

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 31st
- 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 if 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

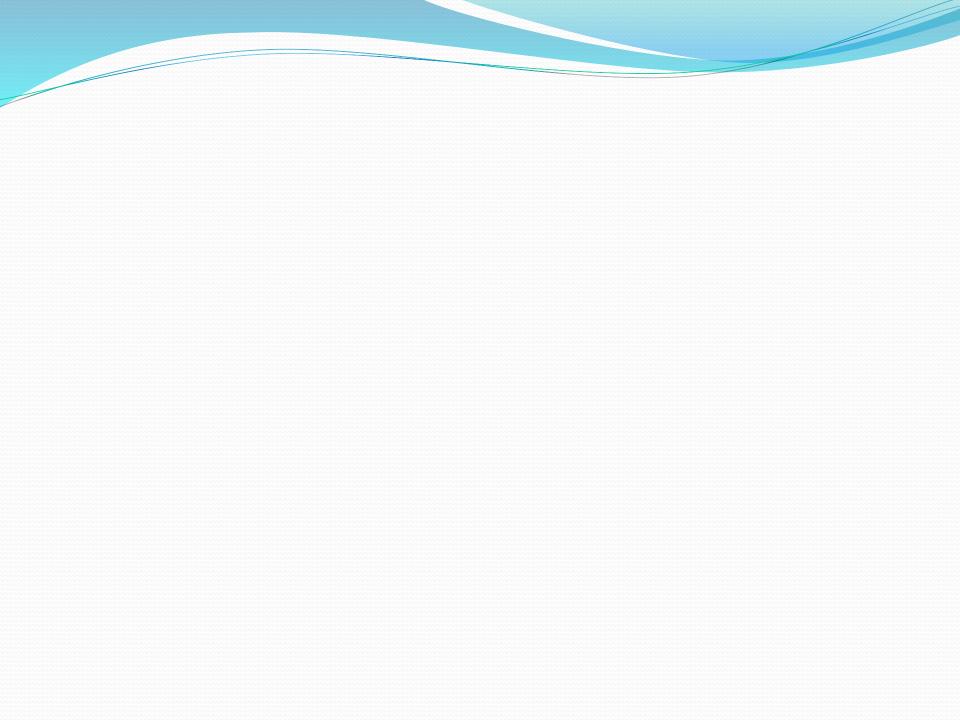
How do we notify you?

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
1 st Quarter 2017	April 21, 2017
April Monthly	May 12, 2017
May Monthly	June 14, 2017
2 nd Quarter 2017	July 21, 2017
July 2017 Monthly	August 14, 2017
August 2017 Monthly	September 14, 2017
3 rd Quarter 2017	October 20, 2017
4 th Quarter 2017	January 19, 2018



Contact Information

- •Address: Old Revenue Building, 2 South Salisbury Street, Raleigh, NC, 3rd Floor
- •Website: http://www.sosnc.gov/Lobbyists/
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