

CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION



INSTRUCTIONS FOR SEEC FORM 21 SHORT FORM CAMPAIGN FINANCE DISCLOSURE STATEMENT

Rev. 5/08

SEEC MAILING ADDRESS:

CONNECTICUT ELECTIONS ENFORCEMENT COMMISSION
CAMPAIGN FINANCE DISCLOSURE UNIT—3RD FLOOR
20 TRINITY STREET
HARTFORD, CONNECTICUT 06106-1628

SEEC TELEPHONE NUMBER:

MAIN NUMBER: 860-256-2940
TOLL FREE WITHIN CT: 1-866-SEEC-INFO
FAX NUMBER : 860-256-2981
SEEC WEBSITE ADDRESS: www.ct.gov/seec



GENERAL INSTRUCTIONS

- Type or print clearly all information in black or blue pen. **Please do not use pencil.**
- All treasurers are urged to use the instructions provided on this form in conjunction with Connecticut's Campaign Finance Laws (Chapter 155 of the Connecticut General Statutes). Treasurers should not rely solely on information provided in the instructions of this form in attempting to interpret any provisions of the Campaign Finance Laws. All such questions should be directed to the State Elections Enforcement Commission at (860) 256-2940 or (866)-SEEC-INFO (Toll Free in Connecticut). Instructions provided here are only to give guidance and assistance.

WHO MAY USE THIS FORM

- The treasurer of any candidate committee, exploratory committee or political committee formed for a single election, primary or referendum, provided that the committee has **NOT** received contributions or other funds, or made or incurred expenditures in excess of \$1,000 from the inception of the committee through the close of the reporting period covered by this statement.
Please Note:* This form may **NOT be used by a terminating exploratory committee formed that is distributing its surplus to its registered candidate committee. For this filing you must use either SEEC Form 20 (municipal candidates), or SEEC Form 30 (Statewide Office and General Assembly candidates).
- The treasurer of any town committee or political committee formed for ongoing political activities, provided that the committee has not received contributions or other funds, or made or incurred expenditures in excess of \$1,000 from January 1st of the current calendar year through the close of the reporting period covered by this statement.
Please Note:* This form may **NOT be used by a town committee or political committee formed for ongoing political activities for the statement due January 10 and the 7th day preceding the election. For these filing dates, you must use SEEC Form 20.
- The treasurer of a state central committee may **never** use this form.

WHERE TO FILE THIS FORM

With the State Elections Enforcement Commission ONLY (State Elections Enforcement Commission, Campaign Finance Disclosure Unit-3rd Floor, 20 Trinity St., Hartford, CT 06106):

- Candidate Committees for Probate Judge
- Political Committees which support or oppose candidates for Governor, Lieutenant Governor, Secretary of the State, State Treasurer, Comptroller, Attorney General, Judge of Probate, State Senator, and State Representative, or support or oppose a state constitutional amendment, or for any combination of these purposes.
- State Central Committees
- Exploratory Committees and Candidate Committees formed for the offices of Governor, Lieutenant Governor, Secretary of the State, State Treasurer, Comptroller, Attorney General, State Senator, and State Representative

With the State Elections Enforcement Commission AND a Town Clerk:

- Political Committees of a slate of candidates competing in a primary for the office of Justice of the Peace
- Town Committees (Original filed with State Elections Enforcement Commission. Copy of the statement with Town Clerk)

With a Town Clerk ONLY:

- Candidate Committees for election to a municipal office (Mayor, Councilman, Registrar of Voters, etc.) or for nomination in a primary for the position of a Town Committee member
- Exploratory Committees which established by a candidate solely considering municipal offices
- Political Committees formed for a single election or primary to support a slate of municipal candidates or a slate of candidates for town committee in a primary
- Political Committees formed solely to support or oppose a referendum question to be voted upon only by the electors of a single municipality. If the referendum question is to be voted on in two or more municipalities, this form must be filed with the Town Clerk in each of the municipalities involved. (e.g. regional school district)
- Political Committees organized for ongoing political activities independent of any single election or referendum, which make contributions, expenditures, or intend to make contributions or expenditures solely for municipal candidates or referenda



WHEN TO FILE

Standard Statements (*April 10, 2008, July 10, 2008, October 10, 2008, January 10, 2009; 7th Day Preceding Primary, 30 Days Following Primary (losing candidates' only); 7th day Preceding Election 7th day Preceding Election*) must be filed with the State Elections Enforcement Commission or the Town Clerk by (a) submitting a hard copy at the SEEC offices or Town Clerk offices by 4:30 p.m., (b) where filings are filed with the State Elections Enforcement Commission **ONLY**, by filing on the SEEC's e-CRIS electronic filing system by midnight of the required filing day or (c) by mailing it so that it bears a postmark before midnight of the required filing day. If the due date falls on a Saturday, Sunday, or legal holiday, it is due on the next business day.

Nonstandard statements (*45 days following election not held in November; 45 days following referendum; Supplemental Statements; and Termination Report*) have a variety of filing rules that are fully addressed in the Instructions applicable to Section 8 entitled "Type of Report."

LATE FILING PENALTY

A late filing penalty of \$100 is charged for statements filed late **for any reason**. The fee is the personal liability of the treasurer and cannot be paid from committee funds. In addition, if a late statement is not filed within 21 days after notification of a missed filing date, the treasurer is liable for a minimum penalty of \$200, and may be liable for a fine of not more than \$2,000 or imprisonment for not more than one year or both.

(see Section 9-623(b)(4), General Statutes)

RECORD KEEPING

Records must be maintained for four years from the date of the statement. See Section 9-607(f), General Statutes, for record keeping requirements. The Treasurer should also maintain copies of all statements filed and must provide a copy of each to the chairperson or candidate, as applicable.



COMPLETING THE FORM

1. Name of Committee: Provide full name of committee.
2. Treasurer Name: Provide the full name of the treasurer; title, first name, middle initial, last name and suffix, if any. This should be the same person who is the appointed Treasurer and properly registered with the appropriate filing repository.
3. Treasurer Street Address: Provide the full and complete residential address of the treasurer.
4. Election/Referendum Date: Candidate Committees, Exploratory Committees, and Political Committees organized for a single primary, election, or referendum must provide the date of the primary, election or referendum for which they were organized.
5. Office Sought: This section is to be completed by Candidate Committees ONLY. List the name of the public office or position being sought by the candidate.
6. District Number: Provide the district number, if applicable, for the public office or position being sought by the candidate (e.g. probate, council/aldermanic, etc.).
7. Candidate Name: This section is to be completed by Candidate and Exploratory Committees ONLY. Provide the full name of the candidate.
8. Type of Report: Check the appropriate box to indicate what type of report is being filed. If the type of report being filed is an amendment, enter the initial type of report being amended (i.e. January 10 filing, Termination, etc.) together with the date the *original* report was filed.

Instructions for Standard Reports

(April 10, 2008, July 10, 2008, October 10, 2008, January 10, 2009; 7th Day Preceding Primary, 30 Days Following Primary (losing candidates' only); 7th day Preceding Election 7th day Preceding Election) .

For a full explanation of the filing due dates and periods covered for these standard filings, please see the Campaign Finance Calendar for Candidate Committees and Exploratory Committees Organized for the 2008 or 2010 Election Cycle published on the SEEC's website at: http://www.ct.gov/seec/lib/seec/candidate_political_committees_nov. 4, 2008.pdf or http://www.ct.gov/seec/lib/seec/2010_candidate_exploratory_committees.pdf or Candidate Committees, Exploratory Committees and Durational PAC's Organized for the 2009 Election Cycle published on the SEEC's website at: http://www.ct.gov/seec/lib/seec/november_2009_candidate_committee.pdf

Special Instructions for Nonstandard Reports

1. 45 days following election not held in November

This type of report is required to be filed by any candidate in an election not held in November by no later than the 45th day following the day of the election. The committee of a candidate that has eliminated all deficit and distributed all surplus at any time following the election up to this deadline may file a **termination report** (see below) in lieu of this report. The statement is required to cover a period beginning with the first day not included in the last filed disclosure statement and shall be complete as of 7 days immediately preceding the required filing day.

It must be filed with the State Elections Enforcement Commission or the Town Clerk by (a) submitting a hard copy at the SEEC offices or Town Clerk (depending on who is the filing repository) offices by 4:30 p.m., (b) where filings are filed with the State Elections Enforcement Commission **ONLY**, by filing on the SEEC's e-CRIS electronic filing system by midnight of the required filing day or (c) by mailing it so that it bears a postmark before midnight of the required filing day. If the due date falls on a Saturday, Sunday, or legal holiday, it is due on the next business day.



COMPLETING THE FORM *(continued)*

2. 45 days following referendum

This type of report is required to be filed by any committee formed for the referendum by no later than the 45th day following the day of the referendum. The committee that has eliminated all deficit and distributed all surplus at any time following the referendum up to this deadline may file a **termination report** (see below) in lieu of this report. The statement is required to cover a period beginning with the first day not included in the last filed disclosure statement and shall be complete as of 7 days immediately preceding the required filing day.

It must be filed with the Town Clerk by (a) submitting a hard copy at the Town Clerk offices by 4:30 p.m., (b) by mailing it so that it bears a postmark before midnight of the required filing day. If the due date falls on a Saturday, Sunday, or legal holiday, it is due on the next business day.

3. Supplemental Statements

After any campaign treasurer files an Initial Itemized Statement which discloses that the other candidate has received contributions, loans, or other funds which result in the committee's aggregate receipts exceeding 90% of the participating candidate's applicable expenditure limit for that race OR the other candidate makes or obligates to make an expenditure which results in the committee's aggregate expenditures exceeding 90% of the participating candidate's applicable expenditure limit, *all treasurers of all candidates in that race, regardless of the committee's own level of receipts or expenditures*, must file either bi-weekly or weekly Thursday Supplemental Statements with the Commission. In section 8 of the SEEC Form 21 the campaign treasurer should check the box for "Supplemental Statement" and check the corresponding box for "Election" or "Primary," whichever is applicable.

Each weekly or bi-weekly supplemental statement must include all financial activity of the candidate committee beginning the first day not included in the last filed disclosure statement and ending as of midnight on the Wednesday preceding the Thursday deadline.

When the Commission receives an initial supplemental statement triggering weekly or bi-weekly supplemental reports, the Commission will provide notice to all candidates participating in that race. Races in which supplemental reporting is required will be posted on the Commission's website. *For the applicable trigger amounts, please refer to the Appendix of the SEEC's Guide entitled "A Guide For 2008 General Assembly Candidates Participating in the Citizens' Election Program" published on the SEEC's website at http://www.ct.gov/seec/lib/seec/participating_cep_guide.pdf.*

The weekly or bi-weekly Thursday supplemental statements must be *filed with and received by* the Commission no later than 4:30 p.m. on each Thursday such statement is required. The Supplemental Statement must be filed with the State Elections Enforcement Commission by (a) submitting a hard copy at the SEEC offices by 4:30 p.m., (b) by filing on the SEEC's e-CRIS electronic filing system by 4:30 p.m. on the required filing day or (c) by facsimile transmission at fax number 860.256.2984 or by email at SEEC.eCris.Info@ct.gov by 4:30 p.m. on the required filing deadline day. Only such dedicated fax or email addresses may be used if fax or email is the method of filing, provided that an original signed statement must be mailed to the SEEC immediately following the fax or email transmission on the first business day that the Post Office is open. Because time is of the essence, the e-CRIS midnight rule does not apply; nor does the rule that a postal endorsement of before midnight of the required filing day apply. The next business day rule also does not apply if the filing deadline falls on a legal holiday.

***Please Note:** When a candidate committee is filing weekly or bi-weekly reports, the requirement for filing standard reports (i.e. July 10 or October 10 quarterly reports) is fully satisfied if the one or more supplemental statement(s) filed with the SEEC fully covers the standard reporting period and an additional SEEC 30 for the July 10 or October 10 filing periods are not required.



COMPLETING THE FORM (continued)

4. Termination Report

A **Termination Report** for a Candidate Committee or a Committee formed for a Referendum may be made at any time prior to a primary, election or referendum. The committee of any candidate on the ballot at the November election and whose committee had a surplus must distribute the surplus by January 31 of the year following an election and file no later than 7 days after the distribution. If the election or referendum is not held in November, and the committee had a surplus, it must distribute the surplus by no later than 90 days after a primary, election, or referendum.

A **Termination Report** by a candidate committee must be filed with the State Elections Enforcement Commission or the Town Clerk (depending on who is the filing repository) by (a) submitting a hard copy at the SEEC offices or Town Clerk offices by 4:30 p.m., (b) where filings are filed with the State Elections Enforcement Commission **ONLY**, by filing on the SEEC's e-CRIS electronic filing system by midnight of the required filing day or (c) by mailing it so that it bears a postmark before midnight of the required filing day. If the due date falls on a Saturday, Sunday, or legal holiday, it is due on the next business day.

9. Period Covered: Enter the beginning and ending dates which this statement covers.
10. Certification: This form must be signed by the appointed and properly registered treasurer or deputy treasurer. In addition, print the name of the treasurer or deputy treasurer and the date.