CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

INSTRUCTIONS FOR
SEEC FORM 20
ITEMIZED CAMPAIGN FINANCE DISCLOSURE STATEMENT

Revised January 2012

For use by
Treasurers of Exploratory and Candidate Committees for
Elected Offices in Municipal Elections
Judge of Probate in State Elections

and Treasurers of
Political Committees in all Elections
Party Committees in all Elections

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: 1-866-SEEC-INFO

SEEC WEBSITE ADDRESS: www.ct.gov/seec

eCRIS enables campaign treasurers of party committees and political committees to electronically submit required committee registration information and campaign finance statements.

See the Commission's website **www.ct.gov/seec** *for more information.*

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 20), and attach the page(s) to the section.
- *Candidate and Exploratory Committees for Statewide Offices and General Assembly*: **Use SEEC Form 30**

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)

- Candidate Committees for Probate Judge
- Political Committees formed for a single election or primary to support or oppose candidates for Governor, Lieutenant Governor, Secretary of the State, State Treasurer, Comptroller, Attorney General, State Senator, State Representative or Judge of Probate, or support or oppose a state constitutional amendment, or for any combination of these purposes
- State Central Committees
- Town Committees (*copy filed with Town Clerk no longer required—Public Act 11-48*)
- Political Committees organized for ongoing political activities independent of any single election, which make contributions, expenditures, or intend to make contributions or expenditures for Governor, Lieutenant Governor, Secretary of the State, State Treasurer, Comptroller, Attorney General, State Senator, State Representative or Judge of Probate, or support or oppose a state constitutional amendment, or for any combination of these purposes

File with the State Elections Enforcement Commission AND a Town Clerk:

- Political Committee of a slate of candidates competing in a primary for the office of Justice of the Peace

File with a Town Clerk ONLY:

- Candidate Committees for election to a municipal office (Mayor, Councilman, Registrar of Voters, etc.) or for nomination in a primary for the position of a Town Committee member
- Exploratory Committees established by a candidate solely considering municipal offices
- Political Committees formed for a single election or primary to support or oppose candidates for municipal office or a slate of candidates for a town committee primary
- Political Slate Committees formed to be the sole funding vehicle for two or more candidates for nomination or election to municipal office in a town or for a slate candidates in a town committee primary
- Political Committees formed solely to support or oppose a referendum question to be voted upon only by the electors of a single municipality. If the referendum question is to be voted on in two or more municipalities, this form must be filed with the Town Clerk in **each** of the municipalities involved (e.g. regional school district)
- Political Committees organized for ongoing political activities independent of any single election or referendum, which make contributions, expenditures, or intend to make contributions or expenditures solely for municipal candidates or referenda

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 by **5:00 p.m.** of the required filing day or must be electronically filed not later than **11:59 p.m.** on the required filing day. 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. *See specific instructions for non-standard filings on pages 2 - 3.*

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.

RECORD KEEPING

The Treasurer ***must*** keep internal records to substantiate each entry on the statement. Records must be maintained for four years from the date of the statement. *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 candidate or 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. **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.

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

4. **Election/Referendum Date**: Candidate Committees, Exploratory Committees, and 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. *Town Committees, State Central Committees and Ongoing Political Committees should not complete this section*.

5. **Office Sought**: *This section is to be completed by Candidate Committees ONLY*. List the name of the public office or position being sought by the candidate.

6. **District Number**: Provide the district number, if applicable, for the public office or position being sought by the candidate (e.g. probate, council/alderman, etc.).

7. **Candidate Name**: *This section is to be completed by Candidate and Exploratory Committees ONLY*. Provide the full name of the candidate; first name, middle initial, last name and suffix, if any.

8. **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**

Additional information on non-standard reports is described below:

> ***Independent Expenditure Report***: Any committee which makes or incurs an independent expenditure or expenditures which exceeds $1,000 in the aggregate (calendar year) intended to promote the success or defeat of a candidate for the office of Governor, Lt. Governor, Secretary of the State, State Comptroller, Attorney General, State Senator or State Representative must file the *Independent Expenditure* statement and it must be **received by** the Commission as follows: (1) an independent expenditure or expenditures made or incurred more than 90 days before a primary or election must be reported to the Commission within 48 hours of making or incurring the independent expenditure(s); (2) an independent expenditure or expenditures made or incurred 90 days or less before a primary or election must be reported to the Commission within 24 hours of making or incurring the independent expenditure(s). 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 *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"). Because time is of the essence in this type of filing, the Commission will accept facsimile transmissions for this type of report ***only*** at fax number: (860) 622-4926, or by email at the following email address: **SEEC.eCris.Info@ct.gov** An original signed Independent Expenditure Statement must also be mailed to the Commission immediately following the fax or email on the first business day that the Post Office is open, or it may be filed in person.
>
> ***Please Note***: Once the $1,000 threshold is reached, an Independent Expenditure statement must be filed for *each* independent expenditure made or incurred, irrespective of the dollar amount, until the day after Election Day.
>
> If the committee filing this statement makes or incurs an independent expenditure in excess of $1,000 intended to promote the success or defeat of a candidate for any other type of office, other than Statewide Office or General Assembly, such Treasurer shall only be required to file statements according to the regular schedule of statements.
>
> If the committee fails to report an independent expenditure that was made or obligated to be made more than 90 days before the day of a primary or election as required by General Statutes § 9-612 (e)(2), such committee shall be subject to a civil penalty, imposed by the State Elections Enforcement Commission, of up to $5,000. *See* General Statutes § 9-612 (e)(5). 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 as required by General Statutes § 9-612 (e)(2), such committee shall be subject to a civil penalty, imposed by the State Elections Enforcement Commission, of up to $10,000. *See* General Statutes § 9-612 (e)(5). 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 § 9-612 (e)(5).

COMPLETING THE COVER PAGE *continued*

45 days following referendum: This report is only applicable to political committees formed solely for a referendum; in the case of political committees formed for referendum taking place at a regular November election, the January 10th filing shall serve as the 45 days following the referendum report.

45 days following an election not held in November: This report is only applicable to political committees formed for a May municipal election and any special elections; in the case of political committees formed for a regular November election, the January 10 filing shall serve as the 45 days following the election report.

Termination Report: For exploratory committees, candidate committees, and 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 January 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.

Deficit Report: For exploratory committees, candidate committees, and 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 include the Cover Page, Summary Page Totals and any pages that have been amended.

9. **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 20** 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**

10. **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 20 should the two become separated.

Type of Report: Enter what type of report is being filed as marked on the Cover Page on line 8, such as "July 10."

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 or Party Committee. **EXAMPLE**: Line 13, 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 an Exploratory Committee, Candidate Committee, or durational Political Committee. ***Please Note***: A durational political committee is one formed for a single campaign (election, primary, referendum). **EXAMPLE**: Line 13, Column B would reflect the total amount of individual contributions received since the committee was formed.

Line 11
In Column B, enter the monetary balance on hand on January 1 of the current year for all ongoing political committees and party committees. Candidate, exploratory and durational political committees should enter zero (0) because that was the balance at the time of the committee's inception.

Line 12
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 20. If this is the committee's first statement, then the balance entered will be zero (0).

Line 13
In Column A, enter the total sum of **Sections A and B** of this statement. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 13, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 13, Column A from prior statements since the committee's inception).

Line 14
In Column A, enter the total sum of **Sections C1 and C2** of this statement. In Column B, enter the total for the calendar year, if an ongoing political or party 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 candidate, exploratory and durational political committees (add all amounts entered on line 14, Column A from prior statements since the committee's inception).

Line 15
In Column A, enter the total of monetary receipts in **Sections D through K** of this statement; bring the total forward from the Summary of Other Monetary Receipts on bottom of page 7. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 15, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 15, Column A from prior statements since the committee's inception).

COMPLETING THE SUMMARY PAGE TOTALS *continued*

Line 16a
In Column A, enter the total of **Section L1** (Subpart 1 + Subpart 3) reported on bottom of page 8. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 16a, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 16a, Column A from prior statements since the committee's inception).

Line 16b
Per Public Act 11-48, effective January 1, 2012 committees are no longer required to itemize small individual purchases from a committee tag sale, auction, or a sale of donated items. ***Section L2*** *removed.*

***Line 16c* (Municipal Candidate Committees and Town Committees Only)**
In Column A, enter the total of **Section L3** reported on bottom of page 9. In Column B, enter the total for the calendar year, if a town committee (add all amounts entered on line 16c, Column A from prior statements for the year), or the total since the committee's establishment for municipal candidate committees (add all amounts entered on line 16c, Column A from prior statements since the committee's inception).

Line 17
In both Columns A and B, add the amounts for lines 13—16c and enter total on line 17.

Line 18
For Column A, add the amount reported on line 17 to the amount entered on line 12, and enter total.
For Column B, add the amount reported on line 17 to the amount entered on line 11, and enter total.

Line 19
In Column A, enter the total paid committee expenditures for the period in **Section P** on bottom of page 13. In Column B, enter the total for the calendar year, if an ongoing political or party 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 candidate, exploratory and durational political committees (add all amounts entered on line 19, Column A from prior statements since the committee's inception).

Line 20
In both Columns A and B, subtract amount on line 19 from the amount on line 18 and enter the total.

Line 21
In Column A, enter the total of **Section L4** reported on bottom of page 10. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 21, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 21, Column A from prior statements since the committee's inception).

Line 22
In Column A, enter the total of **Section M** reported on bottom of page 11. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 22, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 22, Column A from prior statements since the committee's inception).

Line 23
In Column A, enter the total of **Section N** reported on bottom of page 11. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 23, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 23, Column A from prior statements since the committee's inception).

COMPLETING THE SUMMARY PAGE TOTALS *continued*

Line 24
Optional — In Column A, enter the total of **Section O** reported on page 12. In Column B, enter the total since the committee's establishment (add all amounts entered on line 24, Column A from prior statements since the committee's inception).

Line 25
In Column A, enter the total unpaid beginning loan balance which is currently outstanding.

Line 25a
In Column A, enter the total of **Section D** reported on page 5. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 25a, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 25a, Column A from prior statements since the committee's inception).

Line 25b
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 or party committee (add all amounts entered on line 25b, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 25b, Column A from prior statements since the committee's inception).

Line 25c
In Column A, enter any payments made this period on the outstanding committee loan balance (which will be reported in **Section P**, "Expenses Paid by Committee," with the code **LOAN**). In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 25c, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 25c, Column A from prior statements since the committee's inception).

Line 25d
For both Columns A and B, add lines 25, 25a, 25b and then subtract line 25c from that amount.

Line 26
In Column A, enter the total of **Section Q** reported on bottom of page 14. In Column B, enter the total since the committee's establishment (add all amounts entered on line 26, Column A from prior statements since the committee's inception for a candidate committee, slate committee, exploratory committee or from the time that the party committee became the authorized funding vehicle for two or more candidates).

Line 27
In Column A, enter the total of **Section R** reported on bottom of page 15. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 27, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 27, Column A from prior statements since the committee's inception).

Line 28
In Column A, enter the total of **Section S** reported on page 16 for this period.

Line 28a
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 S** on page 16.

PART I. MONETARY RECEIPTS

Part I requires the Treasurer to disclose all contributions and other funds received by the committee in Sections A through K, dependent upon the source, amount and nature of the monetary receipt. Treasurers must deposit contributions and other funds within 14 days of receipt.

A. Total Contributions from Small Contributors

In Section A, enter the total amount received from *small contributors* for the period covered by this statement. A *small contributor* is an **individual** who has contributed **$50 or less** to date. A Treasurer is **permitted** to itemize each contribution, irrespective of amount, and list all of the individual contributors in Section B, "Itemized Contributions from Individuals." 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 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 contributors received for the period.

B. Itemized Contributions from Individuals

In Section B, report monetary contributions from individuals that are in **excess of $50** in the aggregate to date. Each contribution has to be reported separately.

Last Name, **First Name**, **Middle Initial**, **Residential Street Address**, **City**, **State**, and **Zip Code**: Enter the name and *residential* street address for each contributor. The Treasurer may enter an alternate address in lieu of an individual's residential address *only* if the contributor has made known to the Treasurer that the contributor is in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*

Principal Occupation and **Name of Employer**: 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 party committee or 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.

Is contributor a lobbyist, **spouse**, **or dependent child of a lobbyist?** Answer the questions 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**

If the committee filing this statement is a candidate committee, town committee or slate committee that is financing a candidate for the Chief Executive Officer of a municipality (i.e. Mayor, First Selectman): If the aggregate contributions from an individual are in excess of $400, the Treasurer must indicate if the individual or "business with which he/she is associated" has a contract with that municipality **and** the contract is valued at more than $5,000, by checking off the appropriate box. *"Business with which he is associated" means the contributor is a director, officer, owner, partner, or stockholder of 5% or more of business.*

B. Itemized Contributions from Individuals *continued*

Is this contribution associated with an event listed in Section L1?: Check the appropriate ***Yes*** or ***No*** box. If ***Yes***, list the "Event #" as reported in Section L1.

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

Amount of Contribution: Record the amount of the individual contribution.

Method of Contribution: Indicate the manner in which the contribution was received: either ***Cash***, ***Personal Check***, ***Credit / Debit Card***, ***Payroll Deduction***, or ***Money Order***.

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

Aggregate Contributions: Add the total of all of the individual's aggregate contributions and record the amount. Aggregate is the total for the calendar year for an ongoing political committee or a party committee *or* the total since the committee's establishment for a candidate, exploratory or durational political committee. When determining the aggregate contribution amount from an individual, the amount of "In-Kind Contributions" entered in Section M must also be included in the total.

SUBTOTAL Section B – This Page: Add together each individual contribution 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 CONTRIBUTIONS FROM INDIVIDUALS: 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.

C1. Contributions from Other Committees

In Section C1, report all **monetary** contributions received from other committees during this period. This includes distribution of surplus funds from an ongoing political committee that is terminating. ***Please Note***: Distribution of surplus funds received from a candidate committee or durational political committee are reported in Section C2.

Name of Committee, **Name of Treasurer**, **Address**, **City**, **State**, and **Zip Code**: Enter the donor committee's full committee name (or acronym if known), address, and name of its Treasurer.

Is this contribution associated with an event listed in Section L1?: Check the appropriate ***Yes*** or ***No*** box. If ***Yes***, list the "Event #" as reported in Section L1.

Amount of Contribution: Record the amount of the committee contribution.

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

Aggregate Contributions: Add together all of the donor committee's contributions to date and record the amount. When determining the aggregate contribution amount, include the amount of "In-Kind Contributions" entered in Section M in the aggregate total.

C2. Reimbursements, Payments or Surplus Distributions from other Committees

In Section C2, report monetary receipts from other committees that are **NOT** contributions during this period. These are generally reimbursements from other committees for joint expenditures. For party committees and political committees, use this section for receipt of surplus distribution from a terminating candidate committee, exploratory committee or durational political committee. ***Please Note***: Monies received from an ongoing political committee that is terminating are considered contributions and must be entered in Section C1 "Contributions from Other Committees."

Examples of joint expenditures include: A candidate committee's reimbursement of another candidate committee for its *pro rata* share of the expense associated with operating a joint headquarters, purchasing joint advertising or a candidate committee's payment for the use of a party committee's bulk mail permit.

Name of Committee, **Name of Treasurer**, **Address**, **City**, **State**, and **Zip Code**: Enter the other committee's full name (or acronym if known) and address, and the name of its Treasurer.

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.

Payment Type: Indicate the purpose for which the funds were received either ***Reimbursement for shared expense***, ***Payment for goods and services*** or ***Surplus Distribution***.

Amount of Receipt: Record the amount of the reimbursement, payment, or surplus distribution.

SUBTOTAL Section C – This Page: Add together the amount of each monetary receipt reported on page 4 in Section C1 and C2 and record the total.

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

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

D. Loans Received this Period

In Section D, report separately 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.). A loan from an individual or another committee is considered a contribution until the loan is repaid and the amount of the loan must be within the permissible limits for the contributor. A loan from a bank is **NOT** a contribution, provided it is made in the ordinary course of business. A candidate may loan any amount of personal funds to his own candidate committee.

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***, ***Candidate***, ***Individual***, or ***Other Committee***.

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 D: Add together each individual loan reported in Section D of this filing and record the total on this line and on **Line 25a**, **Column A** of the Summary Page Totals. This total must also be reported on **page 7** on the line "Total Loans Received this Period" (Section D).

D. Loans Received this Period *continued*

If a candidate forgives a loan which he or she made to his/her own candidate committee, proper reconciliation must be made as follows:

1. On line 25d of the Summary Page Totals, reflect the amount of the outstanding loans once the candidate has forgiven his portion; if the candidate is the only lender to the committee, this balance would be zero.
2. In Section Q, "Campaign Expenses Paid by Candidate," report the candidate's name as payee and the amount which is going to be forgiven and the date the loan was forgiven as the date of payment. Also record in the description field "loan forgiven" and the date the original loan was made.

E. Receipts from Entities other than Individuals or Other Committees

Section E is applicable to Referendum Committees **ONLY**. Such committees may accept contributions from business entities, labor unions, and other organizations and associations, within certain limits prescribed in General Statutes § 9-620. Contributions to a referendum committee received from **individuals** or other registered **committees** in the State of Connecticut are to be reported in either Section B, C1 or C2, as appropriate.

Name of Entity, **Street Address**, **City**, **State**, and **Zip Code**: Enter the donor entity's name and address.

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

Amount Received: Record the amount of the receipt.

Aggregate Contributions: Add the total of all of the receipts from the same entity to date and enter the amount.

TOTAL SECTION E: Add together each receipt from an entity reported in Section E of this filing and record the total on this line and on **page 7** on the line "Total Receipts from Entities other than Individuals or Other Committees" (Section E).

F. Amount Transferred from Affiliated Business Treasury

Section F is applicable to political committees established by a business entity **ONLY**. In general, a business entity is prohibited from making contributions to any committee [*See* General Statutes § 9-613(a)] but it may make reasonable and necessary transfers of funds to its affiliated committee to defray the administrative costs of operating the committee or the costs for soliciting contributions for the committee. A transfer for a fundraiser is "reasonable and necessary" if the aggregate of that transfer plus any other payments made by the business entity in connection with the event does not exceed one-third of the total contributions received by the committee in connection with the fundraiser.

Date of Receipt: 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.

Is this contribution associated with an event listed in Section L1?: Check the appropriate ***Yes*** or ***No*** box. If ***Yes***, list the "Event #" as listed in Section L1. By identifying the event associated with the transfer of funds to the committee, the committee will be able to ensure that the transfer does not exceed one-third of the contributions received by the committee at that event.

Amount: Record the amount of the transfer.

TOTAL SECTION F: Add together each transfer from an affiliated business entity reported in Section F of this filing and record the total on this line and on **page 7** on the line "Total Amount Transferred from Affiliated Business Treasury" (Section F).

G. Amount Transferred from Affiliated Labor Union or Other Organization Treasury

Section G is only applicable to political committees established by a labor union or dues receiving professional association. If at the time of registration, a political committee established by a labor union or other organization indicates that the committee will be funded exclusively by the labor union/organization's treasury, such transfers may be made directly to the committee and are reported here. If the political committee indicates that it will be funded exclusively by voluntary contributions from its members, these contributions are reported in Section B "Itemized Contributions from Individuals."

Date of Receipt: 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.

Amount: Record the amount of the transfer.

TOTAL SECTION G: Add together each transfer from an affiliated labor union or other organization treasury reported in Section G of this filing and record the total on this line and on **page 7** on the line "Total Amount Transferred from Affiliated Labor Union or Other Organization Treasury" (Section G).

H. Personal Funds of the Candidate Received this Period

Section H is applicable to Candidate Committees **ONLY**. In Section H, report a candidate's donation of his or her personal funds into the committee's account **without** the expectation of repayment. The donation of funds with the expectation of repayment is a loan from the candidate and must be reported in Section D "Loans Received this Period."

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

Method of Payment: Check the appropriate box indicating the way in which the transaction was received, either ***Cash***, ***Personal Check***, or ***Credit /Debit Card***.

Amount: Record the amount of the receipt.

TOTAL SECTION H: Add together each receipt of personal funds from the candidate reported in Section H of this filing and record the total on this line and on **page 7** on the line "Total Amount of Personal Funds of the Candidate Received this Period" (Section H).

I. Anonymous Contributions

Per Public Act 11-48, Anonymous Contributions may no longer be deposited in *any* amount. If a committee receives an anonymous contribution, the campaign treasurer shall immediately remit the contribution to the State Elections Enforcement Commission for deposit in the General Fund.

J. Interest from Deposits in Authorized Accounts

In Section J, record all interest earned on any committee account during this reporting period.

Name of Institution, **Street Address**, **City**, **State**, and **Zip Code**: Enter the banking institution's name and address.

Date Received: Record the date that the interest was credited to the committee's account.

Amount: Record the amount of the interest credited to the committee's account.

TOTAL SECTION J: Add together the interest earned reported in Section J of this filing and record the total on this line and on **page 7** on the line "Total Amount of Interest from Deposits in Authorized Accounts" (Section J).

K. Miscellaneous Monetary Receipts not Considered Contributions

In Section K, record miscellaneous monetary receipts **NOT** considered contributions. Examples include rebates, credits, and refunds.

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

Date of Transaction: Record the date that the funds were received by the committee.

Description: Describe the reason for the monetary receipt. **EXAMPLE**: Refund of security deposit from banquet hall.

Amount Received: Record the amount of the receipt.

TOTAL SECTION K: Add together each miscellaneous monetary receipt reported in Section K of this filing and record the total on this line and on **page 7** on the line "Total Miscellaneous Monetary Receipts not Considered Contributions" (Section K).

SUMMARY OF OTHER MONETARY RECEIPTS

Total of Other Monetary Receipts: Add the subtotals of Sections D through K of this filing and record the total. Enter this total on **Line 15**, **Column A** of the Summary Page Totals.

PART II. FUNDRAISING 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.

L1. Fundraiser Event Information

Assign a unique event number in the box marked "Fundraising Event #" for each fundraising event by entering the date in which the fundraiser was held (mmddyy) together with a letter, in alphabetical order (A—Z) at the end of the number listed, 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 fundraisers were held on the same day, March 8, 2012, the following would be reported on the form:
>
> 1st fundraiser Event # 030812A
>
> 2nd fundraiser Event # 030812B

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

For each fundraising event, enter the date the event was held, or is to be held, as well as the description of the event (i.e. cocktail party, tag sale, etc.). In addition, list the actual location of the event including the street address, city and state.

Subpart 1: **ALL COMMITTEES**: Check the appropriate "***Yes***" or "**No**" box. If the event was held at an individual's personal residence, check off the "***Yes***" box, and proceed to Section L4 to complete the itemization required for "In-Kind Donations not Considered Contributions." If the event includes items donated by a business entity with a value of up to $100 or by an individual with a value of up to $100, check off the "***Yes***" box, and proceed to Section L4 to complete the itemization required for "In-Kind Donations not Considered Contributions." S*ee Section L4 for detailed instructions*.

If the fundraiser was a tag sale, auction, or sale of donated items, check off the "***Yes***" box, and enter the total receipts from the sale of donated items. The receipts are NOT contributions provided the total purchase of all items by one individual does not exceed $100 per event. However, if an individual purchases an aggregate amount at a particular event in excess of $100, the entire amount *is* a contribution and is reported as a contribution in Section B. ***Please Note****: These receipts are no longer required to be itemized—See Public Act 11-48*

> **EXAMPLE**: John Doe purchases a CD player at the tag sale for $40. This transaction is reported in Section L1 Subpart 1 along with other purchases that are $100 or less. If however, John Doe also purchases a table for $65 at the same tag sale, his aggregate purchases are now $105 and the entire amount ($105) is reported in Section B as an itemized contribution along with a reference to the event number assigned in Section L1.

Subpart 2: **TOWN COMMITTEES AND MUNICIPAL CANDIDATE COMMITTEES ONLY**: If there were purchases of advertising space in a program book, check off the "***Yes***" box, and proceed to Section L3 to complete the itemization required for "Purchases of Advertising Space in a Program Book or on a Fundraiser Sign." *See Section L3 for detailed instructions*.

Subpart 3: **TOWN COMMITTEES ONLY**: Enter the total receipts from the sales of food or beverage at a fair or similar mass gathering (i.e. county fair, apple festival, etc.) held within the state, that are not considered contributions to the committee. The sale of food and beverage at these venues to one individual which is $50 or less is ***NOT*** a contribution to the committee, and may be added together with all such proceeds from the event and reported as "Total Receipts from Small Purchases" in this section. If the sale to one individual, however, is in excess of $50, then the entire purchase is deemed a contribution and is reportable in Section B, "Itemized Contributions from Individuals."

L1. Fundraiser Event Information *continued*

SUBTOTAL Section L1—Subpart 1 Total Receipts from Sale of Donated Items – This Page: Add together the total receipts from small purchases in Section L1, Subpart 1 for each event reported on page 8 and record the total. *All Committees*.

SUBTOTAL Section L1—Subpart 3 Total Receipts from Food Purchases – This Page: Add together the total receipts from food purchases in Section L1, Subpart 3 for each event reported on page 8 and record the total. *Town Committees ONLY*.

TOTAL of additional Section L1 Pages: Total and record the amount of all additional Section L1 pages (if applicable).

TOTAL OF ALL RECEIPTS FROM SMALL PURCHASES: Add together all of the amounts reported in all Section L1 pages of this filing. Record the amount on this line and on **Line 16a**, **Column A** of the Summary Page Totals.

~~L2. Proceeds from Tag Sale, Auction, or Other Sale of Donated Items~~

Per Public Act 11-48, effective January 1, 2012 committees are no longer required to itemize small individual purchases from a committee tag sale, auction, or sale of donated items. *See new reporting requirements in Section L1 Subpart 1.*

L3. Purchases of Advertising in a Program Book or on a Fundraiser Sign

Section L3 is applicable to **Town Committees** and **Municipal Candidates ONLY**. The amounts reported in this section are NOT contributions provided the total purchase price of advertising space in a program book or on a fundraiser sign **does not exceed $250** for a business entity or **$50** if the purchaser is an individual, another committee or any other entity (e.g. sole proprietorship or labor union). The $250/$50 exemption applies to aggregate purchases of advertisements in program books or signs at fundraisers from the same town committee in a calendar year or from the same candidate committee in an election cycle.

Name of Purchaser, **Street Address**, **City**, **State**, and **Zip Code**: Enter the purchaser's name and address. The Treasurer may enter an alternate address in lieu of an individual's residential address *only* if the contributor has made known to the Treasurer that the contributor is in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*

Purchase Made By: Check the appropriate box to indicate the source of the purchase, either ***Business Entity***, ***Individual***, or ***Sole Proprietorship***. "**Business entity**" includes the following...Stock corporations, banks, insurance companies, business associations...partnerships, joint ventures, private foundations...trusts or estates...corporations… "**Sole proprietorship**" includes sole proprietorships and solely owned professional corporations.

Date Received: Record the date that the payment for the Ad Book was received by the committee

Event #: Use the unique "Event #" originally reported in Section L1.

Aggregate Purchases for All Events: Add up the total of all advertising purchases made by the same purchaser, including this purchase, during the calendar year for town committees or during the election cycle for municipal candidates, and record the total amount.

L3. Purchases of Advertising in a Program Book or on a Fundraiser Sign *continued*

Amount of Program Ad Purchase — *Municipal Candidate and Town Committees ONLY*: Record the amount of the purchase of advertising in a program book for this event.

Amount of Sign Purchase — *Town Committees ONLY*: Record the amount of the purchase of advertising on a fundraiser sign for this event.

SUBTOTAL Section L3—Total Purchases of Advertising in Program Book – This Page: Add together the total purchases of advertising in a program book in Section L3 for each event reported on page 9 and record the total. *Municipal Candidate and Town Committees ONLY.*

SUBTOTAL Section L3—Total Purchases of Advertising on a Sign – This Page: Add together the total purchases of advertising on a fundraiser sign in Section L3 for each event reported on page 9 and record the total. *Town Committees ONLY.*

TOTAL of additional Section L3 Pages: Total and record the amount of all additional Section L3 pages (if applicable).

TOTAL OF ALL PURCHASES OF ADVERTISING IN A PROGRAM BOOK OR ON A SIGN: Add together all of the amounts reported in all Section L3 pages of this filing. Record the amount on this line and on **Line 16c**, **Column A** of the Summary Page Totals.

L4. In-Kind Donations Not Considered Contributions

In Section L4, report the donation of items to a committee for an event that are NOT considered contributions. These include: personal property (value up to **$100** donated by an individual, sole proprietorship or solely owned professional corporation); goods or services donated by a business entity (value up to **$200** donated by a business in the business of selling those items, i.e. a florist can donate a flower arrangement); the cost of invitations, food or beverages voluntarily provided by an individual hosting a fundraising event at the individual's residence or community room at the residence, provided the value is not in excess of **$400** with respect to an individual resident (or $800 with respect to two or more individuals hosting an event at a host's residence) for a committee. Each item should be reported separately, unless the donor gives multiple of the same item (i.e. 25 books). Note that, as to the house party exemption, an individual is limited to $800 in total expenses for a committee during the calendar year or election cycle.

Name of Donor, **Street Address**, **City**, **State**, and **Zip Code**: Enter the donor's name and address. The Treasurer may enter an alternate address in lieu of an individual's residential address *only* if the contributor has made known to the Treasurer that the contributor is in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*

Donation Given By: Indicate the source of the donation, either ***Business Entity***, ***Individual***, or ***Sole Proprietorship***. "**Business entity**" includes the following...Stock corporations, banks, insurance companies, business associations… partnerships, joint ventures, private foundations...trusts or estates...corporations… "**Sole proprietorship**" includes sole proprietorships and solely owned professional corporations.

Description of Donation: Provide a brief description of the item(s) donated. Each item should be reported separately, unless the donor gives multiple of the same item (i.e. 25 books).

Fair Market Value of Donation: Record the fair market value of the donated item(s).

Date Received: Record the date that the committee received the item(s).

Event #: Use the unique "Event #" originally reported in Section L1.

L4. In-Kind Donations Not Considered Contributions *continued*

Aggregate Value for this Event: Add up the total of all of the individual's or business' donations for this event and record the amount.

SUBTOTAL Section L4 – This Page: Add the amount of each individual item donated reported on page 10 in Section L4 and record the amount.

TOTAL of additional Section L4 Pages: Total and record the amount of all additional Section L4 pages (if applicable).

TOTAL OF ALL IN-KIND DONATIONS NOT CONSIDERED CONTRIBUTIONS: Add together all of the amounts reported in all Section L4 pages of this filing. Record the amount on this line and on **Line 21**, **Column A** of the Summary Page Totals.

PART III. NON-MONETARY RECEIPTS

In Part III the Treasurer is required to disclose In-Kind Contributions and refundable deposits to the telephone company.

M. In-Kind Contributions

In Section M, list separately 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.

The contribution limits and restrictions which apply to a particular contributor apply to the combination of monetary *and* non-monetary contributions. In-Kind Contributions made by the same contributor must be aggregated together to determine if the contribution limit has been exceeded.

> **EXAMPLE**: John Doe's contribution limit to a party committee is $1,000. If John Doe contributes $200 worth of stationery to the committee (an In-Kind Contribution), he may only make an additional $800 contribution to the committee during the calendar year, whether in the form of a monetary contribution or contribution In-Kind, or any combination thereof.

Name, **Street Address**, **City**, **State**, and **Zip Code**: Enter the contributor's name and address. The Treasurer may enter an alternate address in lieu of an individual's residential address *only* if the individual contributor has made known to the Treasurer that the contributor is in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*

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

Type of Contributor: Check the appropriate box for the source of the In-Kind Contribution, either ***Committee***, ***Individual / Sole Proprietorship***, or ***Other***. Only referendum committees may accept an In-Kind Contribution from an entity other than an individual / sole proprietorship or committee. "**Sole proprietorship**" includes sole proprietorships and solely owned professional corporations. "**Other**" includes business entities, labor organizations and other preexisting organizations and associations.

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

M. In-Kind Contributions *continued*

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

Is contributor a lobbyist, **spouse**, **or dependent child of a lobbyist?** Answer the questions 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**

If the committee filing this statement is a candidate committee for the Chief Executive Officer of a municipality (i.e. Mayor, First Selectman): If the aggregate contributions from an individual are in excess of $400, the Treasurer must indicate if the individual or "business with which he/she is associated" has a contract with that municipality **and** the contract is valued at more than $5,000, by checking off the appropriate box. *"Business with which he is associated" means the contributor is a director, officer, owner, limited or general partner, or stockholder of 5% or more of business.*

Is this contribution associated with an event listed in Section L1?: Check the appropriate ***Yes*** or ***No*** box. If ***Yes***, list the "Event #" as reported in Section L1.

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

Aggregate Contributions: Add up the total of all contributions to date and record the amount. When determining the aggregate contribution amount for an individual, the total of the individual's *monetary* contributions as reported in Sections A and B must *also* be included in this total. When determining the aggregate contribution amount from a committee, the total of the committee's *monetary* contributions as reported in Section C must *also* be included in this total.

SUBTOTAL Section M – This Page: Add together each In-Kind Contribution reported on page 11 in Section M and record the total.

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

TOTAL OF ALL IN-KIND CONTRIBUTIONS: Add together all of the amounts reported in all Section M pages of this filing. Record the amount on this line and on **Line 22**, **Column A** of the Summary Page Totals.

N. Refundable Deposit to Telephone Company

Section N 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 P as an expense of the committee and the refund of the deposit is reported in Section K "Miscellaneous Monetary Receipts not Considered Contributions."

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

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 N: Record the total amount for Section N of this filing on this line and on **Line 23**, **Column A** of the Summary Page Totals.

O. Non-Monetary Receipts of Organization Expenditures Made by Legislative Leadership, Legislative Caucus and Party Committee — *OPTIONAL*

In Section O, separately list each organization expenditure received by the committee. An organization expenditure is one made **ONLY** by a legislative leadership, legislative caucus or party committee for the benefit of a candidate or candidate committee. A candidate committee should report the receipt of an organization expenditure at the time the candidate's committee receives notice from the legislative leadership, legislative caucus or party committee that has made the organization expenditure.

Please Note: Legislative leadership and legislative caucus committees *may not* make organization expenditures that benefit candidates in a municipal election.

If the reporting committee is **making** an organization expenditure on behalf of another candidate or candidate committee, the expenditure must be reported in Section P "Expenses Paid by Committee" **and** itemized in Section P Addendum." *See Section P for further instructions.*

Name of Committee, **Name of Treasurer**, **Address**, **City**, **State**, and **Zip Code**: Enter the full name, address and Treasurer of the committee making the organization expenditure.

Date Notice Received: Record the date that the notice of the expenditure was received from the legislative leadership, legislative caucus or party committee.

Fair Market Value of Donation: Record the fair market value of the organization expenditure.

Aggregate Donations: Record the aggregate value of all organization expenditures received from the same legislative leadership, legislative caucus or party committee.

Description of Donation: Provide a brief description of the organization expenditure received.

Purpose of Expenditure: Check the appropriate box labeled **A**, **B**, **C**, **D**, or **E** based on the type of organization expenditure received. There are five types of organization expenditures:

> **A**: **Party Candidate Listing—**includes the preparation, display, mailing, or other distribution of a party candidate listing. A party candidate listing is limited in content and may include the name or names of candidate(s), photographs, the office(s) sought, the office(s) currently held by the candidate(s), as well as the party enrollment of the candidate(s). It may also contain a brief statement concerning the position and philosophies of the candidate(s), as well as a biography and an encouragement to vote for such candidate(s). ***Please Note***: Party candidate listings may not contain negative content about a candidate or party, or solicit funds.
>
> **B**: **Party Building Document—**includes a document in printed or electronic form created and maintained by a legislative leadership, legislative caucus or party committee of the same party as the candidate, consisting of the following: a party platform; a copy of an issue paper; a list of registered voters and voter identification information; and information relating to the requirements of campaign financing.
>
> **C**: **Campaign Event—**includes only campaign events at which a candidate or candidates are present.
>
> **D**: **Advisory Services—**includes payment for the services of an advisor to provide assistance relating to campaign organization, financing, accounting, strategy, law or media.
>
> **E**: **Use of Office and Equipment—**includes the use of headquarters, facilities, and equipment by the candidate provided there is no additional cost to the legislative leadership, legislative caucus or party committee.

TOTAL SECTION O: Add together all of the amounts reported in all Section O pages of this filing. Record the amount on this line and on **Line 24**, **Column A** of the Summary Page Totals.

PART IV. EXPENDITURES

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

This part also provides for the disclosure of expenses paid directly by a candidate on behalf of his/her candidate committee, and of expenses directly paid by committee workers seeking reimbursement.

P. Expenses Paid by Committee

In Section P, separately list each expenditure made from the committee's single checking account during the period covered in this statement. Each time a committee issues a check or uses the committee debit card the transaction **must** be entered here. When a committee makes an expenditure that benefits a different candidate or committee, an indication must be made to identify the expenditure as either "coordinated with reimbursement sought," "coordinated without reimbursement sought," "independent," or as "organization."

If the expense is a *reimbursement* to a committee worker or consultant, the original purchase made by the committee worker or consultant must **also** be reported in Section T, "Itemization of Reimbursements to Committee Workers and Consultants."

If the expense is a *reimbursement* to the candidate, the original purchase made by the candidate must **also** be reported in Section Q, "Campaign Expenses Paid by Candidate."

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) or ***Debit Card/EFT***.

Purpose of Expenditure: Note the purpose of the expenditure using the Expenditure Code Addendum attached (*pages 27-29*).

Description: Provide a brief description of the expenditure. Certain expenditure codes **require** a description as set forth in the Expenditure Code Addendum attached (*pages 27-29*).

Event #: If the expenditure is associated with an event, list the "Event #" as reported in Section L1.

Amount: Record the amount of the expenditure.

Expenditure #: *To be completed only when the expenditure is* Coordinated with reimbursement sought, Coordinated without reimbursement sought, Independent *or* Organization. Assign a unique Expenditure #, beginning with the number 0001 and continue sequentially. The purpose of assigning this unique number is to link the committee's expenditure with their itemization is Section P Addendum (*see instructions below*).

Type of Expenditure: If applicable, check the appropriate box to note whether the expenditure is ***Coordinated with reimbursement sought***, ***Coordinated without reimbursement sought***, ***Independent*** or ***Organization***. Where these terms are used in Section P and in Sections R, S, and T, they mean the following:

> If the expenditure is made in cooperation or consultation with a candidate, candidate committee, political committee or party committee directly, or through an agent of that committee, the expenditure is considered "coordinated." An unreimbursed "**coordinated expenditure**" is an In-Kind Contribution to the recipient committee, must be reported as such, and all applicable limits and prohibitions shall apply. If the committee making the coordinated expenditure is seeking reimbursement for that expense, then check that particular box; if the committee is not seeking reimbursement, then check the box indicating that the expenditure is "**coordinated without reimbursement sought**." Reimbursement to the benefiting committee must be made **within 45 days** in order to avoid making an In-Kind Contribution.

P. Expenses Paid by Committee *continued*

An expenditure made to promote the success or defeat of a candidate that is made without the consent, knowing participation, or consultation of a candidate, committee, or agent thereof, is an "**independent expenditure**" and the box marked "independent" must be checked off.

An "**organization expenditure**" is one that can only be made by a legislative leadership, legislative caucus or party committee for the benefit of a candidate or candidate committee. If the expenditure is an organization expenditure, check off the box marked "organization" along with the appropriate circle (A—E) indicating the purpose of the organization expenditure:

A: **Party Candidate Listing—**includes the preparation, display, mailing, or other distribution of a party candidate listing. A party candidate listing is limited in content and may include the name or names of candidate(s), photographs, the office(s) sought, the office(s) currently held by the candidate(s), as well as the party enrollment of the candidate(s). It may also contain a brief statement concerning the position and philosophies of the candidate(s), as well as a biography and an encouragement to vote for such candidate(s). ***Please Note***: Party candidate listings may not contain negative content about a candidate or party, or solicit funds.

B: **Party Building Document—**includes a document in printed or electronic form created and maintained by a legislative leadership, legislative caucus or party committee of the same party as the candidate, consisting of the following: a party platform; a copy of an issue paper; a list of registered voters and voter identification information; and information relating to the requirements of campaign financing.

C: **Campaign Event—**includes only campaign events at which a candidate or candidates are present.

D: **Advisory Services—**includes payment for the services of an advisor to provide assistance relating to campaign organization, financing, accounting, strategy, law, or media.

E: **Use of Office and Equipment—**includes the use of headquarters, facilities, and equipment by the candidate provided there is no additional cost to the legislative leadership, legislative caucus, or party committee.

<u>If this expenditure benefits another candidate and is either a coordinated, independent, or organization expenditure</u>, complete the **Section P Addendum**:

Record the **Expenditure #** as assigned in Section P. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate(s) was/were supported or opposed by the expenditure. Record the total **amount** of the expenditure.

Candidate Name; **Office Sought**; **Amount Allocated to Candidate**: Report the other candidate(s') name(s) and office(s) sought for whom the coordinated, independent or organization expenditure was made. Record the amount of the total expenditure allocated to the candidate.

SUBTOTAL Section P – This Page: Add together each expense paid by the committee reported on page 13 in Section P and record the total.

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

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

Q. Campaign Expenses Paid by Candidate

In Section Q report any campaign expenses paid directly from personal funds of the candidate. This section is to be completed by both candidate and exploratory committees. Each candidate must submit to the campaign Treasurer an accounting of any campaign expense paid directly from their personal funds by the close of the reporting period during which these payments were made. The Treasurer must indicate whether the candidate is seeking reimbursement. Any expense, irrespective of amount, for which the candidate seeks reimbursement must be reported. In addition, any candidate expense more than $50 must also be reported, even if the candidate does not wish to be reimbursed. *Exceptions are limited to telephone calls, transportation costs, and meals for which the candidate does not seek reimbursement*.

Report the Committee Check used to actually reimburse the candidate in Section P, "Expenses Paid by Committee."

Please Note: Any campaign expense paid with the personal funds of a candidate who has designated an exploratory committee, a political slate committee or a town committee as his/her sole funding source, is *required* to be reimbursed by that committee or these expenses are considered contributions and must be within the applicable aggregate limits for an individual contributing to the given committee. *See the Commission's website* **www.ct.gov/seec** *for contribution limits*.

Name of Payee, **Street Address**, **City**, **State**, and **Zip Code**: Enter the name and address of the vendor that the candidate paid directly.

Date of Payment: Record the date that the expenditure was made by the candidate.

Is reimbursement claimed? Check the appropriate ***Yes*** or ***No*** box.

Amount: Record the amount of the expenditure.

Purpose of Expenditure: Note the purpose of the expenditure using the Expenditure Code Addendum attached (*pages 27-29)*.

Description: Provide a brief description of the expenditure. Certain expenditure codes **require** a description as set forth in the Expenditure Code Addendum attached (*pages 27-29)*.

Event #: If the expenditure is associated with an event, list the "Event #" as reported in Section L1.

SUBTOTAL Section Q – This Page: Add together each expense paid by the candidate reported on page 14 in Section Q and record the total.

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

TOTAL OF ALL EXPENSES PAID BY CANDIDATE: Add together all of the amounts reported in all Section Q pages of this filing. Record the amount on this line and on **Line 26**, **Column A** of the Summary Page Totals.

> If a candidate is seeking reimbursement and is not paid in the same period in which the expense is reported, the debt to the **candidate** is an outstanding expense to the committee, and should also be reported in Section S, "Expenses Incurred by Committee but Not Paid During this Period." In addition, a candidate who did not originally seek reimbursement for expenses, cannot change this indication via amendment by later seeking reimbursement for those expenses, if the election has already been held.
>
> If, however, a candidate who is seeking reimbursement is not paid in full by the committee, the amount can be forgiven by the candidate at any time, without any outstanding obligation owed to the candidate by the committee.

R. Expenses Incurred on Committee Credit Card

In Section R, 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 P.*

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 S, "Expenses Incurred by Committee but Not Paid During this Period." *See detailed instructions in Section S.*

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, **Street Address**, **City, State**, and **Zip Code**: Enter the name and address of the vendor being paid with the committee credit card.

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

Purpose of Expenditure: Note the purpose of the credit card charge using the Expenditure Code Addendum attached (*pages 27-29*).

Description: Provide a brief description of the item(s) charged. Certain expenditure codes **require** a description as set forth in the Expenditure Code Addendum attached (*pages 27-29*).

Event #: If the expenditure is associated with an event, list the "Event #" as reported in Section L1.

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

Expenditure #: *To be completed only when the expenditure is* Coordinated with reimbursement sought, Coordinated without reimbursement sought, Independent *or* Organization. Assign a unique Expenditure #, beginning with the number 0001 and continue sequentially. The purpose of assigning this unique number is to link the committee's expenditure with their itemization is Section R Addendum (*see instructions below*).

Type of Expenditure: If applicable, check the appropriate box to note whether the expenditure is ***Coordinated with reimbursement sought***, ***Coordinated without reimbursement sought***, ***Independent*** or ***Organization***.

> If this expenditure benefits another candidate and is either a coordinated, independent, or organization expenditure, complete the **Section R Addendum**:
>
> Record the **Expenditure #** as assigned in Section R. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate(s) was/were supported or opposed by the expenditure. Record the total **amount** of the expenditure.
>
> **Candidate Name**; **Office Sought**; **Amount Allocated to Candidate**: Report the other candidate(s') name(s) and office(s) sought for whom the coordinated, independent or organization expenditure was made. Record the amount of the total expenditure allocated to the candidate.

SUBTOTAL Section R – This Page: Add together each expense reported on page 15 in Section R and record the total.

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

TOTAL OF ALL EXPENSES INCURRED ON COMMITTEE CREDIT CARD: Add together all of the amounts reported in all Section R pages of this filing. Record the amount on this line and on **Line 27**, **Column A** of the Summary Page Totals.

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

In Section S, 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.

When a committee incurs an expense that benefits a different candidate or other committee (party committee, political committee, candidate committee), the Treasurer must indicate whether the expense incurred is either "coordinated with reimbursement sought," "coordinated without reimbursement sought," "independent" or an "organization" expenditure.

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.

Purpose of Expenditure: Note the purpose of the expense incurred using the Expenditure Code Addendum attached (*pages 27-29*).

Description: Provide a brief description of the expenditure. Certain expenditure codes **require** a description as set forth in the Expenditure Code Addendum attached (*pages 27-29*).

Event #: If the expenditure is associated with an event, list the "Event #" as reported in Section L1.

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

Expenditure #: *To be completed only when the expenditure is* Coordinated with reimbursement sought, Coordinated without reimbursement sought, Independent *or* Organization. Assign a unique Expenditure #, beginning with the number 0001 and continue sequentially. The purpose of assigning this unique number is to link the committee's expenditure with their itemization is Section S Addendum (*see instructions below*).

Type of Expenditure: If applicable, check the appropriate box to note whether the expenditure is ***Coordinated with reimbursement sought***, ***Coordinated without reimbursement sought***, ***Independent*** or ***Organization***.

If this expenditure benefits another candidate and is either a coordinated, independent, or organization expenditure, complete the **Section S Addendum**:

Record the **Expenditure #** as assigned in Section S. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate(s) was/were supported or opposed by the expenditure. Record the total **amount** of the expenditure.

If a candidate forgives an outstanding expense which was made to his/her own candidate committee, proper reconciliation must be made as follows:

1. On line 28a of the Summary Page Totals, reflect the total amount of the outstanding expenses once the candidate has forgiven their portion; if the candidate is the only outstanding expense to the committee, this balance would be zero.

2. In Section Q, "Campaign Expenses Paid by Candidate," list the candidate's name as payee and the amount which is forgiven and the date the expense(s) were forgiven as the date of payment.

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

SUBTOTAL Section S – This Page: Add together each expense incurred but not paid by the committee reported on page 16 in Section S and record the total.

TOTAL of additional Section S Pages: Total and record the amount of all additional Section S 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 S pages of this filing. Record the amount on this line and on **Line 28**, **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 S of current filing) to the previously reported unpaid expenses that remain unpaid. Record the total on this line and on **Line 28a**, **Column A** of the Summary Page Totals.

T. Itemization of Reimbursements to Committee Workers and Consultants

In Section T, report each instance in which a committee worker or consultant pays a vendor for committee-related expenses. 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 committee worker or consultant in Section P, "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 P**, "Expenses Paid by Committee" with John Doe as the payee, together with the purpose of the expenditure coded as "RCW," the amount of $150, and committee check number 102 listed.

2. In **Section T**, "Itemization of Reimbursements to Committee Workers and Consultants" 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, the amount of $100 as paid to Home Depot by John Doe.

3. On the next entry in **Section T**, 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., the amount of $50 as paid to U.S.P.S. by John Doe.

T. Itemization of Reimbursements to Committee Workers and Consultants *continued*

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

Date of Payment: Record the date that the committee worker or consultant paid the vendor.

Method of Payment: Check the box to indicate the method of payment used to reimburse the committee worker, either ***Check*** (with accompanying committee check number) or ***Debit Card/EFT***.

Secondary Payee, **Street Address of Vendor**, **City**, **State**, and **Zip Code**: Enter the name and address of the vendor that was paid by the committee worker or consultant.

Purpose of Expenditure: Note the purpose of the expenditure made by the committee worker or consultant by using the Expenditure Code Addendum attached (*pages 27-29*).

Description of Purchase: Provide a brief description of the item purchased from the vendor by the committee worker or consultant. Certain expenditure codes **require** a description as set forth in the Expenditure Code Addendum attached (*pages 27-29*).

Event #: If the expenditure is associated with an event, list the "Event #" as reported in Section L1.

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

Expenditure #: *To be completed only when the expenditure is* Coordinated with reimbursement sought, Coordinated without reimbursement sought, Independent *or* Organization. Assign a unique Expenditure #, beginning with the number 0001 and continue sequentially. The purpose of assigning this unique number is to link the committee's expenditure with their itemization is Section T Addendum (*see instructions below*).

Type of Expenditure: If applicable, check the appropriate box to note whether the expenditure is ***Coordinated with reimbursement sought***, ***Coordinated without reimbursement sought***, ***Independent*** or ***Organization***.

> If this expenditure benefits another candidate and is either a coordinated, independent, or organization expenditure, complete the **Section T Addendum**:
>
> Record the **Expenditure #** as assigned in Section T. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate(s) was/were supported or opposed by the expenditure. Record the total **amount** of the expenditure.
>
> **Candidate Name**; **Office Sought**; **Amount Allocated to Candidate**: Report the other candidate(s') name(s) and office(s) sought for whom the coordinated, independent or organization expenditure was made. Record the amount of the total expenditure allocated to the candidate.

SUBTOTAL Section T – This Page: Add together each reimbursement paid by the committee reported on page 17 in Section T and record the total.

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

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

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EXPENDITURE CODE ADDENDUM

For use with Sections P, Q, R, S & T of the SEEC Form 20

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 **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, use **A-OTH** for the cost of developing the message and then use the applicable code for the payments associated with the several delivery methods used. ***Please Note***: The one **exception** to this advertising rule is when advertising content includes, as part of the message, an invitation to individuals to attend a fundraising event in return for a contribution or attendance fee. **Fundraising Event** advertising must be coded **FNDR** (*see explanation below*) irrespective of the advertising delivery method.

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; (d) ads placed in ad books, in schools or civic organizations' ad book pamphlets or bulletins; or (e) ads placed in ad books for fundraising events held by other committees.

ATT**: expenditure for **attendance fee or entrance fee** for any person to a (1) fundraiser held by ***any committee; (2) an inaugural event of any candidate; (3) a charitable event; (4) an educational course or training seminar; etc. 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 R of the SEEC Form 20, 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 R of the SEEC Form 20, 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.

CHAR: expenditure for a payment of committee funds to a tax-exempt **charitable** organization [26 U.S. Code § 501(c)(3)].

EXPENDITURE CODE ADDENDUM

For use with Sections P, Q, R, S & T of the SEEC Form 20

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

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 T, "Itemization of Reimbursements to Committee Workers and Consultants," and follow the instructions for reporting of **Secondary Payees**.

CNTRB: expenditure that is a **contribution to another 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 or fair market value of goods or services provided to the committee by another committee acting as a vendor. *See explanation of* **POC** *below*.

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*) or the committee's own sponsored **inaugural event** (*see* **INAUG** *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. ***Please Note: This expenditure category **must *not* include** expenditures of the committee's funds for the **attendance fees** (**ATT**) **of any persons** attending ***any*** other committee's fundraising event.

***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.

INAUG: expenditure relating to the committee's costs for hosting an **inaugural event** for the committee's own candidate. This code does not include expenditures by the committee for attendance fees of individuals to another committee's inaugural event, which must be coded as an **attendance fee** (*see* **ATT** *above*).

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 S of the SEEC Form 20.

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.

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

POC: expenditure to record a **payment to another committee** at fair market value for goods, services or other things of value provided by that other committee as a reimbursement of a shared expense. Examples: payment for a mail list, contact list or email distribution list prepared and produced by the other committee, or for the cost of the salaries of the other committee's salaried employees who were loaned to the committee, etc. Absent payment to the other committee at fair market value for such benefits received, **within 45 days of receipt**, the committee would be receiving an **In-Kind Contribution** from the other committee. ***Please Note***: **In-Kind Contributions** do not require an expenditure code because they are receipts of the committee, not expenditures. The **POC** expenditure code category must be distinguished from expenditures that are coded as **contributions to another committee** (**CNTRB**).

EXPENDITURE CODE ADDENDUM

For use with Sections P, Q, R, S & T of the SEEC Form 20

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

POLLS: expenditure associated with **conducting polls and surveys**. This category is to be distinguished from phone banks (**A-PH-BNK**) because the information is not 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: expenditure for **postage**, such as stamps, bulk mail permits, post office boxes and envelopes, United Parcel Service, Federal Express, etc.

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

RCW: expenditure to **reimburse committee workers**, which may include a candidate. This is when the cost of payment for something needed by the committee is advanced by the committee worker and reimbursement is sought and obtained from the committee's Treasurer who authorized the payment within 45 days of receipt of the paid for item. ***Please Note***: Absent reimbursement to the committee worker **within 45 days of receipt** of the paid for item, the committee would be receiving an **In-Kind Contribution** from the committee worker. After making payment to the worker, reporting this item also requires full reporting of the **Secondary Payees** appearing on the payment slip of the committee worker. Go immediately to Section T, "Itemization of Reimbursements to Committee Workers and Consultants," and follow the instructions for reporting of Secondary Payees. ***Further Note***: When reimbursing the candidate, report the purchase in Section Q of the SEEC Form 20, entitled "Campaign Expenses Paid by the Candidate."

REF: **refunds** is an expenditure 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: expenditure which is a **surplus distributions** in connection with the termination and dissolution of the committee.

TRVL: expenditure 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: expenditure 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: expenditure for accessing and having a presence on the **WEB**. This includes payments to develop or maintain: (a) a committee website and homepage; (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 online 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**: expenditure 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 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 20.