



CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

INSTRUCTIONS FOR SEEC FORM 23 SELF-FUNDED CANDIDATE'S EXPENDITURE STATEMENT

Revised March 2012

**For use by
Candidates for Statewide Office, General Assembly,
Judge of Probate and Municipal Office**

SEEC FORM 23 is used only by a candidate who finances his or her own campaign for nomination or election to office **EXCLUSIVELY from his/her own PERSONAL FUNDS**, and does not accept or receive contributions from any other source.

SEEC MAILING ADDRESS:

STATE 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
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.**
- SEEC staff is available to answer legal compliance questions and advise on how to complete this form (860-256-2940).
- If additional pages are needed to complete all information required in each section of the form, please reproduce the "Additional Page" for the appropriate section (found in back of the SEEC Form 23), and attach the page(s) to the section.
- Candidates who have formed a candidate committee (SEEC Form 1 and 1A): Use SEEC Form 30.

WHO MUST FILE THIS FORM

This form is to be filed by candidates who have completed SEEC Form 1B "Certification of Exemption from Forming a Candidate Committee," and checked off box 11b indicating that the candidate will be self-funded **and** the candidate has exceeded \$1,000 in expenditures in the aggregate. Itemization of all expenditures made by the candidate are required and the filing of such statements are due on the same dates required of candidate committees.

WHERE TO FILE THIS FORM

File with the State Elections Enforcement Commission ONLY:

Candidates for Governor, Lieutenant Governor, Secretary of the State, State Treasurer, Comptroller, Attorney General, Judge of Probate, State Senator and State Representative shall be filed with the State Elections Enforcement Commission's Campaign Finance Disclosure Unit.

File with the Town Clerk ONLY:

Candidates for a municipal office (Mayor, Councilman, Registrar of Voters, etc.) or for nomination in a primary for the position of a Town Committee member shall be filed only with the town clerk of the municipality in which the election or primary is to be held.

WHEN TO FILE THIS FORM

After a self-funded candidate has exceeded \$1,000 in expenditures in the aggregate, the candidate is required to file itemized disclosure statements which are due on the same date required of candidate committees. Statements for municipal candidates must be filed with the Town Clerk by 4:30 p.m. or postmarked before midnight of the required filing day.

Statements for candidates for statewide offices, or State Representative, State Senator or Judge of Probate must be filed with the State Elections Enforcement Commission. Statements are considered timely filed if they are filed electronically via eCRIS before midnight on or before the filing deadline date or if they are received by the Commission's offices by 5:00 p.m. on or before the filing deadline date if delivered by the United States Postal Service, courier service, parcel service or hand delivery. **Please Note:** Effective January 1, 2012, filings sent by mail are no longer considered timely if postmarked by the filing deadline date – they must actually be **received by the Commission's offices** by 5:00 p.m. on the filing deadline date in order to be deemed timely. Committees seeking confirmation of receipt should check their committee's filing status on eCRIS. If the due date falls on a Saturday, Sunday, or legal holiday, it is due on the next business day.

LATE FILING PENALTY

A late filing penalty of \$100 is charged for statements filed late **for any reason**. 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 General Statutes § 9-623(b)(4).*

Additionally, if candidates for Governor, Lieutenant Governor, Secretary of the State, State Treasurer, Comptroller, Attorney General, State Senator and State Representative in a race that includes a candidate participating in the Citizens' Election Program fail to file a timely Weekly Supplemental Statement a civil penalty of up to \$1,000 may be imposed against the treasurer for the first failure and a penalty of up to \$5,000 may be imposed for each subsequent failure. *See General Statutes § 9-712(c).*

RECORD KEEPING

The treasurer must keep internal records to substantiate each entry on the statement. Records must be maintained for four years from the date of the statement. *See* General Statutes § 9-607(f) for record keeping requirements.

COMPLETING THE COVER PAGE

1. **Candidate Name:** Provide the full name of the candidate.
2. **Candidate Address:** Provide the full and complete residential address of the candidate.
3. **Election Date:** Provide the date of the election for which the candidate is seeking office.
4. **Office Sought:** List the name of the public office sought by the candidate (e.g. Governor).
5. **District Number:** Provide the district number, if applicable, for the office being sought by the candidate.
6. **Type of Report:** Check the appropriate box to indicate what type of report is being filed. Filing Deadlines for standard reports can be found on the Commission's website www.ct.gov/seec

Additional information on non-standard reports is described below:

- ***Weekly Supplemental Statements***

Public Act 11-48 created a new weekly filing requirement for races in which there is at least one participating candidate. These weekly filings replace the 90% supplemental statements required in 2008 and 2010 for such races.

Under the new law, for races where there is at least one participating candidate, there are now weekly supplemental statements due on Thursdays leading up to the primary (if applicable) and due on Thursdays leading up to the general election as is described in more detail below.

Primary

If you are in a primary race with at least one participating candidate, the candidate's first Weekly Supplemental Statement is due the **Thursday immediately following the July 10th statement**. An additional Weekly Supplemental Statement will be due each subsequent Thursday until the date of the primary. This means the final Weekly Supplemental Statement will be due the Thursday prior to the primary. A candidate responsible for filing these weekly supplemental statements is **not** required to file the 7th Day Preceding Primary statement.

General Election

If you are in a general election race with at least one participating candidate, the candidate's first Weekly Supplemental Statement is due the **Thursday immediately following the October 10th statement**. An additional Weekly Supplemental Statement will be due each subsequent Thursday until the date of the election. This means the final Weekly Supplemental Statement will be due the Thursday prior to the election. A candidate responsible for filing these weekly supplemental statements is **not** required to file the 7th Day Preceding Election statement.

In Section 6 of the SEEC Form 23 Cover Page, the candidate should check the box for "Supplemental Statement" and check the corresponding box for "Election" or "Primary," whichever is applicable.

The period covered in each Weekly Supplemental Statement must include the financial activity of the candidate beginning the first day not covered in the last disclosure statement, and ending as of 11:59 pm two days before it is submitted to the SEEC.

The Weekly Supplemental Statements must be filed with the State Elections Enforcement Commission by hand delivery or delivered by the United States Postal Services, a courier services or a parcel service by 5:00 p.m. on the required filing day or must be filed using eCRIS, the Commission's electronic filing system, by 11:59 p.m. on the required filing day.

EXAMPLE: The candidate's first Weekly Supplemental Statement for the primary is due on July 12th. The reporting period will include activity from July 1st (the first day not covered by the July 10th standard filing) to 11:59 pm on July 10th (two days prior to the filing deadline for the first Weekly Supplemental Statement).

COMPLETING THE COVER PAGE *continued*

- ***Amendment***

This report refers to an edit of all or part of a previous statement for the period noted in Section 6 of the SEEC Form 23 Cover Page. When filing Amendments, please include the Cover Page, and any pages that have been amended.

7. **Period Covered:** Enter the beginning and ending dates which this statement covers. The Beginning Date must cover the financial activity of the candidate beginning the first day *not included* on the last filed Expenditure Statement. If this is the first Self-Funded Candidate's Expenditure Statement being filed, all expenditures must be reported from the time an initial expenditure was made by the candidate.

For an original filing, these dates may not overlap dates covered in a previously filed report. For an amendment, these dates should be the same as the dates specified in the original filed report being amended. *Filing Deadlines for standard reports can be found on the Commission's website www.ct.gov/seec*

8. **Certification:** This form must be signed by the candidate. This certification statement must be complete and accurate. Penalties can be imposed for missing or inaccurate information.

COMPLETING THE SUMMARY

COLUMN A this Period is the total for each section for the period covered as designated on Line 7.

COLUMN B Aggregate refers to the **total** amount expended by the candidate since his or her initial expenditure.

Line 9 — 11: Enter the total of each section as per the directions on the bottom of each corresponding page of the statement.

INSTRUCTIONS

Please Note: At the top of every page that follows, report the **Name of Candidate** and the **Type of Report** in the appropriate boxes.

Name of Candidate: Provide the complete name of the candidate making the expenditure(s).

Type of Report: Enter what type of report is being filed as indicated on the Cover Page (page 1) Line 6, such as “July 10.”

SECTION A. EXPENSES PAID BY CANDIDATE

Name of Payee, Street Address, City, State, and Zip Code: Enter the name and address of the vendor the candidate paid directly.

Amount: Record the amount of the expenditure.

Date of Payment: Record the date that the expenditure was paid by the candidate.

Purpose of Expenditure: Note the purpose of the expenditure using the *Expenditure Code Addendum* attached (pages 7—8).

Description: Provide a brief description of the expenditure. Certain expenditure codes **require** a description as set forth in the *Expenditure Code Addendum* attached (pages 7—8).

Name of Candidate, Office Sought: If this is an expenditure coordinated with another candidate committee, enter the first candidate’s name and office sought with whom the expenditure was made.

If the expenditure is made in cooperation or consultation with another candidate, the expenditure is considered “coordinated.” An unreimbursed “**coordinated expenditure**” is an In-Kind Contribution to the recipient candidate or committee. Self-funded candidates are prohibited from making or receiving in-kind contributions from other candidates or committees. Reimbursement from another candidate or committee must be received within a reasonable time in order to avoid making a prohibited In-Kind Contribution. *The Commission has said 45 days is reasonable.*

Is this expenditure coordinated with more than one candidate?: If applicable, check the appropriate **Yes** or **No** box. If **Yes**, complete the Section A Addendum to indicate the name and office sought for each additional candidate with whom the expenditure was made.

SUBTOTAL Section A – This Page: Add together each expense paid by the candidate reported on page 2 in Section A and record the total.

TOTAL of additional Section A Pages: Total and record the amount of all additional Section A pages (*if applicable*).

TOTAL OF ALL EXPENSES PAID BY CANDIDATE: Add together all of the amounts reported in all Section A pages of this filing. Record the amount on this line and on **Line 9** of the Cover Page (page 1).

SECTION B. EXPENSES INCURRED BY CANDIDATE THIS PERIOD BUT NOT PAID

In Section B, separately report each expenditure incurred but not paid as of the close of the reporting period covered by this statement. When uncertain of the exact amount of the expenditure, the candidate should make a good faith estimate of the amount incurred.

Name of Creditor, Street Address, City, State, and Zip Code: Enter the creditor's name and address.

Amount Incurred: Record the amount of the expenditure incurred (*estimate or actual*).

Date Incurred: Record the date that the expenditure was incurred by the candidate.

Purpose of Expenditure: Note the purpose of the expenditure using the *Expenditure Code Addendum* attached (pages 7—8).

Description: Provide a brief description of the expenditure. Certain expenditure codes **require** a description as set forth in the *Expenditure Code Addendum* attached (pages 7—8).

Associated with Referendum?: Indicate if the independent expenditure is being made in association with a Referendum by checking **Yes** or **No**.

Name of Candidate, Office Sought: If this is an expenditure coordinated with another candidate committee, enter the first candidate's name and office sought with whom the expenditure was made.

If the expenditure is made in cooperation or consultation with another candidate, the expenditure is considered "coordinated." An unreimbursed "**coordinated expenditure**" is an In-Kind Contribution to the recipient candidate or committee. Self-funded candidates are prohibited from making or receiving in-kind contributions from other candidates or committees. Reimbursement from another candidate or committee must be received within a reasonable time in order to avoid making a prohibited In-Kind Contribution. *The Commission has said 45 days is reasonable.*

Is this expenditure coordinated with more than one candidate?: If applicable, check the appropriate **Yes** or **No** box. If **Yes**, complete the Section B Addendum to indicate the name and office sought for each additional candidate with whom the expenditure was made.

SUBTOTAL Section B – This Page: Add together each expense incurred but not paid by the candidate reported on page 3 in Section B and record the total.

TOTAL of additional Section B Pages: Total and record the amount of all additional Section B pages (*if applicable*).

TOTAL OF ALL EXPENSES INCURRED BY CANDIDATE DURING THIS PERIOD BUT NOT PAID: Add together all of the amounts reported in all Section B pages of this filing. Record the amount on this line and on **Line 10** of the Cover Page (page 1).

Previously Reported Expenses Unpaid and Still Outstanding: Record the amount of previously reported expenses that remain unpaid at the close of this reporting period.

TOTAL OF ALL EXPENSES INCURRED BUT NOT PAID: Add the total of expenses incurred by the candidate but not paid during this period (Section B of current filing) to the previously reported unpaid expenses that remain unpaid. Record the total on this line and on **Line 11** of the Cover Page (page 1).

SECTION C. ITEMIZATION OF REIMBURSEMENTS TO CANDIDATE WORKERS AND CONSULTANTS

In Section C, separately report each occasion a candidate reimburses a worker for campaign related expenses. This section should also be used if the candidate pays for a political consultant, and the consultant pays other vendors (secondary payees) for campaign related expenses. Whether a candidate writes a single check to reimburse an individual for combined expenses, or multiple checks to reimburse the individual for each expense, the candidate must report each expense made by the committee worker or consultant separately.

Report the candidate's check used to actually reimburse the committee worker or consultant in Section A "Expenses Paid by Candidate."

Name of Worker/Consultant: Enter the name of the worker or consultant being reimbursed.

Secondary Payee, Street Address, City, State, and Zip Code: Enter the name and address of the vendor that was paid by the committee worker or consultant.

Amount: Record the amount of the expenditure.

Date of Payment: Record the date that the committee worker or consultant paid the vendor.

Purpose of Expenditure: Note the purpose of the expenditure made by the committee worker or consultant by using the Expenditure Code Addendum attached (*pages 7–8*).

Description: Provide a brief description of the item purchased from the vendor by the committee worker or consultant. Certain expenditure codes **require** a description as set forth in the Expenditure Code Addendum attached (*pages 7–8*).

Name of Candidate, Office Sought: If this is an expenditure coordinated with another candidate committee, enter the first candidate's name and office sought with whom the expenditure was made.

If the expenditure is made in cooperation or consultation with another candidate, the expenditure is considered "coordinated." An unreimbursed "**coordinated expenditure**" is an In-Kind Contribution to the recipient candidate or committee. Self-funded candidates are prohibited from making or receiving in-kind contributions from other candidates or committees. Reimbursement from another candidate or committee must be received within a reasonable time in order to avoid making a prohibited In-Kind Contribution. *The Commission has said 45 days is reasonable.*

Is this expenditure coordinated with more than one candidate?: If applicable, check the appropriate *Yes* or *No* box. If *Yes*, complete the Section C Addendum to indicate the name and office sought for each additional candidate with whom the expenditure was made.

SUBTOTAL Section C – This Page: Add together each reimbursement paid by the candidate reported on page 4 in Section C and record the total.

TOTAL of additional Section C Pages: Total and record the amount of all additional Section C pages (*if applicable*).

TOTAL OF ALL REIMBURSEMENTS TO CANDIDATE WORKERS AND CONSULTANTS: Add together all of the amounts reported in all Section C pages of this filing. Record the amount on this line.

EXPENDITURE CODE ADDENDUM

For use with Sections A, B and C of the SEEC Form 23

Asterisk * adjacent to the left of the Expenditure Code indicates that **Description Field** is **Mandatory**

Warning: *The existence of a particular expenditure code does not mean that such expenditure is lawful. To determine lawfulness, individuals must read these instructions and Chapters 155 and 157 of the Campaign Finance Laws or contact the State Elections Enforcement Commission at 860-256-2940.*

Advertising: Each expenditure code beginning with "A-" is to be used to identify the delivery method for paid advertising. Include the costs for *both* the **development** and the **delivery** of the message. A payment to a professional consultant to develop a message should be coded to the main advertising delivery method below, *not* as **Professional Consultant (CNSLT)**, which is a code that should only be used when no other expenditure code applies. If a single advertising message is developed for several of the delivery mechanisms listed below, use **A-OTH** for the cost of developing the message and then use the applicable code for the payments associated with the several delivery methods used.

A-DM: expenditure to **advertise** through **direct mail**.

A-MAG: expenditure to **advertise** through a **magazine**.

A-NEWS: expenditure to **advertise** through a **newspaper**.

A-ATM: expenditure to advertise using an **automated telephone/fax message**, or an **automated telemarketing message**.

A-PH-BNK: expenditure for the use of **phone banks**, where people are speaking as distinguished from pre-recorded messages (*above*) and polls and surveys (*below*).

A-RAD: expenditure to **advertise** on **radio**.

A-SIGN: expenditure for the cost of preparing, printing, producing or distributing lawn or billboard **signs** visible from any street or highway.

A-TV: expenditure to **advertise** on **television**.

A-WEB: expenditure to advertise on the **World Wide Web**. This includes webcasting (sending audio and/or video live over the Internet), or any other form of advertising on the web. *See WEB for other web-related expenditures.*

A-OTH: expenditure for any **other advertising**, not listed above, like the cost of (a) posters, stickers, streamers, banners, etc. for distribution on or in buildings or vehicles (i.e. cars, buses, boats, aircraft, etc.); (b) campaign paraphernalia, such as pins, hats, potholders, tee shirts and other campaign giveaway items; (c) audio messages and the cost of transmitting them by speakers from vehicles or buildings; (d) ads placed in ad books, in schools or civic organizations' ad book pamphlets or bulletins; or (e) ads placed in ad books for fundraising events held by other committees.

***ATT:** expenditure for **attendance fee or entrance fee** for any person to a (1) fundraiser held by *any* committee; (2) an inaugural event of any candidate; (3) a charitable event; (4) an educational course or training seminar; etc. In the text box of the **Description Field**, which is **mandatory** under this expenditure category, identify the name and address of the individual who is attending the event as well as the date and location of the event and the name of the sponsoring committee or entity sponsoring the event.

CNSLT: expenditures to a professional **consultant**. Professional consultants are individuals or entities that are paid by the candidate as independent contractors for their professional advice. They are not salaried employees and they are not individuals who are serving the candidate as volunteers. Examples: management firms, public relations firms, lawyers and accountants, etc. However, for payments to professional consultants who design polls and surveys, or advertising messages, use the more specific code (ex. **A-DM**, **A-OTHR**, **POLLS**). If the payment to a professional consultant includes costs paid or incurred to some other vendor, following completion of the entry of this expenditure, go immediately to Section C, "Itemization of Reimbursements to Candidate Workers and Consultants," and follow the instructions for reporting of **Secondary Payees**.

***EFV:** expenditures for **equipment, furniture, and vehicles**. Record only the portion of the cost that is actually paid. Cost includes any costs associated with the delivery or installation of the item. Equipment includes computers, printers, phones, etc. The text box of the **Description Field**, which is **mandatory** in this situation, must list the item, and whether the expenditure is a purchase, rental or lease.

FOOD: expenditures paid directly to a vendor for food and beverage.

EXPENDITURE CODE ADDENDUM

For use with Sections A, B and C of the SEEC Form 23

Asterisk * adjacent to the left of the Expenditure Code indicates that **Description Field** is **Mandatory**

OFFICE: expenditures for **office supplies** such as paper, pens, printer cartridges, etc.

OVHD: expenditures of **overhead operating** costs, including the cost of renting office space, parking spaces, repairing or servicing office furniture and equipment used in connection with candidate activities, related insurance, utility payments for candidate headquarters, subscriptions and similar overhead operating expenses.

POC: expenditures to record a **payment to another committee** at fair market value for goods, services or other things of value provided by that other committee as a reimbursement of a shared expense. Examples: payment for a mail list, contact list or email distribution list prepared and produced by the other committee, or for the cost of the salaries of the other committee's salaried employees who were loaned to the committee, etc. *Please Note:* Absent payment to the other committee at fair market value for such benefits received, **within 45 days of receipt**, the candidate would be receiving an **In-Kind Contribution** from the other committee which would make the candidate ineligible to continue as a self-funded candidate and would *require* the formation of a candidate committee.

POLLS: expenditures associated with **conducting polls and surveys**. This category is to be distinguished from phone banks (**A-PH-BNK**) because the information is not just delivered to the public but opinion is carefully being sought and collected from the public in some manner to produce a poll or survey result or report. If a professional consultant is both designing *and* conducting the poll or survey, use **POLLS** as the expenditure code, not **CNSLT** (*see above*).

POST: expenditures for **postage**, such as stamps, bulk mail permits, post office boxes and envelopes, United Parcel Service, Federal Express, etc.

PRNT: expenditures associated with the costs of **printing**, photocopying or reproducing literature, stationery, invitations and the like.

RCW: expenditures to **reimburse candidate workers**. This is when the cost of payment for something needed by the candidate is advanced by the candidate worker and reimbursement is sought and obtained from the candidate who authorized the payment within 45 days of receipt of the paid for item. *Please Note:* Absent reimbursement to the worker **within 45 days of receipt** of the paid for item, the candidate would be receiving an **In-Kind Contribution** from the worker, which would make the candidate ineligible to continue as a self-funded candidate and would *require* the formation of a candidate committee. After making payment to the worker, reporting this item also requires full reporting of the **Secondary Payees** appearing on the payment slip of the worker. Go immediately to Section C, "Itemization of Reimbursements to Candidate Workers and Consultants," and follow the instructions for reporting of Secondary Payees.

TRVL: expenditures for an individual's **transportation** costs and **lodging** authorized by the candidate, such as the cost of gasoline, other transportation fare, and lodging. The cost of **attending** any event should be coded as **attendance** (*see ATT above*) and **any separate payment** for **food** outside the cost of the attendance fee should be coded as **FOOD**.

WAGE: expenditures for **wages and benefits** paid to the candidate's staff. This is to be distinguished from payments to professional consultants (**CNSLT**) who are independent contractors.

WEB: expenditures for accessing and having a presence on the **WEB**. This includes payments to develop or maintain: (a) a website and homepage; (b) an internet provider; (c) a domain name on the internet; and (d) similar costs relating to use of the internet. This is not to be used for any costs related to advertising on the web (*see A-WEB above*).

***MISC:** expenditures of **Miscellaneous** items that are not listed above. The text box of the **Description Field**, which is mandatory in this situation, must explain in narrative form, with sufficient clarity, the purpose of this expenditure.

If additional pages are needed to complete all information required in each section of the form, please reproduce the "Additional Page" for the appropriate section, and attach the page(s) to the section.

For Sections A, B and C, reproduce the "Addendum Page" for the appropriate section if a transaction is coordinated with more than one candidate.