

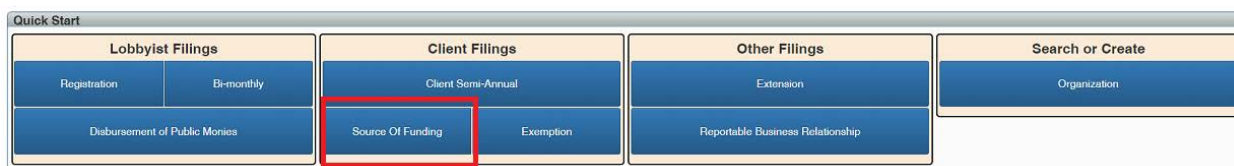
# How to File Source of Funding

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:

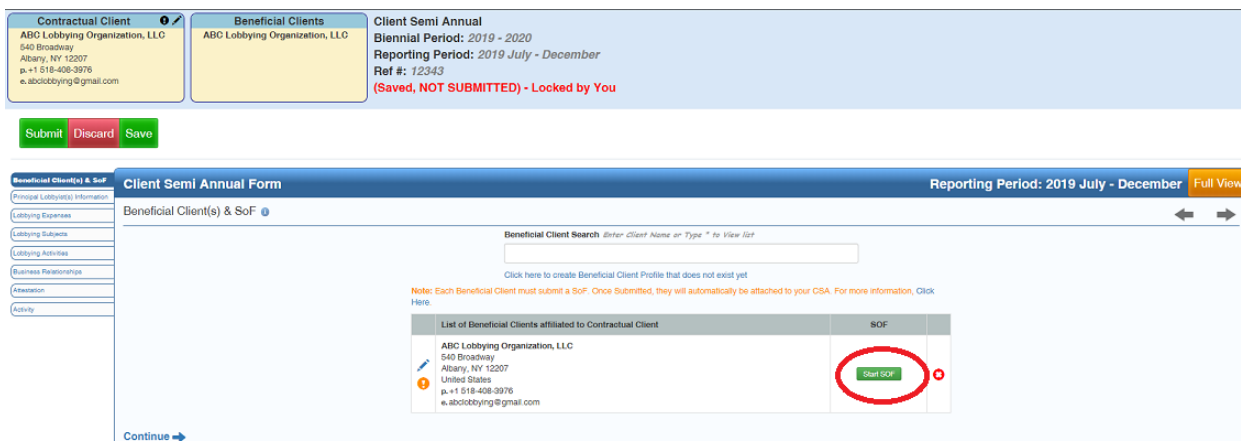
1. Select the **'Source Of Funding'** button from the **'Client Filings'** quick start menu;
  - (a) This method requires you manually select the Contractual Client and Beneficial Client names.



The screenshot shows a 'Quick Start' menu with four main categories: Lobbyist Filings, Client Filings, Other Filings, and Search or Create. Under 'Client Filings', there are buttons for 'Client Semi-Annual', 'Source Of Funding' (highlighted with a red box), and 'Exemption'. Other categories include 'Registration', 'Bi-monthly', 'Disbursement of Public Monies', 'Extension', and 'Reportable Business Relationship'.

**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.**



The screenshot shows the 'Client Semi Annual Form' with the 'Beneficial Client(s) & SoF' tab selected. It displays a list of beneficial clients affiliated to the contractual client, ABC Lobbying Organization, LLC. The 'Start SoF' button is highlighted with a red circle. The form also includes a search bar for beneficial clients and a note stating that each beneficial client must submit a SoF.

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.

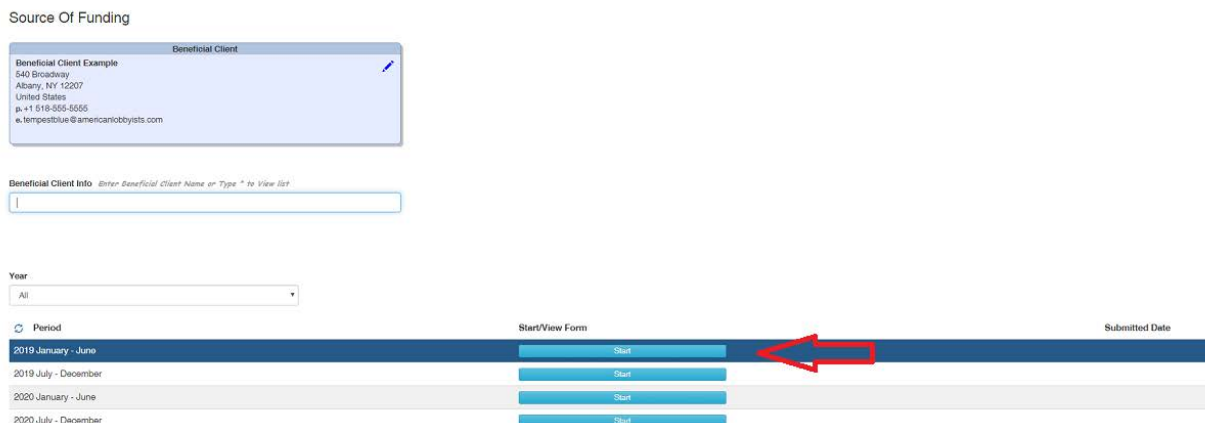
If none of the names have a green check-mark, please contact [JCOPE Help Desk](#).

### 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'.



Year	Period	Start/View Form	Submitted Date
2019	January - June	Start	
	July - December	Start	
2020	January - June	Start	
	July - December	Start	

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, a 'Beneficial Client Info' sidebar shows details for 'Beneficial Client Example'. The main form area is titled 'Source Of Funding Form' and includes a 'Contractual Client(s)' tab. A search box labeled 'Contractual Client Search' is present, with a red arrow pointing to it. Below the search box, a dropdown list shows several client names, with 'ABC Lobbying Organization, LLC' highlighted by a red box. A 'Continue' button is located at the bottom left of the search area. The top right of the form indicates the 'Reporting Period: 2019' and a 'Full View' button.

### 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

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: tempesblue@americanlobbyists.com

Source Of Funding  
Biennial Period: 2019 - 2020  
Reporting Period: 2019 January - June  
Ref #: 12336  
(Saved)

Submit Discard Save Sent: 3:27PM

Source Of Funding Form Reporting Period: 2019 Full View

Source of Funding

SOF Summary Statement

Please select one applicable statement

Choose Type

Required to Report

Not Required to Report - Beneficial Client is a 501(c)(3) or gov't 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

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

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

- 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

- 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.**

Source Of Funding Form Reporting Period: 2019 Full View

Source of Funding

SOF Summary Statement

Please select one applicable statement

Required to Report

Source of Funding List

Download Template File

Download Example File

Choose a File Load

Add Source of Funding

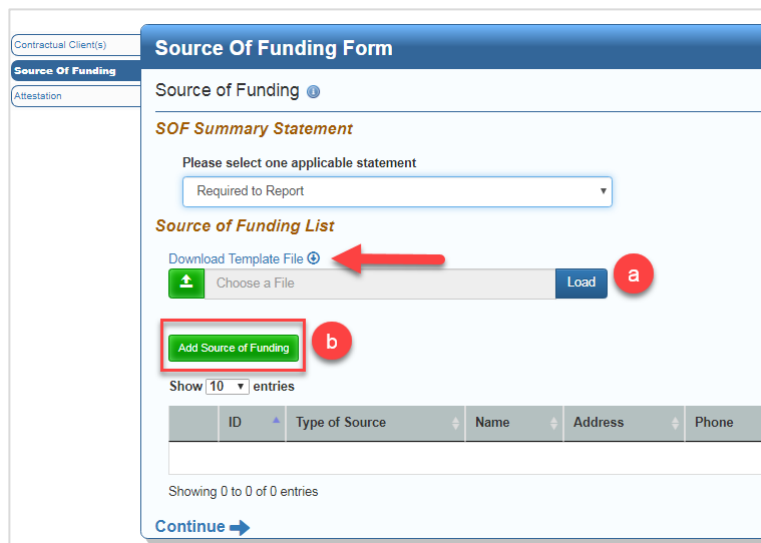
Show: 10 entries

ID	Type of Source	Name	Address	Phone	Date of Contribution	Amount of Contribution	In-kind Contribution
No data available in table							

Showing 0 to 0 of 0 entries

Continue

## How to file: Source of Funding Information Online



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):**

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

## How to file: Source of Funding Information Online

**Add Source Type and Information**

Source ID: 1    Type of Source: Single

☒ Individual    ☐ Organization

\*Last Name:    \*First Name:    Middle Name:    Suffix:

\*Street1:    Street2 (Apartment, suite, floor, etc.):

\*City:    State: New York    \*Zip:    Country: United States

\*Phone:    Ext:    \*Date of Contribution (MM/DD/YYYY):    \*Amount of Contribution:

In-Kind Contribution: No

Create Close

### 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:

- using the green calendar icon; **or**
- 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". It contains the following fields and controls:

- Source ID: Text box with "1A"
- Type of Source: Dropdown menu with "Single" selected
- Individual (selected) / Organization: Radio buttons
- Last Name: Text box with "Smith"
- First Name: Text box with "John"
- Middle Name: Text box (empty)
- Suffix: Text box (empty)
- Street1: Text box with "5 ABC Way"
- Street2 (Apartment, suite, floor, etc.): Text box (empty)
- City: Text box with "Albany"
- State: Dropdown menu with "New York" selected
- Zip: Text box with "12234-5433"
- Country: Dropdown menu with "United States" selected
- Phone: Text box with "5185555555"
- Ext: Text box (empty)
- Date of Contribution (MM/DD/YYYY): Text box with "05/07/2019" and a green calendar icon
- \*Amount of Contribution: Text box with "500"
- In-Kind Contribution: Dropdown menu with "No" selected
- Buttons: "Create" (green) and "Close" (red) at the bottom right. The "Create" button is circled in red.

## 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

**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? Yes

**Controlling Person or Donor(s) to the Source**

**Add** **Info**

**Create Close**

### 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**

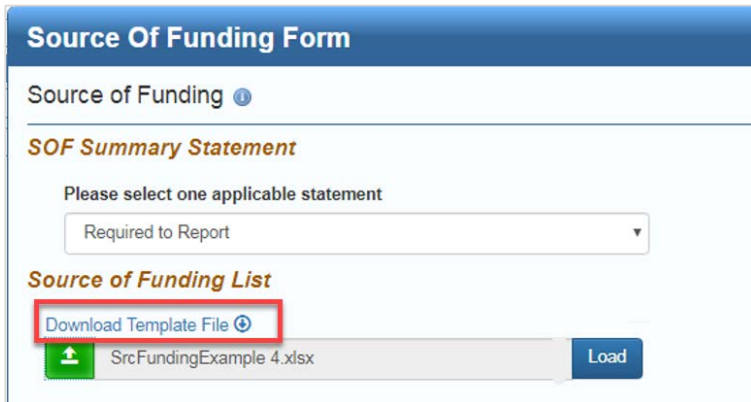
### Using the pre-formatted Excel Spreadsheet

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.

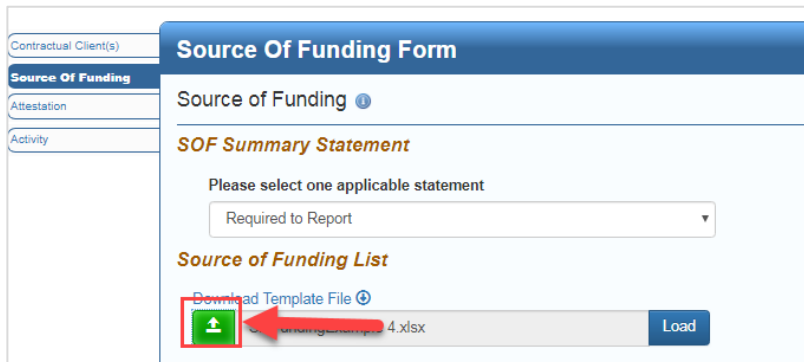


The screenshot shows the 'Source Of Funding Form' interface. At the top, there's a blue header with the title. Below it, a section titled 'Source of Funding' contains a dropdown menu labeled 'Please select one applicable statement' with 'Required to Report' selected. Underneath, the 'Source of Funding List' section features a 'Download Template File' link with a download icon, which is highlighted by a red rectangular box. Below this link is a file upload area showing 'SrcFundingExample 4.xlsx' and a 'Load' button.

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.

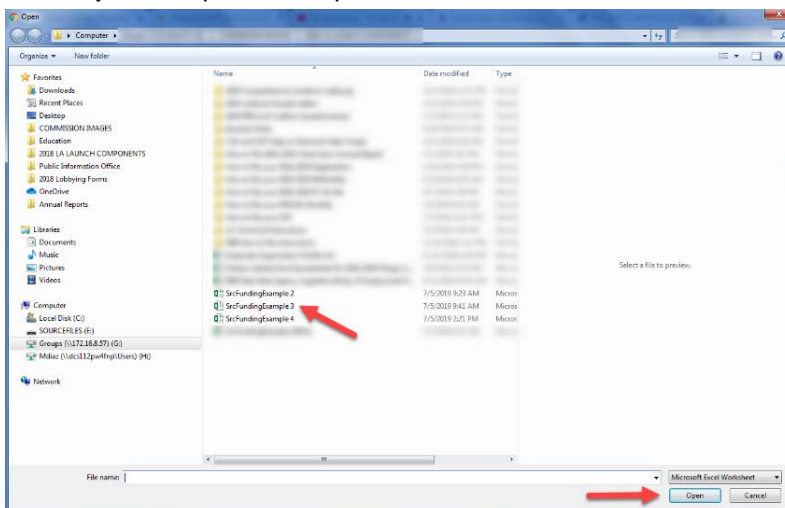


**Do not** use the 2018 and prior years pre-formatted spreadsheet. **Do not** attempt to upload a PDF or other hard copy version of the Spreadsheet.



This screenshot shows the same 'Source Of Funding Form' interface as before. In this view, the green upload icon (a green square with a white upward arrow) is highlighted with a red box. A red arrow points from this icon towards the 'Load' button, indicating the next step in the process.

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. On the left is a sidebar with tabs: 'Contractual Client(s)', 'Source Of Funding' (selected), 'Attestation', and 'Activity'. The main content area has a header 'Source Of Funding' and a section 'SOF Summary Statement' with a dropdown menu set to 'Required to Report'. Below this is the 'Source of Funding List' section, which includes a 'Download Template File' link and a file upload area showing 'SrcFundingExample 4.xlsx'. A blue 'Load' button is highlighted with a red box, 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.

This screenshot shows the same 'Source Of Funding Form' as before, but now the message 'Data is in correct format' with a green checkmark is displayed below the file upload area. This message is highlighted with a red box, and a red arrow points to it from the right. The 'Load' button is still visible.

- 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.

This screenshot shows the 'Source of Funding Form' with a table of sources. The table has columns: ID, Type of Source, Name, Address, Phone, Date of Contribution, Amount of Contribution, and In-kind Contribution. There are two rows of data. The first row (ID 1) is for 'ORIG: Entity A' and the second row (ID 2) is for 'IND: Doe, John Jr.'. In the first row, the 'Pencil' icon for editing is highlighted with a red box and a red arrow. In the second row, the 'X' icon for deleting is highlighted with a red box and a red arrow. The 'Data is in correct format' message is still visible above the table.

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

- 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.

Source of Funding List

Download Template File [Download Template File](#) [Load](#)

SrcFundingExample.xlsx

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 Ulrica, 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. temperablue@emericanlobbyists.com

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

Submit Discard Save Saved: 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.