

STATE ELECTIONS ENFORCEMENT COMMISSION

An Overview of Citizens' Election Program 2018



Duties and Responsibilities of Commission Staff

- Assist candidates and campaign staff
- Research and answer questions about campaign finance compliance
- Provide Campaign Finance Education Seminars
- Perform Audits
- Recommend Legislative Changes
- Administer and Maintain Electronic Campaign Reporting Information System (eCRIS)
- Investigate Complaints and Enforce Law

Purpose of Presentation

- The purpose of this presentation is to provide you with general information about the various rules and requirements relating to the Citizens' Election Program during the 2018 legislative and statewide elections. This presentation, however, is not a substitute for the statutes and regulations.
- Any questions should be directed to the SEEC's Candidate Services Unit at 860.256.2985.

Objectives of Today's Presentation

Topics:

1. How to become a candidate
2. What are "Qualifying Contributions"
3. Applying for a grant
4. Making Expenditures
5. Wrapping up the Committee

Registration & Reporting Forms



WWW.CT.GOV/SEEC

Responsibilities of the Candidate



Becoming a candidate

You are a candidate when:


- You solicit or receive contributions, or make expenditures (including personal funds) to further your candidacy, *or* authorize another to do so on your behalf;
- You receive a party endorsement; or
- You otherwise have become eligible to appear on the ballot at a primary or election.

Important Note: *You must file with the SEEC within 10 days of becoming a candidate.*

1. Register candidate committee

Complete
SEEC Form 1
"Registration by
Candidate"

SEEC FORM 1
STATE ELECTIONS ENFORCEMENT COMMISSION
Registration by Candidate
Revised January 2016



Page 1 of 4

REGISTRATION TYPE	1. ELECTION DATE (mm dd/yyyy)	2. OFFICE OR POSITION SOUGHT	3. DISTRICT NUMBER <i>(if applicable)</i>
<input type="checkbox"/> Initial <input type="checkbox"/> Amendment			
4. PARTY AFFILIATION			
<input type="checkbox"/> Republican <input type="checkbox"/> Democratic <input type="checkbox"/> Other (Specify) _____			
5. CANDIDATE NAME			
First Name	MI	Last Name	Suffix
6. CANDIDATE RESIDENCE ADDRESS Street Address		7. CANDIDATE MAILING ADDRESS (if different) Address	
City	State	Zip Code	City State Zip Code
8. CANDIDATE TELEPHONE <i>(Include Area Code)</i>		9. CANDIDATE EMAIL ADDRESS	
10. DESIGNATION OF CAMPAIGN FUNDING SOURCE			
(Check one)			
<input type="checkbox"/> A. I am forming a candidate committee and I am required to file a Candidate Committee Registration Statement. <i>Go to Form 1A and complete pages 2 and 3 — Candidate Registration Statement.</i>			
<input type="checkbox"/> B. I am exempt from forming a candidate committee and I am filing a Certification of Exemption from Forming a Candidate Committee. <i>Go to Form 1B and complete page 4 — Certification of Exemption from Forming a Candidate Committee.</i>			
Important Notice: Failure of a candidate to complete this page <i>together with</i> either Form 1A, "Registration of Candidate Committee," or Form 1B "Exemption from Forming a Candidate Committee," within 10 days of becoming a candidate will subject the candidate to a mandatory \$100 late filing fee. See Section 9-623(b), Connecticut General Statutes.			
<i>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.</i>			



(1.) Registering via eCRIS

Candidates also have the option to register via eCRIS

eCRIS Campaign Reporting Information System

Member Home eCRIS Home

My Account Logout

Welcome Jane A Smith

My Committees

- My Committees
- Test My Committee (Treasurer)
- Test My PAC (Treasurer)

Latest News



New Registration

You must be a candidate or chairperson to create a new registration.
If you are the treasurer, DO NOT click on the links below.

- Candidate/Candidate Committee
- Exploratory Committee
- Party Committee
- Political Action Committee
- Independent Expenditure

Useful Links

eCRIS Training Videos

2018 Filing Calendars

Check if eCRIS Training is available

Codes for SEEC Form 20, Form 30, Form 40



2. Obtain EIN

(Federal Employer Identification Number)

- Each candidate intending to participate in the Citizens' Election Program MUST have a EIN associated with the candidate committee
- Banks typically require an EIN in order to open bank account
- Can be obtained from the IRS on-line or via telephone – our Participating Candidate Guidebook has all of the information you will need

3. File Intent to Abide by Expenditure Limits

Complete SEEC Form CEP 10 "Affidavit of Intent to Abide by Expenditure Limits"

SEEC FORM CEP 10
 Citizens' Election Program-Affidavit of Intent to Abide
 CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION
 Revised January 2016
 Page 1 of 4



For Internal Use ONLY		AFFIDAVIT TYPE <input type="checkbox"/> INITIAL <input type="checkbox"/> AMENDED
CODE: <input type="text"/>	REVIEWED BY: <input type="text"/>	
<input type="checkbox"/> Mailed	<input type="checkbox"/> Hand Delivered	

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 <small>(mm/dd/yyyy)</small>	2. OFFICE SOUGHT	3. DISTRICT NUMBER <small>(if applicable)</small>	
4. CANDIDATE NAME			
First Name	MI	Last Name	Suffix
5. COMMITTEE NAME			
6. PARTY STATUS (How the candidate qualified or will qualify for the ballot in this election cycle)			
<input type="checkbox"/> Major Party Name of party _____ <small>[Primary (whether endorsed or petitioning to trigger Primary) or General Election]</small>			
<input type="checkbox"/> Minor Party Name of party _____			
<input type="checkbox"/> Petitioning Name of party (if affiliated) _____ <small>[on to the General Election ballot]</small>			
7. TREASURER NAME			
First Name	MI	Last Name	Suffix
8. DEPUTY TREASURER NAME			
First Name	MI	Last Name	Suffix
NOTICE FOR SEEC FORM CEP 10			
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.			
<small>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.</small>			



CEP 10 Party Designation


- Be sure to include the correct party designation on the CEP 10
- Changing party status (**for purposes of getting on the ballot**) after filing CEP 10 may cause you to be ineligible for a CEP grant

6. PARTY STATUS (How the candidate qualified or will qualify for the ballot in this election cycle)	
<input type="checkbox"/> Major Party	Name of party _____ [Primary (whether endorsed or petitioning to trigger Primary) or General Election]
<input type="checkbox"/> Minor Party	Name of party _____
<input type="checkbox"/> Petitioning	Name of party (if affiliated) _____ [on to the General Election ballot]

4. File Confidential EFT Form

Complete
SEEC Form CEP 12
"Confidential
Electronic Funds
Transfer Form"

SEEC FORM CEP 12
Citizens' Election Program-Electronic Funds Transfer Form
CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION
Revised March 2012
Page 1 of 1



For Internal Use ONLY

CODE: REVIEWED BY:

AFFIDAVIT TYPE

INITIAL

AMENDED

CONFIDENTIAL: ELECTRONIC FUNDS TRANSFER FORM			
This form is for use by the candidate committee of a participating candidate for statewide office or General Assembly who has filed An Affidavit of Intent to Abide by Expenditure Limits and Other Citizens' Election Program Requirements (SEEC Form CEP 10). Information on this form is required by the State Comptroller in order to transmit funds electronically into the committee's depository if the committee applies for and is approved to receive a Citizens' Election Program grant.			
1. ELECTION DATE <small>(mm/dd/yyyy)</small>	2. OFFICE SOUGHT	3. DISTRICT NUMBER	4. FEDERAL EMPLOYER IDENTIFICATION NUMBER (FEIN) □□ - □□□□□□□□
5. COMMITTEE NAME			
6. CANDIDATE NAME			
First	MI	Last	Suffix
7. TREASURER NAME			
First	MI	Last	Suffix
8. DEPUTY TREASURER NAME			
First	MI	Last	Suffix
9. ADDITIONAL COMMITTEE CONTACT INFORMATION FOR CONFIRMING TEST TRANSACTION			
10. BANK NAME		11. BANK TELEPHONE NUMBER	
12. BANK ADDRESS			
13. BANK ROUTING NUMBER		14. CHECKING ACCOUNT NUMBER	
□□□□□□□□□□		□□□□□□□□□□□□□□	
15. CERTIFICATION AND AUTHORIZATION			
<p>I hereby certify that the Federal Employer Identification Number (FEIN) listed above is the FEIN of the Candidate Committee named above. I hereby authorize the State of Connecticut (hereinafter "State") to electronically deposit any payments made through the Office of the State Comptroller's Accounts Payable Division to the bank account specified above. This authorization is to remain in full force and effect until the State has received written notification from me of its termination in such time and manner as to afford the State and the bank named above a reasonable opportunity to act upon it. In the event that the State notifies the bank that funds have been deposited to the candidate committee's account in error, I hereby authorize and direct the bank to return said funds to the State as soon as possible. In the event that for any reason, the bank is unable to return said funds to the State, I hereby authorize the State to recover those funds by any of the following methods: (1) deducting the amount of said funds from any future payments from the State until the amount of the erroneous deposit has been recovered in full; (2) making written demand on the campaign treasurer for return of said funds, in which case the candidate committee's treasurer hereby agrees to return said funds in full to the State within two (2) weeks of receipt of such written demand; or (3) any combination of methods (1) and (2) above. The candidate committee's treasurer further agrees that if such funds are not repaid to the State, the treasurer will be liable for all costs of collection, together with the maximum interest permitted by law.</p>			
SIGNATURE <small>(Check One Box) <input type="checkbox"/> Treasurer OR <input type="checkbox"/> Deputy Treasurer</small>			DATE (mm/dd/yyyy)
16. ATTACH VOIDED COMMITTEE CHECK TO THIS FORM			



5. Ballot Requirement

- To be eligible to receive public funds, all candidates must qualify for the ballot
- The Office of Secretary of the State has jurisdiction over qualification for the ballot
- Candidates should direct ballot qualification questions to the Legislative and Elections Division of the Secretary of the State at (860) 509-6100 or 1-800-540-3764

Program Requirements that Apply to All Candidates

- All candidates for General Assembly office must formally opt in or out of the Citizens' Election Program
- All candidate must file an affidavit of intent to abide by Program requirements (CEP Form 10) or an affidavit of intent not to abide by Program requirements (CEP Form 11).
- All candidates must be aware of additional disclosure requirements, including mandatory supplemental campaign finance disclosure reports.



Program Requirements that Apply to All Committees

- Treasurers:
 - No outstanding civil penalties or forfeitures under the campaign finance statutes.
 - No convictions or guilty/nolo contendere pleas for certain criminal offenses under the campaign finance laws in the last 8 years

Program Requirements that Apply to CEP Candidates

New certifications required in CEP grant application:

- Must certify no outstanding civil penalties or forfeitures against former or present committee of candidate under the campaign finance statutes, and
 - For statewide candidates: any such penalty/forfeiture was not assessed later than 24 months before submitting application
 - For general candidates: any such penalty/forfeiture was not assessed later than 12 months before submitting application
- Must certify that treasurer has no outstanding civil penalties or forfeitures under the campaign finance statutes and no convictions or guilty/nolo contendere pleas for certain criminal offenses under the campaign finance laws in the last 8 years
- Must certify that the candidate has not been convicted or pled guilty or nolo contendere to
 - Certain criminal offenses under the campaign finance laws in the last 8 years; or
 - A felony related to the candidate's public office



Qualifying for a Grant



Qualifying Contributions

Qualifying Contributions are raised to demonstrate that a candidate has **substantial public support** for the individual's candidacy.

- Qualifying contributions **MUST** be:
 - Monetary between \$5 and \$100 for Statewide
 - Monetary between \$5 and \$250 for General Assembly
- Qualifying Contributions **CANNOT** be:
 - In-kind (non-monetary) contributions

Basic Requirements of Qualifying Contributions

- Individuals Only
- \$5 to \$100 for Statewide and \$5 to \$250 for General Assembly **Only** – Must be Monetary
- Certain Contributions Must be from “In-district” or “In-State” residents
- No Principals of State Contractors or other prohibited sources; No Lobbyist contributions during session
- Disclosed and Documented

What Are Non-qualifying Contributions?

- Contributions from impermissible sources
 - State Contractor prohibition
 - Lobbyist limit of \$100 outside of legislative session
 - Contributions from children under 12 years old
- STATEWIDE - Contributions that exceed the contributions limits – \$100 in the aggregate from any individual
- Investment services contribution and solicitation prohibitions apply to state treasurer candidates
- ***GENERAL ASSEMBLY - Contributions that exceed the contributions limits – \$250 in the aggregate from any individual *** *change in law (Public Act 17-2 (June Sp. Sess.))*
- Cash receipt over \$100 for ALL candidates
- Contributions not properly documented

If you receive a non-qualifying contribution

- Must be returned to the contributor
- Anonymous or otherwise impermissible contributions that cannot be returned must be forwarded to the Citizens' Election Program.



Two-Part Qualifying Threshold

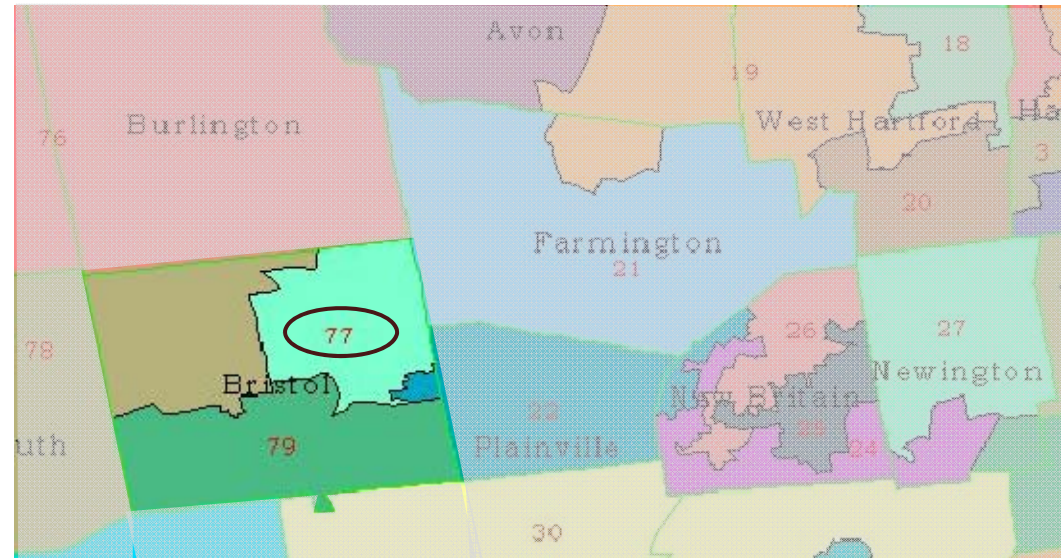
- To qualify for public financing, candidates must demonstrate they have adequate support from the public.
- Candidates may accomplish this by meeting a two-part “threshold” that sets requirements for the aggregate amount of money which must be raised, **and** the minimum number of “in-district” individuals (in-state for Statewide) who must have contributed to the candidate.

Two-Part Qualifying Threshold State Senator or State Representative

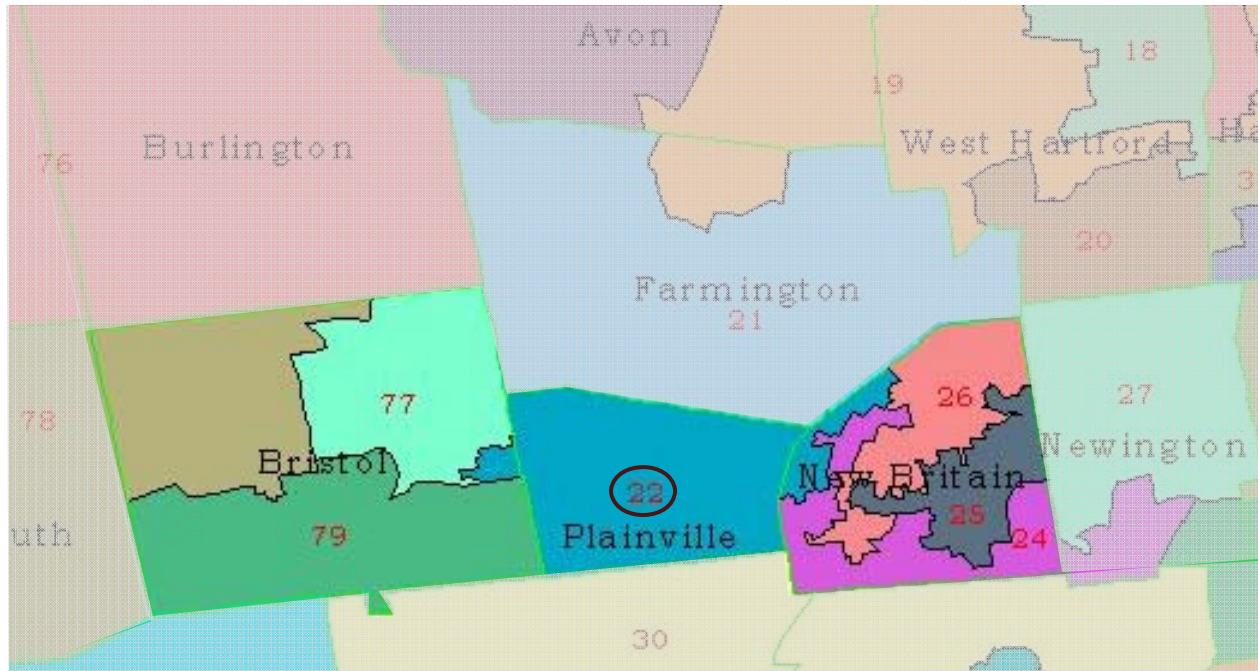
Office Sought	Aggregate Contribution Amount Requirement	Minimum Number of “In-District” Residents Requirement
State Senator	\$15,300	300 residents of municipalities In the district
State Representative	\$5,100	150 residents of municipalities in the district

“In-District” Contributions for General Assembly Candidates

- What is meant by residents of municipalities in the district?
- For example, a candidate running for State Representative in the 77th District may solicit “in-district” contributions from *any* part of the City of Bristol. (As shown here, Bristol is comprised of House Districts 22, 77, 78 and 79.)
- This concept applies to all “in-district” resident contributions for candidates for the General Assembly.



In-District Contributions



Two-Part Qualifying Threshold Statewide Offices

<i>Office Sought</i>	<i>Aggregate Contribution Amount Requirement</i>	<i>Minimum Amount from In-State Residents Requirement</i>
Governor	\$250,000	\$225,000
Lieutenant Governor	\$75,000	\$67,500
Secretary of State, State Comptroller, State Treasurer, Attorney General	\$76,600	\$68,900

What Are Buffer Qualifying Contributions?

- A **buffer qualifying contribution** is a contribution received after a candidate has received the required threshold (number and amount) for contributions, but otherwise meets the criteria for a qualifying contribution.
- A candidate committee can raise, but **CANNOT** spend, buffer qualifying contributions
- The SEEC recommends a 5% buffer for Statewide candidates and a 10% buffer for General Assembly

Reach Qualifying Threshold Once for the Election Cycle

- A candidate who reaches the two-part qualifying threshold for a primary grant does not need to collect additional qualifying contributions for a general election grant.
- Prior to receiving a grant, the committee may spend qualifying contributions up to the threshold amount (such as \$5,100 for a candidate for state representative) for permissible campaign-related expenditures.


Raising Qualifying Contributions

- Fundraisers at which food is served are permissible (*i.e.* spaghetti dinners, ice cream socials)
- Also, campaign stickers, buttons, etc. are generally acceptable fundraising tools
- Valuable goods and services should **NOT** be given as an exchange for qualifying contributions

Qualifying Certification Forms

For Treasurer Use Only
 Contribution ID #

Citizens' Election Program Qualifying Contribution Certification Form



The Campaign requests that the contributor complete the entire certification form. Participating candidates may not accept contributions from an individual who is a principal of a state contractor or prospective state contractor or from a minor who is under 12 years of age. Under Public Act 2010-01, participating candidates may accept qualifying contributions from individuals who are communicator lobbyists or their immediate family members.

Disclosure of lobbyist status remains a legal requirement pursuant to General Statutes § 9-608 (c) (1) (H).

NAME OF INDIVIDUAL CONTRIBUTOR (Last Name, First Name, Middle Initial)			
Liz Lemon			
Is contribution being made from the account of a sole proprietorship?*		If yes, and name is different than individual contributor, list NAME OF SOLE PROPRIETORSHIP	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
RESIDENTIAL ADDRESS**		PHONE NUMBER	
30 Rock Place		860-8675309	
CITY	STATE	ZIP CODE	Please mark if you are UNDER 18:
West Hartford	CT	06117	<input type="checkbox"/> Age under 12 <input type="checkbox"/> Age 12 - 17
NAME OF EMPLOYER <small>(Self-employed, provide Name of Business Example: David's Painting, Other Example: Retail, Chemical, Student, Nonmember)</small>		PRINCIPAL OCCUPATION <small>(Self-employed, provide Job Description Example: Painter, Other Example: Retail, Chemical, Student, Nonmember)</small>	
NBC Studios		Writer	
CONTRIBUTION AMOUNT	METHOD OF CONTRIBUTION		
\$100.00	<input type="checkbox"/> Cash <input type="checkbox"/> Credit Card/Debit Card <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Personal Check #1025		
Please review the definitions on the reverse of this form and answer each of the following:			
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Are you a principal of a state contractor or prospective state contractor? If yes, please indicate which branch or branches of government the contract(s) is with: <input type="checkbox"/> Legislative <input type="checkbox"/> Executive		
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Are you a communicator lobbyist, OR the spouse or dependent child of a communicator lobbyist?		
CERTIFICATION			
I hereby certify and state that all of the information disclosed by me and set forth above on this contributor card is true and accurate to the best of my knowledge and belief. I certify that I am NOT a principal of a state contractor or prospective state contractor. I certify that I am either a United States citizen or a foreign national with permanent resident status in the United States. I certify that this contribution is being made from my personal funds, is not being reimbursed in any manner, is not being made as a loan, and is not an otherwise prohibited contribution.			
<u>Elizabeth Lemon</u>		<u>10/27/2016</u>	
SIGNATURE OF CONTRIBUTOR		DATE (mm/dd/yyyy)	

FOR CAMPAIGN USE: Copy of Check or money order below.

Elizabeth Lemon	1025
30 Rock Place	
West Hartford CT 06117	DATE <u>10/27/16</u>
PAY TO THE ORDER OF <u>Knope for Senate</u>	\$ <u>100.00</u>
<u>One hundred</u>	DOLLARS
MEMO <u>Contribution</u>	<u>Elizabeth Lemon</u>
⑆0000000000⑆ ⑆0000000000⑆ ⑆1025	



Contribution ID Number

- A unique sequential identifying number for each contribution
- Links each contribution to its documentation **and** its entry in campaign finance disclosure statement
- NOTICE: If you are using e-CRIS, the system will automatically assign Contribution ID's for you

CRIS CAMPAIGN REPORTING INFORMATION SYSTEM

Committee Name: Andrea For Rep 2016 Period: April 10, 2015 - 12/31/16

B. Itemized Contributions from Individuals

Search by Contributor Last Name:

Last Name: First Name: Middle Initial:

Street Address: City: State:

Zip Code: Name of Employer: Principal Occupation:

Date Received: Amount of Contribution: Contribution ID#:

Method of Contribution: Cash Credit Card/Debit Card Money Order Personal Check

Is contributor a principal of a state contractor or prospective state contractor? Yes No

Is this contribution associated with an event reported in Section 21? Yes No

Is contributor a lobbyist, spouse or dependent child of a lobbyist? Yes No

For Treasurer Use Only
Contribution ID # 001

Citizens' Election Program Qualifying Contribution Certification Form

The Campaign requests that the contributor complete the entire certification form. Participating candidates may not accept contributions from an individual who is a principal of a state contractor or prospective state contractor or from a minor who is under 12 years of age. Under Public Act 2010-01, participating candidates may accept qualifying contributions from individuals who are communicator lobbyists or their immediate family members.

Disclosure of lobbyist status remains a legal requirement pursuant to General Statutes § 9-608 (c) (1) (F).

NAME OF INDIVIDUAL CONTRIBUTOR (Last Name, First Name, Middle Initial)			
Liz Lemon			
Is contribution being made from the account of a sole proprietorship?*		If yes, and name is different than individual contributor, list NAME OF SOLE PROPRIETORSHIP	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
RESIDENTIAL ADDRESS**		PHONE NUMBER	
30 Rock Place		860-8675309	
CITY	STATE	ZIP CODE	Please mark if you are UNDER 18:
West Hartford	CT	06117	<input type="checkbox"/> Age under 12 <input type="checkbox"/> Age 12 - 17
NAME OF EMPLOYER <small>(If self-employed, provide Name of Business. Example: Doctor / Painter / Other Example: Retired, Chemist/grad. Student, Homemaker)</small>		PRINCIPAL OCCUPATION <small>(If self-employed, provide Job Description. Example: Painter / Other Example: Retired, Chemist/grad. Student, Homemaker)</small>	
NBC Studios		Writer	
CONTRIBUTION AMOUNT	METHOD OF CONTRIBUTION		
\$100.00	<input type="checkbox"/> Cash <input type="checkbox"/> Credit Card/Debit Card <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Personal Check #1025		
Please review the definitions on the reverse of this form and answer each of the following:			
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Are you a principal of a state contractor or prospective state contractor? If yes, please indicate which branch or branches of government the contract(s) is with: <input type="checkbox"/> Legislative <input type="checkbox"/> Executive	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Are you a communicator lobbyist, OR the spouse or dependent child of a communicator lobbyist?	
CERTIFICATION			
I hereby certify and state that all of the information disclosed by me and set forth above on this contributor card is true and accurate to the best of my knowledge and belief. I certify that I am NOT a principal of a state contractor or prospective state contractor. I certify that I am either a United States citizen or a foreign national with permanent resident status in the United States. I certify that this contribution is being made from my personal funds, is not being reimbursed in any manner, is not being made as a loan, and is not an otherwise prohibited contribution.			
<u>Elizabeth Lemon</u>		<u>10/27/2016</u>	
SIGNATURE OF CONTRIBUTOR		DATE (mm/dd/yyyy)	
FOR CAMPAIGN USE: Copy of Check or money order below.			

Contribution ID #

Qualifying Contributions from Joint Checking Accounts:

- Individuals on a joint checking account can give a contribution jointly via one check but must provide separate qualifying contribution forms.

Walter and Skyler White
15 Heisenberg Lane
West Hartford CT 06117

5284
10/12/16
DATE

PAY TO THE ORDER OF Knobe for Senate \$ 200.00

Two hundred DOLLARS

FOR Contribution Walter White

22222222 123 111 5551 5284

Online Contributions



- Check ct.gov/seec for model templates for your type of committee.(GA v. Statewide)
- Make sure Commission Staff reviews and approves of your online contribution page BEFORE you begin collecting contributions
- Provide staff with all backup documentation:
 - 1) Sample contribution receipt
 - 2) Spreadsheet (Settlement Report) reflecting all information collected by the merchant
 - 3) MAP Letter

An Ideal Interface

Tap Amount

\$10	\$25	\$50
\$100	\$250	Other

<input type="text" value="Email *"/>	<input type="text" value="Phone *"/>
--------------------------------------	--------------------------------------

Name *

<input type="text" value="First"/>	<input type="text" value="Last"/>
------------------------------------	-----------------------------------

★ Residential Address

<input type="text" value="Number, Street, Apt. *"/>	<input type="text" value="ZIP *"/>
---	------------------------------------

Employer (If self-employed, provide Name of Business. Example: Dave's Painting; Other Examples: Retired, Unemployed, Student, Homemaker) *

★ Principal Occupation (If self-employed, provide Job Description. Example: Painter; Other Examples: Retired, Unemployed, Student, Homemaker) *

Is contribution being made from the account of a sole proprietorship? *

If yes, and name is different than individual contributor, list NAME OF SOLE PROPRIETORSHIP

★ Age (Please see restrictions regarding Contributions from Minors): *

Are you a principal of a state contractor or prospective state contractor? If yes, please indicate which branch or branches of government the contract(s) is with: *

Are you a communicator lobbyist, OR the spouse or dependent child of a communicator lobbyist? (Communicator lobbyists may not make contributions to statewide or General Assembly candidates during the legislative session.) *

<input type="text" value="Card Number"/>
Exp. Date CVC ZIP / Postal

Click to confirm these statements are true.

I certify that I am NOT a principal of a state contractor or prospective state contractor.

I certify that I am a United States citizen or a foreign national with permanent resident status in the United States.

I certify that I have provided my residential address.

I certify that this contribution is made on my personal debit or credit card for which I have legal obligation to pay and intend to pay from my own personal funds, is not being reimbursed in any manner, is not being made as a loan, is not an otherwise prohibited contribution, and that payment is not made from the funds of a corporation, labor organization or any other entity.

I hereby certify that all information disclosed by me on this contributor form is true and accurate to the best of my knowledge and belief.

[Click here to read legal definitions.](#)

Donate

WE ARE HERE TO HELP!

Get review and approval *from SEEC* directly ***BEFORE*** your site goes live



- Do not rely on consultants to tell you it's fine – ask for evidence that it was reviewed
- DO NOT model your site after another candidate's and assume it's approved without having your own review

If your site is missing crucial pieces of information or certifications, your grant application will be delayed.

- Treasurers may need to follow up with each online contributor by phone, email or even by obtaining a paper certification form

How to Disclose a Contribution

CRIS Connecticut State Elections Enforcement Commission

Welcome! Andrew F Cascardo
MEMBERS HOME | LOGOUT

CAMPAIGN REPORTING INFORMATION SYSTEM

Committee Name: Andrew For Rep 2016 Period: April 10 Filing (1/29/16-3/31/16) Form: 30 Status: Draft_Original

STEP 1 Reporting Home STEP 2 **Financial Reporting** STEP 3 Review Warnings STEP 4 Review Totals STEP 5 File to State

Preferences

Summarize small contributors (in Section B) with contributions less than or equal to \$50 received this period whose aggregate contributions over all periods do not exceed \$50 and display Lump sum amount in Section A.

Section	Financial Report Type	Instructions	Entries	Option
A	Total Contributions From Small Contributors - Received this Period ONLY	Do Not Use	0	ADD/EDIT PDF CSV X
B	Itemized Contributions from Individuals		0	ADD/EDIT PDF CSV X

CRIS Connecticut State Elections Enforcement Commission

Welcome! Andrew F Cascardo
MEMBERS HOME | LOGOUT

CAMPAIGN REPORTING INFORMATION SYSTEM

Committee Name: Andrew For Rep 2016 Period: April 10 Filing (1/29/16-3/31/16) Form: 30 Status: Draft_Original

STEP 1 Reporting Home STEP 2 **Financial Reporting** STEP 3 Review Warnings STEP 4 Review Totals STEP 5 File to State

B. Itemized Contributions from Individuals ?

Search by Contributor Last Name		type existing contributor here (previously reported as a contributor in eCRIS)		New Existing		Aggregate Contributions: \$ 100	
Last Name*	Lemon	First Name *	Elizabeth	Middle Initial			
Street Address *	30 Rock Place	City *	West Hartford	State *	CT		
Zip Code	06117 -	Name of Employer	NBC Studios	Principal Occupation	Writer		
Contribution ID#	0001	Date Received *	3/27/2016	Amount of Contribution*	\$ 100		
Method of Contribution *		<input type="checkbox"/> Cash <input type="checkbox"/> Credit/Debit Card <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Personal Check					
Is contributor a principal of a state contractor or prospective state contractor?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				If yes, indicate which branch or branches of government the contract is with:	
Is this contribution associated with an event reported in Section J1 ?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				<input type="checkbox"/> Executive <input type="checkbox"/> Legislative	
Is contributor a lobbyist, spouse or dependent child of a lobbyist?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				If yes, list Event. --Select One--	
Enter only if the aggregate contribution shown above is incorrect \$							

Treasurers May Appoint Solicitors

- Solicitors are individuals who can receive but not spend funds

A solicitor must turn over receipts to the treasurer:

- In the same form received
- Within 7 days of receipt
- With a list of contributors (name & address of donor, amount, etc.)

Grant Application Requirements



Weekly Grant Application Schedule

- Grant application deadlines generally fall on Wednesdays, beginning on May 16, 2018.
- Grant applications must be received by the Commission no later than 5:00 p.m. on the applicable deadline date.
- The Commission has 5 business days to review a grant applications for legislative office and 10 business days for statewide applications.
- If an application is “Continued” or does not meet the required deadline, it will be reviewed during the next application window and go before the Commission at the next scheduled meeting.



General Election Grant Reduction Schedule

- The later you apply for a general election grant, the less grant money you will be eligible to receive
- The date we receive a **complete** grant application package will determine what grant monies you are eligible for



General Election Grant Reduction Schedule

Grant Eligibility for Application Packages RECEIVED at SEEC:

- | | | |
|------------------------------|---------------------------|----------------------|
| • On or before | <u>August 27, 2018</u> | 100% of grant |
| • August 28, 2018 through | <u>September 10, 2018</u> | 75% of grant |
| • September 11, 2018 through | <u>September 24, 2018</u> | 65% of grant |
| • September 25, 2018 through | <u>October 5, 2018*</u> | 55% of grant |
| • October 9, 2018 through | <u>October 12, 2018</u> | 40% of grant |

**adjusted for state holiday*

Application Package Must Include...

1. SEEC Form CEP 15
2. Completed Financial Disclosure Statement, "Itemized Statement Accompanying Application for Public Grant"
3. Accompanying Backup Documentation for contributions
4. Check payable to the "Citizens' Election Fund" for the excess Qualifying Contribution buffer amount
5. Proof of ballot access



Grant Application Checklist

**OFFICE OF GOVERNMENTAL ACCOUNTABILITY
STATE ELECTIONS ENFORCEMENT COMMISSION**

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Michael J. Brandi
Executive Director

Commission Decisions
Disclosure Filing and Registration
The Citizens' Election Program
Laws and Regulations
Lobbyist/Contractor Limitations
eCRIS (online filing)
eCRIS Search
Agency Units

FAQs
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Office of Governmental Accountability

January 2012
Calendar

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Regulations of CT State Agencies

access health CT

VETERANS ct.gov

CITIZENS' ELECTION PROGRAM

The Citizens' Election Program (The "Program") is a voluntary program which provides full public financing to qualified candidates for Statewide offices and the General Assembly. To participate, candidates must agree to abide by certain guidelines, including contribution and expenditure limits and disclosure requirements. This voluntary public campaign financing program was designed to encourage citizen participation and limit the role of private money in the State of Connecticut's political process.

For Candidates and Treasurers

- 2016 CEP Overview
- Training
- Forms
- Treasurer's Corner
- Participating Guidebook
- Rulings and Opinions
- Filing Calendar
- Application Schedule
- Candidate Liaison Contact

CEP NEWS

- 2016 Citizens' Election Program Overview
- Grant Application Checklist**
- 2016 Grant Application Deadlines and Commission Meeting Dates - General Assembly Elections
- 2016 Special Election Overview



1. Application for Public Grant

Complete
SEEC Form CEP 15
"Application for
Public
Grant Dollars"

SEEC FORM CEP 15
Citizens' Election Program-Application for Grant
CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION
Revised January 2014



For Internal Use ONLY
CODE: REVIEWED BY:

APPLICATION TYPE
 INITIAL
 AMENDED

Page 1 of 7

CITIZENS' ELECTION PROGRAM APPLICATION FOR PUBLIC GRANT DOLLARS			
Statewide and General Assembly Candidates			
The candidate and the campaign treasurer must each review all information provided on this Application, and sign or initial the designated lines. Any deputy treasurer designated by the candidate must complete and sign the Deputy Treasurer Certification.			
SECTION A. Identifying Information			
1. ELECTION DATE <small>(mm/dd/yyyy)</small>	2. OFFICE SOUGHT	3. DISTRICT NUMBER <small>(If applicable)</small>	
4. CANDIDATE NAME			
First Name	MI	Last Name	Suffix
5. COMMITTEE NAME			
6. TREASURER NAME			
First Name	MI	Last Name	Suffix
7. DEPUTY TREASURER NAME			
First Name	MI	Last Name	Suffix
SECTION B. Continuation Without Prejudice — OPTIONAL			
If, upon review, the application is not yet sufficient to qualify for payment of a grant, the candidate hereby requests that the Commission delay its determination, and continue the matter without prejudice pending further review of a supplemental submission filed in accordance with the schedule included in Public Act 11-48, § 294, amending General Statutes § 9-706.			
CANDIDATE SIGNATURE _____			DATE (mm/dd/yyyy) _____

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.



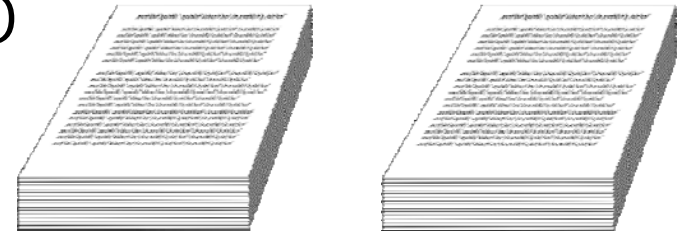
2. Financial Report Accompanying Application

The screenshot displays the CRIS interface for the Connecticut State Elections Enforcement Commission. At the top, the CRIS logo and the text 'CAMPAIGN REPORTING INFORMATION SYSTEM' are visible. A navigation bar shows five steps: 'STEP 1 Reporting Home' (active), 'STEP 2 Financial Reporting', 'STEP 3 Review Warnings', 'STEP 4 Review Totals', and 'STEP 5 File to State'. The main content area is titled 'Create a New Draft Report (Click to hide Details...)'. It contains a form with the following fields: 'Select Filing Year' (set to 2016), 'Standard Reports' (dropdown menu), 'Non Standard Reports' (dropdown menu with 'Itemized Statement accompanying application for Public Grant' selected), and 'Period Covered Dates' (Start and End date pickers). There is a checkbox for 'I want to file Form 21 (Short Form) for this report' and a 'Create Report' button. Below the form are two expandable sections: 'List of Draft Report(s) (Click to show Details...)' and 'List of Previously Filed Report(s) (Click to show Details...)'. A 'REPORTING HOME HELP' link is located at the bottom of the interface.



3. Documentation for Contributions

- 2 separate copies of all contributions received must be printed, ***numbered*** and in order by their Contribution ID



Online Contributions:

- Print out and included each individual “receipt” for Online Contributions
- Provide an electronic excel spreadsheet with each contribution
- Include a Grant Application Letter with the application
 - (Like the MAP letter but saying no changes)

What's the Secret to the SEEC Application Review?

- Contribution from an individual between \$5 to \$100 or \$250 in the *aggregate*
- *Complete* and *accurate* disclosure of each contribution
- Contribution card/check has corresponding *contribution ID#* as entered on your financial disclosure statements
- Contribution card is completed correctly and *signed* by individual
- Right *type* of backup is provided
- Backup documentation provided *matches* disclosure as entered in your financial disclosure statements

2018 Grant Amounts



2018 Grant Amounts (prior to grant reduction time)

Office Sought	Primary	Party Dominant Primary	Opposed (Full Grant)	Opposed by Minor Only (60%)	Unopposed (30%)
Governor	\$1,250,000	-	\$6,000,000	\$3,600,000	\$1,800,000
Lt. Governor	\$375,000	-	-	-	-
Constitutionals	\$375,000	-	\$750,000	\$450,000	\$225,000
State Senate	\$35,000	\$75,000	\$85,000	\$51,000	\$25,500
State Rep	\$10,000	\$25,000	\$25,000	\$15,000	\$7,500

Candidate Committee Expenditure Limits

Pre-Primary/Pre-General Election Period

- Expenditures are limited to the required (threshold) amount of qualifying contributions, PLUS any personal funds the candidate provides to the candidate committee.
- Personal funds are limited and reduce the grant by a corresponding amount.
- Personal funds do not constitute qualifying contributions.

Expenditure Limits General Assembly Candidates

Pre-Primary / Pre-General Election Period

<i>Office Sought</i>	<i>Aggregate Qualifying Contributions (QC)</i>	<i>Maximum Allowable Personal Funds (PF)</i>	<i>Spending Limit QC + PF</i>
State Senator	\$15,300	\$2,000	\$15,300- \$17,300
State Rep.	\$5,100	\$1,000	\$5,100- \$6,100

Expenditure Limits Statewide Offices

Pre-Primary / Pre-General Election Period

Office Sought	Aggregate Qualifying Contributions (QC)	Maximum Allowable Personal Funds (PF)	Spending Limit QC + PF
Governor	\$250,000	\$20,000	\$250,000- \$270,000
Lieutenant Governor	\$75,000	\$10,000	\$75,000- \$85,000
Other Statewide Offices	\$76,600	\$10,000	\$76,600- \$86,600



Expenditures



Permissible Expenditures

- Public Funds may be used only for campaign-related expenditures made to directly further the participating candidate's nomination or election.
- Once CEP candidates are approved for a grant and receive grant funds, they must also abide by CEP regulations on permissible expenditures.
- Detailed recordkeeping will be required and campaign records will be subject to comprehensive audits to ensure compliance with Program requirements.

Who Can Authorize Expenditures?

- REMEMBER, **only the committee treasurer, or the deputy treasurer** in the treasurer's absence, may authorize committee expenditures and sign committee checks
- A candidate, campaign manager, or other campaign staff may not obligate a committee expenditure without authorization by the treasurer

Permissible Expenditures Examples

- Campaign advertising expenses for the creation or purchase of flyers, palm cards, signs, buttons and other campaign paraphernalia. Includes the cost of postage.
- Campaign staff and consultants (obtain written agreement prior to work being performed!)
- Campaign events
- Conducting polling or get out the vote activities to encourage voters to vote for the candidate

Examples of Other Permissible Campaign Expenditures

- Purchase of limited food and beverage for campaign staff/volunteers
- Purchase or lease of office equipment

Examples of Impermissible Committee Expenditures

- Item or service for personal use of the candidate, even if the item may also be used for campaigning (such as candidate's new clothing)
- Gifts, if the value exceeds \$5 to any one recipient
- Any expenditure lacking sufficient documentation
- Post-election day bonuses or events

Restricted Use of Cash or Other Payment Mediums

- Do not use cash to pay for committee expenditures – there are very specific and complicated petty cash rules
- Do not use undeposited cash contributions to pay for committee expenditures
- Do not use gift cards to pay or reimburse employees or volunteers for purchases such as gasoline expenses

Committee Compensation to Candidate's Family NOT Permitted

- Neither the candidate or the candidate's immediate family (prior to receiving a grant)
- or extended family (after receiving a grant) may be compensated for work performed or services rendered

Basic Attribution Requirements

Required for all printed/written/internet communications, as well as audio, radio, TV, and video (including internet) ads/communications, and automated telephone calls, which promote a candidate's candidacy or promote a committee, or solicit funds

Type of Committee	Candidate Committee
"Paid for by"	Name of Committee, Name of Treasurer
"Approved by"	Name of Candidate

Communications in the form of a flyer or leaflet, newspaper, magazine, or similar literature, or that are delivered by mail, must contain a disclaimer in at least in **eight-point type of uniform font**



Attribution Requirements:

Radio/Audio Ads and Automated Telephone Calls

Basic Attribution Requirements Apply PLUS:

Radio Advertising

Message must conclude with candidate's personal audio statement:

- Identifying candidate and office sought
- Stating "I am (candidate) and I approved this message"
- In addition, the narrative/body of the message must include candidate's *name and voice*.

Automated Telephone Calls

- Narrative/substance of call contain name and voice of candidate (before end of call)

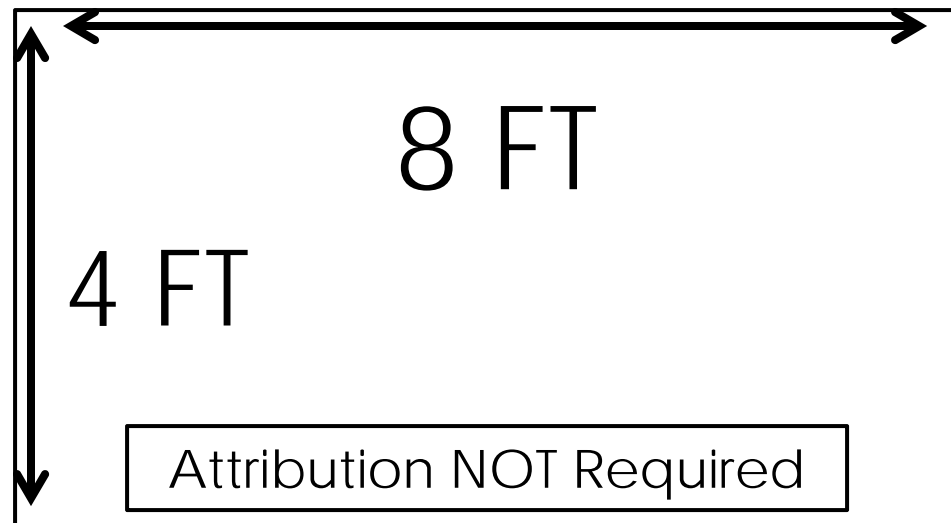
Attribution Requirements:

TV / Internet Video Ads

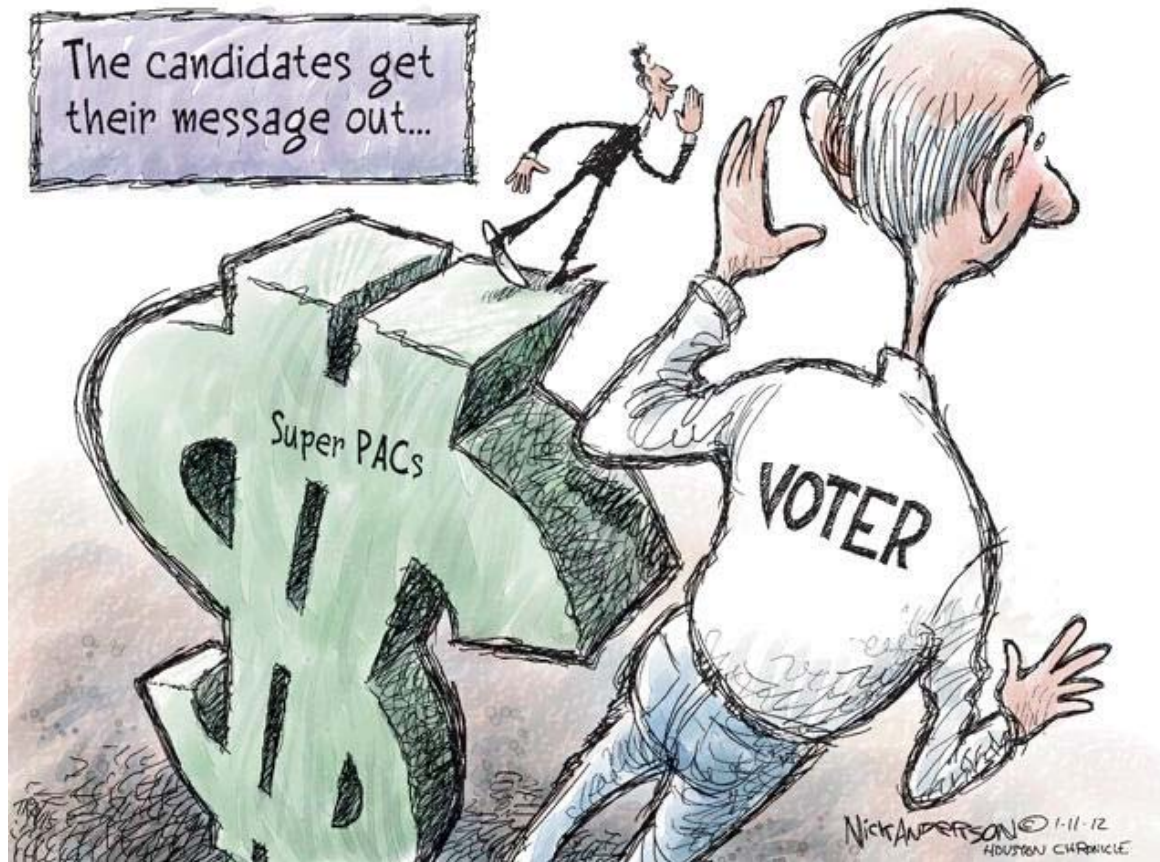
- **Basic Attribution Requirements apply PLUS:**
- If paid for by *Candidate, Exploratory or Candidate Committee*, the communication must include, for 4 seconds at end of message:
 - Candidate's image; printed statement identifying candidate and stating that candidate approved message; audio message in candidate's voice stating "I am (candidate) and I approved this message"
 - In addition, the narrative/body of the message must include candidate's *name, image, voice*.

Attribution Not Required

- Signs **32** Square Feet and Under
- Political Paraphernalia



Expenditures Made by Others



Expenditures by Other Sources

- Non-Independent (coordinated) expenditures
- Joint expenditures
- Certain limited activity that is not considered a contribution or expenditure

Non-Independent Expenditures

- CEP participants CANNOT make or receive coordinated expenditures
- CEP participants CAN make “joint expenditures” with other committees

Joint Expenditures

- Each candidate must pay their pro-rata share of the expenditure
- Each candidate must retain back-up documentation
- One candidate committee may reimburse another candidate committee for their pro-rata share of an expenditure

Activity Not Defined as an Expenditure or Contribution

- Organization Expenditures
- Use of Office Space and Office Equipment (in limited situations)
- House Party Provision

What is an “Organization Expenditure”?

- An *exemption* from the definition of contribution and expenditure
- Party committees, legislative leadership committees and legislative caucus committees may make organization expenditures to benefit *General Assembly candidates*, subject to certain dollar limits

Types of Organization Expenditures

- Party Candidate Listing
- Certain Documents in Printed or Electronic Format (i.e. party platform, voter list)
- Campaign Event
- Advisor(s)
- Merchant Account Services

Limits on Organizational Expenditures

Office Sought	Limits per Committee
State Senate	\$11,420
State Representative	\$3,997

House Party Provision

- “House Party” – Expenses paid by host(s) for invitations, food, or beverages at host’s *personal residence*
- Limits:
 - Individuals may spend up to \$400 per event and \$800 per *election cycle*
 - If two or more individuals share the cost of an event their combined expenditures cannot exceed \$800

Use of Office Space and Equipment

- Party committees may provide office space and equipment that they already use to general assembly candidates
- Legislative caucus and leadership committees may provide such space/equipment only to general assembly candidates
- No expense allocation is required
- Candidate committees do not need to report the use of office space

Salaries and Reimbursements



Compensating Campaign Staff, Workers, Consultants

Documentation BEFORE Hiring

- A written agreement, signed **before** any work or services for which payment in excess of \$100 is performed, is required.
- The agreement must: 1) set forth the nature and length of time of the fee arrangement, and 2) describe the work or services to be performed.
- The treasurer must keep the agreement and other compensation documentation as internal records.
- Templates available on our website ct.gov/seec
- Contracts cannot be crafted to be paid contingent on receiving a public grant
- Staff cannot receive a post-election bonus
- Call your Elections Officer for assistance.



Compensation Documentation: AFTER Hiring

- Treasurer should also keep records or invoices created **by the close of each reporting period** for work by each employee or consultant the committee has paid during that time
- The records/invoices must set forth the nature and detail of the work performed or services rendered

Reimbursements

- To Committee Workers
- To Candidate
- Reimbursement must be completed within reasonable time

N	Expenses Paid by Committee	?	0	ADD/EDIT PDF CSV X
O	Expenses Paid by Candidate	?	0	ADD/EDIT PDF CSV X
P	Expenses Incurred on Committee Credit Card	?	0	ADD/EDIT PDF CSV X
Q	Expenses Incurred by Committee but Not Paid During this Period	?	0	ADD/EDIT PDF CSV X
R	Itemization of Reimbursements and Secondary Payees	?	0	ADD/EDIT PDF CSV X
S	Surplus Distribution of Equipment and Furniture	?	0	ADD/EDIT PDF CSV X

[< Back to Reporting Home](#)
[Review Warnings & File to State >](#)
[Upload Excel Report](#)

Reporting Secondary Payees

- Secondary payees are people or entities paid by a campaign's consultant for goods or services benefiting the campaign
- **Secondary payees must be disclosed**
- At the time you hire a consultant or advisor, ask whether or not they will be sub-contracting with any other employees or outsourcing work to third-party subvendors, and advise them that they must provide you with information so you may disclose secondary payees
- *Our CEP 2.0 training discusses this topic in greater depth.*

Post-Election Examinations



Post-Election Examinations

We Will Request:

- Bank Records(from the beginning of the committee through the closing of the account and including exploratory activity if applicable)
- Documents Relating to Committee Expenditures
- Documents relating to Funds Received by the Committee
- Any other relevant documentation

After the Votes are Counted: Treasurer's Last Duties

SURPLUS DISTRIBUTION:

- You must distribute your surplus within the required timeframe!

Surplus distribution check to CEF must include:

- Remaining grant funds
- Proceeds from selling equipment
- Bank Interest

After the Votes are Counted: *Treasurer's Last Duties*

TERMINATION OF THE COMMITTEE:

- Termination is done by filing a financial disclosure statement titled "Termination" and showing your committee's final transactions.
- The committee's ending balance should be zero.

SEEC Contact Information

- Address:
20 Trinity Street,
Hartford, CT 06106
- E-mail:
public.finance@ct.gov
- Website:
www.ct.gov/seec
- Telephone:
 - SEEC Main Line:
860-256-2940
 - Toll Free (in-state only):
1-866-SEEC-INFO
(1-866-733-2463)
 - Candidate Services:
860-256-2985
- Fax:
(860) 256-2981