



Notice to Town Clerks 2015 Campaign Finance Disclosure Information

This notice contains a few items regarding the town clerk's role under campaign finance law. All relevant filing calendars, registration forms ([SEEC Form 1](#) and [SEEC Form 3](#)) and financial disclosure forms ([SEEC Form 20](#) and [SEEC Form 21](#)) are available on our website, www.ct.gov/seec. The forms can either be printed from the website and filled out or first filled out online and then printed for submission. Our website also contains links to [guidebooks](#) for municipal candidates and party committees.

TOWN COMMITTEES

Town committees are required to file their registration and financial disclosure statements with the Commission **only**. They are no longer required to file a copy with the town clerk. Town committee registration and financial disclosure statements may be viewed using [eCRIS](#) on the Commission's website. *See* General Statutes §§ 9-7b(a)(2), 9-603(a).

WHO IS A CANDIDATE?

Candidates for all municipal offices file locally with the town clerk. *See* General Statutes § 9-603.

Any candidate for office is required to register within ten days of becoming a candidate. An individual is deemed to have become a candidate when he or she: (1) personally or through another person by consent, has solicited or received funds or other resources or made expenditures, including expenditures from personal funds, for the purpose of bringing about such individual's nomination or election to any office; (2) has been endorsed or nominated by a political party and is thus entitled to a position on the ballot at an election or primary; or (3) is otherwise qualified for placement on the ballot pursuant to the election laws. The individual must register within ten days of the earliest of these occurrences. *See* General Statutes §§ 9-601(11) and 9-604.

In some instances an individual may become a "candidate" and be required to register long before obtaining ballot access.

LAW CHANGE — PUBLIC ACT 13-180

Public Act 13-180 clarifies that individuals may solicit or receive contributions on behalf of a party committee ***without triggering the need to register as a candidate.***

An individual may also give consent to a party committee for that party committee to (1) make expenditures with the intent to bring about the individual's nomination for election or election to office, or (2) solicit or receive contributions for the party committee that the party committee intends to use to support that individual's nomination for election or election to office, and ***neither triggers the need to register as a candidate.***

CANDIDATES—COMPLETING THE REGISTRATION FORM

All candidates must complete page 1 of the [SEEC Form 1](#). If a candidate would like to form a candidate committee, he or she must complete pages 2 and 3 ([SEEC Form 1A](#)) of the form — appointing a treasurer, deputy treasurer (optional), and selecting a depository institution in Connecticut.

A **candidate committee** means a committee designated by a single candidate, or established with the consent, authorization or cooperation of a single candidate. The purpose of a candidate committee is to act as a funding vehicle to aid and promote the individual's candidacy for a particular public office.

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20 Trinity Street, Hartford, CT 06106-1628

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CANDIDATES—COMPLETING THE REGISTRATION FORM *continued*

If the candidate has instead determined that his or her candidacy fits one of the exemptions from forming a candidate committee as outlined on page 4 ([SEEC Form 1B](#)) of the form, he or she should check one (*and only one*) of the boxes on page 4 and sign the form. The submission of the 1B means that that individual is not required to file his or her own financial statements. The only exception to this is if the candidate checks the box 11b of SEEC Form 1B and expends over \$1,000 from personal funds, in which case he or she is required to file financial statements using the [SEEC Form 23](#).

SLATE CANDIDATES

Often candidates for municipal office determine that their candidacy will be **solely** funded by either the town committee or a political slate committee. In such instances, the candidate should check box 11a on [SEEC Form 1B](#) and write in the name of the town committee or political slate committee.

If a separate durational political committee is being formed by two or more candidates for a single election or primary (a **“political slate committee”**), this committee is registered on [SEEC Form 3](#). There must be a chairperson and treasurer for the committee. In box 24, *Two or More Individuals* should be checked. In box 25b, *Durational* is checked and the *Slate of Candidates* box is checked. The candidates supported should be listed in box 28 of the form.

Once a political slate committee is registered, its treasurer becomes responsible for all financial transactions of the committee and the filing of financial statements. Candidates who are being solely funded by a slate committee may only contribute up to \$1,000 to the slate committee. This is the same contribution limit as any other individual contributor.

If the treasurer of the town committee is a candidate for office at this election and is also part of a slate of candidates being funded by the town committee, the treasurer must resign from his role for the period of the election cycle. Likewise, no candidate being supported by a political committee formed for a slate of candidates may serve as its treasurer. *See* General Statutes § 9-604.

EXPLORATORY COMMITTEES

An **exploratory committee** is a committee formed by a candidate who has not yet decided whether to seek a particular public office so that he or she can “test the waters.” An exploratory committee must be tied to a specific election and the candidate may only form one exploratory committee per election cycle.

Registration of an exploratory committee is accomplished by filing an exploratory committee registration ([SEEC Form 4](#)) with the town clerk. The registration statement must designate the name and address of the committee treasurer, deputy treasurer (if any), the depository institution of the committee’s checking account, and the date of the election. *See* General Statutes §§ 9-601(5), 9-604(c), 9-608(f); Declaratory Ruling 2007-02; Declaratory Ruling 2009-01. A candidate in exploratory committee who decides to run for office may only transition into a candidate committee—he may not utilize one of the one of the 1B exemptions.

FINANCIAL STATEMENTS

The treasurer of each committee registered with the Town Clerk is responsible for filing a financial statement on the dates set forth in the appropriate filing calendar. A copy of the calendar should be given to the treasurer at the time the committee is registered. The Town Clerk is not required to notify the treasurer of upcoming filing deadlines, but many Town Clerks have found that this helps achieve timely compliance with the filing requirements.

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FINANCIAL STATEMENTS *continued*

If a candidate or slate committee has not received or expended over \$1,000, the [SEEC Form 21](#) may be filed for all filing dates. Once the \$1,000 threshold has been exceeded or a [SEEC Form 20](#) has been submitted, the [SEEC Form 20](#) must be filed for all subsequent filing dates.

A slate committee is a type of political committee and as such must file a financial statement within 48 hours after receipt of its first contribution. If it has already received the initial contribution at the time it registers, it must file a financial statement with its registration itemizing that contribution.

TIMELINESS OF FILINGS

The timeliness of a registration statement or financial disclosure statement where the Town Clerk is the filing repository is determined by the time it is hand delivered *or* by the postmark on the envelope. Hand delivery must occur before 4:30 p.m. on or before the filing deadline date *or* the envelope must be postmarked by midnight on or before the filing deadline date. Some town clerk's offices may not have office hours or may have shortened office hours on a filing deadline day. This does not relieve the treasurer of filing by the deadline. *See* General Statutes § 9-608(d).

A registration statement or financial disclosure statement that is filed after the statutory deadline is subject to a **mandatory** \$100 late filing fee. The Town Clerk must send a notice to the candidate or treasurer by certified mail, return receipt requested, advising them of their violation and demanding that the statement be filed within seven days of the notice and imposing a \$100 late filing fee. If the candidate or treasurer fails to comply within the seven day period, the Town Clerk **must refer** the matter to the Commission. *See* General Statutes § 9-623.

CONTACTING THE STATE ELECTIONS ENFORCEMENT COMMISSION

860-256-2940
seec@ct.gov

FORMS AND FACT SHEETS

Candidate Committee Registration	Financial Statement (over \$1,000)
SEEC Form 1, 1A, 1B Instructions	SEEC Form 20 Instructions
Political (Slate) Committee Registration	Financial Statement (\$1,000 or less)
SEEC Form 3 Instructions	SEEC Form 21 Instructions
Exploratory Committee Registration	Self-Funded Candidate Expenditure Statement
SEEC Form 4 Instructions	SEEC Form 23 Instructions

- [Understanding the Connecticut Campaign Finance Laws: A Guide for Municipal Candidates](#)
- [2015 Municipal Election Campaign Overview](#)
- [Filing Calendars](#)