall, 15th Floor
200 West Washington Street
Phoenix, Arizona 85003-1611
(602) 262-6811



City of Phoenix

CITY CLERK DEPARTMENT
RECORDS MANAGEMENT DIVISION

Date: _____

- Initial Registration
- Renewal Registration
- Amended Statement

ANNUAL LOBBYIST REGISTRATION FOR INDIVIDUALS

| | | | |
|-------------------------|--|--------------------|-----------|
| NAME OF LOBBYIST | | | |
| BUSINESS NAME | | BUSINESS TELEPHONE | |
| BUSINESS ADDRESS | | CITY | STATE ZIP |

List all persons **BY WHOM THE LOBBYIST IS COMPENSATED TO LOBBY AND ON WHOSE BEHALF LOBBYING IS PERFORMED.** Attach separate page or photocopy form for additional listings.

| | | | |
|------------------|--|--------------------|--|
| NAME | | BUSINESS NAME | |
| BUSINESS ADDRESS | | BUSINESS TELEPHONE | |
| NAME | | BUSINESS NAME | |
| BUSINESS ADDRESS | | BUSINESS TELEPHONE | |

List any **employees who lobby.** Attach separate page or photocopy form for additional listings.
EMPLOYEES WHO LOBBY MUST ALSO REGISTER SEPARATELY.

| | | | |
|------------------|--|--------------------|--|
| NAME OF EMPLOYEE | | BUSINESS NAME | |
| BUSINESS ADDRESS | | BUSINESS TELEPHONE | |
| NAME OF EMPLOYEE | | BUSINESS NAME | |
| BUSINESS ADDRESS | | BUSINESS TELEPHONE | |

EXEMPTION STATEMENT

This is to certify I will make no expenditures reportable under Chapter 2, Article XXX of the Code of the City of Phoenix; therefore, I shall be exempt from filing a quarterly expenditure report. If subsequently I do make a reportable expenditure, within 10 days I shall notify the City Clerk in writing of such expenditure and thereafter conform to the reporting requirements.

SIGN ONLY IF NO EXPENDITURES WILL BE MADE.

_____ **SIGNATURE OF LOBBYIST**

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
COUNTY OF MARICOPA)

I do solemnly swear that the foregoing ANNUAL LOBBYIST REGISTRATION FOR INDIVIDUALS filed herewith is in all things true and correct, and fully shows all information required to be reported by me pursuant to the Code of the City of Phoenix, 1969, Section 2-1001.

SIGNATURE OF LOBBYIST

SUBSCRIBED and sworn to (affirmed) before me this _____ day of _____, 20 _____

(SEAL)

My Commission Expires _____

Notary Public

FILE WITH:

City Clerk Department
Official Records Section
Phoenix City Hall, 15th Floor
200 West Washington Street
Phoenix, Arizona 85003-1611
(602) 262-6811



City of Phoenix
CITY CLERK DEPARTMENT
RECORDS MANAGEMENT DIVISION

Date: _____

- Initial Registration
- Renewal Registration
- Amended Statement

ANNUAL LOBBYIST REGISTRATION FOR ORGANIZATIONS

| | |
|-----------------------------|--------------------|
| NAME OF ORGANIZATION | BUSINESS TELEPHONE |
| BUSINESS ADDRESS | CITY STATE ZIP |

List **CEO, ALL OFFICERS AND EMPLOYEES WHO LOBBY** and their positions with organization. Organization **MUST NOTIFY IN WRITING** all lobbyists it registers. Officers and employees do not need to register separately.

| | | |
|---|--------------------|--------------------|
| NAME OF LOBBYIST | POSITION | BUSINESS TELEPHONE |
| BUSINESS ADDRESS | CITY | STATE ZIP |
| List all persons BY WHOM <u>THIS</u> LOBBYIST IS COMPENSATED TO LOBBY AND ON WHOSE BEHALF LOBBYING IS PERFORMED. | | |
| NAME | BUSINESS NAME | |
| BUSINESS ADDRESS | BUSINESS TELEPHONE | |
| NAME | BUSINESS NAME | |
| BUSINESS ADDRESS | BUSINESS TELEPHONE | |

ATTACH SEPARATE PAGE WITH APPROPRIATE HEADINGS FOR ADDITIONAL LISTINGS.

| |
|--|
| EXEMPTION STATEMENT |
| If any officer or employee will not make expenditures, COMPLETE EXEMPTION STATEMENT ON BACK OF REGISTRATION FORM. Each lobbyist not filing an exemption statement must file a quarterly expenditure report whether or not expenditures were made. |

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
COUNTY OF MARICOPA)

I do solemnly swear that the foregoing ANNUAL LOBBYIST REGISTRATION FOR ORGANIZATIONS filed herewith is in all things true and correct, and fully shows all information required pursuant to the Code of the City of Phoenix, 1969, Section 2-1001.

SIGNATURE

SUBSCRIBED and sworn to (affirmed) before me this _____ day of _____, 20 _____

(SEAL)

My Commission Expires _____

Notary Public

ANNUAL LOBBYIST REGISTRATION FOR ORGANIZATIONS

| | |
|-----------------------------|--------------------|
| NAME OF ORGANIZATION | BUSINESS TELEPHONE |
|-----------------------------|--------------------|

IF ANY OFFICER OR EMPLOYEE WILL NOT MAKE EXPENDITURES, COMPLETE EXEMPTION STATEMENT BELOW. EACH LOBBYIST NOT FILING AN EXEMPTION STATEMENT MUST FILE A QUARTERLY EXPENDITURE REPORT WHETHER OR NOT EXPENDITURES WERE MADE.

EXEMPTION STATEMENT

This is to certify that the following officers and employees will make no expenditures reportable under Chapter 2, Article XXX of the Code of the City of Phoenix; therefore, shall be exempt from filing quarterly expenditure reports. If subsequently anyone does make a reportable expenditure, within 10 days that officer or employee shall notify the City Clerk in writing of such expenditure and thereafter conform to the reporting requirements.

SIGN ONLY IF NO EXPENDITURES WILL BE MADE.

SIGNATURE

LIST ALL LOBBYISTS IN ORGANIZATION TO WHOM THE ABOVE EXEMPTION STATEMENT APPLIES.

| | |
|--|--|
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |

FILE WITH:

City Clerk Department
Official Records Section
Phoenix City Hall, 15th Floor
200 West Washington Street
Phoenix, Arizona 85003-1611
(602) 262-6811



Date: _____

City of Phoenix

CITY CLERK DEPARTMENT
RECORDS MANAGEMENT DIVISION

LOBBYIST EXEMPTION STATEMENT

| | | |
|-------------------------|------|--------------------|
| NAME OF LOBBYIST | | |
| BUSINESS NAME | | BUSINESS TELEPHONE |
| BUSINESS ADDRESS | CITY | STATE ZIP |

Complete form only if no reportable expenditures will be made and Exemption Statement was not signed on Annual Registration Form.

This is to certify I will make no expenditures reportable under Chapter 2, Article XXX of the Code of the City of Phoenix; therefore, I shall be exempt from filing a quarterly expenditure report. If subsequently I do make a reportable expenditure, within 10 days I shall notify the City Clerk in writing of such expenditure and thereafter conform to the reporting requirements.

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
COUNTY OF MARICOPA)

I do solemnly swear that the foregoing LOBBYIST EXEMPTION STATEMENT filed herewith is in all things true and correct pursuant to the Code of the City of Phoenix, 1969, Section 2-1001.

SIGNATURE OF LOBBYIST

SUBSCRIBED and sworn to (affirmed) before me this _____ day of _____, 20 _____

(SEAL)

My Commission Expires _____

Notary Public

FILE WITH:

City Clerk Department
Official Records Section
Phoenix City Hall, 15th Floor
200 West Washington Street
Phoenix, Arizona 85003-1611
(602) 262-6811



City of Phoenix
CITY CLERK DEPARTMENT
RECORDS MANAGEMENT DIVISION

Date: _____

Circle
Quarter 1 2 3 4

**QUARTERLY LOBBYIST EXPENDITURE REPORT FOR
INDIVIDUALS**

| | | |
|-------------------------|------|--------------------|
| NAME OF LOBBYIST | | |
| BUSINESS NAME | | BUSINESS TELEPHONE |
| BUSINESS ADDRESS | CITY | STATE ZIP |

COMPLETE SCHEDULE A ON THE BACK OF THIS FORM IF LOBBYIST HAS EXPENDITURES.

| |
|--|
| <input type="checkbox"/> If lobbyist has NO EXPENDITURES, CHECK BOX, and sign verification. |
|--|

| SUMMARY | THIS QUARTER |
|---|--------------|
| TOTAL OF SINGLE EXPENDITURES MORE THAN \$25 (enter 0 if none, or Total from Schedule A on back of form) | _____ |
| TOTAL OF SINGLE EXPENDITURES \$25 OR LESS (enter 0 if none, or Total from Schedule A on back of form) | _____ |
| TOTAL OF EVENTS EXPENDITURES (enter 0 if none, or Total from Schedule A on back of form) | _____ |
| TOTAL EXPENDITURES | _____ |

If expenditure made, **MUST** be detailed on back of form.

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
COUNTY OF MARICOPA)

I do solemnly swear that the foregoing QUARTERLY EXPENDITURE REPORT FOR INDIVIDUALS filed herewith is in all things true and correct, and fully shows all information required to be reported by me pursuant to the Code of the City of Phoenix, 1969, Section 2-1001 and 2-1003.

SIGNATURE OF LOBBYIST

SUBSCRIBED and sworn to (affirmed) before me this _____ day of _____, 20 _____

(SEAL)

My Commission Expires _____

Notary Public

QUARTERLY LOBBYIST EXPENDITURE REPORT FOR INDIVIDUALS

(City Code Section 2-1001)

Date: _____

Circle
Quarter 1 2 3 4

SCHEDULE A

| | |
|-------------------------|--------------------|
| NAME OF LOBBYIST | BUSINESS TELEPHONE |
|-------------------------|--------------------|

LIST **SINGLE EXPENDITURES MORE THAN \$25**. Attach separate page or photocopy form for additional listings.

| Date | Name and Address on Whose Behalf Expenditure Made | Nature of Expenditure | Elected Official Receiving/ Benefiting from Expenditure | Amount of Expenditure |
|--|---|-----------------------|--|-----------------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| Enter TOTAL OF SINGLE EXPENDITURES MORE THAN \$25 here and on Summary on Front of Form. | | | | |

LIST **TOTAL OF EXPENDITURES \$25 OR LESS** and NAME OF ELECTED CITY OFFICIAL receiving or benefiting from expenditures. Attach separate page or photocopy form for additional listings.

| Name of Elected City Official | Amount of Expenditure |
|---|-----------------------|
| | |
| | |
| | |
| | |
| Enter TOTAL OF EXPENDITURES \$25 OR LESS here and on Summary on Front of Form. | |

LIST **ALL EXPENDITURES FOR EVENTS**. (City Code Section 2-1001.4) Attach separate page or photocopy form for additional listings.

| Date | Description of Event | Location | Total Expenditures |
|---|----------------------|----------|--------------------|
| | | | |
| | | | |
| | | | |
| | | | |
| Enter TOTAL OF EVENTS EXPENDITURES here and on Summary on Front of Form. | | | |

FILE WITH:

City Clerk Department
Official Records Section
Phoenix City Hall, 15th Floor
200 West Washington Street
Phoenix, Arizona 85003-1611
(602) 262-6811



City of Phoenix

CITY CLERK DEPARTMENT
RECORDS MANAGEMENT DIVISION

Date: _____

Circle
Quarter 1 2 3 4

QUARTERLY LOBBYIST EXPENDITURE REPORT FOR ORGANIZATIONS

| | | | |
|----------------------|------|--------------------|-----|
| NAME OF ORGANIZATION | | BUSINESS TELEPHONE | |
| BUSINESS ADDRESS | CITY | STATE | ZIP |

ALL OFFICERS AND EMPLOYEES WHO HAVE NOT FILED EXEMPTION STATEMENTS MUST FILE AN EXPENDITURE REPORT.

COMPLETE SCHEDULE A ON THE BACK OF THIS FORM FOR EACH OFFICER AND EMPLOYEE WHO **HAS EXPENDITURES**.

COMPLETE SCHEDULE B ON THE BACK OF THIS FORM FOR EACH OFFICER AND EMPLOYEE WHO REPORTED SEPARATELY OR DID NOT HAVE EXPENDITURES.

| |
|---|
| <input type="checkbox"/> IF NO OFFICER OR EMPLOYEE IN ORGANIZATION HAS EXPENDITURES, CHECK BOX and sign verification. |
|---|

SUMMARY

THIS QUARTER

| | |
|---|-------|
| TOTAL OF SINGLE EXPENDITURES MORE THAN \$25 (enter 0 if none, or Total from Schedule A on back of form) | _____ |
| TOTAL OF SINGLE EXPENDITURES \$25 OR LESS (enter 0 if none, or Total from Schedule A on back of form) | _____ |
| TOTAL OF EVENTS EXPENDITURES (enter 0 if none, or Total from Schedule A on back of form) | _____ |
| TOTAL EXPENDITURES | _____ |

If expenditure made, **MUST** be detailed on back of form.

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
COUNTY OF MARICOPA)

I do solemnly swear that the foregoing QUARTERLY EXPENDITURE REPORT FOR ORGANIZATIONS filed herewith is in all things true and correct, and fully shows all information required pursuant to the Code of the City of Phoenix, 1969, Section 2-1001 and 2-1003.

SIGNATURE

SUBSCRIBED and sworn to (affirmed) before me this _____ day of _____, 20 _____

(SEAL)

My Commission Expires _____

Notary Public

QUARTERLY LOBBYIST EXPENDITURE REPORT FOR ORGANIZATIONS

(City Code Section 2-1001)

Date: _____

Circle
Quarter 1 2 3 4

ORGANIZATION NAME: _____

REPORT MUST BE SUBMITTED FOR EACH REGISTERED OFFICER AND EMPLOYEE WHO HAS EXPENDITURES. ATTACH SEPARATE PAGE WITH APPROPRIATE HEADINGS OR PHOTOCOPY FORM FOR ADDITIONAL LOBBYISTS.

SCHEDULE A

| | |
|-------------------------|---------------------------|
| NAME OF LOBBYIST | BUSINESS TELEPHONE |
|-------------------------|---------------------------|

LIST **SINGLE EXPENDITURES MORE THAN \$25**. Attach separate page or photocopy form for additional listings.

| Date | Name and Address on Whose Behalf Expenditure Made | Nature of Expenditure | Elected Official Receiving/Benefiting from Expenditure | Amount of Expenditure |
|--|---|-----------------------|--|-----------------------|
| | | | | |
| | | | | |
| Enter TOTAL OF SINGLE EXPENDITURES MORE THAN \$25 here and on Summary on Front of Form. | | | | |

LIST **TOTAL OF EXPENDITURES \$25 OR LESS** and NAME OF ELECTED CITY OFFICIAL receiving or benefiting from expenditures. Attach separate page or photocopy form for additional listings.

| Name of Elected City Official | Amount of Expenditure |
|---|-----------------------|
| | |
| Enter TOTAL OF EXPENDITURES \$25 OR LESS here and on Summary on Front of Form. | |

LIST **ALL EXPENDITURES FOR EVENTS**. (City Code Section 2-1001.4) Attach separate page or photocopy form for additional listings.

| Date | Description of Event | Location | Total Expenditures |
|---|----------------------|----------|--------------------|
| | | | |
| | | | |
| Enter TOTAL OF EVENTS EXPENDITURES here and on Summary on Front of Form. | | | |

SCHEDULE B

IF OFFICER OR EMPLOYEE REPORTED EXPENDITURES SEPARATELY OR DID NOT HAVE EXPENDITURES, LIST NAME BELOW AND CHECK APPROPRIATE COLUMN:

| LIST LOBBYIST NAME | CHECK BELOW IF EXPENDITURE REPORTED SEPARATELY | CHECK BELOW IF NO EXPENDITURE |
|--------------------|--|-------------------------------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |

FILE WITH:

City Clerk Department
 Official Records Section
 Phoenix City Hall, 15th Floor
 200 West Washington Street
 Phoenix, Arizona 85003-1611
 (602) 262-6811



City of Phoenix
 CITY CLERK DEPARTMENT
 RECORDS MANAGEMENT DIVISION

Date: _____

Circle
 Quarter 1 2 3 4

QUARTERLY LOBBYIST CAMPAIGN CONTRIBUTION REPORT FOR INDIVIDUALS

COMPLETE REPORT ONLY IF
 LOBBYIST HAS MADE AND/OR
 SOLICITED CONTRIBUTIONS

(City Code Section 2-1003)

USE REVERSE SIDE
 FOR ORGANIZATIONS

| | | |
|-------------------------|--------------------|----------------|
| NAME OF LOBBYIST | | |
| BUSINESS NAME | BUSINESS TELEPHONE | |
| BUSINESS ADDRESS | CITY | STATE ZIP |

LIST Campaign Contributions **MADE BY** Lobbyist. Attach separate page or photocopy form for additional listings.

| Date | Elected Official Receiving Contribution | Amount of Contributions |
|------|---|-------------------------|
| | | |
| | | |
| | | |

Campaign Contributions **SOLICITED** by Lobbyist. If lobbyist knows solicitations resulted in contributions, complete the following. Attach separate page or photocopy form for additional listings.

| Date | Name and Address of Contributor | Occupation and Employer of Contributor | Elected Official Receiving Contribution | Amount of Contributions |
|------|---------------------------------|--|---|-------------------------|
| | | | | |
| | | | | |
| | | | | |

TOTAL CAMPAIGN CONTRIBUTIONS _____

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
 COUNTY OF MARICOPA)

I do solemnly swear that the foregoing QUARTERLY CAMPAIGN CONTRIBUTION REPORT FOR INDIVIDUALS filed herewith is in all things true and correct, and fully shows all information required to be reported by me pursuant to the Code of the City of Phoenix, 1969, Section 2-1001 and 2-1003.

SIGNATURE OF LOBBYIST

SUBSCRIBED and sworn to (affirmed) before me this _____ day of _____, 20 _____

(SEAL)

My Commission Expires _____

Notary Public

FILE WITH:

City Clerk Department
Official Records Section
Phoenix City Hall, 15th Floor
200 West Washington Street
Phoenix, Arizona 85003-1611
(602) 262-6811



City of Phoenix
CITY CLERK DEPARTMENT
RECORDS MANAGEMENT DIVISION

Date: _____

Circle
Quarter 1 2 3 4

QUARTERLY LOBBYIST CAMPAIGN CONTRIBUTION REPORT FOR ORGANIZATIONS

COMPLETE REPORT ONLY IF
LOBBYIST HAS MADE AND/OR
SOLICITED CONTRIBUTIONS

(City Code Section 2-1003)

**USE REVERSE SIDE
FOR INDIVIDUALS**

| | | | | | |
|-----------------------------|--|------|--------------------|-----|--|
| NAME OF ORGANIZATION | | | BUSINESS TELEPHONE | | |
| BUSINESS ADDRESS | | CITY | STATE | ZIP | |

REPORT MUST BE SUBMITTED FOR EACH REGISTERED OFFICER AND EMPLOYEE MAKING OR SOLICITING CONTRIBUTIONS.

| NAME OF LOBBYIST | | | | BUSINESS TELEPHONE | |
|---|---|--|---|-------------------------|--|
| List Campaign Contributions MADE BY Lobbyist. | | | | | |
| Date | Elected Official Receiving Contribution | | | Amount of Contributions | |
| | | | | | |
| | | | | | |
| Campaign Contributions SOLICITED by Lobbyist. If lobbyist knows solicitations resulted in contributions, complete the following. | | | | | |
| Date | Name and Address of Contributor | Occupation and Employer of Contributor | Elected Official Receiving Contribution | Amount of Contributions | |
| | | | | | |
| | | | | | |
| TOTAL CAMPAIGN CONTRIBUTIONS | | | | | |

Attach separate page with appropriate headings for additional listings.

VERIFICATION BY OATH OR AFFIRMATION

STATE OF ARIZONA)
) ss.
COUNTY OF MARICOPA)

I do solemnly swear that the foregoing QUARTERLY CAMPAIGN CONTRIBUTION REPORT FOR ORGANIZATIONS filed herewith is in all things true and correct, and fully shows all information required pursuant to the Code of the City of Phoenix, 1969, Section 2-1001 and 2-1003.

SIGNATURE

SUBSCRIBED and sworn to (affirmed) before me this _____ day of _____, 20 _____

(SEAL)

My Commission Expires _____

Notary Public

SECTION SIX

CHAPTER 2

ARTICLE XXX. LOBBYISTS

§ 2-1000. DEFINITIONS

1. **“Elected City Official”** means the Mayor and Members of the Council of the City of Phoenix, whether serving by election or appointment.
2. **“Expenditure”** means a payment, distribution, loan, advance, deposit or gift, and includes a promise or agreement, whether or not legally enforceable, to make an expenditure that provides a benefit to an elected City official that is incurred by or on behalf of a lobbyist.
3. **“Family gift”** means a gift to an elected City official or a member of his household from a lobbyist who is a relative of the elected City official or a member of his household if the donor is not acting for someone not covered by this paragraph.
4. **“Gift”** means money, real property or tangible personal property. For purposes of this article, gift does not include:
 - (a) A gift or inheritance from a spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle or first cousin or any such person’s spouse if the donor is not acting for someone not covered by this paragraph and gifts of a personal nature were customarily received from such persons before becoming an elected City official.
 - (b) The value of meals, entertainment or lodging that is reported or exempt from reporting under this article.
 - (c) Salary, compensation or employer reimbursed expenses lawfully paid to an elected City official.
 - (d) The value of professional or consulting services not rendered to obtain a benefit for any lobbyist or lobbyist’s client.
 - (e) Expenses relating to an event to which all members of the City Council or any Council committee or subcommittee are invited.
 - (f) A plaque or similar item given to an elected City official in recognition of service or notable accomplishment.
 - (g) Informational material such as books, reports, pamphlets, tapes, calendars or periodicals.

NOTE: Section Six contains a copy of Chapter 2, Article XXX as it appears in the Code of the City of Phoenix. (Ordinance G-3680, G-3804)

- (h) An unused item that is returned to the donor or delivered to a charitable organization within fifteen days of receipt and is not claimed as a charitable contribution for tax purposes.
 - (i) A campaign contribution that is properly received and reported as required by law.
 - (j) An item given to an elected City official if an item of similar value is given by the elected City official at the same time, or on a similar occasion under similar circumstances.
5. **“Lobby”** means communication with any elected City official for the purpose of influencing official action.
 6. **“Lobbyist”** means any person who is compensated to lobby for a person other than himself.
 7. **“Official action”** means the action or non-action of the City Council.
 8. **“Person”** means an individual, partnership, committee, association, limited liability company or corporation and any other organization or group of persons.
 9. **“Personal hospitality”** means meals, beverages, transportation or lodging furnished non-commercially by a person on his or his family’s property or facilities.
 10. **“Public official”** means a person holding an elected government office.

§ 2-1001. REGISTRATION; REPORTS

1. Lobbyists shall register prior to lobbying, or within five business days after first lobbying, by filing a statement disclosing the following:
 - (a) If the lobbyist is an individual, the name and business address of the lobbyist and any employee of the lobbyist who acts as a lobbyist, provided that an individual who is included as a lobbyist on the registration of an entity under paragraph (b) of this subsection need not register separately.
 - (b) If the lobbyist is an organization, the name and business address of the entity, its chief executive officer and all its officers and employees who act as lobbyists, who shall be notified by the organization in writing that they have been listed as lobbyists, provided that the entity need not register as a lobbyist if all its officers and employees who act as lobbyists are individually registered as lobbyists under paragraph (a) of this subsection.
 - (c) The name and business address of all persons by whom the lobbyist is compensated to lobby and all persons on whose behalf lobbying is performed. Any change in the information required by this paragraph shall be reported to the City Clerk within 30 days.
2. At the time of registration or any time thereafter a lobbyist may file a statement certifying that the lobbyist intends to make no expenditures reportable under this Article. Upon filing this statement the lobbyist shall be exempt from the expenditure reporting

requirements of this section, so long as no expenditures are made. If a lobbyist who has signed an exemption statement subsequently makes any reportable expenditure that lobbyist shall notify the City Clerk of such expenditure within 10 days and shall thereafter be subject to expenditure reporting requirements.

3. Lobbyists shall report expenditures quarterly. Expenditures over twenty-five dollars shall be itemized separately, listing the date, amount and nature of the expenditure, the name of the elected City official receiving or benefiting from the expenditure and the person on whose behalf the expenditure was made. An aggregate of expenditures of twenty-five dollars or less for each elected City official shall be reported. Expenditures for the lobbyist's personal sustenance, family gifts, personal hospitality, preparation or distribution of informational materials, campaign contributions, professional or consulting services not made on behalf of another person for compensation, and not rendered primarily for the benefit of an elected City official, office expenses, filing fees, legal fees, employees, compensation, lodging and travel are not required to be reported.
4. All expenditures for events to which all members of the Council or any committee or subcommittee of the Council are invited shall be reported pursuant to Subsection 3 of this section. Such expenditures need not be allocated to individual Council members but the date, location, total expenditures incurred and a description of each such event shall be reported.
5. A lobbyist who makes no reportable expenditures during a specified reporting period may, in lieu of the report required by subsection 3 of this section, file a statement certifying that there were no reportable expenditures during the period.
6. No person shall make a gift to, or expenditure on behalf of an elected City official through another person to conceal the identity of the person making the gift or expenditure.
7. No person shall give a gift to an elected City official for the performance of official duties or if it may reasonably be interpreted to be offered in order to influence any action or decision of an elected City official.
8. Registered City lobbyists must reregister annually.
9. Each individual listed as a lobbyist on any lobbyist registration shall be responsible for providing the information and filing the reports required by this section, provided that individuals listed as lobbyists on the registration of an entity under subsection 1(b) of this section may comply with this requirement through reports filed by the registered entity.

§ 2-1002. EXCEPTIONS

Section 2-1001 does not apply to:

1. A person who is not compensated for lobbying activity other than reimbursement for actual expenses.
2. A person, acting in his own behalf, who appears before the City Council or contacts an elected City official to support or oppose official action.
3. A public official, public employee or appointed member of a state, county or local board, commission or council acting in his official capacity on matters pertaining to his office, employment, board, commission or council.

4. An expert introduced or identified by a registered lobbyist, or public official who provides technical information or answers technical questions and makes no expenditure required to be reported by this article.
5. A person who performs professional services in drafting legislation or in advising and rendering opinions to clients as to the construction and effect of proposed or pending legislation.
6. An attorney who represents clients at any quasi-judicial hearing held by the City Council.
7. A person who contacts an elected City official solely for the purpose of acquiring information.
8. A person who contacts an elected City official concerning any contract awarded through competitive bidding.

§ 2-1003. POLITICAL CONTRIBUTIONS; REPORTS

Lobbyists who contribute to, or solicit contributions on behalf of, political campaigns of elected City officials, shall file quarterly reports, which shall be combined with expenditure reports when applicable, identifying the lobbyist and disclosing the dates and amounts of contributions made by or, if known, at the request of the lobbyist, the contributors' names, addresses, occupations and employers and the elected City officials to whom the contributions were made.

§ 2-1004. FORMS; FILING

All statements and reports required by this Article shall be under oath, on forms prescribed by the City Clerk and filed in the office of the City Clerk.

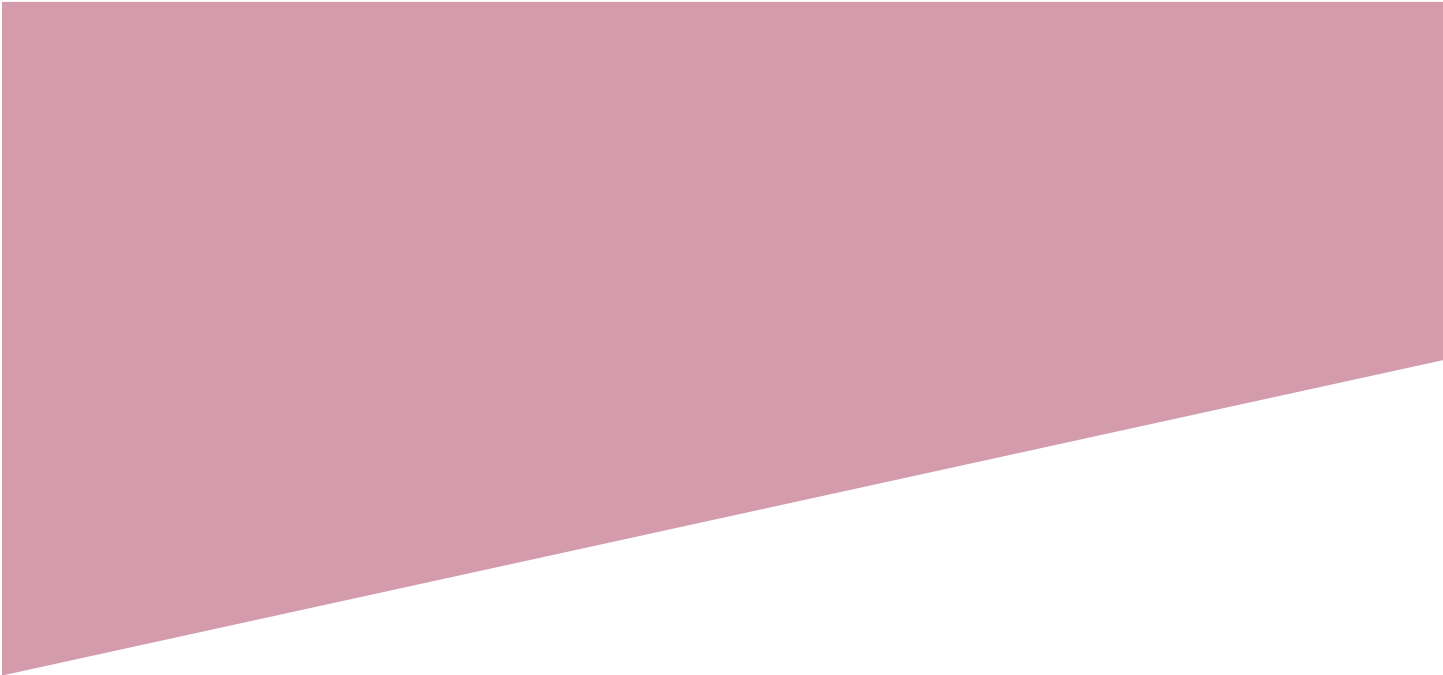
ARIZONA STATUTE RE: ENTERTAINMENT BAN

ARS § 41-1232.08. Entertainment ban; state and political subdivisions

A. A principal, designated lobbyist, authorized lobbyist, lobbyist for compensation, public body, designated public lobbyist or authorized public lobbyist or any other person acting on that person's behalf shall not make an expenditure or single expenditure for entertainment for a state officer or state employee. A state officer or state employee shall not accept from a principal, designated lobbyist, authorized lobbyist, lobbyist for compensation, public body, designated public lobbyist or authorized public lobbyist or any other person acting on that person's behalf an expenditure or single expenditure for entertainment.

B. A person who for compensation attempts to influence the passage or defeat of legislation, ordinances, rules, regulations, nominations and other matters that are pending or proposed or that are subject to formal approval by the corporation commission, a county board of supervisors, a city or town governing body or a school district governing board or any person acting on that person's behalf shall not make an expenditure or single expenditure for entertainment for an elected or appointed member of the corporation commission, a county board of supervisors, a city or town governing body or a school district governing board. An elected or appointed member of the corporation commission, a county board of supervisors, a city or town governing body or a school district governing board shall not accept an expenditure or single expenditure for entertainment from a person who for compensation attempts to influence the passage or defeat of legislation, ordinances, rules, regulations, nominations and other matters that are pending or proposed or that are subject to formal approval by the corporation commission.

C. This section shall not apply to entertainment in connection with a special event properly reported pursuant to this article or if the entertainment is incidental to the speaking engagement.



City of Phoenix

