



**LOS ANGELES COUNTY
METROPOLITAN TRANSPORTATION AUTHORITY**

**INFORMATION MANUAL
FOR
LOBBYIST REGISTRATION AND REPORTING**

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INTRODUCTION

Pursuant to California Public Utilities Code Section 130051.18 and the Metropolitan Transportation Authority (“MTA”) Administrative Code Section 5-25, persons and organizations that qualify as lobbyists, lobbying firms, or lobbyist employers must register with the MTA and report their lobbyist activity on a quarterly basis. They are also subject to certain prohibitions and restrictions on their activities. This manual is designed to assist MTA lobbyists understand and comply with the requirements of the law. Please note that in case of a conflict between this manual and the law (Cal. Public Utilities Code (PUC) § 130051.18; MTA Administrative Code (MAC) § 5-25), the law prevails.

The first section of the manual provides general information about the lobbyist registration program. Specifically, it explains when a person or organization is required to register with the MTA, the registration process, and the kinds of information that must be reported each quarter. Additionally, it discusses the restrictions that apply to lobbyists and to persons that do business, or seek to do business with, the MTA. The second section of the manual contains selected provisions of State law and the MTA Administrative Code that apply to lobbyists and to persons that do business, or seek to do business with, the MTA. Please note that this section is not meant to be a substitute for your own legal research; other laws and regulations governing the conduct of lobbyists may apply. The final section of the manual contains hard copy reporting forms and instructions.

If, after reading this manual, you need further assistance in understanding the law or complying with the registration and reporting requirements, please do not hesitate to contact the MTA Ethics Department at 213-922-2900.

WHO MUST REGISTER?

There are three categories of persons and entities that must register with the MTA and report their lobbyist activity:

- Lobbyists
- Lobbying Firms
- Lobbyist Employers

Each category is explained below.

A. LOBBYISTS

What Is A “Lobbyist”?

A lobbyist is any individual who receives any economic consideration, other than reimbursement for reasonable travel expenses, for lobbying. The term “lobbyist” includes consultants and officers or employees of any business entity seeking to enter into a contract with the MTA. (PUC § 130051.18(a)(11); MAC § 5-05-150).

What Is “Lobbying”?

“Lobbying” is defined as influencing or attempting to influence MTA action through direct or indirect communication with an MTA official. (PUC § 130051.18(a)(9); MAC § 5-05-130).

MTA Action. A person influences “MTA action” if the person influences the drafting, introduction, consideration, modification, enactment, or defeat of an ordinance, resolution, contract, or report by the governing board of an organizational unit of the MTA, or by an MTA official, including any action taken, or required to be taken, by a vote of the Board of Directors, or by the members of the governing board of an organizational unit of the MTA. (PUC § 130051.18(a)(4); MAC § 5-05-170).

MTA Officials. The following persons are considered “MTA Officials:” MTA Board Members, members of organizational units of the MTA, and MTA employees. (PUC § 130051.18(a)(5); MAC § 5-05-190). A list of the current members of the MTA Board may be found on the MTA’s website: www.mta.net.

Exceptions:

Not all persons that communicate with MTA officials are lobbyists. A person is *not* a lobbyist if he or she:

- Lobbies the MTA solely on a voluntary or unpaid basis;
- Only receives reimbursement for reasonable travel expenses;
- Only contacts the MTA in the context of administrative testimony. This exception applies **only** if: 1) the person acts as counsel in, appears as a witness in, or provides written submissions, including answers to inquiries, which become a part of the record of, any MTA proceeding that is conducted as an open public hearing for which public notice is given; AND 2) the person is not seeking into a contract or other arrangement with the MTA. (PUC § 130051.18(a)(2))
- Is an elected public official acting in his or her official capacity; or
- Represents a newspaper or other periodical of general circulation, a book publisher, or a radio or television station which in the ordinary course of business publishes items urging MTA action, so long as such entity does not engage in any additional activities in connection with influencing MTA action.

Similarly, not all communications with MTA officials constitute lobbying. It is not lobbying to:

- Attend or participate in a pre-bid or pre-proposal conference;
- Submit a written response to an Invitation For Bid (IFB), Request For Quote (RFQ), Request For Proposal (RFP) or Request For Interest and Bid (RFIB) issued by the MTA;
- Participate in an interview regarding a submitted bid or proposal at the request of an MTA official;
- Request or obtain information or assistance from MTA officials;
- Give advice or counsel pursuant to an existing contract with the MTA;
- Give technical advice or information pursuant to the request of an MTA official.

**Examples -
Qualifying As
MTA
A Lobbyist**

Ms. Lau is a structural engineer employed by Lau Construction Corporation. As part of her expected duties, Ms. Lau contacts employees to market and promote her company. Ms. Lau is a lobbyist.

Mr. Dorn is an independent business person doing demolition and removal work. He attends social events regularly and

communicates with MTA Board Members about his interest in getting a contract with the MTA. He also visits the work sites under construction to inquire about future projects. Mr. Dorn is a lobbyist.

Mr. Jones attempts to influence MTA action to receive favorable consideration in a contract sought by ABC, Inc. Mr. Jones is not compensated by the company but instead volunteers his services. He receives reimbursement for his travel expenses. Since Mr. Jones lobbies on an unpaid basis, he is not a lobbyist. The payments he receives for reasonable travel expenses do not cause him to qualify as a lobbyist.

Mr. Grey is the president of PQR Corporation. Although his company does not seek a MTA contract, he does spend three days testifying at MTA hearings regarding issues raised in an MTA procurement. Since he is not seeking an MTA contract and because his only contacts with MTA officials are at administrative hearings, Mr. Grey is not a lobbyist.

B. LOBBYING FIRMS

What Is A “Lobbying Firm”?

In general, a lobbying firm is a company that is retained by other persons or companies to influence MTA action on their behalves.

The law defines a lobbying firm as any business entity, including an individual lobbyist, that meets any of the following criteria:

1. The business entity receives or becomes entitled to receive any compensation (other than reimbursement for reasonable travel expenses) for the purpose of influencing MTA action on behalf of any other person, AND any partner, owner, officer, or employee of the business entity is a lobbyist;

OR

2. The business entity receives or becomes entitled to receive any compensation (other than reimbursement for reasonable travel expenses) to communicate directly with an MTA official for the purpose of influencing MTA action on behalf of any other person IF a substantial or regular portion of the activities for which the business entity receives compensation is for the purpose of influencing MTA action;

OR

3. The business entity meets the criteria under either category 1 or 2 above AND enters into a subcontractual arrangement with another lobbying firm to provide lobbying services on behalf of a person or entity (the true party in interest) for purposes of influencing MTA action.

(PUC § 130051.18(a)(10); MAC § 5-05-140).

For definitions of the terms “lobbyist,” “MTA action,” and “MTA official,” please see Section A, commencing at Page 2, above.

**Examples -
Qualifying As A
Lobbying Firm**

Tanaka Consulting is a sole proprietorship owned by Joyce Tanaka. Ms. Tanaka contacts an MTA official on behalf of her client, South Company Construction, attempting to influence the official with regard to an upcoming procurement. Because Tanaka Consulting receives compensation for lobbying the MTA on behalf of others, and because it is owned by Joyce Tanaka, who qualifies as a lobbyist, Tanaka Consulting qualifies as a lobbying firm.

Northern California Advocates (NCA) is a business entity that provides lobbying services. It employs two lobbyists. NCA has been retained by a company in Los Angeles that wishes to influence the MTA Board with regard to a proposed ordinance. NCA qualifies as a lobbying firm, and the firm’s two lobbyists qualify as individual lobbyists. Additionally, NCA’s client qualifies as a lobbyist employer. *For more information on “lobbyist employers,” see Section C below.*

Louis Public Affairs (Louis) is a registered lobbying firm representing multiple clients before the MTA. Cartright Construction is a major construction company that wishes to influence the MTA with regard to an upcoming RFIB on a new subway project. Cartright Construction retains a law firm, Minnis, Smith and Anderson (MSA), to provide it legal and government relations services with regard to the MTA construction matter. Because MSA does not have as much experience as Louis in lobbying the MTA, it enters into an agreement with Louis wherein Louis will contact MTA officials regarding Cartright’s interest in the subway project. MSA employees will accompany Louis’ lobbyists to meetings with MTA officials. MSA qualifies as a lobbying firm because it meets the criteria of category 1, above, and because it has entered into a subcontractual agreement with

Louis to provide lobbying services on behalf of Cartright Construction. Additionally, any MSA employee that contacts MTA officials qualifies as an individual lobbyist. Finally, MSA qualifies as a lobbyist employer because it has retained a lobbying firm to influence MTA action on its behalf. *For more information on “lobbyist employers,” see Section C below.*

C. LOBBYIST EMPLOYERS

What Is A Lobbyist Employer?

In general, a lobbyist employer is a company that attempts to influence MTA action on its own behalf.

The law defines a “lobbyist employer” as any entity, other than a lobbying firm, which:

1. Directly employs one or more person to influence or attempt to influence MTA action;

OR

2. Retains a lobbying firm, including an individual contract lobbyist, for the purpose of having an owner, partner, officer, employee or agent of the lobbying firm influence or attempt to influence MTA action.

(PUC § 130051.18(a)(12); MAC § 5-05-160).

For companies that qualify as lobbyist employers based on category 1, it is important to note that any in-house employee that influences MTA action as part of his or her job duties is considered a lobbyist, and must register as such.

For a definition of the terms “MTA action” and “lobbyist,” please see Section A, commencing at Page 2, above. For a definition of the term “lobbying firm,” please see Section B, commencing at Page 4, above.

Examples - Qualifying As A Lobbyist Employer

The Jimenez Manufacturing Company employs a salesperson, Donna White, to influence MTA action on the company’s behalf. Ms. White contacts MTA officials. Jimenez Manufacturing qualifies as a lobbyist employer, and Ms. White qualifies as a lobbyist.

The Litz Corporation retains the lobbying firm Kim & Kim to influence MTA action on behalf of the corporation. Litz Corporation qualifies as a lobbyist employer. Kim & Kim qualifies as a lobbying firm, and any employees of Kim & Kim that contact MTA officials qualify as lobbyists.

WHEN AND HOW TO REGISTER

Once a person or entity qualifies as a lobbyist, lobbying firm or lobbyist employer, registration is required within **ten (10) days**. Registration must be completed *prior to* the commencement of lobbying. (PUC § 130051.18(b)(1); MAC § 5-25-010).

What Form Must Be Filed ?

Filer Type	Form Required
Lobbyist	1
Lobbying Firm	2
Lobbyist Employer	3

How Do I Submit My Registration Form?

Reports should be submitted using the Lobbyist Online Filing System (LOFS), the *preferred method* for filing MTA lobbyist registration and reporting forms. If you are not able to use the LOFS, then a hard copy report may be submitted.

Must I Submit A Fee With My Report?

Yes. Initial registration fees are as follows:

Filer Type	Fee
Lobbyist	\$40
Lobbying Firm	\$75
Lobbyist Employer	\$75

For more information about submitting reports and fees, please see **How to Submit Reports and Fees**, found on Page 12 of this manual.

REPORTING REQUIREMENTS

After registration, lobbyists, lobbying firms and lobbyist employers are subject to several reporting requirements. These are described below.

A. QUARTERLY REPORTS

All registrants must file a report each calendar quarter, regardless of whether they have any activity to report. On the reports, all registrants must disclose campaign contributions made to MTA officials during the quarter, as well as any expenses incurred or payments made during the quarter benefiting MTA officials (activity expenses). Additionally, lobbying firms must disclose payments received in connection with lobbying activity, and lobbyist employers must disclose payments made in connection with lobbying activity. (PUC § 130051.18(e); MAC § 5-25-060).

What Form Must Be Filed?

Filer Type	Form
Lobbyist	5
Lobbying Firm	6
Lobbyist Employer	7

When Is The Report Due?

All reports must be filed with the MTA on or before the following deadlines:

Deadline	Period Covered by Report
1 st Quarter: April 30	January 1 - March 30
2 nd Quarter: July 30	April 1 - June 30
3 rd Quarter: October 30	July 1 - September 30
4 th Quarter: January 30	October 1 - December 31

If a deadline falls on a Saturday, Sunday, official State holiday, or other day on which the MTA offices are closed, the report must be filed by the next regular business day.

How Do I File My Report?

Reports should be submitted using the Lobbyist Online Filing System (LOFS), the *preferred method* for filing MTA lobbyist registration and reporting forms. If you are not able to use the LOFS, then a hard copy report may be submitted.

Must I Submit a Fee With My Report?

There is no fee to file a quarterly report unless the report is submitted late. If the report is submitted after the filing deadline, then a late filing penalty applies of \$10 per report per day, up to a maximum of \$300.

For more information about submitting reports and fees, please see **How to Submit Reports and Fees**, found on Page 12 of this manual.

B. ANNUAL RENEWAL REPORTS

All filers must renew their registration on an annual basis unless they wish to terminate their lobbyist registration. Registration does not terminate automatically at the end of the calendar year. (PUC § 130051.18(b)(1); MAC § 5-25-010). For more information about terminating lobbyist registration, see Page 11 of this manual.

What Form Must Be Filed?

Filer Type	Form Number
Lobbyists	1
Lobbying Firms	2
Lobbyist Employers	3

When Is The Report Due?

All reports must be filed with the MTA on or before **January 15**.

If the deadline falls on a Saturday, Sunday, official State holiday, or other day on which the MTA offices are closed, the report must be filed by the next regular business day.

How Do I File My Report?

Reports should be submitted using the Lobbyist Online Filing System (LOFS), the *preferred method* for filing MTA lobbyist registration and reporting forms. If you are not able to use the LOFS, then a hard copy report may be submitted.

Must I Submit A Fee With My Report?

Yes. Annual renewal fees are as follows:

Filer Type	Fee if Filed On Time	Fee if Filed After January 15
Lobbyist	\$25	\$45
Lobbying Firm	\$50	\$85
Lobbyist Employer	\$50	\$85

For more information about submitting reports and fees, please see **How to Submit Reports and Fees**, found on Page 12 of this manual.

C. CAMPAIGN CONTRIBUTION UPDATE REPORTS

When new members are elected or appointed to the MTA Board of Directors or MTA Governance Councils, the Ethics Department will notify registrants that a Campaign Contribution Update Report is due. On the report, registrants must disclose any campaign contribution of \$10 or more made during the previous four calendar years to the new officials. Contributions to committees controlled by these officials (not including ballot measure committees) and to committees supporting these officials must also be reported. (PUC § 130051.20; MAC §§ 5-25-070(B), 5-25-080(C); 5-25-090(E)).

What Form Must Be Filed?

All registrants submit the Form 8 - Campaign Contribution Update Report.

When Is The Report Due?

You will be notified by the Ethics Department as to the date the report is due. Typically, the report will be due 30 days after the date the new Board or Governance Council members are elected or appointed.

How Do I File My Report?

When you are notified by the Ethics Department that the Form 8 is due, it should be filed using the Lobbyist Online Filing System (LOFS), the *preferred method* for filing MTA lobbyist registration and reporting forms. For filers that are unable to use LOFS, the Ethics Department will mail or e-mail a hard copy form to you upon request. Form 8 is not included in this manual because it is custom-written to include the names of the new members, the applicable four-year reporting period, and the report deadline.

Must A Fee Be Submitted With The Report?

No. There is no fee required to submit a Form 8.

For more information about submitting reports and fees, please see **How to Submit Reports and Fees**, found on Page 12 of this manual.

D. AMENDMENTS

When is an Amendment Required?

When a change occurs in the information contained on a registration or renewal statement (such as an address correction or change of e-mail or telephone number), the statement must be amended within **ten (10) days**. However, notwithstanding the ten day deadline, lobbyists and lobbying firms that wish to begin working for or representing a new lobbyist employer must amend their registration or renewal statement *prior to* the date they

begin that employment. (PUC § 130051.18(b)(6); MAC § 5-25-100).

When a change occurs in information contained on a quarterly report or campaign contribution update report, or when it is discovered that information was omitted from, or incorrectly reported, on such a report, the report must be amended within **ten (10) days** of the change or the date the discovery is made. (MAC § 5-25-100).

What Form Must I File?

To amend a report or statement, use the same form as that originally filed. For example, to amend a Form 1 registration statement, a lobbyist would file a second Form 1, indicating that the form is an amendment.

How Do I File My Report?

Reports should be submitted using the Lobbyist Online Filing System (LOFS), the *preferred method* for filing MTA lobbyist registration and reporting forms. If you are not able to use the LOFS, then a hard copy report may be submitted. For more information about submitting reports, please see **How to Submit Reports and Fees**, found on Page 12 of this manual.

Is a Fee Required to Amend A Report?

No. No fee is required to file an amendment.

————— **TERMINATION OF LOBBYIST REGISTRATION** —————

If a lobbyist, lobbying firm or lobbyist employer chooses to cease all lobbying activity with the MTA, it must file a Notice of Termination and a final quarterly report. In addition, lobbying firms and lobbyist employers must amend their registration to delete any lobbyist that terminates his or her registration, and to reflect that they have terminated a contractual or subcontractual relationship with a lobbying firm or lobbyist employer.

What Forms Must be Filed?

All registrants submit Form 4 to terminate their registration. In addition, all registrants must file a final quarterly report (Form 5 for lobbyists, Form 6 for lobbying firms, Form 7 for lobbyist employers), disclosing all lobbying activity from the beginning of the quarter during which the filer terminates to the date of termination. Lobbying firms and lobbyist employers amend their registration by filing Form 2 (lobbying firms) or Form 3 (lobbyist employers). *For more information on filing quarterly reports and amendments, see Sections A and D, above.*

When are the Forms Due?

The Notice of Termination is due within 30 days after the date the lobbyist, lobbying firm or lobbyist employer discontinues lobbying activity. (PUC § 130051.18(b)(6)(B); MAC § 5-25-180). The final quarterly report is due either at the same time the filer submits the Notice of Termination, or, at the latest, by the filing deadline for the quarter during which the filer terminates. Amendments are due within 10 days of the date that a change occurs.

Example:

Roto Rail Company is a registered lobbyist employer. It ceases all lobbyist activity on March 15. Roto Rail should submit a Form 4 - Notice of Termination no later than April 15. Additionally, Roto Rail must submit a final quarterly report. If Roto Rail terminates its registration on April 1, its final quarterly report should cover the period March 1 (the beginning of the quarter during which it terminated) through April 1 (the date it terminated its registration). The quarterly report should be submitted with the Notice of Termination, or by June 30 (the filing deadline for the quarter during which it terminated) at the latest.

How Do I File?

Reports should be submitted using the Lobbyist Online Filing System (LOFS), the *preferred method* for filing MTA lobbyist registration and reporting forms. If you are not able to use the LOFS, then a hard copy report may be submitted.

For more information about submitting reports, please see **How to Submit Reports and Fees**, below.

Is a Fee Required to Terminate My Registration?

No. No fee is required to terminate.

HOW TO SUBMIT REPORTS AND FEES

A. Lobbyist Online Filing System (LOFS)

About LOFS

Registration, termination, and all other reports should be submitted using the Lobbyist Online Filing System (LOFS), the preferred method for filing MTA lobbyist registration and reporting forms. LOFS is free and easy to use, available to anyone with internet access. LOFS features clear, easy-to-read screens, simple

navigation, and easy-to-understand instructions for each section of every form. Using LOFS will save you time and hassle: to file a report, simply log in to the system using your assigned Login/Password configuration and choose the form you need to file. Your contact information will be pre-filled into the report; all you need to do is enter the disclosure information required. Reports are considered “filed” at the instant that are electronically submitted. To complete your filing, just print out the confirmation copy of your report that appears after submission, sign it, and mail it to: MTA Ethics Department, One Gateway Plaza, M/S 99-11-12, Los Angeles, CA 90012.

To Begin Using LOFS

To begin using the LOFS, send an email to ethics@metro.net containing your contact information (name, email address, company name, complete address, phone, fax) and registrant type(s) - lobbyist, lobbying firm, lobbyist employer. Alternatively, you may call the Ethics Department at 213-922-2900. Upon receipt of this information, the Ethics Department will send you a unique login ID and Password, as well as the hyperlink to access the LOFS.

Payment of Fees

Please note that at this time, we are not able to accept fees electronically. Accordingly, fees should be sent via check or money order, made payable to the MTA, to: MTA Ethics Department, One Gateway Plaza, M/S 99-11-12, Los Angeles, CA 90012. Make sure to designate in an accompanying letter the purpose of the payment. Filers may make payments in cash, but must do so in person. Please contact the Ethics Department if you wish to pay a fee in cash.

B. Hard Copy Reports

If you do not have Internet access, and therefore are not able to use the LOFS, then a hard copy report may be submitted. All reporting forms, except for Form 8, may be found in Part III of this manual. Hard copy forms must contain original (wet) signatures; they may not be filed via facsimile, email, and/or PDF. Reports, and any required fees, should be sent via U.S. mail, courier or overnight service to: MTA Ethics Department, One Gateway Plaza, M/S 99-11-12, Los Angeles, CA 90012.

**MTA FILING REQUIREMENTS
SUMMARY SHEET**

FILING REQUIREMENT

	Initial Registration			Quarterly Report			Annual Renewal			Campaign Contribution Update Report	Amendment	Notice of Termination
FILER TYPE	L	LF	LE	L	LF	LE	L	LF	LE	All	All	All
FORM #	1	2	3	5	6	7	1	2	3	8	Same as filed initially	4
DUE DATE	10 days after qualification			January 30 April 30 July 30 October 30			January 15			To be announced	Within 10 days of change	30 days after ceasing lobbying activity
FEE	\$40	\$75	\$75	None, unless filed late. If late, \$10 per day, up to \$300			\$25 if filed on time; \$45 if late	\$50 if filed on time; \$85 if late	\$50 if filed on time; \$85 if late	None	None	None

L = Lobbyist
 LF = Lobbying Firm
 LE = Lobbyist Employer

SPECIAL REPORTING ISSUES

A. REPORTING LOBBYING INTERESTS

Lobbyists, Lobbying Firms and Lobbyist Employers are required to provide on their registration statements (Forms 1, 2 and 3, respectively) a narrative description of their lobbying interests. In addition, lobbying firms and lobbyist employers must describe on their quarterly reports (Forms 6 and 7, respectively) the specific MTA actions for which they lobbied during the reporting period. When describing “lobbying interests” and “MTA actions,” filers should describe the reason that they will contacting or have contacted MTA officials, whether that reason is specific, e.g. lobbying with regard to a current or prospective contract, or general, e.g. marketing of the company’s products or services. Filers lobbying with regard to a current or prospective contract should identify the contract number and the subject matter of the contract.

Example

Avila Corporation develops, manufactures and sells rail cars. The company desires to sell its cars for use on the proposed Purple Line route. On its registration form, the lobbying interest description fields should describe the particular products or services offered or the contract(s) targeted.

B. REPORTING PAYMENTS IN CONNECTION WITH ADMINISTRATIVE TESTIMONY

Lobbyists, lobbying firms, and lobbyist employers who make payments in connection with an appearance at an administrative proceeding before the MTA are not required to disclose those payments on their quarterly lobbying disclosure reports **if** such appearances are not in pursuit of a business relationship (a contract) with the MTA. An example of such a situation would be appearances by public interest organizations connected with route determinations or environmental impacts. Payments made in connection with administrative testimony by or on behalf of a person who **does** seek to enter into a contract with the MTA, however, **are** reportable.

C. REPORTING CAMPAIGN CONTRIBUTIONS

All filers must disclose on their quarterly reports campaign contributions of \$10 or more made or delivered to an MTA official during the reporting period. (PUC § 130051.18(e) and MAC §§ 5-25-070(B)(4); 5-25-080(C)(4); 5-25-090(E)(4)).

What Is An MTA Official?

The following persons are considered MTA Officials: MTA Board Members, members of organizational units of the MTA, and MTA employees. (PUC § 130051.18(a)(5); MAC § 5-05-190). A list of the current members of the MTA Board may be found on the MTA’s website: www.metro.net

What Is A Campaign Contribution?

The term “campaign contribution” has the same meaning as the term “contribution” as defined in the Political Reform Act, California Government Code Section 82015. In general, this section indicates that a contribution is a payment, a forgiveness of a loan, a payment of a loan by a third party, or an enforceable promise to make a payment except to the extent that full and adequate consideration is received, unless it is clear from the surrounding circumstances that it is not made for political purposes.

"Campaign contribution" also includes the purchase of tickets for events such a dinners, luncheons, rallies, and similar fundraising events; the candidate's own money or property used on behalf of his or her candidacy; the granting of discounts or rebates not extended to the public generally or the granting of discounts or rebates by television and radio stations and newspapers not extended on an equal basis to all candidates for the same office; the payment of compensation by any person for the personal services or expenses of any other person if such services are rendered or expenses incurred on behalf of a candidate or committee without payment of full and adequate consideration; the transfer of anything of value received by a committee from another committee, unless full and adequate consideration is received. (PUC § 130051.18(a)(6) and MAC § 5-05-070).

Contributions made to office holder accounts are not considered to be “campaign contributions” and are not required to reported as such. (MAC § 5-05-040). Contributions to office holder accounts should instead be reported as activity expenses. For more information about activity expenses, see Section D, below.

Example - Reporting Campaign Contributions

The Safe Transport Association is a registered lobbyist employer. The Association also sponsors the Safe Transport Political Action Committee. Between January 1 and March 31, the Safe Transport PAC makes two \$50 contributions to MTA officials. The Association must itemize the contributions on its first quarter report.

D. REPORTING ACTIVITY EXPENSES

Lobbyists, lobbying firms and lobbyist employers must report activity expenses on their quarterly reports. An “activity expense” is defined as any expense incurred or payment made by a lobbyist, lobbying firm, or lobbyist employer, or arranged by a lobbyist, lobbying firm, or lobbyist employer, that benefits in whole or in part any MTA official, or a member of the immediate family of an MTA official.

Activity expenses include food, beverages and other gifts, honoraria, consulting fees, salaries, and any other form of compensation. Campaign contributions made to office holder accounts and to committees controlled by an MTA official are also deemed to be activity expenses. (PUC § 130051.18(a)(1); MAC § 5-05-040).

————— REQUIRED RECORD KEEPING —————

Lobbyists, lobbying firms, and lobbyist employers must keep detailed accounts, records, bills, and receipts for a period of four years and make them reasonably available for inspection for the purposes of auditing for compliance with, or enforcement of the law. (PUC § 130051.18(c); MAC § 5-25-120).

A. LOBBYISTS

Lobbyists are required to keep financial records for:

- 1) Activity expenses paid or incurred; and
- 2) Campaign contributions of \$10 or more made or delivered by the lobbyist to an MTA official.

1) Activity Expenses

Lobbyists must maintain a cash disbursements journal or other form of record which shows all activity expenses incurred or paid, including those reimbursed by the lobbyist employer. The cash disbursements records must contain the following information:

- The full name of the payee.
- The date of the payment.
- The total amount of the activity expense including any tips and taxes.

In addition to the cash disbursements records, lobbyists must maintain source documentation, such as restaurant receipts, invoices or canceled checks for each activity expenses. The source documentation must contain the following:

- The full name of the payee.
- The full name and official position of the MTA official (s) who benefited from the activity expenses.
- The total number of beneficiaries. The names of non-reportable individuals do not have to be disclosed. For example, if there were six beneficiaries at an event including two MTA officials, the MTA officials' names and positions would have to be documented and the fact that there were a total of six beneficiaries would have to be documented.
- A description of the goods or services for which the expenditure was made.
- The date and amount of the expenditure.

- A breakdown of the total amount showing the portion of benefit received by each person. In the case of catered events or “family-style” restaurant meals, the amount of benefit received can be determined by dividing the total cost of the event by the number of people who attended. When an event is held at a restaurant and the participants order from a menu, the actual amount of benefit (food and beverage, plus a pro rata amount for tax and tip) received by each person must be shown.

If it is not possible to get a receipt or invoice to support an expenditure, a written voucher must be prepared to support the expenditure. The voucher must be prepared in a timely manner (the same day of the expenditure) and must contain the information listed above. In most cases, a voucher system will have to be used to account for the names and the number of beneficiaries since this information is not normally listed on the receipt or invoice.

2) Campaign Contributions

A lobbyist must also maintain a record of all campaign contributions of \$10 or more made or delivered to an MTA official. The records must contain the following information:

- The full name of the payee and the full name of the recipient of the contribution if other than the payee.
- The date of the contribution.
- The amount of the contribution.
- In the case of a non-monetary contribution, a description of the goods or services or other consideration provided.
- The name of the contributor if other than the lobbyist.

Supporting documentation must be maintained and may include correspondence, fund-raiser invitations and canceled checks.

The following are two sample disbursement journals:

EXAMPLE 1. TOTAL DISBURSEMENTS BY LOBBYIST¹ FOR PERIOD

¹ NOTE: While all “activity expenses” must be reported, any such expenses which constitute “gifts” to a MTA official may not exceed \$10 in a calendar month. Accordingly, while the subject example reflects “activity

JANUARY 1 - MARCH 31

CLIENT: ABC RAILCARS							
DATE	PAYEE	CREDIT CARD	CASH	CHECK NO #	ACTIVITY EXPENSE	CONTRIBUTION	NON-MONETARY CONTRIBUTION
JAN 5	Cathie's Café	VISA			\$27.94		
11	Martin's Eatery	AE			\$18.26		
14	Jim James For Mayor			22		\$25.00	
26	Friends Of Smith Comm.			23		\$200.00	
MAR 8	Donation Of Used Typewriter To Friends Of Jones Comm.						\$325.00
23	Tj's Bar & Grill		X		\$36.48		
	TOTALS				\$91.93	\$225.00	\$325.00

EXAMPLE 2. TOTAL DISBURSEMENTS BY LOBBYIST FOR PERIOD JANUARY 1 - MARCH 31

CLIENT: ABC RAILCARS					
DATE	PAYEE	NAME/TITLE OF BOARD MEMBER	AMOUNT OF BENEFIT	DESCRIPTION	TOTAL
JAN 5	Cathie's Café	Jim Smith, Board Member Jack Jones, Board Member Sally White, Board Member	\$8.50 \$6.19 \$9.25 (Tip - \$4.00)	Lunch	\$27.94
JAN 11	Martin's Eatery	Sam Allen, Board Member Bill Brooks Board Member	\$7.25 \$6.01	Refreshment	\$13.26
FEB 2	Bill's Restaurant	Jim Smith Board Member	\$8.25 (Tip- 1.00)	Lunch	\$9.25
FEB 23	Tj's Bar & Grill	Jim Smith, Board Member Jack Jones, Board Member Sam Allen, Board Member Bill Brooks, Commissioner	\$9.12 (Each)	Buffet Breakfast	\$36.48
			TOTAL ACTIVITY EXPENSES		\$86.93

B. LOBBYING FIRMS

expenses" for a filing period (3 months), detailed records should be maintained itemizing the per-Authority official amount of any "gifts" provided.

Lobbying firms must keep financial records for:

- 1) Payments received for lobbying services.
- 2) Activity expenses paid or incurred.
- 3) Payments to other lobbying firms subcontracted with.
- 4) Campaign contributions of \$10 or more made or delivered to an MTA official.

If a lobbying firm conducts other business in addition to its lobbying activity, the firm must establish a record-keeping system which clearly identifies the items which are related to lobbying activity. The best method is to maintain a separate set of records which contains only the lobbying financial information.

1) Payments Received

A lobbying firm must maintain a cash receipts journal or other form of record showing all payments received in connection with lobbying activity. The records must contain the following information:

- The date each payment is received by the firm,
- The full name of each person who makes payments.
- The amount of each payment.
- If a payment was received during a calendar quarter which is different than the calendar quarter in which services were provided, the records must show the calendar quarter in which the services were provided.

Following are two examples of cash receipts journals. These two examples are not the only formats that may be used. There are many other ways to set up a cash receipts journal.

EXAMPLE 1

DATE RECEIVED	PAYMENT SOURCE	AMOUNT
JAN 8	ABC Company	\$2,000.00
JAN 19	ABC Company	3,000.00
FEB 6	Lobby Inc.	2,500.00
FEB 22	ABC Company	500.00
MAR 11	Jensen Company	1,000.00
MAR 24	JRJS Services (For Services Provided In 4 th Qtr. 1999)	1,000.00
TOTAL		\$10,000.00

EXAMPLE 2

DATE RECEIVED	ABC CO	LOBBY INC.	JENSEN CO.	JRJS SERVICE	TOTALS
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JAN 8	\$2,000.00				\$2,000.00
JAN 19	3,000.00				3,000.00
FEB 6		\$2,500.00			2,500.00
FEB 22	500.00				500.00
MAR 11			\$1,000.00		1,000.00
MAR 24				(SVCS. PROVIDED IN 4 TH QTR. 1999) \$1,000.00	1,000.00
TOTAL	\$5,500.00	\$2,500.00	\$1,000.00	\$1,000.00	\$10,000.00

In addition to the cash receipts records, source documentation must be maintained which may include bank records, invoices, copies of the contracts between the lobbying firm and its clients, or copies of the payment checks.

In the event of audit, the cash receipts records and other supporting documentation must be provided so that the auditor can verify the accuracy of the information shown on the lobbying firm's quarterly reports.

2) Activity Expenses

A lobbying firm must maintain a cash disbursements journal or other form of record which shows all activity expenses incurred or paid by the firm, including those reimbursed by a person who contracts with the firm for lobbying services. The cash disbursements records must contain the following information:

- The full name of the payee.
- The date of the payment.
- The total amount of the activity including any tips and taxes.

The following example may be used as a guideline, but is not a required format:

DATE	PAYEE	CREDIT CARD	CASH	CHECK NO.	ACTIVITY EXPENSE
JAN 4	Bill's Restaurant		X		\$9.64
FEB 26	Sam's Eatery	VISA			8.72
MAR 16	Alice's Coffee Shop			1672	15.95
MAR 30	Jack's Diner		X		14.68
TOTAL					\$48.99

In addition to the cash disbursements records, a lobbying firm must maintain source documentation, such as restaurant receipts, invoices or canceled checks for each activity expense. The source documentation must contain the following information:

- The full name of the payee.

- The full name and official position of the MTA official(s) who benefited from the activity expense.
- The total number of beneficiaries. The names of non-reportable individuals do not have to be listed. For example, if there were six beneficiaries at an event including two MTA officials, the MTA officials' names and positions would have to be documented and the fact that there were a total of six beneficiaries would have to be documented.
- A description of the goods or services for which the expenditure was made.
- The date and amount of the expenditure.
- A breakdown of the total amount showing the portion of benefit received by each person. In the case of catered events or "family-style" restaurant meals, the amount of benefit received can be determined by dividing the total cost of the event by the number of people who attended. When an event is held at a restaurant and the participants order from a menu, the actual amount of benefit (food and beverage, plus a pro rata amount for tax and tip) received by each person must be shown.

If it is not possible to get a receipt or invoice to support an expenditure, a written voucher must be prepared to support the expenditure. The voucher must be prepared in a timely manner (the same day of the expenditure) and must contain the information listed above. In most cases, a voucher system will have to be used to account for the names and number of beneficiaries since this information is not normally listed on a receipt or invoice.

3) Payments To Other Lobbying Firms

If a lobbying firm subcontracts with another lobbying firm, including an independent contract lobbyist, for lobbying services, the cash disbursements records must contain the payments made to the subcontractor, including:

- The full name of the subcontractor.
- The date of each payment.
- The amount of each payment.

Supporting documentation must be maintained which may include copies of contracts or correspondence, canceled checks, bank statements, and invoices. In addition, for each subcontractor, the name of the client for whom the subcontractor was retained to lobby or true party in interest must be disclosed.

In the event of an audit, the cash disbursements records and supporting documentation must be provided so the auditor can verify the accuracy of the reported expenses.

4) Campaign Contributions

A lobbying firm must also maintain a record of all campaign contributions of \$10 or more made or delivered to an MTA official. The records must contain the following information:

- The full name of the payee and the full name of the recipient of the contribution if other than the payee.
- The date of the contribution.
- The amount of the contribution.
- In the case of a non-monetary contribution, a description of the goods or services or other consideration provided.

Contributions should be recorded in the cash disbursements records. Additional supporting documentation is also required which may include correspondence, fund-raiser invitations, and canceled checks.

C. LOBBYIST EMPLOYERS

A lobbyist employer must maintain records for the following types of expenditures:

- 1) Payments made to a lobbying firm.
- 2) Payments made directly to lobbyists.
- 3) Activity expenses.
- 4) Other payments to influence MTA action.
- 5) Campaign contributions of \$10 or more made or delivered to an MTA official.

The best record-keeping system is one that keeps the lobbying records separate from the records related to non-lobbying activity. However, a lobbyist employer may keep a record of payments made for lobbying purposes and payments made for other purposes all within the same set of books. If all activities are kept in one set of books, the lobbyist employer must devise a system whereby the payments made for lobbying purposes are clearly identified.

A lobbyist employer may use an allocation method for purposes of determining how much of the activity to report for lobbying. If an allocation method is used, a written statement must be prepared detailing the percentages which are applicable for the reporting periods and the method for determining those percentages. This written statement must be maintained with the lobbying records.

EXAMPLE 1:

Based on a review of our lobbyist's last year timesheets, we have determined that during the first three quarters, 75 percent of lobbyist Sue Brown's time was spent on lobbying activities. During the fourth quarter, the rate was 10 percent. Since our activities are fairly consistent from year to year, we have decided to apply the 1999 allocations. We will review our activities each quarter

to ensure that no significant change have occurred. Therefore, for purposes of reporting lobbyist salaries to our lobbyist and other support, we will allocate as follows.

1 st , 2 nd and 3 rd Quarters	75%
4 th Quarter	10%

EXAMPLE 2:

Compensation paid to other employees who spend 10 percent or more of their compensated time on lobbying activities varies and will therefore, be calculated each quarter.

EXAMPLE 3:

With respect to overhead and operating expenses, a review of our records for last year indicates that during the first, second and third quarters, 15 percent of our overhead and operating expenses were attributable to lobbying activities. During the fourth quarter, the rate was less than 1 percent. Unless significant changes occur, the current operating and overhead expense will be allocated as follows:

1 st , 2 nd and 3 rd Quarters	15%
4 th Quarter	-0-

NOTE: For purposes of reporting overhead and operating expenses, a lobbyist employer need not report any regular ongoing business overhead which would continue to be incurred in substantially similar amounts regardless of its activities to influence MTA action. Activity expenses and payments which are directly in connection with lobbying activities, such as travel expenses incurred by non-lobbying employees or printing and postage expenses in connection with a lobbying-related mailing may not be allocated.

A lobbyist employer must maintain a cash disbursement journal or other form of record which contains the following information:

1) Payments Made To A Lobbying Firm

For each payment made to a lobbying firm (including an independent contract lobbyist), the disbursements records must show:

- The full name of the lobbying firm which received the payments.
- The date of the payment.
- The amount of the payment.
- If the payment was made during a calendar quarter other than the calendar quarter in which the services were provided, the records should include a notation to that effect.

Source documentation must also be maintained which may include canceled checks, receipts or invoices, and bank statements.

2. Payments Made Directly To Lobbyists

All payments made to an in-house employee lobbyist, such as salaries, fees, reimbursements of expenses, advances or other payments must be recorded in the disbursements records. The percentage of time that the employee spent lobbying on MTA related activity should be applied to the employee's gross salary for the quarter to determine the wages paid for lobbying.

Salary includes gross wages paid, plus any fringe benefits which are in lieu of wages excluding employer's contributions to a health plan retirement plan or payroll taxes.

The disbursement records must include:

- The full name of the lobbyist.
- The date of the payment.
- The amount of the payment.

EXAMPLE

Mark Bard is an engineer with Technitron, Inc. and spent approximately 10% of his time during January, February and March lobbying MTA officials as part of his expected job duties. Bard's gross salary for the period was \$15,000. The amount of Bard's salary attributable to lobbying activities is \$1500 ($15,000 \times .10 = \1500). Technitron, Inc. should report that it paid Bard \$1500 to lobby the MTA during the reportable period. It is not necessary for Technitron to report or disclose Bard's gross salary or the percentage of time Bard spent lobbying during the quarter.

3. Activity Expenses

For each activity expense paid or incurred, disbursements records must include:

- The full name of the payee.
- The date of the payment.
- The total amount of the activity including any tips and taxes.

In addition to the cash disbursements records, source documentation such as restaurant receipts, invoices or canceled checks, must be maintained for each activity expense. The source documentation must contain the following information:

- The full name of the payee.
- The full name and official position of the MTA official(s) who benefited from the activity expense.
- The total number of beneficiaries. The names of non-reportable individuals do not have to be listed. For example, there were six beneficiaries at an event including two MTA officials, the MTA officials' names and positions would have to be documented and the fact that there were a total of six beneficiaries would have to be documented.
- A description of the goods or services for which the expenditure was made.
- A breakdown of the total amount showing the amount of benefit received by each person. In the case of catered events or "family-style" restaurant meals, the amount of benefit

received can be determined by dividing the total cost of the event by the number of people who attended. When an event is held at a restaurant and the participants order from a menu, the actual amount of benefit (food and beverage, plus a pro rata amount for tax and tip) received by each person must be shown.

If it is not possible to get a receipt or invoice to support an expenditure, a written voucher must be prepared to support the expenditure. The voucher must be prepared in a timely manner (the same day or the expenditure) and must contain the information listed above. In most cases, a voucher system will have to be used to account for the names and number of beneficiaries if this information is not normally listed on a receipt or invoice.

4. Other Payments To Influence MTA Action

These payments include:

- The payment of expenses incurred by the individual lobbyist (but not made directly to the lobbyist).
- The payment of expenses incurred for goods or services used by a lobbyist or used to support or assist a lobbyist in connection with his or her activities as a lobbyist.
- The payment of any other expenses which would not have been incurred but for the filer's activities to influence or attempt to influence MTA action, including office overhead and operating expenses, payments to expert witnesses and expenses incurred by employees other than your lobbyist.

For each "other payment" made by a lobbyist employer, the disbursements records must include:

- The full name of the payee.
- The date of the payment.
- The amount of the payment.
- A description of the goods or services or other consideration for which the payment was made.

5. Campaign Contributions

A lobbyist employer must maintain a record of any campaign contribution of \$10 or more made or delivered to an MTA official. The records must contain the following information:

- The full name of the payee and the full name of the recipient of the contribution if other than the payee.
- The date of the contribution.
- The amount of the contribution.
- In the case of a non-monetary contribution, a description of the goods or services or other consideration provided.

Contributions should also be recorded in the cash disbursements records. Additional supporting

documentation is likewise required which may include correspondence, fund-raiser invitations, and canceled checks.

AUDITS

Each year lobbyists, lobbying firms and lobbyist employers who employ one or more lobbyists may be subject to audit on a random basis. When a lobbying firm or lobbyist employer is selected for audit, all of the individual lobbyists employed by the firm or employer may also be audited.

PROHIBITIONS

Lobbyists, lobbying firms and lobbyist employers are subject to the following prohibitions while registered with the MTA. For lobbyists and lobbying firms, the prohibitions also apply for twelve (12) months after filing a notice of termination. (MAC § 5-25-180(B)).

1. GIFTS

Lobbyists, lobbying firms and lobbyist employers may not make a gift to an MTA official aggregating more than \$10 in a calendar month. In addition, they may not act as an agent or intermediary in the making of any gift, nor may they arrange for the making of any gift by another other person. (PUC § 130051.18(f); MAC § 5-25-130).

The term “gift” has the same meaning as in the Political Reform Act, California Government Code Section 82028, and any regulations of the California Fair Political Practices Commission interpreting this section. (PUC § 130051.18(f); MAC § 5-05-120). In general, a gift is any payment that confers a personal benefit on the recipient, to the extent that consideration of equal or greater value is not received. A gift includes a rebate or discount in the price of anything of value unless the rebate or discount is made in the regular course of business to members of the public without regard to official status.

A gift has been “arranged” if the lobbyist, a partner, owner, officer or employee of the company does anything which facilitates the making of the gift, e.g.

- Delivers a gift to the recipient.
- Acts as the representative of the donor, if the donor is not present at the occasion of a gift. This does not include accompanying the recipient to an event where the donor will be present.
- Invites or sends an invitation to an intended recipient regarding the occasion of a gift.
- Solicits responses from an intended recipient concerning his or her attendance or nonattendance at the occasion of a gift.
- Is designated as the representative of the donor to receive responses from an intended recipient concerning his or her attendance or non attendance of the occasion of a gift.
- Acts as an intermediary in connection with the reimbursement of a recipient’s expenses.

Example

Lobbyist A invites an MTA official to lunch. After the lunch has been arranged, Lobbyist A decides to invite Lobbyist B. Lobbyist A pays the entire cost of the lunch. Lobbyist A may not exceed the \$10 per month gift limitation regardless of the number of attendees present or contributing towards the cost of the benefit.

2. HONORARIUM

MTA Board members and their staff are prohibited from accepting any payment for a speech given, participation in a program, article published, or attendance at any public or private conference, convention, meeting, social event, meal, or like gathering. Accordingly, lobbyists, lobbying firms and lobbyist employers should refrain from making such payments to these individuals. (PUC § 130665; Cal. Government Code § 89501).

3. CAMPAIGN CONTRIBUTIONS

If a company registered with the MTA as a lobbyist, lobbying firm or lobbyist employer is *seeking a contract with the MTA*, the company is prohibited from making a contribution to an MTA official, or a member of the immediate family of an MTA official, in excess of \$10. Owners and employees of companies seeking a contract with the MTA, as well as the immediate families of such individuals, are also prohibited from making contributions to MTA officials and their immediate family members in excess of \$10. (PUC § 130051.20(a)(1), (2)).

Lobbyists and lobbying firms may not make or direct a contribution of over \$10 to an MTA official if they, or their lobbyist employer, has contracted with the MTA in the preceding four years. Nor may they make a contribution exceeding \$250 during the period beginning when any of their clients have a matter pending before the MTA Board for approval and extending for six months thereafter. (MAC 5-25-140(G)).

“MTA officials” are members of the MTA Board and employees of the MTA. The term "contribution" includes campaign contributions made to candidates or their committees in any federal, state, or local election.

4. COMMUNICATIONS WITH MTA OFFICIALS

Commencing with the issuance of a Request for Proposals (RFP), a Request for Information and Qualifications (RFIQ), or an Invitation for Bids (IFB), and ending on the date the staff recommendation for award is made public, lobbyists representing a person or entity submitting a proposal in response to the RFP, RFIQ or IFB may not contact by any means or engage in any discussion concerning the award of the contract with any MTA official or any staff to a Board Member. Any such contact shall be grounds for the disqualification of the proposer.

During price negotiations of non-low bid contracts, lobbyists shall not contact, lobby or otherwise attempt to influence MTA officials or any staff to a Board Member, other than negotiation team members, relative to any aspect of the contract under negotiation. This

provision applies from the time of award until the recommendation for execution of the contract is made public.

A lobbyist representing a person or entity who submitted a proposal or bid in response to the RFP, RFIQ, or IFB may not contact a Board Member or his or her staff regarding a protest submitted regarding the recommended contract award or any lawsuit or potential lawsuit regarding the recommended contract award or any issue relating to the underlying procurement. (MAC § 5-25-150).

5. LOBBYING ON BEHALF OF THE MTA

Any person or entity that receives compensation pursuant to a contract or subcontract to lobby on behalf of, or otherwise represent the MTA, may not lobby the MTA on behalf of any person or entity.

6. CONTINGENT FEES

Lobbyists and lobbying firms may not accept or agree to accept any payment that is contingent upon the outcome of any MTA action. (PUC § 130051.18(g); MAC § 5-25-140).

7. OTHER PROHIBITIONS

Lobbyists and lobbying firms may not:

- Do anything with the purpose of placing an MTA official under personal obligation to the lobbyist, the lobbying firm, or the lobbyist employer.
- Deceive or attempt to deceive any MTA official with regard to any material fact pertinent to any MTA action.
- Cause or influence any MTA action for the purpose of thereafter being employed to secure its passage or defeat.
- Attempt to create a fictitious appearance of public favor or disfavor of any MTA action, or cause any communications to be sent to any MTA official in the name of any fictitious person or in the name of any real person, except with the consent of that real person.
- Represent falsely, either directly or indirectly, that the lobbyist or the lobbying firm can control any MTA official.

(PUC § 130051.18(g); MAC § 5-25-140).

PENALTIES

Violations of the lobbyist reporting provisions, as well as the prohibitions listed above, may result in the following possible sanctions:

1. Assessment of a late fee;
2. Termination of lobbyist registration;
3. Rejection of a party's bid or proposal to enter into a contract with the MTA;

4. Disqualification from lobbying on the matter related to the violation;
5. Suspension from all MTA lobbying activities for a period of time;
6. Permanent prohibition from engaging in all MTA lobbying activities;
7. Civil penalties up to \$500 or three times the amount of an unlawful gift or expenditure, whichever is greater, as directed by the court in a civil action brought by the civil prosecutor or by a person residing within the jurisdiction of the MTA;
8. Criminal prosecution.

Sanctions depend upon the severity of the violation. (PUC § 130051.18(h-k); MAC § 5-25-210).

APPLICABLE LAW

Important Note: The laws contained below are applicable to MTA lobbyists and to persons that are bidding or proposing for MTA contracts. Other provisions of law may apply. Additionally, please note that the section and subsection headings, in bold, are *not* contained in the text of the laws listed below. They have been added by the editor solely for reference purposes. The headings shall not be deemed to govern, limit, modify or in any manner affect the scope, meaning or intent of the law.

I. CAL. PUBLIC UTILITIES CODE SECTION 130051.18: LOBBYING

Prior to the approval of any contract by the Los Angeles County Metropolitan Transportation Authority, or by any organizational unit of the authority, the authority shall adopt and implement an ordinance for the regulation of lobbying that shall include, at a minimum, the provisions of this section.

(a) **DEFINITIONS.** For purposes of this section, the following terms are defined as follows:

(1) "**Activity expense**" means any expense incurred, or payment made, by a lobbyist, lobbying firm, or lobbyist employer, or arranged by a lobbyist, lobbying firm, or lobbyist employer, that benefits in whole or in part any authority official or a member of the immediate family of an authority official.

(2) "**Administrative testimony**" means influencing or attempting to influence authority action undertaken by any person or entity who does not seek to enter into a contract or other arrangement with the authority by acting as counsel in, appearing as a witness in, or providing written submissions, including answers to inquiries, which become a part of the record of, any proceeding of the authority that is conducted as an open public hearing for which public notice is given.

(3) "**Authority**" means the Los Angeles County Metropolitan Transportation Authority and all of its organizational units as defined by Section 130051.11.

(4) "**Authority action**" means the drafting, introduction, consideration, modification, enactment, or defeat of an ordinance, resolution, contract, or report by the governing board of an organizational unit of the authority, or by an authority official, including any action taken, or required to be taken, by a vote of the members of the authority or by the members of the governing board of an organizational unit of the authority, except those actions relating to Article 10 (commencing with Section 30750) of Chapter 5 of Part 3 of Division 10.

(5) "**Authority official**" means any member of the authority, member of an organizational unit of the authority, or employee of the authority.

(6) "**Contribution**" means a payment, a forgiveness of a loan, a payment of a loan by a third party, or an enforceable promise to make a payment, except to the extent that full and adequate consideration is received, unless it is clear from the surrounding circumstances that it is not made for political purposes.

An expenditure made at the behest of a candidate, committee, or elected officer is a contribution to the candidate, committee, or elected officer unless full and adequate consideration is received for making the expenditure.

"Contribution" also includes the purchase of tickets for events such as dinners, luncheons, rallies, and similar fundraising events; the candidate's own money or property used on behalf of his or her candidacy; the granting of discounts or rebates not extended to the public generally or the granting of discounts or rebates by television and radio stations and newspapers not extended on an equal basis to all candidates for the same office; the payment of compensation by any person for the personal services or expenses of any other person if those services are rendered or expenses are incurred on behalf of a candidate or committee without payment of full and adequate consideration.

"Contribution" also includes any transfer of anything of value received by a committee from another committee, unless full and adequate consideration is received.

"Contribution" does not include amounts received pursuant to an enforceable promise to the extent that those amounts have been previously reported as a contribution. However, the fact that those amounts have been received shall be indicated in the appropriate campaign statement.

"Contribution" does not include a payment made by an occupant of a home or office for costs related to any meeting or fundraising event held in the occupant's home or office if the costs for the meeting or fundraising event are five hundred dollars (\$500) or less.

"Contribution" does not include volunteer personal services or payments made by any individual for his or her own travel expenses if those payments are made voluntarily without any understanding or agreement that they shall be, directly or indirectly, repaid to him or her.

(7) "**Employee of the authority**" means anyone who receives compensation from the authority for full-time or part-time employment, and any contractor, subcontractor, consultant, expert, or adviser acting on behalf of, or providing advice to, the authority.

(8) "**Filing officer**" means the individual designated by the authority with whom statements and reports required by this section shall be filed.

(9) "**Lobbying**" means influencing or attempting to influence authority action through direct or indirect communication, other than administrative testimony, with an authority official.

(10) "**Lobbying firm**" means any business entity, including an individual lobbyist, that meets either of the following criteria:

(A) The business entity receives or becomes entitled to receive any compensation, other than reimbursement for reasonable travel expenses, for the purpose of influencing authority action on behalf of any other person, if any partner, owner, officer, or employee of the business entity is a lobbyist.

(B) The business entity receives or becomes entitled to receive any compensation, other than reimbursement for reasonable travel expenses, to communicate directly with any agency official for the purpose of influencing authority action on behalf of any other person, if a substantial or regular portion of the activities for which the business entity receives compensation is for the purpose of influencing authority action.

(11) "**Lobbyist**" means any individual who receives any economic consideration, other than reimbursement for reasonable travel expenses, for lobbying, including consultants and officers or employees of any business entity seeking to enter into a contract with the authority.

(12) "**Lobbyist employer**" means any person, other than a lobbying firm, who does either of the following:

(A) Employs one or more lobbyists for the purpose of influencing authority action.

(B) Contracts for the services of a lobbying firm for economic consideration for the purpose of influencing authority action.

(b) **REGISTRATION**

(1) Lobbyists, lobbying firms, and lobbyist employers shall register with the filing officer within 10 days after qualifying as a lobbyist, lobbying firm, or lobbyist employer. Registration shall be completed prior to the commencement of lobbying by the lobbyist. Registration shall include the filing of a registration statement, and the payment of any fees authorized by this section. Registration shall be renewed annually by the filing of a new registration statement and the payment of a fee.

(2) Each lobbyist, lobbying firm, and lobbyist employer required to register under this section may be charged a fee by the authority in an amount necessary to pay the direct costs of implementing this section.

(3) **CONTENTS OF LOBBYIST REGISTRATION STATEMENTS.** The lobbyist registration statement shall include all of the following:

(A) The name, address, and telephone number of the lobbyist.

(B) For each person from whom the lobbyist receives compensation to provide lobbying services, all of the following:

- (i) The full name, business address, and telephone number of the person.
- (ii) A written authorization signed by the person.
- (iii) The time period of the contract or employment agreement.
- (iv) The lobbying interests of the person.

(C) A statement signed by the lobbyist certifying that he or she has read and understands the prohibitions contained in subdivisions (f) and (g).

(4) CONTENTS OF LOBBYING FIRM REGISTRATION STATEMENTS. The registration statement of a lobbying firm shall include all of the following:

(A) The full name, business address, and telephone number of the lobbying firm.

(B) A list of the lobbyists who are partners, owners, officers, or employees of the lobbying firm.

(C) For each person with whom the lobbying firm contracts to provide lobbying services, all of the following:

- (i) The full name, business address, and telephone number of the person.
- (ii) A written authorization signed by the person.
- (iii) The time period of the contract.
- (iv) Information sufficient to identify the lobbying interests of the person.

(D) A statement signed by the designated responsible person that he or she has read and understands the prohibitions contained in subdivisions (f) and (g).

(5) CONTENTS OF LOBBYIST EMPLOYER REGISTRATION STATEMENTS. The registration statement of a lobbyist employer shall include all of the following:

(A) The full name, business address, and telephone number of the lobbyist employer.

(B) A list of the lobbyists who are employed by the lobbyist employer.

(C) The lobbying interests of the lobbyist employer, including identification of specific contracts or authority actions.

(D) A statement signed by the designated responsible person that he or she has read and understands the prohibitions contained in subdivisions (f) and (g).

(6) (A) AMENDMENTS. The registration statement may be amended within 10 days of a change in the information included in the statement. However, if the change includes the name of a person by whom a lobbyist is retained, the registration statement shall be

amended to show that change prior to the commencement of lobbying by the lobbying firm or the lobbyist.

(B) **TERMINATION.** Lobbying firms and lobbyist employers upon ceasing all lobbying activity that required registration shall file a notice of termination within 30 days after the cessation.

(C) Lobbyists and lobbyist firms are subject to subdivisions (f) and (g) for 12 months after filing a notice of termination.

(c) **RECORD KEEPING.** Lobbyists, lobbying firms, and lobbyist employers that receive payments, make payments, or incur expenses, or expect to receive payments, make payments, or incur expenses, in connection with activities that are reportable pursuant to this section shall keep detailed accounts, records, bills, and receipts for four years, and shall make them reasonably available for inspection for the purposes of auditing for compliance with, or enforcement of, this section.

(d) **REPORTING OF ACTIVITY EXPENSES.** When a person is required to report activity expenses pursuant to this section, all of the following information shall be provided:

- (1) The date and amount of each activity expense.
- (2) The full name and official position, if any, of the beneficiary of each expense, a description of the benefit, and the amount of the benefit.
- (3) The full name of the payee of each expense if other than the beneficiary.

(e) **QUARTERLY REPORTS**

(1) **LOBBYING FIRM.** A lobbying firm shall file a periodic report containing all of the following:

- (A) The full name, address, and telephone number of the lobbying firm.
- (B) The full name, business address, and telephone number of each person who contracted with the lobbying firm for lobbying services, a description of the specific lobbying interests of the person, and the total payments, including fees and the reimbursement of expenses, received from the person for lobbying services during the reporting period.
- (C) A copy of the periodic report completed and verified by each lobbyist in the lobbying firm pursuant to paragraph (2).
- (D) Each activity expense incurred by the lobbying firm, including those reimbursed by a person who contracts with the lobbying firm for lobbying services.

(E) The date, amount, and the name of the recipient of any contribution of one hundred dollars (\$100) or more made by the filer to an authority official.

(2) **LOBBYIST.** A lobbyist shall complete and verify a periodic report, and file his or her report with the filing officer, and a copy of the report with his or her lobbying firm or lobbyist employer. The periodic report shall contain all of the following:

(A) A report of all activity expenses by the lobbyist during the reporting period.

(B) A report of all contributions of one hundred dollars (\$100) or more made or delivered by the lobbyist to any authority official during the reporting period.

(3) **LOBBYIST EMPLOYER.** A lobbyist employer shall file a periodic report containing all of the following:

(A) The name, business address, and telephone number of the lobbyist employer.

(B) The total amount of payments to each lobbying firm.

(C) The total amount of all payments to lobbyists employed by the filer.

(D) A description of the specific lobbying interests of the filer.

(E) A periodic report, completed and verified by each lobbyist employed by a lobbyist employer pursuant to paragraph (1) of subdivision (e).

(F) Each activity expense of the filer and a total of all activity expenses of the filer.

(G) The date, amount, and the name of the recipient of any contribution of one hundred dollars (\$100) or more made by the filer to an authority official.

(H) The total of all other payments to influence authority action.

(4) **REPORT DEADLINE/COPIES/RETENTION BY AUTHORITY**

(A) The periodic reports shall be filed within 30 days after the end of each calendar quarter. The period covered shall be from the beginning of the calendar year through the last day of the calendar quarter prior to the 30-day period during which the report is filed, except that the period covered by the first report a person is required to file shall begin with the first day of the calendar quarter in which the filer first registered or qualified.

(B) The original and one copy of each report shall be filed with the filing officer, retained by the authority for a minimum of four years, and available for inspection by the public during regular working hours.

(f) **GIFT PROHIBITIONS**

(1) It is unlawful for a lobbyist, a lobbying firm, or a lobbyist employer to make gifts to an authority official aggregating more than ten dollars (\$10) in a calendar month, to act as an agent or intermediary in the making of any gift, or to arrange for the making of any gift by any other person.

(2) It is unlawful for any authority official knowingly to receive any gift that is made unlawful by this section. For the purposes of this subdivision, "gift" has the same meaning as defined in Section 130051.17.

(g) **MISCELLANEOUS PROHIBITIONS.** No lobbyist or lobbying firm shall do any of the following:

(1) Do anything with the purpose of placing an authority official under personal obligation to the lobbyist, the lobbying firm, or the employer of the lobbyist or lobbying firm.

(2) Deceive or attempt to deceive any authority official with regard to any material fact pertinent to any authority action.

(3) Cause or influence any authority action for the purpose of thereafter being employed to secure its passage or defeat.

(4) Attempt to create a fictitious appearance of public favor or disfavor of any authority action, or cause any communications to be sent to any authority official in the name of any fictitious person or in the name of any real person, except with the consent of that real person.

(5) Represent falsely, either directly or indirectly, that the lobbyist or the lobbying firm can control any authority official.

(6) Accept or agree to accept any payment that is contingent upon the outcome of any authority action.

PENALTIES

(h) Any person who knowingly or willfully violates any provision of this section is guilty of a misdemeanor.

(i) The District Attorney of the County of Los Angeles is responsible for the prosecution of violations of this section.

(j) Any person who violates any provision of this section is liable in a civil action brought by the civil prosecutor or by a person residing within the jurisdiction of the authority for an amount up to five hundred dollars (\$500), or three times the amount of an unlawful gift or expenditure, whichever amount is greater.

(k) The authority shall reject any bid or other proposal to enter into a contract with the authority by any person or entity that has not complied with the registration and reporting requirements of this section.

(l) **EXEMPTIONS.** The provisions of this section are not applicable to any of the following:

(1) An elected public official who is acting in his or her official capacity to influence authority action.

(2) Any newspaper or other periodical of general circulation, book publisher, radio or television station that, in the ordinary course of business, publishes or broadcasts news items, editorials, or other documents, or paid advertisement, that directly or indirectly urges authority action, if the newspaper, periodical, book publisher, radio or television station engages in no further or other activities in connection with urging authority action other than to appear before the authority in support of, or in opposition to, the authority action.

(m) **POST-EMPLOYMENT.** No former authority official shall become a lobbyist for a period of one year after leaving the authority.

II. MTA ADMINISTRATIVE CODE: LOBBYING PROVISIONS; DEFINITIONS; RULES OF CONSTRUCTION

1-05-010 Severability. If any section, sentence, clause or phrase of this code is for any reason held to be invalid or unconstitutional, such decision shall not affect the validity of the remaining portions of this code. The MTA Board of Directors hereby declares that it would have adopted this code, and each section, subsections, sentence, clause and phrase thereof, irrespective of the fact that any one or more sections, subsections, sentences, clauses or phrases had been declared invalid or unconstitutional, and if for any reason this code should be declared invalid or unconstitutional, then the original ordinance or ordinances shall remain in full force and effect.

1-05-020 Provisions Not Affected By Headings. Title, chapter and section headings contained in the provisions of this code shall not be deemed to govern, limit, modify or in any manner affect the scope, meaning or intent of any section hereof.

1-05-030 Construction of Terms – Tenses. Within this code, unless the text clearly provides otherwise, the present tense includes the past and the future tenses and the future tense includes the present.

1-05-040 Construction of Terms – Gender. Within this code, unless the text clearly provides otherwise, the masculine gender includes the feminine, and the feminine gender includes the masculine.

1-05-050 Construction of Terms – Number. Within this code, unless the text clearly provides otherwise, the singular includes the plural, and the plural includes the singular.

1-05-060 Construction of Terms – Shall and May. Within this code, the word “shall” is mandatory, and the word “may” is permissive.

5-05-010 Codes of Conduct. This title sets forth the codes of conduct for MTA officers and employees and for those doing business with the MTA. The Ethics Officer is authorized to prepare and publish informational materials describing the requirements of this title in a readily understandable format and to make copies of such informational materials available to all affected and interested persons.

5-05-020 Waiver. Any provision of this title not mandated by statute may be waived by the Board of Directors if it finds, based upon the facts applicable in a particular instance, that such a waiver is in the best interest of the MTA.

5-05-030 Definitions. The terms used in this title shall be construed as defined in this chapter.

5-05-040 Activity Expense. “Activity Expense” means any expense incurred or payment made by a lobbyist, lobbying firm, or lobbyist employer, or arranged by a lobbyist, lobbying firm, or lobbyist employer, that benefits in whole or in part any MTA official, or a member of the immediate family of an MTA official. Activity expenses include, but are not limited to, contributions made to office holder accounts and to committees controlled by an MTA official and gifts.

5-05-050 Administrative Testimony. “Administrative testimony” means influencing or attempting to influence MTA action undertaken by any person or entity who does not seek to enter into a contract or other arrangement with the MTA by acting as counsel in, appearing as a witness in, or providing written submissions, including answers to inquiries, which become a part of the record of any proceeding of the MTA that is conducted as an open public hearing for which public notice is given.

5-05-060 Board Member. “Board Member” means a member of the MTA Board of Directors.

5-05-070 Campaign Contribution and Contribution. “Campaign contribution” and “contribution” have the same meaning as the term “contribution” as defined in Government Code Section 82015.

5-05-080 Consultant. “Consultant” has the same meaning as set forth in Title 2 California Code of Regulations, Section 18701(a)(2).

5-05-090 Contractor. “Contractor” means any construction company, engineering firm, consultant, legal firm, or any company, supplier, or business entity who is presently engaging in

any business with the MTA or any owner or employee of such entities and all entities who have submitted a bid or proposal for an MTA contract. "Contractor" shall also include any consultant and any subcontractor to a contractor.

5-05-100 Designated MTA Employee. "Designated MTA Employee means an MTA official whose position with the MTA entails the making or the participation in the making of decisions which could foreseeably have a material effect on a financial interest of that official. Such persons are designated in the MTA's Conflict of Interest Code.

5-05-110 Financial Interest. "Financial interest" on the part of a Board Member which would preclude participation in an MTA decision means any interest which would constitute a financial interest under subdivision (c) Public Utilities Code Section 130700. "Financial interest" on the part of an MTA employee which would preclude participation in an MTA decision means any interest which would constitute a financial interest under Government Code Section 87103 and any regulations of the California Fair Political Practices Commission interpreting that section.

5-05-120 Gift. "Gift" has the same meaning as set forth in Government Code Section 82028 and any regulations of the California Fair Political Practices Commission interpreting that section.

5-05-130 Lobbying and Lobbyist Services. "Lobbying" and "lobbyist services" mean any action by a lobbyist or lobbying firm to influence or attempt to influence MTA action through direct or indirect communication, other than administrative testimony, with an MTA official.

5-05-140 Lobbying Firm. "Lobbying firm" means any business entity, including an individual lobbyist, that meets either of the following criteria:

A. The business entity receives or becomes entitled to receive any compensation, other than reimbursement for reasonable travel expenses, for the purpose of influencing MTA action on behalf of any other person, and any partner, owner, officer, or employee of the business entity is a lobbyist; or

B. The business entity receives or becomes entitled to receive any compensation, other than reimbursement for reasonable travel expenses, to communicate directly with any MTA official for the purpose of influencing MTA action on behalf of any other person, if a substantial or regular portion of the activities for which the business entity receives compensation is for the purpose of influencing MTA action.

5-05-150 Lobbyist. "Lobbyist" means any individual who receives any economic consideration, other than reimbursement for reasonable travel expenses, for lobbying, including consultants and officers or employees of any business entity seeking to enter into a contract with the MTA.

5-05-160 Lobbyist Employer. "Lobbyist employer" means any person, other than a lobbying firm, who does either of the following:

- A. Employs one or more lobbyists for the purpose of influencing MTA action; or
- B. Contracts for the services of a lobbyist or lobbying firm for economic consideration for the purpose of influencing MTA action.

5-05-170 MTA Action. “MTA action” means the drafting, introduction, consideration, modification, enactment, or defeat of an ordinance, resolution, contract, or report by the governing board of an organizational unit of the MTA, or by an MTA official, including any action taken, or required to be taken, by a vote of the Board of Directors, or by the members of the governing board of an organizational unit of the MTA, except those actions relating to Article 10 of Chapter 5 of Part 3 of Division 10 (commencing with Section 30750) of the Public Utilities Code.

5-05-180 MTA Employee. “MTA employee” means any individual, including a consultant who receives compensation from the MTA for full or part-time employment. The term MTA employee includes a "designated MTA employee".

5-05-190 MTA Official. “MTA official” means any Board Member or member of an organizational unit of the MTA, or MTA employee.

5-05-200 Official Responsibility. “Official responsibility” means the direct administrative or operating duties for the MTA, whether intermediate or final, and whether exercisable alone or with others, and either personally or through subordinates, to approve, disapprove, or otherwise direct MTA action.

5-05-210 Person. “Person” has the same meaning as set forth in Government Code Section 82047.

5-05-220 Public Official. “Public official” has the same meaning as set forth in Government Code Section 82048.

5-05-230 Signed. “Signed” means executed or adopted, with the present intention to authenticate and affirm, using either:

- A. A handwritten signature; or
- B. An electronic sound, symbol, or process unique to the filer and assigned by the Ethics Officer, which is attached to or logically associated with the filing of a report or statement using the MTA’s electronic filing system.

5-05-240 Significant Other. “Significant other” means an individual with whom an MTA official participates in a dating relationship.

5-25-010 Registration and Fees.

A. Each lobbyist, lobbying firm, and lobbyist employer shall register in writing with the Ethics Officer within ten (10) days after qualifying as a lobbyist, lobbying firm, or lobbyist employer. Registration shall be completed prior to the commencement of lobbying. Registration shall include the filing of a registration statement, and the payment of such fees as are authorized by this section. Registration shall be renewed annually by January 15 of each succeeding year by the filing of a renewal statement and the payment of the required fees.

B. Each lobbyist, lobbying firm, and lobbyist employer required by this section to register and to file an annual renewal statement may be charged a fee for each filing in an amount sufficient to cover the direct costs of implementing this chapter as determined by the Ethics Officer. Failure to pay any such fee when due shall be a violation of this chapter.

5-25-020 Lobbyist Registration Statement. The registration and renewal statements for each lobbyist shall include all of the following:

A. The name, business address, e-mail address and telephone number of the lobbyist; and

B. For each person or company from whom the lobbyist receives compensation to provide lobbying services, all of the following:

1. The full name, business address, e-mail address and telephone number of the person or company;
2. The time period of the contract or employment agreement;
3. The lobbying interests of the person or company;
4. A written, signed statement authorizing the lobbyist to lobby the MTA on behalf of that person or company; and
5. A statement signed by the lobbyist certifying that he or she has read and understands and will comply with the requirements and restrictions contained in this chapter.

5-25-030 Lobby Firm Registration Statement. The registration and renewal statements for each lobbying firm shall include all of the following:

A. The full name, business address, e-mail address and telephone number of the lobbying firm;

B. A list of the lobbyists who are partners, owners, officers, or employees of the lobbying firm; and

C. For each person or company with whom the lobbying firm contracts to provide lobbying services, the following:

1. The full name, business address, e-mail address and telephone number of the person or company;
2. The time period of the contract;
3. Information sufficient to identify the lobbying interests of the person or company;

4. A written, signed statement authorizing the lobbying firm to lobby the MTA on behalf of that person or company; and

5. A statement signed by the designated responsible person that he or she has read and will comply with the requirements and restrictions contained in this chapter.

5-25-040 Lobbyist Employer Registration Statement. The registration and renewal statement for each lobbyist employer shall include all of the following:

A. The full name, business address, e-mail address and telephone number of the lobbyist employer;

B. A list of the lobbyists or lobbying firms who are employed by the lobbyist employer;

C. The lobbying interests of the lobbyist employer, including identification of specific contracts or MTA actions; and

D. A statement signed by the designated responsible person that he or she has read and will comply with the requirements and restrictions contained in this chapter.

5-25-050 Mandatory Record Keeping. Lobbyists, lobbying firms, and lobbyist employers that make offers, receive payments, make payments, or incur expenses or expect to receive payments, make payments, or incur expenses in connection with activities which are reportable pursuant to this section, shall keep all statements and reports filed pursuant to this chapter together with detailed accounts, records, bills, and receipts, for a period of four (4) years and make them reasonably available for inspection for the purposes of auditing for compliance with, or enforcement of, this chapter.

5-25-060 Quarterly Reports. Each lobbyist, lobbying firm, and lobbyist employer shall file with the Ethics Officer a written quarterly report as set forth in this chapter within thirty (30) days after the end of each calendar quarter. The period covered by the first quarterly report of a lobbyist, lobbying firm, or lobbyist employer shall begin with the first day of the calendar quarter in which the filer first registered or qualified and shall end with the last day of the calendar quarter for which the report is being made. Thereafter, except as otherwise provided in this chapter, the period covered by a quarterly report shall be from the beginning of the calendar year through the last day of the calendar quarter for which the report is being made. Each quarterly report shall include a signed statement certifying that the information contained in the report is a true and complete disclosure of the information required to be reported under this chapter.

5-25-070 Lobbyist Quarterly Report. Each lobbyist shall complete a quarterly report, which shall be signed and filed with the Ethics Officer, which shall contain all of the following:

A. The full name, business address, e-mail address and telephone number of each person or company who contracted with the lobbyist for lobbying services and each other person or entity on whose behalf the lobbyist attempted to influence MTA action, even if the lobbyist is compensated for such efforts by another person. The lobbyist shall also include a description of

the specific lobbying interests of the person or company, and the total payments, including fees and the reimbursement of expenses, received from the person or company for lobbying services during the reporting period. If the lobbyist lobbied on a specific contract, the lobbyist shall disclose the contract number and describe in detail the nature of the contract. The lobbyist shall also disclose payments received for lobbying on a specific contract; and

- B. A report of all activity expenses by the lobbyist during the reporting period, including:
1. The date and amount of each activity expense;
 2. The full name and official position, if any, of the beneficiary of each expense, a description of the benefit and the amount of the benefit; and
 3. The full name of the payee of each expense if other than the beneficiary; and
 4. The date, amount, name of the recipient, including the name of the recipient account or committee, for all contributions of ten dollars (\$10) or more made or delivered by the lobbyist to an MTA official during the reporting period. Each time a new Board Member is seated during a calendar quarter, the quarterly report for that calendar quarter shall include the information required by this paragraph as to that new Board Member for that calendar quarter and for the immediately preceding four (4) years.

5-25-080 Lobbying Firm Quarterly Report. Each lobbying firm shall complete a quarterly report, which shall be signed and filed with the Ethics Officer, which shall contain all of the following:

- A. The full name, business address, e-mail address and telephone number of the lobbying firm;
- B. The full name, business address, e-mail address and telephone number of each person or company who contracted with the lobbying firm for lobbying services, a description of the specific lobbying interests of the person or company, and the total payments, including fees and the reimbursement of expenses, received from the person or company for lobbying services during the reporting period. If the lobbying firm lobbies for a specific contract or retains a lobbyist to lobby a specific contract, the lobbying firm shall disclose the contract number and describe in detail the nature of the contract;
- C. A report of all activity expenses by the lobbying firm during the reporting period, including:
1. The date and amount of each activity expense;
 2. The full name and official position, if any, of the beneficiary of each expense, a description of the benefit and the amount of the benefit; and
 3. The full name of the payee of each expense if other than the beneficiary; and
 4. The date, amount, name of the recipient, including the name of the recipient account or committee, for all contributions of ten dollars (\$10) or more made or delivered by the lobbying firm to an MTA official during the reporting period. Each time a new Board Member is seated during a calendar quarter, the quarterly report for that calendar quarter shall include the

information required by this paragraph as to that new Board Member for that calendar quarter and for the immediately preceding four (4) years.

5-25-090 Lobbyist Employer Quarterly Report. Each lobbyist employer shall complete a quarterly report, which shall be signed and filed with the Ethics Officer, which shall contain all of the following:

- A. The name, business address, e-mail address and telephone number of the lobbyist employer;
- B. The total amount of payments to each lobbying firm;
- C. The total amount of all payments to lobbyists employed by the filer;
- D. A description of the specific lobbying interests of the filer. If the lobbyist employer has contracted with a lobbying firm or lobbyist to lobby a specific contract, the lobbyist employer shall disclose the contract number and describe in detail the nature of the contract. The lobbyist employer shall also disclose the amount of money paid to a lobbying firm or lobbyist to lobby the specific contract;
- E. A report of all activity expenses by the lobbyist employer during the reporting period, including:
 - 1. The date and amount of each activity expense;
 - 2. The full name and official position, if any, of the beneficiary of each expense, a description of the benefit and the amount of the benefit; and
 - 3. The full name of the payee of each expense if other than the beneficiary.
 - 4. The date, amount, name of the recipient, including the name of the recipient account or committee, for all contributions of ten dollars (\$10) or more made or delivered by the lobbyist employer to an MTA official during the reporting period. Each time a new Board Member is seated during a calendar quarter, the quarterly report for that calendar quarter shall include the information required by this paragraph as to that new Board Member for that calendar quarter and for the immediately preceding four (4) years; and
- F. The total of all other payments to influence MTA action.

5-25-100 Registration Statement and Quarterly Report Amendments. Each registration and renewal statement and each quarterly report shall be amended in writing within ten (10) days of a change in the information included in the statement, or of the discovery of information that was omitted or incorrectly reported on a quarterly report. However, if the change includes the name of a person by whom a lobbyist or lobbying firm is retained, the registration statement shall be amended to show that change prior to the commencement of lobbying by the lobbying firm or the lobbyist.

5-25-110 Filing Method. Any written statement or report required to be filed, or payment required to be made, pursuant to this chapter shall be filed in the format and form of payment,

including the electronic media type or other means, specified by the Ethics Officer unless the Ethics Officer waives such requirement in writing upon demonstration of a significant hardship by the filer.

5-25-120 Retention Period. Each registration and renewal statement and each quarterly report required to be filed with the Ethics Officer pursuant to this chapter shall be retained by the MTA for a minimum of four (4) years, and shall be available for inspection by the public during regular working hours. A computer printout of any electronically filed statement or report shall be treated as an original for purposes of admissibility in any court or other proceeding.

5-25-130 Gift Restrictions.

A. No lobbyist, lobbying firm or lobbyist employer shall make any gifts to any MTA official aggregating more than ten dollars (\$10) in a calendar month, or act as an agent or intermediary in the making of any gift, or arrange for the making of any gift by any other person.

B. No MTA official shall knowingly receive any gift which is prohibited by this chapter.

5-25-140 Other Prohibitions. No lobbyist or lobbying firm shall do any of the following:

A. Take any action with the purpose of placing an MTA official under personal obligation to the lobbyist, the lobbying firm, or the lobbyist's or the lobbying firm's employer;

B. Deceive or attempt to deceive any MTA official with regard to any material fact pertinent to any MTA action;

C. Cause or influence any MTA action for the purpose of thereafter being employed to secure its passage or defeat;

D. Attempt to create a fictitious appearance of public favor or disfavor of any MTA action, or cause any communications to be sent to any MTA official in the name of any fictitious person, or in the name of any real person except with the consent of that real person;

E. Represent, either directly or indirectly, that the lobbyist or the lobbying firm can control any MTA official;

F. Accept or agree to accept any payment that is contingent upon the outcome of any MTA action; or

G. Make or direct any payment, directly or indirectly, which is prohibited by Public Utilities Code Section 130051.20 or Government Code Section 84308.

5-25-150 Prohibitions Related to Procurements.

A. Commencing with the issuance of a Request for Proposals (RFP), a Request for Information and Qualifications (RFIQ), or an Invitation for Bids (IFB), and ending on the date

the staff recommendation for award is made public, no lobbyist representing a person or entity submitting a proposal in response to the RFP, RFIQ or IFB shall contact by any means or engage in any discussion concerning the award of the contract with any MTA official or any staff to a Board Member. Any such contact shall be grounds for the disqualification of the proposer.

B. During price negotiations of non-low bid contracts, lobbyists shall not contact, lobby or otherwise attempt to influence MTA officials or any staff to a Board Member, other than negotiation team members, relative to any aspect of the contract under negotiation. This provision shall apply from the time of award until the recommendation for execution of the contract is made public. Any concerns relative to any contract under negotiation shall be communicated only to the CEO for resolution.

C. A lobbyist representing a person or entity who submitted a proposal or bid in response to the RFP, RFIQ, or IFB shall not contact a Board Member or his or her staff regarding a protest submitted regarding the recommended contract award or any lawsuit or potential lawsuit regarding the recommended contract award or any issue relating to the underlying procurement.

5-25-160 Lobbying on Behalf of MTA. Any person or entity who receives compensation pursuant to a contract or subcontract to lobby on behalf of, or otherwise represent the MTA, shall be prohibited from lobbying the MTA on behalf of any person or entity.

5-25-170 Lobbying By MTA Officials or Staff to Board Members. No MTA official or person who is staff to a Board Member shall lobby the MTA until one year after leaving the MTA or after ceasing to be staff to a Board Member.

5-25-180 Termination of Lobbying Activities.

A. Lobbying firms and lobbyist employers upon ceasing all lobbying activity which required registration shall file a notice of termination within thirty (30) days after the cessation.

B. Lobbyists and lobbying firms shall remain subject to the prohibitions of this chapter for twelve (12) months after filing a notice of termination.

5-25-190 Non-Applicability. The provisions of this ordinance are not applicable to any of the following:

A. An elected public official who is acting in his or her official capacity to influence MTA action; or

B. Any newspaper or other periodical of general circulation, book publisher, radio or television station which, in the ordinary course of business, publishes or broadcasts news items, editorials, or other documents, or paid advertisement, that directly or indirectly urges MTA action, if the newspaper, periodical, book publisher, radio or television station engages in no further or other activities in connection with urging MTA action other than to appear before the MTA in support of, or in opposition to the MTA action.

5-25-200 Enforcement. The Inspector General is authorized to investigate alleged violations of this chapter. The Ethics Officer is authorized to assess a late fee and/or to terminate a registration for failure to timely file statements or reports or to timely pay the required fees. The Ethics Officer is authorized to waive any penalty for a late filing upon a showing that the late filing was not willful or that the enforcement of a penalty for the late filing would otherwise not further the purposes of this chapter. Both the Inspector General and the Ethics Officer are authorized to make recommendations to the Board of Directors related to the imposition of any other penalty authorized by this chapter for a violation of this chapter.

5-25-210 Sanctions for Violations of this Chapter.

A. Any party committing a violation of this chapter shall be subject to the following possible sanctions:

1. The Ethics Officer may assess a late fee or terminate that party's registration for failure to timely file any statement or report, or to timely pay any fee, required by this chapter;
2. The party's bid or other proposal to enter into a contract with the MTA may be rejected;
3. The party may be disqualified from lobbying on the matter related to the violation;
4. The party may be suspended from all MTA lobbying activities for a specific period of time;
5. The party may be permanently prohibited from all MTA lobbying activities;
6. The party may be subject to civil penalty in an amount up to five hundred (\$500) dollars, or three times the amount of an unlawful gift or expenditure, whichever is greater, as directed by the court in a civil action brought by the civil prosecutor or by a person residing within the jurisdiction of the MTA.

B. Any sanction imposed for a violation of this chapter shall depend upon the severity of the violation and may be progressive unless the violation is so egregious as to warrant more severe action initially.

C. Any person who knowingly or willfully violates any provision of this chapter is guilty of a misdemeanor.

D. The District Attorney of the County of Los Angeles is authorized to bring civil or criminal prosecutions for violations of this chapter.

5-25-220 Procedures for Imposing Certain Sanctions. Before the imposition of a sanction authorized by section 5-25-210, other than a criminal prosecution or a sanction under paragraphs A.1. or A.6. of section 5-25-210, the following procedures should be followed:

A. Information relating to the alleged violation shall be forwarded to the Inspector General for investigation;

B. Upon completion of the investigation, the Inspector General shall submit his or her findings to the Board of Directors for review;

C. The Board of Directors, or such person or body as may be designated by the Chair of the Board of Directors, shall hold an administrative hearing relating to the alleged violation. Any entity may submit evidence in support of or in opposition to the allegations;

D. If the Board of Directors or its designee finds that a violation of this chapter has occurred, it shall decide the appropriate sanctions to impose. The decision of a designee of the Board of Directors shall be forwarded to the Board of Directors for approval. The decision of the Board of Directors shall be final.

E. The imposition of any sanction, or the failure to impose a sanction, by the Board of Directors shall not preclude the imposition of a late fee, the termination of a registration or the imposition of any criminal or civil penalty authorized by this chapter.

III. CAL. PUBLIC UTILITIES CODE SECTION 130051.20: CONTRIBUTIONS

(a) (1) No construction company, engineering firm, consultant, legal firm, or any company, vendor, or business entity seeking a contract with the Los Angeles County Metropolitan Transportation Authority shall give to a member, alternate member, or employee of the authority, or to any member of their immediate families, a contribution of over ten dollars (\$10) in value or amount. A "contribution" includes contributions to candidates or their committees in any federal, state, or local election.

(2) Neither the owner, an employee, or any member of their immediate families, of any construction company, engineering firm, consultant, legal firm, or any company, vendor, or business entity seeking a contract with the authority shall make a contribution of over ten dollars (\$10) in value or amount to a member, alternate member, or employee of the authority, or to any member of their immediate families.

(3) No member, alternate member, or employee of the authority, or member of their immediate families, shall accept, solicit, or direct a contribution of over ten dollars (\$10) in value or amount from any construction company, engineering firm, consultant, legal firm, or any company, vendor, or business entity seeking a contract with the authority.

(4) No member, alternate member, or employee of the authority shall make or participate in, or use his or her official position to influence, a contract decision if the member, alternate member, or employee has knowingly accepted a contribution of over ten dollars (\$10) in value in the past four years from a participant, or its agent, involved in the contract decision.

(5) No member, alternate member, or employee of the authority, or member of their immediate families shall accept, solicit, or direct a contribution of over ten dollars (\$10) in value or amount

from a construction company, engineering firm, consultant, legal firm, or any company, vendor, or business entity that has contracted with the authority in the preceding four years.

(b) A member, alternate member, or employee of the authority who has participated as a decisionmaker in the preparation, evaluation, award, or implementation of a contract and who leaves the authority shall not, within three years of leaving the authority, accept employment with any company, vendor, or business entity that was awarded a contract as a result of his or her participation, evaluation, award, or implementation of that contract.

IV. CAL. PUBLIC UTILITIES CODE SECTION 130660: GIFTS

(a) Board members or their staff are prohibited from soliciting or accepting any gift from MTA contractors or from persons or entities that have submitted a proposal or bid for an MTA contract.

(b) Board members or their staff shall not accept gifts aggregating two hundred eighty-nine dollars (\$289) or more, as specified in Section 89502 or 89503 of the Government Code, from a single source in any calendar year.

(c) Board members shall disqualify themselves from participating in a decision that may have a financial effect upon a source of income aggregating two hundred fifty dollars (\$250) or more or a donor of gifts aggregating two hundred eighty-nine dollars (\$289) or more, if those gifts were received within 12 months preceding the time of the decision.

(d) Board members shall not accept gifts aggregating more than ten dollars (\$10) in a calendar month from an MTA registered lobbyist, lobbying firm, or lobbyist employer.

(e) Board members shall report on their annual Statement of Economic Interest gifts aggregating fifty dollars (\$50) or more and income of two hundred fifty dollars (\$250) or more received from a single source in a calendar year.

V. CAL. PUBLIC UTILITIES CODE SECTION 130685: COMMUNICATIONS BY PROPOSERS

(a) Prior to the issuance of a request for proposal (RFP), request for interest in qualification (RFIQ), or invitation for bid (IFB), and ending on the date of the selection of the contractor, no person or entity submitting a proposal in response to the RFP, RFIQ, or IFB, nor any officer, employee, representative, agent, or consultant representing the proposer shall contact by any

means or engage in any discussion concerning the award of the contract with any board member or his or her staff. Any contact shall be grounds for the disqualification of the proposer.

(b) A board member who receives any communication from a proposer in violation of this chapter shall report that communication to the inspector general. The inspector general shall forward this information to the director of contracts and responsible procurement staff.

(c) Board members shall not meet with a person or entity who submitted a proposal in response to the RFP, RFIQ, or IFB, nor any officer, employee, representative, agent, or consultant representing the proposer regarding a protest submitted regarding the recommended contract award or any lawsuit or potential lawsuit regarding the recommended contract award.

FORMS

Registration, termination, and all other reports should be submitted using the Lobbyist Online Filing System (LOFS), the preferred method for filing MTA lobbyist registration and reporting forms. For information about using LOFS, see page 12 of this manual.

If you do not have internet access, and therefore are not able to use the LOFS, then a hard copy report may be submitted. All reporting forms, except for Form 8, are contained below. Registrants requiring a Form 8 should request one from the Ethics Department when notified that a Form 8 is due.

LOBBYIST REGISTRATION STATEMENT - FORM 1

I. PURPOSE OF FORM

The Lobbyist Registration Statement is used for:

- Initial registration of an individual lobbyist.
- Amendment of registration for changes and/or corrections.
- Renewal of registration annually on or before January 15th.

INITIAL REGISTRATION

A lobbyist must register with the MTA within ten (10) days after qualifying as a lobbyist. The Registration Statement must be filed and fees paid prior to the commencement of lobbying.

In order for the individual lobbyist registration process to be complete, it must be accompanied with an additional form to register the business or employer. Either a Lobbying Firm Registration Statement Form 2 and/or a Lobbyist Employer Registration Statement Form 3 must accompany this form.

AMENDMENT OF LOBBYIST REGISTRATION STATEMENT

The Lobbyist Registration Statement must be amended within ten (10) days of any change in the information included in the initial statement. For example, an amendment would be necessary to correct an address or telephone number change.

However, if the change includes the name of a Lobbyist Employer not previously represented, the Registration Statement must be amended prior to the commencement of lobbying on behalf of such Lobbyist Employer.

RENEWAL OF REGISTRATION

The registration statement must be completed with payment of renewal fees and filed every year to timely renew the lobbyist registration annually on or before January 15th, of each succeeding year.

If a registered lobbyist fails to renew on or before January 15th, then the lobbyist must complete this form as a late application with payment of full fees.

II. INSTRUCTIONS

Part I - This section should be used to identify the purpose of the filing. At least one box must be checked for initial, amended or renewal registration status.

Part II - This section should contain individual business information including your name, business mailing address, telephone and fax numbers and e-mail address.

Part III - This section should contain information on the company under which the individual lobbyist is affiliated with or employed. Identify the company name, address, telephone and fax numbers, company lobby status and lobbying interests. Lobby status should include all subcontracts for secondary representation between lobbying firms and /or lobbying firm and lobbyist employer. Lobbying interests can be either a one word or a short narrative description of the nature of business engaged, current or prospective contract awards or true party in interest for all subcontracts.

Part IV - Indicate amount of payment and method of transmission.

Part V - Verification section requires original ink signature, date and location where the document was signed.

WHERE TO FILE

**LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY
ETHICS DEPARTMENT
ONE GATEWAY PLAZA
MAIL STOP 99-11-12
LOS ANGELES, CA 90012-2932**

All filings with original signature and fees can be sent via first class mail to the above address. Courier and overnight mail are also accepted. For additional assistance and information about the regulations and policies, please call toll free in California at 1-877-384-4278, or 213-922-2900.

LOBBYIST REGISTRATION STATEMENT - FORM 1

PART I. CHECK APPROPRIATE BOX:

- INITIAL Registration for Calendar Year _____
 AMENDED Registration
 ANNUAL RENEWAL due Jan. 15, Year _____

PART II. LOBBYIST INFORMATION:

Name (Last Name)	(First Name)	(M.I.)	Phone Number
Business Mailing Address			
City	State	Zip Code	
Fax Number		E-mail Address	

PART III. LOBBYING FIRM AND / OR LOBBYIST EMPLOYER INFORMATION:

Company Name: _____	Phone Number: _____	
Business Address: _____		
City	State	Zip Code
Status: <input type="checkbox"/> Lobbying Firm	<input type="checkbox"/> Lobbyist Employer	<input type="checkbox"/> Subcontract
Lobbying Interests _____		
Company Name: _____		Phone Number: _____
Business Address: _____		
City	State	Zip Code
Status: <input type="checkbox"/> Lobbying Firm	<input type="checkbox"/> Lobbyist Employer	<input type="checkbox"/> Subcontract
Lobbying Interests _____		
<input type="checkbox"/> <i>If more space is needed, check the box and attach additional pages.</i>		

PART IV. FILING FEES:

CHECK ONE

- \$ 40 - Initial Registration Filing Fee
- \$ 25 - Annual Renewal (for renewals submitted by Jan. 15th)
- \$ 45 - Late Annual Renewal (for renewals submitted after Jan. 15)

CHECK ONE

- Payment is Enclosed
- Payment Enclosed With Firm/Employer

PART V. VERIFICATION:

BY SIGNING THE VERIFICATION BELOW, I CERTIFY THAT I HAVE READ AND UNDERSTAND THE PROHIBITIONS AND LIMITATIONS CONTAINED IN PUBLIC UTILITIES CODE § 130051.18(f) and (g) and IN MTA ADMINISTRATIVE CODE CHAPTER 5-25.

ADDITIONALLY, I CERTIFY THAT I HAVE USED ALL REASONABLE DILIGENCE IN PREPARING THIS REGISTRATION STATEMENT. I HAVE REVIEWED THE STATEMENT AND TO THE BEST OF MY KNOWLEDGE THE INFORMATION CONTAINED HEREIN IS TRUE AND COMPLETE.

I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT THE FOREGOING IS TRUE AND CORRECT.

Date Executed

At (City and State)

By (Signature of Lobbyist)

Type or Print Name

**LOBBYING FIRM REGISTRATION AND AUTHORIZATION STATEMENT -
FORM 2**

I. PURPOSE OF FORM

The Lobbying Firm Registration and Authorization Statement Form is used for:

- Initial registration of a lobbying firm (including an individual contract lobbyist).
- Amendment of registration for changes and/or corrections.
- Renewal of registration annually on or before January 15th.

INITIAL REGISTRATION OF A LOBBYING FIRM

Any business entity, including an individual contract lobbyist, which engages in lobbying activity on behalf of any other person, company or firm either through a contract or subcontract must register with the MTA within ten (10) days of qualifying as a lobbying firm. The registration statement must be filed and fees paid prior to the commencement of lobbying.

In order for the lobbying firm registration process to be complete, a Lobbyist Registration Statement (Form 1), must be simultaneously filed by each owner, partner, officer or employee of the firm who qualifies as a lobbyist. A Lobbyist Employer Registration Statement (Form 3), should be completed by each company which hires a firm through a contract or subcontract to represent them.

AMENDMENT OF LOBBYING FIRM REGISTRATION STATEMENT

The Lobbying Firm Registration Statement must be amended within ten (10) days of any change in the information included in the Statement. For example, an amendment would be necessary to correct an address and to add or delete lobbyists and employers.

However, if the change includes the name of lobbyist employer not previously represented, the registration statement(s) must be amended prior to the commencement of lobbying on behalf of such Lobbyist Employer.

RENEWAL OF REGISTRATION

The registration statement must be completed with payment of renewal fees and filed every year to timely renew the lobbyist firm registration annually on or before January 15th, of each succeeding year.

If a registered lobbying firm fails to renew on or before January 15th, then the lobbying firm must complete this form as a late application and pay full fees.

II. INSTRUCTIONS

Part I - This section should be used to identify the purpose of the filing. At least one box must be checked for initial, amended or renewal registration status.

Part II - This section should contain the full business name of the lobbying firm. Additional information should include telephone and fax numbers, address, city, state and e-mail address of the person responsible for filing the report.

Part III - This section should include a list of all individuals associated with or employed by the lobbying firm who have or will complete an individual registration (Form 1.)

Part IV - This section should identify all client lobbyist employers represented by the lobbying firm to engage in lobbying activities before the MTA. Information should include client's company name, address and phone numbers. Check the appropriate box to identify whether the representation is a subcontractual interest with full disclosure of the name of the true party in interest.

Lobbying interests should indicate lobbying interests and activities to be pursued during the representation. Lobbying interests can be either a one word or a short narrative description of the nature of business engaged, current or prospective contract award or true party in interest for all subcontracts.

Part V - Verification section requires original ink signature, date and location where the document was signed.

WHERE TO FILE

**LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY
ETHICS DEPARTMENT
ONE GATEWAY PLAZA
MAIL STOP 99-11-12
LOS ANGELES, CA 90012-2932**

All filings with original signature and fees can be sent via first class mail to the above address. Courier and overnight mail are also accepted. For additional assistance and information about the regulations and policies, please call toll free in California at 1-877-384-4278, or 213-922-2900.

LOBBYING FIRM REGISTRATION/AUTHORIZATION STATEMENT - FORM 2

PART I. CHECK ALL APPROPRIATE BOXES:

- INITIAL Registration for Calendar Year _____
- AMENDED Registration
- ANNUAL Renewal due Jan. 15, Year _____

PART II. LOBBYING FIRM INFORMATION:

Name of Lobbying Firm	Phone Number	
Business Mailing Address		
City	State	Zip Code
Fax Number	Email Address	

PART III. PARTNERS, OWNERS, OFFICERS AND EMPLOYEES WHO ARE LOBBYISTS:

1.		Title
2.		Title
3.		Title
<input type="checkbox"/> <i>If more space is needed, check the box and attach additional pages.</i>		

PART IV. LOBBYIST EMPLOYER(S) / LOBBYING FIRM SUBCONTRACT :

Company Name: _____		
Address: _____		
City	State	Zip Code
Phone Number : _____ Fax Number _____		
Subcontract: <input type="checkbox"/> No <input type="checkbox"/> Yes True Party In Interest: _____		
Lobbying Interest(s)		
Company Name: _____		
Address: _____		
City	State	Zip Code
Phone Number : _____ Fax Number _____		
Subcontract: <input type="checkbox"/> No <input type="checkbox"/> Yes True Party In Interest: _____		
Lobbying Interest(s)		
<input type="checkbox"/> <i>If more space is needed, check the box and attach additional pages.</i>		

PART IV. FILING FEES (CHECK ONE):

- \$ 75 - Initial Registration Filing Fee
- \$ 50 - Annual Renewal (for renewals submitted by Jan. 15th)
- \$ 85 - Late Annual Renewal (for renewals submitted after Jan. 15th)

PART V. VERIFICATION:

BY SIGNING THE VERIFICATION BELOW, I CERTIFY THAT I HAVE READ AND UNDERSTAND THE PROHIBITIONS AND LIMITATIONS CONTAINED IN PUBLIC UTILITIES CODE § 130051.18(f) and (g) and IN MTA ADMINISTRATIVE CODE CHAPTER 5-25.

ADDITIONALLY, I CERTIFY THAT I HAVE USED ALL REASONABLE DILIGENCE IN PREPARING THIS REGISTRATION STATEMENT. I HAVE REVIEWED THE STATEMENT AND TO THE BEST OF MY KNOWLEDGE THE INFORMATION CONTAINED HEREIN IS TRUE AND COMPLETE.

I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT THE FOREGOING IS TRUE AND CORRECT.

Executed on

At (City and State)

By Signature of Authorized Representative of Lobbying Firm

Type or Print Name

LOBBYIST EMPLOYER REGISTRATION / AUTHORIZATION STATEMENT - FORM 3

I. PURPOSE OF FORM

The Lobbyist Employer Registration and Authorization Statement is used for:

- Initial registration and authorization of lobbyist employer.
- Amendment of registration and authorization.
- Renewal of registration annually on or before January 15th.

INITIAL REGISTRATION AND AUTHORIZATION

Any person or company who employs a lobbyist or a lobbying firm for the purpose of influencing MTA action must register within ten (10) days of qualifying as a lobbyist employer. The law requires that the registration process, including payment of fees, must be completed prior to the commencement of lobbying. The term “registration and authorization” refers to the fact that the Form 3 operates to register the lobbyist employer and to authorize the named lobbyist/lobbying firm to undertake lobbying activities on its behalf as required by Public Utilities Code Section 130051.18(b).

In order for the registration process to be complete, Form 3 must be accompanied with additional registration forms to properly identify the manner of representation. One option is to complete a Lobbyist Registration Statement (Form 1) for each owner, partner, officer or employee. The second option is to complete a Lobbying Firm Registration Statement (Form 2) if another entity will be paid to represent the lobbyist’s employers interest. The third option is also to complete a Lobbying Firm Registration Statement (Form 2), if the lobbyist employer files under a dual company status.

AMENDMENT OF LOBBYIST EMPLOYER REGISTRATION STATEMENT

The Lobbyist Employer Registration and Authorization Statement must be amended within ten (10) days of a change in the information included in the statement. For example, an amendment would be necessary to correct an address change and to add or terminate any lobbyists and/or firms. However, if the change includes the name of a lobbyist employer not previously represented, the registration statement(s) must be amended prior to the commencement of lobbying on behalf of such a lobbyist employer.

RENEWAL OF REGISTRATION

The registration and authorization statement must be completed and filed every year to renew the lobbyist employer registration annually on or before January 15th, of each succeeding year. If a registered lobbyist employer files an annual renewal after January 15th, the form must be submitted with payment of full fees.

II. INSTRUCTIONS FOR LOBBYIST EMPLOYER

Part I - This section should be used to identify the purpose of the filing. At least one box must be checked for initial, amended or renewal registration status.

Part II - This section should contain the full business name of the lobbyist employer. Additional information should also include telephone and fax numbers, address, city, state and e-mail address of the person responsible for filing the report.

Lobbying interests shall indicate lobbying interests and activities to be pursued during the representation. Lobbying interests can be either a one word or a short narrative description of the nature of business engaged, current or prospective contract award or true party in interest for all subcontracts.

Part III - This section should include a list of all individuals associated with or employed by the lobbyist employer who have or will complete an individual registration Form 1.

Part IV - This section should identify all lobbying firms that you hire or contract with to represent your interests before the MTA. Information should include the name of the lobbying firm, address and telephone number.

Part V - This section should indicate the amount of fees being submitted with the form.

Part VI - Verification section requires original ink signature, date and location where document was signed.

WHERE TO FILE

**LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY
ETHICS DEPARTMENT
ONE GATEWAY PLAZA
MAIL STOP 99-11-12
LOS ANGELES, CA 90012-2932**

All filings with original signature and fees can be sent via first class mail to the above address. Courier and overnight mail are also accepted. For additional assistance and information about the regulations and policies, please call toll free in California at 1-877-384-4278, or 213-922-2900.

**LOBBYIST EMPLOYER REGISTRATION / AUTHORIZATION STATEMENT -
FORM 3**

PART I. CHECK ALL APPROPRIATE BOXES:

- INITIAL Registration for Calendar Year _____
- AMENDED Registration
- ANNUAL RENEWAL due Jan. 15, Year _____

PART II. LOBBYIST EMPLOYER INFORMATION:

Name of Lobbyist Employer	Phone Number	
Business Mailing Address		
City	State	Zip Code
Fax Number	Company Internet Address	
Lobbying Interest (s)		

PART III. INDIVIDUAL REGISTERED LOBBYISTS EMPLOYED AT COMPANY:

1.		Title	
2.		Title	
3.		Title	
4.		Title	
<input type="checkbox"/> <i>If more space is needed, check the box and attach additional pages.</i>			

PART IV. LOBBYING FIRMS EMPLOYED BY AND AUTHORIZED TO LOBBY FOR FILER:

Name: _____	Phone Number: _____	
Address: _____		
City	State	Zip Code
Name: _____		Phone Number: _____
Address: _____		
City	State	Zip Code
<input type="checkbox"/> <i>If more space is needed, check the box and attach additional pages.</i>		

PART IV. FILING FEES (CHECK ONE):

- \$ 75 - Initial Registration Filing Fee
- \$ 50 - Annual Renewal (for renewals submitted by Jan. 15th)
- \$ 85 - Late Annual Renewal (for renewals submitted after Jan. 15)

PART V. VERIFICATION:

BY SIGNING THE VERIFICATION BELOW, I CERTIFY THAT I HAVE READ AND UNDERSTAND THE PROHIBITIONS AND LIMITATIONS CONTAINED IN PUBLIC UTILITIES CODE § 130051.18(f) and (g) and IN MTA ADMINISTRATIVE CODE CHAPTER 5-25.

ADDITIONALLY, I CERTIFY THAT I HAVE USED ALL REASONABLE DILIGENCE IN PREPARING THIS REGISTRATION STATEMENT. I HAVE REVIEWED THE STATEMENT AND TO THE BEST OF MY KNOWLEDGE THE INFORMATION CONTAINED HEREIN IS TRUE AND COMPLETE.

I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT THE FOREGOING IS TRUE AND CORRECT.

Executed on

At (City and State)

By Signature of Authorized Representative of Lobbyist Employer

Type or Print Name

NOTICE OF TERMINATION - FORM 4

I. PURPOSE OF FORM

The Notice of Termination Form is used by lobbyists, lobbying firms, and lobbyist employers upon ceasing all lobbyist activity with the MTA. Submitting the Notice of Termination, along with a final quarterly report, will discontinue the filer's reporting obligations. However, please note that lobbyists and lobbying firms are subject to the limitations and prohibitions contained in Public Utilities Code §130051.18 (f) and (g) for twelve (12) months *after* filing the Notice of Termination.

II. INSTRUCTIONS - NOTICE OF TERMINATION

Part I - Check the appropriate box to indicate filer type.

Part II - Enter the filer's name, address, telephone number.

Part III - Verification section requires original ink signature, date and location where document was signed.

III. ADDITIONAL REQUIREMENTS

Along with the Notice of Termination, all filers should submit a final quarterly report covering the period from the beginning of the calendar quarter during which the filer terminated through the date of termination. In addition, when a lobbyist working for a lobbying firm or lobbyist employer terminates his or her registration, the firm or employer must amend its registration statement to delete the lobbyist. Additionally, if a lobbying firm and a lobbyist employer terminate a contractual or subcontractual relationship, both the firm and the employer should amend their registration statements to reflect this fact.

WHERE TO FILE

**LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY
ETHICS DEPARTMENT
ONE GATEWAY PLAZA
MAIL STOP 99-11-12
LOS ANGELES, CA 90012-2932**

All filings with original signature and fees can be sent via first class mail to the above address. Courier and overnight mail are also accepted. For additional assistance and information about the regulations and policies, please call toll free in California at 1-877-384-4278, or 213-922-2900.

FORM 4 - NOTICE OF TERMINATION

PART I. CHECK APPROPRIATE BOX:

- LOBBYIST
- LOBBYING FIRM
- LOBBYIST EMPLOYER

PART II. FILER INFORMATION:

Name of Lobbying Filer Terminating		
Name of Company		
Business Address		
City	State	Zip Code

PART III. VERIFICATION:

BY SIGNING THE VERIFICATION BELOW, I CERTIFY THAT I HAVE READ AND UNDERSTAND THE PROHIBITIONS AND LIMITATIONS CONTAINED IN PUBLIC UTILITIES CODE § 130051.18(f) and (g) and IN MTA ADMINISTRATIVE CODE CHAPTER 5-25.

ADDITIONALLY, I CERTIFY THAT I HAVE USED ALL REASONABLE DILIGENCE IN PREPARING THIS REGISTRATION STATEMENT. I HAVE REVIEWED THE STATEMENT AND TO THE BEST OF MY KNOWLEDGE THE INFORMATION CONTAINED HEREIN IS TRUE AND COMPLETE.

I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT THE FOREGOING IS TRUE AND CORRECT.

Executed on

At (City and State)

By Signature of Filer

Type or Print Name

LOBBYIST QUARTERLY REPORT - FORM 5

I. PURPOSE OF FORM

Lobbyists are required to complete a quarterly report (Form 5) for each calendar quarter, whether or not the lobbyist engaged in any lobbyist activity. The completed Form 5 must be filed with the MTA within thirty (30) days following the end of each calendar quarter.

II. INSTRUCTIONS

Part I - Check the appropriate box and fill in the months and year covered in this report.

Part II - Complete this section with the individual lobbyist's name, company name, address, telephone and fax numbers, and email address.

Part III - Itemize all "activity expenses" arranged, incurred or paid by you (including expenses that are reimbursed or charged to an account paid by a lobbying firm) during the quarter. An "activity expense" is any expense incurred or payment made by a lobbyist, lobbying firm, or lobbyist employer or arranged by any such person which benefits in whole or in part an MTA official or a member of the immediate family of an MTA official. Activity expenses include food, beverages and other gifts, honoraria, consulting fees, salaries, and any other form of compensation. Campaign contributions made to office holder accounts and to committees controlled by an MTA official are also deemed to be activity expenses. NOTE: Only a payment which benefits an MTA official or a member of an MTA official's immediate family is a reportable activity expense. However, all payments which benefit an MTA official or a member of the immediate family of such an official are activity expenses, whether or not you have attempted to influence such person.

If did not pay, incur or arrange an activity expense during the quarter, check the box indicating that you have nothing to report. If you did pay, incur or arrange any activity expenses, itemize the expenses as follows:

- Date: Enter the date the expense was incurred or the event occurred.
- Name And Address Of Payee: List the name and address of the vendor or other person to whom payment was made or incurred. If charged on a credit card, you must list the name of the credit card company and also the name of the vendor which received the payment.
- Officials And Amount Benefiting Each: List the name and official position, if any, of each MTA official who benefited from the payment. Also list the portion of the total activity expense which is attributable to each MTA official. In the case of catered events or "family-style" restaurant meals, the amount of benefit received is determined by dividing the total cost of the event by the number of people who attended. When an event is held at a restaurant and the participants order from a menu, the actual amount of benefit (food and beverage, plus a pro rata amount for tax and tip) received by each person must be shown. NOTE: You are not required to list in this section yourself or any other person who benefited who is not an MTA official.

- Description Of Consideration: Describe the goods or services received by the reportable person (s), e.g., lunch, drinks, flowers, etc.
- Total Amount Of Activity: Enter the total amount paid, arranged or incurred for the activity, not just the amount which benefited MTA officials. Regardless of the number of beneficiaries listed for a single payment, enter the payment in the “Total Amount of Activity” column only once. If the amount you paid was a portion of the total cost of the activity (the balance of which was paid by another person), you also must indicate in a note the total cost of the activity and that your payment represented a portion of the total.

Part IV - Itemize all campaign contributions of \$10 or more made or delivered to or on behalf of an MTA official during the quarter. A campaign contribution is a payment, a forgiveness of a loan, a payment of a loan by a third party, or an enforceable promise to make a payment except to the extent that full and adequate consideration is received, unless it is clear from the surrounding circumstances that it is not made for political purposes. NOTE: Contributions made to office holder accounts are not considered to be “campaign contributions.” Contributions to office holder accounts should instead be reported as activity expenses in Part III above. For more information about reporting campaign contributions, see page 14 of this manual.

If you did not make or deliver a campaign contribution of \$10 or more to an MTA official during the quarter, check the box indicating that there is nothing to report. If you did make a contribution, itemize as follows:

- Date - indicate the date the contribution was made or delivered.
- Name of Contributor - if you delivered a contribution for another person or entity, indicate here.
- MTA Official Beneficiary - indicate the name of the MTA official that benefited from the contribution, as well as the committee identification number of the MTA official’s campaign committee.
- Amount - report the amount or value of the contribution.

Part V - Verification section requires original ink signature, date and location where document was signed.

WHERE TO FILE

**LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION MTA ETHICS
DEPARTMENT
ONE GATEWAY PLAZA
MAIL STOP 99-11-12
LOS ANGELES, CA 90012-2932**

All filings with original signature and fees can be sent via first class mail to the above address. Courier and overnight mail are also accepted. For additional assistance and information about the regulations and policies, please call toll free in California at 1-877-384-4278, or 213-922-2900.

LOBBYIST QUARTERLY REPORT - FORM 5

PART I. INDICATE TIME PERIOD FOR REPORT:

Report Covers Period From _____ through _____
 Amended Report For Period From _____ through _____

PART II. LOBBYIST CONTACT INFORMATION:

Name:	(Last Name)	(First Name)	(M.I.)	Phone Number
Company Name				
Business Mailing Address				
City	State	Zip Code		
Fax Number			Email Address	

PART III. ACTIVITY EXPENSES:

<input type="checkbox"/> No. There is nothing to report this period.			<input type="checkbox"/> Yes. Complete below.		
Date	Name and Address of Payee	Full Name and Position of Benefiting Authority Official	Amount of Benefit	Description of Consideration	Total Amount of Activity
<input type="checkbox"/> <i>If more space is needed, check box and attach continuation sheets</i>					

PART IV. CAMPAIGN CONTRIBUTIONS:

<input type="checkbox"/> No. There is nothing to report this period.		<input type="checkbox"/> Yes. Complete below.	
Date	Name of Contributor if other than self	Authority Official Beneficiary Comm. I.D.#	Amount
<input type="checkbox"/> <i>If more space is needed, check box and attach continuation sheets</i>			

NOTE: Disclosure in this report does not relieve filer of any obligation to file campaign disclosure statements required by Gov. Code section 84200, et seq.

PART V. VERIFICATION:

BY SIGNING THE VERIFICATION BELOW, I CERTIFY THAT I HAVE USED ALL REASONABLE DILIGENCE IN PREPARING THIS REGISTRATION STATEMENT. I HAVE REVIEWED THE STATEMENT AND TO THE BEST OF MY KNOWLEDGE THE INFORMATION CONTAINED HEREIN IS TRUE AND COMPLETE.

I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT THE FOREGOING IS TRUE AND CORRECT.

Date Executed

At (City and State)

By (Signature of Lobbyist)

Type or Print Name

LOBBYING FIRM QUARTERLY REPORT - FORM 6

I. PURPOSE OF FORM

Lobbying firms are required to complete a quarterly report (Form 6) for each calendar quarter, whether or not the firm received or made any payments during the quarter. The completed Form 6 must be filed with the MTA within thirty (30) days following the end of each calendar quarter.

II. INSTRUCTIONS

Part I - Check the appropriate box and fill in the months and year covered in this report.

Part II - Complete this section with the company name, address, telephone and fax numbers and e-mail address of the person responsible for filing the report.

Part III - If a partner, owner, officer or employee of the lobbying firm is registered with the MTA as a “lobbyist”, attach a completed Lobbyist Report (Form 5) for each individual and list the name in this section. NOTE: This does not include lobbyists who are registered separately as lobbying firms under a subcontract.

Part IV - Provide the name, address and telephone number of each person with whom the firm contracts (lobbyist employers), even if the firm has not received any payments during the calendar quarter. All payments received in connection with lobbying activities must be reported during the period in which they were received. If a payment received covers more than one reporting period, the report must specify the periods for which the payment was intended.

For each client, separately report the following information:

- The name of the lobbyist employer. You may also list the specific contract or a brief description of each MTA action lobbied during the quarter.
- Any payments during the period which were reimbursements received from a lobbyist employer for your firm’s expenses;
- Any advances or other payments received in connection with lobbying activities; such as an advance for expenses;
- The total amount received during the period and the cumulative amount received from each lobbyist employer since January 1 of the current year, or, for new registrants completing their first quarterly report, the first day of the calendar quarter in which the lobbying firm first registered or qualified.

Part V - If the firm received payments from another lobbying firm for a subcontract, full disclosure is required of all parties involved. If the lobbying firm contracts with another lobbying firm or a lobbyist employer to lobby a specific contract, the lobbying firm shall report the following information:

- The name of the lobbying firm that you have contracted with related to MTA actions which your firm lobbied on behalf of a client;

- The name of the true party in interest for which the lobbying services have been engaged before the MTA;
- If the subcontract is for the lobby of a specific contract, the lobbying firm shall describe in detail the contract number and/or the nature of the contract;
- Any advances, payments or fees received during this period;
- The cumulative amount received for services provided since January 1 of the current year.

Part VI - Itemize all “activity expenses” arranged, incurred or paid by your lobbying firm during the quarter, except those activity expenses which were paid or incurred by a lobbyist employed by the firm and which were reimbursed by or charged to an account paid by the firm. An “activity expense” is any expense incurred or payment made by a lobbyist, lobbying firm, or lobbyist employer or arranged by any such person which benefits in whole or in part an MTA official or a member of the immediate family of an MTA official. Activity expenses include food, beverages and other gifts, honoraria, consulting fees, salaries, and any other form of compensation. Campaign contributions made to office holder accounts and to committees controlled by an MTA official are also deemed to be activity expenses. NOTE: Only a payment which benefits an MTA official or a member of an MTA official’s immediate family is a reportable activity expense. However, all payments which benefit an MTA official or a member of the immediate family of such an official are activity expenses, whether or not you have attempted to influence such person.

If did not pay, incur or arrange an activity expense during the quarter, check the box indicating that you have nothing to report. If you did pay, incur or arrange any activity expenses, itemize the expenses as follows:

- The date that the expense was incurred or the event occurred;
- List the name and official position, if any, of each reportable person who benefited from the payment;
- Also list the portion of the total activity expense which is attributable to each MTA official. In the case of catered events or “family-style” restaurant meals, the amount of benefit received can be determined by dividing the total cost of the event by the number of people who attended. When an event is held at a restaurant and the participants order from a menu, the actual amount of benefit (food and beverage, plus a pro rata amount for tax and tip) received by each person must be shown. NOTE: You are not required to list in this section yourself or any other person who benefited who is not an MTA official. You must, however, maintain in you records the total number of persons who benefited.
- Describe the type of consideration of goods or services received by the MTA official (s). For example, lunch, drinks, flowers or tickets, etc.;
- Enter the total amount paid, arranged or incurred for the activity, not just the amount which benefited MTA officials.

Part VII - Itemize all campaign contributions of \$10 or more made or delivered to or on behalf of an MTA official during the quarter. A campaign contribution is a payment, a forgiveness of a loan, a payment of a loan by a third party, or an enforceable promise to make a payment except to the extent that full and adequate consideration is received, unless it is clear from the

surrounding circumstances that it is not made for political purposes. NOTE: Contributions made to office holder accounts are not considered to be “campaign contributions” Contributions to office holder accounts should instead be reported as activity expenses in Part III above. For more information about reporting campaign contributions, see page 14 of this manual.

This section should include:

- The date of the contribution;
- The name of the recipient of the contribution;
- The identification number of the recipient of the contribution if the recipient is a committee;
- The amount of the contribution.

Part VIII - The report should be verified and signed in original ink by the person who is designated on the firm’s registration statement as the responsible officer of the firm or one with equal or higher authority.

WHERE TO FILE

**LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION MTA ETHICS
DEPARTMENT
ONE GATEWAY PLAZA
MAIL STOP 99-11-12
LOS ANGELES, CA 90012-2932**

All filings with original signature and fees can be sent via first class mail to the above address. Courier and overnight mail are also accepted. For additional assistance and information about the regulations and policies, please call toll free in California at 1-877-384-4278, or 213-922-2900.

LOBBYING FIRM QUARTERLY REPORT - FORM 6

PART I. INDICATE TIME PERIOD FOR REPORT:

<input type="checkbox"/>	Report Covers Period From		through	
<input type="checkbox"/>	Amended Report For Period From		through	

PART II. LOBBYING FIRM INFORMATION:

Company Name	Phone Number	
Business Mailing Address		
City	State	Zip Code
Fax Number	Email Address	

PART III. LIST ALL PARTNERS, OWNERS, OFFICERS AND EMPLOYEES REQUIRED TO FILE LOBBYIST QUARTERLY REPORTS:

1. _____ 2. _____ 3. _____	4. _____ 5. _____ 6. _____
<input type="checkbox"/> <i>If more space is needed, check box and attach continuation sheets</i>	

PART IV. PAYMENTS RECEIVED IN CONNECTION WITH LOBBYING ACTIVITY: (See Section V for payments under a subcontract).

<input type="checkbox"/> No. There is nothing to report this period.	<input type="checkbox"/> Yes. Complete below.
---	--

1. Name of Lobbyist Employer _____

Fees & Retainer	Expense Reimbursement	Advances or Other Payments	Total For This Quarter	Cumulative Total

PART IV (CONT). PAYMENTS RECEIVED IN CONNECTION WITH LOBBYING ACTIVITY:

2. Name of Lobbyist Employer _____

Fees & Retainer	Expense Reimbursement	Advances or Other Payments	Total For This Quarter	Cumulative Total

3. Name of Lobbyist Employer _____

Fees & Retainer	Expense Reimbursement	Advances or Other Payments	Total For This Quarter	Cumulative Total

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

PART V. PAYMENTS AND EXPENSES FOR SUBCONTRACTS WITH OTHER LOBBYING FIRMS:

No there is nothing to report this period. **Yes. Complete below.**

Name of Firm Contracted With	Name of Client/True Party In Interest	Contract # or Lobby Interest	Amount This Period	Cumulative Total

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

PART VI. ACTIVITY EXPENSES:

No there is nothing to report this period. **Yes. Complete below.**

Name and Address of Payee				
Date	Full Name and Position of Benefiting Authority Official	Amount of Benefit	Description of Consideration	Total Amount

PART VII. CAMPAIGN CONTRIBUTIONS:

<input type="checkbox"/> No there is nothing to report this period		<input type="checkbox"/> Yes. Complete below.	
Date	Name of Authority Official	Committee Name & I.D. Number	Amount
<input type="checkbox"/> <i>If more space is needed, check box and attach continuation sheets</i>			

NOTE: Disclosure in this report does not relieve filer of any obligation to file campaign disclosure statements required by Gov. Code section 84200, et seq.

PART VIII. VERIFICATION:

BY SIGNING THE VERIFICATION BELOW, I CERTIFY THAT I HAVE USED ALL REASONABLE DILIGENCE IN PREPARING THIS REGISTRATION STATEMENT. I HAVE REVIEWED THE STATEMENT AND TO THE BEST OF MY KNOWLEDGE THE INFORMATION CONTAINED HEREIN IS TRUE AND COMPLETE.

I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT THE FOREGOING IS TRUE AND CORRECT.

Executed on

At (City and State)

By Signature of Authorized Representative of Lobbying Firm

Type or Print Name

LOBBYIST EMPLOYER QUARTERLY REPORT - FORM 7

I. PURPOSE OF FORM

Lobbyist employers are required to complete a quarterly report (Form 7) for each calendar quarter, whether or not the company made or received any payments during the quarter. The completed Form 7 must be filed with the MTA within thirty (30) days following the end of each calendar quarter.

II. INSTRUCTIONS

Part I - Check the appropriate box and fill in the months and year covered in this report.

Part II - Complete this section with the company name, address, telephone and fax numbers and e-mail address of the person responsible for filing the report.

Part III - Report the MTA actions which you influenced or attempted to influence, or your lobbyists, or any lobbying firm with which you contract, influenced or attempted to influence during the reporting period.

Part IV - If a partner, owner, officer or employee of the lobbyist employer is registered with the MTA as a "lobbyist", attach a completed Lobbyist Report (Form 5) for each individual, and list the name in this section. NOTE: This does not include lobbyists who are registered separately as lobbying firms with which you contract.

Part V - On the left column, enter the total of all payments (as defined below) made to the lobbyists listed in Part IV of the report in connection with lobbying activities during the respective quarter only. This amount should reflect the actual percentage of MTA related lobbyist activities conducted in that quarter. On the right column, enter the total payments (as defined below) made to the lobbyists listed in Part IV of the report since January 1 of the calendar year for which the report is being filed, or, for new registrants completing their first quarterly report, the first day of the calendar quarter in which the company first registered or qualified.

"Payments" include salary, reimbursement of expenses (including activity expenses), an advance for expenses or a salary advance or any other payments made to a lobbyist. Salary includes gross wages paid, plus any fringe benefits which are in lieu of wages such as the granting of stock options or purchase of annuities. Salary does not include routine fringe benefits such as the employer's contribution to a health plan, retirement plan or payroll taxes.

Part VI - Disclose all payments made during the quarter to lobbying firms, including fees, retainers, reimbursements of expenses, advances or other payments. The lobbyist employer must also report the cumulative amount of payments to the lobbying firm since January 1 of the calendar year for which the report is being filed, or, for new registrants completing their first

quarterly report, the first day of the calendar quarter in which the company first registered or qualified.

List each lobbying firm authorized to lobby on the employer's behalf, even if you have not made any payments to the firm during the period covered by this report. If you have made any payments to the lobbying firms during the current calendar year, you must enter the sum total in the cumulative total column.

Part VII - Itemize all "activity expenses" incurred during the quarter. Activity expenses must be reported during the period in which they occurred, regardless of whether they were actually paid during the period. Activity expenses which were paid or incurred by your lobbyist and which were merely reimbursed by you or charged to an account paid by you should be reported in Part VI. An "activity expense" is any expense incurred or payment made by a lobbyist, lobbying firm, or lobbyist employer or arranged by any such person which benefits in whole or in part an MTA official or a member of the immediate family of an MTA official. Activity expenses include food, beverages and other gifts, honoraria, consulting fees, salaries, and any other form of compensation. Campaign contributions made to office holder accounts and to committees controlled by an MTA official are also deemed to be activity expenses. NOTE: Only a payment which benefits an MTA official or a member of an MTA official's immediate family is a reportable activity expense. However, all payments which benefit an MTA official or a member of the immediate family of such an official are activity expenses, whether or not you have attempted to influence such person.

If did not pay, incur or arrange an activity expense during the quarter, check the box indicating that you have nothing to report. If you did pay, incur or arrange any activity expenses, itemize the expenses as follows:

- Enter the date the expenses were incurred or the event occurred.
- Name of payee or individual lobbyists.
- List the name and official position, if any of each MTA official who benefited from the payment. You must, however, maintain in your records the total number of persons who benefited from related activity.
- List only the portion of total activity expense which is attributable to each reportable person. NOTE: You are not required to list in this section yourself or any other person who benefited who is not an MTA official.
- Describe the type of consideration of goods and services received by the MTA official(s). An example would be dinner, lunch, drinks, flowers, or tickets etc.
- Enter the total amount paid or incurred for the activity, not just the amount which benefited MTA officials. Regardless of the number of beneficiaries listed for a single payment, enter the payment in the "Total Amount of Activity" column only once. If the amount you paid was a portion of the total cost of the activity (the balance of which was paid by another person), you must also indicate in a note the total cost of the activity and that your payment represents only a portion of the total.

Part VII - Itemize all campaign contributions of \$10 or more made or delivered to or on behalf of an MTA official during the quarter. A campaign contribution is a payment, a forgiveness of a loan, a payment of a loan by a third party, or an enforceable promise to make a payment except to the extent that full and adequate consideration is received, unless it is clear from the surrounding circumstances that it is not made for political purposes. NOTE: Contributions made to office holder accounts are not considered to be “campaign contributions.” Contributions to office holder accounts should instead be reported as activity expenses in Part III above. For more information about reporting campaign contributions, see page 14 of this manual.

This section should include:

- The date of the contribution.
- The name of the MTA official who is the recipient of the contribution.
- The name and identification number of the contribution if the recipient is a committee.
- The amount of the contribution.

Part VIII - The report should be verified and signed in original ink by the person who is designated on the company’s registration statement as the responsible officer of the company or one with equal or higher authority.

WHERE TO FILE

**LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION MTA ETHICS
DEPARTMENT
ONE GATEWAY PLAZA
MAIL STOP 99-11-12
LOS ANGELES, CA 90012-2932**

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LOBBYIST EMPLOYER QUARTERLY REPORT - FORM 7

PART I. INDICATE TIME PERIOD FOR REPORT:

o	Report Covers Period From		through	
o	Amended Report For Period From		through	

PART II. LOBBYIST EMPLOYER INFORMATION:

Name of Lobbyist Employer		Phone Number	
Business Mailing Address			
City	State	Zip Code	
Fax Number		Email Address	

PART III. LIST ALL AUTHORITY ACTIONS DIRECTLY RELATED TO FILER'S LOBBYING INTEREST(S):

<input type="checkbox"/> <i>If more space is needed, check box and attach continuation sheets</i>

PART IV. LIST ALL PARTNERS, OWNERS, OFFICERS, AND EMPLOYEES WHO WILL FILE LOBBYIST QUARTERLY REPORTS:

Name and Title	Name and Title
<input type="checkbox"/> <i>If more space is needed, check box and attach continuation sheets</i>	

**PART V. PAYMENTS MADE IN CONNECTION WITH LOBBYING ACTIVITIES/
PAYMENTS TO IN-HOUSE EMPLOYEE LOBBYISTS:**

(1) Amount This Period	(2) Cumulative Total To Date

PART VI. PAYMENTS TO LOBBYING FIRMS (Including Individual Contract Lobbyists):

Name and Address of Lobbying Firm/Independent Contract Lobbyists:				
(1) Fees & Retainers	(2) Reimbursements of Expenses	(3) Advances or Other Payments (attach explanation)	(4) Total This Period	(5) Cumulative Total to Date

Name and Address of Lobbying Firm/Independent Contract Lobbyists:				
(1) Fees & Retainers	(2) Reimbursements of Expenses	(3) Advances or Other Payments (attach explanation)	(4) Total This Period	(5) Cumulative Total to Date

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

PART VII. ACTIVITY EXPENSES:

Date	Name of Payee	Full Name and Position of Benefiting Authority Official	Amount of Benefit	Description of Consideration	Total Amount

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

PART VIII. CAMPAIGN CONTRIBUTIONS:

Date	Name of Authority Official	Committee Name and/or ID Number	Amount
<input type="checkbox"/> <i>If more space is needed, check box and attach continuation sheets</i>			

NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code §84200, et seq.

PART IX. VERIFICATION:

BY SIGNING THE VERIFICATION BELOW, I CERTIFY THAT I HAVE USED ALL REASONABLE DILIGENCE IN PREPARING THIS REGISTRATION STATEMENT. I HAVE REVIEWED THE STATEMENT AND TO THE BEST OF MY KNOWLEDGE THE INFORMATION CONTAINED HEREIN IS TRUE AND COMPLETE.

I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT THE FOREGOING IS TRUE AND CORRECT.

 Executed on

 At (City and State)

 By Signature of Authorized Representative of Lobbyist Employer

 Type or Print Name