

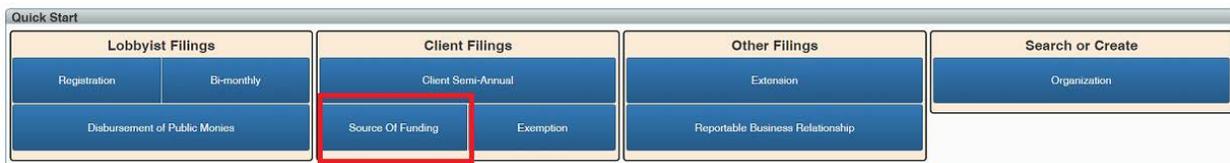
How to File Source of Funding

Please refer to the Tool Tip icons  located throughout the Filing for more detailed information.

To create a Source of Funding (SoF) form:

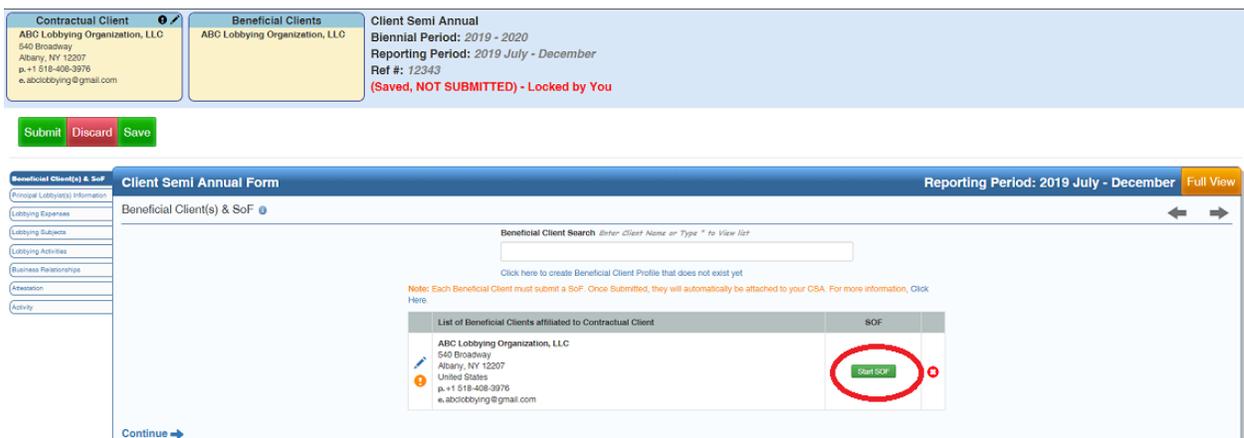
There are two different options available to create a SoF Form:

1. Select the **'Source Of Funding'** button from the **'Client Filings'** quick start menu;
 - (a) This method requires you manually select the Contractual Client and Beneficial Client names.



OR

2. If you are acting as **both** the Contractual Client **and** Beneficial Client **and** you are required to submit a Client Semi-Annual Report, you will be required to fill-out your SoF form while completing your CSA.
 - (a) Select the green **'Start SoF'** button next to your name on the *Beneficial Client(s) & SoF* tab of your Client Semi-Annual Report. When you have completed your SoF form, you will be returned to your CSA to complete the remainder of information.
 - (b) **Data disclosed on your Organization Profile will populate information on your SoF Form.**



If you selected the **'Source Of Funding'** button from the **'Client Filings'** quick start menu:

1. On the **Source of Funding** page, either:
 - (a) enter the first few characters of the *Beneficial Client 'Organization'* name in the text search box;

How to file: Source of Funding Information Online

OR

(b) type the asterisk symbol (*) in the search field to view JCOPE's comprehensive list.

Source Of Funding

Beneficial Client Info *Enter Beneficial Client Name or Type * to View list*



If multiple versions of the Organization name appear in the drop down, select the version that has a green check-mark next to it. The green check-mark indicates the Profile has been verified by an Authorized Person.

If a red banner is displayed over the name you would like to select, the Profile information for that Organization name has not been verified. You are required to verify the information before you can select the Organization.

If none of the names have a green check-mark, please contact [JCOPE Help Desk](#).

Review*

Before you proceed, verify the name of the Beneficial Client is correct. You **cannot** change the Beneficial Client name once you begin the SoF Form. If incorrect, you will be required to discard the form and begin a new SoF Form.

SoF Year/Reporting Period*

1. Click the **'Start'** button next to the applicable filing **'Year and Period'**.

Source Of Funding

Beneficial Client

Beneficial Client Example
540 Broadway
Albany, NY 12207
United States
p. +1 518-555-5555
e. tempestblue@americanlobbyists.com

Beneficial Client Info *Enter Beneficial Client Name or Type * to View list*

The online SoF form in the new LA contains its own main navigation menu and can be viewed in a "tabbed format" or in "full view", depending on Filer preference.

To navigate the SoF form, you may do any of the following:

How to file: Source of Funding Information Online

- Click any of the menu items from the left-hand navigation menu;
- Click the left or right arrows at the upper right side of your screen; or
- Click the **Continue** → hyperlink at the bottom of your screen.

Contractual Client Information*

The 'Contractual Client' may be the *same* as the 'Beneficial Client'.

1. On the **Contractual Client(s)** tab, either:

(c) enter the first few characters of the 'Contractual Client' name in the text search box;

OR

(d) type the asterisk symbol (*) in the search field to view a list Organizations with existing Profiles in LA.

If multiple versions of the Organization name appear in the drop down, select the version that has a green check-mark next to it. The green check-mark indicates the Profile has been verified by an Authorized Person. If none of the names have a green check-mark, please contact [JCOPE Help Desk](#).

The screenshot displays the 'Source Of Funding Form' interface. At the top, there is a 'Beneficial Client Info' section with details for 'Beneficial Client Example' (540 Broadway, Albany, NY 12207, p.+1 518-555-5555, e.tempestblue@americanlobbyists.com) and 'Source Of Funding' information (Biennial Period: 2019 - 2020, Reporting Period: 2019 January - June, Ref #: 12400, (Saved)). Below this is a 'Form Successfully Saved' message and buttons for 'Submit', 'Discard', and 'Save' (Saved: 4:47PM). The main form area is titled 'Source Of Funding Form' and 'Contractual Client(s)'. A search box labeled 'Contractual Client Search' contains the text 'ABC'. A dropdown menu is open, showing a list of organizations: 'ABC Client', 'ABC CORP', 'ABC Lobbying Company, Inc.', 'ABC Lobbying Organization, LLC' (highlighted with a red box), 'ABCD Inc.', 'ABCD Inc.' (with a green checkmark), 'ABCNY, INC.', and '40 ABC INC.' (with a green checkmark). A red arrow points to the search box. The 'Continue' button is visible at the bottom left of the form area.

Source of Funding Information*

1. Select the applicable Source of Funding Summary Statement from the drop-down menu.

- Required to Report
- Not Required to Report – Beneficial Client is a 501(c)(3) or government organization
- Not Required to Report – Beneficial Client had no applicable Contributions
- Not Required to Report – Beneficial Client is under spending threshold
- Not Required to Report – Exemption pending or previously approved

How to file: Source of Funding Information Online

The screenshot shows the 'Source of Funding' form in the Lobbying Application. The 'SOF Summary Statement' dropdown menu is open, and 'Required to Report' is selected. A red arrow points to the dropdown arrow.

If you selected the 'Required to Report' from the drop-down menu:

2. On the **Source of Funding** tab, either:

- (a) Download and complete the pre-formatted Excel Spreadsheet by clicking on the 'Download Template File' hyperlink. The Excel Spreadsheet will automatically download from your internet browser;

OR

- (b) You can manually enter your Source information through the online form by clicking on the green 'Add Source of Funding' button.

NOTE: LA will NOT *accept* the Excel spreadsheet if there is any missing and/or invalid information contained in the spreadsheet. You must correct the information on the spreadsheet before LA will allow the information to be uploaded and filled-in.

However, if you notice a 'mistake' (spelling, incorrect dollar amount) after the information has been uploaded and filled-in, LA will allow you to correct that information after it has been uploaded and filled-in.

The screenshot shows the 'Source of Funding' form with the 'Source of Funding List' section highlighted in red. The 'Add Source of Funding' button is also highlighted in red.

How to file: Source of Funding Information Online

Contractual Client(s)

Source Of Funding

Attestation

Source Of Funding Form

Source of Funding ⓘ

SOF Summary Statement

Please select one applicable statement

Required to Report

Source of Funding List

Download Template File ⓘ

Choose a File

Load **a**

Add Source of Funding **b**

Show 10 entries

ID	Type of Source	Name	Address	Phone
----	----------------	------	---------	-------

Showing 0 to 0 of 0 entries

Continue ➔

Please see *Instructions for Completing the Pre-formatted Excel Spreadsheet to Disclose Source of Funding Information* for more information.

Manually data-enter Source information (the green 'Add Source of Funding' button was selected)

The SoF online form contains the following fields. Items denoted with a red asterisk "*" are required fields

Source ID*

You must assign each Contributor a **unique Source ID Number**. The Source ID Number is the numeric identifier of the Entity (Organization) or Individual for the applicable reporting period. The SAME Source ID number must be used for the identical Contributor (Individual or Entity). The Source ID number assigned to an Entity or Individual is for the applicable reporting period (January/June OR July/December) only.

The unique Source ID helps to identify various situations that may occur during the applicable reporting period (January/June; or July/December):

- Identify a Source who makes a single Contribution during the reporting period;
- Identify a Source who makes multiple Contributions during the reporting period;
- Identify Multiple Sources where no Parent and Subsidiary relationship exists (affiliate relationship); and
- Identify Multiple Contributions from Multiple Source comprised of a Parent and Subsidiary relationship.

How to file: Source of Funding Information Online

The screenshot shows a web form titled "Add Source Type and Information". At the top left, there is a "Source ID" field containing the number "1" and a "Type of Source" dropdown menu set to "Single". Below these are two radio buttons: "Individual" (which is selected) and "Organization". A red rectangular box highlights the "Source ID", "Type of Source", and the two radio buttons. The rest of the form contains various text input fields and dropdown menus for personal and address information, including "Last Name", "First Name", "Middle Name", "Suffix", "Street1", "Street2", "City", "State" (set to "New York"), "Zip", "Phone", "Ext", "Date of Contribution", "Amount of Contribution", and "In-Kind Contribution" (set to "No"). At the bottom right, there are "Create" and "Close" buttons.

Type of Source*

Many Sources can be listed. However, each Contribution must be listed separately and must be categorized by a Source Category from the drop-down menu:

- **Single**
- **Multiple**

Type of Contributor (Source)*

You must choose either the 'Individual' or 'Organization' radio button when adding each Contribution.

Disclosing an Individual Source

To add an 'Individual' Source

Step 1 – Confirm the 'Individual' radio button is selected

Step 2 – Provide the required information:

(1) Last Name of Source (Individual)*

The Last Name of the person (Source) who made the Contribution.

(2) First Name of Source (Individual)*

The First Name of the person (Source) who made the Contribution.

(3) Middle Name of Source (Individual) [optional]

The Middle Name of the person (Source) who made the Contribution.

(4) Business Address, Phone Number and [optional] Extension*

The Source's (Individual) business address and phone number.

How to file: Source of Funding Information Online

(5) Date of Contribution*

The *Date of Contribution* is the date the Source made the Contribution to the Client Filer (any date within the CSA reporting period). Provide the date by either:

- a. using the green calendar icon; **or**
- b. enter the dates manually using the mm/dd/yyyy format.

(6) Amount of Contribution*

The *Amount of Contribution* is the dollar amount of the Contribution made by the Source to the Client Filer. Do not use a dollar sign, decimal, or cents.

(7) In-Kind Contribution*

In-kind Contributions include donations of staff, staff time, personnel, offices, office supplies, financial support of any kind or any other resources.

A drop-down menu is provided so that a 501(c)(4) that is required to file a Source of Funding report and receives In-kind Contributions of over \$2500 from a 501(c)(3) can indicate such contributions.

The Client Filer must identify the 501(c)(3) that made the Contributions and select 'yes' from the drop-down menu. **DO NOT INCLUDE A DOLLAR AMOUNT.**

Step 3 – Select the 'Create' button to save your changes

The screenshot shows a web form titled "Add Source Type and Information". The form includes the following fields and values:

- Source ID: 1A
- Type of Source: Single
- Individual (selected): Individual; Organization: Organization
- Last Name: Smith; First Name: John; Middle Name: (empty)
- Suffix: (empty)
- Street1: 5 ABC Way; Street2: (empty)
- City: Albany; State: New York; Zip: 12234-5433; Country: United States
- Phone: 5185555555; Ext: (empty)
- Date of Contribution: 05/07/2019 (with a green calendar icon)
- *Amount of Contribution: 500
- In-Kind Contribution: No

A red circle highlights the "Create" button in the bottom right corner of the form.

Disclosing an Organization Source

To add an 'Organization' Source

Step 1 – Confirm the 'Organization' radio button is selected

Step 2 – Provide the required information:

How to file: Source of Funding Information Online

(1) Name of Source (Organization)*

The Name of the Organization (Source) who made the Contribution.

(2) Business Address, Phone Number and [optional] Extension*

The Source's (Organization) business address and phone number.

(3) Date of Contribution*

The *Date of Contribution* is the date the Source made the Contribution to the Client Filer (any date within the CSA reporting period). Provide the date by either:

- c. using the green calendar icon; **or**
- d. enter the dates manually using the mm/dd/yyyy format.

(4) Amount of Contribution*

The *Amount of Contribution* is the dollar amount of the Contribution made by the Source to the Client Filer. Do not use a dollar sign, decimal, or cents.

(5) In-Kind Contribution*

In-kind Contributions include donations of staff, staff time, personnel, offices, office supplies, financial support of any kind or any other resources.

A drop-down menu is provided so that a 501(c)(4) that is required to file a Source of Funding report and receives In-kind Contributions of over \$2500 from a 501(c)(3) can indicate such contributions.

The Client Filer must identify the 501(c)(3) that made the Contributions and select 'yes' from the drop-down menu. **DO NOT INCLUDE A DOLLAR AMOUNT.**

(6) Controlling Person/Entity Information

"Controlling Interest" means:

- The Client Filer makes decisions or establishes policy for the corporation, partnership, organization, or entity *making* the Contribution;
- The corporation, partnership, organization, or entity making the Contribution makes decisions or establishes policy for the Client Filer;
- The Client Filer has the authority to hire, appoint, discipline, discharge, demote, remove, or otherwise influence other persons who make decisions or establish policies for the corporation, partnership, organization, or entity making the Contribution;
- The corporation, partnership, organization, or entity making the Contribution has the authority to hire, appoint, discipline, discharge, demote, remove, or otherwise influence other persons who make decisions or establish policies for the Client Filer; or
- The Client Filer and the corporation, partnership, organization, or entity making the Contribution share a majority of directors on their governing boards, or share a majority of

How to file: Source of Funding Information Online

executive management, or maintain bank accounts with shared signatories.

If a Client Filer has a **“Controlling Interest”** in the Source **OR** the Source has a **“Controlling Interest”** in the Client Filer, then Client Filer must **ALSO** disclose either:

- name, address and principal place of business of at least one natural person (such as an officer, director, partner or proprietors) who shares or exercises discretion or control over the activities of the corporation, partnership, organization, or entity; **OR**
- the Sources of the funds contributed by the corporation, partnership, organization, or entity (Donors to the Source) to the Client Filer.

If an Entity that is listed as a Source does NOT have a **‘Controlling Relationship’** with the Client Filer, select **‘No’** from the applicable drop-down.

If a **‘Controlling Relationship’** exists between a Source and the Client Filer, select **‘Yes’** from the applicable drop-down.

Step 3 –If you selected **‘No’** from the drop-down menu, select the green **“Create”** button to save your changes.

Add Source Type and Information

Source ID: 1A Type of Source: Single

Individual Organization

Organization Name: Smith Organization

Street1: 5 ABC Way Street2 (Apartment, suite, floor, etc.):

City: Albany State: New York Zip: 12234-5433 Country: United States

Phone: 5185555555 Ext:

Date of Contribution (MM/DD/YYYY): 05/07/2019 Amount of Contribution: 500

In-Kind Contribution: No

Additional Information must be disclosed if a Client Filer has a "Controlling Interest" in the Source **OR** the Source has a "Controlling Interest" in the Client Filer.

Does a Controlling Interest Exist? No

Create Close

If you selected **‘Yes’** from the drop-down menu, select the green **“Add”** button to complete the **‘Controlling Relationship’** information.

How to file: Source of Funding Information Online

Additional information must be disclosed if a Client Filer has a "Controlling Interest" in the Source **OR** the Source has a "Controlling Interest" in the Client Filer.

Controlling Person or Donor(s) to the Source
Info

Disclosing a Controlling Person

NOTE: Only one 'Controlling Person' can be identified for a 'Controlling Relationship'.

To add a 'Controlling Person'

Step 1 – Confirm the 'Controlling Person' radio button is selected

Step 2 – Provide the required information:

(1) Last Name of 'Controlling Person'*

The Last Name of the 'Controlling Person'.

(2) First Name of 'Controlling Person'*

The First Name of the 'Controlling Person'.

(3) Middle Name and Suffix of 'Controlling Person' [optional]

The Middle Name and Suffix of the 'Controlling Person'.

(4) Business Address, Phone Number and [optional] Extension*

The business address and phone number of the 'Controlling Person'.

Step 3 – Select the 'Add' button to save your changes

How to file: Source of Funding Information Online

Add Controlling Person

Controlling Person Donor to the Source

Last Name: Doe First Name: Jane Middle Name: Suffix: Street1: 5 Doe Street Street2: City: Albany State: New York Zip: 12347-8912 Country: United States

Add **Close**

Disclosing a Donor to the Source

Multiple Donors can be individually added by selecting the **'Add Another'** button.

To add a 'Donor to the Source'

Step 1 – Confirm the **'Donor to the Source'** radio button is selected

Step 2 – Provide the required information:

(1) Organization or Individuals' Name of 'Donor to the Source'*

The Name of the 'Donor to the Source'.

If the "Donor to the Source" is an individual, please ensure you have selected the "Donor to the Source" radio button and enter their name in the **Organization or Individual's Name** field. **Do NOT** enter their name on the "Controlling Person" tab.

(2) Business Address, Phone Number and [optional] Extension*

The business address and phone number of the 'Donor to the Source'.

Step 3 – Select EITHER the **'Add'** button to add the Donor information and save your changes; or select the **'Add Another'** to disclose additional **'Donor to the Source'** information.

Add Donor

Controlling Person Donor to the Source

Organization or Individual's Name: Doe and Doe Street1: 5 Doe Street Street2: City: Albany State: New York Zip: 12347-8912 Country: United States

Add **Add Another** **Close**

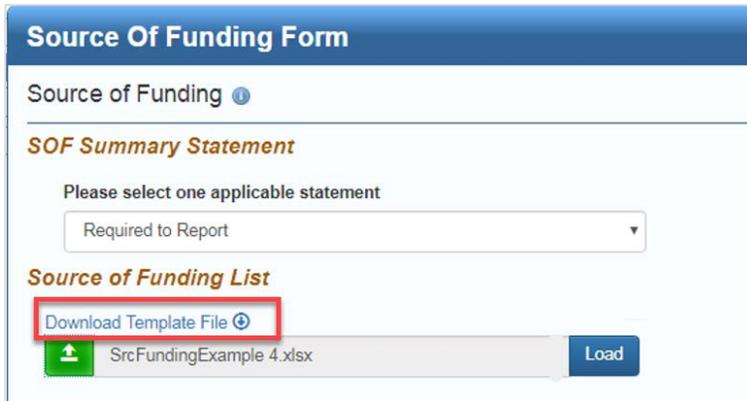
Using the pre-formatted Excel Spreadsheet

The pre-formatted Excel Spreadsheet contains the following fields. Items denoted with a red asterisk **'*** are required fields

How to file: Source of Funding Information Online

NOTE: Refer to the *Instructions for Completing the Excel Spreadsheet* (separate document) for detailed formatting requirements and information.

1. Download the Pre-formatted Excel Spreadsheet by clicking on the 'Download Template File' hyperlink.



Source Of Funding Form

Source of Funding ⓘ

SOF Summary Statement

Please select one applicable statement

Required to Report ▼

Source of Funding List

[Download Template File](#) ⓧ

SrcFundingExample 4.xlsx Load

2. Complete the spreadsheet and save the file to your computer.
3. To upload your completed spreadsheet, click the **green icon** to locate the file on your computer. 

Do not use the 2018 and prior years pre-formatted spreadsheet. **Do not** attempt to upload a PDF or other hard copy version of the Spreadsheet.



Contractual Client(s)

Source Of Funding Form

Source of Funding ⓘ

SOF Summary Statement

Please select one applicable statement

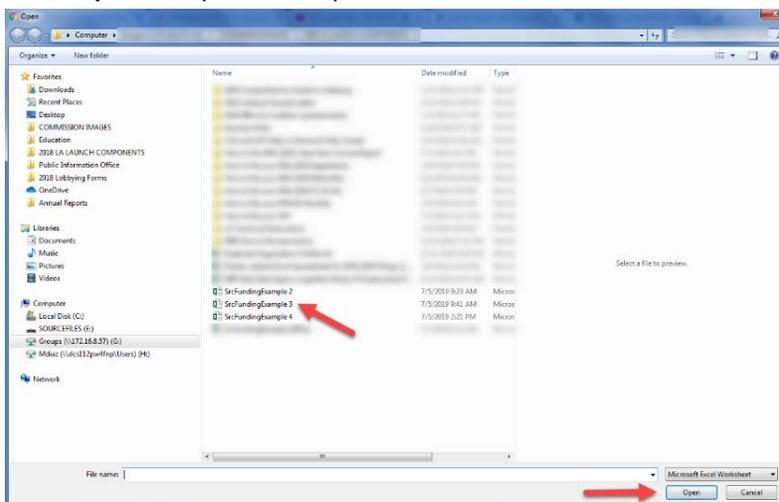
Required to Report ▼

Source of Funding List

[Download Template File](#) ⓧ

SrcFundingExample 4.xlsx Load

4. Click 'Open' to upload the spreadsheet.



How to file: Source of Funding Information Online

- Click the blue **'Load'** button to have the information automatically pre-populate in the online Lobbying Application.

The screenshot shows the 'Source Of Funding Form' interface. The 'Source of Funding' section is active. Under 'SOF Summary Statement', there is a dropdown menu set to 'Required to Report'. Below this, the 'Source of Funding List' section shows a file upload area with 'SrcFundingExample 4.xlsx' and a blue 'Load' button. A red box highlights the 'Load' button, and a red arrow points to it from the right.

- If the data has been successfully uploaded, the application will display the following message in green font, **'Data is in correct format'** followed by a checkmark.

The screenshot shows the same 'Source Of Funding Form' interface. The 'Load' button is now disabled. A green message box with a checkmark icon and the text 'Data is in correct format' is displayed below the file upload area. A red box highlights this message, and a red arrow points to it from the right.

- To edit information on a Source once the file has been uploaded, click the **'Pencil'** icon. To remove a Source, click the red and white circle **'X'** icon.

The screenshot shows the 'Source of Funding Form' interface with a table of sources. The table has columns for ID, Type of Source, Name, Address, Phone, Date of Contribution, Amount of Contribution, and In-kind Contribution. A red box highlights the 'Pencil' icon in the first row, and another red box highlights the 'X' icon in the last row. A red arrow points to the 'Pencil' icon.

ID	Type of Source	Name	Address	Phone	Date of Contribution	Amount of Contribution	In-kind Contribution
1	Single	ORG: Entity A	123 Thornton Avenue Auburn, NY, 13021 US	315-255-8835	01/21/2019	\$3,200	NI
2		IND: Doe, John Jr.	456 Huxley Street Binghamton, NY, 13902 US	607-762-8100	01/09/2019	\$1,200	NI

- If any data was entered incorrectly on the Spreadsheet, error messages will display in the lobbying application in red. Edit the Spreadsheet source file, and upload the Spreadsheet again by following the prior steps. An error message will continue to display until all corrections have been made and the Spreadsheet data has been entered in the correct format. The below screenshot illustrates the following errors:

- When the **'Amount of Contribution'** was not included for a Source;

How to file: Source of Funding Information Online

- b. When a unique 'Source ID' number is not used to identify when the same Source contributes multiple times during the reporting period.

ID	TYPE	Entity Name	Last Name	First Name	Address	Phone	Ext	Date of Contribution	Amount of Contribution	Inkind of Contribution
3	S		Anderson	Maria	789 Jefferson St Ulica, NY, 15893	518-555-1212		01/14/2019		N
		• Source Contribution Amount is missing								
	S	Entity D			11 College Avenue New York, NY, 12603	845-451-4950		03/01/2019	6300	N
		• Source ID is invalid, source ids must be unique								
	S	Entity D			11 College Avenue New York, NY, 12603	845-451-4950		03/02/2019	500	Y
		• Source ID is invalid, source ids must be unique								

Attestation*

1. Check the 'Attestation' check-box
2. Select the green 'Submit' button.
 - You will then be able to:
 - View the Filing
 - Return to the Dashboard
 - Return to your CSA

NEW YORK STATE JOINT COMMISSION ON PUBLIC ETHICS - Lobbying Application

Dashboard My Tickets Messages Print Search

Beneficial Client Info
Beneficial Client Example
540 Broadway
Albany, NY 12207
p. +1 518-555-5555
e. tempestblue@americanlobbyists.com

Source Of Funding
Biennial Period: 2019 - 2020
Reporting Period: 2019 January - June
Ref #: 12336
(Saved, NOT SUBMITTED)

Submit Discard Save Sent: 4:06PM

Source Of Funding Form Reporting Period: 2019 Full View

Attestation

I declare under penalty of perjury that the information contained in this filing is true, correct, and complete to the best of my knowledge and belief.

Filer Name
BLUE-LAMORE

CAO Name
BLUE-LAMORE

Continue

3. Select the red 'Discard' button to erase your form. **NOTE:** This action cannot be undone; your information will be lost.
4. Click the green 'Save' button to save your form and submit at a later date.