

8814--A

2009-2010 Regular Sessions

I N A S S E M B L Y

June 10, 2009

Introduced by M. of A. KAVANAGH -- read once and referred to the Committee on Governmental Operations -- recommitted to the Committee on Governmental Operations in accordance with Assembly Rule 3, sec. 2 -- committee discharged, bill amended, ordered reprinted as amended and recommitted to said committee

AN ACT to amend the legislative law and the election law, in relation to disclosures required for lobbyists

THE PEOPLE OF THE STATE OF NEW YORK, REPRESENTED IN SENATE AND ASSEMBLY, DO ENACT AS FOLLOWS:

1 Section 1. Section 1-c of the legislative law is amended by adding a
2 new subdivision (w) to read as follows:
3 (W) THE TERM "FAMILY MEMBER" SHALL MEAN ANY OF THE FOLLOWING, INCLUD-
4 ING PARENTS, STEPPARENTS, SPOUSE, DOMESTIC PARTNERS, GRANDPARENTS,
5 BROTHERS, SISTERS, UNCLES, AND AUNTS, WHETHER OF THE WHOLE BLOOD OR HALF
6 BLOOD OR BY OR THROUGH LEGAL SANCTION.
7 S 2. Paragraph 5 of subdivision (b) of section 1-h of the legislative
8 law is amended by adding two new subparagraphs (vi) and (vii) to read as
9 follows:
10 (VI) THE CAMPAIGN CONTRIBUTIONS MADE, IN ANY FORM, TO ANY CAMPAIGN OR
11 POLITICAL COMMITTEE IN NEW YORK STATE BY THE CLIENT BY WHOM OR ON WHOSE
12 BEHALF THE LOBBYIST IS RETAINED, EMPLOYED OR DESIGNATED, BY THE LOBBY-
13 IST, AND BY ANY EMPLOYEES OF THE LOBBYIST.
14 (VII) THE AMOUNT OF COMPENSATION PAID AND THE NAMES OF ANY FAMILY
15 MEMBERS OF A PUBLIC OFFICIAL TO WHOM A LOBBYIST AND THE CLIENT BY WHOM
16 OR ON WHOSE BEHALF THE LOBBYIST IS RETAINED, EMPLOYED OR DESIGNATED HAS
17 PAID COMPENSATION OF MORE THAN FIVE HUNDRED DOLLARS IN THE PRECEDING
18 CALENDAR YEAR FOR PERSONAL EMPLOYMENT OR PROFESSIONAL SERVICES.
19 S 3. Subdivision (b) of section 1-h of the legislative law is amended
20 by adding a new paragraph 6 to read as follows:
21 (6) THE NAME, ADDRESS AND TELEPHONE NUMBER OF ANY PUBLIC OFFICIAL WITH
22 WHOM THE LOBBYIST HAS ANY BUSINESS RELATIONSHIP.

EXPLANATION--Matter in *ITALICS* (underscored) is new; matter in brackets
[] is old law to be omitted.

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1 S 4. Paragraph 5 of subdivision (b) of section 1-j of the legislative
2 law is amended by adding two new subparagraphs (vi) and (vii) to read as
3 follows:

4 (VI) THE CAMPAIGN CONTRIBUTIONS MADE, IN ANY FORM, TO ANY CAMPAIGN OR
5 POLITICAL COMMITTEE IN NEW YORK STATE BY THE CLIENT BY WHOM OR ON WHOSE
6 BEHALF THE LOBBYIST IS RETAINED, EMPLOYED OR DESIGNATED, BY THE LOBBY-
7 IST, AND BY ANY EMPLOYEES OF THE LOBBYIST.

8 (VII) THE AMOUNT OF COMPENSATION PAID AND THE NAMES OF ANY FAMILY
9 MEMBERS OF A PUBLIC OFFICIAL TO WHOM A LOBBYIST AND THE CLIENT BY WHOM
10 OR ON WHOSE BEHALF THE LOBBYIST IS RETAINED, EMPLOYED OR DESIGNATED HAS
11 PAID COMPENSATION OF MORE THAN FIVE HUNDRED DOLLARS IN THE PRECEDING
12 CALENDAR YEAR FOR PERSONAL EMPLOYMENT OR PROFESSIONAL SERVICES.

13 S 5. Subdivision (b) of section 1-j of the legislative law is amended
14 by adding a new paragraph 6 to read as follows:

15 (6) THE NAME, ADDRESS AND TELEPHONE NUMBER OF ANY PUBLIC OFFICIAL WITH
16 WHOM THE LOBBYIST HAS ANY BUSINESS RELATIONSHIP.

17 S 6. The election law is amended by adding three new sections 14-131,
18 14-132 and 14-133 to read as follows:

19 S 14-131. LOBBYIST REPORTING AND CONTRIBUTION LIMITS. 1. DEFINITIONS.
20 THE FOLLOWING DEFINITIONS SHALL APPLY TO THIS SECTION:

21 A. "AGENT" MEANS ANY PERSON ACTING AT THE DIRECTION OF OR ON BEHALF OF
22 AN INDIVIDUAL OR BUSINESS ENTITY;

23 B. "BUSINESS ENTITY" MEANS A BUSINESS CORPORATION, PROFESSIONAL
24 SERVICES CORPORATION, LIMITED LIABILITY COMPANY, PARTNERSHIP, LIMITED
25 PARTNERSHIP, BUSINESS TRUST, ASSOCIATION OR ANY OTHER LEGAL COMMERCIAL
26 ENTITY ORGANIZED UNDER THE LAWS OF THIS STATE OR ANY OTHER STATE OR
27 FOREIGN JURISDICTION, INCLUDING ANY SUBSIDIARY DIRECTLY OR INDIRECTLY
28 CONTROLLED BY THE BUSINESS ENTITY, AND ANY POLITICAL ORGANIZATION,
29 INCLUDING BUT NOT LIMITED TO ANY POLITICAL ORGANIZATION ORGANIZED UNDER
30 SECTION 527 OF THE INTERNAL REVENUE CODE, THAT IS DIRECTLY OR INDIRECTLY
31 CONTROLLED BY THE BUSINESS ENTITY;

32 C. "IMMEDIATE FAMILY" MEANS ANY SPOUSE OR CHILD OF AN INDIVIDUAL OR
33 ANY FINANCIALLY DEPENDENT RELATIVES WHO RESIDE IN THE INDIVIDUAL'S
34 HOUSEHOLD;

35 D. "HOUSEKEEPING ACCOUNT" MEANS AN ACCOUNT MAINTAINED BY A PARTY
36 COMMITTEE OR CONSTITUTED COMMITTEE FROM WHICH EXPENDITURES ARE MADE TO
37 MAINTAIN A PERMANENT HEADQUARTERS AND STAFF AND CARRY ON ORDINARY PARTY
38 ACTIVITIES WHICH ARE NOT FOR THE EXPRESS PURPOSE OF PROMOTING THE CANDI-
39 DACY OF SPECIFIC CANDIDATES;

40 E. "CANDIDATE FOR STATE OFFICE" MEANS A CANDIDATE FOR THE FOLLOWING
41 STATE OFFICES: GOVERNOR, LIEUTENANT GOVERNOR, ATTORNEY GENERAL, COMP-
42 TROLLER, SENATOR, AND MEMBER OF THE ASSEMBLY;

43 F. "BEHESTED PAYMENTS" MEANS CONTRIBUTIONS OR PAYMENTS SOLICITED BY
44 STATE ELECTED OFFICIALS TO BE USED FOR LEGISLATIVE, GOVERNMENTAL OR
45 CHARITABLE PURPOSES, BUT NOT CAMPAIGN PURPOSES; AND

46 G. "PERSONAL BUSINESS TRANSACTION" MEANS TRANSACTIONS FOR SERVICES
47 OFFERED BY THE ELECTED OFFICIAL IN HIS OR HER CAPACITY AS A PRIVATE
48 CITIZEN TO ANY MEMBER OF THE PUBLIC.

49 2. THE FOLLOWING PERSONS AND BUSINESS ENTITIES WHO MAKE A CONTRIBUTION
50 TO A CANDIDATE FOR STATE OFFICE, A POLITICAL COMMITTEE WORKING DIRECTLY
51 OR INDIRECTLY TO AID OR PARTICIPATE IN SUCH CANDIDATE'S NOMINATION OR
52 ELECTION, A POLITICAL COMMITTEE ESTABLISHED OR CONTROLLED BY SUCH CANDI-
53 DATE, OR A STATE OR LOCAL COMMITTEE OF A POLITICAL PARTY, INCLUDING A
54 HOUSEKEEPING ACCOUNT, SHALL FILE REPORTS AS REQUIRED BY SUBDIVISION
55 THREE OF THIS SECTION WITH THE STATE BOARD OF ELECTIONS WITHIN SEVEN
56 CALENDAR DAYS AFTER THE DATE OF A CONTRIBUTION:

1 A. A LOBBYIST REGISTERED UNDER SECTION ONE-E OF THE LEGISLATIVE LAW,
2 INCLUDING ANY PERSON, ORGANIZATION, GROUP OF PERSONS OR BUSINESS ENTITY
3 THAT IS SO REGISTERED;

4 B. ANY PERSON WHO OWNS MORE THAN TEN PERCENT OF A BUSINESS ENTITY
5 DESCRIBED IN PARAGRAPH A OF THIS SUBDIVISION;

6 C. ANY PERSON EMPLOYED BY AN ORGANIZATION, GROUP, OR BUSINESS ENTITY
7 DESCRIBED IN PARAGRAPH A OF THIS SUBDIVISION WHO HOLDS A SENIOR MANAGE-
8 MENT POSITION AS DEFINED BY THE COMMISSION ON GOVERNMENTAL ETHICS;

9 D. THE IMMEDIATE FAMILY MEMBER OF A PERSON WHO IS DESCRIBED IN PARA-
10 GRAPH A, B OR C OF THIS SUBDIVISION; OR

11 E. ANY POLITICAL COMMITTEE ESTABLISHED OR CONTROLLED BY A PERSON,
12 ORGANIZATION, GROUP OF PERSONS OR BUSINESS ENTITY DESCRIBED IN PARAGRAPH
13 A, B, C OR D OF THIS SUBDIVISION.

14 3. THE BOARD OF ELECTIONS SHALL PRESCRIBE FORMS AND PROCEDURES FOR THE
15 REPORTING REQUIRED IN SUBDIVISION TWO OF THIS SECTION WHICH, AT A MINI-
16 MUM, SHALL REQUIRE ELECTRONIC FILING OF THE FOLLOWING INFORMATION:

17 A. THE NAME, ADDRESS, EMPLOYER AND NAME OF SPOUSE OF THE PERSON MAKING
18 THE CONTRIBUTION AND THE NAME OF THE SPOUSE'S EMPLOYER;

19 B. THE NAME OF THE CANDIDATE, POLITICAL COMMITTEE, OR STATE OR LOCAL
20 COMMITTEE OF A POLITICAL PARTY, INCLUDING A HOUSEKEEPING ACCOUNT,
21 RECEIVING THE CONTRIBUTION;

22 C. THE AMOUNT AND DATE OF THE CONTRIBUTION; AND

23 D. IF AN ORGANIZATION, GROUP OF PERSONS, OR BUSINESS ENTITY IS MAKING
24 THE CONTRIBUTION:

25 (I) THE NAMES AND BUSINESS ADDRESSES OF ALL PERSONS WHO OWN MORE THAN
26 TEN PERCENT OF THE ORGANIZATION, GROUP OR ENTITY; OR

27 (II) THE NAMES AND BUSINESS ADDRESSES OF ALL PERSONS EMPLOYED BY THE
28 ORGANIZATION, GROUP, OR BUSINESS ENTITY WHO HOLD A SENIOR MANAGEMENT
29 POSITION AS DEFINED BY THE COMMISSION ON GOVERNMENTAL ETHICS.

30 4. ELECTED OFFICIALS MUST REPORT ANY BEHESTED PAYMENTS THEY HAVE
31 SOLICITED IF THEY TOTAL FIVE THOUSAND DOLLARS OR MORE PER CALENDAR YEAR
32 FROM A SINGLE SOURCE WITHIN THIRTY DAYS OF THE DATE THE BEHESTED PAYMENT
33 IS MADE ON FORMS PROSCRIBED BY THE COMMISSION ON GOVERNMENTAL ETHICS.

34 5. THE BOARD OF ELECTIONS SHALL MAINTAIN COMPLETED FORMS AND REPORTS
35 DESCRIBED IN SUBDIVISION TWO OF THIS SECTION FOR PUBLIC INSPECTION BOTH
36 AT THE BOARD OF ELECTIONS OFFICE AND THROUGH THE BOARD OF ELECTIONS
37 ELECTRONIC FILING SYSTEM FOR CAMPAIGN FINANCE DISCLOSURE (EFS).

38 6. IT SHALL BE UNLAWFUL FOR ANY PERSON, ORGANIZATION, GROUP OF PERSONS
39 OR BUSINESS ENTITY DESCRIBED IN PARAGRAPHS A, B, C, D AND E OF SUBDIVI-
40 SION TWO OF THIS SECTION TO:

41 A. MAKE CONTRIBUTIONS TO A CANDIDATE FOR STATE OFFICE, A POLITICAL
42 COMMITTEE WORKING DIRECTLY OR INDIRECTLY TO AID OR PARTICIPATE IN SUCH
43 CANDIDATE'S NOMINATION OR ELECTION, OR A POLITICAL COMMITTEE ESTABLISHED
44 OR CONTROLLED BY SUCH CANDIDATE THAT EXCEED THE FOLLOWING AMOUNTS PER
45 ELECTION FOR THE FOLLOWING OFFICES:

46 (I) GOVERNOR: FIVE HUNDRED DOLLARS;

47 (II) LIEUTENANT GOVERNOR: FIVE HUNDRED DOLLARS;

48 (III) ATTORNEY GENERAL: FIVE HUNDRED DOLLARS;

49 (IV) COMPTROLLER: FIVE HUNDRED DOLLARS;

50 (V) SENATOR: THREE HUNDRED FIFTY DOLLARS; AND

51 (VI) MEMBER OF ASSEMBLY: TWO HUNDRED FIFTY DOLLARS;

52 B. MAKE CONTRIBUTIONS TO:

53 (I) POLITICAL COMMITTEES WORKING DIRECTLY OR INDIRECTLY TO AID OR
54 PARTICIPATE IN THE NOMINATION OR ELECTION OF A CANDIDATE FOR THE OFFICES
55 DESCRIBED IN SUBPARAGRAPHS (I), (II), (III), (IV), (V) AND (VI) OF PARA-
56 GRAPH A OF THIS SUBDIVISION, OR OTHER POLITICAL COMMITTEES ESTABLISHED

OR CONTROLLED BY A CANDIDATE FOR THE OFFICES DESCRIBED IN SUBPARAGRAPHS (I), (II), (III), (IV), (V) AND (VI) OF PARAGRAPH A OF THIS SUBDIVISION, THAT IN THE AGGREGATE EXCEED FOUR THOUSAND DOLLARS PER ELECTION; OR (II) STATE OR LOCAL COMMITTEES OF A POLITICAL PARTY, OR ANY HOUSEKEEPING ACCOUNT, IN AN AMOUNT GREATER THAN ONE THOUSAND DOLLARS PER ELECTION, AND IN AN AGGREGATE TO ALL STATE OR LOCAL COMMITTEES OF POLITICAL PARTIES IN AN AGGREGATE THAT EXCEEDS TWO THOUSAND DOLLARS PER ELECTION;

C. TRANSMIT A CONTRIBUTION ON BEHALF OF ANOTHER TO, OR SOLICIT A CONTRIBUTION ON BEHALF OF:

(I) A CANDIDATE FOR ANY OF THE OFFICES FOR WHICH CONTRIBUTIONS ARE LIMITED UNDER PARAGRAPH A OF THIS SUBDIVISION;

(II) ANY POLITICAL COMMITTEE WORKING DIRECTLY OR INDIRECTLY TO AID OR PARTICIPATE IN THE NOMINATION OR ELECTION OF A CANDIDATE FOR OFFICE FOR WHICH THEIR CONTRIBUTIONS ARE LIMITED IN PARAGRAPH A OF THIS SUBDIVISION, OR ANY OTHER POLITICAL COMMITTEE ESTABLISHED OR CONTROLLED BY A CANDIDATE FOR THE OFFICES FOR WHICH THEIR CONTRIBUTIONS ARE LIMITED UNDER PARAGRAPH A OF THIS SUBDIVISION;

(III) A STATE OR LOCAL COMMITTEE OF A POLITICAL PARTY, INCLUDING A HOUSEKEEPING ACCOUNT;

D. PARTICIPATE IN ANY FUND-RAISING ACTIVITIES FOR:

(I) A CANDIDATE FOR ANY OF THE OFFICES FOR WHICH CONTRIBUTIONS ARE LIMITED UNDER PARAGRAPH A OF THIS SUBDIVISION;

(II) ANY POLITICAL COMMITTEE WORKING DIRECTLY OR INDIRECTLY TO AID OR PARTICIPATE IN THE NOMINATION OR ELECTION OF A CANDIDATE FOR OFFICE FOR WHICH THEIR CONTRIBUTIONS ARE LIMITED IN PARAGRAPH A OF THIS SUBDIVISION, OR ANY OTHER POLITICAL COMMITTEE ESTABLISHED OR CONTROLLED BY A CANDIDATE FOR THE OFFICES FOR WHICH THEIR CONTRIBUTIONS ARE LIMITED UNDER PARAGRAPH A OF THIS SUBDIVISION;

(III) A STATE OR LOCAL COMMITTEE OF A POLITICAL PARTY, INCLUDING A HOUSEKEEPING ACCOUNT;

E. SERVE AS CHAIRPERSON, TREASURER, OR ANY OTHER OFFICER OF:

(I) ANY POLITICAL COMMITTEE WORKING DIRECTLY OR INDIRECTLY TO AID OR PARTICIPATE IN THE NOMINATION OR ELECTION OF A CANDIDATE FOR OFFICE FOR WHICH THEIR CONTRIBUTIONS ARE LIMITED UNDER PARAGRAPH A OF THIS SUBDIVISION; OR

(II) ANY OTHER POLITICAL COMMITTEE ESTABLISHED OR CONTROLLED BY A CANDIDATE FOR WHICH THEIR CONTRIBUTIONS ARE LIMITED UNDER PARAGRAPH A OF THIS SUBDIVISION;

F. CONDUCT PERSONAL BUSINESS TRANSACTIONS IN AN AMOUNT OVER TWO THOUSAND DOLLARS IN ANY CALENDAR YEAR WITH A PUBLIC OFFICIAL HOLDING THE OFFICES FOR WHICH THEIR CONTRIBUTIONS ARE LIMITED UNDER PARAGRAPH A OF THIS SUBDIVISION;

G. DELIVER TO ANY CONDUIT OR INTERMEDIARY ANY CONTRIBUTION EARMARKED FOR A PARTICULAR CANDIDATE FOR THE OFFICES FOR WHICH THEIR CONTRIBUTIONS ARE LIMITED UNDER PARAGRAPH A OF THIS SUBDIVISION, OR ANY COMMITTEE WORKING DIRECTLY OR INDIRECTLY TO AID OR PARTICIPATE IN SUCH CANDIDATE'S NOMINATION OR ELECTION, OR ANY OTHER POLITICAL COMMITTEE ESTABLISHED OR CONTROLLED BY SUCH CANDIDATE; OR

H. KNOWINGLY TAKE OTHER STEPS TO CIRCUMVENT THE RESTRICTIONS IN THIS SUBSECTION.

7. NO CANDIDATE FOR STATE OFFICE, COMMITTEE WORKING DIRECTLY OR INDIRECTLY TO AID OR PARTICIPATE IN SUCH CANDIDATE'S NOMINATION OR ELECTION, OR ANY OTHER POLITICAL COMMITTEE ESTABLISHED OR CONTROLLED BY SUCH CANDIDATE SHALL ACCEPT CONTRIBUTIONS FROM ANY PERSON, ORGANIZATION, GROUP OF PERSONS, OR BUSINESS ENTITY DESCRIBED IN PARAGRAPH A, B, C, D

OR E OF SUBDIVISION TWO OF THIS SECTION THAT EXCEED THE FOLLOWING AMOUNTS PER ELECTION FOR THE FOLLOWING OFFICES:

- A. GOVERNOR: FIVE HUNDRED DOLLARS;
- B. LIEUTENANT GOVERNOR: FIVE HUNDRED DOLLARS;
- C. COMPTROLLER: FIVE HUNDRED DOLLARS;
- D. ATTORNEY GENERAL: FIVE HUNDRED DOLLARS;
- E. SENATOR: THREE HUNDRED FIFTY DOLLARS; AND
- F. MEMBER OF ASSEMBLY: TWO HUNDRED FIFTY DOLLARS.

8. NO STATE OR LOCAL POLITICAL PARTY COMMITTEES, INCLUDING ANY HOUSE-KEEPING ACCOUNT, SHALL ACCEPT CONTRIBUTIONS IN AN AMOUNT GREATER THAN ONE THOUSAND DOLLARS PER ELECTION FROM ANY PERSON, ORGANIZATION, GROUP OF PERSONS OR BUSINESS ENTITY DESCRIBED IN PARAGRAPH A, B, C, D OR E OF SUBDIVISION TWO OF THIS SECTION.

9. NO PUBLIC OFFICIAL HOLDING ANY OF THE OFFICES LISTED IN PARAGRAPH A OF SUBDIVISION SIX OF THIS SECTION SHALL CONDUCT PERSONAL BUSINESS TRANSACTIONS IN AN AMOUNT OVER TWO THOUSAND DOLLARS IN ANY CALENDAR YEAR WITH ANY PERSON, ORGANIZATION, GROUP OF PERSONS OR BUSINESS ENTITY DESCRIBED IN PARAGRAPH A, B, C, D OR E OF SUBDIVISION TWO OF THIS SECTION.

10. THIS SECTION SHALL NOT PROHIBIT ANY PERSON FROM INFORMING ANY OTHER PERSON OF A POSITION TAKEN BY A PUBLIC OFFICIAL OR A CANDIDATE FOR PUBLIC OFFICE.

11. THE PROVISIONS OF SUBDIVISIONS TWO AND SIX OF THIS SECTION SHALL NOT APPLY TO THE CAMPAIGN OF ANY PERSON DESCRIBED IN PARAGRAPH A, B, C OR D OF SUBDIVISION TWO OF THIS SECTION WHO IS A CANDIDATE FOR ANY OF THOSE OFFICES LISTED IN PARAGRAPH A OF SUBDIVISION SIX OF THIS SECTION.

S 14-132. GOVERNMENT CONTRACTOR REPORTING AND CONTRIBUTION LIMITS. 1. DEFINITIONS. THE FOLLOWING DEFINITIONS SHALL APPLY TO THIS SECTION:

A. "AGENT" MEANS ANY PERSON ACTING AT THE DIRECTION OF OR ON BEHALF OF AN INDIVIDUAL OR BUSINESS ENTITY;

B. "BUSINESS ENTITY" MEANS A BUSINESS CORPORATION, PROFESSIONAL SERVICES CORPORATION, LIMITED LIABILITY COMPANY, PARTNERSHIP, LIMITED PARTNERSHIP, BUSINESS TRUST, ASSOCIATION OR ANY OTHER LEGAL COMMERCIAL ENTITY ORGANIZED UNDER THE LAWS OF THIS STATE OR ANY OTHER STATE OR FOREIGN JURISDICTION, INCLUDING ANY SUBSIDIARY DIRECTLY OR INDIRECTLY CONTROLLED BY THE BUSINESS ENTITY, AND ANY POLITICAL ORGANIZATION, INCLUDING BUT NOT LIMITED TO ANY POLITICAL ORGANIZATION ORGANIZED UNDER SECTION 527 OF THE INTERNAL REVENUE CODE, THAT IS DIRECTLY OR INDIRECTLY CONTROLLED BY THE BUSINESS ENTITY;

C. "IMMEDIATE FAMILY" MEANS ANY SPOUSE OR CHILD OF AN INDIVIDUAL OR ANY FINANCIALLY DEPENDENT RELATIVES WHO RESIDE IN THE INDIVIDUAL'S HOUSEHOLD;

D. "HOUSEKEEPING ACCOUNT" MEANS AN ACCOUNT MAINTAINED BY A PARTY COMMITTEE OR CONSTITUTED COMMITTEE FROM WHICH EXPENDITURES ARE MADE TO MAINTAIN A PERMANENT HEADQUARTERS AND STAFF AND CARRY ON ORDINARY PARTY ACTIVITIES WHICH ARE NOT FOR THE EXPRESS PURPOSE OF PROMOTING THE CANDIDACY OF SPECIFIC CANDIDATES;

E. "CANDIDATE FOR STATE OFFICE" MEANS A CANDIDATE FOR THE FOLLOWING STATE OFFICES: GOVERNOR, LIEUTENANT GOVERNOR, ATTORNEY GENERAL, COMPTROLLER, SENATOR, AND MEMBER OF THE ASSEMBLY; AND

F. "PERSONAL BUSINESS TRANSACTION" MEANS TRANSACTIONS FOR SERVICES OFFERED BY THE ELECTED OFFICIAL IN HIS OR HER CAPACITY AS A PRIVATE CITIZEN TO ANY MEMBER OF THE PUBLIC.

2. THE FOLLOWING PERSONS AND BUSINESS ENTITIES WHO MAKE A CONTRIBUTION TO A CANDIDATE FOR STATE OFFICE, A POLITICAL COMMITTEE WORKING DIRECTLY OR INDIRECTLY TO AID OR PARTICIPATE IN SUCH CANDIDATE'S NOMINATION OR

1 ELECTION, A POLITICAL COMMITTEE ESTABLISHED OR CONTROLLED BY SUCH CANDI-
2 DATE, OR A STATE OR LOCAL COMMITTEE OF A POLITICAL PARTY, INCLUDING A
3 HOUSEKEEPING ACCOUNT, SHALL FILE REPORTS AS REQUIRED BY SUBDIVISION
4 THREE OF THIS SECTION WITH THE BOARD OF ELECTIONS WITHIN SEVEN CALENDAR
5 DAYS AFTER THE DATE OF A CONTRIBUTION MADE WITHIN THIRTY-SIX DAYS OF AN
6 ELECTION, OR, FOR CONTRIBUTIONS MADE AT ANY OTHER TIME, WITHIN
7 THIRTY-SIX DAYS OF THE DATE OF THE CONTRIBUTION OR THE DATE OF ANY
8 APPLICABLE CONTRACT, WHICHEVER OCCURS LATER:

9 A. ANY PERSON, ORGANIZATION, GROUP OF PERSONS, OR BUSINESS ENTITY THAT
10 HAS RECEIVED, IN A CALENDAR YEAR FIFTY THOUSAND DOLLARS OR MORE THROUGH
11 CONTRACTS FROM THE STATE OR ANY STATE-APPOINTED ENTITY WITH CONTRACTING
12 POWER;

13 B. ANY PERSON WHO OWNS MORE THAN TEN PERCENT OF A BUSINESS ENTITY THAT
14 IS DESCRIBED IN PARAGRAPH A OF THIS SUBDIVISION;

15 C. ANY PERSON EMPLOYED BY AN ORGANIZATION, GROUP, OR BUSINESS ENTITY
16 DESCRIBED IN PARAGRAPH A OF THIS SUBDIVISION WHO HOLDS A SENIOR MANAGE-
17 MENT POSITION AS DEFINED BY THE STATE ETHICS COMMISSION;

18 D. THE IMMEDIATE FAMILY MEMBER OF A PERSON WHO IS DESCRIBED IN PARA-
19 GRAPH A, B OR C OF THIS SUBDIVISION; OR

20 E. ANY POLITICAL COMMITTEE ESTABLISHED OR CONTROLLED BY A PERSON,
21 ORGANIZATION, GROUP OF PERSONS OR BUSINESS ENTITY DESCRIBED IN PARAGRAPH
22 A, B, C AND D OF THIS SUBDIVISION.

23 3. THE BOARD OF ELECTIONS SHALL PRESCRIBE FORMS AND PROCEDURES FOR THE
24 REPORTING REQUIRED IN SUBDIVISION TWO OF THIS SECTION WHICH, AT A MINI-
25 MUM, SHALL REQUIRE THE ELECTRONIC FILING OF THE FOLLOWING INFORMATION:

26 A. THE NAME, ADDRESS, EMPLOYER AND THE NAME OF SPOUSE OF THE PERSON
27 MAKING THE CONTRIBUTION AND THE NAME OF THE SPOUSE'S EMPLOYER;

28 B. THE NAME OF THE CANDIDATE, POLITICAL COMMITTEE, OR STATE OR LOCAL
29 COMMITTEE OF A POLITICAL PARTY, INCLUDING A HOUSEKEEPING ACCOUNT,
30 RECEIVING THE CONTRIBUTION;

31 C. THE AMOUNT OF THE CONTRACT WITH THE STATE OR OTHER ENTITY DEFINED
32 IN PARAGRAPH A OF SUBDIVISION TWO OF THIS SECTION, AND THE DATES AND
33 OTHER INFORMATION IDENTIFYING EACH CONTRACT FOR SERVICES OR GOODS; AND

34 D. IF AN ORGANIZATION, GROUP OF PERSONS, OR BUSINESS ENTITY IS MAKING
35 THE CONTRIBUTION:

36 (I) THE NAMES AND BUSINESS ADDRESSES OF ALL PERSONS WHO OWN MORE THAN
37 TEN PERCENT OF THE ORGANIZATION, GROUP OR ENTITY; OR

38 (II) THE NAMES AND BUSINESS ADDRESSES OF ALL PERSONS EMPLOYED BY THE
39 ORGANIZATION, GROUP, OR BUSINESS ENTITY WHO HOLD A SENIOR MANAGEMENT
40 POSITION AS DEFINED BY THE COMMISSION ON GOVERNMENTAL ETHICS.

41 4. THE BOARD OF ELECTIONS SHALL MAINTAIN COMPLETED FORMS AND REPORTS
42 DESCRIBED IN SUBDIVISION TWO OF THIS SECTION FOR PUBLIC INSPECTION BOTH
43 AT THE BOARD OF ELECTIONS OFFICE AND THROUGH THE BOARD OF ELECTIONS
44 ELECTRONIC FILING SYSTEM FOR CAMPAIGN FINANCE DISCLOSURE (EFS).

45 5. FROM TWELVE MONTHS AFTER A BID OR PROPOSAL TO THE RELEVANT AGENCY
46 OR CONTRACTING AUTHORITY FOR A CONTRACT DESCRIBED IN SUBDIVISION TWO OF
47 THIS SECTION AND EITHER TWELVE MONTHS AFTER COMPLETION OF THE APPLICABLE
48 CONTRACT, OR UPON COMPLETION OF THE APPLICABLE ELECTED OFFICIAL'S TERM
49 IN OFFICE, WHICHEVER IS LONGER, IT SHALL BE UNLAWFUL FOR ANY PERSON,
50 ORGANIZATION, GROUP OF PERSONS OR BUSINESS ENTITY DESCRIBED IN PARAGRAPH
51 A, B, C AND D OR E OF SUBDIVISION TWO OF THIS SECTION TO:

52 A. MAKE CONTRIBUTIONS TO A CANDIDATE FOR STATE OFFICE, ANY POLITICAL
53 COMMITTEE WORKING DIRECTLY OR INDIRECTLY TO AID OR PARTICIPATE IN SUCH
54 CANDIDATE'S NOMINATION OR ELECTION, OR ANY OTHER POLITICAL COMMITTEE
55 ESTABLISHED OR CONTROLLED BY SUCH CANDIDATE THAT EXCEED THE FOLLOWING
56 AMOUNTS PER ELECTION FOR THE FOLLOWING OFFICES:

- 1 (I) GOVERNOR: FIVE HUNDRED DOLLARS;
2 (II) LIEUTENANT GOVERNOR: FIVE HUNDRED DOLLARS;
3 (III) COMPTROLLER: FIVE HUNDRED DOLLARS;
4 (IV) ATTORNEY GENERAL: FIVE HUNDRED DOLLARS;
5 (V) SENATOR: THREE HUNDRED FIFTY DOLLARS; OR
6 (VI) MEMBER OF ASSEMBLY: TWO HUNDRED FIFTY DOLLARS;

7 B. MAKE CONTRIBUTIONS TO:

8 (I) POLITICAL COMMITTEES WORKING DIRECTLY OR INDIRECTLY TO AID OR
9 PARTICIPATE IN THE NOMINATION OR ELECTION OF A CANDIDATE FOR THE OFFICES
10 DESCRIBED IN SUBPARAGRAPHS (I), (II), (III), (IV), (V) AND (VI) OF PARA-
11 GRAPH A OF THIS SUBDIVISION, OR OTHER POLITICAL COMMITTEES ESTABLISHED
12 OR CONTROLLED BY A CANDIDATE FOR THE OFFICES DESCRIBED IN SUBPARAGRAPHS
13 (I), (II), (III), (IV), (V) AND (VI) OF PARAGRAPH A OF THIS SUBDIVISION
14 THAT IN THE AGGREGATE EXCEED FOUR THOUSAND DOLLARS PER ELECTION; OR

15 (II) STATE OR LOCAL COMMITTEES OF A POLITICAL PARTY, OR ANY HOUSE-
16 KEEPING ACCOUNT, IN AN AMOUNT GREATER THAN ONE THOUSAND DOLLARS PER
17 ELECTION, AND IN AN AGGREGATE TO ALL STATE OR LOCAL COMMITTEES OF POLI-
18 TICAL PARTIES IN AN AGGREGATE THAT EXCEEDS TWO THOUSAND DOLLARS PER
19 ELECTION;

20 C. SOLICIT A CONTRIBUTION ON BEHALF OF, OR TRANSMIT A CONTRIBUTION ON
21 BEHALF OF ANOTHER TO:

22 (I) A CANDIDATE FOR ANY OF THE OFFICES FOR WHICH CONTRIBUTIONS ARE
23 LIMITED UNDER PARAGRAPH A OF THIS SUBDIVISION;

24 (II) ANY POLITICAL COMMITTEE WORKING DIRECTLY OR INDIRECTLY TO AID OR
25 PARTICIPATE IN THE NOMINATION OR ELECTION OF A CANDIDATE FOR OFFICE FOR
26 WHICH THEIR CONTRIBUTIONS ARE LIMITED IN PARAGRAPH A OF THIS SUBDIVI-
27 SION, OR ANY OTHER POLITICAL COMMITTEE ESTABLISHED OR CONTROLLED BY A
28 CANDIDATE FOR THE OFFICES FOR WHICH THEIR CONTRIBUTIONS ARE LIMITED
29 UNDER PARAGRAPH A OF THIS SUBDIVISION;

30 (III) A STATE OR LOCAL COMMITTEE OF A POLITICAL PARTY INCLUDING A
31 HOUSEKEEPING ACCOUNT;

32 D. PARTICIPATE IN ANY FUND-RAISING ACTIVITIES FOR:

33 (I) A CANDIDATE FOR ANY OF THE OFFICES FOR WHICH CONTRIBUTIONS ARE
34 LIMITED UNDER PARAGRAPH A OF THIS SUBDIVISION;

35 (II) ANY POLITICAL COMMITTEE WORKING DIRECTLY OR INDIRECTLY TO AID OR
36 PARTICIPATE IN THE NOMINATION OR ELECTION OF A CANDIDATE FOR OFFICE FOR
37 WHICH THEIR CONTRIBUTIONS ARE LIMITED IN PARAGRAPH A OF THIS SUBDIVI-
38 SION, OR ANY OTHER POLITICAL COMMITTEE ESTABLISHED OR CONTROLLED BY A
39 CANDIDATE FOR THE OFFICES FOR WHICH THEIR CONTRIBUTIONS ARE LIMITED
40 UNDER PARAGRAPH A OF THIS SUBDIVISION;

41 (III) A STATE OR LOCAL COMMITTEE OF A POLITICAL PARTY, INCLUDING A
42 HOUSEKEEPING ACCOUNT;

43 E. SERVE AS CHAIRPERSON, TREASURER, OR ANY OTHER OFFICER OF:

44 (I) ANY POLITICAL COMMITTEE WORKING DIRECTLY OR INDIRECTLY TO AID OR
45 PARTICIPATE IN THE NOMINATION OR ELECTION OF A CANDIDATE FOR OFFICE FOR
46 WHICH THEIR CONTRIBUTIONS ARE LIMITED UNDER PARAGRAPH A OF THIS SUBDIVI-
47 SION; OR

48 (II) ANY OTHER POLITICAL COMMITTEE ESTABLISHED OR CONTROLLED BY A
49 CANDIDATE FOR WHICH THEIR CONTRIBUTIONS ARE LIMITED UNDER PARAGRAPH A OF
50 THIS SUBDIVISION;

51 F. CONDUCT PERSONAL BUSINESS TRANSACTIONS IN AN AMOUNT OVER TWO THOU-
52 SAND DOLLARS IN ANY CALENDAR YEAR WITH A PUBLIC OFFICIAL HOLDING THE
53 OFFICES FOR WHICH THEIR CONTRIBUTIONS ARE LIMITED UNDER PARAGRAPH A OF
54 THIS SUBDIVISION;

55 G. DELIVER TO ANY CONDUIT OR INTERMEDIARY ANY CONTRIBUTION EARMARKED
56 FOR A PARTICULAR CANDIDATE FOR THE OFFICES FOR WHICH THEIR CONTRIBUTIONS

1 ARE LIMITED UNDER PARAGRAPH A OF THIS SUBDIVISION, OR ANY COMMITTEE
2 WORKING DIRECTLY OR INDIRECTLY TO AID OR PARTICIPATE IN SUCH CANDIDATE'S
3 NOMINATION OR ELECTION, OR ANY OTHER POLITICAL COMMITTEE ESTABLISHED OR
4 CONTROLLED BY SUCH CANDIDATE; OR

5 H. KNOWINGLY TAKE ANY STEP TO CIRCUMVENT THE RESTRICTIONS IN THIS
6 SUBDIVISION.

7 I. THE PROVISIONS OF THIS SECTION SHALL NOT APPLY FOR A CONTRACTOR
8 MAKING A CONTRIBUTION, OR ANY DISCLOSURE THEREOF REQUIRED BY THIS ARTI-
9 CLE, IN ANY CALENDAR YEAR IN WHICH SUCH CONTRACTOR RECEIVES FUNDS
10 DISBURSED BY THE STATE OR ANY INSTRUMENTALITY THEREOF PURSUANT TO A
11 FEDERAL STATUTE, RULE OR REGULATION THAT WOULD RENDER THE STATE OR SUCH
12 INSTRUMENTALITY OR CONTRACTOR INELIGIBLE TO RECEIVE SUCH FUNDS BY VIRTUE
13 OF THE OPERATION OF THIS SECTION.

14 THIS SUBDIVISION SHALL NOT BE APPLICABLE TO CONTRIBUTIONS MADE BY ANY
15 PERSON, ORGANIZATION, GROUP OF PERSONS OR BUSINESS ENTITY AT A TIME WHEN
16 THE PERSON, ORGANIZATION, GROUP OF PERSONS OR BUSINESS ENTITY DID NOT
17 MEET THE DESCRIPTIONS OF PARAGRAPHS A, B, C, D AND E OF SUBDIVISION TWO
18 OF THIS SECTION.

19 6. THE STATE OR ANY STATE DEPARTMENT, PUBLIC ENTITY OR AUTHORITY WITH
20 CONTRACT-MAKING POWER SHALL NOT ENTER INTO AN AGREEMENT OR OTHERWISE
21 CONTRACT TO PROCURE SERVICES OR ANY MATERIAL, SUPPLIES OR EQUIPMENT, OR
22 TO ACQUIRE, SELL, OR LEASE ANY LAND OR BUILDING FROM ANY PERSON, ORGAN-
23 IZATION, GROUP OF PERSONS OR BUSINESS ENTITY DESCRIBED IN PARAGRAPHS A,
24 B, C AND D OF SUBDIVISION TWO OF THIS SECTION WHO HAS MADE A CONTRIB-
25 UTION PROHIBITED IN SUBDIVISION FIVE OF THIS SECTION. THIS SUBDIVISION
26 SHALL NOT BE APPLICABLE TO CONTRIBUTIONS MADE BY ANY PERSON, ORGANIZA-
27 TION, GROUP OF PERSONS OR BUSINESS ENTITY AT A TIME WHEN THE PERSON,
28 ORGANIZATION, GROUP OF PERSONS OR BUSINESS ENTITY DID NOT MEET THE
29 DESCRIPTIONS OF PARAGRAPH A, B, C, D OR E OF SUBDIVISION TWO OF THIS
30 SECTION. NOTHING IN THIS SECTION SHALL IMPAIR THE POWER OF THE STATE OR
31 ANY INSTRUMENTALITY THEREOF TO ENTER INTO A CONTRACT WITH ANY CONTRACTOR
32 WHERE FEDERAL FUNDS WOULD SUPPORT THE PAYMENT OR PERFORMANCE OF SUCH
33 CONTRACT AND A FEDERAL STATUTE, RULE OR REGULATION WOULD RENDER THE
34 STATE OR SUCH INSTRUMENTALITY OR CONTRACTOR INELIGIBLE TO RECEIVE SUCH
35 FUNDS BY VIRTUE OF THE OPERATION OF THIS SECTION.

36 7. EVERY CONTRACT AND BID APPLICATION AND SPECIFICATIONS PROMULGATED
37 BY THE STATE OR ANY STATE DEPARTMENT, PUBLIC ENTITY OR AUTHORITY WITH
38 CONTRACT-MAKING POWER SHALL CONTAIN A PROVISION DESCRIBING THE REQUIRE-
39 MENTS OF SECTION 14-116 OF THIS ARTICLE.

40 8. BEFORE ENTERING INTO ANY AGREEMENT OR ANY OTHER CONTRACT TO PROCURE
41 FROM ANY PERSON, ORGANIZATION, GROUP OF PERSONS OR BUSINESS ENTITY
42 SERVICES OR ANY MATERIAL, SUPPLIES OR EQUIPMENT, OR TO ACQUIRE, SELL, OR
43 LEASE ANY LAND OR BUILDING, THE STATE OR ANY STATE DEPARTMENT, PUBLIC
44 ENTITY OR AUTHORITY WITH CONTRACT-MAKING POWER SHALL RECEIVE A SWORN
45 STATEMENT FROM THE CONTRACTOR, MADE UNDER PENALTY OF PERJURY, THAT THE
46 BIDDER OR OFFERER HAS NOT MADE A CONTRIBUTION IN VIOLATION OF THIS
47 SECTION.

48 9. NO CANDIDATE FOR STATE OFFICE SHALL ACCEPT CAMPAIGN CONTRIBUTIONS
49 FROM A PERSON, ORGANIZATION, GROUP OF PERSONS OR BUSINESS ENTITY
50 DESCRIBED IN PARAGRAPH A, B, C, D OR E OF SUBDIVISION TWO OF THIS
51 SECTION IN AN AMOUNT EXCEEDING THOSE PERMITTED IN PARAGRAPH A OF SUBDI-
52 VISION FIVE OF THIS SECTION FOR TWELVE MONTHS AFTER COMPLETION OF THE
53 APPLICABLE CONTRACT, OR THE REMAINDER OF THE CANDIDATES TERM IN OFFICE,
54 WHICHEVER IS LONGER. THIS SUBDIVISION SHALL NOT BE APPLICABLE TO
55 CONTRIBUTIONS MADE BY ANY PERSON, ORGANIZATION, GROUP OF PERSONS OR
56 BUSINESS ENTITY AT A TIME WHEN THE PERSON, ORGANIZATION, GROUP OF

1 PERSONS OR BUSINESS ENTITY DID NOT MEET THE DESCRIPTIONS OF PARAGRAPH A,
2 B, C, D OR E OF SUBDIVISION TWO OF THIS SECTION.

3 10. NO PUBLIC OFFICIAL HOLDING ANY OF THE OFFICES LISTED IN PARAGRAPH
4 A OF SUBDIVISION FIVE OF THIS SECTION SHALL CONDUCT PERSONAL BUSINESS
5 TRANSACTIONS IN AN AMOUNT OVER TWO THOUSAND DOLLARS IN ANY CALENDAR YEAR
6 WITH ANY PERSON, ORGANIZATION, GROUP OF PERSONS OR BUSINESS ENTITY
7 DESCRIBED IN PARAGRAPHS A, B, C AND D OF SUBDIVISION TWO OF THIS
8 SECTION.

9 11. THIS SECTION SHALL NOT PROHIBIT ANY PERSON FROM INFORMING ANY
10 OTHER PERSON OF A POSITION TAKEN BY A PUBLIC OFFICIAL OR A CANDIDATE FOR
11 PUBLIC OFFICE.

12 12. THE PROVISIONS OF SUBDIVISIONS TWO AND FIVE OF THIS SECTION SHALL
13 NOT APPLY TO THE CAMPAIGN OF ANY PERSON DESCRIBED IN PARAGRAPH A, B, C
14 OR D OF SUBDIVISION TWO OF THIS SECTION WHO IS A CANDIDATE FOR ANY OF
15 THOSE OFFICES LISTED IN PARAGRAPH A OF SUBDIVISION FIVE OF THIS SECTION.

16 S 14-133. COMMISSIONING AUTHORITIES AND LICENSING AUTHORITIES. THE
17 FOLLOWING PERSONS SHALL NOT BE APPOINTED TO A STATE PUBLIC BOARD OR
18 COMMISSION WHICH HAS THE AUTHORITY TO AWARD OR AUDIT ANY PUBLIC
19 CONTRACT:

20 1. A LOBBYIST REGISTERED UNDER SECTION ONE-E OF THE LEGISLATIVE LAW;

21 2. ANY PERSON OR BUSINESS ENTITY WHO, IN THE PREVIOUS TWO YEARS, HAS
22 RECEIVED FIFTY THOUSAND DOLLARS OR MORE THROUGH ONE OR MORE CONTRACTS
23 FROM THE STATE OR ANY STATE-APPOINTED ENTITY WITH CONTRACTING POWER;

24 3. ANY PERSON WHO OWNS MORE THAN TEN PERCENT OF A BUSINESS ENTITY THAT
25 IS DESCRIBED IN SUBDIVISION TWO OF THIS SECTION;

26 4. ANY PERSON EMPLOYED BY AN ORGANIZATION, GROUP, OR BUSINESS ENTITY
27 DESCRIBED IN SUBDIVISION TWO OF THIS SECTION WHO HOLDS A SENIOR MANAGE-
28 MENT POSITION AS DEFINED BY THE COMMISSION ON GOVERNMENTAL ETHICS; OR

29 5. AN IMMEDIATE FAMILY MEMBER OF A PERSON DESCRIBED IN SUBDIVISION
30 ONE, TWO, THREE, OR FOUR OF THIS SECTION.

31 S 7. This act shall take effect on the first of January next succeed-
32 ing the date on which it shall have become a law provided that section
33 14-132 of the election law as added by section six of this act shall
34 take effect two years after such effective date.