

CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

SEEC FORM CEP 10

AFFIDAVIT OF INTENT TO ABIDE BY EXPENDITURE LIMITS AND OTHER CITIZENS' ELECTION PROGRAM REQUIREMENTS

Revised January 2021

For use by

Statewide and General Assembly Candidates Participating in the Citizens' Election Program

GENERAL INSTRUCTIONS

- Type or print clearly all information in black or blue pen. Please do not use pencil.
- Elections Officers are available to answer questions and advise on how to complete this form (860-256-2985).
- Candidate who intends NOT to participate in the Citizens' Election Program: Use SEEC Form CEP 11.

WHO FILES THIS FORM

A candidate who has filed a Candidate Committee Registration (**SEEC Form 1** and **1A**) and who intends to participate in the Citizens' Election Program (CEP), along with the campaign's treasurer and deputy treasurer (if applicable), are to use this form. Generally, a candidate who completes and files this affidavit intends to apply for a public campaign financing grant.

A candidate who has filed a Certification of Exemption From Forming a Candidate Committee (SEEC Form 1 and 1B) is not eligible to apply for a public campaign financing grant, but may file a SEEC Form CEP 10 to abide by expenditure limits and other Program requirements if the candidate wishes to do so.

Please Note: Because this form is an affidavit, the candidate, treasurer, and deputy treasurer (if applicable) must initial each certification and sign the appropriate certification page under oath before a notary public or Commissioner of Superior Court. A Commissioner of Superior Court is an attorney in good standing admitted to practice law in Connecticut.

A candidate who intends NOT to participate in the Citizens' Election Program must file a **SEEC Form CEP 11** — *Affidavit of Intent Not to Abide by Expenditure Limits.*

WHERE TO FILE THIS FORM

Hand-deliver or mail the completed and signed SEEC Form CEP 10 to Connecticut State Elections Enforcement Commission, 55 Farmington Ave, Hartford, CT 06105, Attn.: Candidate Services Unit.

WHEN TO FILE THIS FORM

SEEC CEP Form 10 must be completed, signed, and received by the SEEC no later than 4:00 P.M. on the 25th day before the primary date (if applicable), the 40th day before the regular election date, or the 25th day before the special election date, as set forth in subsection (a) of section 9-703. Failure to file by the deadline will cause the candidate to be deemed nonparticipating.

COMPLETING THE FORM

Please Note: Whenever *any* information contained on the candidate committee registration (SEEC Form 1 or 1A) changes, the candidate must file an **amended** SEEC FORM 1/1A signed by the candidate, treasurer and deputy treasurer (if applicable) within **10 days** of the date of the change.

SECTION A. IDENTIFYING INFORMATION

1. Election Date: In mm/dd/yyyy format, provide the election date for which the candidate is seeking election to a public office. If the candidate will be in a primary, still provide the date of the general election.

2. **Office Sought**: List the name of the public office or position being sought by the candidate as registered with the SEEC Form 1 and 1A.

3. District Number: Provide the district number, if applicable, for the public office or position sought by the candidate.

4. **Candidate Name**: Provide the full name of the candidate (first name, middle initial, last name, suffix) as registered with the SEEC Form 1 and 1A.

5. Committee Name: Provide the full name of the committee as registered with the SEEC Form 1 and 1A.

6. **Party Status**: Indicate how the candidate qualified or will qualify for ballot status for the primary or election indicated in the Election Date at the top of the form. The purpose of the party status disclosure is to determine the amount of public funds a candidate may be eligible to receive, based on the candidate's path of ballot access.

Example 1: A candidate is nominated by a major party at the party convention and the nomination papers are filed with the Secretary of the State. On the SEEC Form CEP 10, that candidate would mark the Major Party box and complete the Name of Party line. Similarly, if a candidate is petitioning to trigger a major party primary, that candidate would also mark the Major Party box.

Example 2: A candidate is *not* nominated by a major or minor party, but instead successfully petitions onto the ballot for the regular election, as verified by the Secretary of the State. On SEEC Form CEP 10, that candidate would mark the Petitioning box and would leave the Name of Party line blank.

Please Note: Once a candidate files SEEC Form CEP 10 designating the candidate's party status, if the same participating candidate subsequently changes party status for purposes of getting on the ballot, that candidate is not eligible to receive any grant funds. Candidates, especially cross-endorsed candidates, with questions about completing this section should contact their Elections Officer (860-256-2985).

7. **Treasurer Name**: Provide the full name of the Treasurer (first name, middle initial, last name, suffix). This should be the same person who is the appointed Treasurer and properly registered with the SEEC Form 1 and 1A.

8. **Deputy Treasurer Name**: If applicable, provide the full name of the Deputy Treasurer (first name, middle initial, last name, suffix). This should be the same person who is the appointed Deputy Treasurer and properly registered with the SEEC Form 1 and 1A. The SEEC **strongly** recommends that all participating candidates appoint a Deputy Treasurer.

SECTION B. CANDIDATE CERTIFICATION

The candidate must **initial** each line of Section B and sign under oath in front of a notary public or Commissioner of Superior Court *nust complete the applicable portion of Section B.*

SECTION C. TREASURER CERTIFICATION

The treasurer must **initial** each line of Section C and sign under oath in front of a notary public or Commissioner of Superior Court. *Notary public or Commissioner of Superior Court must complete the applicable portion of Section C.*

If the treasurer later resigns as treasurer, the candidate must amend the committee registration (SEEC Form 1 and 1A) to designate a new treasurer. The new treasurer must file an amended SEEC Form CEP 10, marked Amended, consisting of a new Section A and Section C.

SECTION D. DEPUTY TREASURER CERTIFICATION

If the committee has a designated deputy treasurer, the deputy treasurer must **initial** each line of Section D, and sign under oath in front of a notary public or Commissioner of Superior Court. *Notary public or Commissioner of Superior Court must complete the applicable portion of Section D.*

If the candidate committee does not have a deputy treasurer at the time of filing the SEEC Form CEP 10, but the candidate later amends the committee registration (SEEC Form 1 and 1A) to designate a deputy treasurer, the deputy treasurer must file an amended SEEC Form CEP 10, marked Amended, consisting of a new Section A and Section D.

SEEC FORM CEP 10 Citizens' Election Program-Affidavit of Intent to Abide CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION **Revised January 2021** Page 1 of 7

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	□ Mailed	☐ Hand Delivered

AFFIDAVIT TYPE

□ INITIAL AMENDED

AFFIDAVIT OF INTENT TO ABIDE BY EXPENDITURE LIMITS AND OTHER CITIZENS' ELECTION PROGRAM REQUIREMENTS

Statewide and General Assembly Candidates

The candidate and the campaign treasurer must each review all information provided on this Affidavit, and sign or initial the designated lines requiring signatures or initials. Any deputy treasurer designated by the candidate must complete and sign the Deputy Treasurer Affidavit. This Affidavit must be completed, signed, and received by the State Elections Enforcement Commission no later than 4:00 p.m. on the twenty-fifth (25th) day before the primary date, if applicable, the fortieth (40th) day before the election date, or the twenty-fifth (25th) day before the special election date as set forth in subsection (a) of section 9-703 of the Connecticut General Statutes.

SECTION A. Identifying Information					
1. ELECTION DATE			3. DISTRICT NUMBER		
(mm/dd/yyyy)				(If applicable,)
4. CANDIDATE NAME		1			
First Name		MI	Last Name		Suffix
5. COMMITTEE NAME					
6. PARTY STATUS (How the c	andidate qualified or will o	qualify for the ba	allot in this election cycle)		
Major Party [Primary (wheth			nary) or General Election]		
Minor Party	Minor Party Name of party				
Petitioning Name of party (if affiliated)					
[on to the Gener	al Election ballot]				
7. TREASURER NAME					
First Name		MI	Last Name		Suffix
8. DEPUTY TREASURER NA	AME				
First Name		MI	Last Name		Suffix
NOTICE FOR SEEC FORM CEP 10					
Pursuant to General Statutes	8, 0, 706 (a) (5) a candi	idate may not	apply for a Citizens' Election Progr	am arant if s	uch candidate

Pursuant to General Statutes § 9-706 (a) (5), a candidate may not apply for a Citizens' Election Program grant if such candidate has been convicted of or plead guilty or nolo contendere to, in a court of competent jurisdiction, any (A) criminal offense under Title Nine of the General Statutes (Elections) unless at least eight years have elapsed from the date of the conviction or plea or the completion of any sentence, whichever date is later, without subsequent conviction of or plea to another such offense, or (B) a felony related to the individual's public office, other than an offense under Title Nine. Furthermore, the candidate must certify in the grant application that all outstanding civil penalties or forfeitures assessed pursuant to chapters 155 to 157 of the General Statutes (Campaign Finance), against the current or any former committee of the candidate have been paid, provided (A) in the case of any candidate seeking nomination for or election to statewide office, any such penalty or forfeiture was assessed not later than twenty-four months prior to the submission of the application; or (B) in the case of any candidate seeking nomination for or election to the General Assembly, any such penalty or forfeiture was assessed not later than twelve months prior to the submission of an application.

Notice: Making a false statement on this form may subject you to criminal penalties, including but not limited to, imprisonment for up to one year or a fine of up to two thousand dollars, or both.



SECTION B. Candidate Certification

The candidate must read each paragraph below and indicate agreement to each numbered paragraph by writing HIS/HER INITIALS AT EACH NUMBERED SPACE BELOW. Affidavits missing initials for any item will not be deemed complete. A completed affidavit must be received by the State Elections Enforcement Commission no later than 4:00 p.m. on the twenty-fifth (25th) day before the primary date, if applicable, the fortieth (40th) day before the election date, or the twenty-fifth (25th) day before the special election date if you elect to be a participating candidate.

- 1. I certify that I am over 18 years of age and believe in and understand the obligation of an oath. I hereby affirm, certify, and state that I intend to participate in the Citizens' Election Program (the "Program") established by Chapter 157 of the Connecticut General Statutes and that I understand my obligation to abide by and will abide by the Program's requirements, including the expenditure limits, which are set forth in General Statutes § 9-702 (c).
- 2. I certify that I understand that prior to applying for a grant I must return any contribution or contributions from any one contributor that exceed or exceeds in the aggregate the applicable contribution limit set forth in Chapter 157 of the General Statutes. I further understand that prior to applying for a grant, I must transmit any excess qualifying contributions to the Citizens' Election Fund.
- 3. I certify that either my committee has not received any impermissible monetary or in-kind contributions (including coordinated expenditures) from any committee or person, or, if my committee has received any impermissible monetary or in-kind contributions (including coordinated expenditures), the committee has addressed this with Commission staff and has properly refunded or disgorged (or taken any other applicable steps), and disclosed all such contributions. I further certify that my committee will not receive any such contributions (including coordinated expenditures) which are prohibited by the Program. I certify that I understand that the definition of independent expenditure means an expenditure that is wholly or totally made without the consent, coordination, or consultation of a candidate or committee or agent of the candidate or committee.
- 4. I certify that I have not solicited or received any contributions for any committee to benefit my candidacy, *Initials* 4. I certify that I have not solicited or received any contributions for any committee, other than qualifying contributions for my candidate committee, and that I will not solicit or receive any contributions for any committee to benefit my candidacy, or authorize any other person to solicit or receive such contributions for any committee, other than qualifying contributions for my candidate committee.
- 5. I certify that I have abided by and will continue to abide by the provisions of the Program governing use of the candidate's personal funds and the provisions of the Program governing loans, as set forth in General Statutes § 9-710.
- 6. I certify that I understand that if I have established or control a political committee (i.e., a personal PAC), this political committee cannot make any contributions or expenditures to promote or benefit my campaign.
- 7. I certify that I have thus far abided by the Program's expenditure limits and that my candidate committee has not made expenditures in excess of the expenditure limits applicable to the office I am seeking, as set forth in General Statutes § 9-702 (c). I further certify that I understand that if my candidate committee exceeds any applicable expenditure limit during the period in which I am seeking grant monies, grant monies will not be released and penalties may be assessed for not abiding by the expenditure limit.

Candidate Certification continued on page 3



SECTION B. Candidate Certification continued

- 8. I certify that my candidate committee will expend any moneys received from the Citizens' Election Fund in accordance with the provisions of General Statutes § 9-607 (g) and with the regulations adopted by the State Elections Enforcement Commission ("SEEC") under General Statutes § 9-706 (e). I certify that I understand I am personally liable and must repay to the Citizens' Election Fund any moneys that are not expended in accordance with the provisions of General Statutes § 9-607 (g) and with any regulations adopted by the SEEC under General Statutes § 9-706 (e).
- 9. I certify that I understand I am required to comply with the requirements of the Program, including all Connecticut statutes, regulations and declaratory rulings. I certify I understand that my failure to abide by the requirements of all statutes and regulations may result in the SEEC's imposition of penalties as provided in Chapters 155 and 157 of the General Statutes. I certify that I understand I shall be personally liable for penalties relating to violations of the Program requirements, by myself, my agents, and/or anyone acting under my explicit or implied direction. I further understand that I am jointly and severally liable, with the treasurer of my candidate committee, for paying any excess expenditure in accordance with General Statutes § 9-711 (a) (1).
- 10. I certify that I understand that intentionally making a false written statement under oath or pursuant to a form bearing notice, authorized by law, which is intended to mislead a public servant in the performance of his or her official function, is a class A misdemeanor pursuant to General Statutes § 53a-157b (a), and may subject me to criminal penalties, including but not limited to, imprisonment for up to one year and/or a fine of up to \$2,000.

I hereby swear, under penalty of false statement, that the above certifications are true and complete to the best of my knowledge and belief.

CANDIDATE SIGNATURE	DATE (mm/dd/yyyy)	
Sworn and subscribed before me on this day of	, 20 Sea	1
SIGNATURE OF PERSON ADMINISTERING THE OATH Commissioner of Superior Court Notary Public — My Commission Expires Notice: Making a false statement on this form may subject you to criminal penalties, including but not line	NAME OF PERSON ADMINISTERING THE OATH (Please Print)	

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SECTION C. Treasurer Certification

The campaign treasurer must read each paragraph below and indicate agreement to each numbered paragraph by writing HIS/HER INITIALS AT EACH NUMBERED SPACE BELOW. Affidavits missing initials for any item will not be deemed complete. A completed affidavit must be received by the State Elections Enforcement Commission no later than 4:00 p.m. on the twenty-fifth (25th) day before the primary date, if applicable, the fortieth (40th) day before the election date, or the twenty-fifth (25th) day before the special election date if the candidate elects to be a participating candidate.

- 1. I certify that I am over 18 years of age and believe in and understand the obligation of an oath. I hereby affirm, certify, and state that I understand that the candidate named in Section A intends to participate in the Citizens' Election Program (the "Program") established by Chapter 157 of the Connecticut General Statutes and that I understand my obligation as such candidate's designated treasurer to abide by and will abide by the Program's requirements, including the expenditure limits, which are set forth in General Statutes § 9-702 (c).
- 2. I certify that I understand that prior to applying for a grant I must return any contribution or contributions from *Initials* any one contributor that exceed or exceeds in the aggregate the applicable contribution limit set forth in Chapter 157 of the General Statutes. I further understand that prior to applying for a grant, I must transmit any excess qualifying contributions to the Citizens' Election Fund.
- 3. I certify that either the candidate committee named in Section A has not received any impermissible monetary or in-kind contributions (including coordinated expenditures) from any committee or person, or, if the candidate committee named in Section A has received any impermissible monetary or in-kind contributions (including coordinated expenditures), the committee has addressed this with Commission staff and has properly refunded or disgorged (or taken any other applicable steps), and disclosed all such contributions. I further certify that the candidate committee named in Section A will not receive any such contributions (including coordinated expenditures) which are prohibited by the Program. I certify that I understand that the definition of independent expenditure means an expenditure that is wholly or totally made without the consent, coordination, or consultation of a candidate or committee or agent of the candidate or committee.
- 4. I certify that I have not solicited or received any contributions to benefit the candidacy of the candidate who formed the candidate committee named in Section A, or authorized any other person to solicit or receive such contributions, other than qualifying contributions for the candidate committee named in Section A, and that I will not solicit or receive any contributions other than qualifying contributions for the candidate committee named in Section A.
- 5. I certify that I have abided by and will continue to abide by the provisions of the Program governing use of the candidate's personal funds and the provisions of the Program governing loans, as set forth in General Statutes § 9-710.
- 6. I certify that I understand that if I have established or control a political committee, such political committee cannot make any contributions or expenditures to promote or benefit the candidate committee named in Section A.
- 7. I certify that I have thus far abided by the Program's expenditure limits and that the candidate committee named in Section A, for which I am the designated treasurer, has not made expenditures in excess of the expenditure limits applicable to the office the candidate is seeking, as set forth in General Statutes § 9-702 (c). I further certify that I understand that if the candidate committee exceeds any applicable expenditure limit during the period in which the candidate is seeking grant monies, grant monies will not be released and penalties may be assessed for not abiding by the expenditure limit.

Treasurer Certification continued on page 5

Notice: Making a false statement on this form may subject you to criminal penalties, including but not limited to imprisonment for up to one year or a fine of up to two thousand dollars, or both.



SECTION C. Treasurer Certification continued

- 8. I certify as the treasurer of the candidate committee named in Section A that I will expend any moneys received from the Citizens' Election Fund in accordance with the provisions of General Statutes § 9-607 (g) and with the regulations adopted by the State Elections Enforcement Commission ("SEEC") under General Statutes § 9-706 (e). I certify that I understand that the candidate is personally liable and must repay to the Citizens' Election Fund any moneys that are not expended in accordance with the provisions of General Statutes § 9-607 (g) and with any regulations adopted by the SEEC under General Statutes § 9-706 (e).
- 9. I certify that I understand that I am required to comply with the requirements of the Program, including all applicable statutes, regulations and declaratory rulings. I certify that I understand that my failure to abide by the requirements of all applicable statutes and regulations may result in the SEEC's imposition of penalties as provided in Chapters 155 and 157 of the General Statutes. I certify that I understand that I shall be personally liable for penalties relating to violations of the Program requirements, by myself, my agents, and/or anyone acting under my explicit or implied direction. I further understand that I am jointly and severally liable with the candidate for paying any excess expenditure in accordance with General Statutes § 9-711 (a).
- 10. I certify that I understand that intentionally making a false written statement under oath or pursuant to a form bearing notice, authorized by law, which is intended to mislead a public servant in the performance of his or her official function, is a class A misdemeanor pursuant to General Statutes § 53a-157b (a), and may subject me to criminal penalties, including but not limited to, imprisonment for up to one year and/or a fine of up to \$2,000.

I hereby swear, under penalty of false statement, that the above certifications are true and complete to the best of my knowledge and belief.

TREASURER SIGNATURE	DATE (mm/dd/yyyy)	
Sworn and subscribed before me on this day of	, 20 Seal	
SIGNATURE OF PERSON ADMINISTERING THE OATH Commissioner of Superior Court Notary Public — My Commission Expires Notice: Making a false statement on this form may subject you to criminal penalties, including but not line	NAME OF PERSON ADMINISTERING THE OATH (Please Print)	

SECTION D. Deputy Treasurer Certification

The deputy treasurer must read each paragraph below and indicate agreement to each numbered paragraph by writing HIS/HER INITIALS AT EACH NUMBERED SPACE BELOW. Affidavits missing initials for any item will not be deemed complete. A completed affidavit must be received by the State Elections Enforcement Commission no later than 4:00 p.m. on the twenty-fifth (25th) day before the primary date, if applicable, the fortieth (40th) day before the election date or the twenty-fifth (25th) day before the special election date if the candidate elects to be a participating candidate.

In the event I become responsible for discharging any of the duties required of the treasurer:

- 1. I certify that I am over 18 years of age and believe in and understand the obligation of an oath. I hereby affirm, the certify, and state that I understand that the candidate named in Section A intends to participate in the Citizens' Election Program (the "Program") established by Chapter 157 of the Connecticut General Statutes and that I understand my obligation as such candidate's designated deputy treasurer to abide by and will abide by the Program's requirements, including the expenditure limits, which are set forth in General Statutes § 9-702 (c).
- 2. I certify that I understand that prior to applying for a grant I must return any contribution or contributions from any one contributor that exceed or exceeds in the aggregate the applicable contribution limit set forth in Chapter 157 of the General Statutes. I further understand that prior to applying for a grant, I must transmit any excess qualifying contributions to the Citizens' Election Fund.
- 3. I certify that either the candidate committee named in Section A has not received any impermissible monetary or in-kind contributions (including coordinated expenditures) from any committee or person, or, if the candidate committee named in Section A has received impermissible monetary or in-kind contributions (including coordinated expenditures), the committee has addressed this with Commission staff and has properly refunded or disgorged (or taken any other applicable steps), and disclosed all such contributions. I further certify that the candidate committee named in Section A will not receive any such contributions (including coordinated expenditures) which are prohibited by the Program. I certify that I understand that the definition of independent expenditure means an expenditure that is wholly or totally made without the consent, coordination, or consultation of a candidate or committee or agent of the candidate or committee.
- 4. I certify that I have not solicited or received any contributions to benefit the candidacy of the candidate who formed the candidate committee named in Section A, or authorized any other person to solicit or receive such contributions, other than qualifying contributions for the candidate committee named in Section A, and that I will not solicit or receive any contributions other than qualifying contributions for the candidate committee named in Section A.
- 5. I certify that I have abided by and will continue to abide by the provisions of the Program governing use of the candidate's personal funds and the provisions of the Program governing loans, as set forth in General Statutes § 9-710.
- 6. I certify that I understand that if I have established or control a political committee, such political committee cannot make any contributions or expenditures to promote or benefit the candidate committee named in Section A.
- 7. I certify that I have thus far abided by the Program's expenditure limits and that the candidate committee named in Section A, for which I am the designated deputy treasurer, has not made expenditures in excess of the expenditure limits applicable to the office the candidate is seeking, as set forth in General Statutes § 9-702 (c). I further certify that I understand that if the candidate committee exceeds any applicable expenditure limit during the period in which the candidate is seeking grant monies, grant monies will not be released and penalties may be assessed for not abiding by the expenditure limit.

Deputy Treasurer Certification continued on page 7

Notice: Making a false statement on this form may subject you to criminal penalties, including but not limited to imprisonment for up to one year or a fine of up to two thousand dollars, or both.





SECTION D. Deputy Treasurer Certification continued

- 8. I certify as the deputy treasurer of the candidate committee named in Section A that I will expend any moneys received from the Citizens' Election Fund in accordance with the provisions of General Statutes § 9-607 (g) and with the regulations adopted by the State Elections Enforcement Commission ("SEEC") under General Statutes § 9-706 (e). I certify that I understand that the candidate is personally liable and must repay to the Citizens' Election Fund any moneys that are not expended in accordance with the provisions of General Statutes § 9-607 (g) and with any regulations adopted by the SEEC under General Statutes § 9-706 (e).
- 9. I certify that I understand that I am required to comply with the requirements of the Program, including all applicable statutes, regulations and declaratory rulings. I certify that I understand that my failure to abide by the requirements of all applicable statutes and regulations may result in the SEEC's imposition of penalties as provided in Chapters 155 and 157 of the General Statutes. I certify that I understand that I shall be personally liable for penalties relating to violations of the Program requirements, by myself, my agents, and/or anyone acting under my explicit or implied direction. I further understand that I am jointly and severally liable with the candidate for paying any excess expenditure in accordance with General Statutes § 9-711 (a).
- 10. I certify that I understand that intentionally making a false written statement under oath or pursuant to a form bearing notice, authorized by law, which is intended to mislead a public servant in the performance of his or her official function, is a class A misdemeanor pursuant to General Statutes § 53a-157b (a), and may subject me to criminal penalties, including but not limited to, imprisonment for up to one year and/or a fine of up to \$2,000.

I hereby swear, under penalty of false statement, that the above certifications are true and complete to the best of my knowledge and belief.

DEPUTY TREASURER SIGNATURE	DATE
Sworn and subscribed before me on this day of	, 20 Seal
SIGNATURE OF PERSON ADMINISTERING THE OATH Commissioner of Superior Court Notary Public — My Commission Expires Notice: Making a false statement on this form may subject you to criminal penalties, including but not lin	NAME OF PERSON ADMINISTERING THE OATH (Please Print)