



BID or PROPOSAL #.
CONTRACT #.

**STATE CONTRACTOR OR PROSPECTIVE STATE CONTRACTOR AFFIDAVIT**

I am over 18 years of age and believe in and understand the obligation of an oath.

My name is \_\_\_\_\_ and I am the chief executive officer of  
Print Name

\_\_\_\_\_  
Print Name of State Contractor or Prospective State Contractor

which is a [ ] business entity, [ ] nonprofit organization or [ ] person, *(select one)*

**(SELECT A or B)**

**A.** which [ ] currently holds a state contract as defined in Conn. Gen. Stat. §9-333n(g)(1)(C), with the following agency: \_\_\_\_\_  
**or** Print Name of Agency  
[ ] currently holds a prequalification certificate issued by the Commission of the Department of Administrative Services

**OR**

**B.** which is  
[ ] seeking a state contract by submitting a bid in response to a bid solicitation to the following state agency or quasi public agency: \_\_\_\_\_  
**or** Print Name of Agency  
[ ] seeking a state contract by submitting a proposal in response to a request for proposal to the following state agency or quasi public agency: \_\_\_\_\_  
**or** Print Name of Agency  
[ ] applying to the Commissioner of Administrative Services for a prequalification certificate

I hereby certify that: (1) I have informed all of the individuals within my company, entity or organization listed above who are defined as a "principal of a state contractor or prospective state contractor" in Conn. Gen. Stat. §9-333n(g)(1)(F), of the contribution and solicitation ban described in Conn. Gen. Stat. §9-333n(g)(2)(A) and/or (B), as applicable; and have listed each such principal in the attached page(s) and submitted to the State Elections Enforcement Commission, (2) no individual who is a principal of a state contractor or prospective state contractor, as described in Conn. Gen. Stat. §9-333n(g)(1)(F), of my company, entity or organization will make or solicit a contribution in violation of Conn. Gen. Stat. §9-333n(g)(2)(A) and/or (B), as applicable, and (D), and (3) if any such contribution is made or solicited, my company, entity or organization listed above, shall be disqualified from being awarded the contract described in the bid solicitation or request for proposals or being awarded any other state contract for one year after the election for which such contribution is made or solicited or if a contract has been awarded, the contracting agency may void the existing contract with such contractor and shall not extend or amend the contract for one year after the election for which the contribution is made or solicited.

SWORN AS TRUE AND COMPLETE SUBJECT TO THE PENALTIES OF FALSE STATEMENT.

\_\_\_\_\_  
Signature Date

Sworn and subscribed before me on this \_\_\_\_ day of \_\_\_\_\_, 200\_\_

\_\_\_\_\_  
Commissioner of the Superior Court  
Notary Public

**Notice: Making a false statement on this form may subject you to criminal penalties, including, but not limited to, imprisonment, a fine, or both.**

**SEEC FORM SC 3** (Rev. 11/06)  
**CAMPAIGN CONTRIBUTION RESTRICTION AFFIDAVIT**  
STATE OF CONNECTICUT State Elections Enforcement Commission  
**FOR CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS**

**Statutory Definitions**

Conn. Gen. Stat. §9-333n(g)(1)(C) provides:

(C) "State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a fiscal year, for (i) the rendition of personal services, (ii) the furnishing of any material, supplies or equipment, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee.

Conn. Gen. Stat. §9-333n(g)(1)(F) provides:

(F) "Principal of a state contractor or prospective state contractor" means (i) an individual who is a member of the board of directors of, or has an ownership interest in, a state contractor or prospective state contractor, which is a business entity, except for an individual who (I) owns less than five per cent of the shares of any such state contractor or prospective state contractor that is a publicly traded corporation, or (II) is a member of the board of directors of a nonprofit organization qualified under Section 501(c)(3) of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive or senior vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, (iv) an employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, (v) the spouse or a dependent child of an individual described in this subparagraph, or (vi) a political committee established by or on behalf of an individual described in this subparagraph.

Conn. Gen. Stat. §9-333n(g)(2) provides, in relevant part:

. . . (A) No principal of a state contractor or prospective state contractor, with regard to a state contract, bid solicitation or request for proposals with or from a state agency in the executive branch or a quasi-public agency or a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

(B) No principal of a state contractor or prospective state contractor, with regard to a state contract, bid solicitation or request for proposals with or from the General Assembly or a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of state senator or state representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee; . . .

Conn. Gen. Stat. §9-333n(g)(2)(D) provides, in relevant part:

. . . The chief executive officer of each prospective state contractor shall: (i) Inform each individual described in subparagraph (F) of subdivision (1) of this subsection with regard to said prospective state contractor concerning the provisions of subparagraph (A) or (B) of this subdivision, whichever is applicable, and this subparagraph, (ii) certify in a sworn statement that no such individual will make or solicit a contribution in violation of the provisions of subparagraph (A) or (B) of this subdivision, whichever is applicable, and this subparagraph, and (iii) acknowledge in writing that if any such contribution is made or solicited, the prospective state contractor shall be disqualified from being awarded the contract described in the bid solicitation or request for proposals or being awarded any other state contract for one year after the election for which such contribution is made or solicited.

**Instructions**

1. Complete affidavit and return to State Contracting Agency.
2. Complete List of Principals and return to the State Elections Enforcement Commission, 20 Trinity St., Campaign Finance Disclosure Unit, Third Floor, Hartford, CT 06106.

**SEEC FORM SC 3A** (Rev. 11/06)

**LIST OF PRINCIPALS**

STATE OF CONNECTICUT State Elections Enforcement Commission  
**FOR CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS**



**LIST OF PRINCIPALS**

*(This page may be reproduced if more than one is required)*

Contracting Agency	Contractor Name		Bid or Proposal # Contract Award #	Contractor Contact E-Mail Address
Designation of Principal	First Name	MI	Last Name	Political Action Committees (PACs)
Principal's Spouse/Child	First Name	MI	Last Name	
Designation of Principal	First Name	MI	Last Name	
Principal's Spouse/Child	First Name	MI	Last Name	
Designation of Principal	First Name	MI	Last Name	
Principal's Spouse/Child	First Name	MI	Last Name	

<b>Principal Key*</b>	<b>Designation</b>
Owner/Shareholder/LLC Member	O
Director	B **
President	P
Chief Executive Officer	CEO
Treasurer	T
Exec./Senior Vice President	V
Employee	E
Spouse	S
Dependent Child	C

\*See statutory definition of "Principal" and Instructions on reverse side.

\*\* Applies primarily to a business entity and not to a non-profit entity. Please review FAQs on SEEC website: <http://www.ct.gov/seec>

# SEEC FORM SC 3A (Rev. 11/06)

## LIST OF PRINCIPALS

STATE OF CONNECTICUT State Elections Enforcement Commission

### FOR CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS

#### Instructions

##### General Instructions:

1. Enter the name of the Contracting Agency, the name of the Contractor, Bid, Proposal or Contract Award Numbers, as applicable, and the e-mail address of the person responsible for completion of the list of principals.
2. Enter the name (First Name, Middle Initial, Last Name) of each “principal” other than a child or spouse and indicate from the Designation Key the relationship of that principal to your organization.
3. Immediately below the name of any principal, indicate the information for any spouse or child (if any) associated with that principal.
4. Enter the name of any Political Action Committee which is established by or on behalf of any “principal”, including the entity that is the state contractor or prospective state contractor.
5. **Note: SEEC Form SC 3A, List of Principals, must be submitted to State Elections Enforcement Commission, 20 Trinity St., Campaign Finance Disclosure Unit, Third Floor, Hartford, CT 06106.** For additional information go to the SEEC website at [www.ct.gov/seec](http://www.ct.gov/seec) and click on State Contractor Ban, and FAQ.

#### Definitions of Applicable Terms

##### Principals of a State Contractor that is a Business Entity

The following are subject to the prohibition on making and soliciting certain campaign contributions:

1. Members of the Board of Directors
2. Individuals owning 5% or more of the business
3. President, Treasurer, Executive and Senior Vice Presidents
4. Employees that have managerial or discretionary responsibilities to negotiate the state contract. See FAQ.
5. Spouses and dependent children of all of the above
6. Any political committee (PAC) registered in Connecticut to make contributions to candidates that has been established by or on behalf of any of the above individuals, or the state contractor or prospective state contractor.

A Business entity includes any corporation, partnership, cooperative, joint venture, trust, or any association of any kind that is engaged in the operation of a business or profit making activity. See Section 9-333a(7), General Statutes.

**Principals of a State Contractor that is not a Business Entity** (Note: This would include a Non Profit Organization or a sole proprietorship or professional service corporation owned by a single individual.)

The following are subject to the prohibition on making and soliciting certain campaign contributions:

1. The chief executive officer
2. Employees that have managerial or discretionary responsibilities to negotiate the state contract. See FAQ.
3. Spouses and dependent children of all of the above
4. Any political committee (PAC) registered in Connecticut to make contributions to candidates that has been established by or on behalf of any of the above individuals, or the state contractor or prospective state contractor.

Category of Principal	Designation
Owner / Shareholder/LLC Member	O
Director	B
President	P
Chief Executive Officer	CEO
Treasurer	T
Executive or Senior Vice-President	V
*Employee	E
Spouse of Principal	S
**Dependent Children of Principal	C

\*“Employees that have managerial or discretionary responsibilities” generally refers to higher level personnel who have participated substantially (or would be responsible to do so) in the negotiation of the state contract.

\*\***Dependent Child** – Under the Internal Revenue Services (IRS) Code, a qualifying child for whom a dependency exemption has been claimed by a principal on the last federal income tax form filed with the IRS.