



ONLINE FILING INSTRUCTIONS FOR
PRINCIPAL REGISTRATION STATEMENTS
AND AMENDED REGISTRATION STATEMENTS

GENERAL INFORMATION

These instructions are for those using the online filing for principal registration statements. Please understand that *if the principal decides to file registration statements on the online filing system, then it must continue to file all lobbying disclosure registration statements and expense reporting forms online for the remainder of the calendar year*, in compliance with section 13A10(c) of Act 134 of 2006.

Unless exempt under section 13A06 of the Act, (*see* “Exemptions” on page 5), a principal **must** file a principal registration statement with the Bureau within ten (10) days of acting in any capacity as a principal. Engaging a lobbyist for lobbying purposes or engaging in lobbying on the principal’s own behalf constitutes acting in the capacity of a principal. The term “principal” includes any individual, association, corporation, partnership, business trust or other entity on whose behalf a lobbying firm or lobbyist engages in lobbying or that engages in lobbying on the principal’s own behalf.

Activity that Constitutes Lobbying: Lobbying is defined as an effort to influence legislative action or administrative action in the Commonwealth. The term includes:

- (1) Direct or indirect communication;
- (2) Office expenses; and
- (3) Providing any gift, hospitality, transportation or lodging to a state official or employee for the purpose of advancing the interest of the lobbyist or principal.

Registration Statement Filing Period: Unless exempt, principal registration statements must be filed with the Bureau within ten (10) days of acting in any capacity as a principal.

Registration Frequency: Principals must register on a biennial basis. Registration may occur at any point in time during the two (2) year registration period, however, such filing must still be within ten (10) days of acting in any capacity as a principal. Unless the filer terminates the

registration statement (see, “Termination,” page 5), it remains in effect from the date of filing through the final day of the registration period in which it was filed.

IMPORTANT: Registration periods commence on the first day of each odd-numbered year and continue through December 31 of the following even-numbered year.

Registration Numbers: Registration numbers will be issued to all principals once they file online. Once a registration number has been assigned, it will appear online when the principal arrives at the screen entitled “Principal Information.”

Filing Location: The Bureau is the only authorized filing location for filings under the Act. Once a principal submits a registration form online, it will be sent to the Bureau.

For online filing, go to the Department’s Web Site at: <http://www.palobbyingservices.state.pa.us/act134/default.aspx>. Next, click on the statement the principal would like to complete. Please follow the general instructions on the screens and the specific instructions listed below to complete the requested information and the Affirmation. Once the principal reviews the data entered on the review screen, then complete the information requested on the Affirmation screen and submit the registration electronically. Remember that although this procedure will submit the registration statement, **the Bureau will only consider a principal’s registration statement filed upon receipt of the statement and the filing fee.**

Note: Online filings must be received by 11:59 P.M. on the due date.

For answers to questions on forms and filing, telephone the Bureau at (717) 787-5280. For email inquiries, write to the Bureau at the following address: RA-LobbyDisclosure@state.pa.us.

Advisories Regarding Compliance: For official advisories regarding compliance with the Act, contact the Pennsylvania State Ethics Commission (Commission) at 309 Finance Building, P.O. Box 11470, Harrisburg, Pennsylvania 17108-1470. For informal advice, contact the Commission by telephone at 1-800-932-0936 or (717) 783-1610. The Commission does not issue official advisories by telephone.

Biennial Filing Fee: A biennial filing fee of two hundred dollars (\$200) must be rendered to the Bureau with the filing of the principal’s registration statement in the current registration period. A registration statement will not be deemed filed until the Bureau receives the fee. A registrant is required to pay only one such fee in any given biennial registration period. The fee is nonrefundable and nontransferable. Amended filings do not require a fee.

Payment of Biennial Filing Fee: Payment may be made by credit card or separately as follows:

- Payment by credit card: After filling out the online registration form, select the credit

card method of payment. Fill out the required information and select “submit.” This will bring you to a page that informs the registrant if the credit card transaction was successfully processed and will give the registrant a confirmation number for the principal’s records.

- Payment separately: Payment must be in the form of a check or money order and made payable to the *Commonwealth of Pennsylvania*. **It is essential that each check indicate the name of the registrant.** Multiple registrations may be paid with one check as long as it is accompanied by a letter stating which registrations are encompassed in the payment. Payment may be mailed or hand-delivered to the following address:

Bureau of Commissions, Elections and Legislation
210 North Office Building
Harrisburg, PA 17120

Print the payment screen, keep a copy for the principal’s records and submit one copy with the payment.

Affirmations and Acknowledgments: The registration must include a typed or printed name of an individual, which, subject to 18 Pa.C.S. § 4904 (unsworn falsifications to authorities), states that the information provided is true and correct to the best of the filer’s knowledge, information and belief. The registration statement also contains an acknowledgment that the registrant or their designee has received, read and understands the Act.

Service of Process: Each registration statement contains a consent on the part of the registrant to receive service of notices and process at the registered address, email or facsimile.

PRINCIPAL REGISTRATION

Principals must use the Principal Registration Statement prescribed by the Department if they use the online filing system to file or amend a registration statement. For both initial registrations and amended registrations, indicate the date filed and the date lobbying commenced. Registration numbers are not required on initial registrations.

Amendments- If a principal is amending its registration statement, use the screen entitled “My Registrations” and click on the edit or delete function for the item to amend. When filing an amended registration statement, complete those screens and those sections in which changes occurred, as long as the principal indicates the date filed and the date lobbying commenced. Amended statements do not require a fee.

All information must be included online. The instructions below explain how to add additional lobbying firms, lobbyists, affiliated political action committees and candidate political committees online. If the principal would like to add additional explanations of any items

contained in its online filing, send a letter by email, fax or first class mail to the Bureau. The screen titles where the principal is asked to insert information are listed below in **boldface** type.

PRINCIPAL INFORMATION

- Under “General Information,” list the name of the principal registering. If an acronym exists, indicate that in the appropriate box. The principal’s registration number will be assigned upon arrival at this screen. Also include the date on which the principal, or lobbyist or lobbying firm on the principal’s behalf, commenced lobbying.
- Under “Address Information,” include the permanent business address mailing address for the principal. If the principal has more than one business address, indicate the **primary** address for the principal. Include the street address on the next line, if different. As noted on the Affirmation screen later, a registrant who does not supply a street address shall be deemed to have waived personal service where such service is required by law.
- Under “Contact Information,” list a daytime telephone number where the contact for the principal can be reached. Also include a FAX number and email address if they are available.
- Under the heading “Primary Nature of the Business of the Principal,” check the primary nature of the business of the principal from the drop-down box. If the nature of the business is “other,” indicate the nature in the line provided.
- Under the heading “Association/Organization Members,” if the principal is an association or organization, answer yes and then list the number of dues-paying members. If the principal is an association or organization, but there are no dues-paying members, enter the number zero (0). Also indicate the most recent completed calendar year. The number of members provided should correspond with the year indicated.

INFORMATION ON AFFILIATED POLITICAL ACTION COMMITTEE(S)

List all affiliated political action committees (PACs) of the principal. Include the name, acronym and the registration number. To submit additional affiliated PACs, go to the next screen and click the answer “Yes” when asked about additional affiliated PACs.

An “affiliated political action committee” is a PAC, as defined in the Election Code at 25 P.S. § 3241(1), which has an officer who must be included on the PAC’s registration statement, and the officer is a principal, an officer or employee of a principal, a lobbyist, or an employee of a lobbyist. Section 13A03 of the Act.

However, if an employee of a registrant serves as the officer of a PAC in what is clearly a personal capacity and the goals and mission of that PAC clearly have no relationship to the goals and mission of the registrant, that PAC shall not be considered an affiliated political action committee for the purposes of the principal’s registration.

The Bureau assigns registration numbers for PACs, which shall be inserted here. The registration number can be found on registration statements and reporting forms for PACs. The online filing form has a link on the left navigation bar to the registration and reporting forms for PACs on the Department's Web site.

INFORMATION ON INDIVIDUAL LOBBYIST(S)

List the name of any lobbyist lobbying on the principal's behalf. A principal that has a contract with a lobbying firm must list each of the lobbyists in the lobbying firm who lobby on behalf of the principal. Include the permanent business address of the lobbyist. Also, include the lobbyist's registration number, if available. To submit additional lobbyists lobbying on the firm's behalf, go to the next screen and click the answer "Yes" when asked about additional lobbyists lobbying on the firm's behalf.

INFORMATION ON LOBBYING FIRM(S) WITH WHICH RELATIONSHIP EXISTS

- Under "Firm Information," list the name of the lobbying firm(s) representing the principal. Include the firm's registration number if one exists.
- Under "Address Information," include the permanent business address.
- Under "Contact Information," include a phone number and a fax number. To submit additional lobbying firms engaging in lobbying on the principal's behalf, go to the next screen and click the answer "Yes" when asked if the principal has any have additional lobbying firms.

REVIEW REGISTRATION

Please review carefully the information on this screen to make sure that all of the information listed is correct. Otherwise, incorrect information will be entered on the principal's initial registration, which will require the principal to file an amendment in the future.

AFFIRMATION

Indicate whether the registrant is an employee of the principal or whether the registrant represents a third party preparing the statement for the principal by checking the appropriate box.

If the registrant is an employee, include the name and title.

If the registrant is a third party, include the business address, title, daytime phone number and email, if one is available.

CONFIRMATION

This screen contains all of the information submitted, including the registration number. Be

sure to record the registration number for online filing of future amendments to registration statements as well as online filing of expense reports.

Termination

A principal may terminate its registration by filing a Notice of Termination on form DSBE-1304-A(e) with the Department. A Notice of Termination terminates a specific registration statement previously filed with the Department. Section 13A04(e)(3) of the Act provides that “[n]o lobbying may occur after the filing of the notice...” If a Notice of Termination is filed, a principal would be required to register again if the registrant acts in any capacity as a principal after the filing of the Notice of Termination.

Exemptions

As stated in section 13A06 of the Act, the following persons and activities shall be exempt from registration under section 13A04 (relating to registration) and reporting under section 13A05 (relating to reporting):

- (1) An individual who limits lobbying activities to preparing testimony and testifying before a committee of the legislature or participating in an administrative proceeding of an agency.
- (2) An individual who is an employee of an entity engaged in the business of publishing, broadcasting or televising while engaged in the gathering and dissemination of news and comment thereon to the general public in the ordinary course of business.
- (3) An individual who does not receive economic consideration for lobbying.
- (4) An individual whose economic consideration for lobbying, from all principals represented, does not exceed \$2,500 in the aggregate during any reporting period.
- (5) An individual who engages in lobbying on behalf of the individual’s employer if the lobbying represents less than 20 hours during any reporting period.
- (6) Except as required under section 13A05(d), a principal whose total expenses for lobbying purposes do not exceed \$2,500 during any reporting period.
- (7) An elected State official who acts in an official capacity. (8)
An appointed State official acting in an official capacity.
- (9) An elected or appointed official of a political subdivision who is acting in an official capacity for the political subdivision.
- (10) An employee of the Commonwealth or an agency of the Commonwealth who is acting in an official capacity for the Commonwealth or agency.

- (11) An individual representing a bona fide church or bona fide religious body of which the individual is a member where the lobbying is solely for the purpose of protecting the constitutional right to the free exercise of religion.
- (12) An individual who is not a registered lobbyist and who serves on an advisory board, working group or task force at the request of an agency or the General Assembly.
- (13) Participating as a party or as an attorney at law or representative of a party, case or controversy in any administrative adjudication pursuant to 2 Pa.C.S. (relating to administrative law and procedure).
- (14) Expenditures and other transactions subject to reporting under Article XVI of the act of June 3, 1937 (P.L. 1333, No. 320), known as the Pennsylvania Election Code.
- (15) Vendor activities under 62 Pa.C.S. §§ 514 (relating to small procurements), 516 (relating to emergency procurements) and efforts directly related to responding to publicly advertised invitations to bid and requests for proposals.