

# CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION



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## INSTRUCTIONS FOR SEEC FORM 5 EXPLORATORY COMMITTEE NOTICE OF INTENT TO DISSOLVE

Rev. 3/07

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### **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](http://www.ct.gov/seec)



## GENERAL TERMS

### WHAT IS AN EXPLORATORY COMMITTEE?

An exploratory committee is a committee formed by a candidate who has not yet determined what particular public office to seek, yet desires to raise and spend funds to “test the waters.” An exploratory committee may only be established for an office or offices to be elected at the same election. The sole purpose of such a committee is to decide whether to seek office in a particular election.

[Sections 9-601a(5), 9-604f(c) and 9-608j(f), General Statutes]

### WHERE TO FILE THIS FORM?

Filing of this dissolution notice must be made with the same filing repository that the original registration of exploratory committee was filed. (e.g. State Elections Enforcement Commission or the Town Clerk of the municipality for municipal offices)

### ADDITIONAL INFORMATIONAL RESOURCES

The rules for handling an exploratory committee’s continuing liabilities, deficits, the distribution of surplus when the candidate declares that he/she is no longer seeking elective office in connection with the election for which the exploratory committee was formed are set forth in “A Guide for Candidates for State Office, General Assembly and Judge of Probate” or “A Guide for Municipal Candidates”, depending upon the type of office the candidate who formed the exploratory committee was seeking. There are also special requirements for handling surplus funds and liabilities when the candidate declares that he/she will seek a particular public office. See **ADDITIONAL REQUIRMENTS**. These publications are available at the Commission’s offices or on its webpage located at [www.ct.gov/seec](http://www.ct.gov/seec) after clicking on the “Publications” link. [Sections 9-604f(c) & 9-608j(f) General Statutes]

### QUESTIONS?

If you have any questions concerning filing dates, need additional forms, or if you need guidance in the proper campaign finance reporting or have questions pertaining to the interpretation of the campaign finance laws, please call the State Elections Enforcement Commission in Hartford at 860-256-2940 or toll free within Connecticut at 866-733-2463 (outside of the Hartford area).



### ADDITIONAL REQUIREMENTS

An exploratory committee normally must be terminated within 15 days of the date when the candidate declares that he/she **will seek** nomination or election to a particular office **or will not** seek election to any office. In either instance, the campaign treasurer must file a notice of intent to dissolve the committee with the proper filing repository within 15 days of the candidate's declaration, except that the treasurer of an exploratory committee formed to consider statewide or general assembly offices must file notice of intent to dissolve not later than 15 days of **the earlier of** (1) the date of the candidate's foregoing declaration; (2) the date that the candidate receives a party's endorsement; or (3) the date that the candidate files primary petitions for nomination by a major party. The notice of dissolution must be accompanied with the exploratory committee's financial disclosure statement, which must identify all contributions received or expenditures made since the exploratory committee's last filed financial disclosure statement together with the balance on hand or deficit, as the case may be. The candidate who has decided to seek the election for a particular office must form a single candidate committee within this same 15 day time period, except that in the case of a candidate that established an exploratory committee for the nomination or election to a statewide or general assembly office, the candidate has an additional fifteen (15) days to form a candidate committee from the triggering event requiring dissolution of the exploratory committee. In these instances, the treasurer of such an exploratory committee also has an additional fifteen (15) days to file a financial disclosure statement identifying all contributions received or expenditures made since the exploratory committee's last filed financial disclosure statement, together with the balance on hand or deficit, as the case may be. If the exploratory committee has a surplus and the candidate is continuing on in the same election by forming a candidate committee, this financial disclosure statement is the exploratory committee's terminating financial disclosure statement.

All surplus funds, equipment or durable goods owned or leased by the exploratory committee, as well as its liabilities, must be reported on the exploratory committee's terminating financial disclosure statement and transferred to the candidate's newly formed candidate committee and this terminating financial disclosure statement must be filed within the foregoing time periods together with this SEEC FORM 5, "Notice of Intent to Dissolve." The transfer of the exploratory committee's funds must be disclosed as an expenditure in Section N, "Expenditures", on the exploratory committee's terminating financial disclosure statement and later reported in Section C, "Contributions and Reimbursements from Other Committees," on the recipient candidate committee's very first financial disclosure statement. In addition, the distribution of durable goods from the terminating Exploratory Committee must be reported in Section M as "In-Kind Contributions" on the candidate committee's very first financial disclosure statement. In the event that the exploratory committee has a deficit, the outstanding liabilities must also be carried forward and included on the candidate committee's initial financial disclosure statement in Section O, "Expenses Incurred but Not Paid." Special rules apply to a candidate for statewide office or the general assembly who has a surplus and intends to participate in the Citizens' Election Program, established in accordance with Section 9-700 et seq. of the General Statutes to provide publicly funded campaign grants to qualified candidates for such offices.



### ELECTION INFORMATION

1. **Election Date:** In *mm/dd/yyyy* format, provide the election date for which the candidate's exploratory committee was formed.

### CANDIDATE INFORMATION

2. **Candidate Name:** Provide the full name of the candidate; prefix, first name, middle initial, last name and suffix, if any.
3. **Candidate Residence Address:** Provide the full and complete residence address of the candidate; which must contain street number, street name, town, state and zip code. P.O. Boxes are **not** acceptable as a residential address.
4. **Candidate Mailing Address:** Provide candidate's mailing address, if different from residence address. P.O. boxes **are** acceptable as an alternate mailing address.
5. **Candidate Telephone:** Provide the candidate's phone number, including area code.
6. **Candidate E-Mail Address:** Provide candidate's e-mail address, if any.
7. **Party Affiliation:** Check appropriate box to indicate the candidate's political party affiliation. If the candidate checks the *other* box on the line provided, the candidate must state the name of the other party affiliation, which may be either a minor party or a party designation indicated on a nominating petition circulated by or on behalf of the candidate, or "none". The term "none" signifies that the candidate has not affiliated with a party or party designation on a nominating petition.

### EXPLORATORY COMMITTEE INFORMATION

8. **Name of Committee:** Provide the full name of the exploratory committee as it appears on SEEC Form-4, Exploratory Committee Registration.
9. **Committee Address:** Provide the full and complete address, if any, of the committee; street number, street name, town, state and zip code. P.O. Boxes **are** acceptable as a committee address.
10. **Committee E-Mail Address:** Provide the committee's e-mail address, if any.
11. **Committee Web Site Address:** Provide the committee's web site address, if any.

### CANDIDATE'S DECLARATION

12. **Candidate's Declaration:** Indicate the purpose of dissolution by checking the appropriate box.

**12a.** Check box 12a, if the candidate will seek the nomination or election to a particular office. The candidate, as part of this declaration, must disclose the Office sought, District number (if applicable) and the name of the candidate committee formed by the candidate that will receive the exploratory committee's distribution of surplus, if any, as well as the transfer of its liabilities, if any;

*or*

**12b.** Check box 12b, if the candidate declares that he/she will no longer seek election to any public office during the election cycle for which his/her exploratory committee was formed. [Section 9-608j(f) General Statutes]

**The declaration must be signed and dated by the candidate.**

### TREASURER'S CERTIFICATION

13. **Treasurer's Certification:** The treasurer's certification, which must be signed and dated by the dissolving exploratory committee's campaign treasurer under penalty of false statement, must be submitted to the filing repository accompanied by a financial disclosure statement identifying all of the exploratory committee's receipts and expenditures since its last previously filed statement.