



STATE OF CONNECTICUT  
STATE ELECTIONS ENFORCEMENT COMMISSION

---

**CAMPAIGN FINANCE REGISTRATION AND  
DISCLOSURE REQUIREMENTS FOR CANDIDATES  
INVOLVED IN TOWN COMMITTEE PRIMARIES  
FAQ SHEET – 2010**

Each candidate for town committee member in the March 2, 2010 town committee primary is required to comply with the registration and financial reporting provisions of Connecticut's Campaign Finance Laws as contained in Chapter 155 of the General Statutes. In recognition of our continuing obligation to inform and educate those involved in financing political campaigns of their legal duties and responsibilities, the State Elections Enforcement Commission has prepared this FAQ Sheet which highlights the basic requirements pertaining to candidates in a primary for town committee member. Generally, these candidates have the same disclosure and reporting obligations as do candidates for election to a state or municipal public office.

Please note that a candidate who is involved in a town committee primary and who does not file the required form with the Town Clerk, as fully explained in this FAQ, will be responsible for mandatory penalties.

Those who use this FAQ Sheet should also refer to the provisions of Chapter 155 of the General Statutes to obtain a greater understanding of these requirements. Please contact the Commission at the number listed below if you have any questions.

## FREQUENTLY ASKED QUESTIONS CONCERNING THESE REQUIREMENTS

1. **I am currently on the Town Committee and wish to seek another term. Do I have to register in order to raise funds for my campaign?**

No, unless your name will appear on the ballot in a party primary for town committee members. If there is no primary, candidates are not required to register or disclose contributions received or spent on their campaigns.

2. **My party recently had a caucus and I was chosen as an endorsed candidate for the position of town committee member. Although there was a challenge slate offered at the caucus, they were neither endorsed nor have they obtained a sufficient number of signatures on primary petitions. Am I, or are any of the candidates who were endorsed, required to register a fundraising committee and disclose the committee's receipts and expenditures?**

No. The registration and disclosure requirements apply only to candidates who compete in a primary.

3. **I have been selected to the party-endorsed slate of candidates for town committee member and I'm being challenged at a primary. Do I have to register as a candidate and designate a funding source?**

Yes. If there is a primary, the Town Clerk is required to prepare a legal notice for publication in a newspaper having general circulation in the municipality. See Section 9-435, Connecticut General Statutes. In these instances, the campaign of each candidate in a primary for the position of town committee member must register either by (a) forming a candidate committee, or (b) filing a "*Certificate of Exemption from Forming a Candidate Committee*" as further described in Question 6.

4. **When must a form be filed?**

It must be filed by the candidate **within ten calendar days** of becoming a candidate.

5. **When does an individual become a candidate for a town committee primary?**

Under state campaign finance law, one becomes a candidate if he or she: (1) has solicited or received funds or other resources (personally, or through another person), or made expenditures, including expenditures from personal funds, for the purpose of bringing about such individual's nomination or election to any office; (2) has been endorsed or nominated by a political party and is thus entitled to a position on the ballot at an election or primary (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). The candidate has ten calendar days from the day of the earliest occurrence of any of these events which trigger candidacy in a town committee primary to file with the Town Clerk.

6. **Which form must be filed?**

You must give public notice of your candidacy and the manner in which your campaign will be funded by filing a "*Registration by Candidate*," SEEC Form 1. You must also file either a SEEC Form 1A or a SEEC Form 1B.

You may file the "*Certification of Exemption From Forming A Candidate Committee*," SEEC Form 1B, if any one of the following 4 conditions apply:

(a) You are one of a slate of candidates in the primary whose campaigns are being funded solely by an existing Town Committee or a newly created political committee established for the slate in connection with the primary, or

(b) You will be funding your campaign entirely from your own personal funds and do not intend to solicit contributions from other persons or committees, or

(c) You do not intend to receive or spend more than \$1,000, or

(d) You do not intend to spend or receive any money.

If you do not choose to finance your campaign through one of these exemptions, you must organize and establish a candidate committee for your campaign and file the form entitled "Candidate Committee Registration Statement," SEEC Form 1A.

**You must therefore file SEEC Form 1 AND either Form 1A or Form 1B.**

Campaign finance registration and reporting forms are available at any office of a Town Clerk or the State Elections Enforcement Commission ([www.ct.gov/seec](http://www.ct.gov/seec)).

**7. Where do I file this required form?**

With the Town Clerk of the municipality holding the primary.

**8. What is the effect of filing a Certification of Exemption, SEEC Form 1B?**

A candidate who qualifies for a 1B exemption need not establish or register a separate candidate committee, open a separate bank account or appoint his own treasurer for the primary campaign.

**9. What are the consequences if I do not file SEEC Form 1?**

The Town Clerk is required to assess a mandatory late fee of \$100 if a candidate who is involved in a primary does not file either form by the tenth day after becoming a candidate. Late filing fees cannot be waived. In addition, if the candidate does not file within seven days

after receiving a delinquency notice, the candidate is referred to the State Elections Enforcement Commission and may then be liable for additional civil penalties and possible criminal sanctions, including a fine of up to \$2,000 and imprisonment of up to one year, or both.

**10. I have filed SEEC Form 1B and have certified that I am exempt from the candidate committee registration requirement because I intend to finance my campaign entirely from my own funds. My neighbor has since indicated he wants to donate \$100 by check to my campaign. May I accept the contribution without having to register a candidate committee (open a checking account, and appoint a treasurer)?**

If you accept the contribution from the neighbor, then you no longer qualify for the exemption that you intend to finance your campaign entirely from your personal funds. If, however, you still qualify for the 1B exemption that you do not intend to receive or spend more than \$1,000, you may amend your SEEC Form 1B to reflect the change in exemption and must do so not later than three business days following receipt of the contribution.

**11. The same circumstances apply as in Question 10 and I have accepted the \$100 contribution. My brother now desires to contribute \$1,000 to my campaign. If I accept it, must I register a candidate committee (open a checking account and appoint a treasurer)?**

Yes. If during the course of the campaign, there is a change in circumstances and the candidate is no longer eligible for any of the exemptions, he must register his candidate committee and file SEEC Form 1A with the Town Clerk within three business days of the act which results in the loss of his exempt status. In this instance, you may only accept the \$1,000 contribution (or a total of \$1,100) if you register a candidate committee, SEEC Form 1A.

**12. Am I required to appoint someone as my campaign treasurer if I finance my campaign entirely from my own personal funds or do not receive or spend more than \$1,000 from other sources?**

No. In either case, you may perform the duties of the treasurer and are not required to designate another as your treasurer. However, if you spend over \$1,000 in personal funds, you are required to file certain financial disclosure statements. (See Question 22 for more information.)

**13. I am a candidate on the petitioning slate of candidates, and a separate political committee has been formed to finance the campaigns of all candidates on the slate. What are my registration obligations as a candidate?**

You are exempt from the requirement of registering a candidate committee if you are part of a slate of candidates whose campaigns are financed solely by a political slate committee, and you file SEEC Form 1B, "*Certification of Exemption from Forming a Candidate Committee*" with the Town Clerk, entering the name of the political slate committee which has been registered to finance the slate of candidates. The chairperson of the political committee is required to register such committee using the form entitled "*Political Committee Registration*," SEEC Form 3, with the Town Clerk of the municipality holding the primary.

**14. For a political committee established to finance a slate of candidates in the primary, what is required of the chairperson to complete the registration process?**

In addition to filing the political committee registration form, SEEC Form 3, the chairperson is required to appoint one registered Connecticut voter to serve as the campaign treasurer and establish a single checking account in a bank or other financial institution in Connecticut to serve as the depository for the committee's funds. The designation of the treasurer and depository must be made on the committee registration form.

In addition, although not required, the political committee chair may designate a deputy treasurer who can act in the treasurer's absence.

**15. For a candidate committee of a single candidate in the primary, what is required to complete the registration process?**

In addition to filing the candidate committee registration, SEEC Form 1A, the candidate has the same responsibilities as the chairperson of a political slate committee (see Question 14), and must include the name of the treasurer and depository on the registration form.

**16. Are there any requirements pertaining to the committee's depository?**

The depository institution may be a bank, savings and loan or credit union and must be situated in this State. A single checking account must be established in the depository in which all receipts are deposited, and from which all expenditures are made. Only the treasurer and/or deputy treasurer, if applicable, may deposit funds into or expend funds from this account.

**17. Do restrictions apply to a campaign treasurer?**

Yes. Only one individual may serve as campaign treasurer and a candidate may not serve as his own campaign or deputy campaign treasurer. This prohibition extends to the treasurer of a political committee or town committee that finances its treasurer's campaign for town committee member. The appointment of a deputy campaign treasurer is optional but strongly recommended. The campaign treasurer and deputy campaign treasurer must be registered voters in Connecticut.

**18. What are the campaign treasurer's chief responsibilities?**

- (a) To deposit funds in the checking account within fourteen (14) days of receipt.

- (b) To authorize and pay all committee expenditures by check drawn on the depository institution.
- (c) To complete and file required financial disclosure statements in a timely manner.
- (d) To appoint "solicitors" to receive funds on behalf of the campaign treasurer, if necessary.
- (e) To oversee all financial transactions of the committee.
- (f) To retain records and receipts documenting all expenditures.

**19. When must the campaign treasurer file the detailed statement of committee receipts and expenditures?**

If the committee has either raised or spent more than \$1,000 by the seventh day prior to the filing date, a detailed financial statement must be filed by the 7th day prior to the March 2, 2010 town committee primary (February 23, 2010) and within 30 days following the primary (April 1, 2010). Additional statements must be filed if the committee has a surplus or deficit as of the last filed statement. A printed calendar of filing dates is attached to this FAQ Sheet. (See Question 21 if the committee has raised or spent \$1,000 or less.)

**20. What form must the campaign treasurer use to comply with the financial disclosure requirements?**

If the committee has raised or spent more than \$1,000, the campaign treasurer must file SEEC Form 20 entitled "Itemized Campaign Finance Disclosure Statement."

**21. If the committee has not raised or spent more than \$1,000, does the campaign treasurer have any filing requirements?**

Yes. The campaign treasurer must file SEEC Form 21 entitled "Short Form Campaign Finance Disclosure Statement" on the day required if no more than \$1,000 was raised or spent by the committee by the close of the reporting period. The requirement to file a financial disclosure report on the filing date does not apply to a candidate who is exempt from

registering a candidate committee and has filed SEEC Form 1B unless the candidate had opted for the self-financing exemption and has made or incurred expenditures over \$1,000 in the aggregate. (See Question 22) In the case of a candidate who is solely funded by a town committee or a political slate committee, that committee must do the appropriate filings.

**22. If the candidate has filed SEEC Form 1B, are there additional filing requirements?**

Yes. If the candidate has claimed reason number (2) on SEEC Form 1B and has made or incurred expenditures exceeding \$1,000, the candidate must file a report of his/her expenditures in accordance with the same schedule of filings as a treasurer of a candidate committee using SEEC Form 23 entitled "Self Funded Candidate's Expenditure Statement." The candidate's reports must include all expenditures made or incurred since the start of the campaign, including those he/she made before reaching the \$1,000 threshold. (See Question 19)

**23. Where must these financial disclosure statements be filed?**

With the Town Clerk of the municipality holding the primary.

**24. What are the penalties for a campaign treasurer who fails to file either form (SEEC Form 20 or SEEC Form 21) on the day it is due?**

The Town Clerk is required by law to assess a mandatory late filing fee of \$100 against the delinquent treasurer which must be paid from the treasurer's personal funds. Late filing fees cannot be waived. In addition, if the campaign treasurer does not file within seven days after receiving a delinquency notice, the treasurer is referred to the State Elections Enforcement Commission and may then be liable for additional civil penalties and possible criminal sanctions, including a fine of up to \$2,000 and imprisonment of up to one year, or both.

**25. What must be disclosed on the “Itemized Campaign Finance Disclosure Statement”?**

Generally, the disclosure requirements applicable to candidates’ campaigns for election, or nomination to a state or municipal public office apply with equal effect to candidates in town committee primaries. This includes the disclosure of the name and address of each contributor of more than \$50 in total contributions to the committee and whether each contributor is a communicator lobbyist or the spouse or dependent child of a communicator lobbyist, the employer and occupation if that sum exceeds \$100, the total sum of all monetary receipts of \$50 or less, the name and address of each payee to whom an expenditure is made, the purpose of each expenditure, and a statement of the balance on hand and outstanding expenses or other committee obligations. The “Itemized Campaign Finance Disclosure Statement” contains detailed instructions for completion of the form.

**26. What about receipts and expenses before the candidate/committee was required to be registered? Must these be disclosed?**

Yes. Once a candidate is required to register a candidate committee, all contributions received and expenditures made since the start of the candidate’s campaign must be reported, including those received or made prior to committee registration. For this reason, candidates who have filed a 1B exemption should maintain internal records of all receipts and expenditures in case circumstances change and they are required to register a candidate committee.

**27. Are there any restrictions on contributions made in cash?**

Yes. A \$100 maximum cash contribution in the aggregate is permitted from any individual, and, if otherwise permissible, from any business entity or labor union. (See Questions 29 and 30)

**28. Are there any limitations on contributions made by check from an individual?**

Individuals may give without limit to a candidate committee formed for the position of town committee member or to a political committee formed for a slate of candidates for the position of town committee. However, there is a \$1,000 per calendar year limit on an individual’s total contributions to a town committee.

**29. May business entities, such as partnerships and corporations make direct contributions?**

Generally, a business entity may not contribute to a candidate for public office or a political or party committee. However, a business entity, which is incorporated or licensed to do business in Connecticut, may give without limit to a candidate committee formed for the position of town committee member or to a political committee formed for a slate of candidates for the position of town committee. A town committee that is the sole funding source for a town committee slate may not receive contributions from a business entity.

**30. May labor unions make direct contributions?**

Generally a labor union may not contribute to a candidate for public office or a political or party committee without first forming its own political committee. However, a labor union may also give without limit to a candidate committee formed for the position of town committee member or to a political committee formed for a slate of candidates for the position of town committee. A town committee that is the sole funding source for a town committee slate may not receive contributions from a labor union.

**31. May an existing ongoing political committee make contributions to town committee candidates?**

Yes, but only if it is properly registered as a political committee with the State Elections Enforcement Commission or

the Town Clerk, as the case may be. A registered political committee may make unlimited contributions to a candidate committee formed for the position of town committee member or to a political committee formed for a slate of candidates for the position of town committee. A town committee that is the sole funding source for a town committee slate may receive contributions from a registered political committee up to \$1,500 per calendar year.

**32. Are there any other prohibitions which pertain to the campaign financing of candidates in town committee primaries?**

Yes. Vote buying and selling is prohibited. A promise of appointment to a public position made in exchange for support in the primary is prohibited. False disclosure of the name of a contributor on any campaign finance statement is also prohibited. These are classified as corrupt election practices. Other prohibited practices are contained in Section 9-622, Connecticut General Statutes.

**33. What are the penalties if I make or accept an improper contribution, or engage in a corrupt election practice?**

Any single violation of the campaign finance laws subjects the offender to a civil penalty of up to \$2,000 which can be imposed by the State Elections Enforcement Commission. The Commission may order any improper contributions or payments to be remitted to the Commission for deposit in the State's treasury or to be returned to the contributor. An intentional violation of these laws is punishable as a Class D felony, for which a maximum of \$5,000 in fines and five years imprisonment can be imposed by the Court. Criminal prosecutions are instituted by the Office of the Chief State's Attorney and the State's Attorneys' Offices upon recommendation of the Commission.

**34. Is identification required on political communications which advocate the election or defeat of a candidate in a primary for town committee member?**

Yes. The rules applicable to communications for candidates for public office are also applicable to campaign communications that advocate the election or defeat of a candidate in a primary for town committee member.

If a candidate committee pays for the communication it must include on its face the text "*Paid for by*" followed by the name of the committee and its campaign treasurer and the text "*Approved by*" followed by the name of the candidate. If a candidate pays for the communication it must include on its face the text "*Paid for by*" followed by the candidate's name and address and the text "*Approved by*" followed by the name of the candidate. If a political slate committee or town committee pays for the communication it must include on its face the text "*Paid for by*" and the name of the sponsoring committee and its treasurer, except that a town committee's attribution need not include the name of the treasurer. If an individual pays for the communication and it is made with the cooperation of, at the request or suggestion of, or in consultation with the candidate, candidate committee, or candidate's agent, the communication must include on its face the text "*Paid for by*" followed by the name and address of the individual and the text "*Approved by*" followed by that individual's name. Candidates and candidate committees have additional attribution requirements for television, Internet video, radio, and Internet audio advertising, as well as automated telephone calls. See Section 9-621, Connecticut General Statutes, for more information.

**35. Where can I obtain the forms necessary to register a committee or claim an exemption, or to disclose contributions and expenditures?**

All campaign finance forms and statements are available at your Town Clerk's office and the State Elections

Enforcement Commission, either at its offices or on its website ([www.ct.gov/seec](http://www.ct.gov/seec)).

**36. What if my candidate committee or the political committee established for the slate of candidates for the town committee primary has a surplus after the primary?**

The committee must distribute its surplus not later than ninety (90) days after the primary to one of the following: (a) an ongoing political committee which has agreed by virtue of the acceptance of such distribution, to never finance any of your future campaigns for elective office; (b) a party committee; (c) a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code; (d) all contributors on a prorated basis by contribution; or (e) the Citizens' Election Fund.

**37. What if my candidate committee or the political committee established for the slate of candidates for the town committee primary has a deficit after the primary?**

Your committee must remain in existence until the deficit is eliminated. Your treasurer is required to file additional financial disclosure statements on the seventh day of any succeeding month where there is an increase or decrease that is greater than five hundred dollars (\$500) from the last disclosure statement. If your committee solicits funds to eliminate your deficit in any written or printed communications, such communication must include a statement that the funds are being sought to eliminate a deficit.

**38. Where can I obtain an interpretation of campaign finance law, advisory opinion, or file a complaint if I know a violation has been committed?**

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

Albert P. Lenge  
Executive Director & General Counsel

Internet: [www.ct.gov/seec](http://www.ct.gov/seec)

Telephone: (860) 256-2940

Toll Free within Connecticut

1-866-SEEC INFO [1-866-733-2463]

E-mail: [SEEC@ct.gov](mailto:SEEC@ct.gov)

FAX: (860) 256-2981

---

## Campaign Finance Filing Dates

For All Committees Funding Candidates for the Position of Town  
Committee Members in the 3/2/10 Town Committee Primary

(Section 9-612, C.G.S.)

Type of Statement	Period Covered	Committee Type	Filing/ Mailing Date
7 <sup>th</sup> Day Preceding 3/2/10 Primary	Date of Formation through 2/16/10	All	2/23/10
Within 30 days Following 3/2/10 Primary	2/17/10 through 3/25/10	All but Town Committees	4/1/10 <sup>1</sup>
April Filing	2/17/10 through 3/31/10	Town Committees <b>only</b>	4/12/10
Deficit Report	3/26/10 through 5/28/10	All but Town Committees	5/31/10 <sup>2</sup>
Surplus & Termination Report	3/26/10 through 5/31/10	All but Town Committees	6/7/10 <sup>3</sup>
July Filing	4/1/10 through 6/30/10	Town Committees <b>only</b>	7/12/10

1. A committee formed in connection with the 3/2/10 town committee primary which has distributed any surplus or has eliminated any deficit within 30 days of the primary may terminate with the filing of this report.
2. A committee formed in connection with the 3/2/10 town committee primary which reports a deficit on the 90<sup>th</sup> day following the primary will thereafter be required to file an additional statement on the 7<sup>th</sup> day of any succeeding month when there is an increase or decrease in the deficit which is greater than \$500.00 from the last filed financial disclosure statement.
3. A committee formed in connection with the 3/2/10 town committee primary must distribute or expend its surplus within 90 days following the primary and report such distribution within seven days thereafter.

# Permissible Contributions

## Town Committee Primary Aggregate Dollar Limits<sup>a</sup>

<i>Recipient Committee</i>	Contributor Sources <sup>b</sup>						
	Individual	Candidate Committee	Party Committee	Political Committee formed by two or more Individuals	Political Committee formed by a Business	Political Committee formed by an Organization	Other Entity <sup>c</sup>
<b>Political Slate Committee</b> <i>of two or more Candidates for Town Committee Member</i>	Unlimited	Prohibited	Unlimited	Unlimited	Unlimited	Unlimited	Unlimited
<b>Town Committee</b> <i>as authorized funding vehicle for two or more Candidates for Town Committee Members</i>	1,000 <sup>a</sup>	Only surplus distribution	Unlimited	1,500 <sup>a</sup>	1,500 <sup>a</sup>	1,500 <sup>a</sup>	Prohibited
<b>Candidate Committee</b> <i>for individual Town Committee Member</i>	Unlimited	Prohibited	Unlimited	Unlimited	Unlimited	Unlimited	Unlimited

- For town committees, the aggregate limit is a calendar year limit for all events.
- Only contributions from committees that are registered in Connecticut may be accepted. *Note:* A political committee formed for a referendum may not give to a candidate committee, town committee or political slate committee under any circumstances.
- Only contributions from an "Other Entity" that is permitted to do business in Connecticut may be accepted. Examples of other entities would be partnerships, labor unions, and corporations.