CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

INSTRUCTIONS FOR

SEEC FORM 40

ITEMIZED CAMPAIGN FINANCE DISCLOSURE STATEMENT

Revised May 2016

For use by
Independent Expenditure Political Committees

SEEC MAILING ADDRESS:

STATE ELECTIONS ENFORCEMENT COMMISSION
20 TRINITY STREET
HARTFORD, CONNECTICUT 06106-1628
ATTN: CAMPAIGN FINANCE DISCLOSURE UNIT—3RD FLOOR

SEEC TELEPHONE NUMBER:

MAIN NUMBER: 860-256-2940

TOLL FREE WITHIN CT: 866-SEEC-INFO

SEEC WEBSITE ADDRESS: www.ct.gov/seec

GENERAL INSTRUCTIONS

- Type or print clearly all information in black or blue pen. **Please do not use pencil.**
- SEEC staff is available to answer legal compliance questions and advise on how to complete this form (860-256-2940).
- If additional pages are needed to complete all information required in each section of the form, please reproduce the "Additional Page" for the appropriate section (found in back of SEEC Form 40), and attach the page(s) to the section.
- This form is only for use by political committees that registered using the SEEC Form 8 as making independent expenditures only. *Political Committees registered with the SEEC Form 3:* **Use SEEC Form 20**.

WHERE TO FILE THIS FORM

File with the State Elections Enforcement Commission ONLY:

20 Trinity Street, Hartford CT 06106, Attn. Campaign Finance Disclosure Unit—3rd Floor

Statements filed by political committees formed to make only independent expenditures concerning candidates for Governor, Lieutenant Governor, Secretary of the State, State Treasurer, Comptroller, Attorney General, Judge of Probate, State Senator and State Representative or referenda questions proposing a constitutional question, a constitutional amendment or revision to the constitution shall be filed with the State Elections Enforcement Commission's Campaign Finance Disclosure Unit.

File with the Town Clerk ONLY:

Statements filed by political committees formed to make only independent expenditures concerning candidates in a municipal election or primary, or candidates for the position of town committee member, and referenda questions to be voted upon by the electors of a single municipality shall be filed ONLY with the town clerk of the municipality in which the election, primary, or referendum is to be held. In the case of a referendum question appearing on the ballot of two or more municipalities but not the entire state, such as a regional school district referendum, the proper filing repository is the town clerk of each of the municipalities involved.

WHEN TO FILE THIS FORM

Statements filed with the **State Elections Enforcement Commission** must be filed by hand delivery or delivered by the United States Postal Service, a courier service or a parcel service and **received by 5:00 p.m.** of the required filing day or must be electronically filed through eCRIS not later than **11:59 p.m.** on the required filing day. Where a committee makes or incurs an independent expenditure which **exceeds $1,000 in the aggregate for one or more candidates for Governor, Lieutenant Governor, Secretary of the State, State Comptroller, Attorney General, State Senator or State Representative after the applicable convention, caucus or town meeting is held to endorse candidates**, the committee is required to file **within 24 hours and must do so electronically through eCRIS.** 24 Hour reports submitted on paper – whether by mail, hand, fax, or email – will be deemed **insufficient**. The Commission strongly encourages all independent expenditure political committees that file with the Commission to file all reports through eCRIS.

Statements filed with the **town clerk** must be filed **by 4:30 p.m. or postmarked before midnight** of the required filing day.

If the due date falls on a Saturday, Sunday, or legal holiday, it is due on the next business day. *Please refer to pages 2– 4 of the instructions under* "Type of Report" *for more specific instructions on when filings are due.* This does NOT apply to 24 hour reports—which must be filed electronically with the required time frame.

LATE FILING PENALTY

A mandatory late filing penalty of $100 is charged for statements filed late **for any reason**. The fee is the personal liability of the treasurer and cannot be paid from committee funds. In addition, if a late statement is not filed within 21 days after notification of a missed filing date or within 7 days following a town clerk's notice, the treasurer is liable for a minimum penalty of $200 and may be liable for a fine of not more than $2,000 or imprisonment for not more than one year or both.

Independent Expenditures for Candidates for General Assembly or Statewide Office:
If the committee fails to report an independent expenditure which promotes a candidate for General Assembly or statewide office that was made or obligated to be made more than 90 days before the day of a primary or election, the State Elections Enforcement Commission may impose a civil penalty of up to $10,000. *See* General Statutes § 9-601d (i). If the committee fails to report an independent expenditure that was made or obligated to be made 90 days or less before the day of a primary or election, the State Elections Enforcement Commission may impose a civil penalty of up to $20,000. *See* General Statutes § 9-601d (i). Furthermore, if any such failure is knowing and willful, the Commission may impose a fine of up to $50,000 and may refer the matter to the Chief State's Attorney. *See* General Statutes § 9-601d (i).

LATE FILING PENALTY *continued*

Independent Expenditures for Municipal Candidates, Judge of Probate Candidates or Referenda:
If the committee fails to report an independent expenditure which promotes a municipal candidate, Judge of Probate candidate or a position on a referendum, the State Elections Enforcement Commission may impose a civil penalty of up to $2,000. *See* General Statutes § 9-7b. Furthermore, if any such failure is knowing and willful, the person responsible for the failure shall also be fined up to $5,000 or imprisoned for not more than five years, or both. *See* General Statutes § 9-623 (a).

RECORD KEEPING

The treasurer ***must*** keep internal records to substantiate each entry on the statement. Records must be maintained for no less than four years. *See* General Statutes § 9-607 (f) for record keeping requirements. The treasurer should also maintain copies of all statements filed and must provide a copy of each to the committee chairperson.

COMPLETING THE COVER PAGE

1. **Name of Committee**: Provide full name of committee as registered with the appropriate filing repository (State Elections Enforcement Commission or Town Clerk).

2. **Election/Referendum Date**: Independent expenditure political committees organized for a single primary, election, or referendum must provide the date of the primary, election or referendum for which they were organized. *Ongoing independent expenditure political committees should not complete this section*.

3. **Treasurer Name**: Provide the full name of the treasurer; first name, middle initial, last name and suffix, if any. This should be the same person who is the appointed treasurer and properly registered with the appropriate filing repository.

4. **Treasurer Street Address**: Provide the full and complete residential address of the treasurer.

5. **Type of Report**: Check the appropriate box to indicate what type of report is being filed. *Filing Deadlines for standard reports can be found on the Commission's website* **www.ct.gov/seec**. Whether your committee must file according to the standard filing calendar for political committees depends on who the independent expenditure is for and when it is being made, as more fully outlined below.

Independent Expenditures for Candidates for General Assembly or Statewide Office:

Prior to the Nominating Convention – Periodic Reporting

Prior to the nominating convention, any independent expenditure political committee that makes or obligates to make independent expenditures for candidate(s) for the office of Governor, Lieutenant Governor, State Treasurer, Secretary of State, State Comptroller, Attorney General, State Senator or State Representative must file this form on the next regular filing date for political committees (*more fully discussed below*). For example, an independent expenditure to promote a statewide candidate made on March 20th would be reported in a SEEC Form 40 filed according to the statutory deadline for the April 10th quarterly statement due for political committees.

After the Nominating Convention – 24 Hour Reporting Period

After the nominating convention, during the primary campaign or general election campaign, any independent expenditure political committee that makes or obligates to make independent expenditures in excess of $1,000 in the aggregate for candidate(s) for the office of Governor, Lieutenant Governor, State Treasurer, Secretary of State, State Comptroller, Attorney General, State Senator or State Representative must file the SEEC Form 40 no later than 24 hours after making or obligating to make the independent expenditures. For example, if a committee makes or obligates to make an independent expenditure exceeding $1,000 for a statewide candidate on July 13th, they should file the SEEC Form 40 electronically with the Commission no later than 11:59 p.m. on July 14th. If the independent expenditure does not exceed $1,000 in the aggregate, the committee would file on the next regular filing date (*more fully discussed below*).

For statements needing to be filed within 24 hours, the period covered must include all financial activity of the committee beginning the first day not included on the committee's last filed Itemized Campaign Finance Disclosure Statement and be complete as of 11:59 p.m. of the day the independent expenditure was made or incurred. Check the box for ***24 Hour Independent Expenditure*** as well as the circle indicating if the expenditure is made in association with a primary or election (for special election, select "election").

The statement must be transmitted prior to 11:59 p.m. on the required filing date via eCRIS. Even if the required filing day falls on a Saturday, Sunday or legal holiday, the 24 hour deadline must be followed.

COMPLETING THE COVER PAGE *continued*

After the Nominating Convention – 24 Hour Reporting Period – continued

Note that the $1,000 aggregate amount resets at the outset of each campaign period. Specifically, the $1,000 threshold will begin running from the start of the election cycle through the convention, reset at the date of the convention through the primary campaign period (if applicable), and then reset again at the start of the general election campaign period. For example, if a committee makes an independent expenditure in the amount of $900 for a candidate in a primary and the primary is held August 10, the limit resets at that time. Thus, if the committee then makes another $900 independent expenditure for the same candidate on August 15, it still has not reached the threshold requiring it to file within 24 hours. If a committee makes or obligates to make an independent expenditure for a candidate who is not in a primary, the $1,000 threshold will only reset at the date of the convention.

Note also that during the 24 Hour Reporting Period the $1,000 reporting threshold resets after each SEEC Form 40 that is filed. This means that if a committee files a SEEC Form 40 during the 24 Hour Reporting Period, it does not have to file a subsequent SEEC Form 40 until it has made additional independent expenditures exceeding $1,000 in the aggregate on their own (or has a regular filing due). For example, if a committee files a SEEC Form 40 on July 14th and then makes or obligates to make independent expenditures totaling $500 on July 15th, no additional obligation to file is triggered. If, on July 16th, it exceeds $1,000 in independent expenditures made or obligated to be made since the first SEEC Form 40 was filed, it must electronically file a SEEC Form 40 with the Commission no later than 11:59 p.m. on July 17th.

Independent Expenditures for Municipal and Judge of Probate Candidates or for Referenda:

A committee that makes or obligates to make independent expenditures to promote the success or defeat of a municipal or Judge of Probate candidate or a referendum question must file this form on the next regular filing date for political committees (*as more fully discussed below*). For example, an independent expenditure that is made to promote the success or defeat of a municipal candidate on April 2nd would be reported in a SEEC Form 40 filed according to the statutory deadline for the July 10th quarterly statement due for political committees.

If the independent expenditure is for a municipal candidate or a local referendum, then statements are considered timely filed if they are either postmarked by the United States Postal Service before midnight on or before the required filing deadline date or delivered by hand to the town clerk by 4:30 p.m. on or before the required filing deadline date. If the independent expenditure is for a Judge of Probate candidate or a statewide referendum, then statements are considered timely filed if they are received by the Commission's offices by 5:00 p.m. on or before the filing deadline date if delivered by the United States Postal Service, courier service, parcel service or hand delivery. If the filing deadline falls on a Saturday, Sunday or legal holiday, the filing is due on the next business day. ***Please Note***: The SEEC's dedicated email address and fax number are NOT available for reporting independent expenditures for municipal or Judge of Probate candidates or referenda. Such reports may not be electronically filed.

Regular Filing Dates

Where a committee need only file according to the standard filing calendar, they can review the filing deadlines on the Commission's website, **www.ct.gov/seec**

Additional information on non-standard reports is described below:

45 days following referendum: This report is only applicable to political committees formed solely for a referendum not held in November; in the case of political committees formed for referenda taking place at a regular November election, the January 10th filing shall serve as the 45 days following the referendum report.

Termination Report: For political committees formed for a single primary, election or referendum, the distribution of surplus may be made at any time after the date of a primary, election or referendum; however it is **required** to be made no later than 90 days after a primary or 90 days after an election or referendum not held in November, or by March 31 of the year following an election or referendum held in November. The termination filing is required to be filed no later than 7 days after the distribution.

For a political committee organized for ongoing political activity, a termination filing may be made whenever the committee has no funds remaining in its account, no debts and the committee wants to conclude all campaign activities.

COMPLETING THE COVER PAGE *continued*

Regular Filing Dates — *continued*

Deficit Report: For political committees formed for a single primary, election or referendum, the treasurer must file a statement 90 days after an election, primary, or referendum not held in November, or on February 7th of the year following an election or referendum held in November if the committee had a deficit. The treasurer is required to file an additional *deficit* report on the 7th day of the month immediately following an increase or decrease in the deficit that is greater than $500 from the last filed campaign finance disclosure statement. The treasurer is required to report all activity beginning the first day not included in the last filed campaign finance disclosure statement and ending with the last day of the month preceding the day of the filing.

Initial Contribution or Disbursement Report: This report is only applicable to newly registered political committees and it must be itemized and complete as of the first day of a political committee's deposits into the committee's single checking account. The reporting period spans a single day and shall be complete as to **all** of the political committee's transactions on that date (i.e. receipts, disbursement, expenditures, etc.). If the initial contribution or disbursement precedes the filing of the registration statement, the treasurer must file a campaign finance disclosure statement itemizing all of the first day's transactions along with the registration statement. If the contribution or disbursement is made after the filing of the registration statement, the treasurer must file a campaign finance disclosure statement within 48 hours of the first day's transaction(s).

Amendment: This report refers to an edit of all or part of a previous statement for the period noted on line 9. **When filing Amendments, please list the report being amended and include the Cover Page, Summary Page Totals and any pages that have been amended**.

6. **Period Covered**: Enter the beginning and ending dates which this statement covers. The Beginning Date must cover the financial activity of the committee beginning the first day *not included* on the last filed campaign finance disclosure statement. The Ending Date must include all financial activity through midnight of the end date. For an **original** filing, these dates may not overlap dates covered in a previously filed campaign finance disclosure statement. For an **amendment**, these dates should be the same as the dates specified in the original filed campaign finance disclosure statement being amended.

If you have previously completed the **SEEC Form 21** (Short Form), and now must file this **SEEC Form 40** because the committee has exceeded $1,000 in receipts or expenditures, the period covered for ongoing political committees must include all of the reportable transactions beginning January 1 or from the date of their inception if formed after January 1. For committees established for a single primary, election or referendum, the period covered must include all of the reportable transactions since the committee's inception. *Filing Deadlines for standard reports can be found on the Commission's website* **www.ct.gov/seec**

7. **Certification**: This form must be signed by the appointed and properly registered treasurer or deputy treasurer. In addition, print the name of the treasurer or deputy treasurer and the date.

COMPLETING THE SUMMARY PAGE TOTALS

Please Note: At the top of the Summary Page Totals and every page that follows, report the **Name of Committee** and the **Type of Report** in the appropriate boxes.

Name of Committee: Provide the committee's name for reference purposes in order that the filing repository can reconnect these pages with the SEEC Form 40 should the two become separated.

Type of Report: Enter what type of report is being filed as marked on the Cover Page on line 5, such as "24 Hour."

In Column B, the term **aggregate** refers to the **total** amount received or expended, as the case may be, for the category of receipt or expenditure:

- **From January 1 through the close of the reporting period**: If the committee filing this statement is an Ongoing Political Committee. **EXAMPLE**: Line 8, Column B would reflect the total amount of individual contributions received since January 1 of the current year.
- **From the inception of the committee through the close of the reporting period**: If the committee filing this statement is a Durational Political Committee. ***Please Note***: A durational political committee is one formed for a single campaign (election, primary, referendum). **EXAMPLE**: Line 8, Column B would reflect the total amount of individual contributions received since the committee was formed.

Line 8
In Column B, enter the monetary balance on hand on January 1 of the current year for all ongoing political committees. Durational political committees should enter zero (0) because that was the balance at the time of the committee's inception.

Line 9
In Column A, enter the cash balance on hand at the beginning of the reporting period. The beginning balance of this statement should correspond with the **ending** balance of the last **previously** filed SEEC Form 40. If this is the committee's first statement, then the balance entered will be zero (0).

Line 10
In Column A, enter the total monetary receipts of **Sections A and B** reported on the bottom of page 3. In Column B, enter the total for the calendar year, if an ongoing political committee (add all amounts entered on line 10, Column A from prior statements for the year), or the total since the committee's establishment for durational political committees (add all amounts entered on line 10, Column A from prior statements since the committee's inception).

Line 11
In Column A, enter the total loans of **Section C** reported on the bottom of page 4. In Column B, enter the total for the calendar year, if an ongoing political committee (add all amounts entered on line 11, Column A from prior statements for the year), or the total since the committee's establishment for durational political committees (add all amounts entered on line 11, Column A from prior statements since the committee's inception).

Line 12
In both Columns A and B, add the amounts for lines 9 — 11 and enter total on line 12.

Line 13
For Column A, add the amount reported on line 12 to the amount entered on line 9, and enter total.
For Column B, add the amount reported on line 12 to the amount entered on line 8, and enter total.

COMPLETING THE SUMMARY PAGE TOTALS *continued*

Line 14
In Column A, enter the total paid committee expenditures for the period in **Section G** on bottom of page 7. In Column B, enter the total for the calendar year, if an ongoing political committee (add all amounts entered on line 14, Column A from prior statements for the year), or the total since the committee's establishment for durational political committees (add all amounts entered on line 14, Column A from prior statements since the committee's inception).

Line 15
In both Columns A and B, subtract amount on line 14 from the amount on line 13 and enter the total.

Line 16
In Column A, enter the total of **Section D** reported on bottom of page 5. In Column B, enter the total for the calendar year, if an ongoing political committee (add all amounts entered on line 16, Column A from prior statements for the year), or the total since the committee's establishment for durational political committees (add all amounts entered on line 16, Column A from prior statements since the committee's inception).

Line 17
In Column A, enter the total of **Section E** reported on bottom of page 5. In Column B, enter the total for the calendar year, if an ongoing political committee (add all amounts entered on line 17, Column A from prior statements for the year), or the total since the committee's establishment for durational political committees (add all amounts entered on line 17, Column A from prior statements since the committee's inception).

Line 18
In Column A, enter the total unpaid beginning loan balance which is currently outstanding.

Line 18a
In Column A, enter the total of **Section C** reported on page 4. In Column B, enter the total for the calendar year, if an ongoing political committee (add all amounts entered on line 18a, Column A from prior statements for the year), or the total since the committee's establishment for durational political committees (add all amounts entered on line 18a, Column A from prior statements since the committee's inception).

Line 18b
In Column A, enter any interest charges or penalties assessed on the loan, which increases the total amount owed to the lender, since the last statement. In Column B, enter the total for the calendar year, if an ongoing political (add all amounts entered on line 18b, Column A from prior statements for the year), or the total since the committee's establishment for durational political committees (add all amounts entered on line 18b, Column A from prior statements since the committee's inception).

Line 18c
In Column A, enter any payments made this period on the outstanding committee loan balance (which will be reported in **Section G**, "Expenses Paid by Committee," with the code **LOAN**). In Column B, enter the total for the calendar year, if an ongoing political committee (add all amounts entered on line 18c, Column A from prior statements for the year), or the total since the committee's establishment for durational political committees (add all amounts entered on line 18c, Column A from prior statements since the committee's inception).

Line 18d
For both Columns A and B, add lines 18, 18a, 18b and then subtract line 18c from that amount.

Line 19
In Column A, enter the total of **Section H** reported on bottom of page 8. In Column B, enter the total for the calendar year, if an ongoing political committee (add all amounts entered on line 19, Column A from prior statements for the year), or the total since the committee's establishment for durational political committees (add all amounts entered on line 19, Column A from prior statements since the committee's inception).

COMPLETING THE SUMMARY PAGE TOTALS *continued*

Line 20
In Column A, enter the total of **Section I** reported on page 9 for this period.

Line 20a
In Column A, enter the total of all outstanding expenses incurred from prior reporting periods which are still unpaid as of this reporting period plus any amounts reported this period. This amount is also reported on the last line in **Section I** on page 9.

PART I. RECEIPTS

Part I requires the treasurer to disclose all receipts in Sections A through E, dependent upon the source, amount and nature of the receipt. Treasurers must deposit contributions within 20 days of receipt.

A. Total Contributions from Small Individual Contributors

In Section A, enter the total amount received from *small individual contributors* for the period covered by this statement. A *small individual contributor* is an **individual** who has contributed **$50 or less** to date. A treasurer is **permitted** to itemize each contribution, irrespective of amount, and report all of the individual contributors in Section B, "Itemized Receipts." If you have itemized a contribution in Section B, **do not** disclose this contribution in Section A. Internal documentation of the names and addresses of small individual contributors reported in Section A must be kept by the treasurer in order to determine when an individual has exceeded the $50 threshold. All such internal records are subject to audit by the Commission. Any contributions that have exceeded the $50 threshold must be itemized in Section B.

> **EXAMPLE**: John Doe contributed $20 in a previous period and that amount was included in the total reported in Section A of the previous filing. In the current reporting period, John Doe has contributed an additional $40; therefore his total contributions in the aggregate are $60. John Doe is no longer considered a small contributor and the contribution must be reported in Section B along with all of the other required information for that section. His contribution for the period would be reported as $40 and his aggregate contributions to date reported as $60.

Subtotal Section A: Enter the total amount from small individual contributors received for the period.

B. Itemized Monetary Receipts

In Section B, report all **monetary** receipts.

Name, **Street Address**, **City**, **State**, and **Zip Code**: Enter the name and address for each source of receipt—whether it be an individual, committee, business entity, organization, bank or other person. P.O. Boxes may not be used. If the person is an individual, the individual's residential or work address is acceptable.

Principal Occupation and **Name of Employer** (*contributions from individuals only*): Record the individual's principal occupation and name of employer if the contributor has given in **excess of $100** *aggregate* contributions to date. For a political committee authorized to contribute to statewide or General Assembly candidates, contributors must disclose name of employer if the contributor has given in **excess of $50** *aggregate* contributions to date.

Source Type: Check the appropriate box for the source of the funds, either ***Individual / Sole Proprietorship***, ***Committee***, ***Bank***, ***Affiliated Business Entity***, ***Affiliated Organization*** or ***Other***. "**Sole proprietorship**" includes sole proprietorships and solely owned professional corporations. "**Affiliated Business Entity**" is to be used by political committees established by a business entity when receiving funds from the affiliated business (i.e., the business that established it). "**Affiliated Organization**" is to be used by political committees established by an organization when receiving funds from the affiliated organization (i.e., the organization that established it). "**Other**" includes firms, partnerships, organizations, associations, syndicates, company trusts, corporations, limited liability companies or any other legal entity of any kind.

B. Itemized Monetary Receipts *continued*

Type of Receipt: Indicate the purpose for which the funds were received, described more fully below:

- ***Contributions*** is generally for monetary receipts from **individuals** that are in excess of $50 in the aggregate to date (*an **individual** who has contributed $50 or less to date may be reported in Section A, "Total Contributions from Small Individual Contributors"*), or from other **committees**, or from any other **persons** such as firms, partnerships, organizations, associations, syndicates, company trusts, corporations, limited liability companies or any other legal entity of any kind.

- ***Reimbursement for Shared Expense*** is to be used when the source has given funds to the committee as a **reimbursement** for an expense they shared. The description field must be completed where the type of receipt is a reimbursement.

- ***Bank Interest*** is for when the committee has **earned interest** on its bank account during the reporting period. The Source Type will be "Bank" in this instance.

- ***Surplus Distribution*** is to be used when a **terminating committee** has chosen to distribute its surplus to your committee. Note that the distribution of funds from an ongoing political committee that is terminating would be reported as a contribution whereas the distribution of funds from a terminating durational political committee would appropriately be considered surplus distribution. For more information on which type of committees may distribute surplus to the committee, please see the Commission's website **www.ct.gov/seec**. The Source Type will be "Committee" in this instance.

- ***Contribution from Affiliated Treasury*** is only for (1) a political committee **established by a business entity** which has received a transfer of funds from the affiliated business entity; and (2) a political committee **established by a labor union or dues receiving professional association** which has received a transfer of funds from the affiliated labor union or dues receiving professional association. The Source Type will be "Affiliated Business Entity" or "Affiliated Organization," as appropriate.

- ***Miscellaneous*** includes all other monetary receipts, such as rebates, credits, and refunds. The description field must be completed where the type of receipt is miscellaneous.

Is this receipt associated with an event reported in Section F?: Check the appropriate ***Yes*** or ***No*** box. If ***Yes***, record the "Event #" as reported in Section F.

Method of Receipt: Indicate the manner in which the funds were received: either ***Cash***, ***Check***, ***Credit / Debit Card***, ***Payroll Deduction***, ***Money Order*** or ***Electronic Funds Transfer (EFT)***. EFT's are direct debit payments, sometimes called electronic checks, for which a business debits the bank account for payment for goods or services.

Aggregate Receipts: Add the total of all of the aggregate receipts from this source and record the amount. Aggregate is the total for the calendar year for an ongoing political committee *or* the total since the committee's establishment for a durational political committee. When determining the amount of aggregate receipts from an individual, the value of any "In-Kind Contributions" entered in Section D must also be included in the total as well as small contributions previously reported in Section A.

Is contributor a lobbyist, **spouse**, **or dependent child of a lobbyist?** (*contributions from individuals or other persons*): Answer the question by checking the appropriate ***Yes*** or ***No*** box. ***Please Note***: Certain committees are limited in the amount and timing of the lobbyist contributions they may receive. *Information regarding these limitations is available on the Commission's website* **www.ct.gov/seec**

B. Itemized Monetary Receipts *continued*

Is the contributor a state contractor, prospective state contractor or principal thereof? (*applicable only to political committees authorized to spend on statewide or General Assembly candidates*): Check the appropriate ***Yes*** or ***No*** box. If ***Yes***, indicate which branch or branches of government the contract is with. ***Please Note***: Committees authorized to spend on statewide or General Assembly candidates are prohibited from receiving contributions from state contractors, prospective state contractors or principals thereof. *Information regarding these prohibitions is available on the Commission's website* **www.ct.gov/seec**

Amount Received: Record the amount of the funds received by the committee.

Description: Provide a brief description of the transaction. *This field is required to be completed for Reimbursements for Shared Expenses and Miscellaneous Receipts.*

Date Received: Record the date that the funds were **received by the committee**. This date may differ from the date written on the check or the date of deposit.

SUBTOTAL Section B – This Page: Add together each receipt reported on page 3 in Section B and record the total.

TOTAL of additional Section B Pages: Total and record the amount of all additional Section B pages (if applicable).

TOTAL OF ALL RECEIPTS: Add together all of the amounts reported in Section A and all Section B pages of this filing. Record the amount on this line and on **Line 13**, **Column A** of the Summary Page Totals.

C. Loans Received this Period

In Section C, separately report each loan received during this period. Proper documentation and internal recordkeeping is critical when receiving loans from any source. All loans should be documented in a manner that expresses the terms of the loan (i.e. loan term, interest, payment amounts, etc.).

Name of Lender, **Street Address**, **City**, **State**, and **Zip Code**: Enter the name and address of the lender of the loan.

Source of Loan: Check the appropriate box for the source of the loan: ***Bank***, ***Individual***, ***Committee*** or ***Other***.

Date of Receipt: Record the date that the loan was received by the committee. This date may differ from the date written on the check or the date of deposit.

Is there a Cosigner or Guarantor of this loan?: Check the appropriate ***Yes*** or ***No*** box.

Name of Cosigner/Guarantor, **Street Address**, **City**, **State**, and **Zip Code**: If applicable, enter the name and the address of the Cosigner/Guarantor.

Amount Received: Record the amount of the loan.

TOTAL SECTION C: Add together each individual loan reported in Section C of this filing and record the total on this line and on **Line 11 and Line 18a**, **Column A** of the Summary Page Totals.

D. In-Kind Contributions

In Section D, separately report each In-Kind Contribution received by the committee during the period covered by this statement. In-Kind Contributions include the provision of goods, services, or other items at no charge or at less than fair market value to the committee. Volunteer services by individuals are not considered In-Kind Contributions.

Name, **Street Address**, **City**, **State**, and **Zip Code**: Enter the contributor's name and address. P.O. Boxes may not be used. If the person is an individual, the individual's residential or work address is acceptable.

Type of Contributor: Check the appropriate box for the source of the In-Kind Contribution, either ***Individual / Sole Proprietorship***, ***Committee***, ***Other***, ***Affiliated Business Entity*** or ***Affiliated Organization***. "**Sole proprietorship**" includes sole proprietorships and solely owned professional corporations. "**Other**" includes contributions from firms, partnerships, organizations, associations, syndicates, company trusts, corporations, limited liability companies or any other legal entity of any kind. "**Affiliated Business Entity**" is to be used by political committees established by a business entity when receiving In-Kind Contributions from the affiliated business (i.e., the business that established it). "**Affiliated Organization**" is to be used by political committees established by an organization when receiving In-Kind Contributions from the affiliated organization (i.e., the organization that established it).

Date Received: Record the date that the In-Kind Contribution was received by the committee.

Aggregate Receipts: Add up the total of all receipts to date and record the amount. When determining the aggregate receipts, the total *monetary* receipts from the particular source as reported in Sections A and B must *also* be included in this total.

Is contributor a lobbyist, **spouse**, **or dependent child of a lobbyist?** Answer the question by checking the appropriate ***Yes*** or ***No*** box. ***Please Note***: Certain committees are limited in the amount and timing of the lobbyist contributions they may receive. *Information regarding these limitations is available on the Commission's website* **www.ct.gov/seec**

Is the contributor a state contractor, prospective state contractor or principal thereof? (*applicable only to political committees authorized to spend on statewide or General Assembly candidates*): Check the appropriate ***Yes*** or ***No*** box. If ***Yes***, indicate which branch or branches of government the contract is with. ***Please Note***: Committees authorized to spend on statewide or General Assembly candidates are prohibited from receiving contributions from state contractors, prospective state contractors or principals thereof. *Information regarding these prohibitions is available on the Commission's website* **www.ct.gov/seec**

Fair Market Value of this Contribution: Record the fair market value of the donated item.

Is this contribution associated with an event reported in Section F?: Check the appropriate ***Yes*** or ***No*** box. If ***Yes***, record the "Event #" as reported in Section F.

Description of In-Kind Contribution: Provide a brief description of the In-Kind Contribution.

SUBTOTAL Section D – This Page: Add together each In-Kind Contribution reported on page 5 in Section D and record the total.

TOTAL of additional Section D Pages: Total and record the amount of all additional Section D pages (if applicable).

TOTAL OF ALL IN-KIND CONTRIBUTIONS: Add together all of the amounts reported in all Section D pages of this filing. Record the amount on this line and on **Line 16**, **Column A** of the Summary Page Totals.

E. Refundable Deposit to Telephone Company

Section E refers only to a refundable deposit by an **individual** from personal funds to benefit the committee, *not deposits made by the committee*. If the committee made the deposit to the Telephone Company, it is reported in Section G as an expense of the committee and the refund of the deposit is reported in Section B "Itemized Receipts" - *select Miscellaneous for Type of Receipt and provide a description*.

If the deposit is non-refundable to the individual, it is an In-Kind Contribution and must be reported in Section D.

Last Name, **First Name**, **Middle Initial**, **Residential Street Address**, **City**, **State**, and **Zip Code**: Enter the name and address of the individual who made the deposit from personal funds.

Name of Telephone Company, **Street Address**, **City**, **State**, and **Zip Code**: Enter the name and address of the telephone company to which the refundable deposit was paid.

Date Deposit Made: Record the date that the deposit was made using the individual's personal funds.

Amount of Deposit: Record the amount of the deposit.

TOTAL SECTION E: Record the total amount for Section E of this filing on this line and on **Line 17**, **Column A** of the Summary Page Totals.

PART II. EVENT ACTIVITY

Part II requires the treasurer to disclose information concerning the types of events conducted by the committee to raise funds or to promote the committee.

F. Event Information

In Section F, assign a unique event number in the box marked "Event #" for each event by entering the date in which the event was held (mmddyy) together with a letter, in alphabetical order (A through Z), at the end of the date reported, to identify the order in which the events were held. If there is only one event held on a single day, the letter assigned will be "A."

EXAMPLE: If two events were held on the same day, September 8, 2016, the following would be reported on the form:

1st event	Event # 090816A
2nd event	Event # 090816B

The purpose of assigning this unique number is to link the committee's receipts and expenditures associated with this particular event.

Event #: Record the unique "Event Number" for the specific event using the format described above.

Description: Provide a brief description of the event.

Was this a fundraising event?: Check the appropriate ***Yes*** or ***No*** box to indicate whether or not the event was a fundraiser.

PART III. EXPENDITURES

In Part III the treasurer is required to itemize each expenditure, whether it has been paid during the period, or incurred but not yet paid.

G. Expenses Paid by Committee

In Section G, separately report each expenditure made from the committee's single checking account during the period covered in this statement. Each time a committee issues a check, uses the committee debit card, or electronically transfers funds, the transaction **must** be entered here.

If the expense is a *reimbursement* to the treasurer, a committee worker or consultant, the **original purchase** made by the committee worker or consultant must **also** be reported in Section J, "Itemization of Reimbursements and Secondary Payees."

Name of Payee, **Street Address**, **City**, **State**, and **Zip Code**: Enter the payee's name and address.

Date of Payment: Record the date that the payment was made by the committee.

Method of Payment: Check the box to indicate the method of payment, either ***Check*** (with accompanying check number), ***Debit Card*** or ***Electronic Funds Transfer (EFT)***. EFT's are direct debit payments, sometimes called electronic checks, for which a business debits the bank account for payment for goods or services.

If an Independent Expenditure, is it on behalf of more than one candidate?: If an independent expenditure, indicate if the independent expenditure is being made on behalf of more than one candidate by checking ***Yes*** or ***No***. If you check ***Yes***, you **must** also complete the **Section G Addendum** with the following information:

> **Expenditure Number**; **Total Amount of the Expenditure**: Record the Expenditure # assigned in Section G (*see instructions below*). Record the total amount of the expenditure as reported in Section G.
>
> **Description**; **Expenditure Code**; **Name of Candidate**; **Office Sought**; **Amount Allocated**: Provide a brief description of the expenditure. Record the Expenditure Code as reported in Section G. Report each candidate's name and office sought. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate was supported or opposed by the expenditure. Record the amount of the total expenditure allocated to each candidate. You must record this information for each candidate/ expenditure code.

Description: Provide a brief description of the expenditure. ****Please Note***: *descriptions are **required** for each expenditure.* If you have used more than one expenditure code you do not have to record a description here, but must instead provide a description for each code in the **Section G Addendum**.

Event #: If the expenditure is associated with an event, record the "Event #" as reported in Section F.

Name of Candidate, **Office Sought**, **Supported** or **Opposed**: *If this is an independent expenditure benefiting ONE candidate*, enter the candidate's name and office sought for whom the independent expenditure was made. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate was supported or opposed by the expenditure. *If benefiting more than one candidate*—leave this field blank, and complete the **Section G Addendum** (*see instructions above*).

G. Expenses Paid by Committee *continued*

Purpose of Expenditure: Record the purpose of the expenditure using the Expenditure Code Addendum attached to this form. If you are *reimbursing* the treasurer, a committee worker or consultant for expenditures they made to a vendor, use the code RMB and itemize the reimbursement in Section J, "Itemization of Reimbursements and Secondary Payees."

If more than one expenditure code applies, leave this field blank and complete a Section G Addendum. For example, if you are reporting a payment to an employee or consultant to design both a newspaper advertisement and a television advertisement you would report **both** the A-NEWS and the A-TV codes in a **Section G Addendum *even if they only benefit one candidate*** (*see instructions above on how to complete the Section G Addendum*).

Expenditure Number: Assign a unique Expenditure #, beginning with the number G 0001 and continue sequentially. For example, if your first report discloses Expenditure # G 0001—G 0020, then your subsequent filing will begin with Expenditure # G 0021.

Associated with Referendum?: Indicate if the independent expenditure is being made in association with a referendum by checking ***Yes*** or ***No***.

Amount: Record the amount of the expenditure. If this is a nonmonetary asset, report the fair market value of services and goods produced in-house.

Is this expenditure payment for an expense previously reported as an expense incurred in Section I?: Indicate if the independent expenditure being disclosed is payment on an incurred expenditure that was previously disclosed in Section I during a prior reporting period by checking ***Yes*** or ***No***. If ***Yes***, report the Expenditure # as previously reported in Section I (example I 0005) and if payment made is "in full" or a "partial payment."

SUBTOTAL Section G – This Page: Add together each expense paid by the committee reported on page 7 in Section G and record the total.

TOTAL of additional Section G Pages: Total and record the amount of all additional Section G pages (if applicable).

TOTAL OF ALL EXPENSES PAID BY COMMITTEE: Add together all of the amounts reported in all Section G pages of this filing. Record the amount on this line and on **Line 14**, **Column A** of the Summary Page Totals.

H. Expenses Incurred on Committee Credit Card

In Section H, report each expense charged on the committee-issued credit card by an authorized cardholder. *Payments made using the committee debit card must be recorded in **Section G**.*

Each credit card charge is to be disclosed *in the reporting period in which it is made*, even if payment of the balance was made within the same reporting period. If an outstanding balance remains on the credit card, the committee must report this balance in Section I, "Expenses Incurred by Committee but Not Paid During this Period." *See detailed instructions in Section I.*

Name of Issuing Institution: Enter the name of the financial institution that issued the credit card.

Type of Card: Check the appropriate box to denote the type of credit card.

Name of Vendor, **Person or Entity**, **Street Address**, **City**, **State**, and **Zip Code**: Enter the name and address of the vendor, person or entity being paid with the committee credit card.

H. Expenses Incurred on Committee Credit Card *continued*

Date of Transaction: Record the date that the credit card charge was made by the committee.

If an Independent Expenditure, is it on behalf of more than one candidate?: If an independent expenditure, indicate if the independent expenditure is being made on behalf of more than one candidate by checking ***Yes*** or ***No***. If you check ***Yes***, you **must** also complete the **Section H Addendum** with the following information:

> **Expenditure Number**; **Total Amount of the Expenditure**: Record the Expenditure # assigned in Section H (*see instructions below*). Record the total amount of the expenditure as reported in Section H.
>
> **Description**; **Expenditure Code**; **Name of Candidate**; **Office Sought**; **Amount Allocated**: Provide a brief description of the expenditure. Record the Expenditure Code as reported in Section H. Report each candidate's name and office sought. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate was supported or opposed by the expenditure. Record the amount of the total expenditure allocated to each candidate. You must record this information for each candidate/ expenditure code.

Description: Provide a brief description of the expenditure. ****Please Note***: *descriptions are **required** for each expenditure.* If you have used more than one expenditure code you do not have to record a description here, but must instead provide a description for each code in the **Section H Addendum**.

Event #: If the expenditure is associated with an event, record the "Event #" as reported in Section F.

Name of Candidate, **Office Sought**, **Supported** or **Opposed**: *If this is an independent expenditure benefiting ONE candidate*, enter the candidate's name and office sought for whom the independent expenditure was made. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate was supported or opposed by the expenditure. *If benefiting more than one candidate*—leave this field blank, and complete the **Section H Addendum** (*see instructions above*).

Purpose of Expenditure: Record the purpose of the expenditure using the Expenditure Code Addendum attached to this form.

If more than one expenditure code applies, leave this field blank and complete a Section H Addendum. For example, if you are reporting a payment to an employee or consultant to design both a newspaper advertisement and a television advertisement you would report **both** the A-NEWS and the A-TV codes in a **Section H Addendum** ***even if they only benefit one candidate*** (*see instructions above on how to complete the Section H Addendum*).

Expenditure Number: Assign a unique Expenditure #, beginning with the number H 0001 and continue sequentially. For example, if your first report discloses Expenditure # H 0001—H 0020, then your subsequent filing will begin with Expenditure # H 0021.

Associated with Referendum?: Indicate if the independent expenditure is being made in association with a referendum by checking ***Yes*** or ***No***.

Amount: Record the amount of the expense charged on the committee credit card.

H. Expenses Incurred on Committee Credit Card *continued*

SUBTOTAL Section H – This Page: Add together each expense reported on page 8 in Section H and record the total.

TOTAL of additional Section H Pages: Total and record the amount of all additional Section H pages (if applicable).

TOTAL OF ALL EXPENSES INCURRED ON COMMITTEE CREDIT CARD: Add together all of the amounts reported in all Section H pages of this filing. Record the amount on this line and on **Line 19**, **Column A** of the Summary Page Totals.

I. Expenses Incurred by Committee but Not Paid During this Period

In Section I, separately report each expense **incurred but not paid** as of the close of the reporting period covered by this statement. When uncertain of the exact amount of the expense, the treasurer should make a good faith estimate of the amount incurred. If there is an outstanding balance on a credit card, the outstanding amount must be reported in this section along with the name of the issuing institution as the creditor. A committee worker to whom the committee owes a reimbursement or payment for services rendered should also be reported in this section.

Name of Creditor, **Street Address**, **City**, **State**, and **Zip Code**: Enter the creditor's name and address.

Date Incurred: Record the date that the expense was incurred by the committee.

If an Independent Expenditure, is it on behalf of more than one candidate?: If an independent expenditure, indicate if the independent expenditure is being made on behalf of more than one candidate by checking ***Yes*** or ***No***. If you check ***Yes***, you **must** also complete the **Section I Addendum** with the following information:

> **Expenditure Number**; **Total Amount of the Expenditure**: Record the Expenditure # assigned in Section I (*see instructions below*). Record the total amount of the expenditure as reported in Section I.
>
> **Description**; **Expenditure Code**; **Name of Candidate**; **Office Sought**; **Amount Allocated**: Provide a brief description of the expenditure. Record the Expenditure Code as reported in Section I. Report each candidate's name and office sought. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate was supported or opposed by the expenditure. Record the amount of the total expenditure allocated to each candidate. You must record this information for each candidate/ expenditure code.

Description: Provide a brief description of the expenditure. ****Please Note***: *descriptions are **required** for each expenditure.* If you have used more than one expenditure code you do not have to record a description here, but must instead provide a description for each code in the **Section I Addendum**.

Event #: If the expenditure is associated with an event, record the "Event #" as reported in Section F.

Name of Candidate, **Office Sought**, **Supported** or **Opposed**: *If this is an independent expenditure benefiting ONE candidate,* enter the candidate's name and office sought for whom the independent expenditure was made. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate was supported or opposed by the expenditure. *If benefiting more than one candidate*—leave this field blank, and complete the **Section I Addendum** (*see instructions above*).

I. Expenses Incurred by Committee but Not Paid During this Period *continued*

Purpose of Expenditure: Record the purpose of the expenditure using the Expenditure Code Addendum attached to this form.

If more than one expenditure code applies, leave this field blank and complete a Section I Addendum. For example, if you are reporting a payment to an employee or consultant to design both a newspaper advertisement and a television advertisement you would report **both** the A-NEWS and the A-TV codes in a **Section I Addendum** ***even if they only benefit one candidate*** (*see instructions above on how to complete the Section I Addendum*).

Expenditure Number: Assign a unique Expenditure #, beginning with the number I 0001 and continue sequentially. For example, if your first report discloses Expenditure # I 0001—I 0020, then your subsequent filing will begin with Expenditure # I 0021.

Associated with Referendum?: Indicate if the independent expenditure is being made in association with a referendum by checking ***Yes*** or ***No***.

Amount Incurred: Record the amount of the expense incurred (*estimate* or *actual*).

SUBTOTAL Section I – This Page: Add together each expense incurred but not paid by the committee reported on page 9 in Section I and record the total.

TOTAL of additional Section I Pages: Total and record the amount of all additional Section I pages (if applicable).

TOTAL OF ALL EXPENSES INCURRED BY COMMITTEE BUT NOT PAID DURING THIS PERIOD: Add together all of the amounts reported in all Section I pages of this filing. Record the amount on this line and on **Line 20**, **Column A** of the Summary Page Totals.

Previously reported Expenses Unpaid and Still Outstanding: Record the amount of previously reported unpaid expenses that remain unpaid at the close of this reporting period. Record the amount on this line.

TOTAL OF ALL EXPENSES INCURRED BY COMMITTEE BUT NOT PAID: Add the total of expenses incurred by the committee but not paid during this period (Section I of current filing) to the previously reported unpaid expenses that remain unpaid. Record the total on this line and on **Line 20a**, **Column A** of the Summary Page Totals.

J. Itemization of Reimbursements and Secondary Payees

In Section J, report each instance in which the treasurer, a committee worker or a consultant pays a secondary payee (vendor, person or entity) for committee-related expenses with their own personal funds. Whether a committee writes a single check to reimburse an individual for combined expenses, or multiple checks to reimburse the individual for each expense, the committee must report **each expense** made by the committee worker or consultant separately.

Report the Committee Check used to actually reimburse the treasurer, committee worker or consultant in Section G, "Expenses Paid by Committee."

> **EXAMPLE**: John Doe purchased $100 of lumber at Home Depot to make lawn signs, and $50 in stamps from the U.S.P.S. The committee reimbursed him for those expenses using committee check number 102.
>
> 1. The payment to John Doe is reported in **Section G**, "Expenses Paid by Committee" with John Doe as the payee, together with the purpose of the expenditure coded as "RMB," the amount of $150, and committee check number 102 reported.
>
> 2. In **Section J**, "Itemization of Reimbursements and Secondary Payees" the treasurer would report John Doe as the name of the worker/consultant; Home Depot as the name of the secondary payee, along with Home Depot's address, the date that John Doe paid Home Depot, and the amount of $100 as paid to Home Depot by John Doe.
>
> 3. On the next entry in **Section J**, John Doe's name would again be reported as the name of worker/consultant, U.S.P.S. as the name of the secondary payee along with U.S.P.S.'s address, the date that John Does paid U.S.P.S., and the amount of $50 as paid to U.S.P.S. by John Doe.

Last Name of Worker/Consultant, **First Name**, and **Middle Initial**: Enter the name of the worker or consultant being reimbursed.

Date of Payment to Vendor, **Person or Entity**: Record the date that the committee worker or consultant paid the vendor, person or entity.

Name of Vendor, **Person or Entity Paid by Committee Worker/Consultant**, **Street Address**, **City**, **State**, and **Zip Code**: Enter the name and address of the vendor, person or entity that was paid by the committee worker or consultant.

Payment to Reimburse Committee Worker/Consultant as reported in Section G: Check the box to indicate the method of payment **by the committee to reimburse** the worker/consultant, either ***Check*** (with accompanying check number), ***Debit Card*** or ***Electronic Funds Transfer (EFT)***. EFT's are direct debit payments, sometimes called electronic checks, for which a business debits the bank account for payment for goods or services.

If an Independent Expenditure, is it on behalf of more than one candidate?: If an independent expenditure, indicate if the independent expenditure is being made on behalf of more than one candidate by checking ***Yes*** or ***No***. If you check ***Yes***, you **must** also complete the **Section J Addendum** with the following information:

> **Expenditure Number**; **Total Amount of the Expenditure**: Record the Expenditure # assigned in Section J (*see instructions below*). Record the total amount of the expenditure as reported in Section J.

J. Itemization of Reimbursements and Secondary Payees *continued*

Description; **Expenditure Code**; **Name of Candidate**; **Office Sought**; **Amount Allocated**: Provide a brief description of the expenditure. Record the Expenditure Code as reported in Section J. Report each candidate's name and office sought. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate was supported or opposed by the expenditure. Record the amount of the total expenditure allocated to each candidate. You must record this information for each candidate/ expenditure code.

Description: Provide a brief description of the expenditure. ***Please Note***: *descriptions are* ***required*** *for each expenditure*. If you have used more than one expenditure code you do not have to record a description here but must instead provide a description for each code in the **Section J Addendum**.

Event #: If the expenditure is associated with an event, record the "Event #" as reported in Section F.

Name of Candidate, **Office Sought**, **Supported** or **Opposed**: *If this is an independent expenditure benefiting ONE candidate*, enter the candidate's name and office sought for whom the independent expenditure was made. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate was supported or opposed by the expenditure. *If benefiting more than one candidate*—leave this field blank, and complete the **Section J Addendum** (*see instructions above*).

Purpose of Expenditure: Record the purpose of the expenditure using the Expenditure Code Addendum attached to this form.

If more than one expenditure code applies, leave this field blank and complete a Section J Addendum. For example, if you are reporting a payment to an employee or consultant to design both a newspaper advertisement and a television advertisement you would report **both** the A-NEWS and the A-TV codes in a **Section J Addendum** ***even if they only benefit one candidate*** (*see instructions above on how to complete the Section J Addendum*).

Expenditure Number: Assign a unique Expenditure #, beginning with the number J 0001 and continue sequentially. For example, if your first report discloses Expenditure # J 0001—J 0020, then your subsequent filing will begin with Expenditure # J 0021.

Associated with Referendum?: Indicate if the independent expenditure is being made in association with a referendum by checking ***Yes*** or ***No***.

Amount: Record the amount of the expenditure reported for this transaction.

SUBTOTAL Section J – This Page: Add together each reimbursement paid by the committee reported on page 10 in Section J and record the total.

TOTAL of additional Section J Pages: Total and record the amount of all additional Section J pages (if applicable).

TOTAL OF ALL REIMBURSEMENTS TO COMMITTEE WORKERS AND CONSULTANTS: Add together all of the amounts reported in all Section J pages of this filing. Record the amount on this line.

K. Five Largest Contributions Disclosed in Communications

If any independent expenditure reported in this form was for a communication made or obligated to be made ninety days or less prior to the applicable primary or election, you must report the five largest aggregate contributions received in excess of $5,000 in the aggregate during the twelve month period prior to the applicable primary or election.

In Section K, report the five largest aggregate contributions in excess of $5,000 received during the twelve month period prior to the applicable primary or election.

Source of Contribution — Name of Person Making Contribution: Identify the name of the person that made one of the five largest contributions in the twelve month period prior to the applicable primary or election. For individuals, enter the first name, middle initial and last name. For businesses, organizations, or other entities, enter the name of the entity that provided the contribution.

Expenditure Number: Provide the expenditure number of the communication made or obligated to be made ninety days or less prior to the applicable primary or election as reported in the applicable expenditure section of this report (Sections G — J).

Address of Person Making Contribution (*City, State, Zip Code*): Provide the address (*City, State, Zip Code*) of the source of the contribution. P.O. Boxes may not be used. If the person is an individual, the individual's residential or business address is acceptable. For entities, the address would be the principal place of business of the entity.

Source of Contribution — Name of Individual who Signed Check or Authorized Contribution: For businesses, organizations, or other entities, please provide the name of the individual who authorized the contribution. This will be the individual who signed the check, or, if there is no check, the Chief Executive Officer (CEO), or the individual serving in the functionally equivalent capacity of the CEO, of the entity making the contribution — first name, middle initial, last name, suffix and title (*President, CEO, etc.).*

Amount: Record the amount of the contribution(s) made in the twelve month period prior to the applicable primary or election.

Attach additional sheets if necessary.

L. "Nesting Dolls" Provision for Top 5 Contributions Disclosed in Communication

If any of the persons required to be disclosed in the attribution on the relevant communication and in Section K as a person who made one of the five largest contributions in a twelve month period has itself received a covered transfer you must report the five largest covered transfers, if any, received by that person during the twelve month period prior to the applicable primary or election.

Please Note: The name of any person who made a covered transfer to a tax-exempt organization organized under Section 501 (c) (4) of the Internal Revenue Code of 1986 that has not had its tax exempt status revoked is exempt from this reporting requirement.

Please Note: The name of any person that has received covered transfers from at least one hundred different sources is exempt from this reporting requirement, provided no such source accounts for ten percent or more of the total covered transfers received by the recipient during the applicable twelve month period.

Name of Person Receiving Covered Transfer as Reported in Section K: Identify the name of the person required to be disclosed in the attribution on the relevant communication and in Section K that *received* this covered transfer. For individuals, enter the first name, middle initial and last name. For businesses, organizations, or other entities, enter the name of the entity that provided the covered transfer.

Expenditure Number: Provide the expenditure number of the communication as reported in Section K.

Name of Person Making Covered Transfer to Person Reported in Section K: Identify the name of the person that *made* one of the five largest covered transfers in the aggregate in the twelve month period prior to the applicable primary or election to one of the persons making contributions required to be disclosed in the attribution on the relevant communication and in Section K. For individuals, enter the first name, middle initial and last name. For businesses, organizations, or other entities, enter the name of the entity that provided the covered transfer.

Address of Person Making Covered Transfer (*City, State, Zip Code*) (*if known*): Provide the address (*City, State, Zip Code*) of the source of the covered transfer. P.O. Boxes may not be used. If the person is an individual, the individual's residential or business address is acceptable. For entities, the address would be the principal place of business of the entity.

Attach additional sheets if necessary.

EXPENDITURE CODE ADDENDUM

For use with Sections G, H, I & J of the SEEC Form 40

Asterisk * adjacent to the left of the Expenditure Code indicates that **Description Field** is **Mandatory**

Warning: ***The existence of a particular expenditure code does not mean that such expenditure is lawful. To determine lawfulness, treasurers must read the committee guide applicable to their type of committee or contact the State Elections Enforcement Commission at 860-256-2925***.

Advertising: Each expenditure code beginning with **"A-"** is to be used to identify the delivery method for paid advertising, which includes advertising to solicit committee funds. Include the costs for ***both*** the **development *and*** the **delivery** of the message. A payment to a professional consultant to develop a message should be coded to the main advertising delivery method below, ***not*** as a **Professional Consultant** (**CNSLT**), which is a code that should only be used when no other expenditure code applies. If a single advertising message is developed for several of the delivery mechanisms listed below, report all applicable codes for the cost of developing the message and then use the applicable code for the payments associated with the several delivery methods used.

A-DM: expenditure to **advertise** through **direct mail**.

A-MAG: expenditure to **advertise** through a **magazine**.

A-NEWS: expenditure to **advertise** through a **newspaper**.

A-ATM: expenditure to advertise using an **automated telephone/fax message**, or an **automated telemarketing message**.

A-PH-BNK: expenditure for the use of **phone banks**, where people are speaking as distinguished from pre-recorded messages (*above*) and polls and surveys (*below*).

A-RAD: expenditure to **advertise** on **radio.**

A-SIGN: expenditure for the cost of preparing, printing, producing or distributing lawn or billboard **signs** visible from any street or highway.

A-TV: expenditure to **advertise** on **television**.

A-WEB: expenditure to advertise on the **World Wide Web**. This includes webcasting (sending audio and/or video live over the internet), or any other form of advertising on the web. *See* **WEB** *for other web-related expenditures*.

A-OTH: expenditure for any **other advertising**, not listed above, like the cost of (a) posters, stickers, streamers, banners, etc. for distribution on or in buildings or vehicles (i.e. cars, buses, boats, aircraft, etc.); (b) campaign paraphernalia, such as pins, hats, potholders, tee shirts and other campaign giveaway items; (c) audio messages and the cost of transmitting them by speakers from vehicles or buildings; or (d) ads placed in ad books, in schools or civic organizations' ad book pamphlets or bulletins.

***ATT**: expenditure for **attendance fee or entrance fee** for any person, such as to a charitable event or an educational course or training seminar. In the text box of the **Description Field**, which is **mandatory** under this expenditure category, identify the name and address of the individual who is attending the event as well as the date and location of the event and the name of the sponsoring committee or entity sponsoring the event.

BNK: expenditure to record any payment of **bank fees, interest charges, or penalties** assessed by the bank on the committee's checking account only. Similar fees assessed by a credit card company should be listed under credit card charges in Section H of the SEEC Form 40, entitled "Expenses Incurred on Committee Credit Card."

CCP: expenditure to record **any payment of the credit card bill**, including partial payments, finance charges, and mid-cycle payments. See Section H of the SEEC Form 40, entitled "Expenses Incurred on Committee Credit Card," to record actual charges made against the credit card account, including any finance charges.

CEF: expenditure to record any payment to the State of Connecticut's **Citizens' Election Fund** (**CEF**). **Checks should be made payable to the Citizens' Election Fund and sent to the State Elections Enforcement Commission, 20 Trinity Street, Hartford, CT 06106**. This expenditure code does not apply to the surplus distribution (**SRPLS**) expenditure code explained below. When a durational committee is distributing its surplus to the CEF, the surplus distribution (**SRPLS**) expenditure code should be used.

CHAR: expenditure for a payment of committee funds to a tax-exempt **charitable** organization [26 U.S. Code § 501 (c) (3)]. When a durational committee is distributing its surplus to a charity, the surplus distribution (**SRPLS**) expenditure code should be used.

EXPENDITURE CODE ADDENDUM

For use with Sections G, H, I & J of the SEEC Form 40

Asterisk * adjacent to the left of the Expenditure Code indicates that **Description Field** is **Mandatory**

CNTRB: expenditure that is a **contribution to another** committee. Note that an independent expenditure political committee may only make contributions to other independent expenditure political committees and not to any other type of committee. The expenditure of a committee's funds to make a contribution to another committee is to be distinguished from an expenditure of committee funds to **pay the other committee** (**POC**) for shared expenses. *See explanation of* **POC** *below*.

CNSLT: expenditure to a professional **consultant**. Professional consultants are individuals or entities that are paid by the committee as independent contractors for their professional advice. They are not salaried employees and they are not individuals who are serving the committee as volunteers. Examples: management firms, public relations firms, lawyers and accountants, etc. However, for payments to professional consultants who design polls and surveys, or advertising messages, use the more specific code (ex. **A-DM**, **A-OTHR**, **POLLS**). If the payment to a professional consultant includes costs paid or incurred to some other vendor, following completion of the entry of this expenditure, go immediately to Section J, "Itemization of Reimbursements and Secondary Payees," and follow the instructions for reporting of **Secondary Payees**.

EFV**: expenditure for **equipment, furniture, and vehicles**. Record only the portion of the cost that is actually paid. Cost includes any costs associated with the delivery or installation of the item. Equipment includes computers, printers, phones, etc. The text box of the **Description Field**, which is **mandatory** in this situation, must list the item, and whether the expenditure is a purchase, rental or lease. ***Please Note: Vehicles may only be leased and may not be purchased.

FOOD: expenditure paid directly to a vendor for food and beverage, **except** if the vendor is paid for these items in association with the committee's own sponsored **fundraiser** (*see* **FNDR** *below*).

***FNDR**: expenditure associated with holding a committee **fundraising event** (i.e. payments to restaurants, hotels, caterers, food and beverage vendors, invitations, entertainers performing at the event, paid speakers, etc.). Advertising content that includes as part of the message invitations to individuals to attend a committee fundraising event in return for a contribution or attendance fee must, however, be coded **FNDR** irrespective of the advertising delivery method.

***GIFT**: record the purchase of any item that is to be given as a **gift** to any individual or entity. Gifts to committee workers are generally limited to an aggregate of $100 per recipient. The text box of the **Description Field**, which is **mandatory** in this situation, must identify the item purchased as well as the name and address of the individual or entity who is the recipient of the committee's gift.

LOAN: expenditure to record the payment of the committee's **LOAN**, whether principal, interest or both. ***Please Note***: Any penalties assessed for non-payment on a loan, if not paid by the payment due date, must be disclosed as additional "Expenses Incurred by Committee but not Paid During This Period" in Section I of the SEEC Form 40.

OFFICE: expenditure for **office supplies** such as paper, pens, printer cartridges, etc.

OVHD: expenditure of **overhead operating** costs, including the cost of renting office space, parking spaces, repairing or servicing office furniture and equipment used in connection with committee activities, related insurance, utility payments for committee headquarters, subscriptions and similar overhead operating expenses.

Party Building Activity: Each expenditure code beginning with "**PBA-**" is to be used to identify party building activity, which includes but is not limited to, any political meeting, conference, convention and other event, attendance or involvement at which promotes or advances the interests of the party at a local, state or national level, and any associated expenses.

The text box of the Description Field, which is mandatory for all "**PBA-**" codes, must identify the name, date and location of the political meeting or event, the name of the entity sponsoring the event, as well as the number of individuals that this reported expense covered.

***PBA-ATT**: expenditure for an **attendance or admission fee** for a political meeting, conference, convention, or other event, attendance or involvement at which promotes or advances the interests of the party at a local, state or national level.

***PBA-TRVL**: expenditure for the costs of **travel and lodging** associated with attendance at a political meeting, conference, convention or other event, attendance or involvement at which promotes or advances the interests of the party.

***PBA-OTH**: **other party building expenditures** such as meals associated with attendance at a political meeting, conference, convention or other event, attendance or involvement at which promotes or advances the interests of the party.

EXPENDITURE CODE ADDENDUM

For use with Sections G, H, I & J of the SEEC Form 40

Asterisk * adjacent to the left of the Expenditure Code indicates that **Description Field** is **Mandatory**

PETTY: expenditure to replenish the committee's **petty cash fund**.

POC: expenditures to record a **payment to another committee** for a reimbursement of a shared expense. ***Please Note***: The committee must reimburse the other committee within a reasonable amount of time to avoid it becoming an in-kind contribution. The Commission has said that a reimbursement received **within 45 days** of the date of the expenditure will not be considered an in-kind contribution. The **POC**
expenditure code category must be distinguished from expenditures that are coded as **contributions to another committee** (**CNTR**).

POLLS: expenditures associated with **conducting polls and surveys**. This category is to be distinguished from phone banks (**A-PH-BNK**) because the information isn't just delivered to the public but opinion is carefully being sought and collected from the public in some manner to produce a poll or survey result or report. If a professional consultant is both designing ***and*** conducting the poll or survey, use **POLLS** as the expenditure code, not **CNSLT** (*see above*).

POST: expenditures for **postage**, such as stamps, bulk mail permits, post office boxes and envelopes, United Parcel Service, Federal Express, etc.

PRNT: expenditures associated with the costs of **printing**, photocopying or reproducing literature, stationery, invitations and the like.

RMB: expenditures to **reimburse committee workers or consultants**. This is when the cost of payment for something needed by the committee is advanced by the committee worker or consultant and reimbursement is sought. ***Please Note***: The committee must reimburse within a reasonable time to avoid it becoming an **In-Kind Contribution**. The Commission has said that a reimbursement within 45 days of the expenditure will not be considered an In-Kind Contribution. After making payment to the worker or consultant, reporting this item also requires full reporting of the **Secondary Payees** appearing on the payment slip of the committee worker or consultant. Go immediately to Section J, "Itemization of Reimbursements and Secondary Payees," and follow the instructions for reporting of Secondary Payees.

REF: **refunds** are expenditures of any committee funds that were deposited into the committee's checking account and then returned to a contributor or any other revenue source for any reason.

SRPLS: expenditures which are **surplus distributions** in connection with the termination and dissolution of a durational committee.

TRVL: expenditures for an individual's **transportation** costs and **lodging** authorized by the treasurer, such as the cost of gasoline, other transportation fare, and lodging. The cost of **attending** any event should be coded as **attendance** (*see* **ATT** *above*) and **any separate payment** for **food** outside the cost of the attendance fee should be coded as **FOOD**.

WAGE: expenditures for **wages and benefits** paid to the committee's staff. This is to be distinguished from payments to professional consultants (**CNSLT**) who are independent contractors.

WEB: expenditures for accessing and having a presence on the **WEB**. This includes payments to develop or maintain: (a) a committee website; (b) an internet provider; (c) a domain name on the internet; (d) payments to a merchant account processor or a payment gateway provider to enable the committee to receive credit and debit card contributions over the internet; and (e) similar costs relating to use of the internet. This is not to be used for any costs related to advertising on the web (*see* **A-WEB** *above*).

MISC**: expenditures of **Miscellaneous** items that are not listed above. The text box of the **Description Field**, which is mandatory in this situation, must explain in narrative form, with sufficient clarity, the purpose of this expenditure. *If more than one of the above codes applies to an expenditure,* ***do not *use* MISC *and instead report all applicable codes.*

If additional pages are needed to complete all information required in each section of the form, please reproduce the "Additional Page" for the appropriate section, and attach the page(s) to the section.

Additional Pages are located at the back of the SEEC Form 40.