

STATE ELECTIONS ENFORCEMENT COMMISSION

An Overview of Municipal Campaign Financing 2015



Duties and Responsibilities of Commission Staff

- Assist candidates and campaign staff
- Research and answer questions about campaign finance compliance
- Provide Campaign Finance Education Seminars
- Perform Audits
- Recommend Legislative Changes
- Administer and Maintain Electronic Campaign Reporting Information System (eCRIS)
- Investigate Complaints and Enforce Law



Purpose of Presentation

- The purpose of this presentation is to provide you with general information about the various rules and requirements relating to campaign financing for the 2015 municipal elections. This presentation, however, is not a substitute for the statutes and regulations.
- Any questions should be directed to the SEEC's Candidate Services Unit (860.256.2985).



Objectives of Today's Presentation

Topics:

- Becoming a Candidate
- Roles and Duties of the Treasurer
- Raising Funds & Making Expenditures
- Termination



Special Act 15-14

- **AN ACT ESTABLISHING A PILOT PROGRAM FOR MUNICIPAL CAMPAIGN FINANCE FILINGS**
- 20 municipalities will be chosen to participate in 2017
- Participation requires approval by municipal legislative bodies
- Candidates in participating municipalities will benefit by accessing the E-CRIS filing system



Registration & Reporting Forms



WWW.CT.GOV/SEEC

State Elections Enforcement Commission



The Candidate



State Elections Enforcement Commission



Becoming a candidate:

You are a candidate when:

- You receive a party endorsement; or
- You otherwise have become eligible to appear on the ballot at a primary or election; or
- You solicit or receive contributions, or make expenditures (including personal funds) to further your candidacy, or authorize another to do so on your behalf

Important Note: You must file SEEC Form 1, as well as either SEEC Form 1A or 1B within **10 days** of becoming a candidate.



Candidates' Responsibilities

- Register as a candidate.
- Choose a funding source.
- Register a committee, or file an exemption.
- If forming an exploratory or candidate committee, designate a treasurer and depository institution.
- Receive copies of the financial disclosure statements from committee treasurer (if funded by a candidate committee).



Failure to File Candidate Committee Registration or Exemption

- If a candidate does not register, the Town Clerk assesses a **mandatory penalty of \$100**.
- If a candidate does not respond to the Town Clerk's notice within 7 days, the Town Clerk must refer the matter to the SEEC.
- If referred to SEEC, mandatory minimum fine of \$200, and up to \$2,000.



Every
 candidate
 must
 complete
 SEEC Form 1

SEEC FORM 1
 STATE ELECTIONS ENFORCEMENT COMMISSION
 Registration by Candidate



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Revised January 2014

REGISTRATION TYPE		1. ELECTION DATE (mm dd/yyyy)		2. OFFICE OR POSITION SOUGHT		3. DISTRICT NUMBER <i>(if applicable)</i>	
<input type="checkbox"/> Initial <input type="checkbox"/> Amendment							
4. PARTY AFFILIATION							
<input type="checkbox"/> Republican <input type="checkbox"/> Democratic <input type="checkbox"/> Other <i>(Specify)</i>							
5. CANDIDATE NAME							
First Name		MI		Last Name		Suffix	
6. CANDIDATE RESIDENCE ADDRESS				7. CANDIDATE MAILING ADDRESS <i>(if different)</i>			
Street Address				Address			
City		State	Zip Code	City		State	Zip Code
8. CANDIDATE TELEPHONE <i>(Include Area Code)</i>				9. CANDIDATE EMAIL ADDRESS			
10. DESIGNATION OF CAMPAIGN FUNDING SOURCE (Check one)							
<input type="checkbox"/> A. I am forming a candidate committee and I am required to file a Candidate Committee Registration Statement. Go to Form 1A and complete pages 2 and 3 — Candidate Registration Statement.							
<input type="checkbox"/> B. I am exempt from forming a candidate committee and I am filing a Certification of Exemption from Forming a Candidate Committee. Go to Form 1B and complete page 4 — Certification of Exemption from Forming a Candidate Committee.							
Important Notice: Failure of a candidate to complete this page <i>together with</i> either Form 1A, "Registration of Candidate Committee," or Form 1B "Exemption from Forming a Candidate Committee," within 10 days of becoming a candidate will subject the candidate to a mandatory \$100 late filing fee. See Section 9-623(b), Connecticut General Statutes.							
<i>Making a false statement on this form may subject you to criminal penalties, including but not limited to, imprisonment for up to one year or a fine of up to two thousand dollars, or both.</i>							

CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION
 20 Trinity Street - Hartford, Connecticut 06106-1628
 860-256-2940

SEEC Form 1A

- Required if forming a candidate committee
- Candidate must designate treasurer
- Candidate must designate bank

SEEC FORM 1A
 STATE ELECTIONS ENFORCEMENT COMMISSION
 Candidate Committee Registration Statement
 Revised January 2014



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REGISTRATION TYPE		CANDIDATE NAME	
<input type="checkbox"/> Initial <input type="checkbox"/> Amendment			
11. COMMITTEE NAME			
12. COMMITTEE ADDRESS			13. & 14. COMMITTEE EMAIL ADDRESS & WEBSITE
Address			Email Address
City	State	Zip Code	Website
15. TREASURER NAME			
First Name	MI	Last Name	Suffix
16. TREASURER RESIDENCE ADDRESS		17. TREASURER MAILING ADDRESS (if different)	
Street Address		Address	
City	State	Zip Code	City
			State
			Zip Code
18. TREASURER TELEPHONE		19. TREASURER EMAIL ADDRESS	
<i>(Include Area Code)</i>			
20. DEPUTY TREASURER NAME			
First Name	MI	Last Name	Suffix
21. DEPUTY TREASURER RESIDENCE ADDRESS		22. DEPUTY TREASURER MAILING ADDRESS (if different)	
Street Address		Address	
City	State	Zip Code	City
			State
			Zip Code
23. DEPUTY TREASURER TELEPHONE		24. DEPUTY TREASURER EMAIL ADDRESS	
<i>(Include Area Code)</i>			
25. DEPOSITORY INSTITUTION NAME			
26. DEPOSITORY INSTITUTION ADDRESS			
Address		City	State
			Zip Code

SEEC Form 1B (exemption)

- Candidate designates town committee or political "slate" committee as sole funding source (slate of candidates);
- Candidate is funding campaign entirely from personal funds;
- Candidate does not intend to receive or spend any funds (including personal funds); or
- Candidate does not intend to receive or spend funds in excess of \$1,000 for the entire campaign.

SEEC FORM 1B
STATE ELECTIONS ENFORCEMENT COMMISSION
Certification of Exemption From Forming a Candidate Committee
Revised January 2014



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REGISTRATION TYPE	CANDIDATE NAME
<input type="checkbox"/> Initial <input type="checkbox"/> Amendment	
11. REASON FOR EXEMPTION FROM FORMING A CANDIDATE COMMITTEE	
I hereby certify that I am exempt from forming a candidate committee because: (CHECK ONE)	
<input type="checkbox"/> A. I am one of a slate of candidates whose campaigns are being funded solely by a town committee or a political committee formed for a single election or primary and expenditures made on my behalf will be reported by the committee sponsoring my candidacy. The name of this sponsoring committee is: _____	
<i>OR</i>	
<input type="checkbox"/> B. I am funding my campaign entirely from my own personal funds and will not request or receive contributions from other individuals or committees and I understand that if I make expenditures exceeding one thousand dollars (\$1,000) that I shall be responsible for filing financial disclosure statements (SEEC Form 23) according to the same schedule and in the same manner as required of treasurers of candidate committees.	
<i>OR</i>	
<input type="checkbox"/> C. I do not intend to receive or expend funds in excess of one thousand dollars (\$1,000).	
<i>OR</i>	
<input type="checkbox"/> D. I do not intend to receive or expend any funds, including personal funds, for this campaign.	
12. CERTIFICATION	
I hereby certify and state, under penalties of false statement, that this statement of exemption from forming a candidate committee, for the reason checked above, is true, accurate and complete to the best of my knowledge and belief.	
_____ CANDIDATE SIGNATURE	_____ DATE (mm-dd-yyyy)

Candidate Committee as Funding Source

- Candidate must select treasurer
- Candidates can provide unlimited personal funds to their candidate committee
- State contractor contribution ban and lobbyist contribution limits do not apply to municipal candidate committees
- Can benefit from Organization Expenditures



Town Committee as Sole Funding Source

- Town Committee is the **SOLE** funding source
- Town Committee has oversight over raising and spending funds to promote the municipal candidates' campaigns
- Town Committee treasurer must disclose all contributions and expenditures made to promote candidates' campaigns
- Town Committee treasurer must authorize *all* expenditures made or incurred
- State contractor/lobbyist campaign contribution provisions apply to Town Committees



Political Slate Committee as Sole Funding Source

- Definition: a durational (single election cycle) political committee formed by 2 or more candidates within the same municipality, who seek election in the same primary or election, and who authorize such committee as **sole** funding source
- Contribution limits to political committees apply to political "slate committees"
- Contribution limits are per calendar year



Contribution Limits

Individuals & Committees → Municipal Candidate Committees

CEO Candidates

(Mayors and First Selectmen)*

Source of contribution:

- Individual: \$1,000
- Town Committee: \$3,000
- Ongoing Political Committees:
 - *2 or more individuals PC*: \$1,500
 - *Business Entity PC*: \$1,500
 - *Labor Organization PC*: \$1,500

All other Municipal Candidates*

Source of contribution:

- Individual: \$250
- Town Committee: \$1,500
- Ongoing Political Committees:
 - *2 or more individuals PC*: \$375
 - *Business Entity PC*: \$375
 - *Labor Organization PC*: \$375

***Limits to *candidate committees* apply separately to primaries and elections**

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Contribution Limits

Individuals & Committees → Town & Political Slate Committees

Town Committees*

- Individual: \$2,000
- Town Committee: Unlimited
- Ongoing Political Committees:
 - *2 or more individuals PC*: \$1,500
 - *Business Entity PC*: \$1,500
 - *Labor Organization PC*: \$1,500

Political Slate Committees

- Individual: \$1,000
- Town Committee: \$1,500
- Ongoing Political Committees:
 - *2 or more individuals PC*: \$2,000
 - *Business Entity PC*: \$2,000
 - *Labor Organization PC*: \$2,000

*Limits to town committees and to political slate committees apply per calendar year

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Other Exemptions from Forming a Candidate Committee

- Personal funds only
 - *if you receive any funds or anything of value from any other person or source [i.e. a coordinated expenditure or in-kind contribution], you do **not** qualify for this exemption*
- No intention to receive or spend in excess of \$1,000
- No intention to receive or spend **any** funds



Responsibilities of the Treasurer



State Elections Enforcement Commission



Treasurer's Responsibilities

- Receive & Deposit Funds
- Expend Funds
- File Reports
- Appoint Solicitors
- Maintain Detailed Financial Records



Requirements to Serve as Treasurer

- Treasurers:
 - No outstanding civil penalties or forfeitures under the campaign finance statutes.
 - No convictions or guilty/nolo contendere pleas for certain criminal offenses under the campaign finance laws unless 8 years have passed from date of conviction or plea or completion of sentence (whatever is later)
 - Registered to vote in Connecticut



2015 Filing Dates



We have Filing calendars for all types of elections and committees on our website:

www.ct.gov/seec

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SEEC FORM 21

"Short Form" Campaign Finance Disclosure Statement

Who can file it?

* Candidate committees or political "slate" committees that received or expended less than \$1,000 from the creation of the committee to the last day of the reporting period.

* Town committees that received or spent less than \$1,000 from January 1st to the last day of the reporting period.

Who can't?

Town Committees for the January 10th and 7th day preceding the election filings.

SEEC FORM 21

Short Form Campaign Finance Disclosure Statement
CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION
Rev. 8/08



Do Not Mark in This Space for
Official Use Only

1. NAME OF COMMITTEE				
2. TREASURER NAME				
Title	First	MI	Last	Suffix
3. TREASURER ADDRESS				
Street Address		City	State	Zip Code
4. ELECTION/REFERENDUM DATE (mm/dd/yyyy)		5. OFFICE SOUGHT <i>(Complete only if Candidate Committee)</i>		6. DISTRICT NUMBER <i>(if applicable)</i>
7. CANDIDATE NAME <i>(Complete only if Candidate or Exploratory Committee)</i>				
Title	First	MI	Last	Suffix
8. TYPE OF REPORT <i>(Check One Box)</i>				
<input type="checkbox"/> January 10 filing	<input type="checkbox"/> 7th day preceding primary	<input type="checkbox"/> 7th day preceding referendum		<input type="checkbox"/> Amendment to Type of Report: _____
<input type="checkbox"/> April 10 filing	<input type="checkbox"/> 30 days following primary	<input type="checkbox"/> 45 days following referendum		
<input type="checkbox"/> July 10 filing	<input type="checkbox"/> 7th day preceding election	<input type="checkbox"/> Termination		
<input type="checkbox"/> October 10 filing	<input type="checkbox"/> 45 days following election not held in November			
<input type="checkbox"/> Supplemental Statement <input type="checkbox"/> Primary <input type="checkbox"/> Election				
9. PERIOD COVERED				
Beginning Date		Ending Date		
_____		_____		
		thru _____		
10. CERTIFICATION				
I hereby certify and state, under penalties of false statement, that the committee named above, did not receive contributions or other funds, or make or incur expenditures in excess of \$1,000 for the period covered by this Short Form Campaign Finance Disclosure Statement.				
TREASURER OR DEPUTY TREASURER (SIGNATURE)		PRINT NAME OF SIGNER		DATE (mm/dd/yyyy)
PLEASE NOTE: This form may not be filed by Party Committees and Political Committees formed for Ongoing Political Activities for the January 10 filing date and the 7th day preceding an election. For those filing dates, you must use SEEC Form 20, Itemized Campaign Finance Disclosure Statement.				
PENALTY FOR FALSE STATEMENT IS PUNISHABLE BY FINE NOT TO EXCEED \$1,000, OR IMPRISONMENT FOR NOT MORE THAN ONE YEAR, OR BOTH.				

SEEC FORM 20

Itemized Campaign Finance Disclosure Statement

Must Use This When:

The committee has received or spent over \$1,000.

SEEC FORM 20
Itemized Campaign Finance Disclosure Statement
CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION
Revised January 2015



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Do Not Mark in This Space For Official Use Only

COVER PAGE

1. NAME OF COMMITTEE			
2. TREASURER NAME			
First	MI	Last	Suffix
3. TREASURER ADDRESS			
Street Address	City	State	Zip Code
4. ELECTION/REFERENDUM DATE (mm/dd/yyyy)	5. OFFICE SOUGHT <i>(Complete only if Candidate Committee)</i>		6. DISTRICT NUMBER <i>(if applicable)</i>
7. CANDIDATE NAME <i>(Complete only if Candidate or Exploratory Committee)</i>			
First	MI	Last	Suffix
8. TYPE OF REPORT <i>(Check One Box)</i>			
<input type="checkbox"/> January 10 filing	<input type="checkbox"/> 7th day preceding primary	<input type="checkbox"/> 7th day preceding referendum	<input type="checkbox"/> Initial Contribution or Disbursement <i>(PACs ONLY)</i>
<input type="checkbox"/> April 10 filing	<input type="checkbox"/> 30 days following primary	<input type="checkbox"/> 45 days following referendum	<input type="checkbox"/> Amendment to Type of Report
<input type="checkbox"/> July 10 filing	<input type="checkbox"/> 7th day preceding election	<input type="checkbox"/> Deficit	
<input type="checkbox"/> October 10 filing	<input type="checkbox"/> 12th day preceding election <i>(See Central Committee Only)</i>	<input type="checkbox"/> Termination	
<input type="checkbox"/> 24 Hour Independent Expenditure <input type="checkbox"/> Primary <input type="checkbox"/> Election	<input type="checkbox"/> 45 days following election not held in November		
9. PERIOD COVERED			
Beginning Date		Ending Date	
thru			
10. CERTIFICATION			
I hereby certify and state, under penalties of false statement, that all of the information set forth on this Itemized Campaign Finance Disclosure Statement for the period covered is true, accurate and complete.			
TREASURER OR DEPUTY TREASURER (SIGNATURE)		PRINT NAME OF SIGNER	DATE (mm/dd/yyyy)
<i>A person who is found to have knowingly and willfully violated any provisions of the campaign finance statutes faces a civil penalty or imprisonment or both.</i>			

Where do you file these disclosure forms?

Candidate, Slate and
Exploratory Committees
Filings → Town Clerk



Town Committees
Filings → SEEC

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Deadline – Filing via Hand Delivery

- Must be filed with **town clerk** by **4:30 p.m.** on the day they are due
- Contact your town clerk to verify hours of operation



Deadlines – Filing by Mail or In Person

- Municipal candidate committees and durational political committees may file in person with the town clerk or submit their reports by mail
- Town Committees must file with SEEC either:
 1. In-person
 2. By mail
 3. Electronically via e-CRIS
- Faxed reports are not permitted



Mandatory Late Fee \$100

- Personal liability of treasurer.
- Cannot be paid from committee funds.
- Cannot be waived by the Town Clerk.
- If you don't pay this penalty in the time prescribed by the town clerk in a delinquency notice, she has to refer it to the SEEC.

Alfred P. Treasurer 125 Main Street Glastonbury, CT 06032	DATE <u>10/14/15</u>	1025
PAY TO THE ORDER OF <u>City of New Haven</u>	\$ <u>100.00</u>	
<u>One hundred</u>	DOLLARS	
MEMO <u>Personal Fine</u>	<u>Al Treasurer</u>	
⑆0000000000⑆ ⑆0000000000⑆		⑆025

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Civil Penalty Assessed if Referred to the SEEC

- No discretion to go below \$200 . . . and can range up to \$2,000

Alfred P. Treasurer 125 Main Street Glastonbury, CT 06032	1025
DATE <u>10/14/15</u>	
PAY TO THE ORDER OF <u>State of Connecticut</u>	\$ <u>200.00</u>
<u>Two hundred</u>	DOLLARS
MEMO <u>Personal Fine</u>	<u>Al Treasurer</u>
⑆000000000⑆ ⑆000000000⑆ 1025	

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Treasurers May Appoint Solicitors

- Solicitors are individuals who can receive contributions on behalf of the committee but **may not spend** funds on behalf of the committee



Solicitors' Responsibilities

A solicitor must turn over receipts
to the treasurer:

- In the same form received
- Within 7 days of receipt
- With a list of contributors
(name & address of donor, amount, etc.)



Municipal Solicitation Ban

A Municipal employee may NOT

- Solicit a contribution from an individual under their supervision

OR

- The spouse or dependent child of that individual under their supervision

..... ALSO

- A boss of a municipal employee cannot solicit the employee or his/her family!



Fundraising



A Contribution is:

- Monetary Gift from an Individual
 - cash, check, bank instrument or credit card
- Transfer of assets from one committee to another
 - ABC Committee → \$ or anything of value → Mary Smith for Mayor Committee
- Loan made by individual or entity other than a bank
- In-kind contributions (anything of value) and coordinated expenditures
- Written contract, promise, or agreement to make contribution
- AND....



Report Monetary Contributions In Part I (Sections A or B)

A. Total Contributions from Small Contributors-Received this Period ONLY <i>(See instructions for definition of Small Contributor)</i>	\$625
SUBTOTAL SECTION A	

Section A – Small Contributor Contributions

- An individual whose total contributions = \$50 or less.
- Treasurers may add all up small contributor contributions and report the total here.
- Treasurers should keep records of each small contributor in case they contribute more than \$50 later.

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Itemize All Contributions from Individuals that exceed \$50 in Section B

B. Itemized Contributions from Individuals			
Last Name Smith		First Jack	
Residential Street Address 25 Oak Street		City New Haven	State Zip Code CT 06516
Principal Occupation Plumber		Name of Employer Jones Plumbing	
Is contributor a lobbyist, spouse, or dependent child of a lobbyist? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If contribution is in excess of \$400 to a candidate for a chief executive officer of a municipality, does contributor or business he/she is associated with have a contract with said municipality valued at more than \$5,000? <input type="checkbox"/> Yes <input type="checkbox"/> No		Amount of Contribution \$200
Is this contribution associated with a fundraising event listed in Section L1? If yes, list Event # _____ <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Is contributor a principal of a state contractor or prospective state contractor? If yes, indicate which branch or branches of government the contract is with: <input type="checkbox"/> Executive <input type="checkbox"/> Legislative <input type="checkbox"/> Yes <input type="checkbox"/> No		
Method of Contribution: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Personal Check <input type="checkbox"/> Credit/Debit Card <input type="checkbox"/> Payroll Deduction <input type="checkbox"/> Money Order	Date Received 7/28/2015	Aggregate Contributions \$200	



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In-Kind Contributions

- Goods, services or **anything of value** given to the committee for free or at a discount price
- Examples: Stamps, computers, office supplies, **food**...etc.



“Coordinated Expenditures” are Contributions

- An expenditure that is coordinated with or made with the consent or knowledge of a candidate or committee is a contribution
- Coordinated expenditures are subject to source and dollar limits



Section M - "In-Kind Contributions"

M. In-Kind Contributions				
Name Cathy White				
Street Address 10 Cedar Street			City Danbury	State CT
Type of contributor: <input type="checkbox"/> Committee <input checked="" type="checkbox"/> Individual / Sole Proprietorship <input type="checkbox"/> Other		Date Received 9/1/15	Aggregate Contributions \$425	Description of In-Kind Contribution Stamps and Envelopes
Is contributor a lobbyist, spouse, or dependent child of a lobbyist? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		If contribution is in excess of \$400 to a candidate for a chief executive officer of a municipality, does contributor or business he/she is associated with have a contract with said municipality valued at more than \$5,000? <input type="checkbox"/> Yes <input type="checkbox"/> No		Fair Market Value of this Contribution \$100
Is this contribution associated with a fundraising event listed in Section L1? <i>If yes, list Event #</i> <u>090913A</u>		Is contributor a principal of a state contractor or prospective state contractor? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, indicate which branch or branches of government the contract is with:</i> <input type="checkbox"/> Executive <input type="checkbox"/> Legislative		

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Prohibited Sources of Contributions

Candidate Committees
MAY NOT ACCEPT contributions from

- Another candidate committee
- A business entity or labor union
- National committee of a political party
- Any unregistered committee



What is a Business Entity?

- Corporations
- Partnerships
- Certain Trade or Professional Associations
- Other for profit entities



Who is an Individual?

- Human Being
- Sole Proprietor
- Solely Owned Professional Corporation



Contribution Limit for Minors

Individuals less than 18 years old

- Cannot contribute in excess of \$30
- Aggregated amount



Anonymous Contributions Prohibited

- **Cash** given without the contributor present and no info about the contributor known to treasurer
- **No anonymous contribution can be accepted**

Forward to SEEC, who will forward it to State Treasurer



Form of Contribution Matters!

Contributed \$100 or less:

- Cash
- Money Order
- Personal Check
- Credit Card

Contributed more than \$100:

- Personal Check or Credit Card ONLY

✗ NO CASH OR MONEY ORDER!



Contribution Certification Forms

<p>Sample Certification - Form M Form M - For use by: <i>Individuals Making Contributions to Candidate Committees or Exploratory Committees for Municipal Offices</i></p>	<p>Do NOT use this form if candidate is participating in the Citizens' Election Program <i>Candidates Participating in the Citizens' Election Program must use: General Assembly Candidates - Sample Certification - Form A Statewide Candidates - Sample Certification - Form B</i></p>
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Individual Contributor Certification Form

[Insert name of Candidate Committee or Exploratory Committee for Municipal Office]

NAME OF INDIVIDUAL CONTRIBUTOR		CONTRIBUTION AMOUNT	
Cash <input type="checkbox"/> Money Order <input type="checkbox"/> Check # _____ Debit Card/Credit Card <input type="checkbox"/>			
Is contribution being made from the account of a sole proprietorship? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, and name is different than individual contributor, list NAME OF SOLE PROPRIETORSHIP: _____			
RESIDENTIAL ADDRESS*		PHONE NUMBER	
CITY	STATE	ZIP CODE	Are you 18 or older? Yes <input type="checkbox"/> No <input type="checkbox"/> If you are not 18 or older please list your age: _____
EMPLOYER		PRINCIPAL OCCUPATION	
Please answer each of the following: Yes <input type="checkbox"/> No <input type="checkbox"/> Are you a lobbyist** Yes <input type="checkbox"/> No <input type="checkbox"/> Are you the spouse or dependent child of a lobbyist?			
If this is a contribution to a candidate committee or exploratory committee for Chief Executive Officer of a municipality (i.e. mayor, first selectman) answer the following: Yes <input type="checkbox"/> No <input type="checkbox"/> Do you or a business with which you are associated*** have a contract with the town, city or borough in which the candidate is running that is valued at more than five thousand dollars?			
CERTIFICATION			
I hereby certify and state that all of the information disclosed by me and set forth above on this contributor card is true and accurate to the best of my knowledge and belief. I certify that I am either a United States citizen or a foreign national with permanent resident status in the United States. I certify that this contribution is being made from my personal funds, is not being reimbursed in any manner, is not being made as a loan, and is not an otherwise prohibited contribution.			
SIGNATURE OF CONTRIBUTOR _____		DATE (mm/dd/yyyy) _____	

* You may enter an alternate address, in lieu of your residential address, only if you are selected into the Address Confidentiality Program pursuant to General Statutes § 24-210(a) or if you are one of the individuals with protected address status described in General Statutes § 2-217.

** The law requires disclosure for each financial contribution made by a lobbyist, the spouse of a lobbyist or any dependent child of a lobbyist who resides in the lobbyist's household. General Statutes § 8-408(a) (2) (B). The term lobbyist includes anyone required by law to register as a lobbyist with the Office of State Ethics. Therefore they are expected or agree to expend \$2,000 or more in a calendar year on lobbying (20) or receive \$2,000 or more in a calendar year for lobbying. General Statutes § 2-1-61. Individual lobbyists may contribute to candidate committees and exploratory committees for municipal office up to the limits for those offices.

*** A "business with which you are associated" refers to any business in which the contributor is a director, officer, owner, limited or general partner, or stockholder of 1% or more of the total stock of the business.

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Requirements for Online Contributions

*** Required Fields**

Name of Individual Contributor* Is contribution being made from the account of a sole proprietorship?* Yes No

If yes, and name is different than individual contributor, list Name of Sole Proprietorship Employer*

Residential Address* Principal Occupation*

City* State* Zip* Phone Number* Email*

[Click here for a Definition of Terms](#)

Are you a lobbyist?* Yes No

Are you the spouse or dependent child of a lobbyist?* Yes No

If this is a contribution to a candidate committee or exploratory committee for Chief Executive Officer of a municipality (i.e. mayor, first selectman) answer the following:
Do you or a business with which you are associated have a contract with the town, city or borough in which the candidate is running that is valued at more than five thousand dollars? Yes No

Name of Card Holder as it appears on card* Card Type* Card Expiration*

Credit Card Number* Billing Address if different from above Contribution Amount*

Certification

- * I hereby certify that all of the information disclosed by me and set forth above on this contributor card is true and accurate to the best of my knowledge and belief.
- * I certify that I am either a United States citizen or a foreign national with permanent resident status in the United States.
- * I certify that I have provided my residential address and that I am 18 years of age or older.
- * I certify that this contribution is made on my personal credit card for which I have a legal obligation to pay and intend to pay from my own personal funds, is not being reimbursed in any manner, is not being made as a loan, is not an otherwise prohibited contribution, and that payment on this card is not made from the funds of a corporation, labor organization or any other entity.

Municipal Contract Disclosure

When is it required?

When individual contributes a total of \$400 or more to a candidate for CEO of Municipality.

What do they have to disclose?

Whether they or the business with which they are associated has a contract with that municipality that is valued at over \$5,000.



Municipal Contract Disclosure



What if they don't make the disclosure?



You CANNOT DEPOSIT the contribution!!!

- **REQUEST DISCLOSURE** via certified mail within 3 days of receiving the contribution.
- IF STILL NO DISCLOSURE = RETURN CONTRIBUTION.



Lobbyist and State Contractor Contributions

Town Committees

- Lobbyists can contribute up to \$100
- State Contractor contributions are prohibited!
- Lobbyists and State Contractors cannot buy ads in town committee ad books!

Municipal Candidate & Political Slate Committees

- Lobbyists and State Contractors can contribute up to normal limits for individuals
- Contributions in excess of \$50.00 – treasurer must disclose lobbyist status on the SEEC Form 20

State Elections Enforcement Commission



What do you do with an impermissible contribution?

Do **NOT** deposit

“OOPS, I made the deposit!”

- Refund impermissible contribution immediately
- Use a committee check
- Report refund as expenditure

Return entire contribution

Keep record of contribution and refund



What isn't considered a "Contribution"?

- Individual volunteer services
- Payment of \$ by candidate to candidate committee
- Bank loans and interest
- Certain donations that occur at "fundraising affairs"
- Certain purchases of ads in "ad book" programs

Value of these donations are **NOT COUNTED** towards contribution limits

BUT...
generally **STILL REPORTED**, just not as a contribution



What is a Fundraising Affair?

- Political gathering sponsored by committee for which it charges an attendance fee, and /or solicits or receives contributions
 - i.e. Cocktail Party, Dinner Event
- Tag Sale or Auction
- Joint Fundraiser



Fundraising Affair Exceptions

Remember: These are NOT contributions!

Purchase of advertising space in a program book/sign

- "Ad book" must:
 - be for a bona fide fundraising affair
 - be distributed at the fundraising affair
- Business entity can purchase a total of \$250 worth of ad space
- Everyone else can purchase a total of \$50 worth of ad space

Exception: State contractor/lobbyist prohibition applies to town committee and political committee ad book purchases



MORE Fundraising Affair Exceptions

Remember: These are NOT contributions!

- Tag Sale or Auction donations or purchases
 - Individuals can *donate or purchase* **\$100 worth** of goods
 - Business entity can *donate* **\$200 worth** of goods or services that it's in the business of selling



MORE Fundraising Affair Exceptions

Remember: These are NOT contributions!

- "House Party" = Expenses by host for invitations, food, or beverages at host's personal residence
 - \$800 per candidate committee per election (\$400 per event)
 - \$800 per town committee or political slate committee per calendar year (\$400 per event)
- Town Committee sales of food and beverage at town or county fair or similar mass gathering
 - If the value of items purchased from the Town Committee is \$50 or less = NOT CONTRIBUTION



Other Exceptions

- Donation of food or beverage **at a non-fundraising** event by individuals
 - \$50 per individual per event



Other Exceptions

Discounted sale of food or beverage by a vendor:

To Candidate Committees

- Discount that is not less than the cost that the vendor pays to obtain the supplies, and
- The discount may not exceed a value of **\$400**

To Town Committees and Political Slate Committees

- Discount that is not less than the cost that the vendor pays to obtain the supplies, and
- The discount may not exceed a value of **\$600**



How to Disclose Fundraising Activity – Section L1

Remember, these are not considered contributions.
Any contributions related to this event are reported in Sections A & B.

NAME OF COMMITTEE (Provide Complete Name as Registered with Filing Repository)		TYPE OF REPORT	
L1. Event Information			
Event # Date of Event 9/15/15	Letter A	Description Meet and Greet	Was this a fundraising event? <input type="checkbox"/> Yes <input type="checkbox"/> No
Location: Street Address 125 Main Street	City Norwich	State CT	Zip Code 06636
Subpart 1: (All Committees)			
Was this event hosted at a personal residence?		<input checked="" type="checkbox"/> Yes (If yes, go to Section L5 In-Kind Donations not Considered Contributions Associated with a House Party and complete required information for any purchases made by host(s) for food, beverage and invitations.) <input type="checkbox"/> No	
Did this fundraiser include goods or services donated by a business entity of up to \$200 or items donated by an individual of up to \$100?		<input checked="" type="checkbox"/> Yes (If yes, go to Section L4 In-Kind Donations not Considered Contributions and complete required information.) <input type="checkbox"/> No	
Was this fundraiser a tag sale, auction, or other sale of donated items with purchases from an individual of up to \$100?		<input type="checkbox"/> Yes (If yes, enter Total Receipts here.) <input checked="" type="checkbox"/> No → \$	
Subpart 2: (Party Committees, Municipal Candidates and Political Committees other than Exploratory Committees)			
Were there purchases of advertising space in a program book or on a sign associated with this fundraiser?		<input type="checkbox"/> Yes (If yes, go to Section L3 Purchases of Advertising Space in a Program Book or on a Sign and complete required information.) <input checked="" type="checkbox"/> No	
Subpart 3: (Town Committees ONLY)			
Did your committee sell food or beverage at a fair or similar mass gathering held within the state with this fundraiser?		<input checked="" type="checkbox"/> Yes (If yes, enter Total Receipts here.) <input type="checkbox"/> No → \$	

How to Disclose Ad Book Purchases – Section L3

NAME OF COMMITTEE <i>(Provide Complete Name as Registered with Filing Repository)</i>			TYPE OF REPORT	
L3. Purchases of Advertising in a Program Book or on a Sign				
Name of Purchaser Cigna Healthcare Corp.			Purchase Made By: <input checked="" type="checkbox"/> Business Entity <input type="checkbox"/> Other <input type="checkbox"/> Individual/Sole Proprietorship	
Street Address 900 Cottage Drive		City Bloomfield	State CT	Zip Code 06132
Date Received 9/10/2015	Event # 91015A	Aggregate Purchases for All Events \$200	Amount of Program Ad Purchase \$100	Amount of Sign Purchase

State Elections Enforcement Commission



How to Disclose Other Donations Not Considered Contributions – Section L4

L5. In-Kind Donations Not Considered Contributions Associated with a House Party

Name of Host Wayne Ferrari		Is this event supporting more than one candidate or committee? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes, complete Itemization in Addendum L5</i>	
Street Address 464 Portland-Cobalt Road	City Portland	State CT	Zip Code 06480
Description of Donation Fruit platters		Fair Market Value of Donation	
Event # 83115A	Aggregate Value of this Event—all hosts \$385	Aggregate Value of all Events—this host/candidate \$200	\$100

Expenditures



Permissible Expenditures

Lawful purposes of town committee:

- Promoting the party
- Promoting candidates of the party
- Continuing operating costs of the party

Lawful purposes of candidate committee:

- Promoting candidate who established the committee

Lawful purposes of political "slate" committee:

- Promoting candidates on the "slate" being funded by the committee



Permissible Expenditures

Must be campaign related

- Meetings
- Advertising
- Polling
- Travel of candidate and committee workers
- Renting of office space or necessary equipment
- Purchase or lease of computers and peripherals
- Office supplies



Expenses Paid by Committee – Section P

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IV. EXPENDITURES (Sections P—T)

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NAME OF COMMITTEE		TYPE OF REPORT	
P. Expenses Paid by Committee			
Name of Payee The Register Citizen		Date of Payment 8/15/2015	Method of Payment: <input checked="" type="checkbox"/> Check # 1025 <input type="checkbox"/> Debit Card
Street Address 211 Main Street		City Torrington	State CT Zip Code 06725
Purpose of Expenditure (by code) A-News	Description Newspaper Advertisement	Event #	Amount \$ 500
Expenditure # (if applicable)	Type of Expenditure (if applicable) Itemization in Addendum P Required	<input type="checkbox"/> Coordinated with reimbursement sought ion: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C <input type="radio"/> D <input type="radio"/> E	



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Prohibited Expenditures

- Personal use by Candidate
- Contributions to other Candidate Committees
- Compensation to Candidate
- Compensation to Candidate's Immediate Family



Use of Public Funds Prohibited

Within **3 months** of the election:

For printed materials promotional of the candidate.

Within **12 months** of the election:

For a television, radio, movie theater, billboard, bus poster,
newspaper or magazine advertisement,

(a) featuring the name, face or voice of a candidate

or

(b) promoting the nomination or election of a candidate.



Compensating Campaign Staff, Workers, Consultants

- A written agreement, signed **before** any work or services for which payment in excess of \$100 is performed, is required
- The agreement must: 1) set forth the nature and length of time of the fee arrangement, and 2) describe the work or services to be performed
- The treasurer must keep the agreement and other compensation documentation as internal records



Reporting Secondary Payees

- Secondary payees are people or entities paid by a campaign's consultant or advisor for goods or services benefiting the campaign
- **Secondary payees must be disclosed**
- At the time you hire a consultant or advisor, ask whether or not they will be subcontracting with any other employees or outsourcing work to third-party vendors, and advise them that they must provide you with information so you may disclose secondary payees



What is an “Organization Expenditure”?

- An *exemption* from the definition of contribution and expenditure
- Only can be made by party committees to benefit a municipal candidate or candidate committee
- Cannot be made to benefit a municipal candidate funded by a political slate committee
- Must be reported



Types of Organization Expenditures

- Party Candidate Listing
- Certain Documents in Printed or Electronic Format (i.e. party platform, voter list, electronic page for merchant account services to collect online contributions)
- Campaign Event
- Advisor(s)



Sharing of Headquarters



Basic Attribution Requirements

*** Required for all printed/written/internet communications, as well as audio, radio, TV, and video (including internet) ads/communications, and automated telephone calls, which promote a candidate's candidacy or promote a committee, or solicit funds

Type of Committee	Candidate Committee	Political "Slate Committee"	Town Committee
"Paid for by"	Name of Committee, Name of Treasurer	Name of Committee, Name of Treasurer	Name of Committee
"Approved by"	Name of Candidate	Name(s) of candidate(s)	Name(s) of candidate(s) [PA 13-180: exception for any print, TV, or social media promotion of a slate of candidates paid for by a party committee]

Attribution Not Required



Signs 32
Square Feet
and Under

Political
Paraphernalia



Reimbursements

To Committee Workers

**Mary Smith For
Alderman**



To Candidate



Reimbursement must be completed within
reasonable timeframe



Itemization of Reimbursements to Committee Workers – Sections P & T

NAME OF COMMITTEE			TYPE OF REPORT		
T. Itemization of Reimbursements to Committee Workers and Consultants					
Last Name of Worker/Consultant		First	MI	Date of Payment	Method of Payment:
Jones		Tracy		9/9/2015	<input checked="" type="checkbox"/> Check #1025 <input type="checkbox"/> Debit Card
Secondary Payee					
Highland Park Market					
Street Address			City	State	Zip Code
1 Main Street			Manchester	CT	06040
Purpose of Expenditure (by code)	Description	Event #		Amount	
FOOD	Food for volun				
Expenditure # (if applicable)	Type of Expenditure (if applicable) <input type="checkbox"/> Coordinated without reimburse	<input type="checkbox"/> Coordinated with reimbursement sought Organization: O A O B O C O D O E		\$110.00	



1 Main Street
Manchester CT 06040

Sale 9/9/2015
 8:05 AM

Groceries \$103.40
CT Tax \$6.60
Total \$110.00

Thank you!

Reimbursements to Committee Workers – Sections P & T

NAME OF COMMITTEE		TYPE OF REPORT	
P. Expenses Paid by Committee			
Name of Payee Tracy Jones		Date of Payment 9/15/2015	Method of Payment: <input checked="" type="checkbox"/> Check # 1025 <input type="checkbox"/> Debit Card
Street Address 18 Orange Street		City New Haven	State CT Zip Code 06519
Purpose of Expenditure (by code) RCW	Description Reimbursement for food purchase	Event #	Amount
Expenditure # (if applicable)	Type of Expenditure (if applicable) Itemization in Addendum P Required <input type="checkbox"/> Coordinated with reimbursement sought <input type="checkbox"/> Coordinated without reimbursement sought <input type="checkbox"/> Independent <input type="checkbox"/> Organization: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E		\$110



State Elections Enforcement Commission



Candidate Expenditures

Candidates who are entirely self-financing their campaign or who choose to be funded by a candidate committee may make unlimited expenditures on their own behalf.

Expenditure Must be Reported if:

- It is greater than \$50, or
- Reimbursement sought

Expenditure Need Not be Reported if for:

- Travel, meals and telephone expenses of any amount *if* no reimbursement sought



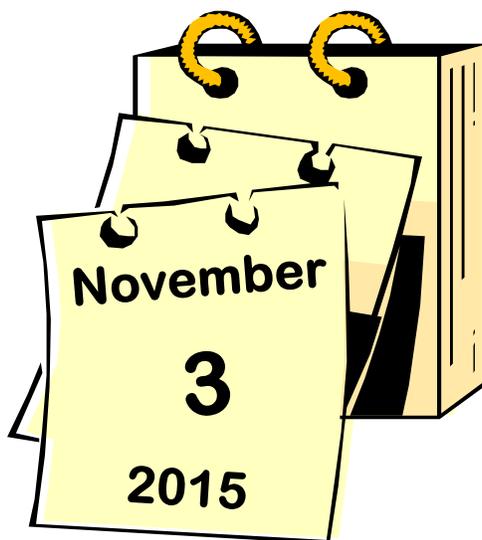
Expenses Paid by the Candidate – Sections P & Q

NAME OF COMMITTEE		TYPE OF REPORT	
Q. Campaign Expenses Paid by Candidate			
Name of Payee (<i>Name of Vendor who candidate paid directly</i>)		Date of Payment	Is reimbursement claimed?
The Home Depot		9/5/2015	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Street Address	City	State	Zip Code
75 North Frontage Road	East Haven	CT	06512
Purpose of Expenditure (by code)	Description	Event #	Amount
A-SIGN	Plywood for large signs		\$100.00

State Elections Enforcement Commission



Post-Election Filings



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Surplus Funds



Recipients of Surplus Funds

- Citizens' Election Fund
- Return to Contributors (pro rata)
- Ongoing Political Committee
- 501(c)(3) charitable organizations
- 501(c)(19) veteran organizations
- Party Committee



Surplus Equipment

- Must be sold at fair market value
- Proceeds must be distributed to a permissible recipient
- May be donated to a **permissible recipient**



Candidate Committees of Elected Municipal Candidates

Uses of Surplus Funds for Preparing to Take Office:

- Clerical
- Secretarial
- Other Office Expenses
- Inaugural Expenses



Records Retention



State Elections Enforcement Commission



Question and Answer



SEEC Contact Information

- Address:
20 Trinity Street,
Hartford, CT 06106
- Telephone:
SEEC Candidate Services:
860-256-2985
- E-mail:
public.finance@ct.gov
- Fax:
860-256-2981
- Website:
www.ct.gov/seec

