



**COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF STATE
BUREAU OF COMMISSIONS, ELECTIONS & LEGISLATION
LOBBYING DISCLOSURE EXPENSE REPORTING**

**INSTRUCTIONS FOR PAPER FILING OF THE QUARTERLY EXPENSE
REPORT, THE FINAL EXPENSE REPORT AND AMENDMENTS**

GENERAL INFORMATION

Form: Form DSBE-1305-A must be utilized for filing quarterly expense reports, final expense reports (if terminating), and amendments to both reports. This same form must also be used by registrants who, for the particular quarter, do not meet the reporting threshold of \$3,000, and are therefore required under the Lobbying Disclosure law, Act 134 of 2006 (Act), to file a statement to that effect. (Please note that the form numbers correspond to the relevant sections of the Act.)

Exemptions: Principals, lobbying firms and lobbyists who qualify for the exemptions delineated in section 1306-A of the Act are not required to file or “sign off” on expense reports. The following information and instructions apply only to those who are required to be registered under the Act.

Reporting Threshold: For a quarterly reporting period in which the total lobbying expenses of a registered principal are \$3,000 or less, a statement to that effect must be filed with the Department of State (Department) by marking the appropriate block at Section 10 on Form DSBE-1305-A (see the “*Instructions for Completing the Quarterly Expense Report*” (instructions) below for Section 10). If this reporting threshold has not been reached, the reporting principal, lobbying firm or lobbyist need not complete the remaining expense reporting categories of the report and may then proceed to the affirmation sections of the report. For registered lobbying firms or registered lobbyists lobbying on the behalf of a principal, see the explanation entitled “*Lobbying Firms or Lobbyists Filing Separate Quarterly Expense Reports*” on page 2 of these instructions.

Reporting Period: Quarterly expense reports are filed for calendar year quarters, that is, for January-March, April-June, July-September and October-December. Section 1305-A(a) of the Act requires that quarterly expense reports are due no later than 30 days after the last day of the quarter.

Principal Reports: A principal shall file a Form DSBE-1305-A on or before the 30th day after each quarterly reporting period ends, as either a quarterly expense report or as a statement that the \$3,000 reporting threshold was not met for the quarter. If a principal has filed a Notice of Termination, then the principal shall file Form DSBE-1305-A as a final expense report on or before the 30th day after the close of the next calendar quarter.

Lobbying Firm or Lobbyist Sign Off: A lobbying firm or lobbyist not affiliated with a lobbying firm must sign the reports submitted by each principal represented, attesting to the accuracy of such reports on Section 20 at page 5 of Form DSBE-1305-A. For important information on who is required to complete Section 20, see the instructions below for Section 20.

Statement as to Inability or Refusal of Lobbyist to Sign Report: *In* the event that a principal is unable to secure the signature of the lobbyist or lobbying firm, the principal must attach a statement to its report setting forth the attempts made and the reasons for the inability to obtain the lobbyist's signature. The affidavit must be on Form DSBE-1305-A at Section 21 on page 6. **NOTE: Completing this form does NOT relieve the principal, lobbying firm or lobbyist from late fees and penalties under Act 134.**

Statements of Limited Knowledge: A lobbying firm or lobbyist may attach a statement to the report of any principal describing the limits of the lobbyist's or lobbying firm's knowledge concerning the expenditures contained in the principal's report. Any lobbyist submitting such a statement must use Form DSBE-1305-A(b)(4).

Lobbying Firms or Lobbyists Filing Separate Quarterly Expense Reports: If a lobbying firm or lobbyist engages in lobbying during the reporting period, and this lobbying is not contained in the report filed by the principal, then the lobbying firm or lobbyist must file Form DSBE-1305-A. Section 1305-A(b)(8) of the Act requires a lobbying firm or a lobbyist not associated with a lobbying firm to submit a report if the lobbying firm or lobbyist engaged in lobbying on behalf of any entity that is exempt under section 1306-A(7), (8), (9) or (10) (relating to exemption from registration and reporting for these individuals acting in an official capacity: an elected state official, an appointed state official, an elected or appointed official of a political subdivision or an employee of the Commonwealth or an agency of the Commonwealth). In any of these situations, the lobbying firm or lobbyist must complete and sign Section 19 on page 4 of form DSBE-1305-A.

A lobbying firm or lobbyist filing a separate quarterly expense report or an amended quarterly expense report shall promptly provide it to the principal. The **deadline** for filing a separate quarterly expense report or an amended quarterly expense report is the 30th day after the due date of the principal's report or 30 days after the lobbyist or lobbying firm discovered or should have reasonably discovered the principal's failure to file its quarterly expense report.

Termination: If a principal has filed a Notice of Termination, then the principal shall file Form DSBE-1305-A as a final expense report on or before the 30th day after the close of the next calendar quarter. If a lobbying firm or lobbyist has filed a Notice of Termination and is required under section 1305-A(b)(6) to file a **separate report**, then the lobbying firm or lobbyist shall file Form DSBE-1305-A as a final expense report on or before the 30th day after the close of the next calendar quarter. Before completing a Notice of Termination, see the important distinctions between terminating and amending a registration statement, as described in the section entitled "**Purpose of Termination**" on the Instructions for the Notice of Termination on the Department's Lobbying Disclosure website under "Notice of Termination."

Drafts of Proposed Regulations: Section 1310-A(d) of the Act requires that proposed regulations implementing the Act be drafted by a committee chaired by the Attorney General.

For information on the activities of the Lobbying Disclosure Regulations Committee (hereinafter Regulations Committee), go to the Department's website at www.dos.pa.gov, click on "Lobbying Disclosure" on the left or right tool bar, and then click on Regulations Committee, which links you to the website of the Office of Attorney General. Chapter 55 of the draft regulations deals with reporting.

Interim Guidelines for Accounting and Reporting – How to Comply with Act 134 of 2006: A subcommittee of the Regulations Committee drafted *Interim Guidelines for Accounting and Reporting* (Interim Guidelines) to provide guidance to the lobbying community because Act 134 requires reporting and recordkeeping by registered principals, lobbying firms and lobbyists. These Interim Guidelines were prepared by the subcommittee for approval by the Regulations Committee to assist registrants in complying with the requirements of the Act until such time that the Regulations Committee promulgates final regulations at 51 Pa. Code § 51.1 *et seq.* On May 30, 2007, the Regulations Committee adopted the Interim Guidelines. A copy of the Interim Guidelines is available as a reference tool on the Regulations Committee page of the Attorney General's website as well as on the Department's website.

As stated in the Introduction of the Interim Guidelines, "[t]hese Interim Guidelines and any updated Interim Guidelines may be used for guidance until the finalization of the regulations, at which time the Committee will produce a final copy of the *Manual of Guidelines for Accounting and Reporting*, in compliance with section 1310-A(d)(5) of the Act." As the Regulations Committee provides more detailed guidance with updated Guidelines or final regulations, the Department will continue to update these instructions on its website.

Recordkeeping: For purposes of filing a quarterly expense report under section 1305-A of the Act, section 1305-A(b)(2.1) of the Act permits filers to use any reasonable methods of estimation and allocation. Furthermore, section 1305-A(c) requires registrants to retain all documents reasonably necessary to substantiate their quarterly expense reports for four years from the date of filing the report. Because further details on recordkeeping are now contained in the Interim Guidelines, they no longer appear here.

Questions: For additional information or questions on completing these quarterly expense reports, please contact the Bureau of Commissions, Elections and Legislation, Pennsylvania Department of State, 210 North Office Building, Capitol Complex, Harrisburg, PA 17120; telephone (717) 787-5280; fax (717) 787-2854. Additional information on the Act, a summary of the Act, Frequently Asked Questions and other information is located on the Department's website at www.dos.pa.gov. Click on "Lobbying Disclosure" on the left or right tool bar. For email inquires, write to the Bureau at the following address: RA-LobbyDisclosure@state.pa.us.

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

Please be aware that the information contained in these instructions as well as answers to any questions asked of the Department or the Commission may be changed by regulations that are being drafted by the Regulations Committee, described above.

Reliance upon these Instructions: Because these instructions provide interim, informal guidance to the lobbying community, and because the Department plans to update these instructions with new information when available from the Regulations Committee, these instructions do **not** have the **force and effect of law**.

INSTRUCTIONS FOR COMPLETING THE PAPER FILING OF THE QUARTERLY EXPENSE REPORT

All information must be indicated either in typewritten form or printed in blue or black ink. Do not use pencil.

- 01. Filer Status:** Indicate whether the filer is a principal, lobbyist or a lobbying firm.
- 02. Registration Number:** Indicate the registration number provided to the filer by the Department for identification purposes. If you are unaware of the registration number, contact the Bureau of Commissions, Elections and Legislation at the Department.
- 03. Filing Period:** Check the box for the appropriate quarter and indicate the calendar year in the appropriate box. Also indicate, by marking the appropriate boxes, whether the expense report is being filed as an expense report, an amended report or a final expense report if the filer is terminating. If the filer is amending information, indicate whether the new information is in the form of an addition(s) or a deletion(s). Note that if the filer is making both additions and deletions on the paper forms, the filer must file separate reports for additions and deletions. If amending, the filer need only fill in Sections 1-7 and the sections being amended.
- 04. Filer's Name:** Indicate the name of the filer, that is, the entity filing the report, which is usually the principal, as detailed in the section entitled "*Principal Reports*" on the first page of these instructions. For exceptions to this general rule, see the section entitled "*Lobbying Firms or Lobbyists Filing Separate Quarterly Expense Reports*" on page 2.
- 05. Permanent Business Address:** List the permanent address of the filer identified in Section 4.
- 06. Contact Information of Filer:** Provide contact information for the filer, who is generally the principal, including a daytime telephone number and, if applicable, a fax number and email address. If the filer is a lobbying firm or lobbyist, provide the contact information for the lobbying firm or lobbyist. If the filer has designated a third party to submit the report on its behalf, do NOT enter the contact information of that designated third party here, but enter the contact information of the third party in Section 7.
- 07. Identification of Individual Filing Report:** If the filer is an individual, list the individual's name – last name, first name and middle initial. If the filer has designated a

third party to submit the report on its behalf, enter the name of that designated third party here. If the filer is the same as in Section 4, check the box.

- 08. Identification of Lobbyist(s)/Lobbying Firms(s) Lobbying on Principal's Behalf:** Section 8 is to be completed by principals only. Section 1305-A(b)(1) of the Act requires principals to indicate the names of each lobbyist that meets the definitions of lobbyists in section 1303-A of the Act, and that is not exempt from registration under section 1306-A of the Act. You may also identify a lobbying firm lobbying on a principal's behalf. If a lobbyist is a lobbying firm, association, corporation, partnership, business trust or other entity, its name and the names of the individuals who lobby on behalf of the principal must be included. Also indicate the permanent address and daytime telephone number as well as registration number for all identified lobbyists. If there is more than one lobbyist lobbying on the principal's behalf, list them on attachment 8.
- 09. Principal(s) Represented:** Section 9 is only to be completed by lobbying firms or lobbyists if they file separate quarterly expense reports, as described above in the section entitled "*Lobbying Firms or Lobbyists Filing Separate Quarterly Expense Reports*" on page 2. (Section 9 probably does NOT apply to lobbyists who are employees of the principal, as these employee lobbyists would generally be working with the principal to include their lobbying activity on the quarterly expense report filed by the principal.) Indicate the name, address, daytime telephone number, and registration number of the principal for which the report is filed. If the registration number is unknown, obtain it from the Department. If there is more than one principal represented, list them on attachment 9. If the lobbying firm or lobbyist is not filing a separate quarterly expense report, you need not complete this section.
- 10. Check here if Total Lobbying Expenses did not exceed \$3,000 during the reporting period:** If, for the quarterly reporting period, the total lobbying expenses of the registered principal, plus the total lobbying expenses of each registered lobbying firm and registered lobbyist lobbying on the principal's behalf, do not exceed \$3,000, please check this box and proceed directly to Section 16. For purposes of determining whether the reporting threshold has been met, see the section above entitled "*Reporting Threshold*" on page 1.
- Note:** If the total lobbying expenses do NOT exceed \$3,000 during the reporting period, then the principal would also NOT be required to disclose its source of contributions on Section 18, as detailed in the instructions at Section 18.
- 11. Total Expenditures for Gifts, Hospitality, Transportation and Lodging for State Officials or Employees or their Immediate Families:** Section 1305-A(b)(2)(i) requires filers to disclose the "costs for gifts, hospitality, transportation and lodging to State officials or employees or their immediate families." Most of these terms are defined in section 1303-A of the Act, as well as in Sections 16 and 17 below. Please note that the terms "gifts" and "hospitality" are mutually exclusive. (For example, tickets to a recreation or entertainment event would be considered hospitality, not gifts.) State officials or employees include individuals elected, appointed or employed by the Commonwealth.

- 12. Total Costs for Direct Communication:** Provide the total amount expended for direct communication. “Direct communication” is defined in section 1303-A of the Act as “[a]n effort, whether written, oral or by any other medium, made by a lobbyist or a principal, directed to a State official or employee, the purpose or foreseeable effect of which is to influence legislative action or administrative action. The term may include personnel expenses and office expenses.” Thus, a “direct communication” involves:
- (1) an “effort;”
 - (2) that must be “directed to a State official or employee;”
 - (3) “the purpose or foreseeable effect of which is to influence legislative action or administrative action.”

For an expense to be considered a “cost for direct communication,” each element of the definition must be met.

Expenses to be reported include only those made during the quarter in which the lobbyist or principal is first required to register. Expenses made before the quarter in which a principal or lobbyist is required to register should not be reported.

For additional information on calculating direct communication, see Section VII of the Interim Guidelines.

- 13. Total Costs for Indirect Communication:** Provide the total amount spent for indirect communication. “Indirect communication” is defined in section 1303-A of the Act as “[a]n effort, whether written, oral or by any other medium, to encourage others, including the general public, to take action, the purpose or foreseeable effect of which is to directly influence legislative action or administrative action. The term includes letter writing campaigns, mailings, telephone banks, print and electronic media advertising, billboards, publications and educational campaigns on public issues. The term does not include regularly published periodic newsletters primarily designed for and distributed to members of a bona fide association or charitable or fraternal nonprofit corporation. The term may include personnel expenses and office expenses.”

The definition of “indirect communication” lists certain activities as examples of this type of communication. This list is not exclusive and other types of similar communications having the same theme as the activities listed in the definition would be included. For additional information on calculating indirect communication, see Section VIII of the Interim Guidelines.

- 14. Total Costs of all Lobbying for the Period:** Section 1305-A(b)(2) of the Act requires filers to disclose “the total costs of all lobbying for the period.” Section 1305-A(b)(2) requires that the total costs “shall include all office expenses, personnel expenses, expenditures related to gifts, hospitality, transportation and lodging to state officials or employees.” The total costs in Section 14 shall be allocated among the 3 categories listed in Sections 11 -13. Thus, the total in Section 14 will equal the totals in Sections 11 -13.

Subsection 1305-A(b)(2)(iv) of the Act requires that “expenses shall not be included in more than one category.” The Department believes that this means that an expense shall

not be reported twice, but it does not mean that an expense for an event cannot be allocated between two different categories, provided that a reasonable method of estimation and allocation is used. For further information on calculating total costs, see Section IX of the Interim Guidelines.

- 15. Subject(s) of Lobbying** - Check the appropriate box or boxes identifying the general subject matter(s) or issue(s) being lobbied, as required by section 1305-A(b)(1). Check all boxes that apply. If no boxes are applicable or lobbying is conducted on an issue not listed, identify the general subject matter of the lobbying by utilizing the Section marked “other.” If there is more than one additional subject of lobbying, list them on attachment 15.

Note: You are not required to delineate which lobbyists are lobbying on which matters; the specific bill numbers for which lobbying is being done; the contents of any direct or indirect communication or the identity of those with whom direct or indirect communications have taken place.

- 16. Identification of State Official(s)/Employee(s) Receiving Gifts in the Aggregate of \$250 or more for the Calendar Year and the Gifts Received:** Section 1305-A(b)(3)(i) of the Act requires the filer to identify by name, position and each occurrence, the state official or employee provided a gift or gifts **in the aggregate of \$250 or more** per calendar year to an **individual** state employee or official, as described at section 1105(b)(6) of the Ethics Act, 65 Pa.C.S. § 1105(b)(6). Section 16 of the report should be itemized only when gifts to an individual state employee or official aggregate in the amount of \$250 or more in a calendar year. (If gifts to an individual state employee or official do NOT aggregate in the amount of \$250 or more in a calendar year, check the box for “None” at Section 16.)

Itemize on attachment 16 each gift to an individual state official or employee aggregating \$250 or more per calendar year, providing the following information:

- a. The name and position of the state official or employee, including the governmental body of the state official or employee;
- b. The name and address of the source of the gift;
- c. The date the gift was given and the value of the gift; and
- d. The circumstances of the gift, including the description of the gift.

“Gift” is defined at section 1303-A of the Act as “[a]nything which is received without consideration of equal or greater value. The term shall not include a political contribution otherwise reportable as required by law or a commercially reasonable loan made in the ordinary course of business. The term shall not include hospitality, transportation or lodging.” Furthermore, section 1305-A(b)(3)(v) provides that reporting of gifts “shall not apply to anything of value received from immediate family when the circumstances make it clear that motivation for the action was the personal or family relationship.”

Note: Section 1305-A(b)(3)(iv) of the Act requires that “[w]ritten notice must be given to each state official or employee who is listed in an expense report ... at least seven days prior to the report’s submission to the department.” The notice shall include the information that will enable the public official or employee to comply with the gift reporting requirements of the Ethics Act, at 65 Pa.C.S. § 1105(b)(6).

- 17. Identification of State Official(s)/Employee(s) receiving Payment/Reimbursement for Transportation and Lodging or Hospitality exceeding \$650 in the Aggregate for the Calendar Year and the Payment/Reimbursement received:** Sections 1305-A(b)(3)(i) & (ii) of the Act require the filer to identify any state officials/employees receiving payments or reimbursements for transportation, lodging or hospitality **exceeding \$650 in the aggregate** for the calendar year to an **individual** state official or employee, as described at section 1105(b)(7) of the Ethics Act, 65 Pa.C.S. § 1105(b)(7). Section 17 of the report should be itemized only when payments or reimbursements to an **individual** state official or employee aggregate more than \$650 in a calendar year. (If payments or reimbursements to an individual state employee or official do NOT aggregate over \$650 in a calendar year, check the box for “None” at Section 17.)

Itemize on attachment 17 the payment or reimbursement for transportation, lodging, and hospitality to an individual state official or employee exceeding \$650 in the aggregate for the calendar year, providing the following information:

- a. The name and position of the state official or employee, including the governmental body of the state official or employee;
- b. The name and address of the source of the payment;
- c. The value of the transportation, lodging or hospitality and the date of the payment or reimbursement.

Section 1305-A(b)(3)(iii) of the Act states that the amount of the payment or reimbursement in section 1105(b)(7) of the Ethics Act “shall not include the cost of a reception which the state official or employee attends in connection with public office or employment.” Furthermore, section 1305-A(b)(3)(v) provides that reporting of such payments or reimbursements “shall not apply to anything of value received from immediate family when the circumstances make it clear that motivation for the action was the personal or family relationship.”

The term “Hospitality” is defined at section 1303-A of the Act as follows:

Hospitality – Includes all of the following:

- (i). Meals.
- (ii). Beverages.
- (iii). Recreation and entertainment.

The term does not include gifts, transportation or lodging.

Note: Section 1305-A(b)(3)(iv) of the Act requires that “[w]ritten notice must be given to each state official or employee who is listed in an expense report ... at least seven days prior to the report’s submission to the department.” The notice shall include the

information that will enable the public official or employee to comply with the transportation, lodging or hospitality reporting requirements of the Ethics Act, at 65 Pa.C.S. § 1105(b)(7).

- 18. Source of Contributions to Principal Resources Exceeding 10%:** This section is ONLY to be completed by principals and ONLY if the total lobbying expenses of the principal exceed \$3,000 during the reporting period. It does not apply to lobbyists or lobbying firms completing this report. Report the name, permanent business address, daytime telephone number, fax and email address of any individual, association, corporation, partnership, business trust or other business entity which contributed more than ten percent “of the total resources received by the principal during the reporting period,” as required by section 1305-A(b)(5) of the Act. “Total resources” includes **all** the resources of the principal during the reporting period. For example, total resources includes dues and grants received by the principal. If there is more than one source of contributions exceeding 10%, report them on attachment 18. If this section does not apply to the filer, check the box indicating that the source of contributions does not exceed 10%.
- 19. Filer Affirmation:** The filer is the principal, lobbying firm or lobbyist filing Form DSBE-1305-A. The filer’s affirmation is signed under affirmation subject to the penalties of perjury. Furthermore, the signer’s affirmation complies with section 1307-A(d)(5) of the Act requiring a principal or lobbyist to affirm that the filer has complied with the conflict of interest provisions in the Act. The filer or its designee must sign and date the form, as well as include the filer’s registration number. If there are additional filers, include them on attachment 19.
- 20. Lobbying Firm/Lobbyist Affirmation:** Section 1305-A(b)(4) of the Act requires a lobbying firm or lobbyist not associated with a firm to “sign the reports submitted by each principal for whom the lobbying firm or lobbyist is registered to attest to the validity and accuracy” to the best of the lobbyist’s or lobbying firm’s knowledge, information and belief. A designated representative of the lobbying firm shall sign the reports submitted by the principal – **all of the individual lobbyists associated with the lobbying firm need not and should not sign the reports submitted by the principal.** Any separate lobbyists employed or hired by the principal must also sign the report submitted by the principal. (For example, if any employee of the principal is a lobbyist for the principal, and the principal is required to register and report as required by the Act, then the employee who is a lobbyist must sign the principal’s report at Section 20.)

All lobbying firms and lobbyists required to complete Section 20 must sign and date the affirmation and include their registration number. If there are additional lobbying firms or lobbyists other than the seven spaces included here, include them on attachment 20. As provided in the second sentence of section 1305-A(b)(4), a lobbyist may file a Statement of Limited Knowledge by checking the appropriate box after the listing for each lobbyist in Section 20 of the expense report form. Please refer to the section below entitled **“Instructions for Lobbyist or Lobbying Firm’s Statement of Limited Knowledge”** on pages 10 – 11.

- 21. Statement as to Inability or Refusal of Lobbyist/Lobbying Firm to Sign Report:** If the principal is unable to secure the signature of a lobbyist or a lobbying firm, the principal shall complete the following information at Section 21 on page 6 of Form DSBE-1305-A of the report, setting forth the attempts made and the reasons for the inability to obtain the lobbyist's or lobbying firm's signature. If there are additional lobbyists or lobbying firms that the principal could not contact, include them on attachment 21. **NOTE: Completing this form does NOT relieve the principal, lobbying firm or lobbyist from late fees and penalties under Act 134.**

Insert the filer's registration number and the name of the individual filing the statement at the top of page 6.

- A. Check the appropriate box indicating the type of report to which this statement is being filed.
- B. Identify the lobbyist or lobbying firm that would have been required to sign the report. Also indicate the last known permanent business address and other contact information including daytime telephone, fax number and email for the identified lobbyist.
- C. Indicate, by checking the appropriate box, all methods utilized for attempting to obtain the signature of the lobbyist. You may check more than one box if applicable. Specifically indicate other methods utilized by completing the box marked "other."
- D. Indicate the reasons for the inability to obtain the lobbyist's signature on the report or amended report by checking the appropriate box(es). Specify any other reasons for the inability to obtain the lobbyist's signature in the box marked "other."

The filer must sign and date the statement at the bottom of page 6.

INSTRUCTIONS FOR LOBBYIST OR LOBBYING FIRM'S STATEMENT OF LIMITED KNOWLEDGE

GENERAL INFORMATION

Statements Permitted: A lobbyist or lobbying firm may attach a Statement of Limited Knowledge to any report filed by a principal, describing the limits of the lobbyist's or lobbying firm's knowledge concerning the expenditures contained therein, as provided at section 1305-A(b)(4) of the Act.

Form Required: A lobbyist's or lobbying firm's Statement of Limited Knowledge shall be on Form DSBE-1305-A(b)(4). If additional lobbyists or lobbying firms wish to use the Statement, reproduce a blank form, complete it and submit it to the Department.

Filing of Statement: A lobbyist or lobbying firm wishing to file a Statement of Limited Knowledge may either physically append the Statement to the principal's Form DSBE-1305-A or may file such Statement of Limited Knowledge as a separate filing directly with the Department.

Time for Filing: The filing of a lobbyist's Statement of Limited Knowledge must be completed on or before the day for the filing of Form DSBE-1305-A to which the Statement relates. Nothing contained herein shall extend the deadline for the principal's filing of Form DSBE-1305-A, or the lobbyist's or lobbying firm's affirmation to such a report.

INSTRUCTIONS FOR COMPLETING THE STATEMENT OF LIMITED KNOWLEDGE

- 01. Lobbyist or Lobbying Firm Identification:** Complete the lobbyist or lobbying firm identification by inserting the lobbying firm's or lobbyist's name on the appropriate section. Also indicate in this section the filer's registration number as provided by the Department, which may be obtained or verified by contacting the Department. Include the permanent business address, daytime telephone number, fax number and email of the lobbyist or lobbying firm.
- 02. Name of Principal for which Statement is applicable:** Identify the principal for whom the Statement of Limited Knowledge is applicable. Identification should include the firm or business name of the principal, the permanent business address, the daytime telephone number, fax number and email for the principal and the principal's registration number (which may be obtained from the Department).
- 03. Filing Period:** Identify the filing period for which the Statement is applicable. Identify the specific quarter and year for which the related report is being filed, that is, the report to which the Statement of Limited Knowledge is being appended or to which it applies.
- 04. Expenditures for which Statement is applicable:** Identify the specific expense category or categories for which limited knowledge is being asserted by checking the appropriate boxes. Check all boxes that apply.
- 05. Nature of Limited Knowledge:** Identify with specificity the nature of and reasons for the lobbyist's or lobbying firm's limited knowledge.
- 06. Filer Affirmation:** The filer's affirmation is signed under affirmation subject to the penalties of perjury. Furthermore, the signer's affirmation complies with section 1307-A(d)(5) of the Act requiring a lobbying firm or lobbyist to affirm that the filer has complied with the conflict of interest provisions in the Act. The filer must sign and date the form.