

Filer Information

Original

NAME OF LOBBYIST Rick Castro	DATE QUALIFIED: Jan 01, 2021
BUSINESS ADDRESS (street address redacted)	PHONE NUMBER (617) 292-1000
CITY, STATE, ZIP CODE: Boston, MA 02110	FAX NUMBER ()
E-MAIL Rick_Castro@putnam.com	

I. Lobbyist Affiliation

- I am a LOBBYIST SOLE PROPRIETOR - an independent contract (owner) lobbyist with one or more municipal lobbying clients.
- I am an owner, partner, shareholder, officer, or employee of a LOBBYING FIRM.
- I am employed by a LOBBYIST EMPLOYER.

The Putnam Advisory Company, LLC

Name of Lobbyist Employer

II. CITY AGENCIES AUTHORIZED TO LOBBY

- I am authorized to lobby any City Agency
- I am authorized to lobby **only** the agencies identified below:
Fire and Police Pensions (LAFPP); LA City Employees' Retirement System (LACERS); Water & Power (DWP)

III. VERIFICATION

I understand that this registration is not complete until the registration fee has been fully processed.

I declare under penalty of perjury that the information submitted in this filing is true and complete.

15-Jan-21

Rick Castro (e-signed)

Executed On: (Date)

By: (Signature of Lobbyist)

Lobbyist Statement of Understanding

I HAVE READ AND UNDERSTAND THE REQUIREMENTS OF THE PROVISIONS OF LOS ANGELES MUNICIPAL CODE (LAMC) SECTIONS 48.01 ET SEQ., AS AMENDED, LAMC SECTION.49.5.10, AND LOS ANGELES CITY CHARTER SECTION 470(c)11:

LAMC Section 48.04.

No lobbyist or lobbying firm subject to the requirements of the Article shall:

- A. Do any act with the purpose and intent of placing any City official under personal obligation to the lobbyist, the lobbying firm, or to the lobbyist's or firm's employer or client.
- B. Fraudulently deceive or attempt to deceive any City official with regard to any material fact pertinent to any pending or proposed municipal legislation.
- C. Cause or influence the introduction of any municipal legislation for the purpose of thereafter being employed or retained to secure its passage or defeat.
- D. Cause any communication to be sent to any City official in the name of any non-existent person or in the name of any existing person without the consent of such person.
- E. Make or arrange for any payment to a City official, or act as an agent or intermediary in making such payments by any other person, if the arrangement or the payment would violate any provision of the City's Governmental Ethics Ordinance (L.A.M.C. Section 49.5.1 et seq.).

LAMC Section 49.5.10(A)4.

No lobbyist or lobbying firm shall make, and no City official shall accept, any gift from a lobbyist or a lobbying firm which is a restricted source as to that official.

LAMC Section 49.5.10(A)5.

No lobbyist or lobbying firm shall act as an agent or intermediary in the making of any gift by another person to any City official.

Los Angeles Charter Section 470(c)11.

No elective City officer or candidate for elective City office, nor any of his or her City controlled committees, shall solicit or accept any contribution to the officer or candidate, or to any of his or her City controlled committees, from any lobbyist or lobbying firm registered to lobby the City office for which the candidate is seeking election, or the current City office, commission, department, bureau or agency of the candidate or officer. No person required by ordinance to be registered as a lobbyist or lobbying firm shall make any contribution to an elective City officer or candidate for elective City office, or to any of his or her City controlled committees, if the lobbyist or lobbying firm is required by ordinance to be registered to lobby the City office for which the candidate is seeking election, or the current City office, commission, department, bureau or agency of the candidate or officer.