



# Municipal Elections: Candidates and Town Committees

Connecticut State Elections Enforcement Commission



Rev. 2/2021

# Today's Mission

- General information about the various rules and requirements relating to campaign financing for municipal elections
- This presentation is **not** a substitute for the statutes and regulations
- Any questions should be directed to the SEEC's Candidate Services Unit:  
**860-256-2985**

# Agenda

- Becoming a Candidate
- Selecting a Funding Vehicle
- Treasurer Responsibilities
- Fundraising
- Expenditures
- Attributions
- Q&A



# The Candidate

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## You are a candidate when:

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

**Important Note:** You must file SEEC Form 1, as well as either SEEC Form 1A or 1B within 10 days of becoming a candidate.



# Candidate's Responsibilities:

- Register as a candidate.
- Choose a funding source.
- Register a committee, or file an exemption.
- If forming an exploratory or candidate committee, designate a treasurer and depository institution.
- Receive copies of the financial disclosure statements from committee treasurer (if funded by a candidate committee).



# SEEC Form 1

- EVERY candidate must complete



<b>REGISTRATION TYPE</b>		<b>1. ELECTION DATE</b> (mm/dd/yyyy)		<b>2. MUNICIPALITY</b>			
<input type="checkbox"/> Initial <input type="checkbox"/> Amendment				<i>(If applicable)</i>			
<b>3. OFFICE OR POSITION SOUGHT</b>						<b>4. DISTRICT NUMBER</b>	
						<i>(If applicable)</i>	
<b>5. PARTY AFFILIATION</b>							
<input type="checkbox"/> Republican <input type="checkbox"/> Democratic <input type="checkbox"/> Other <i>(Specify)</i> _____							
<b>6. CANDIDATE NAME</b>							
First Name			MI	Last Name			Suffix
<b>7. CANDIDATE RESIDENCE ADDRESS</b>				<b>8. CANDIDATE MAILING ADDRESS</b> <i>(If different)</i>			
Street Address				Address			
City		State	Zip Code	City		State	Zip Code
<b>9. CANDIDATE TELEPHONE</b>				<b>10. CANDIDATE EMAIL ADDRESS</b>			
<i>(Include Area Code)</i>							
<b>11. DESIGNATION OF CAMPAIGN FUNDING SOURCE</b>							
<b>(Check one)</b>							
<input type="checkbox"/> <b>A.</b> 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>B.</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>							
<p><b>Important Notice: Failure of a candidate to complete this page together with 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.</b></p>							
<p><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></p>							

# Failure to File Candidate Committee Registration or Exemption:

- If a candidate does not register, the Town Clerk assesses a **mandatory fee of \$100.**
- If a candidate does not respond to the Town Clerk's notice within 7 days, the Town Clerk must refer the matter to the SEEC.
- If referred to SEEC, mandatory minimum civil penalty of \$200, and up to \$2,000.

# Selecting a Funding Vehicle

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# Select ONE funding source for your campaign:

- Candidate Committee
- Candidate Committee Exemption
  - Political Slate Committee
  - Town Committee
  - Other Exemptions



# Candidate Committee:

- Candidate must select treasurer
- Candidates can provide unlimited personal funds to their candidate committee
- State contractor contribution ban and lobbyist contribution limits do not apply to municipal candidate committees
- Can benefit from Organization Expenditures



# SEEC Form 1A

- Required if forming a candidate committee
- Candidate must designate treasurer
- Candidate may designate deputy treasurer
- Candidate must designate bank
- Candidate, treasurer, and deputy treasurer (if applicable) signatures required



<b>REGISTRATION TYPE</b>		<b>CANDIDATE NAME</b>			
<input type="checkbox"/> Initial <input type="checkbox"/> Amendment					
<b>12. COMMITTEE NAME</b>					
<b>13. COMMITTEE ADDRESS</b>			<b>14. &amp; 15. COMMITTEE EMAIL ADDRESS &amp; WEBSITE</b>		
Address			Email Address		
City	State	Zip Code	Website		
<b>16. TREASURER NAME</b>					
First Name		MI	Last Name		Suffix
<b>17. TREASURER RESIDENCE ADDRESS</b>			<b>18. TREASURER MAILING ADDRESS (if different)</b>		
Street Address			Address		
City	State	Zip Code	City	State	Zip Code
<b>19. TREASURER TELEPHONE</b>			<b>20. TREASURER EMAIL ADDRESS</b>		
<i>(Include Area Code)</i>					
<b>21. DEPUTY TREASURER NAME</b>					
First Name		MI	Last Name		Suffix
<b>22. DEPUTY TREASURER RESIDENCE ADDRESS</b>			<b>23. DEPUTY TREASURER MAILING ADDRESS (if different)</b>		
Street Address			Address		
City	State	Zip Code	City	State	Zip Code
<b>24. DEPUTY TREASURER TELEPHONE</b>			<b>25. DEPUTY TREASURER EMAIL ADDRESS</b>		
<i>(Include Area Code)</i>					
<b>26. DEPOSITORY INSTITUTION NAME</b>					
<b>27. DEPOSITORY INSTITUTION ADDRESS</b>					
Address			City	State	Zip Code

# Contribution Limits to Candidate Committees

Mayor or First Selectman	
Individual	\$1,000
Town Committee	\$3,000
Ongoing Political Committees:	**
2+ individuals	\$1,500
Business Entity	\$1,500
Labor Organization	\$1,500

All other municipal candidates	
Individual	\$250
Town Committee	\$1,500
Ongoing Political Committees:	**
2+ individuals	\$375
Business Entity	\$375
Labor Organization	\$375

\* Note: these limits apply separately to **primaries and elections**



# Exemption from Forming a Candidate Committee - SEEC 1B

Indicate Slate/Town Committee HERE 



REGISTRATION TYPE	CANDIDATE NAME
<input type="checkbox"/> Initial <input type="checkbox"/> Amendment	
<b>12. REASON FOR EXEMPTION FROM FORMING A CANDIDATE COMMITTEE</b>	
<b>I hereby certify that I am exempt from forming a candidate committee because: (CHECK ONE)</b>	
<input type="checkbox"/> <b>A.</b> I am one of a slate of candidates whose campaigns are being funded solely by a town committee or a political committee formed for a single election or primary and expenditures made on my behalf will be reported by the committee sponsoring my candidacy. The name of this sponsoring committee is: <hr/> <p style="text-align: center;"><i>OR</i></p>	
<input type="checkbox"/> <b>B.</b> I am funding my campaign entirely from my own personal funds and will not request or receive contributions from other individuals or committees and I understand that if I make expenditures exceeding one thousand dollars (\$1,000) that I shall be responsible for filing financial disclosure statements (SEEC Form 23) according to the same schedule and in the same manner as required of treasurers of candidate committees. <p style="text-align: center;"><i>OR</i></p>	
<input type="checkbox"/> <b>C.</b> I do not intend to receive or expend funds in excess of one thousand dollars (\$1,000). <p style="text-align: center;"><i>OR</i></p>	
<input type="checkbox"/> <b>D.</b> I do not intend to receive or expend any funds, including personal funds, for this campaign.	
<b>13. CERTIFICATION</b>	
<p>I hereby certify and state, under penalties of false statement, that this statement of exemption from forming a candidate committee, for the reason checked above, is true, accurate and complete to the best of my knowledge and belief.</p>	
<hr/> CANDIDATE SIGNATURE	<hr/> DATE (mm/dd/yyyy)

# Town Committee:

- Town Committee is the SOLE funding source
- Town Committee has oversight over raising and spending funds to promote the municipal candidates' campaigns
- Town Committee treasurer must disclose all contributions and expenditures made to promote candidates' campaigns
- Town Committee treasurer must authorize all expenditures made or incurred
- State contractor/lobbyist campaign contribution provisions apply to Town Committees



# Contribution Limits to Town Committees

Town Committee	
Individual	\$2,000
Other Town Committees	Unlimited
Ongoing Political Committees:	**
2+ individuals	\$1,500
Business Entity	\$1,500
Labor Organization	\$1,500

\* Note: these limits apply per **calendar year**



# Political Slate Committee:

- Definition: a durational (single election cycle) political committee formed by 2 or more candidates within the same municipality, who seek election in the same primary or election, and who authorize such committee as **sole** funding source
- Contribution limits to political committees apply to political “slate committees”
- Contribution limits are per calendar year



# Contribution Limits to Political Slate Committees

Political Slate Committee	
Individual	\$1,000
Town Committee	\$1,500
Ongoing Political Committees:	**
2+ individuals	\$2,000
Business Entity	\$2,000
Labor Organization	\$2,000

\* Note: these limits apply per **calendar year**



# Other Exemptions from forming a Candidate Committee:

- Personal funds only
  - If you receive any funds or anything of value from any other person or source [i.e. a coordinated expenditure or in-kind contribution], you do not qualify for this exemption
- No intention to receive or spend in excess of \$1,000
- No intention to receive or spend any funds



# The Treasurer

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# Treasurer Responsibilities:

- Receive & Deposit Funds
- Make and Authorize all Expenditures
- File Reports
- Appoint Solicitors
- Maintain Detailed Financial Records



# Requirements to Serve as Treasurer:

- Registered to vote in Connecticut
- 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 unless 8 years have passed from date of conviction or plea or completion of sentence (whatever is later)
- The candidate cannot be the treasurer of his or her own funding source



# SEEC Form 21: “Short Form”

## Who can file it?

- Candidate committees or political “slate” committees that received or expended less than \$1,000 from the creation of the committee to the last day of the reporting period.
- Town committees that received or spent less than \$1,000 from January 1<sup>st</sup> to the last day of the reporting period and that have not yet filed a long form this year.

## Who can't?

- Town Committees for the 7<sup>th</sup> day preceding the election and January quarterly filings or who have otherwise already filed a long form this year.

### SEEC FORM 21

Short Form Campaign Finance Disclosure Statement  
CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION  
Rev. 5/08



Do Not Mark in This Space For  
Official Use Only.

<b>1. NAME OF COMMITTEE</b>				
<b>2. TREASURER NAME</b>				
Title	First	MI	Last	Suffix
<b>3. TREASURER ADDRESS</b>				
Street Address			City	State Zip Code
<b>4. ELECTION/REFERENDUM DATE</b> (mm/dd/yyyy)		<b>5. OFFICE SOUGHT</b> (Complete only if Candidate Committee)		<b>6. DISTRICT NUMBER</b> (if applicable)
<b>7. CANDIDATE NAME</b> (Complete only if Candidate or Exploratory Committee)				
Title	First	MI	Last	Suffix
<b>8. TYPE OF REPORT</b> (Check One Box)				
<input type="checkbox"/> January 10 filing	<input type="checkbox"/> 7th day preceding primary	<input type="checkbox"/> 7th day preceding referendum	<input type="checkbox"/> Amendment to Type of Report: _____	
<input type="checkbox"/> April 10 filing	<input type="checkbox"/> 30 days following primary	<input type="checkbox"/> 45 days following referendum		
<input type="checkbox"/> July 10 filing	<input type="checkbox"/> 7th day preceding election	<input type="checkbox"/> Termination		
<input type="checkbox"/> October 10 filing	<input type="checkbox"/> 45 days following election not held in November			
<input type="checkbox"/> Supplemental Statement <input type="checkbox"/> Primary <input type="checkbox"/> Election				
<b>9. PERIOD COVERED</b>				
Beginning Date		Ending Date		
_____		_____ thru _____		
<b>10. CERTIFICATION</b>				
I hereby certify and state, under penalties of false statement, that the committee named above, did not receive contributions or other funds, or make or incur expenditures in excess of \$1,000 for the period covered by this Short Form Campaign Finance Disclosure Statement.				
_____ TREASURER OR DEPUTY TREASURER (SIGNATURE)		_____ PRINT NAME OF SIGNER		_____ DATE (mm/dd/yyyy)
<b>PLEASE NOTE:</b> This form may not be filed by Party Committees and Political Committees formed for Ongoing Political Activities for the January 10 filing date and the 7th day preceding an election. For those filing dates, you must use SEEC Form 20, <b>Itemized Campaign Finance Disclosure Statement</b> .				
PENALTY FOR FALSE STATEMENT IS PUNISHABLE BY FINE NOT TO EXCEED \$1,000, OR IMPRISONMENT FOR NOT MORE THAN ONE YEAR, OR BOTH.				

# SEEC Form 20

## Itemized Campaign Finance Disclosure Statement

### Must use this when

- The committee has received or spent over \$1,000
- In the case of town committees, for the seventh day preceding election and January quarterly filings

**SEEC FORM 20**  
Itemized Campaign Finance Disclosure Statement  
CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION  
Revised January 2015

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Do Not Mark in This Space For Official Use Only

**COVER PAGE**

<b>1. NAME OF COMMITTEE</b>			
<b>2. TREASURER NAME</b>			
First	MI	Last	Suffix
<b>3. TREASURER ADDRESS</b>			
Street Address		City	State Zip Code
<b>4. ELECTION/REFERENDUM DATE</b> (mm/dd/yyyy)	<b>5. OFFICE SOUGHT</b> (Complete only if Candidate Committee)		<b>6. DISTRICT NUMBER</b> (if applicable)
<b>7. CANDIDATE NAME</b> (Complete only if Candidate or Exploratory Committee)			
First	MI	Last	Suffix
<b>8. TYPE OF REPORT</b> (Check One Box)			
<input type="checkbox"/> January 10 filing	<input type="checkbox"/> 7th day preceding primary	<input type="checkbox"/> 7th day preceding referendum	<input type="checkbox"/> Initial Contribution or Disbursement (PACs ONLY)
<input type="checkbox"/> April 10 filing	<input type="checkbox"/> 30 days following primary	<input type="checkbox"/> 45 days following referendum	<input type="checkbox"/> Amendment to
<input type="checkbox"/> July 10 filing	<input type="checkbox"/> 7th day preceding election	<input type="checkbox"/> Deficit	Type of Report:
<input type="checkbox"/> October 10 filing	<input type="checkbox"/> 12th day preceding election (State Central Committees Only)	<input type="checkbox"/> Termination	_____
<input type="checkbox"/> 24 Hour Independent Expenditure <input type="checkbox"/> Primary <input type="checkbox"/> Election	<input type="checkbox"/> 45 days following election not held in November		
<b>9. PERIOD COVERED</b>			
Beginning Date		Ending Date	
_____		_____	
thru			
_____			
<b>10. CERTIFICATION</b>			
I hereby certify and state, under penalties of false statement, that all of the information set forth on this Itemized Campaign Finance Disclosure Statement for the period covered is true, accurate and complete.			
TREASURER OR DEPUTY TREASURER (SIGNATURE)		PRINT NAME OF SIGNER	DATE (mm/dd/yyyy)
_____		_____	_____
A person who is found to have knowingly and willfully violated any provisions of the campaign finance statutes faces a civil penalty or imprisonment or both.			
24			

# **Filing Dates/Deadlines**

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## Filing Dates/Deadlines:

We have filing calendars for all types  
of elections and committees  
on our website:

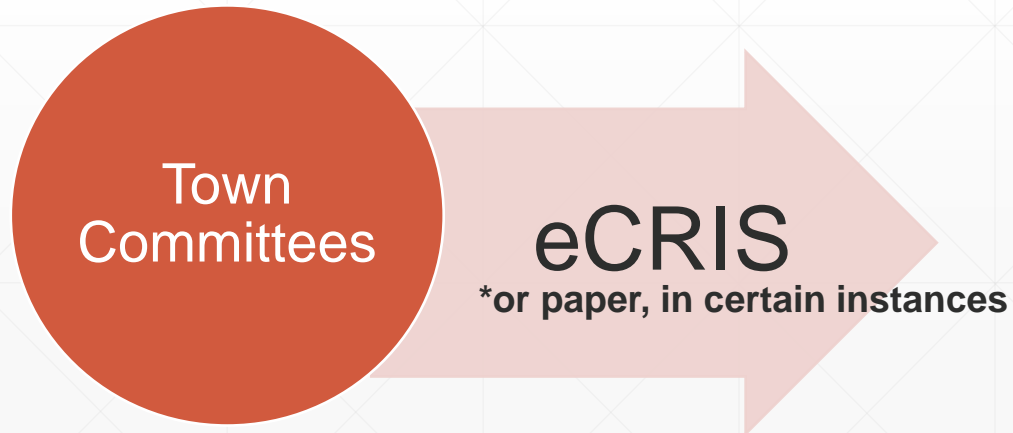
**[portal.ct.gov/seec](https://portal.ct.gov/seec)**



# Where and How to file:



**Town Clerk**



**SEEC**

# Deadlines – to be considered “on time”:

- **Town Clerk**

- Hand Delivery/In Person by 4:30 p.m.
- Mail must be postmarked by the deadline date

Verify Town Clerk Office Hours!

- **SEEC**

- eCRIS submitted by 11:59 p.m. on the deadline date



# Mandatory Late Penalties:

- Personal liability of treasurer.
  - **Cannot** be paid from committee funds.
  - **Cannot** be waived by the Town Clerk.
- If you don't pay this fee in the time prescribed by the town clerk in a delinquency notice, she has to refer it to the SEEC.
  - When referred, civil penalty assessed ranging from \$200-\$2000



# Treasurers May Appoint Solicitors

Solicitors are individuals who can receive contributions on behalf of the committee but **may not spend** funds on behalf of the committee.

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.)



# Municipal Solicitation Ban:

A Municipal employee may **NOT**

- Solicit a contribution from an individual under their supervision  
*OR*
- The spouse or dependent child of that individual under their supervision  
*..... ALSO*
- A boss of a municipal employee cannot solicit the employee or his/her family!



# Raising Funds

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PART 1 - CONTRIBUTIONS

## A Contribution is:

- Monetary Gift from an Individual
  - cash, check, bank instrument or credit card
- Transfer of assets from one committee to another
  - ABC Committee → \$ or anything of value → Mary Smith for Mayor Committee
- Loan made by individual or entity other than a bank
- In-kind contributions (anything of value) and coordinated expenditures
- Written contract, promise, or agreement to make contribution



# Contribution Limits

Recipient Committee	Contributor Sources			
	Individual	State Central Committee	Town Committee	Ongoing Political Committee
<b>Candidate Committee for Chief Executive Officer of the Municipality (e.g. Mayor, First Selectman)</b>	\$1,000/primary \$1,000/general election (candidate's personal funds unlimited)	\$10,000/primary \$10,000/general election	\$3,000/primary \$3,000/general election	\$1,500/primary \$1,500/general election
<b>Candidate Committee for Other Municipal Office</b>	\$250/primary \$250/general election (candidate's personal funds unlimited)	\$5,000/primary \$5,000/general election	\$1,500/primary \$1,500/general election	\$375/primary \$375/general election
<b>Political Slate Committee</b>	\$1,000/year	\$2,500/year	\$1,500/year	\$2,000/year
<b>Town Committee</b>	\$2,000/year (lobbyist and state contractors provisions apply)	Unlimited	Unlimited	\$1,500/year (lobbyist and state contractors provisions apply)



# Report Small Monetary Contributions in Section A

**A. Total Contributions from Small Contributors-Received this Period ONLY**  
*(See instructions for definition of Small Contributor)*

**SUBTOTAL SECTION A**

\$ 625

- An individual whose total contributions = \$50 or less in the aggregate.
- Treasurers may add all up small contributor contributions and report the total here.
- Treasurers must keep records of each small contributor in case they contribute more than \$50 in the aggregate later.



# Itemize All Contributions from Individuals that exceed \$50 in Section B

B. Itemized Contributions from Individuals			
Last Name <b>Smith</b>		First <b>Jack</b>	MI
Residential Street Address <b>25 Oak Street</b>		City <b>New Haven</b>	State Zip Code <b>CT 06516</b>
Principal Occupation <b>Plumber</b>		Name of Employer <b>Jones Plumbing</b>	
Is contributor a lobbyist, spouse, or dependent child of a lobbyist? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If contribution is in excess of \$400 to a candidate for a chief executive officer of a municipality, does contributor or business he/she is associated with have a contract with said municipality valued at more than \$5,000? <input type="checkbox"/> Yes <input type="checkbox"/> No		Amount of Contribution  <b>\$200</b>
Is this contribution associated with a fundraising event listed in Section L1? <i>If yes, list Event #</i> _____ <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Is contributor a principal of a state contractor or prospective state contractor? <i>If yes, indicate which branch or branches of government the contract is with:</i> <input type="checkbox"/> Executive <input type="checkbox"/> Legislative <input type="checkbox"/> Yes <input type="checkbox"/> No		
Method of Contribution: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Personal Check <input type="checkbox"/> Credit/Debit Card <input type="checkbox"/> Payroll Deduction <input type="checkbox"/> Money Order		Date Received <b>7/28/2021</b>	
		Aggregate Contributions <b>\$200</b>	



## In-Kind Contributions:

- Goods, services or anything of value given to the committee for free or at a discount price
- Examples: Stamps, computers, office supplies, **food**...etc.



# Section M - “In-Kind Contributions”

M. In-Kind Contributions						
Name <b>Cathy White</b>						
Street Address <b>10 Cedar Street</b>			City <b>Danbury</b>	State <b>CT</b>	Zip Code <b>0681</b>	
Type of contributor: <input type="checkbox"/> Committee <input checked="" type="checkbox"/> Individual / Sole Proprietorship <input type="checkbox"/> Other	Date Received <b>9/1/21</b>	Aggregate Contributions <b>\$225</b>	Description of In-Kind Contribution <b>Stamps and Envelopes</b>			
Is contributor a lobbyist, spouse, or dependent child of a lobbyist? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If contribution is in excess of \$400 to a candidate for a chief executive officer of a municipality, does contributor or business he/she is associated with have a contract with said municipality valued at more than \$5,000? <input type="checkbox"/> Yes <input type="checkbox"/> No			Fair Market Value of this Contribution <b>1</b>		
Is this contribution associated with a fundraising event listed in Section L1? <i>If yes, list Event #</i> <u>090921A</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Is contributor a principal of a state contractor or prospective state contractor? <i>If yes, indicate which branch or branches of government the contract is with:</i> <input type="checkbox"/> Executive <input type="checkbox"/> Legislative			Fair Market Value of this Contribution <b>\$100</b>	



# “Coordinated Expenditures” are Contributions

- An expenditure that is coordinated with or made with the consent or knowledge of a candidate or committee is a contribution
- Coordinated expenditures are subject to source and dollar limits



# Prohibited Sources of Contributions

Candidate Committees  
**MAY NOT ACCEPT** contributions from

- Another candidate committee
- A business entity or labor union
- National committee of a political party
- Any unregistered committee



# What is a Business Entity?

- Corporations
- Partnerships
- Certain Trade or Professional Associations
- Other for profit entities



# Who is an Individual?

- Human Being
- Sole Proprietor
- Solely Owned Professional Corporation



# Contribution Limit for Minors

Individuals less than 18 years old

- Cannot contribute in excess of \$30
- Aggregated amount



# Anonymous Contributions Prohibited

- **Cash** given without the contributor present and no info about the contributor known to treasurer
- **No anonymous contributions can be accepted**

Forward to SEEC, who will forward it to State Treasurer



# Form of Contribution Matters!

## Contributed \$100 or less:

- Cash
- Money Order
- Personal Check
- Credit Card

## Contributed more than \$100:

- Personal Check or Credit Card ONLY
- **NO CASH OR MONEY ORDER!**

# Contribution Certification Forms

- Available at <https://portal.ct.gov/seec>
- Candidate and Political Slate Committees use Form M
- Town Committees use Form P

## Sample Certification - Form M

Form M - For use by: *Individuals Making Contributions to Candidate Committees, Exploratory Committees or State Committees for Municipal Offices*

For Campaign Use Only  
Solicitor's Initials

Revised May 2018

**Do NOT use this form if candidate is participating in the CITIZENS' ELECTION PROGRAM**  
*General Assembly Candidates Participating in the Citizens' Election Program must use Sample Certification - Form A*  
*Statewide Candidates Participating in the Citizens' Election Program must use Sample Certification - Form B*

### Individual Contributor Certification Form

[Insert name of Candidate Committee, Exploratory Committee or State Committee for Municipal Office]

NAME OF INDIVIDUAL CONTRIBUTOR* (Last Name, First Name, Middle Initial)			
RESIDENTIAL ADDRESS**		PHONE NUMBER / EMAIL ADDRESS	
CITY	STATE	ZIP CODE	Please check if you are UNDER 18: <input type="checkbox"/> If under 18, please list your age: <input type="text"/>
NAME OF EMPLOYER <small>If self-employed, provide Name of Business. Example: Doctor's Practice. Other Examples: Farmer, Unemployed Student, Homemaker.</small>		PRINCIPAL OCCUPATION <small>If self-employed, provide Job Description. Example: Farmer. Other Examples: Retired, Unemployed Student, Homemaker.</small>	
CONTRIBUTION AMOUNT	METHOD OF CONTRIBUTION		
\$	<input type="checkbox"/> Cash <input type="checkbox"/> Debit Card/Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Personal Check # <input type="text"/>		
<input type="checkbox"/> In-Kind Contribution (Provide the value in the Contribution Amount field and a description in the space below):			
Please review the definitions on the bottom of this form and answer each of the following:			
<input type="checkbox"/> Yes <input type="checkbox"/> No	Are you a lobbyist?***		
<input type="checkbox"/> Yes <input type="checkbox"/> No	Are you the spouse or dependent child of a lobbyist?		
If this is a contribution to a candidate committee or exploratory committee of a candidate running for CHIEF EXECUTIVE OFFICER of a municipality (i.e. mayor, first selectman) or a slate committee financing such a candidate, answer the following:			
<input type="checkbox"/> Yes <input type="checkbox"/> No	Do you or a business with which you are associated**** have a contract with the town, city or borough in which the candidate is running that is valued at more than \$5,000?		
<b>CERTIFICATION</b>			
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 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.			
SIGNATURE OF CONTRIBUTOR _____			DATE (mm/dd/yyyy) _____

\* "Individual Contributor" means a human being, a sole proprietorship, or a professional service corporation organized under chapter 594a and owned by a single human being. A sole proprietorship is a business in which one human being owns all the assets, owes all the liabilities, and operates in his or her personal capacity. Any other type of business is not permitted to make a contribution, including LLCs. See General Statutes § 9-601 (9).

\*\* You may enter an alternate address in lieu of your residential address only if you are admitted into the Address Confidentiality Program pursuant to General Statutes § 54-240 (a) or if you are one of the individuals with protected address status articulated in General Statutes § 1-217.

\*\*\* The law requires disclosure for each itemized contribution made by a lobbyist, the spouse of a lobbyist or any dependent child of a lobbyist who resides in the lobbyist's household. General Statutes § 9-608 (c) (1) (H). The term lobbyist includes anyone required by law to register as a lobbyist with the Office of State Ethics because they (a) expend or agree to expend \$3,000 or more in a calendar year on lobbying; OR (b) receive or agree to receive \$3,000 or more in a calendar year for lobbying. General Statutes § 1-91 (as amended by Public Act 15-15). Individual lobbyists may contribute to candidate committees and exploratory committees for municipal office up to the limits for those offices.

\*\*\*\* A "business with which you are associated" refers to any business in which the contributor is a director, officer, owner, limited or general partner, or stockholder of 3% of more of the total stock of the business.



# Online Contributions

- Templates available at <https://portal.ct.gov/seec>
- Candidate and Political Slate Committees model after Form M
- Town Committees model after Form P

Tap Amount

Name \*

Residential Address

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.) \*

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.](#)

John Smith for State Rep, Jane Doe, Treasurer. Approved by John Smith.



# Municipal Contract Disclosure

## When is it required?

When individual contributes a total of \$400 or more to a candidate for CEO (e.g., Mayor, First Selectperson) of the municipality.

## What do they have to disclose?

Whether they or the business with which they are associated has a contract with that municipality that is valued at over \$5,000.



# Municipal Contract Disclosure

What if they don't make the disclosure?



**You CANNOT DEPOSIT the contribution!!!**

- **REQUEST DISCLOSURE** via certified mail within 3 days of receiving the contribution.
- **IF STILL NO DISCLOSURE = RETURN CONTRIBUTION.**



# Lobbyist and State Contractor Contributions

## Town Committees

- Lobbyists can contribute up to \$100
- State Contractor contributions are prohibited!
- Lobbyists and State Contractors cannot buy ads in town committee ad books!

## Municipal Candidate & Political Slate Committees

- Lobbyists and State Contractors can contribute up to normal limits for individuals
- Contributions in excess of \$50.00 – treasurer must disclose lobbyist status on the SEEC Form 20



# What do you do with an impermissible contribution?

Do **NOT** deposit

“OOPS, I made the deposit!”

- Refund impermissible contribution immediately
- Use a committee check
- Report refund as expenditure

Return entire contribution

Keep record of contribution and refund



# Raising Funds

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PART 2 – DONATIONS AND FUNDS NOT CONSIDERED CONTRIBUTIONS

# What isn't considered a "contribution"?

- Individual volunteer services
- Payment of \$ by candidate to **candidate** committee
- Bank loans and interest
- Certain donations that occur at "fundraising affairs"
- Certain purchases of ads in "ad book" programs

Value of these donations  
are **NOT COUNTED**  
towards contribution limits

BUT...  
generally **STILL**  
**REPORTED**,  
just not as a contribution



# What is a Fundraising Affair?

- Political gathering sponsored by committee for which it charges an attendance fee, and /or solicits or receives contributions
  - i.e. Cocktail Party, Dinner Event
- Tag Sale or Auction
- Joint Fundraiser



**Remember:  
These are  
NOT  
contributions!**

# Fundraising Affair Exceptions

## Purchase of advertising space in a program book/sign

- “Ad book” must:
  - be for a bona fide fundraising affair
  - be distributed at the fundraising affair
- Business entity can purchase a total of **\$250** worth of ad space
- Everyone else can purchase a total of **\$50** worth of ad space

***Exception:*** State contractor/lobbyist prohibition applies to town committee and political committee ad book purchases



# MORE Fundraising Affair Exceptions

Remember:  
These are  
**NOT**  
contributions!

## Tag Sale or Auction donations or purchases

- Individuals can *donate or purchase* **\$100 worth** of goods
- Business entity can *donate* **\$200 worth** of goods or services that it's in the business of selling



**Remember:  
These are  
NOT  
contributions!**

## **MORE Fundraising Affair Exceptions**

“House Party” = Expenses by host for invitations, food, or beverages  
*at host’s personal residence*

- \$800 per candidate committee *per election* (\$400 per event)
- \$800 per town committee or political slate committee *per calendar year* (\$400 per event)



# MORE Fundraising Affair Exceptions

Remember:  
These are  
**NOT**  
contributions!

Town Committee sales of food and beverage at town/county fair or similar **mass gathering**

- If the value of items purchased from the Town Committee is \$50 or less = NOT CONTRIBUTION



## Other Exceptions

Donation of food or beverage by an individual for consumption **at a non-fundraising** event

- \$50 per individual per event

**Remember:  
These are  
NOT  
contributions!**



## Other Exceptions

### Discounted sale of food or beverage by a vendor

#### To Candidate Committees

- Discount that is not less than the cost that the vendor pays to obtain the supplies, and
- The discount may not exceed a value of **\$400 per primary or election**

#### To Town Committees and Political Slate Committees

- Discount that is not less than the cost that the vendor pays to obtain the supplies, and
- The discount may not exceed a value of **\$600 per calendar year**

**Remember:  
These are  
NOT  
contributions!**



# How to Disclose Fundraising Activity – Section L1

Remember, these are not considered contributions.

Any contributions related to this event are reported in Sections A & B.

NAME OF COMMITTEE <i>(Provide Complete Name as Registered with Filing Repository)</i>			TYPE OF REPORT	
<b>L1. Event Information</b>				
Event # Date of Event 9/09/21	Letter A	Description Meet and Greet	Was this a fundraising event? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Location: Street Address 125 Main Street		City Norwich	State CT	Zip Code 06636
<b>Subpart 1: (All Committees)</b>				
Was this event hosted at a personal residence?		<input checked="" type="checkbox"/> Yes <i>(If yes, go to Section L5 In-Kind Donations not Considered Contributions Associated with a House Party and complete required information for any purchases made by host(s) for food, beverage and invitations.)</i> <input type="checkbox"/> No		
Did this fundraiser include goods or services donated by a business entity of up to \$200 or items donated by an individual of up to \$100?		<input checked="" type="checkbox"/> Yes <i>(If yes, go to Section L4 In-Kind Donations not Considered Contributions and complete required information.)</i> <input type="checkbox"/> No		
Was this fundraiser a tag sale, auction, or other sale of donated items with purchases from an individual of up to \$100?		<input type="checkbox"/> Yes <i>(If yes, enter Total Receipts here.)</i> → <input type="text"/> <input checked="" type="checkbox"/> No		
<b>Subpart 2: (Party Committees, Municipal Candidates and Political Committees other than Exploratory Committees)</b>				
Were there purchases of advertising space in a program book or on a sign associated with this fundraiser?		<input type="checkbox"/> Yes <i>(If yes, go to Section L3 Purchases of Advertising Space in a Program Book or on a Sign and complete required information.)</i> <input checked="" type="checkbox"/> No		
<b>Subpart 3: (Town Committees ONLY)</b>				
Did your committee sell food or beverage at a fair or similar mass gathering held within the state with this fundraiser?		<input type="checkbox"/> Yes <i>(If yes, enter Total Receipts here.)</i> → <input type="text"/> <input checked="" type="checkbox"/> No		



# How to Disclose Ad Book Purchases – Section L3

NAME OF COMMITTEE <i>(Provide Complete Name as Registered with Filing Repository)</i>			TYPE OF REPORT	
<b>L3. Purchases of Advertising in a Program Book or on a Sign</b>				
Name of Purchaser <b>Cigna Healthcare Corp.</b>			Purchase Made By: <input checked="" type="checkbox"/> Business Entity <input type="checkbox"/> Other <input type="checkbox"/> Individual/Sole Proprietorship	
Street Address <b>900 Cottage Drive</b>		City <b>Bloomfield</b>	State <b>CT</b>	Zip Code <b>06132</b>
Date Received <b>9/10/2021</b>	Event # <b>90921A</b>	Aggregate Purchases for All Events <b>\$200</b>	Amount of Program Ad Purchase <b>\$100</b>	Amount of Sign Purchase



# How to Disclose Other Donations Not Considered Contributions – Sections L4 and L5

L5. In-Kind Donations Not Considered Contributions Associated with a House Party				
Name of Host Wayne Ferrari		Is this event supporting more than one candidate or committee? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes, complete Itemization in Addendum L5</i>		
Street Address 464 Portland-Cobalt Road		City Portland	State CT	Zip Code 06480
Description of Donation Fruit platters for house party			Fair Market Value of Donation  \$200	
Event # 83121A	Aggregate Value of this Event—all hosts \$400	Aggregate Value of all Events—this host/candidate \$200		



# Expenditures

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# Permissible Expenditures

Lawful purposes of town committee:

- Promoting the party
- Promoting candidates of the party
- Continuing operating costs of the party

Lawful purposes of candidate committee:

- Promoting candidate who established the committee

Lawful purposes of political “slate” committee:

- Promoting candidates on the “slate” being funded by the committee



# Permissible Expenditures

## Must be campaign related

- Meetings
- Advertising
- Polling
- Travel of candidate and committee workers
- Renting of office space or necessary equipment
- Purchase or lease of computers and peripherals
- Office supplies



# Expenses Paid by Committee – Section P

SEEC FORM 20 Rev. 1/12 IV. EXPENDITURES (Sections P—T) Page 13 of 17

NAME OF COMMITTEE		TYPE OF REPORT	
<b>P. Expenses Paid by Committee</b>			
Name of Payee <b>Google</b>		Date of Payment <b>8/15/2021</b>	Method of Payment: <input checked="" type="checkbox"/> Check # <b>1025</b> <input type="checkbox"/> Debit Card
Street Address <b>1600 Amphitheater Parkway</b>		City <b>Mountain View</b>	State <b>CA</b> Zip Code <b>94043</b>
Purpose of Expenditure (by code) <b>A-WEB</b>	Description <b>Web banner Ad</b>	Event #	<b>Amount</b>
Expenditure # (if applicable)	Type of Expenditure (if applicable) <b>Itemization in Addendum P Required</b> <input type="checkbox"/> Coordinated with reimbursement sought <input type="checkbox"/> Coordinated without reimbursement sought <input type="checkbox"/> Independent <input type="checkbox"/> Organization: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E		<b>\$ 500</b>

Knope for City Council 90 Maple Street Hartford, CT 06106		1025
DATE <b>August 15, 2021</b>		
PAY TO THE ORDER OF <b>Google</b>	\$ <b>500.00</b>	
<b>Five Hundred</b> ----- DOLLARS		
MEMO <b>Ads</b>	<b>Elizabeth McClain</b>	
:0000000000: :0000000000:		1025



# Prohibited Expenditures

- Personal use by Candidate
- Contributions to other Candidate Committees
- Compensation to Candidate
- Compensation to Candidate's Immediate Family



# Basic Attribution Requirements

There are **additional requirements** for TV, radio, internet audio/video and automated calls.

	<i>Candidate Committee</i>	<i>Political "Slate Committee"</i>	<i>Town Committee</i>	<i>1B Candidates not in a Committee</i>
"Paid for by"	Name of Committee, Name of Treasurer	Name of Committee, Name of Treasurer	Name of Committee	Name and Address of Candidate
"Approved by"	Name of Candidate	Name(s) of candidate(s)	Name(s) of candidate(s) [Exception for any print, TV, or social media promotion of a slate of candidates paid for by a party committee]	Name of Candidate

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 a committee, or solicit funds



# Attribution Not Required



Signs 32  
Square Feet  
and Under

Political  
Paraphernalia

# Use of Public Funds Prohibited

Within **3 months** of the election:

For printed materials promotional of the candidate.

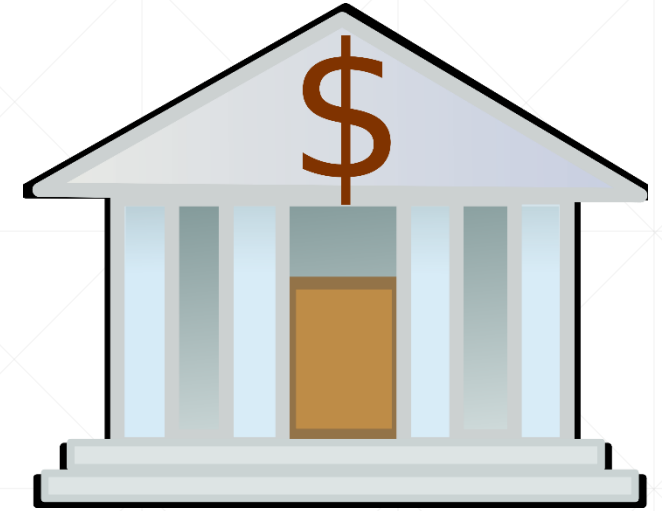
Within **12 months** of the election:

For a television, radio, movie theater, billboard, bus poster, newspaper or magazine advertisement,

(a) featuring the name, face or voice of a candidate

or

(b) promoting the nomination or election of a candidate.



# Compensating Campaign Staff, Workers, Consultants

- 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 are  
available at  
<https://portal.ct.gov/seec>**



# Reporting Secondary Payees/Subvendors

- Secondary payees are people or entities paid by a campaign's committee worker or 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 subcontracting with any other employees or outsourcing work to third-party vendors, and advise them that they must provide you with information so you may disclose secondary payees. Best to include this in your contract.



# Reimbursements

## To Committee Workers

Mary Smith For  
Alderman



## To Candidate



Reimbursement must be completed within reasonable timeframe

# Reporting Reimbursements to Committee Workers – Sections P & T

NAME OF COMMITTEE		TYPE OF REPORT	
<b>P. Expenses Paid by Committee</b>			
Name of Payee <b>Tracy Jones</b>		Date of Payment <b>9/15/2021</b>	Method of Payment: <input checked="" type="checkbox"/> Check # <b>1025</b> <input type="checkbox"/> Debit Card
Street Address <b>18 Orange Street</b>		City <b>New Haven</b>	State <b>CT</b> Zip Code <b>06519</b>
Purpose of Expenditure (by code) <b>RMB</b>	Description <b>Reimbursement for food purchase</b>	Event #	<b>Amount</b>  <b>\$110</b>
Expenditure # (if applicable)	Type of Expenditure (if applicable) <b>Itemization in Addendum P Required</b> <input type="checkbox"/> Coordinated with reimbursement sought <input type="checkbox"/> Coordinated without reimbursement sought <input type="checkbox"/> Independent <input type="checkbox"/> Organization: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C <input type="radio"/> D <input type="radio"/> E		

Knope for City Council 90 Maple Street Hartford, CT 06106		1025
DATE <i>Sept. 15, 2021</i>		
PAY TO THE ORDER OF	<i>Tracy Jones</i>	\$ <b>110.00</b>
<i>One Hundred and ten</i> -----		DOLLARS
MEMO <i>Food Reimbursement</i>	<i>Elizabeth McClain</i>	
:0000000000: :0000000000:		1025



# Reporting Reimbursements to Committee Workers – Sections P & T

NAME OF COMMITTEE			TYPE OF REPORT		
<b>T. Itemization of Reimbursements to Committee Workers and Consultants</b>					
Last Name of Worker/Consultant	First	MI	Date of Payment	Method of Payment:	
Jones	Tracy		9/9/2021	<input checked="" type="checkbox"/> Check #1025 <input type="checkbox"/> Debit Card	
Secondary Payee					
Highland Park Market					
Street Address		City	State	Zip Code	
1 Main Street		Manchester	CT	06040	
Purpose of Expenditure (by code)	Description	Event #		Amount	
FOOD	Food for volunteers				
Expenditure # (if applicable)	Type of Expenditure (if applicable) <b>Itemization in Addendum T Required</b> <input type="checkbox"/> Coordinated with reimbursement sought			<b>\$110.00</b>	
	<input type="checkbox"/> Coordinated without reimbursement sought <input type="checkbox"/> Independent <input type="checkbox"/> Organization: <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C <input type="radio"/> D <input type="radio"/> E				



1 Main Street  
Manchester CT 06040

Sale 9/9/2021  
8:05 AM

-----  
Groceries \$103.40  
CT Tax \$6.60  
Total \$110.00

Thank you!



# Candidate Expenditures

For candidates in a candidate committee.....

- Expenditure must be reported if:
  - It is greater than \$50 OR if reimbursement sought
- Expenditure need not be reported if for:
  - Travel, meals and telephone expenses of any amount *if no reimbursement* sought

*Candidates who are entirely self-financing their campaign or who choose to be funded by a candidate committee may make unlimited expenditures on their own behalf.*



# Expenses Paid by the Candidate – Sections P & Q

NAME OF COMMITTEE		TYPE OF REPORT	
<b>Q. Campaign Expenses Paid by Candidate</b>			
Name of Payee ( <i>Name of Vendor who candidate paid directly</i> )		Date of Payment	Is reimbursement claimed?
The Home Depot		9/5/2021	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Street Address		City	State      Zip Code
75 North Frontage Road		East Haven	CT      06512
Purpose of Expenditure (by code)	Description	Event #	Amount
A-SIGN	Plywood for large signs		\$100.00



# Spending by Outside Sources

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# What other spending can happen on the candidate's behalf?

- Organization Expenditures
- Non-Independent (Coordinated) Expenditures
- Independent Expenditures
- Joint Expenditures



# What is an “Organization Expenditure”?

- An *exception* to the definition of contribution and expenditure
- Only can be made by party committees to benefit a municipal candidate or candidate committee
- Cannot be made to benefit a municipal candidate funded by a political slate committee or a self-financing candidate
- Must be reported by the town committee



# Types of Organization Expenditures

- Party Candidate Listing
- Certain Documents in Printed or Electronic Format (i.e. party platform, voter list, electronic page for merchant account services to collect online contributions)
- Campaign Event at which the candidate is present
- Advisor(s)



# Non-Independent (Coordinated) Expenditures

- Non-Independent (Coordinated) Expenditures are contributions
  - MUST be from permissible sources
  - MUST be within applicable limits
  - MUST be disclosed



# Independent Expenditures by Outside Persons



- What is an Independent Expenditure?
  - An expenditure that is made **without the consent, coordination, or consultation of**, a candidate or agent of the candidate, candidate committee, political committee or party committee.
  - Must be **totally and wholly** independent.
  - Candidates and their committees **may not** make independent expenditures!
  - Candidates and their committees **may not** work with outside persons who want to make independent expenditures on their behalf.



# Joint Expenditures

- Pay pro rata share
- Document cost-splitting



# Post-Election Spending and Termination

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# Post-Election Filings



# Surplus Funds and Equipment



# Recipients of Surplus Funds

- Citizens' Election Fund
- Return to Contributors (pro rata)
- Ongoing Political Committee
- 501(c)(3) charitable organizations
- 501(c)(19) veteran organizations
- Party Committee

**Municipal Candidate  
Committee  
or  
Political Slate Committee**



# Surplus Equipment

- Must be sold at fair market value
- Proceeds must be distributed to a permissible recipient
- May be donated directly to a permissible recipient



# Candidate Committees of Elected Municipal Candidates

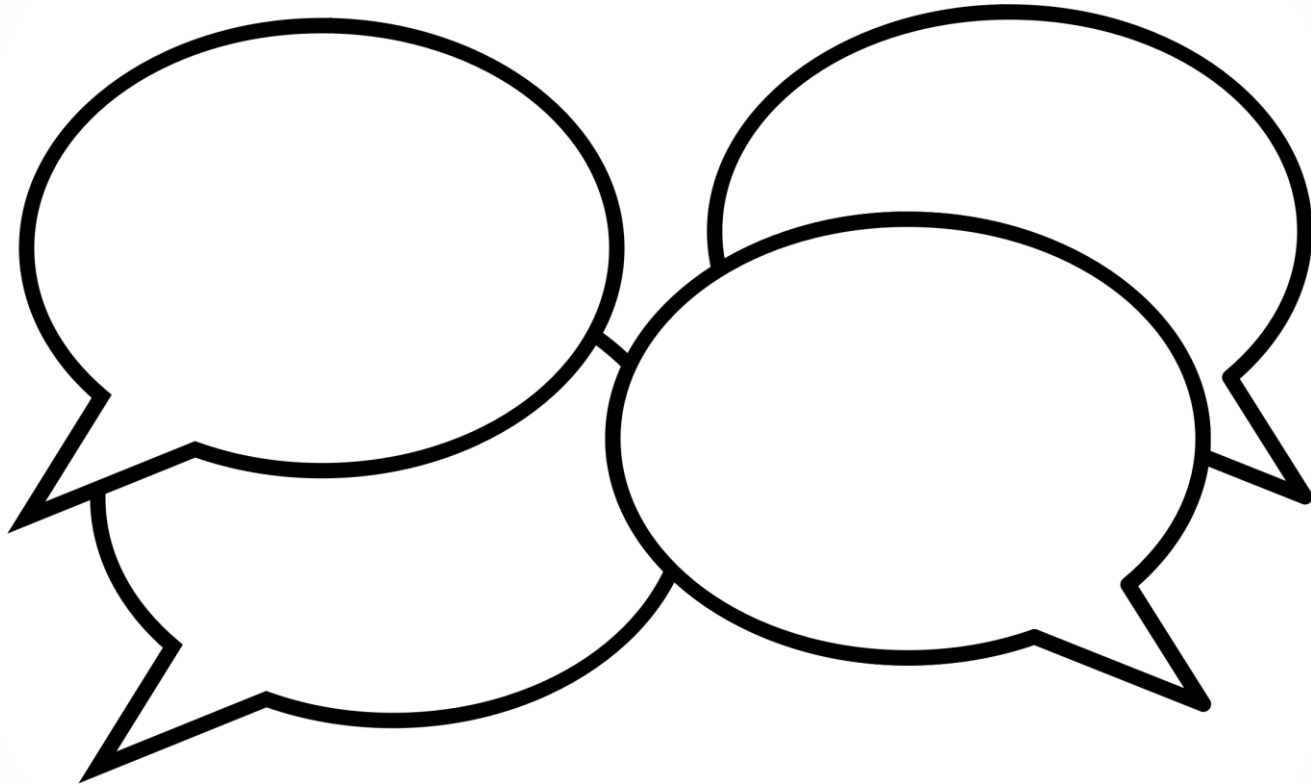
## Uses of Surplus Funds for Preparing to Take Office:

- Clerical
- Secretarial
- Other Office Expenses
- Inaugural Expenses



# Records Retention





## Candidate Services Unit

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860-256-2985

[public.finance@ct.gov](mailto:public.finance@ct.gov)

[portal.ct.gov/seec](http://portal.ct.gov/seec)