



# North Carolina Department of Secretary of State

Lobbying Compliance Division  
Joal Broun, Director  
January 10, 2017

# BASICS-Registration

- Register within one business day of lobbying
- Registration is for the calendar year only
- Registration expires on December 31<sup>st</sup>
- Electronic filing for lobbyist and principal registrations required by law

# Basics-Reporting

- Electronic filing is mandatory for lobbyist and principal reports
  - Web portal address is <https://www.sosnc.gov/lobbyists/FilingEntryNew.aspx>
  - Must have an account to file
  - Forget your password?
    - Passwords are associated with the email address to your account
    - The Division does not have access to your passwords
    - Use the forget password link found at the account login page

# Basics-Reporting

- The instructions for electronic filing are on the Division's landing page:  
<http://www.sosnc.gov/lobbyists/thepage.aspx>
- Instructions provided with and without screenshots

# Practice Tip

- We do compare the monthly report with the quarter report expenditure
- The Lobbying Rules require that filer retain the records that support the entries on the filer's reports for 3 years
- Link to SOS Rules:  
<http://reports.oah.state.nc.us/ncac.asp?folderName=\Title%2018%20-%20Secretary%20of%20State\Chapter%2012%20-%20Lobbying>

# Resignations

- Please file the resignation otherwise you remain on the hook for filing expense reports for the full registration period
- Resignations are effective upon filing with our office
- When you resign, please remember to file your last report
  - You can file your last report when you resign



# Why do we contact you?

What are common mistakes?

# Customer Service Issues

- Notarization
  - Notary date is before the signature of the authorized officer or lobbyist
- Authorized Officer did not sign the principal report
  - Have additional authorized officers on file to sign the reports
- Missing Lobbyist Names on the Principal Report
  - If the principal has more than one lobbyist, please check to see if you have all of the lobbyists' names on the report



# Customer Service Issues

- The principal has not authorized the lobbyist within the 20-day period for filing the authorization.
  - If the authorization is filed outside the 20 day period, the lobbyist filing date governs when the first report is due;
- The person signing the principal report is not the authorized officer;
  - Remember you can have additional authorized officers

# Enforcement

Late Filing Fees

Systematic Reviews

# Late Filing Fees

- \$50 per day after you have received a certified letter from us
  - We make at least 2 attempts to contact a non-filer prior to sending the letter
  - When we do not hear from you, we start the late fee process

# Late Filing Fee Statistics

## **For 2017**

- 96.9% Lobbyists filed on time
- 96.6% Principals filed on time

# Systematic Reviews

- Two methods of selecting the relationships to review
  - Random Number Selection
  - Past History of Filing Late

# Notification

How do we notify you?

# Notification

- Registration
- When you register, we automatically send you an email to the address you provide in the registration
- Reporting
- Division sends at least 2 reminder notifications prior to the report due date

# Report Due Dates for 2017

Report Periods	Due Date
January Monthly	February 14, 2017
February Monthly	March 14, 2017
<b>1<sup>st</sup> Quarter 2017</b>	<b>April 21, 2017</b>
April Monthly	May 12, 2017
May Monthly	June 14, 2017
<b>2<sup>nd</sup> Quarter 2017</b>	<b>July 21, 2017</b>
July 2017 Monthly	August 14, 2017
August 2017 Monthly	September 14, 2017
<b>3<sup>rd</sup> Quarter 2017</b>	<b>October 20, 2017</b>
<b>4<sup>th</sup> Quarter 2017</b>	<b>January 19, 2018</b>





# Contact Information

- Address: Old Revenue Building, 2 South Salisbury Street, Raleigh, NC, 3<sup>rd</sup> Floor
- Website: <http://www.sosnc.gov/Lobbyists/>
- Telephone Number: (919) 807-2170
- Joal H. Broun Telephone number (919) 807-2172