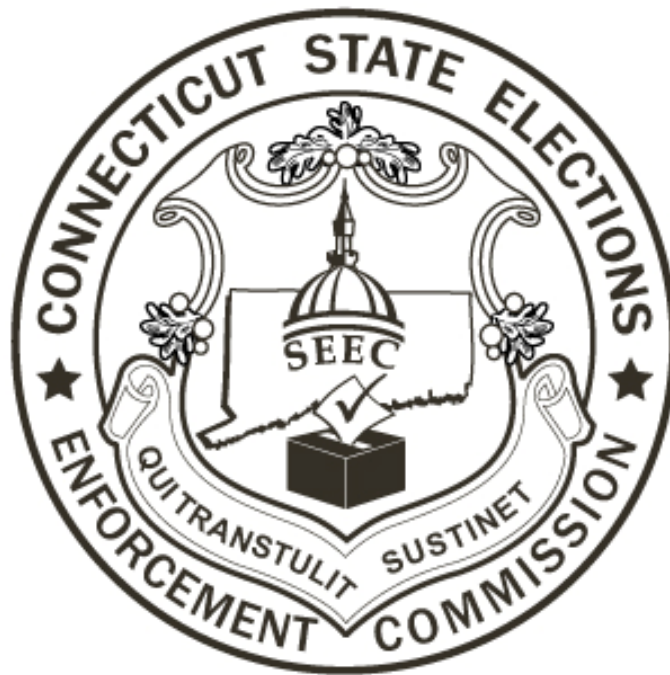


UNDERSTANDING THE CONNECTICUT CAMPAIGN FINANCE LAWS A GUIDE FOR PARTY (TOWN AND STATE CENTRAL) COMMITTEES



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INTRODUCTION

This publication is designed to serve as a guide for party committees which desire to raise and expend funds and other resources in connection with elections or primaries for offices held in Connecticut at the state, district or local level. A party committee may be a state central committee or a town committee.

Connecticut's campaign finance laws that are applicable to party committees are now set forth in Chapter 155 of the Connecticut General Statutes, Sections 9-600 through 9-624. Generally, before funds or other resources may be solicited or received, or expenditures made by a party committee to promote the election or defeat of a candidate or to promote the political party, the party must be registered with the State Elections Enforcement Commission.

[Sections 9-603e(a)-(b), 9-605g(b), General Statutes]

Any party committee established to fund political campaigns has, through its treasurer, periodic public disclosure requirements pertaining to the party committee's financial transactions. A committee's treasurer also has internal record-keeping duties, must comply with limitations on the sources and amount of funds or resources the party committee may receive from donors, and similar responsibilities concerning expenditures that can be made to or for the benefit of any candidate or to promote the party. It is the personal responsibility of the committee's treasurer to ensure that the committee fully complies with all of the statutory requirements relating to campaign financing.

This Guide focuses specifically on the rules regulating a party committee. Political committees which may be established to fund a slate of candidates for selection at a primary to membership on a town committee are beyond the scope of this publication. This type of political committee is covered in the Commission's publication entitled, *"Campaign Finance Registration and Disclosure Requirements for Candidates Involved in Town Committee Primaries Fact Sheet."* The Commission has additional publications that are of interest to party committees, especially *"A Guide for Municipal Candidates."*

Anyone using this Guide is advised to refer to the specific statutory provisions, regulations and advisory opinions of the Commission referenced throughout. This Guide incorporates all of the changes made by the General Assembly to Chapter 155 of the Connecticut General Statutes effective as of January 1, 2007, including Public Act 07-01, effective February 8, 2007.

Copies of the campaign finance laws and all of the campaign disclosure forms, and committee registration statements are available from both the State Elections Enforcement Commission's offices and at its website (www.ct.gov/seec).

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I. DEFINITIONS OF PRINCIPAL TERMS

What is a Party Committee?

A party committee may be the local town committee of a political party or the state central committee, but does not include party-affiliated district, ward, or borough committees.

[Section 9-601(2), General Statutes]

What is a Political Committee?

In addition to the slate committee and exploratory committee, as defined above, this guide will sometimes reference other types of political committees established in this state by the following: business entities, labor unions and other organizations, trade or professional associations, other entities, and groups of at least two individuals. Political committees formed to support or oppose candidates for non-federal elective office in Connecticut at the state or local level may have an ongoing existence or may be formed for only a single election or primary. Similarly, political committees formed for ballot questions may have an ongoing existence or may be formed only for a single ballot question.

While a candidate may not authorize any of these political committees as the funding vehicle for the candidate's campaign, such political committees may, for purposes and in amounts described in this Guide, be donors to the candidate's authorized committee.

[Section 9-601(3), General Statutes]

What is a Business Entity?

A business entity includes a stock corporation, bank, insurance company, limited liability company, business association, bankers association, insurance association, trade or professional association receiving funds from membership dues and other sources, partnership, joint venture, private foundation, trust or estate, cooperative or other association, and any similar organization or entity which is engaged in the operation of a business or profit-making activity.

Please Note: a solely owned professional service corporation (P.C.) or a sole proprietorship is considered an individual and not a business entity.

[Section 9-601(8), (9), General Statutes]

What is an Organization?

An organization includes any labor organization, employee organization, bargaining representative organization for teachers, local, state or national organization to which any labor organization pays fees or membership dues, as well as any trade or professional association receiving its funds exclusively from membership dues. However, if the membership in such trade or professional association includes business entity members, then such a trade or professional organization is deemed to be a business entity and not an organization for purposes of the campaign financing laws.

[Section 9-601(7), General Statutes]

Who is an Individual?

An individual is a human being, a sole proprietorship or professional service corporation organized under chapter 594a of the Connecticut General Statutes owned by an individual.

[Section 9-601(9), General Statutes]

Who is a Committee Chairperson?

A committee chairperson may be any individual who has signed the committee's registration statement as the designated chairperson. The chairperson is responsible to appoint and designate the treasurer and deputy treasurer of the committee on the committee's registration statement, along with other required information. The party's chairperson is generally elected by the party membership.

[Section 9-609(a) General Statutes]

Who is a Campaign Treasurer?

A campaign treasurer may be any elector (registered voter) in Connecticut who is appointed to serve as treasurer of the committee. The campaign treasurer is the only individual who has authority to deposit funds into, or expend funds from, the committee's depository account. Only one individual may serve as a campaign treasurer for a committee at any one time. A candidate may not serve as his or her own treasurer. Therefore, a candidate for elective office whose campaign is being funded solely by the town committee may not serve as the town committee's treasurer during the period of his candidacy. In addition, Commissioners and Deputy Commissioners of state agencies are prohibited from serving as a committee treasurer.

[Sections 9-601(12), 9-606(d), 9-622(11), General Statutes; State Elections Enforcement Commission Advisory Opinion No. 83-2]

Who is a Deputy Campaign Treasurer?

A deputy treasurer must have the same qualifications and be appointed in the same manner as the committee's treasurer. The purpose of appointing a deputy treasurer is to have another individual available to function as the treasurer in the event that the treasurer is unable to perform the required duties of the treasurer. Only one individual may be appointed as deputy treasurer for a committee at any one time. Two

individuals may be designated deputy treasurer on behalf of a state central committee, at any one time. The appointment of a deputy treasurer is optional for all committees. A candidate for elective office whose campaign is being funded solely by the town committee may not serve as the town committee's deputy treasurer during the period of his candidacy. In addition, Commissioners and Deputy Commissioners of state agencies are prohibited from serving as a deputy treasurer.

[Sections 9-601(13), 9-606(d), 9-622(11), General Statutes; State Elections Enforcement Commission Advisory Opinion No. 83-2]

Who is a Solicitor?

A solicitor is any individual who is appointed by the treasurer to receive funds or resources on behalf of the committee. There are no limitations on the number of solicitors that the treasurer may appoint on behalf of the committee. A candidate may serve as solicitor for his or her own campaign. Receiving funds and resources (a solicitor) is different than asking that donations be given to a committee. However, certain individuals are restricted from requesting donations and accepting donations on behalf of a committee, see sections entitled "Lobbyist Contribution Ban," "State Contractor Contribution Ban" and "Prohibited Solicitations" at pages 38, 39 and 47.

[Sections 9-601(14), 9-606(c), 9-622(11), General Statutes]

What is a Depository Institution?

A depository institution is any financial institution situated in or having an office in Connecticut, including but not limited to a bank, savings and loan association, or credit union. It is the treasurer's obligation to establish a *single checking account* for the deposit of all funds received by the committee. Further, all committee expenditures must be made from this account.

[Sections 9-602(a), 9-607, General Statutes; State Elections Enforcement Commission Advisory Opinion No. 75-6]

Who is a Candidate?

A candidate is an individual who seeks nomination or election to public office, whether or not such individual is successful. An individual is deemed to be a candidate if he or she:

1. personally, or through another person, has solicited or received funds or other resources, or made expenditures, including expenditures from personal funds, for the purpose of bringing about such individual's nomination or election to any office; or
2. has been endorsed or nominated by a political party and is thus entitled to a position on the ballot at an election or primary (whether or not funds or resources have been solicited, received or expended); or
3. is otherwise qualified for placement on the ballot pursuant to the election laws (whether or not funds or resources have been solicited, received or expended).

[Sections 9-601(11), 9-400, 9-406, 9-418, and Subchapter C of Chapter 153, General Statutes]

What is a Candidate Committee?

A candidate committee is a committee designated by a single candidate to promote his or her nomination or election to a *specific* office. A candidate committee may only be utilized to support one candidate.

[Section 9-601(4), General Statutes]

What is a “Slate” Committee?

A slate committee is a political committee formed by two or more candidates, within the same municipality, who are seeking office in the same election or primary, for the sole purpose of funding their campaigns. A town committee also may act as the exclusive funding source for candidates to elective municipal office. This requires each of the candidates to file a written authorization, SEEC Form 1B, that the slate committee is the exclusive funding vehicle for the candidates.

[Section 9-604(b)(1)]

What is an Exploratory Committee?

An exploratory committee is a committee formed by a candidate who has not yet determined whether to seek a particular public office, yet desires to raise and spend funds to “test the waters.” An exploratory committee may only be established for an office or offices to be elected at the same election. The sole purpose of such a committee is to decide whether to seek office in a particular election.

[Section 9-601(5) and 9-604(c), General Statutes]

What is a Ballot Question?

A ballot question is a referendum or a proposal, including a proposal to amend the Connecticut Constitution, which is printed on the ballot label and submitted to Connecticut electors or other qualified voters of a Connecticut municipality for their approval or disapproval.

[Section 9-601(15), General Statutes]

What is a Lobbyist?

A lobbyist is any individual or any entity which either receives compensation or makes or agrees to make expenditures in excess of \$2,000 per calendar year to communicate with, or solicit others to communicate with any official, or member of such official’s staff, within the legislative or executive branch of state government, for the purpose of influencing any state legislative or executive administrative action. Lobbyists are required to register with the Office of State Ethics. There are two types of lobbyists: Communicator and Client lobbyists and two different contribution and solicitation bans that apply. See page 38.

[Section 1-91(l) + (u), General Statutes]

What is a Contribution?

A contribution includes any gift, loan, payment or expenditure of money, goods or anything of value made for the purpose of influencing the nomination or election of any individual to office.

A contribution may be monetary or non-monetary (in-kind contribution). All contributions are counted towards the aggregate contribution limits that apply to the particular donor.

The treasurer must determine whether or not a receipt or expenditure constitutes a contribution that counts against the aggregate contribution limits allowed from the particular donor. These limits are discussed later in the section entitled "What Contributions May Be Lawfully Accepted by a Party Committee," on Page 11.

The following are examples of transactions that generally constitute contributions:

- A gift of money by an individual, which may be by cash, personal check, other bank instrument or credit card. An individual may not make a cash contribution in excess of \$100 to a committee in a calendar year. Any contribution in excess of \$100 must be made by personal check of the individual or credit card. (See permissible method of payment in Table on page 56.)
- The transfer of monetary or non-monetary assets by a committee to another committee. Any monetary contribution by a committee to another party committee, a candidate committee or a political committee must be made by check drawn on the donor committee's designated depository account. Political committee checks must have the political committee's name and address typed, stamped or printed, other than by hand, on the face of the check.
- The receipt or gift of goods, services, or anything of value given free of charge or at less than the usual charge (discount) to the recipient committee. Non-monetary receipts or expenditures which are contributions are referred to as "In-kind contributions." An in-kind contribution must be valued at the usual and normal charge less any amount paid by the recipient committee. An in-kind contribution includes the use of real property for a committee headquarters, and the use of personal property such as a computer, facilities, supplies, equipment and mailing lists.
- A loan of money made by any individual or entity other than a national or state bank in the ordinary course of business. Repayments made on the loan reduce the amount of the contribution. A guarantee of payment on a loan by a third party is not a contribution unless the committee defaults on the loan and the guarantor makes payment in satisfaction of the obligation.

For further discussion on loans see section entitled, "SPECIAL TOPICS," "A Loan is a Contribution," on page 33.

- An expenditure made by a committee worker who uses personal funds for which reimbursement is sought; such payments are deemed to be contributions to the committee to the extent that they are not reimbursed by the committee to the worker within 45 days from the date that such expenditure was made.
- An expenditure by a party committee which benefits a candidate or his or her committee constitutes an in-kind contribution to the candidate's committee, unless an exemption applies.
- A coordinated expenditure by a person (including individuals and other committees) made with the cooperation of, in consultation with, or at the request or suggestion of the candidate or his or her committee, treasurer or other agent, constitutes an in-kind contribution to the committee. (See Section 9-601(19), General Statutes). By contrast, an independent expenditure is one which is not made with the cooperation of, in consultation with, at the request or suggestion of the candidate, his or her committee, treasurer or agent. An independent expenditure is not a contribution. (See Section 9-601(18), General Statutes)
- An extension of credit for a length of time beyond normal business or trade practice is a contribution unless the creditor makes a commercially reasonable attempt to collect the debt.
- A written contract, promise or agreement to make a contribution.

[Section 9-601a(a), General Statutes]

Are Certain Monetary and Non-Monetary Receipts or Expenditures Not Considered Contributions?

Yes. There are various types of monetary and non-monetary receipts or expenditures which, depending upon the circumstances are not considered contributions.

The following are examples of receipts or expenditures which, although they may have to be otherwise reported, are not considered contributions, and are therefore not counted against the aggregate contribution limits:

- A loan of money made to a committee in the ordinary course of business by a bank or other financial institution.

[Section 9-601a(b)(1), General Statutes]

- Interest paid to the committee by the committee's bank.
- Uncompensated services, such as legal or accounting services, provided by individuals volunteering their time to the committee.

[Section 9-601a(b)(4), General Statutes]

- Various types of receipts or expenditures occurring at a bona-fide fund-raising affair. See section entitled “FUND-RAISING AFFAIRS,” on Page 24 which explains these transactions.
- Any unreimbursed travel expenses volunteered by an individual on behalf of a state central or town committee in a value not exceeding \$400 in a calendar year.

[Section 9-601a(b)(7), General Statutes]

- An expenditure made by a committee worker who uses personal funds for which reimbursement is sought, and reimbursement is made to the worker within 45 days from the date that such expenditure was made.
- The sale of food or beverage at a discount, not less than the cost to the vendor, for use by a state central or town committee, for a cumulative value not to exceed \$400 in a calendar year.
- The advance of a security deposit by an individual to a telephone company for telecommunications service for the committee, provided the security deposit is refunded to the individual. If the individual is not entitled to or loses entitlement to the refund, the deposit is a non-monetary receipt to the committee the value of which must be reported by the committee as an in-kind contribution.

[Section 9-601a(b)(13), General Statutes]

- An “Organization Expenditure” made by a party committee. Examples of organization expenditures include “a party candidate listing” which may include photographs, the office sought, the office currently held by the candidate as well as the party enrollment of the candidates. It may also contain a brief statement concerning the party or candidate’s position and philosophies as well as a biography and encouragement to vote for such candidate. A party committee may also provide a candidate with a list of registered voters and identification information. A campaign event at which a candidate or candidates are present. The services of an advisor to the campaign, and the use of headquarters, facilities and equipment for the candidate provided there is no additional cost to the town committee. For a further description see “Organization Expenditures” at page 31.

[Section 9-601(25) and 9-601a(b)(16), General Statutes]

What is an Expenditure?

An expenditure includes the following:

- A purchase or payment made, or the consumption of anything of value, for the purpose of influencing the nomination or election of any candidate, or to promote the success or defeat of any political party or ballot question.

- The transfer of funds or resources by the committee to another committee. However, as explained throughout this Guide, there are restrictions which apply to these transfers.
- An expense which has been incurred by the committee but not yet paid.
- Any advertisement that refers to one or more clearly identified candidates, is broadcast by radio or television other than on a public access channel, or appears in a newspaper, magazine or on a billboard, and is broadcast or appears during the ninety-day period preceding the date of an election, other than a commercial advertisement that refers to an owner, director or officer of a business entity who is also a candidate and that had previously been broadcast or appeared when the owner, director or officer was not a candidate.

[Section 9-601b, General Statutes]

II. RESPONSIBILITIES OF THE COMMITTEE CHAIRPERSON

Authorization of a Valid Funding Source

No funds or other resources may be solicited or received, and no expenditures may be made, by the party committee unless its chairperson first registers the committee with the State Elections Enforcement Commission.

Designation and Registration of a Party Committee

The committee's chairperson is responsible to register the committee by signing and submitting with the State Elections Enforcement Commission a form entitled SEEC Form 2, "Party Committee Registration," as the designated chairperson and certifying to the truth and accuracy of all of the other designations entered on the form.

Registration of a candidate committee is accomplished by filing with the State Elections Enforcement Commission a form entitled SEEC Form 2, "Party Committee Registration" with a copy supplied to the Town Clerk of the municipality in which a town committee is situated.

A Committee registration form and all amendments thereto are referred to in this Guide as "the registration statement." A registration statement must contain the following information:

1. The name and address of the committee.
2. The name and address of the committee's treasurer and deputy treasurer, if a deputy treasurer is appointed. *Note:* a state central committee may appoint up to two deputy treasurers while a town committee may appoint only one deputy treasurer.

3. Identification of the name and address of a depository institution located in Connecticut in which a single checking account is established for the committee's funds.

[Sections 9-603, 9-604(a), and 9-605(b), General Statutes]

When and Where to File Registration Statements?

The party committee's registration statement must be filed prior to the solicitation or acceptance of any receipts, or the making of any expenditure; if the party committee is not already registered.

[Sections 9-602(a), 9-603(a), and 9-609 General Statutes]

Party committees must register with the State Elections Enforcement Commission and provide copies to the municipal clerk where the town committee is established.

[Section 9-603, General Statutes]

When and How to Amend A Registration Statement?

Any additions or revisions to a registration statement (i.e. a change in treasurer) must be made in writing to the State Elections Enforcement Commission as soon as possible, but no later than ten days of any such addition or revision (copy to municipal clerk for committees).

[Section 9-605(c), General Statutes]

Appointment and Designation of the Committee's Treasurer and Deputy Treasurer

The committee chairperson is required to appoint one individual, who is a Connecticut elector (registered voter), as committee treasurer and may appoint another such individual as deputy treasurer. Additionally, the chairperson of a state central committee may appoint a second deputy treasurer. These appointments must appear on the committee's most current registration statement. The committee treasurer and deputy treasurer(s) (if applicable) must co-sign the registration statement, filed by the chairperson, signifying their acceptance of the appointment. Once appointed, the treasurer and deputy treasurer serve indefinitely, until such individual resigns, is replaced by the chairperson, or becomes incapacitated. A written statement of resignation must be filed with the State Elections Enforcement Commission in order to relieve the treasurer from the statutory obligations under the Campaign Finance Laws.

[Sections 9-602(c), 9-606(a) and 9-609(a), General Statutes]

Upon a treasurer's resignation or permanent incapacity, the deputy treasurer, if any, automatically succeeds as treasurer. If no deputy treasurer has been appointed, the committee chairperson has ten days in which to designate a successor treasurer to fill the vacancy by filing an amended committee registration statement with the State Elections Enforcement Commission.

The failure to designate a successor treasurer within this 10 day period is a violation of Section 9-602(c), General Statutes, for which a fine penalty of up to \$2,000 can be imposed against the candidate or committee chairperson, as the case may be.

[Section 9-602(c), General Statutes]

A committee may not receive any contributions, or make or incur any expenditures during a period in which the committee is without a treasurer or deputy treasurer. The committee chairperson is legally liable for any such violation and subject to a civil penalty of \$2,000 per each violation.

[Sections 9-602 and 9-605, General Statutes]

An individual may serve as treasurer of multiple party committees. A candidate may never serve as treasurer of a committee that is the authorized funding source of the candidate's campaign. In the event that the candidate has authorized a town committee to fund the campaign, and such candidate is, at the time of filing the exemption, the treasurer or deputy treasurer of the town committee, then the candidate must immediately resign as treasurer or deputy treasurer. The candidate may not resume the office of treasurer or deputy treasurer of the town committee until the individual ceases to be a candidate. Commissioners and deputy commissioners of state agencies are prohibited from serving as committee treasurers and deputy treasurers of party committees for the reason that they are prohibited from soliciting funds for the benefit of any candidate, political committee or political party.

[Sections 9-606(d) and 9-622(11), General Statutes]

Designation of a Depository Institution for Committee Funds

The name and address of a single depository institution located in Connecticut must be designated on the committee's registration form. All committee funds must be deposited into a single checking account established within the designated depository and all expenditures may be made only by the treasurer from this one account.

[Sections 9-602(a) and 9-607(d) + (c), General Statutes]

III. RESPONSIBILITIES OF THE TREASURER

Must Deposit All Committee's Acceptable Contributions

The committee's treasurer is responsible for depositing all funds received by the committee within fourteen (14) days of receipt and must do so in the committee's single checking account established with the committee's designated depository institution.

[Section 9-606(a), General Statutes]

The treasurer must ensure that any funds or resources received by the committee are lawful and within the aggregate limits permitted under the Campaign Financing Laws. Receipts which are either prohibited or otherwise in excess of the permissible limits set forth by law should not be deposited and must be returned to the donor by the treasurer within fourteen days of receipt or by the filing deadline for transactions falling within the reporting period, whichever is earlier.

If a monetary receipt is deposited by the treasurer into the committee's account before it is determined to be unlawful, the treasurer must report it on the financial disclosure statement and refund the same without delay by returning the amount to the donor on a check drawn on the committee's checking account. Any such refund must be reported as an expenditure using the "REF" Expenditure Code for that purpose. Wherever possible, such refunds should be made in the same reporting period as the funds were deposited. The same rules apply to non-monetary receipts that are from improper sources or excessive in amount or value.

[Section 9-607(g)(2)(R), General Statutes]

A Party Committee May Not Accept Certain Monetary Receipts Depending on the Method of Payment

Monetary receipts from individuals may not be accepted by the committee unless the following methods of payments are used:

1. An aggregate amount of \$100 or less may be accepted if made by cash, personal check, bank instrument or credit card; and
2. An aggregate amount in excess of \$100 may be accepted if made by personal check or credit card.

[Sections 9-611(d) and 9-622(9), General Statutes]

Monetary receipts from any other committee which is a proper source of funds must be made by check drawn on that committee's designated depository institution.

What Contributions May Be Lawfully Accepted by a Party Committee?

A Town and State Central Committee may accept:

Contributions from an individual eighteen years of age or older may be accepted to a maximum of \$1,000 per calendar year by a town committee and to a maximum of \$5,000 per calendar year by a state central committee.

Table 1-Individual Contribution Limits to Party Committees

PARTY COMMITTEE TYPE	LIMITS
Town Committee	\$1,000
State Central Committee	\$5,000

Contributions from an individual less than eighteen years of age may be accepted to a maximum of \$30 per calendar year.

[Sections 9-611(e), General Statutes as amended by P.A. 07-1]

An individual contributor must be either a United States citizen or a foreign national with permanent resident status in the United States.

[Title 11 Code of Federal Regulations, §110.4a]

Contributions from a political committee established by a business entity, two or more individuals and labor organization for ongoing purposes and a political committee established for a single election may be accepted to a maximum of \$1,500 per calendar year to a town committee and \$7,500 per calendar year to a state central committee. The donor political committee must also be a registered Connecticut political committee.

Table 2-Political Committee Contribution Limits to Party Committees

POLITICAL COMMITTEE	STATE CENTRAL COMMITTEE	TOWN COMMITTEE
Two or More Individuals	\$7,500	\$1,500
Business Entity	\$7,500	\$1,500
Labor Organization	\$7,500	\$1,500
Single Election	\$7,500	\$1,500

[Section 9-613, 9-615, 9-617 and 9-619 General Statutes]

Contributions from a political committee established by legislative leadership or legislative caucus may be accepted to a maximum of \$10,000 to a state central committee and may not be accepted by a town committee. The donor political committee must also be a registered Connecticut political committee.

Table 3-Legislative Leadership or Caucus Political Committee Contribution Limits to Party Committees

POLITICAL COMMITTEE	STATE CENTRAL COMMITTEE	TOWN COMMITTEE
Legislative Leadership	\$10,000	PROHIBITED
Legislative Caucus	\$10,000	PROHIBITED

[Section 9-618, General Statutes]

Contributions from another registered Connecticut party committee (state central committee or town committee) may be accepted without limit.

[Section 9-617, General Statutes]

Contributions from a national committee of a political party may be accepted without limit provided that any such contribution is from the national party committee’s federal account on file with the Federal Election Commission and that such federal account contains only funds subject to the disclosure and contribution limits prescribed in the Federal Election Campaign Act. (No transfers from “soft money” accounts.)

[Section 9-617, General Statutes]

Contributions from surplus distributions from terminating candidate committees or slate committees may be made to the party without limit after a primary day which results in the defeat of the candidate(s), or after the election. Also, surplus distributions from terminating exploratory committees in which the candidate withdraws may be accepted without limit (exploratory committee must terminate within 15 days of withdrawal). Lastly, contributions from surplus distributions from terminating candidate committees or slate committees established in connection with a primary for the position of town committee member may not be accepted at any time. *Note:* There are restrictions on terminating referendum committees as set forth in the following section.

[Section 9-608(e)(A) and (f), General Statutes]

A Party Committee may not accept:

Contributions may not be accepted from a candidate committee, exploratory committee or slate committee except with respect to surplus distributions provided in the preceding section. However, surplus distributions from terminating candidate committees or slate committees established in connection with a primary for the position of town committee member may not be made to the party at any time (because such committees can accept contributions from sources prohibited from giving to candidate and party committees).

[Sections 9-608(e) + (f), 9-604(e) and 9-616(a), General Statutes]

Contributions from a political committee formed solely for a ballot question are prohibited. However, a political committee formed for a ballot question which has a surplus after the vote on the question is held may distribute its surplus to the party committee subject to the following:

1. A portion or the entire surplus may be distributed without limit, but only if the ballot question committee had not received contributions from *any* business entities or organizations; or
2. If the ballot question committee had received contributions from any business entities or organizations, and the party committee contributed to the ballot question committee, it may receive only a portion of the ballot question committee's surplus distribution based upon that relationship which the aggregate value of all receipts from the party committee bears to the aggregate value of all receipts from all contributors to the ballot question committee.

[Sections 9-608(e), 9-620(a) General Statutes]

Contributions from any business entity, labor union or any other organization are prohibited. Contributions from political committees established by such entities are permissible in accordance with applicable limits.

[Sections 9-602, 9-613, 9-614, General Statutes]

Contributions may not be accepted from a committee of a candidate for federal or out-of-state office.

[Section 9-617(b), General Statutes]

Contributions from a legislative caucus committee or legislative leadership committee may not be accepted by a town committee.

[Section 9-618d(2), General Statutes]

Contributions from any other committee or entity which is not registered in accordance with Connecticut's Campaign Finance Laws are prohibited, except for a national committee of a political party as set forth in the preceding section.

[Sections 9-602, 9-617(b), General Statutes]

Contributions may not be accepted from a communicator lobbyist, member of the immediate family of a communicator lobbyist (such as spouse and dependent children,) a political committee established or controlled by a communicator lobbyist or a political committee established or controlled by member of the immediate family of a communicator lobbyist. The Office of State Ethics maintains a list of registered communicator lobbyists. In addition, contributors over \$50 are required to certify that they are not communicator lobbyists (see attached sample certification form).

[Sections 9-610(g), General Statutes]

Contributions may not be accepted from a state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract solicitation with or from a state agency or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate.

The SEEC maintains lists of state contractors and prospective state contractors on its website www.ct.gov/seec. See "State Contractor Contribution Ban" at page 39.

In addition, contributors over \$50 are required to certify that they are not principals of state contractors or prospective state contractors. See "Campaign Contribution Certification Form" at page 40, and attached sample certification form.

[Section 9-612(g)(2)(A) and (B), General Statutes]

What Contributions may be made by a Party Committee to Candidates or Other Committees?

Contributions by a party committee (state central or town committee) may be made to a candidate committee, subject to the following aggregate limits, per campaign cycle, which are fixed by the type of office being sought by the candidate.

Table 4-Party Committee Contribution Limits to Candidate Committees

OFFICE SOUGHT	STATE CENTRAL COMMITTEE*	TOWN COMMITTEE*
Governor	\$50,000	\$7,500
Lt. Governor, State Treasurer, Comptroller, Attorney General and Secretary of State	\$35,000	\$5,000
State Senator	\$10,000	\$5,000
State Representative	\$5,000	\$3,000
Probate Judge	\$10,000	\$5,000
Chief Executive Officer of the Municipality (e.g. Mayor, First Selectman)	\$10,000	\$3,000
Other Municipal Offices	\$5,000	\$1,500
Exploratory Committee (undetermined office)	\$375	\$375
Slate Committee (Municipal Offices)	\$2,500	\$1,500
Slate Committee (Town Committee Primary)	\$2,500	\$1,500

**Please Note:* These limits also apply separately to primaries and elections.

[Section 9-617(b)(i), General Statutes]

Contributions by a party committee (state central or town committee) may be made to political committees, subject to the following aggregate limits, in a calendar year.

Table 5-Party Committee Contribution Limits to Political Committees

POLITICAL COMMITTEE	STATE CENTRAL COMMITTEE	TOWN COMMITTEE
Legislative Caucus Committee	\$10,000	\$2,000
Legislative Leadership Committee	\$10,000	\$2,000
Two or More Individual Political Committee	\$2,500	\$1,000
Business Entity Political Committee	\$2,500	\$1,000
Labor Organization Political Committee	\$2,500	\$1,000
Two or More Individual Political Committee	\$2,500	\$1,000

[Section 9-617(b)(12, General Statutes)]

Contributions to a national committee of a political party or to a committee of a candidate for federal or out-of-state office are permitted without limit, under Connecticut law. However, the committee treasurer must refer to federal law or the laws of the applicable jurisdiction to determine what limitations, if any, exist.

Table 6-Party Committee Contribution Limits to Out of State Committees

COMMITTEE	STATE CENTRAL COMMITTEE	TOWN COMMITTEE
National Committee of a Political Party	UNLIMITED*	UNLIMITED*
Federal Candidate Committee	UNLIMITED*	UNLIMITED*
Out of State Candidate Committee	UNLIMITED*	UNLIMITED*

*Subject to federal law, and/or law of recipient jurisdictions.

The Treasurer Alone May Make and Authorize Expenditures

The treasurer is the only individual who may authorize and make contributions or expenditures on behalf of the committee. All committee expenditures must be made by check or debit card drawn on the committee's checking account, or the committee's credit card. Committee checks must contain the committee's name. The committee treasurer may allow a committee worker or candidate to be an authorized cardholder of a credit card issued to the committee, provided that the individual's expenditures are for goods or services that are authorized by the treasurer for a lawful purpose of the committee.

[Section 9-607(a)(b), (d) + (c), General Statutes]

Reimbursement to Committee Workers

A committee worker or candidate may be reimbursed by the committee if the following conditions are satisfied: (1) the worker or candidate has paid the expense from his or her own personal funds or personal credit card, (2) the treasurer authorized the expenditure, (3) the worker or candidate provides the treasurer with a written receipt from the vendor proving payment by the worker or candidate, (4) the expenditure is for the lawful purpose of the committee and (5) the expenditure is not a contribution to any other committee. In addition, when a committee worker uses personal funds to make authorized expenditures on behalf of the committee for which reimbursement is sought, such payments are deemed to be contributions to the committee to the extent that they are not reimbursed by the committee to the worker within 45 days from the date that such expenditure was made. This rule is necessary in order to avoid the unintended consequence of making an excessive contribution.

[Section 9-607(J), General Statutes; see also Commission File No. 2005-279 and File No. 2006-137.]

What is A Permissible Expense?

All expenditures must be made to promote the party, the candidates of the party and continuing operating costs of the party. Permissible expenditures include, but are not limited to the rental of real and personal property, the purchase of computer equipment and supplies, purchasing professional services, office supplies, polling, utility costs for campaign headquarters, printing, postage, photocopying, compensation of campaign staff, and campaign advertising of any kind.

[See Section 9-607(g) General Statutes.]

No goods, services, funds and contributions received by any committee may be made available for the personal use of any candidate or individual. Expenditures for "personal use" include expenditures to defray normal living expenses for the candidate, the immediate family of the candidate, or any other individual. Expenditures for personal use are those that which have no direct connection with, or effect upon, the campaign of the candidate or the lawful purpose of the committee. Examples of such expenditures include rent or mortgage payments for residential or business purposes, clothing, shoes, groceries, and personal subscriptions.

The treasurer, may not under any circumstances pay the candidate or the candidate's immediate family for services rendered to the campaign.

[Section 9-607(g)(2)(L) and (g)(4), General Statutes]

Other improper expenditures include any expenditures by committee officers or workers which have no substantial relationship to the lawful activity of the committee. The Treasurer is the only one authorized to make any committee expenditures.

Further, committee funds or resources may not be used to provide an honorarium to compensate, or make a gift to, an elected public official for a speaking engagement or other service rendered on behalf of the committee unless they are for reimbursements for the elected official's actual travel expenses to make the speech or perform the service, or for food and beverage consumed by the elected official or members of the elected official's immediate family at the speaking engagement.

[Section 9-607(h), General Statutes]

Expense Sharing by Committees

A candidate committee or slate committee is prohibited from making any contributions or expenditures that benefit a party committee (State Central and Town Committees.) However, there is an exception to this rule: A candidate committee or a slate committee may reimburse a town committee for any expense incurred by the town committee to benefit the candidate. A candidate committee is not required to reimburse a town committee if the expenditure is: (1) an organization expenditure or (2) an in-kind contribution that is within the limitations prescribed by law.

(9-610(b), and 9-616(a)(1) + (2), General Statutes]

Joint Fund-raising Events Held To Benefit Two or More Party Committees

Two or more party committees may form a separate political committee for the purpose of holding one or more fund-raising affairs to benefit the committees.

[Section 9-609(a) General Statutes]

The Treasurer May Establish a Petty Cash Fund

The treasurer of a committee is permitted to establish a single petty cash fund by drawing a check on the committee's account in an amount which may not exceed \$100. The treasurer may replenish the petty cash fund from time to time, provided that the total balance of the fund may never exceed \$100, and provided further that the fund is not replenished more than twice in any seven (7) day period.

Expenditures made from a petty cash fund are limited to \$25 per transaction (i.e. purchase of supplies for the committee) and must be reported by the treasurer in the same manner as any other expenditures. The treasurer must maintain a written account of all petty cash expenditure disbursements and keep such records for four (4) years from the date of the report in which they were disclosed.

[Section 9-607(e), General Statutes; Commission Regulations]

Election Day Expenditures

A town committee on any day which an election or primary is being held may give a check to one individual in each voting district of the municipality in which the election primary is being held. The check shall be drawn by the campaign treasurer against the committee's depository institution account to the order of such individual in an amount not to exceed \$250. The individual may use the proceeds of the check to make cash expenditures for expenses incurred by campaign workers on election or primary day, such as food, gas. Such individual shall submit a detailed accounting of such expenditures within 48 hours after the closing of the polls and report the names of all such individuals and the expenditures made by them on the SEEC Form 20.

[Section 9-607(c), General Statutes]

Treasurer May Appoint Solicitors

All solicitors must be appointed by the treasurer. Solicitors may receive monetary and non-monetary donations on behalf of the committee, including but not limited to receipts related to fund-raising affairs sponsored by the committee as well as donations received while engaging in door-to-door solicitation of individuals.

The solicitor may never deposit committee funds; only the treasurer may deposit funds received by the committee. The solicitor must, within seven days of receipt of any goods, funds or contributions, deliver the same to the treasurer for acceptance. The treasurer must deposit funds within fourteen days of his or her receipt from the solicitor. A solicitor also may not expend funds that he or she receives, and must deliver them only to the treasurer, in the form he or she received them (i.e. cash received from contributors is delivered in same cash form to the Treasurer).

There are no limitations on the number of solicitors that the treasurer may appoint.

No later than one day prior to the treasurer's required filing date, each solicitor must submit to the treasurer a list of the names and addresses of all persons from whom or from which monetary or non-monetary receipts were collected by the solicitor on behalf of the committee.

[Section 9-606(c), General Statutes]

The treasurer should keep an accurate list of the name and address of each individual who is appointed to serve as a solicitor. Although the names of solicitors need not be disclosed in the treasurer's financial disclosure statements, the law requires the treasurer to keep internal records, which may be subject to audit, including a record of each such appointment and the term of appointment.

Individuals Prohibited From Being Solicitors of Party Committees

The following persons are prohibited from soliciting contributions on behalf of a party committee;

- State contractor,
- Prospective state contractor,
- Principal of a state contractor (includes immediate family),
- Principal of a prospective state contractor (includes immediate family),
- Communicator lobbyist,
- Immediate family of communicator lobbyist
- Agent of a communicator lobbyist
- Political committee established or controlled by a communicator lobbyist, immediate family member or agent of communicator lobbyist.

Such persons are also barred from contributing to party committees. See sections entitled “Lobbyist Contribution Ban” and “State Contractor Ban.”

(Sections 9-610(h), 9-612(g), General Statutes)

Treasurer Must Retain a Record of All Committee Monetary and Non-Monetary Receipts and Expenditures and Must Keep Internal Records

The treasurer must retain bank statements, deposit tickets, bills, credit card and debit card slips and statements (see section entitled, “CREDIT CARD CONTRIBUTIONS” on Page 34), invoices, travel itineraries and cancelled checks relating to all committee receipts as well as all expenditures, including cash register receipts or other satisfactory documentation from the candidate and committee workers who have been reimbursed for items they purchased directly. There must be documentary or written evidence that the expenditure was made for a permissible campaign purpose. These internal records must be kept for four years from the date of the report in which the transactions were entered. Internal records must be kept in support of each entry on the treasurer’s statement of receipts and expenditures, solicitor appointments, copies of tickets printed, invitations and program books for fund-raising affairs, compensation and loan agreements, etc. It is strongly recommended that copies of checks received be kept as well.

[Section 9-607(f), (j), General Statutes]

The treasurer is required to publicly disclose in the committee’s financial statements the different categories of information regarding each individual who has contributed in excess of \$50 in the aggregate during the campaign. Consequently, it is important to internally record the contributor information on a ledger, computer, or index card system to ensure that the reporting requirement is satisfied at the time the individual exceeds the \$50 threshold.

[Section 9-608(c), General Statutes]

Treasurer To Provide Written Valuation of In-Kind Contributions Made To Other Committees

A treasurer of a party committee that makes an in-kind contribution of goods to another committee shall send a written notice to the treasurer of the recipient committee before the close of the recipient committee's next financial disclosure statement covering the period in which the in-kind contribution was received. The treasurer of the donor committee is required to sign the valuation notice, which must include the full name of the donor committee, the date on which the in-kind contribution of goods was made, along with a complete description of the item and its value. While a written valuation notice is not similarly required for donated "services" (i.e. paid campaign staff which is loaned to the other committee), the recipient committee's treasurer is nevertheless required to make due inquiry of the donor committee as to the value of the in-kind services loaned and report the same in its next financial disclosure statement, covering the period of loaned services, as an in-kind contribution.

[Section 9-606, General Statutes]

Treasurer Files Periodic Disclosure Statements of the Party Committee's Receipts and Expenditures

The treasurer of a town committee must file a financial disclosure statement with the State Elections Enforcement Commission and a copy with the Town Clerk's office by the following deadline dates: the 10th day of January, April, July and October, on the 7th day prior to any election, and on the 7th day prior to any primary or ballot question in those instances where the committee has received or expended funds or other resources in connection with that primary or ballot question. If such deadline date falls on a Saturday, Sunday or legal holiday, the statement must be filed on the next business day. This filing must be submitted at some time during the filing period, which begins at the conclusion of the reporting period and ends on the filing deadline date. A more specific calendar, with the actual filing dates and reporting periods, is available from the State Elections Enforcement Commission or any office of a Town Clerk. Statements are timely if they are either postmarked by the United States Postal Service or by a delivery service designated by the Secretary of the Treasury of the United States, before midnight on or before the required filing deadline date or delivered by hand to the State Elections Enforcement Commission by the close of business hours on or before the filing deadline date.

The treasurer of a state central committee must file a financial disclosure statement with the State Elections Enforcement Commission by the following deadline dates: the 10th day of January, April, July, on the 12th day prior to any election. If such deadline date falls on a Saturday, Sunday or legal holiday, the statement must be filed on the next business day. This filing must be submitted at some time during the filing period, which begins at the conclusion of the reporting period and ends on the filing deadline date. A more specific calendar, with the actual filing dates and reporting periods, is available from the State Elections Enforcement Commission.

Statements are timely if they are either postmarked by the United States Postal Service or by a delivery service designated by the Secretary of the Treasury of the United States, before midnight on or before the required filing deadline date or delivered by hand to the State Elections Enforcement Commission by the close of business hours on or before the filing deadline date.

[Sections 1-2a, 9-608(a), General Statutes, as amended by P.A. 05-235]

The financial disclosure statement, entitled "Itemized Campaign Finance Disclosure Statement," SEEC Form 20, generally includes all financial activity of the committee: identifying the sources of all contributions, other monetary receipts, all non-monetary receipts constituting in-kind contributions, certain non-monetary receipts in connection with a fundraising affair whether or not they constitute contributions, and expenditures made by the committee. The treasurer may electronically replicate this form and file a computer print-out or, if necessary, may use the pre-printed paper form prescribed by the State Elections Enforcement Commission which may include, where necessary, typed schedules and attachments. When using computer spreadsheets or other computer forms it is important to duplicate the section headings and all the data elements that appear in SEEC Form 20.

The treasurer of a party committee may be able to use, for certain filings, an unitemized disclosure statement, entitled "Short Form Campaign Finance Disclosure Statement," SEEC Form 21 which certifies that the committee has not had monetary or non-monetary receipts or made expenditures in excess of \$1,000 from the beginning of the calendar year (January, 1) to the close of the relevant reporting period. The town committee treasurer is required to use the itemized financial disclosure statement (SEEC Form 20) with respect to the statements due on the 10th day in January, covering the transactions of the previous calendar year, and on the 7th day preceding any election regardless of the amount of the committee's financial activity.

Once a SEEC Form 20 is required for the financial reporting of the committee, the committee treasurer must then continue to use the SEEC Form 20, for all of the committee's remaining required financial disclosure statements. Further, the first SEEC Form 20 must include all of the reportable financial transactions which have occurred since January 1st of the calendar year through to the end of the reporting period covering the first SEEC Form 20.

The reporting period for each disclosure statement filed by a town committee on the 10th day of January, April, July and October must include the financial activity of the committee beginning the first day not included on the last filed financial disclosure statement and ending on the last day of the month preceding the month in which the statement is required to be filed. Each disclosure statement filed on the 7th day preceding Election Day or Primary Day, however, must include the financial activity of the committee beginning the first day not included on the last filed financial disclosure statement and ending as of seven (7) days immediately preceding the required filing deadline day.

The treasurer of a state central committee is always required to use the itemized financial disclosure statement entitled "Itemized Campaign Finance Disclosure Statement," SEEC Form 20. The reporting period for each disclosure statement filed on the 10th of January, April and July must include financial activity of the committee beginning on the first day not included on the last financial disclosure statement and ending on the last day of the month proceeding the month in which the statement is required to be filed. Each disclosure statement filed on the 12th day preceding an election shall include financial activity up to the 19th day preceding an election.

(Section 9-608(a), General Statutes)

Electronic Filing

Any party committee is permitted to file in electronic form any financial disclosure statements required by section 9-608. The treasurer of any party committee seeking to exercise this option should contact the State Elections Enforcement Commission to ascertain how electronic filing may be accomplished.

[Section 9-675, General Statutes]

Late Filing Fees

Failure to file the financial disclosure statement by the applicable deadline date subjects the treasurer to an automatic \$100 late filing fee, which must be paid by the treasurer from personal and not committee funds. Late filing fees are payable to the State Elections Enforcement Commission, Campaign Finance and Disclosure Unit.

In addition, the failure by the treasurer to submit these filings within 21 days after receiving a failure to file notice from the State Elections Enforcement Commission by certified mail, return receipt requested, will constitute a violation of Section 9-608 and will subject the treasurer to an additional civil penalty of \$200 to \$2,000. These additional fines and penalties are enforced by the State Elections Enforcement Commission, Legal Affairs and Enforcement Unit. *[Section 9-623, General Statutes]*

Copies of Disclosure Statements

The treasurer must provide the committee chairperson with a duplicate copy of the disclosure statement at the time of filing. Additionally, a duplicate copy of the disclosure statement must be filed with the Town Clerk's office for Town Committee filings.

[Sections 9-603 and 9-608(d), General Statutes]

IV. FUND-RAISING AFFAIRS

A “fund-raising affair” is a political gathering sponsored by the committee for which it charges an attendance fee, or is a tag sale or auction to sell items to the committee’s invited guests. In order to utilize a program book that sells advertising space, the fund-raising affair must be a bona fide event intended to make a profit exclusive of any receipts from the sale of ads, and it must include a program for the fund-raising affair. The issues which most commonly arise concerning a fund-raising affair are whether the funds or resources given or received are treated as contributions, or as receipts which are not contributions, and how to disclose these types of receipts on the treasurer’s financial disclosure statement.

Whether Monetary and Non-Monetary Receipts at a Fund-raising Affair Constitute Contributions

As previously stated, certain monetary and non-monetary receipts are not considered contributions under the law. Each receipt constitutes a “contribution” unless it falls within one of the narrowly defined exemptions. Certain transactions associated with a fund-raising affair may result in receipts that are not considered contributions depending on the dollar value of the receipt. These receipts are still reportable and must be disclosed in section L4 “In-Kind Donations Not Considered Contributions,” of SEEC Form 20. Once these limits are exceeded the entire receipt must be reported as an itemized “contribution” in Section B of the SEEC Form 20.

A monetary receipt for an item purchased at a fund-raising affair is not reduced by the value of the item (i.e., price paid for television purchased at a committee sponsored tag sale is not diminished by the fair market value of the television).

[Section 9-601a(b), General Statutes]

The following is a list of the most significant types of monetary and non-monetary receipts which are not considered contributions:

- The sale of food or beverages by a town committee at a town fair, county fair or similar mass gathering held within the state, to the extent cumulative purchases by an individual does not exceed \$50.

[Sections 9-601a(b)(15), General Statutes]

- The donation of or purchase by an individual of an item of personal property to a committee for a fund-raising affair if the aggregate amount of the donation or purchase does not exceed \$50. Report in Part II of SEEC Form 20; for donations use Section L4, and for purchases use Section L2.

[Section 9-601a(b)(9), General Statutes]

Example A. Jane Doe donates three compact discs to a committee to be sold at a tag sale, and the value of each CD is \$10, or a total of \$30. This non-monetary receipt is not considered a contribution and does not count towards Jane Doe’s aggregate limit but must be reported in Section L4 as an “in-kind donation.”

Example B. Jane Doe purchases a used television for \$60 at a committee sponsored tag sale. She has made a \$60 contribution because the value of the purchase is over \$50. This monetary receipt constitutes a contribution from Jane Doe of \$60 which is counted against her contribution limit to the committee and must be separately itemized in Section B of SEEC Form 20.

- The donation by a business entity of goods or services for a fund-raising affair if the aggregate value of the goods or services does not exceed \$100. These items will be reported in Section L4 as an “in-kind donation.” Please note that a business entity may only donate goods or services that it sells or provides as part of its business. If the value of these goods or services exceeds \$100 it is an illegal contribution.

[Section 9-601a(b)(12), General Statutes]

Example C. ABC Corporation, a printing company, donates free printing services to a committee for a fund-raising picnic worth \$90 in value. This non-monetary receipt is not considered a contribution but must still be reported as an “in-kind donation.”

Example D. The same corporation donates \$110 worth of printing to the fund-raising affair. It has made a prohibited contribution because the value of the printing exceeds \$100 and therefore this exemption does not apply. The In-kind contribution may not be accepted and must be returned immediately by the treasurer, or the committee may purchase the printing from ABC Corporation.

- The purchase by a business entity of advertising space in a program for a fund-raising affair held by a party committee if the purchase price for the space does not exceed \$250. Unlike the other fund-raising affair exceptions, which apply separately to each fund-raising affair conducted by the committee, the \$250 advertising space purchase exception applies cumulatively to all purchases by the same business entity during a calendar year. These transactions are reported in “Fundraising Event Activity,” Part II, of the SEEC Form 20 in Section L3.

[Section 9-601a(b)(10)(A), General Statutes]

Example E. XYZ Corporation purchases advertising space in a program booklet for a fund-raising dinner sponsored by “Anytown Democratic Party Committee,” a town committee and the purchase is \$200. This monetary receipt from the corporation is not a contribution and may be accepted. As previously stated, the treasurer is required to report all monetary receipts whether or not the funds received constitute a contribution to the committee. The \$200 purchase is reported in the name of XYZ Corporation, together with other advertising receipts, in Section L3. XYZ Corporation may subsequently purchase no more than \$50 of advertising space in program booklets for other fund-raising affairs held by the same committee throughout the campaign. *For the exception to apply, the committee must actually hold a bona fide fund-raising affair as defined in the beginning of this section and produce a program booklet containing the advertising.*

- The purchase by “persons” other than business entities of advertising space in a program for a fund-raising affair held by a party committee may not exceed \$50 to qualify for the exception. “Other persons” for this purpose may be individuals, committees, labor unions or other organizations, trade or professional associations. This \$50 advertising space exception also applies cumulatively in any calendar year. Communicator lobbyists, state contractors, and prospective state contractors, principals of state contractors and principals of prospective state contractors, and their immediate families may not purchase advertising space from a town committee.

[Section 9-601a(b)(10), General Statutes]

- There are also special provisions relating to expenses of a fund-raising affair or gathering held for a party committee in the personal residence of an individual. No contribution is made by the host for expenses paid by the host for invitations, food or beverages for the event if the aggregate cost to the host does not exceed \$400 on behalf of a state central or town committee in any calendar year. These costs are in-kind receipts that are not counted against such individual’s contribution limit and not considered a contribution, but must be disclosed in Section L4 as an “In-Kind Donation.” However, if the cost to the host exceeds \$400, the entire value is an in-kind contribution that is counted against the contribution limit of the individual and must be disclosed in Section M as an “In-Kind Contribution.”

This exemption does not apply to hosted events outside of an individual’s personal residence.

[Sections 9-601a(b)(5) and 9-608(c)(1)(i) + (ii), General Statutes]

Reporting of Fund-raising Affairs

The treasurer is required to disclose all receipts of a fund-raising affair whether or not such receipt constitutes a contribution to the committee. All monetary receipts which are contributions may be recorded as an aggregate amount if the contributor has contributed \$50 or less in the aggregate in a calendar year (enter in Section A of Part I of SEEC Form 20). Each contributor must be itemized in Section B of Part I if the total contributions given to the committee exceed \$50. Each non-monetary receipt which is a contribution must be itemized as an in-kind contribution in Section M of SEEC Form 20. The purchase of fund-raising tickets are considered contributions, and therefore must be reported in the appropriate section, dependent upon the amount purchased by the contributor and the amount of other contributions by the same contributor.

The funds received in connection with a fund-raising affair that do not constitute contributions must be disclosed in Part II entitled “Fundraising Event Activity,” of the SEEC Form 20. Such itemization must include the name and address of each such purchaser and the amount.

The date, attendance fee, location and a description of each fund-raising affair are required to be reported in Section L1 “Fundraiser Event Information” of Part II of SEEC Form 20.

Each expenditure made by the committee for the fund-raising affair must be separately itemized and disclosed by the treasurer in the same manner as any other committee expenditure in Section IV “Expenditures” of the SEEC Form 20. The treasurer cannot merely disclose the net proceeds of the event.

[Section 9-608(c), General Statutes]

V. REPORTING INFORMATION

Who Reports?

The treasurer or, in the treasurer’s absence or inability, the deputy treasurer, is required to file all financial disclosure statements.

How and Where to Report?

The SEEC Form 20 or, if applicable, the SEEC Form 21, must be filed with the State Elections Enforcement Commission. Town committee treasurers are to file a copy of the form with the Town Clerk of the Municipality in which the committee is located.

When to Report?

See section entitled, “Treasurer Files Periodic Disclosure Statements of the Committee’s Receipts and Expenditures,” on Page 21.

What Information Must Be Reported?

- All monetary receipts, whether or not such receipts constitute contributions; all non-monetary receipts that constitute contributions; certain non-monetary receipts in connection with a fundraising affair whether or not they constitute contributions; and all expenditures and organization expenditures made by the committee must be reported on the financial disclosure statement.
- Monetary and non-monetary contributions of over \$50 in the aggregate in a calendar year received from an individual requires disclosure of the donor’s name and address, amount received during the relevant reporting period, method of contribution, date of the contribution and the aggregate amount given during the life of the committee. Non-monetary contributions are to be recorded as “In-Kind Contributions,” in Section M of the SEEC Form 20. In addition, all non-monetary contributions are itemized and require a description of the contribution.
- Any individual who contributes to the committee in the aggregate in excess of \$100, but not more than \$1,000 (applicable only to state central committees), in addition to providing the treasurer with his name and address, must also provide the treasurer with his principal occupation and name of employer. There is an obligation on the treasurer to make due inquiry for this information.

[Section 9-608(c), General Statutes]

- Any individual who contributes to the committee in the aggregate during the calendar year in excess of \$1,000, in addition to providing the treasurer with his name, address, occupation and the identity of the individual's employer, must further provide the treasurer with a statement indicating whether the contributor, or any business with which the contributor is associated, has a contract with the state which is valued at more than \$5,000. A "business with which he is associated" refers to any business in which the contributor is a director, officer, owner, limited or general partner, or stockholder of 5% or more of the total stock of the business.

The treasurer is required to request this information from the contributor by certified mail within 3 days after receipt. If this information is not provided, the treasurer may not deposit any contributions which would cause the \$1,000 threshold to be exceeded, and the same must be returned.

[Section 9-608(c), General Statutes]

- The sum of all monetary contributions from individuals (as distinguished from other sources, such as other committees) of \$50 or less in the aggregate during the calendar year may be disclosed as an unitemized total, and entered in Section A entitled "Total Contributions From Small Contributors--This Period Only" or else itemized in Section B entitled "Contributions from individuals over \$50 in the Aggregate." *Note:* As soon as monetary contributions from such individual exceeds \$50 for the calendar year, the itemized contribution information above must be disclosed and entered in Section B.
- Anonymous monetary receipts of \$15 or less during the reporting period are reported in Section I "Anonymous Contributions," and must include the denomination of the bills and the total value of all coins received anonymously.
- The name and address of any bank or other lender which has made a loan to the committee, and the principal amount of the loan received in a reporting period must be disclosed as "Loans Received," in Section D of SEEC Form 20 along with the name and address of any person who is a guarantor or cosigner of the loan. Outstanding loan balances must be continuously reported as a debt, on the Summary Page of the SEEC Form 20.
- The date, attendance fee and description of each fund-raising affair are required to be reported in the "Fundraising Event Activity" portion of the SEEC Form 20.
- Any receipt during the reporting period from another committee must be reported as either a contribution, and disclosed in "Contributions from Other Committees" Section C1; or as a reimbursement that is not a contribution, in Section C2. Any receipt during the report as a monetary receipt that is not a contribution, in Section L "Fundraising Events" (i.e. purchase of advertising space); or as an In-Kind Contribution, in Section M "In-Kind Contributions."

- All other monetary receipts that are not contributions must be disclosed. Examples include interest posted or received from deposits in authorized investment accounts (reported as “Interest from Deposits in Authorized Accounts,” Section J); bank credits or refunds (reported as “Miscellaneous Monetary Receipts not Considered Contributions,” Section K); and certain other monetary receipts from fundraisers (e.g. purchases of goods or ads in program books reported in the “Fundraising Event Activity” portion of SEEC Form 20 section).

[Section 9-608, General Statutes]

In-Kind Contributions

An in-kind contribution is the donation of goods, services or anything of value given free of charge or at less than the usual charge to the recipient committee. An In-kind contribution is valued at the usual and normal charge less any amount paid by the recipient committee.

A discount is the difference between the usual and normal charge for goods or services and the amount charged to the recipient candidate or committee. A discount is a type of in-kind contribution.

A business entity (e.g. restaurant) may sell to a candidate committee food or beverage at a discount as long as the charge is not less than the cost to the business entity and the cumulative value of the discount given is not more than \$400 with respect to any calendar year. These discounts are not considered in-kind contributions because of this specific exception.

[Section 9-601a(b) (6), General Statutes]

Contributions of goods and services must be disclosed as “In-Kind Contributions” in Section M of SEEC Form 20. *Please Note:* Uncompensated services provided by an individual who volunteers his or her time to a committee are not an in-kind contribution and need not be reported. However, services that are provided by an individual, who is compensated by another committee, individual, or any other entity, must be reported as an in-kind contribution, and are subject to source and amount restrictions. (See exception for organization expenditures.)

Coordinated Expenditures

An expenditure made by another individual, other committee, or other entity of any kind, that is coordinated with, authorized by, or provided at the request or suggestion of the committee or its agent is an In-Kind Contribution to the committee and must be reported as such in Section M, “In-Kind Contributions,” of the committee’s financial disclosure statement.

[Section 9-601(19), General Statutes]

Expenditures

Each expenditure, regardless of the amount, must be separately itemized with the following information: the payee's full name and address, the candidate supported or opposed by the expenditure, whether the expenditure is made independently of the candidate or is a coordinated or organization expenditure, or whether reimbursement is claimed from the candidate committee, the amount, date and the correct Expenditure code identifying the purpose of the expenditure. Please see "EXPENDITURE CODE DEFINITIONS AND USES" on Page 53. Expenditures are reported in Section P, "Expenses Paid by Committee," of the committee's financial disclosure statement.

A party committee may seek reimbursement for any expenditure it has made for the benefit of a candidate committee, provided notice of a description of the expenditure and the amount of reimbursement being sought is given to the candidate committee's treasurer by the close of the candidate committee's reporting period in which the party committee's expenditure was made. The candidate committee will not report this as an in-kind Contribution; it will report its reimbursement as an expenditure to the party committee in section C2 of SEEC Form 20.

Loan repayments are also reported in Section P, Expenses Paid by Committee, corresponding with the correct expenditure code for Loan "LOAN". The name and address of each bank or other lender, the amount and date of the repayment or partial repayment (principal plus interest) on the loan during the applicable reporting period must be reported.

Each expenditure that is a reimbursement to a committee worker must be treated as any other expenditure and must be reported in Section P, "Expenses." When reporting such reimbursement, use "RCW" as the expenditure code. In a separate section of the SEEC 20 form, Section T, "Itemization of Reimbursements to Committee Workers and Consultants," itemize what the worker was reimbursed for. This section will not affect the balance on hand and need not be carried forward to the summary page.

If a consultant is paid by the committee to provide services, the disclosure of each payment to the consultant must also include an itemized schedule of the payments the consultant has made to other vendors on behalf of the committee (secondary payees).

Each expense incurred but not yet paid must also be separately itemized in the same manner as expenditures paid, including the disclosure of any secondary payees. Expenses incurred but not paid are reported in Section S, "Expenses Incurred by Committee but Not Paid During this Period." The obligation to report expenses incurred arises when the committee has received the goods or services or when the committee enters into a written contract, promise or agreement to make and expenditure.

[Sections 9-607(j) and 608(c), and 9-601b(c), General Statutes]

Only campaign funds raised in accordance with Connecticut's campaign finance law may be expended during the ninety days preceding the date of an election for any commercial advertisement that refers to one or more clearly identified candidates and that is broadcast by radio or television, other than by means of a public access channel, or that appears in a newspaper, magazine or on a billboard. There is an exception that allows for business entities to run commercial advertisements, during this restricted period, that refer to such business's owner, director or officer who is also a candidate, provided that such commercial advertisements had been broadcast or appeared prior to such individual's becoming a candidate.

[Section 9-601b(a)(2), General Statutes]

"Organization Expenditures"

Each statement filed by the campaign treasurer of a party committee shall include an itemized accounting of each "organization expenditure" made by the committee for the benefit of a candidate for the office of state senator or state representative. An "organization expenditure" by a party committee is specifically exempted from the definition of "contribution" and "expenditure" for purposes of Chapter 155, but remains a reportable transaction for purposes of public disclosure by party committees. At the time of such itemized accounting of "organization expenditures," such campaign treasurer shall provide notice of the amount and purpose of the organization expenditure to the candidate committee of such candidate or candidates.

Specifically, organization expenditures are reported on SEEC FORM 20, Section P, "entitled Expenses Paid by Committee." If the expenditure is an organization expenditure, check off the box "organization" in Section O under "Type of Expenditure." Examples of "organization expenditures" include:

1. A "party candidate listing," is a communication including the name or names of candidates, candidate photos, offices sought, party enrollment of the candidate(s); treatment of all candidates is substantially similar, and content is limited to brief statements of candidate or party positions, philosophies, biographies and encouragement to vote for such candidate; and information concerning voting, including hours and locations. To qualify, *such communications can not promote the defeat of any candidate.*
2. A document in printed or electronic format such as party platform or issue paper or compliance information, or provision of a list of registered voters;
3. A campaign event at which a candidate or candidates are present. However, if an entry fee is charged for the campaign event or the event is a fundraiser for the sponsoring organization, the collected funds cannot be used as, or considered to be, qualifying contributions.

If the participating candidate attends such an event, he or she may bring a treasurer or designated solicitor to collect qualifying contributions in connection with his or her appearance;

4. Payment for services of a professional advisor on campaign organization, financing, accounting, strategy, law, or media; and
5. The use of headquarters, facilities, and equipment for the candidate provided there is no additional cost to the committee.

For the complete definition of “organization expenditure” see Section 9-601(25) of the General Statutes. The significance of an “organization expenditure” is that if properly qualified, it does not count against the contribution limit the party committee may provide to a candidate committee.

[Sections 9-601(25), 9-601a(16) and 9-608(5), General Statutes; *see also* SEEC FORM 20]

Other reporting information

- All monetary receipts, whether or not they constitute contributions, must be reported in the period received.
- Loans received by the committee from a source other than a bank or other financial institution are considered contributions until the principal amount of the loan is repaid. Such loans may never exceed the permissible contribution limits applicable to the donor and may never come from a prohibited source.

[Sections 9-601a(a)(1), 9-601a(b)(1), General Statutes]

- Monetary receipts in the form of personal checks written on joint accounts are attributed to the individual who signs the check.

[Section 9-606(b), General Statutes]

- A monetary receipt in the form of a money order which bears a legible signature of the donor is considered a bank instrument. If the money order does not bear a legible signature it is considered to be “cash” and should be reported as such. There is a limit of \$100 of contributions made by cash or money order.

[Section 9-611(d), General Statutes; State Elections Enforcement Commission Advisory Opinion No. 75-5]

- All funds received and accepted by the committee’s treasurer must be deposited into the committee’s single checking account at its designated Connecticut depository institution. However, the treasurer may withdraw funds from this checking account for placement in investment accounts to earn higher interest. Monetary receipts received by the committee cannot be deposited directly into these other accounts but must be first deposited into the single checking account; nor can expenditures of any kind be made directly from such investment accounts except for the purpose of re-

depositing the funds into the single checking account established within the designated depository institution. All monies, including interest, must be returned to the checking account before the funds may be expended. Further, the aggregate balance of all such accounts must be reported in the balance on hand on the committee's disclosure statements. However, transfers made between the committee's checking account and the committee's investment account(s), if applicable, need not be reported as expenditures.

[Section 9-606, General Statute and SEEC Advisory Opinion No. 75-6]

VI. SPECIAL TOPICS

A Loan is a Contribution

Loans are considered as contributions, except loans made in the ordinary course of business by a bank. Loans that are contributions are subject to the overall limit on contributions from that source to the committee. The amount of the contribution is equivalent to the principal amount of the outstanding loan. An unpaid loan, when added to other contributions from the same donor, may not exceed the contribution limit applicable to that donor. Repayments made on the loan reduce the amount of the contribution. Once repaid in full, a loan no longer counts against the donor's contribution limit.

A loan is not a contribution if it is made by the candidate to his or her own candidate committee or, by a bank or other financial institution in the ordinary course of its business to any committee. [Please Note: any amount given by a candidate to his exploratory committee or slate or town committee is a contribution, limited to an aggregate total of \$375 (exploratory committee) or \$750 (slate committee) or \$1,000 (town committee), as the case may be.]

All loans are reported in Section D, "Loans Received this Period," of SEEC Form 20 regardless of whether they are considered contributions. The committee treasurer and the individual or entity making the loan must execute a written agreement, and the treasurer must retain a copy of the agreement for the same period as other internal records. A loan must be continuously reported in the itemized disclosure statement as a debt until repaid.

[Sections 9-601a(a)(1), and 9-601a(b)(1), General Statutes]

Computers Used or Acquired by Committees

Use of Personal Computer at Home

An individual may perform campaign work at home on a personal computer owned by such individual. The individual may be the candidate, the candidate's treasurer or any other individual. Use of a personally owned computer in this manner is not a contribution and does not need to be reimbursed by the campaign. The individual may use their computer for personal purposes as well as for the campaign.

[Section 9-601a(b)(4), (5), General Statutes]

Committee May Purchase Computer

A committee may purchase a computer at fair market value. A computer purchased with committee funds must be used exclusively for the committee; no personal, business or non-campaign use of the computer is permitted by statute.

[Section 9-607(g)(2), (4), General Statutes]

Committee May Lease Computer

1. Leasing Computer at Fair Rental Value

The committee may lease or rent a computer from any source at fair rental value, including the candidate. A written memorandum of the terms of the rental agreement must be made, signed and dated, and kept as an internal record of the committee. The committee's payments under the lease must be reported as expenditures. Personal use of a computer leased or rented by the committee is not allowed.

2. Leasing Computer at Less than Fair Rental Value

Leasing a computer to the committee at less than the fair rental value is an in-kind contribution. Under these circumstances, the difference between the fair rental value of the computer and the amount actually charged to the committee must be disclosed in Section M, "In-Kind Contributions." Contributors may only make an in-kind contribution of a computer up to the applicable contribution limit; a discounted lease arrangement valued at more than this limit would constitute an excessive contribution. Sources which may not properly make contributions to the committee, such as business entities, must lease the computer at fair rental value only.

[Section 9-607(g)(2), (3), (4), General Statutes]

Loaned Computer

Loaning a computer to the committee without charge is an in-kind contribution, which is permissible only if it comes from a source that may make contributions, subject only to the aggregate contribution limits applicable to such donor. Personal use of a computer loaned to the campaign is not allowed.

Credit Card Contributions from Individuals

Individuals may make contributions to a candidate committee by credit card (including their personal debit card) either in person, by mail, by telephone or over the Internet. Such contributions may be made in installments up to the maximum contribution limit. If an individual's contributions are made in person, by mail or over the telephone, they must be delivered to the treasurer or to an individual appointed by the treasurer to serve as a solicitor. A contribution made over the Internet, however, may only be made by utilizing the committee's official website secured for credit card transactions.

In order to accept a credit card contribution from an individual, a treasurer must obtain the following information from the individual contributor:

1. Contributor's Full Name;
2. Contributor's Name as it appears on the Credit Card;
3. Residence Address of Contributor;
4. Billing Address on Record with Card Issuer (if different than residence address);
5. Individual's E-Mail Address (applicable to credit card contributions over the Internet);
6. Amount of Contribution;
7. Certification that contributor is (1) not a communicator lobbyist or member of the immediate family of a communicator lobbyist, and (2) not a principal of a state contractor or prospective state contractor (which includes spouse, dependent children over 18, and civil union partners) and name of employer for contributions that separately, or in the aggregate exceed \$50 (see "Campaign Contribution Certification Form at page 48");
8. Principal occupation, if individual's aggregate contributions to the committee exceed \$100;
9. Name of employer, if individual's aggregate contributions to the committee exceed \$100;
10. Statement of whether contributor, or business with which contributor is associated, has a contract with the municipality valued at more than \$5,000, if the individual's aggregate contributions exceed \$400 to the committee of a candidate running for chief executive officer of the municipality;
11. Donor must affirm the statement: "I am 18 years of age or older" (applicable to contributions exceeding \$30);
12. Credit Card number, including the three or four digit security code (found typically at back of card within signature field, CVV/CVV2);
13. Credit Card Expiration Date;
14. Donor must affirm the statement: "This contribution is made on my personal credit card for which I have a legal obligation to pay and intend to pay from my own personal funds; payment on this card is not made from the funds of a corporation, labor organization or any other entity"; and
15. Donor must affirm the statement: "I am either a United States citizen or a foreign national with permanent resident status in the United States."

The committee must select a merchant account provider (an entity in the business to authorize the processing of credit card transactions) that is able to comply with the requirements set forth in this section.

The committee's treasurer must periodically review each transaction by utilizing the information provided by the merchant account provider or payment gateway to ensure that each contribution is from an individual's personal charge card only. The committee is required to keep the details of each transaction provided by the merchant account provider or payment gateway and to ensure that the State Elections Enforcement Commission is able, upon request, to review all such records (whether held by the committee, merchant account provider or payment gateway on behalf of the committee), whether electronic or otherwise, including the rate charged for each transaction. Failure to provide all these records will create a presumption that any such contributions are invalid. (An individual utilizing a personal card is charged at a different rate that is distinguishable from rates charged to entities).

The information obtained by the treasurer from the individual contributor satisfies the treasurer's due diligence requirements, except if the rate structure charged and subsequently reported to the treasurer by the merchant account processor or payment gateway indicates that the transaction was charged at a rate not normally charged to individuals domestically but rather at rates charged to entities (i.e. businesses, labor unions or individuals outside of the U.S.). In such instances, due diligence requires a timely refund of the contribution based upon the information received that the transaction was really charged contrary to Connecticut law.

Each committee must promptly send confirmation of each credit card contribution received through the Internet to the contributor by electronic mail to the individual's email address. For contributions received by telephone or mail, the confirmation shall be sent to the contributor by U.S. mail. For credit card transactions made in person, each committee must obtain a signed credit card receipt from the contributor.

Contributions made by credit card shall be deemed received by the committee on the date that the contributor completes the transaction, unless a no charge decision is made within fourteen days of the transaction or by the filing deadline for transactions falling within the reporting period, whichever is earlier. A no charge decision within such time relieves the committee treasurer of any responsibility for reporting the transaction. A committee receiving contributions by credit card must report the full (gross) amount of each contribution before the payment of any fees or deductions to any third party.

The committee's treasurer is responsible for preserving all records of each credit card contribution for the period of four years from the date that the credit card transaction(s) are reported.

[Sections 9-606(a), 9-607(f), 9-608 and 9-611(d), General Statutes]

Possible Internal Revenue Service Requirements

There may be additional Internal Revenue Service requirements regarding an Employer Identification Number and the necessity to make filings regarding the committees taxable income. Any questions about these IRS filing requirements should be directed to the IRS's Tax Exempt and Government Entities Customer Account Services toll free number 1-877-829-5500. Additionally, information is available at the following IRS websites: www.irs.gov or <http://www.irs.gov/charities/political/article/0,,id=96355,00.html>.

VII. RESTRICTIONS ON CONTRIBUTIONS AND EXPENDITURES FROM CERTAIN SOURCES

Restrictions on Individuals Less Than 18 Years of Age

An individual who is less than 18 years old may not make contributions to a candidate's campaigns in excess of \$30 in the aggregate.

[Section 9-611(e), General Statutes as amended by Public Act 07-1]

Restrictions on Anonymous Cash Contributions

There is a \$15 dollar limit on acceptance of anonymous cash contributions to the committee. Any anonymous cash contribution of \$15 or less may be accepted and deposited by the committee treasurer in the same manner as any other monetary receipt and reported in section I of the SEEC 20 Form.

Any anonymous cash receipt that exceeds \$15 must not be accepted but rather must be immediately forwarded by the committee's treasurer in full to the State Treasurer for deposit in the General Fund of the State of Connecticut. The treasurer is advised to check with the State Elections Enforcement Commission before remitting funds to the State Treasurer.

[Section 9-606, General Statutes]

Business Entity, Labor Union and other Organization Contribution and Expenditure Ban

Generally, the treasury funds or resources of a business entity organization cannot be used to make contributions or expenditures to or for the benefit of a party committee. The following are exceptions to the restriction:

- A business entity may sell to a town or state central committee, food or beverage at a discount as long as the charge is not less than the cost to the business entity and the cumulative value of the discount given is not more than \$400 on behalf of all state central and town committees in any calendar year. These are not In-kind contributions if the discounts remain within these limits.

[Section 9-601a (b) (6), General Statutes]

- The business entity may purchase up to \$250 worth of advertising space in a program book for fund-raising affairs sponsored by a party committee and this limit applies to any calendar year. Exceeding this limit would constitute a prohibited contribution in violation of Section 9-613, General Statutes.

[Section 9-601a.(b)(10), General Statutes]

- Notwithstanding the provisions pertaining to the above purchase of advertising space in a party committee program book by a business entity, the following may not purchase advertising space in a program for a fund-raising affair sponsored by a town committee: (i) A communicator lobbyist, (ii) a member of the immediate family of a communicator lobbyist, (iii) a state contractor, (iv) a prospective state contractor, or (v) a principal of a state contractor or prospective state contractor.

As used in this subparagraph, "state contractor", "prospective state contractor" and "principal of a state contractor or prospective state contractor" have the same meanings as provided in subsection (g) of section 9-612.

[Section 9-601a(b)(10)(B), General Statutes]

- A labor union or organization or any persons other than business entities, such as individuals or committees, may purchase up to \$50 worth of advertising space in a program book for a fund-raising affair sponsored by any party committee and this limit applies to the entire calendar year. Exceeding this limit would constitute a prohibited contribution in violation of Section 9-614, General Statutes.

[Sections 9-601a(b)(10) and 9-614(a), General Statutes]

- A business entity may provide goods or services to a party committee for a fund-raising affair where the cumulative value of such goods or services is not more than \$100 per affair. A business entity may only donate goods or services that it sells or provides as part of its business. A business entity may not purchase goods for a fundraiser or provide funds to a committee with which to buy goods. If the donation by a business entity exceeds \$100 per fund-raising affair the entire amount is a prohibited contribution which violates Section 9-613, General Statutes. Valuation of these goods or services is the obligation of the recipient committee's treasurer. Please Note: Business entity or organization treasury funds may not be used to reward, give a bonus to or in any manner reimburse any individual for contributing funds or resources to a candidate or committee. Such reward would be an illegal contribution and constitutes giving in the name of another in violation of Section 9-622(7).

Section 9-601a(b)(12), General Statutes]

Lobbyist Contribution Ban

Section 9-610, General Statutes provides that no communicator lobbyist, member of the immediate family of a communicator lobbyist, or political committee established or controlled by a communicator lobbyist or a member of the immediate family of a communicator lobbyist shall make a contribution or contributions to, or for the benefit

of a party committee, candidates for statewide office and General Assembly, committees established or controlled by such candidates, and legislative leadership or legislative caucus committees. Further, this section prohibits a communicator lobbyist, immediate family member of a communicator lobbyist, agent of a communicator lobbyist, or political committee established or controlled by a communicator lobbyist or any such immediate family member or agent from soliciting on behalf of a party committee or purchasing advertising space in a program for a fund-raising affair sponsored by a town committee. These prohibitions do not apply to the campaign of a communicator lobbyist, immediate family member of a communicator lobbyist or agent of a communicator lobbyist who is a candidate for public office.

[Section 9-610(h) and (i), General Statutes.]

State Contractor Contribution Ban

Section 9-612, General Statutes prohibits state contractors, prospective state contractors, and their principals who have contracts with the executive branch, from making certain contributions. Specifically, Contractors with the executive branch cannot contribute to, or solicit for:

1. An exploratory committee or candidate committee for Governor, Lieutenant Governor, Attorney General, Comptroller, Treasurer, or Secretary of the State;
2. Political committees authorized to make contributions to such candidates;
3. Party committees

Further, Contractors with Legislative branch cannot contribute to, or solicit for:

1. An exploratory committee or candidate committee for state senator or state representative;
2. Political committees authorized to make contributions to such candidates;
3. Party committees

The contractor bans also cover prospective state contractors, and their principals, meaning those seeking to do business with the state. Those who appear on the Department of Administrative Services list of “prequalified” contractors are banned from contributing to, or soliciting for committees related to both the executive and legislative branches as described above.

A “state contract” is the rendition of personal services, furnishing of any material, supplies or equipment, construction, alteration or repair of any public building or public work, acquisition, sale or lease of any land or building, grant, loan or loan or loan guarantee. Any agreement for any service rendered to the state, a state agency or a quasi-public agency for which the provider receives a fee, remuneration, or any compensation of any kind, either directly from the state or through the contractual arrangement with the state, unless otherwise specifically exempted.

A “principal” for a business entity is: a member of the board of directors, owners of 5% or more; the President, Treasurer, or Executive Vice President; an employee with managerial or discretionary responsibilities with respect to the state contract (who negotiated the contract); the spouse and dependent child of such individuals, and political committees established by or on behalf of the above.

A “principal” for a non-profit entity is: the Chief Executive Officer or person with similar duties and powers, an employee with managerial or discretionary responsibilities with respect to the state contract (who negotiated the contract), spouse and dependent child of the above, and political committees established by or on behalf of the above.

A list of state contractors is available on the State Elections Enforcement Commission website at www.ct.gov/seec.

[Sections 9-612(a) and 9-612(f)(5), General Statutes,]

Campaign Contribution Certification Form

Connecticut General Statutes Section 9-608(c)(3) requires that each individual who makes a contribution(s) separately or in the aggregate, in excess of \$50, to provide with the contribution a certification that the contributor is not a principal of a state contractor or prospective state contractor, nor a communicator lobbyist or a member of the immediate family of a communicator lobbyist, and shall provide the name of the employer of the contributor. A “Sample Campaign Contribution Certification Form” is attached and available from the Commission at www.ct.gov/seec. The information on the sample form shall include with any written solicitation conducted by the committee. If a treasurer deposits a contribution based on a certification that is later determined to be false, it shall not constitute a violation in the part of the treasurer who relied on such certification. Such certification is also required for contributions received by credit card. (See page 36)

Important definitions for purposes of this certification include:

1. “Lobbyist” means: an individual or entity that is registered with the Offices of State Ethics and the term “communicator lobbyist” is further defined by Section 1-91(u) of the Code of Ethics for Lobbyists. A “communicator lobbyist” generally receives or agrees to receive \$2,000 or more in a calendar year for lobbying.

2. "Prospective state contractor" means: a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100.
3. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee. See General Statutes Section 9-612(g)(1)(E), as amended by P.A. 07-01.
4. "Principals of a State Contractor or Prospective State Contractor" means: (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor. See General Statutes Section 9-612(g)(1)(F), as amended by P.A. 07-01.
5. "State contract" means: an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or

lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes. See General Statutes Section 9-612(g)(1)(C), as amended by P.A. 07-01

6. "State contractor" means: a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee. See General Statutes Section 9-612(g)(1)(D), as amended by P.A. 07-01

[Sections 1-91(u), 9-608(c)(3) and 9-612(g), as amended by P.A. 07-01]

Exemption from Prohibition for Contractors and Lobbyists Who are Candidates

A principal of a state contractor or prospective state contractor may still run for office and may establish his or her own candidate or exploratory committee, and solicit contributions for such committee without violating the state contractor contribution or solicitation ban, so long as he or she does not solicit from other prohibited contributors.

A principal of a state contractor or prospective state contractor can also run for municipal office and elect to be financed by a town or slate committee. This exemption shall apply in odd years only and only following the filing of SEEC Form 1B by the contractor or lobbyist designating a town committee or slate committee as the sole funding vehicle for his or her campaign for municipal office, and only until such time as the municipal election is over. However, this exemption enables a contractor to run for municipal office and participate with other candidates without violating the applicable contributor and solicitation bans.

The prohibitions against communicator lobbyists contributing to or soliciting for candidate, political and party committee shall not apply to the campaign of a communicator lobbyist, immediate family member of a communicator lobbyist or agent of a communicator lobbyist who is candidate for public office or to an immediate family member of a contractor or communicator lobbyist who is an elected public official. A communicator lobbyist running for municipal office may have his or her own candidate committee, or may elect to have the candidate's campaign financed by a town or slate committee, without violating the lobbyist contributor and solicitation bans.

The exemption applies only in odd years and only following the filing of the SEEC 1B form until the municipal election is over.

[Sections 9-610(i) and 9-612(f)(5), General Statutes]

Solicitations for or Contributions to a State Central Committee's Federal Account Established to Support Candidates for Nomination or Election to Federal Offices.

Communicator lobbyists, their spouses, and dependent children 18 years of age or older, principals of state contractors and prospective state contractors, including their spouses, and dependent children 18 years of age or older, and any political action committee established or controlled by any of the persons in these restricted classes, are prohibited from making or soliciting contributions to, or for the benefit of a state central committee's state account that is used to support state and local candidates for nomination or election to such offices. These restrictions do not, however, apply to contributions made and deposited to a state central committee's federal account which had been established pursuant to federal election laws to support candidates for nomination or election to federal offices.

Nevertheless, to avoid the appearance of violating the ban against soliciting prohibited contributions we recommend that the state central committee's solicitations or invitations expressly state that the committee is soliciting funds only for its federal account.

[C.G.S §§ 9-612 (g) (2) (A), (B), as amended by Public Act 07-1; 9-610 (h), (i); 9-622 (10); 2 U.S.C. 453; 11 C.F.R. 108.7 (a); SEEC Opinion of Counsel 2007-2]

VIII. IDENTIFICATION OF POLITICAL CAMPAIGN COMMUNICATIONS

Attribution Requirements for Written Communications

There are specific attribution requirements which pertain to written, typed or printed communications or web-based written communications. These include communicating a message that supports or opposes a candidate, or that solicit campaign funds. The communications can take many forms, and may consist of letters, brochures, circulars, e-mails, websites and web-based communications, billboards, transit advertisements, newspaper advertisements and similar communications, as well as campaign signs that are greater than 32 square feet in surface area.

Any candidate, exploratory or candidate committee which finances any written, typed or printed communication, or any web-based written communication, must include on the face of the communication the text "Paid for by" together with the name of the sponsoring committee and its campaign treasurer, as well as, "I am (candidate's name) and I approved this message."

The communication also must include a photograph of the candidate and said candidates name in a font that is not less than the size of the font used for the narrative of the mailing.

Party committees need not include the name of the treasurer.

Exempt Communications

Attributions for campaign communications are not required for “political paraphernalia” such as pins, badges, hats, rulers, calendars, and bumper stickers (give away items which have a utilitarian purpose beyond the campaign message) and any banner.

Campaign signs which have a surface area of 32 square feet or less are also exempt from the attribution requirement. This includes most lawn signs.

[Section 9-621(d), General Statutes]

Additional Attribution Requirements to Advocate for a Referendum

Section 9-621(c) provides that no party committee that promotes the success or defeat of a referendum question, shall make or incur any expenditure for any written, typed or other printed communication which promotes the success or defeat of any referendum question unless such communication bears upon its face the words "paid for by" and the name of the party committee.

[Section 9-621(c), General Statutes]

Additional Attribution Requirements for Radio or Internet Audio Advertising

Communications and Television Advertising

In addition to the attribution statement, any candidate, candidate committee or exploratory committee that finances any radio advertising or Internet audio advertising in support of the candidate sponsoring the communication or in opposition to some other candidate is required to include at the end of such advertising a personal audio statement by the sponsoring candidate or candidates that (A) identifies the sponsoring candidate or candidates and the elective office(s) being sought and (B) indicates approval of the advertising in the following form: “I am ...(candidate’s name) and I approved this message.” The advertisement must also include the candidate’s name and voice in the narrative of the advertisement. This would not apply to any advertisement financed by a party committee.

Television advertising must include the following, for a period of 4 seconds: a photograph of the candidate; a printed statement identifying the candidate and indicating that he or she approved this message and the candidate's voice.

[Section 9-621(b), General Statutes.]

Attribution Requirements for Campaign "Robo" Telephone Calls

If any candidate, candidate committee, or exploratory committee makes or incurs an expenditure for automated telephone calls, the candidate's name and voice must be contained in the narrative of the call. This would not apply to a call financed by the party committee.

[Section 9-621(b)(3), General Statutes.]

IX. POLITICAL OR PARTY COMMITTEES REGISTERED UNDER FEDERAL LAWS OR REGISTERED IN OTHER STATES

Any political committee or party committee registered with the Federal Election Commission under federal law or under the laws of another state, but not in Connecticut, and which desires to make contributions or expenditures to, or for the benefit of, any Connecticut candidate for office or such candidate's authorized committee may do so only if such donor committee first registers in Connecticut and such committee's funds are solicited specifically for use in Connecticut campaigns. Treasurers receiving such contributions from entities not registered as committees in Connecticut must return the contributions immediately to the donor. The treasurer is advised to check with the Town Clerk and the State Elections Enforcement Commission to determine whether a Political Committee is properly registered to make contributions in Connecticut.

[Section 9-602, General Statutes]

X. GENERAL PROHIBITIONS AND PENALTIES

Vote Buying and Selling

No person may knowingly give, lend or promise to give or lend any money or other valuable consideration to any other person to influence the other person to vote, or refrain from voting for or against any candidate. Any person who votes for or against any candidate in consideration of any gift or other valuable consideration received shall be guilty of illegal practices.

[Section 9-622(1), General Statutes]

Contributions In False Name

No person may make a payment or contribution to a treasurer in any name other than the name of the true donor or payor; nor may any treasurer knowingly receive the payment or contribution. A treasurer is prohibited from entering the name of someone other than the true donor or payor on the committee's financial disclosure statement.

[Section 9-622(7), General Statutes]

General Criminal and Civil Penalties

Any person who violates any provision of Connecticut's Campaign Finance Laws is subject to a civil penalty not to exceed \$2,000 or twice the amount of the improper contribution or payment, whichever is greater.

[Section 9-7b(a)(2), General Statutes]

Any person who "knowingly and willfully" violates any provision of Connecticut's Campaign Finance Laws is subject to criminal penalties of up to \$5,000 in fines, or 5 years imprisonment, or both.

[Section 9-623, General Statutes]

Unlawful Solicitation of Contributions or Making of Expenditures

No person may solicit or accept funds or other resources, or expend funds, for or on behalf of a candidate for elective municipal office or any committee, unless the committee has been registered with the State Elections Enforcement Commission or Town Clerk. A ten-day grace period applies from the time the individual for whom such solicitations are made or funds are accepted or expended first becomes a candidate.

Similarly, no person may solicit or accept funds or other resources, or expend funds, on behalf of a registered committee during the period in which there exists a vacancy in the position of treasurer and there is no deputy treasurer of the committee to act as treasurer.

No person may solicit or accept excessive contributions or payments which are otherwise prohibited by the provisions of Chapter 155.

[Section 9-622(10), General Statutes]

Prohibition of Use of Public Funds

No incumbent officeholder may expend public funds to mail or print flyers or other promotional materials intended to bring about his or her re-election or election to another office in the three months preceding the election.

[Section 9-610(d)(1), General Statutes]

No public official or public employee may, during the twelve-month period preceding an election, authorize the use of public funds for a television, radio, movie theater, billboard, bus poster, newspaper or magazine promotional campaign or advertisement which, *for any purpose*, features the name, face or voice of a candidate for elective office, or which *promotes* the nomination or election of a candidate for elective office.

[Section 9-610(d)(2), General Statutes]

Prohibited Solicitations

Commissioners and deputy commissioners of state agencies are prohibited from soliciting funds for the benefit of any candidate, political or party committee. Solicitation includes, but is not limited to, requesting that a contribution be made, receiving contributions which will be transmitted to a committee, participating in a fundraising event, or forwarding fundraising tickets to potential contributors. However, elected state officers and their deputies are not subject to the same prohibition.

[Section 9-622(11), General Statutes; Advisory Opinion No. 83-2]

The Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer and any candidate for any such office, any agent of any such official or candidate shall not knowingly, willfully or intentionally solicit contributions on behalf of any exploratory or candidate committee, a political committee or a party committee, from a person who he or she knows is prohibited from making contributions, including a principal of a state contractor or prospective state contractor with regard to a state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder of a valid prequalification certificate.

A member of the General Assembly, candidate for any such office or any agent of any such official or candidate shall not knowingly, willfully or intentionally solicit contribution on behalf of any exploratory or candidate committee, a political committee or a party committee, from a person who he or she knows is prohibited from making contributions, including a principal of a state contractor or prospective state contractor with regard to a state contract solicitation with or from the General Assembly or a holder of a valid prequalification certificate

[Section 9-612(g)(3), General Statutes as amended by P.A. 07-1]

The following individuals are prohibited from soliciting contributions from a principal of an investment services firm on behalf of any candidate committee, political committee or party committee: the State Treasurer or any candidate for State Treasurer, any agent of any such candidate, the Deputy State Treasurer, any member of the State Investment Advisory Council or any unclassified employee in the office of the State Treasurer acting at the direction of the State Treasurer or Deputy State Treasurer. This restriction does not apply to candidate and exploratory committees for an office other than State Treasurer established by the incumbent State Treasurer.

[Sections 9-612(f), General Statutes]

Municipal employees are prohibited from soliciting funds for the benefit of any candidate, political or party committee from an individual under the supervision of such employee or their spouse or dependent children.

[Section 9-622(12), General Statutes]

Testimonial Affairs

No testimonial affair can be held for a candidate, or any elected official during his or her term of office, unless its purpose is to raise funds for the individual's candidate committee. A testimonial affair is an event held in honor of a candidate or in honor of an individual who holds elective office during the term of office. There are two exceptions to this rule:

1. A retirement party may be held for an individual who has announced his intent to retire from public office, unless he has a deficit outstanding from any one of his prior campaigns, in which case the proceeds must be used to eliminate the deficit; or
2. A testimonial may be held by an entity duly organized for charitable purposes, provided that all proceeds go to the charity.

Anyone who organizes an improper testimonial or fundraiser is subject to civil and potentially criminal liability.

If a party or political committee conducts a testimonial affair to benefit a candidate or elected official, the net proceeds must be given to the individual's candidate committee. All contributions and monetary receipts must be given to the candidate committee by the treasurer of the party or political committee, after payment of expenses, and the identity of the donors must be disclosed to the candidate committee in relationship to the receipts attributable to each such donor, subject to the aggregate limits separately applicable to both the sponsoring committee and the candidate committee. For example, individuals purchasing tickets to the testimonial are considered to have made a contribution to the candidate committee for the full amount of the purchase price and to the committee sponsoring the testimonial in the full amount of the same purchase price. In addition, the expenses paid by the sponsoring committee must be reported by the candidate's committee as an in-kind contribution, and the sponsoring committee's treasurer must provide the written valuation notice required for in-kind contributions.

[Section 9-609(b), General Statutes]

Prohibition on Gifts, Compensation and Honoraria to Elected Officials

No political committee may make a gift, compensate or provide an honorarium to any elected public official for any speaking engagement or other services rendered on the committee's behalf except through such public official's candidate committee, if applicable. However, a public official may be reimbursed for actual travel expenses incurred by the official or member of the official's immediate family in connection with the engagement. The official or the member of the official's immediate family may consume food and beverage offered by the committee in connection with the speaking engagement or other services rendered; any gift or honorarium may only be made as a contribution to such official's candidate committee provided that it is reported on the committee's campaign finance disclosure statement.

[Section 9-607(h), General Statutes]

Promise of Public Appointment or Position of Trust

No individual may, in order to influence his nomination or election or that of any other individual, promise to appoint or secure the appointment of any other individual to any public office or to any position of honor or trust.

[Section 9-622(6), General Statutes]

XI. PUBLIC RECORDS

The registration and disclosure statements filed by state central committees and town committees are now filed with the State Elections Enforcement Commission. The statements filed on behalf of municipal candidate committees, municipal slate committees and copies of town committee statements are available for public inspection at the office of the Town Clerk.

[Section 9-603, General Statutes]

XII. COMPLAINTS

Who May Bring a Complaint?

Any individual may bring a complaint to the State Elections Enforcement Commission requesting that an investigation be made into any alleged violation of the State election laws.

The State Elections Enforcement Commission may, on its own initiative, also decide to conduct an investigation on any possible violation of the State election laws.

[Section 9-7b, General Statutes]

Form of Complaint

All complaints filed with the Commission must be in writing and sworn to under oath by the complainant, except statements filed by the Secretary of the State or a Town Clerk.

A pre-printed form, which is available at both the State Elections Enforcement Commission's offices and at its website (www.ct.gov/seec), may be used to file complaints. A complaint may also be filed in letter form provided that it is sworn to under oath.

Complaints must be submitted with an original signature of the complainant. No copies or facsimiles will be accepted.

Complaints should include the following:

- The legal name, address and telephone number of the person filing the complaint.
- A clear and concise statement of the facts including:
 1. The date of the alleged violation(s);
 2. The identity of the person(s) alleged to have committed the violation(s);
 3. The identity of any person(s) who may have knowledge of the facts asserted in the complaint; and
 4. Any other document, written material or other information known to the complainant and having a bearing on the violation(s) alleged in the complaint.

XIII. DECLARATORY RULINGS

Who may request a Declaratory Ruling?

Any individual or entity may request a declaratory ruling from the State Elections Enforcement Commission.

What May Be the Proper Subject of a Declaratory Ruling?

The subject of a declaratory ruling may concern the applicability of any provision of Chapter 155 of the General Statutes (The Connecticut Campaign Finance Laws), or any regulation promulgated by the State Elections Enforcement Commission, with respect to a course of action contemplated by the person seeking the ruling.

Formal Requirements for a Declaratory Ruling Request

A request for a declaratory ruling must contain the following:

1. An original signature, address, and telephone number of the person(s) requesting the opinion or ruling;
2. A clear and concise statement of the issue;
3. A statement that the course of action contemplated by the person is real and not hypothetical or imaginary;
4. An identification of the particular aspect of the provisions of Chapter 155 of the General Statutes or regulation to which the request is addressed; and
5. Any facts and arguments that support the position of the person making the inquiry.

The declaratory ruling procedures may not be used to challenge the legality or legal sufficiency of another person's actions; rather the complaint process must be used for that purpose.

Notice Procedures Relating To Declaratory Rulings

A declaratory ruling request must be mailed to the State Elections Enforcement Commission or delivered in person during normal business hours.

If the Commission determines that a declaratory ruling will not be rendered, it will, within thirty (30) days of such determination, notify the person(s) requesting the same of its denial.

The State Elections Enforcement Commission may give notice to other persons that a declaratory ruling has been requested and the Commission may receive and consider facts, arguments and opinions from them.

Opinions of Counsel

Opinions of Counsel differ in effect from Declaratory Rulings or Advisory Opinions of the Commission. They may be requested from the Director of Legal Affairs and Enforcement of the Commission but are not legally binding on the Commission. However, the person to whom an Opinion of Counsel is rendered may rely upon the opinion as a good faith defense with respect to any matter subsequently brought before the Commission upon the same facts addressed in the opinion. Please contact any member of the State Elections Enforcement Commission's legal staff for assistance in requesting a written Opinion of Counsel.

XIV. CONCLUSION

This Guide was intended to clarify and summarize the most important provisions relating to Connecticut's campaign financing requirements relevant to candidates seeking nomination or election to municipal offices.

Inquiries regarding campaign financing requirements, legal interpretations of the State Elections Enforcement Commission as well as complaints and requests for Declaratory Rulings may be addressed to:

State Elections Enforcement Commission
20 Trinity Street, Suite 101
Hartford, Connecticut 06106-1628

Joan M. Andrews, Director of Legal Affairs and Enforcement

Tel No.Area Code (860) 256-2940
Toll Free within CT1-866-SEEC-INFO [1-(866)-733-2463]
Fax No.....Area Code (860) 256-2983
URL www.ct.gov/seec
E-Mailseec@ct.gov

Requests for copies of the published calendar of specific filing dates and committee registration and disclosure statements may be obtained from the website of the State Elections Enforcement Commission and also by contacting:

State Elections Enforcement Commission
Campaign Finance Disclosure Unit
20 Trinity St. 3rd Floor
Hartford, Connecticut 06106

Tel No.Area Code (860) 256-2940
Fax No.....Area Code (860) 256-2981
URL www.ct.gov/seec
E-Mailseec@ct.gov

XV. EXPENDITURE CODE DEFINITIONS AND USES

CODED PURPOSES FOR EXPENDITURES

(For use with Sections O, P, Q, R & S of the SEEC Form 20)

(Note: Asterisk * adjacent to the left of an 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.)

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. **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 –any 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) ad placed in ad books, in schools or civic organizations' pamphlets or bulletins, or (e) 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) 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 Sec. Q of the 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 Sec. Q of the 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 Treasurer- State of Connecticut and sent to the State Elections Enforcement Commission, 20 Trinity Street, Hartford, CT 06106**. This expenditure code does not apply to the **SRPLS** (Surplus Distribution) expenditure code explained below.

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

CNSLT – expenditures 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 S, "Itemization of Reimbursements to Committee Workers and Consultants," and follow the instructions for reporting of **Secondary Payees**.

CNTRB- **expenditures** that are **contributions 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** – expenditures 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. **Note:** Vehicles may only be leased and may not be purchased.

FOOD - expenditures 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.)

CODED PURPOSES FOR EXPENDITURES

(For use with Sections O, P, Q, R & S of the SEEC Form 20)

(Note: Asterisk * adjacent to the left of an 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.)

***FNDR** - expenditures 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. **Note:** This expenditure category **must not include** expenditures of the committee's funds for the **ATT (Attendance fees) of any persons** attending *any* other committee's fundraising event. In the Description Field, which is **mandatory** under this category, must list the Fundraising Event number and the date that the committee's fundraising event as disclosed in Sec. L1, entitled "Fundraiser Event Information", of the Form 20.

***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 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 - expenditures 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 **ATT-Attendance fee** (see above).

LOAN - expenditures to record the payment of committee's **LOAN**, whether principal, interest or both. (**Note:** Any penalties assessed for non-payment on a loan should, if not paid by the payment due date, must be disclosed as additional "Expenses Incurred by Committee but not Paid During This Period" in Sec. R of the Form 20.

OFFICE-expenditures for **office supplies** such as paper, pens, printer cartridges, etc.

OVHD - expenditures 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 - expenditures to record a **payment to another committee** at fair market value for goods, services or other things of value provided by that other committee acting as a vendor or 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. (**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 **CNTR (contributions to another committee)**.

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

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

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

RCW - Expenditures to **Reimburse Committee Workers**, which may include a candidate for candidate committees. 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. **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 S, "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 P of the Form 20, entitled "Campaign Expenses Paid by the Candidate."

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

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

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

WAGE - expenditures for **Wages and benefits** paid to the committee's staff. This is to be distinguished from payments to professional consultants "CNSLT" who are independent contractors.

WEB - Expenditures for accessing and having a presence on the **WEB**. This includes payments to develop or maintain: (a) a committee web site 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** - expenditures of **Miscellaneous** items that are not listed above. The text box of the **Description Field**, which is mandatory in this situation, must explain in narrative form, with sufficient clarity, the purpose of this expenditure.

Permissible Contributions to Party Committee

Aggregate Dollar Limits

Contributor Sources ^a	<i>Received by</i>	
	<i>Town Committee</i>	<i>State Central Committee</i>
Individual	1,000/yr	5,000/yr
Another Party Committee ^b	Unlimited	Unlimited
Candidate or Exploratory Committee	Surplus Only ^c	Surplus Only ^c
Political Committee formed by two or more Individuals	1,500/yr	7,500/yr
Political Committee formed by a Business Entity	1,500/yr	7,500/yr
Political Committee formed by an Organization	1,500/yr	2,500/yr
Political Committee formed for a Single Election	1,500/yr ^d	7,500/yr ^d
Legislative Leadership or Caucus PAC	Prohibited	10,000/yr
Referendum Committee	Prohibited ^e	Prohibited ^e

- a) Only contributions from political and party committees that are registered in Connecticut may be accepted, with the exception set forth in footnote b.
- b) Contributions from a national committee of a political party may be accepted without limit provided that any such contribution is from the national party committee's federal account on file with the Federal Election Commission which contains only funds subject to the limits prescribed in the Federal Election Campaign Act. (No transfers from "soft money" accounts.)

[Section 9-617(d), General Statutes]

- c) Only when the candidate or exploratory committee (only when the candidate withdraws) terminates with a surplus. Please see section entitled, "A Town and State Central Committee may accept:" on Page 11.
- d) Except for political committees established for a slate of candidates in a primary for town committee member, which **are prohibited**. For other Slate Committees please see section entitled, "A Town and State Central Committee may accept:" on Page 11.
- e) A referendum committee may be able to distribute its surplus to a party committee upon termination dependent upon how it was funded. Please see section entitled, "A Party Committee may not accept:" on Page 13.

<i>AMOUNT OF AGGREGATE CONTRIBUTION(S)</i>	<i>PERMISSIBLE METHOD OF PAYMENT</i>	<i>INFORMATION THAT IS REQUIRED FROM CONTRIBUTOR</i>	<i>FROM AN INDIVIDUAL UNDER 18</i>
\$0 - \$30.00	Cash, Bank Instrument or Credit Card	Name and Address	Yes
\$30.01- \$100.00	Cash, Bank Instrument or Credit Card	Name, Address and Lobbyist Status (if applicable)	No
\$100.01 - \$1,000.00	Personal Check or signed credit card slip	Name, Address, Lobbyist Status (if applicable), Principal Occupation and Employer	No
\$1,000.01 or more (Applicable to state central committees only)	Personal Check or Credit Card	Name and Address, Lobbyist Status (if applicable), Principal Occupation, Employer, and a statement indicating whether the contributor or any business associated with contributor has a contract for more than \$5,000.00 with the State prior to deposit.	No

**CERTIFICATION FORM FOR INDIVIDUALS MAKING CONTRIBUTIONS
TO THE FOLLOWING TYPE OF COMMITTEE:**

Party Committee

If you are making a monetary contribution that exceeds \$50, separately or in the aggregate, to a committee referenced above, please provide the following information:

Contributor Name: _____

Residential Address: _____

Telephone: (home) _____
(other) _____

Occupation: _____

Employer: _____

Committee Name: _____

Contribution Amount: _____

Aggregate Contributions: _____

CERTIFICATION

Pursuant to C.G.S. § 9-608, I hereby certify that all of the information provided above is true and accurate to the best of my knowledge and belief and that I am **NOT** a principal of a state contractor or prospective state contractor, as defined C.G.S. § 9-612, as amended by P.A. 07-1 nor a “communicator lobbyist” or a member of the “immediate family” of a communicator lobbyist. (See definitions on Page 58)

(Contributor’s Signature)

Connecticut General Statutes § 9-612(g)(2), as amended by P.A. 07-1, provides in part that no *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate or with a regard to a state contract or state contract solicitation with or from the *General Assembly* or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to . . . a party committee.

In addition, pursuant to Connecticut General Statutes § 9-610, no communicator lobbyist, member of the immediate family of a communicator lobbyist, or political committee established or controlled by a communicator lobbyist or a member of the immediate family of a communicator lobbyist shall make a contribution or contributions to, or for the benefit of . . . a party committee.

*The contribution ban does not apply to the campaign of a communicator lobbyist, immediate family member of a communicator lobbyist or agent of a communicator lobbyist who is a candidate for public office or to an immediate family member of a communicator lobbyist who is an elected public official. Under those limited circumstances, the certification provided above is not required. See C.G.S. § 9-610.

Definition of Terms

“State contract”: an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes. See C.G.S. § 9-612(g)(1)(C), as amended by P.A. 07-01.

“State contractor”: a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee. See C.G.S. § 9-612(g)(1)(D), as amended by P.A. 07-01.

“Prospective state contractor”: a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee. See C.G.S. § 9-612(g)(1)(E), as amended by P.A. 07-01.

“Principal of a state contractor or prospective state contractor”: (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor. See C.G.S. § 9-612(g)(1)(F), as amended by P.A. 07-01.

“Communicator Lobbyist” means: an individual or entity that is registered with the Office of State Ethics and the term “communicator lobbyist” is defined by Section 1-91 of the Code of Ethics for Lobbyists. A “communicator lobbyist” receives or agrees to receive \$2,000 or more in a calendar year for lobbying. See C.G.S. § 1-91(u).

“Immediate family” means: The spouse or a dependent child of an individual. See Conn. Gen. Stats. Section 9-601(24). Please note, “spouse” as used above includes partners to a civil union pursuant to C.G.S. § 46b-38aa, *et al.*

“Dependent Child” means: a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax return of such individual. See C.G.S. § 9-612(g)(1)(G), as amended by P.A. 07-01.