



Division of Licensing Services

New York State
Department of State
Division of Licensing Services
P.O. Box 22001
Albany, NY 12201-2001
Customer Service: (518) 474-4429
www.dos.ny.gov

Political Consultant Public Disclosure Statement

Please take the time to read the instructions carefully before beginning this form. Incomplete forms will be returned and will delay processing.

Who has to file a Political Consultant disclosure statement?

Political Consultants who have provided Political Consulting Services to elected officials, or to candidates or nominees for public office who have also represented Clients during the preceding calendar year regarding business before a state or local government body must file a Political Consultant disclosure statement.

Who is a Political Consultant?

A Political Consultant is a person who holds himself or herself out to persons in this state as a person who performs political consulting services in a professional capacity—meaning for the acceptance of a fee or other valuable consideration—and who is usually compensated, excluding reimbursement for expenses, for such services.

What are Political Consulting Services?

The following activities are considered Political Consulting Services when provided to or on behalf of an elected public official in New York State, a candidate for elected office in New York State, or a person nominated for elected public office: 1) assisting in a campaign for nomination or election to public office in New York State, including fundraising activities, voter outreach, composition and distribution of promotional literature, advertisements, or other similar communications as set forth in Section 14-106 of the Election Law; or 2) providing political advice. Political Consulting Services do not include ministerial services such as canvassing.

Are Government Employees Political Consultants?

Government employees are not Political Consultants with respect to duties performed in their official capacity. However, the provision of outside Political Consulting Services would render a government employee a Political Consultant. Such a person would then be required to file with the Department of State, if he or she has also represented Clients regarding business before a state or local government body during the preceding calendar year.

What is a Client?

Client shall mean a person or entity who in the preceding calendar year retained or hired the Political Consultant relating to matters before any state or local government agency, authority or official, including services, advice or consultation relating to any state or local government contract for real property, goods or services, an appearance in a ratemaking proceeding, an appearance in a regulatory matter, or an appearance in a legislative matter other than matters described in subparagraph (E) of the second undesignated paragraph of subdivision (c) of Section one-c of the Legislative Law.

What are the Reporting Periods?

Each public disclosure shall cover the six month period between January 1st to June 30th and July 1st to December 31st. Disclosure must be filed within 10 days after the close of the reporting period.

How do I file a disclosure statement?

Completed forms, along with the required filing fee of \$25, may be mailed to the Department of State at P.O. Box 22001, Albany, NY 12201, Attn: Division of Licensing Services. Completed forms with fee, may also be personally delivered to our customer service counters in Albany and New York City.

Our Albany customer service counter is located on the 6th floor of 99 Washington Avenue, Albany, NY 12231.

Our New York City customer service counter is located on the 2nd floor of 123 William Street, New York, NY 10038.

What address should I provide under Political Consultant Information?

You should provide your business address. Political Consultants that do not have a business address may provide a P.O. Box. **Please Note:** The address provided will be posted on the Department of State website.

Is this a business registration?

No. Each individual that provides Political Consulting Services must submit a disclosure statement. If you are employed by a business, you must report your own Political Consulting Services and Clients.

What if I have more questions?

Please see responses to frequently asked questions available on the Department of State website at <http://www.dos.ny.gov/licensing/>.

What forms of payment do you accept?

You may pay by check or money order made payable to the Department of State. Do not send cash. All fees are nonrefundable. A \$20 fee will be charged for any check returned by your bank.

PRIVACY NOTIFICATION

Do I need to provide my Social Security and Federal ID numbers on the application?

Yes. The Department of State is required to collect the federal Social Security and Employer Identification numbers of all Political Consultants who must file with the Department. The authority to request and maintain such personal information is found in §5 of the Tax Law and §3-503 of the General Obligations Law. Disclosure by you is mandatory. The information is collected to enable the Department of Taxation and Finance to identify individuals, businesses and other who have been delinquent in filing tax returns or may have underestimated their tax liabilities and to generally identify persons affected by the taxes administered by the Commission of Taxation and Finance. It will be used for tax administration purposes and any other purpose authorized by the Tax Law and may also be used by child support enforcement agencies or their authorized representatives of this or other states established pursuant to Title IV-D of the Social Security Act, to establish, modify or enforce an order of support, but will not be available to the public. A written explanation is required where no number is provided. This information will be maintained in the Licensing Information System by the Director of Administration and Management, at One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231-0001.



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(Check One): First Time Filer Past Filer - Registration # _____ **Fee Due \$25.00**

PUBLIC INFORMATION DISCLOSURE TO FILERS:

Pursuant to Section 109 of the New York Executive Law and Section 96 of the Public Officers Law the information provided in this filing is subject to public disclosure. Except as noted below, all information provided herein, including addresses and telephone numbers, will be made available to the public via the Department of State website.

REPORTING PERIOD (Check one): January 1st – June 30th, _____ July 1st – December 31st, _____
POLITICAL CONSULTANT INFORMATION YEAR YEAR

LAST NAME FIRST NAME MIDDLE INITIAL

BUSINESS NAME (for mailing purposes only)

BUSINESS ADDRESS (* If you do not have a business address we will accept a P.O. Box. Note: This address will be published on our website.)

CITY STATE ZIP+4: COUNTY:

BUSINESS TELEPHONE NUMBER *EMAIL ADDRESS *SOCIAL SECURITY NUMBER / FEIN

*This information will not be posted on the Department of State Website.

PLEASE LIST ALL ELECTED PUBLIC OFFICIALS, CANDIDATES FOR ELECTED PUBLIC OFFICE, OR PERSONS NOMINATED FOR ELECTED PUBLIC OFFICE FOR WHICH YOU PROVIDED POLITICAL CONSULTING SERVICES DURING THE REPORTING PERIOD.

(Provide additional information on page 3 if necessary.)

OFFICIAL OR CANDIDATE INFORMATION

OFFICIAL LAST NAME FIRST NAME MIDDLE INITIAL

BUSINESS ADDRESS

CITY STATE ZIP +4

BUSINESS TELEPHONE NUMBER OFFICE HELD/SOUGHT

Provide a brief description of the nature of the political consulting services provided to the above individual:

PLEASE LIST ALL YOUR CLIENTS FROM THE PRECEDING CALENDAR YEAR.

CLIENT INFORMATION – Individual/Entity that retained or hired you (provide additional client information on page 4 if necessary.)

CLIENT NAME

LAST NAME FIRST NAME MIDDLE INITIAL

(Name of person who has a controlling interest in the above entity.)

BUSINESS ADDRESS

CITY STATE ZIP +4

BUSINESS TELEPHONE NUMBER

Provide a brief description of the nature of the services provided to the above client:

I subscribe and affirm, under the penalties of perjury, the statements in this disclosure and any attachments are true and correct.

X _____ (POLITICAL CONSULTANT SIGNATURE) _____ (DATE)

Political Consultant Public Disclosure Statement

POLITICAL CONSULTANT NAME

ADDITIONAL PUBLIC DISCLOSURES, if necessary

OFFICIAL OR CANDIDATE INFORMATION – Public Office (use additional sheets if necessary)

LAST NAME FIRST NAME MIDDLE INITIAL

BUSINESS ADDRESS:

CITY STATE ZIP +4

BUSINESS TELEPHONE NUMBER OFFICE HELD/SOUGHT

Provide a brief description of the nature of the political consulting services provided to the above individual:

OFFICIAL OR CANDIDATE INFORMATION – Public Office (use additional sheets if necessary)

LAST NAME FIRST NAME MIDDLE INITIAL

BUSINESS ADDRESS:

CITY STATE ZIP +4

BUSINESS TELEPHONE NUMBER OFFICE HELD/SOUGHT

Provide a brief description of the nature of the political consulting services provided to the above individual:

OFFICIAL OR CANDIDATE INFORMATION – Public Office (use additional sheets if necessary)

LAST NAME FIRST NAME MIDDLE INITIAL

BUSINESS ADDRESS:

CITY STATE ZIP +4

BUSINESS TELEPHONE NUMBER OFFICE HELD/SOUGHT

Provide a brief description of the nature of the political consulting services provided to the above individual:

Political Consultant Public Disclosure Statement

POLITICAL CONSULANT NAME

ADDITIONAL PUBLIC DISCLOSURES, if necessary

CLIENT INFORMATION – Individual/Entity that retained or hired you (use additional sheets if necessary)

BUSINESS NAME

LAST NAME FIRST NAME MIDDLE INITIAL
(Name of person who has a controlling interest in the above entity.)

BUSINESS ADDRESS

CITY STATE ZIP +4

BUSINESS TELEPHONE NUMBER

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