LOBBYIST/LIAISON ONLINE REGISTRATION/REPORTING

The Guardian System for Lobbyist/Liaison

The Guardian System is Oklahoma's state of the art public transparency website for state level campaigns, lobbyist reporting, and other documents filed with the **Oklahoma Ethics Commission.** Campaign and lobbyist filings are immediately available for public viewing once the documents are filed.

Look for the Guardian System link button on our home page at www.ethics.ok.gov to file or access filings. The Guardian System may also be found directly at www.guardian.ok.gov.

Lobbyist/Liaison: Review All Registration and Reporting Requirements Prior to Registering

This document provides an overview for Lobbyists/Liaisons on registration, navigation, data entry, and filing an original or amended report in The Guardian System.

Lobbyists/Liaisons use The Guardian System to:

1. Register/Renew for Lobbying which includes listing all Principals or an Agency
2. Pay Registration/Renewal Fees and Late Fees
3. Enter Expenditures
4. File Reports
5. View All Filed Reports and Perform Searches

Filing reports with the Ethics Commission is a <u>two-step process:</u>

1. **Enter all expenditures** under the "Expenditures" tab (may be entered 24 hours a day/7 days a week)**:**
   - **Lobbyist Expenditures**—may spend up to $750 per calendar year for meals (which includes meals and non-meal food and beverage) for each individual state officer and employee of the entity being lobbied.
   - **Lobbyist Principal Expenditures**—events to which all legislators are invited, recognized caucus events, committee/sub-committee events, out of state events, and plaques or similar gifts.
2. **File the report** under the "Filings" tab (submitted during reporting period):

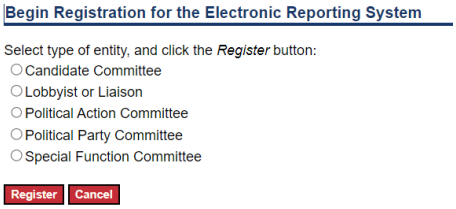
   Filings are due no later than 11:59:59 p.m. (Central) on the deadline with staff available until 5:00 p.m. to assist.

Filing Deadlines: Lobbyist specific reporting calendars are available at www.ethics.ok.gov on the "Lobbying" page with report due dates and should be calendared by the lobbyist. Those dates are also in **The Guardian System** account once a lobbyist is registered. **The Guardian System** automatically sends email reminders to lobbyists and filers with a report due that has not yet been filed during the 7 days prior to the deadline. Notices are sent to the email addresses provided by the lobbyist on the original, or most recently amended registration.

1. **Register in The Guardian System**

If **Renewing** an existing lobbyist account, log in to the Guardian account and use the Renew Registration button on your home page. Your previous registration information will populate, and you will be able to amend any information before submitting. If **Registering** as a lobbyist for the first time, on The Guardian System menu, click the "Registration" tab and select the type of entity Lobbyist or Liaison, click the red **Register** button, fill in the required information (red asterisk * indicates required items):

A. **Registration type**



- *Legislative lobbyists* are individuals who are compensated to represent a lobbyist principal by lobbying the Governor, the Legislature, and/or their staff.
- *Executive lobbyists* are individuals who are employed or retained by a lobbyist principal for compensation to lobby state officers and employees of executive agencies.
- *Legislative liaisons* are state officers and employees whose duties in fact include legislative lobbying, regardless of their job title or job description.
- *An Individual May Be Both a Legislative and Executive Lobbyist* if he or she meets the definitions set forth above. This individual is only required to file one registration with the Ethics Commission and will follow the report filing schedule of a legislative lobbyist.

B. Lobbyist/Liaison Information—complete all the registration items with a red asterisk *.

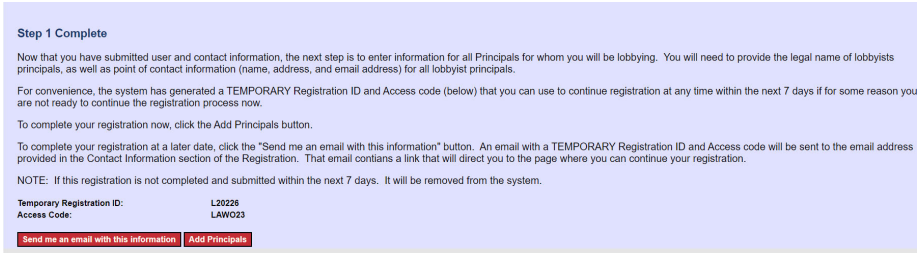
C. Designated Filing Agent Information

A Designated Filing Agent, or DFA, is an administrative person or someone else who will receive credentials and may file reports on behalf of the lobbyist. Enter the data and click **Add to List** for each DFA. If replacing a DFA, delete the person and add a new one to the list. Do not overwrite current DFA information with new DFA information.

D. Select Next

E. Step 1 Complete—if you are not prepared to enter your principals, with their contact information, record the temporary ID and Access Code to return to the system and complete within 7 days.

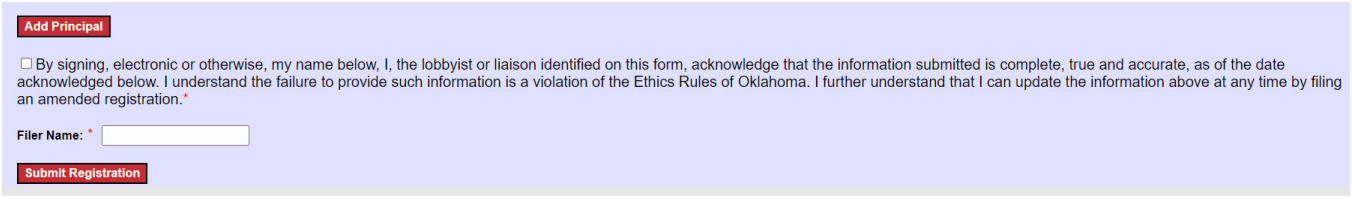
NOTE: Your registration is NOT complete, and staff cannot assist until the full registration is "Submitted."



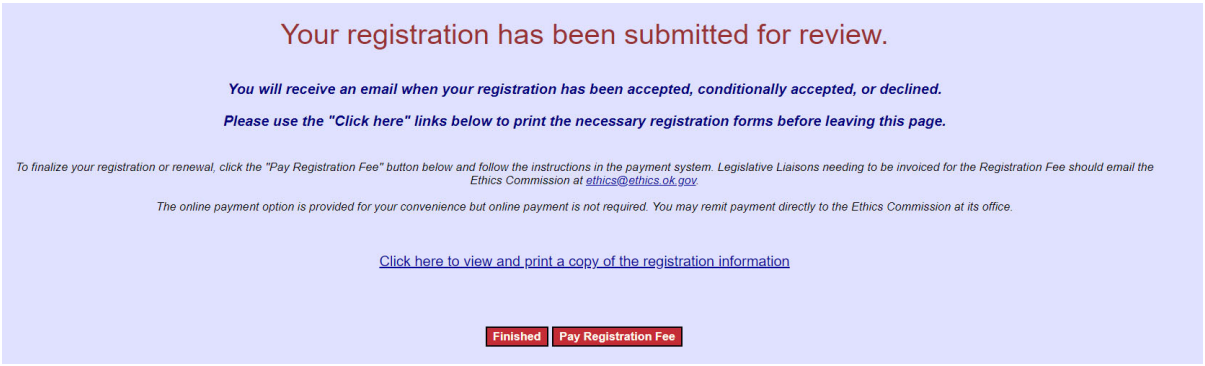
F. Add Principals—add each principal. If the entity is registered with the Secretary of State, search for that entity and choose the appropriate number, enter principal contact information (your contact person for the principal), and add each agency to be lobbied.

G. **Save Principal**—click **Save Principal** for each additional principal (repeat F. & G. until complete).

H. Click the "By signing" checkbox, enter the Filer Name, and click **Submit**.



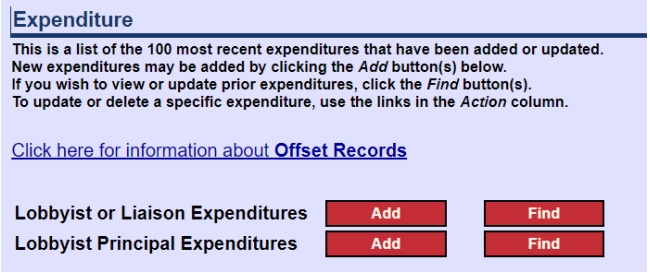
I. **Pay Registration/Late Fees**—Once the Registration is submitted, payment must be made. On the review page, click on **Pay Registration Fee** to enter the online payment system. Payment may also be submitted directly to the Ethics Commission office. Lobbyist/Liaison fees are $100, and the Principal/Agency fee is $125 per Principal/Agency per calendar year. This requires coordination by lobbyists who share a principal. If the principal is a registered Secretary of State entity, lobbyists should use the same SOS ID number and the system will charge the first to register with the fee. Any additional registrants will find the fee already marked paid for that entity. The system also recognizes the agencies for liaisons. If they are not registered, the first person who registers should pay the fee and coordinate with any additional lobbyists, making sure they use the exact same name for the principal. Staff will research that principal and manually mark them paid, if necessary.



NOTE: If renewing, all late fees must be paid or an Administrative Hearing requested. On the Entity Overview page, a Late Filing and/or Compliance Fee may be displayed. Select the checkbox next to the fee, then choose the **Pay Selected Fee** button to proceed to the online payment system.

J. Finished—Once submitted, the registration is reviewed by Ethics Staff. It may be fully or conditionally accepted, and a notice will be sent to you with additional steps. (Note: Lobbyists registering in December/January may remain in Pending or Conditional status until staff can verify payments and submission of the final report from the prior year.)

2. Enter Expenditures



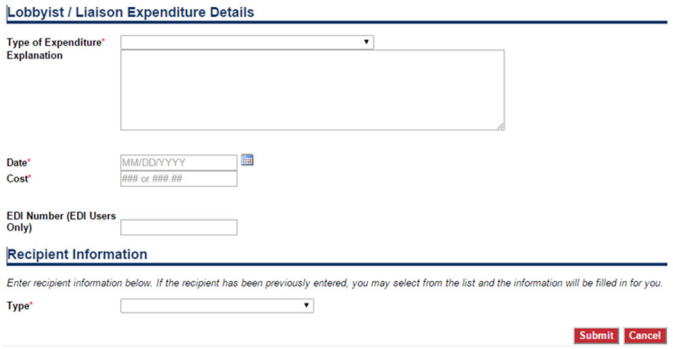
Lobbyists/Liaisons report expenditures by:

- Selecting the "Expenditures" tab from the toolbar
- Clicking **Add** to enter an expense for either Lobbyist/Liaison or Lobbyist Principal
- Fill in the required information for each expenditure, as outlined below.

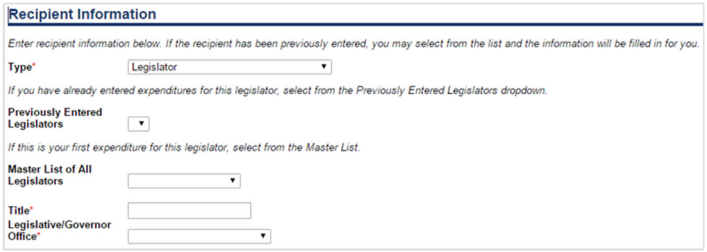
A. To Enter Lobbyist/Liaison Expenditure Details:

1. Select the Type of Expenditure* from the list in the dropdown. For this category of expenditures, the choices are:

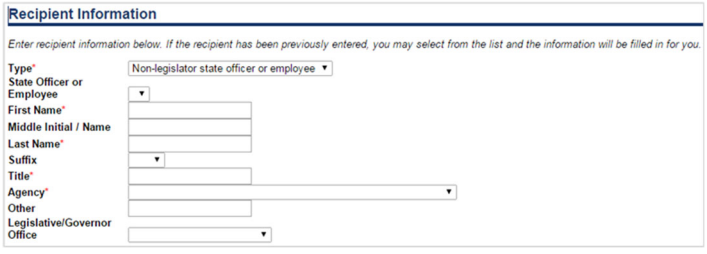
- Meals and Other Food and Beverage
- Gifts to State Officer or Employee
- Gifts to Family Member of State Officer or Employee



2. Provide an explanation of what was purchased and the occasion and/or purpose with which it was associated.
3. Enter the Date* on which the expenditure was incurred. The calendar control may be used to fill this field.
4. Enter the Cost* amount of the expenditure.
5. The EDI Number is only used when a file of expenditure transactions is imported from another system (other than The Guardian).
6. Under Recipient Information, click the appropriate Type* from the list in the dropdown. For this category of expenditures, the choices are:
   - Legislator
   - Non-legislator state officer or employee
7. If "Legislator" is chosen, the following fields will appear (otherwise see the next step in this document):



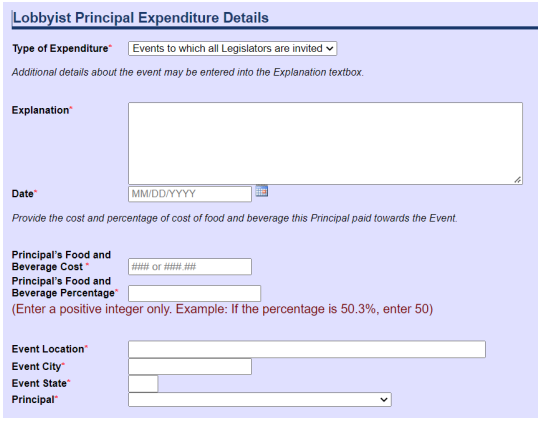
   - If the expenditure is associated with a legislator for whom you previously entered an expenditure, a list of Previously Entered Legislators names may be used, or select from the Master List of All Legislators dropdown.
   - Enter the Title* of the legislator.
   - Enter the Office* of the legislator.
8. If "Non-legislator state officer or employee" is chosen, the following fields will appear:
   - Fill in the data fields as required, using the dropdown lists wherever they are provided.



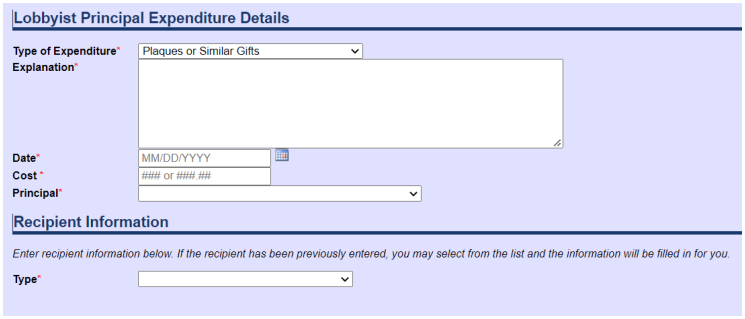
*If you click the **Cancel** button, the system will discard any data you have entered on the page and will not store the Lobbyist/Liaison Expenditure transaction.*

When the **Submit** button is clicked, the system stores the Lobbyist/Liaison Expenditure transaction, unless there are validation errors, which you will be required to correct before you click **Submit** again.

B. To Enter Lobbyist Principal Expenditure Details:



1. Select the Type of Expenditure* from the list in the dropdown. For this category of expenditures, the choices are:
   - Caucus Event
   - Committee / Subcommittee Event
   - Events to which all Legislators are invited
   - Out of State Event
   - Plaques or Similar Gifts
2. Provide an Explanation of the event, with appropriate details such as its location and purpose.



   For Plaques or Similar Gifts—A lobbyist principal may give a plaque, trophy, or similar item suitable for display no more than once per year to a state officer or employee in acknowledgement of the officer or employee's public service. The item cannot exceed $200 in value (including tax) and must be reported in a Lobbyist or Liaison Expenditures Report.

3. Enter the Date* on which the Event occurred (when the expenditure was incurred).
4. Enter the Principal's Food and Beverage or item Cost*. In cases where multiple principals split the cost of the event, this would be the dollar share attributable to the specific principal on this transaction.
5. Enter the Principal's Food and Beverage Percentage* - this is the percentage amount of the total food and beverage expenditure for the event for which the principal paid. If the cost of the event is split among multiple lobbyist principals, it is the percentage amount of the total cost of food and beverage specifically attributable to the lobbyist principal on this transaction.
6. Enter the Event Location* in the data field (NOTE: Committee or Subcommittee events must be in the Capitol building, and must be attended by a majority of the members of the committee).
7. Enter the Event City* in the data field.
8. Enter the Event State* in the data field.
9. Choose the Principal* from the dropdown list of your associated principals.
10. The EDI Number is only used for expenditure transactions imported from another system.

(*If you click the **Cancel** button, the system will discard any data you have entered on the page and will not store the Lobbyist Principal Expenditure transaction.*

When the **Submit** button is clicked, the system stores the Lobbyist Principal Expenditure transaction, unless there are validation errors, which you will be required to correct before you click **Submit** again.

C. There are several common issues which should be considered when entering expenditures:

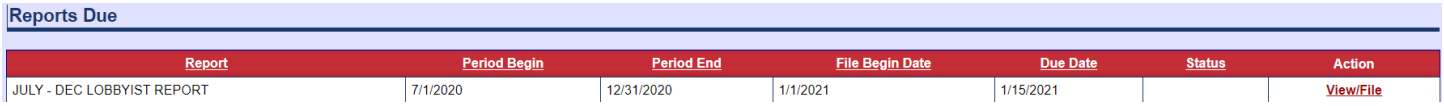
- Watch for duplicate entries
- Do not report meals provided to spouses
- Certain event tickets should be reported as meals

- Be sure to report under the appropriate category
- If the cost of an event was split among principals, record as a percentage of the total
- It may not be necessary to report certain modest items of refreshment
- If a group of meals provided is recorded as the same price for each recipient, add description such as "fixed price meal", "buffet", "box lunch", etc.
- Check to see if the event qualifies as a principal event and may be recorded as a group, rather than individual.
- A Principal Legislative Committee or Subcommittee event must be held in the Capitol building, and it must be attended by a majority of the members.

3. File a Report

A. Once a filing period opens, and all expenditures have been entered, select the "Filings" tab to file the report.

B. On the Filing Administration page, click the red **View/File** link next to the report due in the Action column, which will allow you to Preview, File, or Cancel the filing.



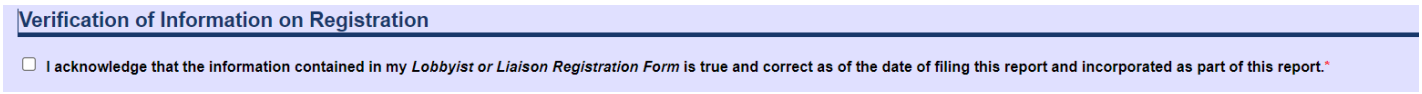
***Note: View/File** is only visible once a filing period begins, and any conditions related to the Registration have been resolved.*

C. **Filing a Report where Lobbyist Principal Expenditures are Reported by Another Lobbyist**

Select Lobbyist Principal Expenditures Reported by Another Lobbyist above the Report Summary and enter the Reporting Lobbyist Name and the Lobbyist Principal, click add to list to populate.

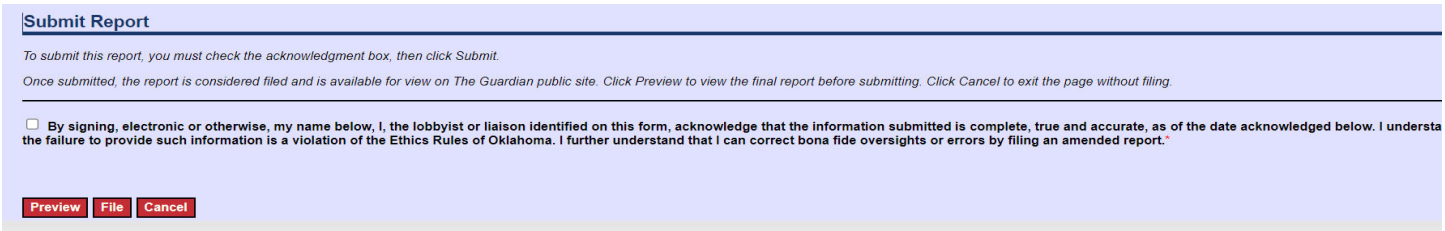
D. **File the Report:**

After checking your entries for duplicates or issues, you are ready to file your report. Click the **checkbox** verifying the information is correct, right above the grid.



Scroll down under the grid to the Submit Report section:

Click the **"By signing" checkbox** and select the red **File** button. The filed report will move from the top grid "Reports Due" to the bottom grid "Filing History."



There are two grids of reports on the Filings page:

1. The Reports Due grid lists all scheduled and unfiled reports, next due first. Since regular periodic reports must be filed in order, only the next report due will have links (in the Action column). The status column could show Not Filed, Filed or Past Due. The **View/File** link will take you to the Filing page, where you can view calculated report totals and submit the report when ready.

Reports Due

Report	Period Begin	Period End	Due Date	Status	Action
JANUARY LOBBYIST REPORT	1/1/2015	1/31/2015	2/5/2015	Not Filed	View/File
FEBRUARY LOBBYIST REPORT	2/1/2015	2/28/2015	3/5/2015	Not Filed	
MARCH LOBBYIST REPORT	3/1/2015	3/31/2015	4/5/2015	Not Filed	
APRIL LOBBYIST REPORT	4/1/2015	4/30/2015	5/5/2015	Not Filed	
MAY LOBBYIST REPORT	5/1/2015	5/31/2015	6/5/2015	Not Filed	
JUNE LOBBYIST REPORT	6/1/2015	6/30/2015	7/5/2015	Not Filed	
JULY - DEC LOBBYIST REPORT	7/1/2015	12/31/2015	1/5/2016	Not Filed	

2. The Filing History grid lists all reports filed, most recent first. It stores all the Registrations/ Renewals and filed reports, and allows amendments, if needed. When you file a report in the Guardian system, all expenditure transactions you have entered in the reporting period are gathered into the report and the report is made available to the public (on the public Search pages) and to the Ethics Commission.

Filing History

View / Print Registration Card

Report	Period Begin	Period End	Due Date	Filed	Amended	View	Amend	Correct	Audit
2022 JUNE REPORT	6/1/2022	6/30/2022	7/15/2022	7/8/2022	No	View	Amend		Process
2022 MAY REPORT	5/1/2022	5/31/2022	6/5/2022	6/1/2022	No	View	Amend		Process
2022 APRIL REPORT	4/1/2022	4/30/2022	5/5/2022	5/3/2022	No	View	Amend		Process
2022 MARCH REPORT	3/1/2022	3/31/2022	4/5/2022	4/1/2022	No	View	Amend		Process
2022 FEBRUARY REPORT	2/1/2022	2/28/2022	3/5/2022	3/2/2022	No	View	Amend		Process
2022 JANUARY REPORT	1/1/2022	1/31/2022	2/5/2022	2/1/2022	No	View	Amend		Process
2022 Lobbyist Registration Renewal - Current				1/8/2022	No	View	Amend Lobbyist Amend Principals	Correct Lobbyist Correct Principals	

E. **Amend a Report:**

To amend a report, go back to the Expenditures/Data Entry and make any corrections, deletions or additions. Once the data is correct go to the affected report under the "Filing History" in the Filings tab, select Amend and file the report again.

F. **Terminate Registration or Non-Renewed:**

The lobbyist/liaison is responsible for maintenance to their account. If you are no longer going to lobby, you have the opportunity to formally terminate lobbying the State of Oklahoma, by using the red button on the upper right of the "Filings" page. Once terminated you will no longer have access to the account. If you are going to lay out for a year, make sure you file all reports for your active year including the July – December Report due in January, but do not renew. The account will go into Non-Renewed status until you are ready to become active again and renew the registration.

G. **Search Reports:**

To look at your reports or reports of others, go to the "Public Site" and search by name or by principal. Once reports are filed, they are immediately available to the public.