



# CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

## SEEC FORM 3

### POLITICAL COMMITTEE (PAC) REGISTRATION

Revised September 2012

#### 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).

#### WHERE TO FILE THIS FORM

**With the State Elections Enforcement Commission ONLY** (State Elections Enforcement Commission, Campaign Finance Disclosure Unit — 3<sup>rd</sup> Floor, 20 Trinity St., Hartford, CT 06106):

- Political Committees which intend to support or oppose candidates for the office of Governor, Lieutenant Governor, Secretary of the State, State Treasurer, Comptroller, Attorney General, Judge of Probate, State Senator or State Representative
- Political Committees which intend to promote the success or defeat of a constitutional amendment to be voted upon by the electors throughout the state
- Any combination of these purposes

**With a Town Clerk ONLY:**

- Political Committees formed *solely* to promote the success or defeat of candidates for town, city or borough office in municipal elections — *The office of Registrar of Voters is treated as an elective office of a municipality*
- Political Committees formed *solely* to promote the success or defeat of local referendum questions to be voted upon by the electors of a municipality— *If any such referendum question appears on the ballot of several municipalities, but not statewide, then the committee must file with the clerk of each municipality in which the committee makes an expenditure*
- Political Committees formed for a slate of candidates for town committee primary

#### WHEN TO FILE THIS FORM

The chairperson of each political committee is required to file a SEEC Form 3 with the proper filing authority (*See Where to File this Form*) within **ten days** after the date that it is organized, which includes the dates that funds or other resources are first solicited, received or expended.

In addition, the chairperson must file an amended SEEC Form 3 with the proper filing repository within ten days of **any** changes in the information contained on the form, including a change in committee officers. The treasurer of each ongoing political committee for which the State Elections Enforcement Commission (Commission) is the filing repository must file a SEEC Form 3 with the Commission on or before November 15 of each even-numbered year. Note that biennial re-registration is required even if there are no changes, additions or deletions to the information on the existing SEEC Form 3. If there are no changes, additions or deletions to the information on the existing SEEC Form 3, the treasurer should NOT file a SEEC Form 3 and should instead file a SEEC Form 3NC to fulfill the biennial re-registration requirement.

#### LATE FILING PENALTY

If the chairperson fails to file the SEEC Form 3 within the time proscribed by law, he or she may be liable for a fine of between \$200 and \$2,000 or imprisonment for not more than one year or both.

**Ongoing Committees that file with SEEC Only:** If the treasurer of a political committee fails to file either a new SEEC Form 3 or a SEEC Form 3NC (indicating there are no changes to the existing SEEC Form 3 on file) on or before **November 15th** of each even-numbered year, the committee shall be prohibited from accepting lobbyist contributions during the legislative session and shall be prohibited from making contributions to committees covered by the sessional lobbyist provision during the legislative session. *See General Statutes § 610 (e) and (f).*

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

**eCRIS enables campaign treasurers to electronically submit required committee registration information and campaign finance statements.**

*See the Commission website [www.ct.gov/seec](http://www.ct.gov/seec) for more information.*

## SEEC FORM 3 INSTRUCTIONS

**Registration Type:** Check the type of filing that the current document refers to, either *Initial* or *Amendment/Biennial with Changes*. Check **Initial** registration statement if this is the political committee's first registration statement. Check **Amendment/Biennial with Changes** if changes are being made by the chairperson to information on a previously filed political committee registration statement.

**Ongoing committees that file with SEEC only:** Check **Amendment/Biennial with Changes** if this is the biennial re-registration filed by the treasurer on or before November 15 of each even-numbered year and there are **changes** to the most recent SEEC Form 3 on file. If there are **no changes**, additions or deletions to the information on the existing SEEC Form 3 on file with SEEC, the treasurer should **NOT** file a SEEC Form 3 and should instead file a **SEEC Form 3 NC** to fulfill the biennial re-registration requirement.

### COMMITTEE INFORMATION

1. **Name of Committee:** Provide the full name of the committee. *This will be the registered name with the Commission and used on all financial disclosure statements, advertising, etc.*
2. **Acronym:** Provide the committee's acronym, if any. *CBG for Citizens for Better Government.*
3. **Committee Address:** Provide the address of the committee. *Post Office Boxes are acceptable as a committee address.*
4. **Committee E-Mail Address & 5. Website:** Provide the e-mail address and website address, if any.

### CHAIRPERSON INFORMATION

6. **Chairperson Name:** Provide the full name of the chairperson.
7. **Chairperson Residence Address:** Provide the residential street address of the chairperson. The chairperson may enter an alternate address in lieu of a residential address *only* if they are in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*
8. **Chairperson Mailing Address:** Provide the mailing address of the chairperson if different from the residence address reported on Line 7.
9. **Chairperson Telephone:** Provide the phone number of the chairperson including area code.
10. **Chairperson E-Mail Address:** Provide the e-mail address of the chairperson. *Completion of this information is encouraged in order to disseminate important communications in the most efficient and timely manner.*

### TREASURER INFORMATION

11. **Treasurer Name:** Provide the full name of the treasurer.
12. **Treasurer Residence Address:** Provide the residential street address of the treasurer. The treasurer may enter an alternate address in lieu of a residential address *only* if they are in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*
13. **Treasurer Mailing Address:** Provide the mailing address of the treasurer if different from the residence address reported on Line 12.
14. **Treasurer Telephone:** Provide the phone number of the treasurer including area code.
15. **Treasurer E-Mail Address:** Provide the e-mail address of the treasurer. *Completion of this information is encouraged in order to disseminate important communications in the most efficient and timely manner.*

## DEPUTY TREASURER INFORMATION *(Optional)*

16. **Deputy Treasurer Name:** Provide the full name of the deputy treasurer.
17. **Deputy Treasurer Residence Address:** Provide the residential street address of the deputy treasurer. The deputy treasurer may enter an alternate address in lieu of a residential address *only* if they are in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*
18. **Deputy Treasurer Mailing Address:** Provide the mailing address of the deputy treasurer if different from the residence address reported on Line 17.
19. **Deputy Treasurer Telephone:** Provide the phone number of the deputy treasurer including area code.
20. **Deputy Treasurer E-Mail Address:** Provide the e-mail address of the deputy treasurer. *Completion of this information is encouraged in order to disseminate important communications in the most efficient and timely manner.*

## DEPOSITORY INSTITUTION INFORMATION

21. **Depository Institution Name:** Provide the complete name of the financial institution located in this state which serves as the depository of the committee's funds.
22. **Depository Institution Address:** Provide the complete address of the committee's depository institution. *Post Office Boxes are acceptable.*

## SEEC FORM 3 INSTRUCTIONS

**Please Note:** At the top of page 2 and every page that follows, report the **Registration Type** and the **Name of Committee** in the appropriate fields.

**Registration Type:** Check the type of filing that the current document refers to, either **Initial** or **Amendment/Biennial with Changes**. Check **Initial** registration statement if this is the political committee's first registration statement. Check **Amendment/Biennial with Changes** if changes are being made by the chairperson to information on a previously filed political committee registration statement.

**Ongoing committees that file with SEEC only:** Check **Amendment/Biennial with Changes** if this is the biennial re-registration filed by the treasurer on or before November 15 of each even-numbered year and there are **changes** to the most recent SEEC Form 3 on file. If there are **no changes**, additions or deletions to the information on the existing SEEC Form 3 on file with SEEC, the treasurer should **NOT** file a SEEC Form 3 and should instead file a **SEEC Form 3 NC** to fulfill the biennial re-registration requirement.

**Name of Committee:** Provide the committee's name as registered with the Commission for reference purposes.

## OTHER OFFICER(S) INFORMATION

23. **Officer Name:** Provide the full name of any individual serving as an other officer.

**Title or Position:** Provide the name of the title or position, if any.

**Officer Residence Address:** Provide the residential street address of the "other officer." The "other officer" may enter an alternate address in lieu of a residential address *only* if they are in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*

23A.— 23G. If the committee designated additional officers or members of the control group; please disclose all other officers' or members' information on lines 23A—23G. *If there is insufficient space on the form for identifying all of the committee's "Other Officers," use page 5 of this form "Additional Section 23."*

### COMMITTEE SUBTYPE

24. **Committee Subtype:** Select committee subtype under *either* box A *or* B, then select the appropriate sub box, if required. *See definitions at the back of this form for further information.*
25. **Purpose of Committee:** Select the purpose of the committee, *either* Ongoing *or* Durational. *See definitions at the back of this form for further information.*

### REFERENDUM / CONSTITUTIONAL AMENDMENT

26. **Referendum Question or Constitutional Amendment Only:** For committees that checked the applicable sub box in item 25B (Single Referendum or Constitutional Amendment), briefly summarize the referendum question that will be before the voters. *Example: To Appropriate Funds and Issue Bonds for Renovations of Town Hall.*
27. Indicate whether the committee supports or opposes the question or amendment.

### DURATIONAL COMMITTEE

28. **Durational Committee Formed for Single or Multiple Candidates Only:** For committees that checked the applicable sub box in item 25B (Single Candidate or Slate of Candidates), indicate whether the committee is formed with the primary purpose to *either* support *or* oppose the names of the indicated candidate(s), together with office(s) sought by such candidate(s) and the candidate(s)' party designation(s). *If there is insufficient space on the form for identifying all of the candidates either supported or opposed, use page 6 of this form Additional Section 27.*

### ADDITIONAL PAC INFORMATION

29. **Committees Established by a Business Entity, Labor Union or Other Membership Association Only:** Provide the name and address of the connected entity that is responsible for establishing the committee.
30. **How will Funds be Received:** If the committee is formed by a labor union or other membership association, indicate the method by which the committee's internal funds will be received.
31. **Is Committee a Component Member of a Statewide Entity?:** Check either the *no* or *yes* sub box to identify whether the entity establishing the PAC, whether it is a business entity, labor union or other organization, is also associated with a regional or statewide entity. *If yes*, then enter the name and address of the affiliated regional or statewide entity. This is particularly applicable to the local of a labor union, but it may also be applicable to a trade or professional association that is affiliated with a regional or statewide association.

### LOBBYIST STATUS

32. **Is Committee Established or Controlled by a Registered Lobbyist?:** Check either the *no* or *yes* box to identify whether the entity establishing the PAC, whether it is a business entity, labor union or other organization, is also associated with a regional or statewide entity. *If yes*, enter the name and address of the affiliated regional or statewide entity. This is particularly applicable to the local of a labor union, but it may also be applicable to a trade or professional association that is affiliated with a regional or statewide association. *If there is insufficient space on the form for identifying all of the names of the registered lobbyists, use page 7 of this form Additional Section 31.*

### GENERAL ASSEMBLY

33. **Is Committee Established by an Elected Statewide Official, General Assembly Member or Agent thereof?:** Check either the *no* or *yes* box. *If yes*, enter the name or names of the individuals who are elected statewide officials or members of the General Assembly who *established* or *controlled* the committee or their agents. *If there is insufficient space on the form for identifying all of the officials or members who established or controlled the committee, use page 8 of this form Additional Section 32.*

**GENERAL ASSEMBLY** *continued*

34. **Is Committee Established for a Senatorial District?:** Check either *no* or *yes*. *If yes*, identify the district by number.

35. **Is Committee Established for an Assembly District?:** Check either *no* or *yes*. *If yes*, identify the district by number.

**OUT-OF-STATE FILING INFORMATION**

36. **Does Committee File Reports with the Federal Elections Commission or Any Out-of-State Elections Agency?:** Check either *no* or *yes* box. *If the yes*, identify the name of the out-of-state elections agency.

**PRE-REGISTRATION INFORMATION**

37. **Has a Contribution or Disbursement Been Made Prior to this Registration Statement?:** Check either the *no* or *yes* box. This applies to new PACs only. *If yes is checked*, the treasurer is required to file an SEEC Form 20, Itemized Campaign Finance Disclosure Statement, together with this SEEC FORM 3, which must be itemized and complete as to the first day of the committee's deposits into the committee's single checking account. *If no is checked*, the deadline date for the committee's first SEEC Form 20 filing is no later than 48 hours after the committee's first day of deposit.

**STATE CONTRACTOR**

38. **Is Committee Established by or on behalf of a State Contractor or Principal of a State Contractor?:** Check either the *no* or *yes* box. *If yes*, identify the name of the state contractor or principal, which may be either an individual or an entity. Item 38 requires disclosure of (1) the name of any individual who is a principal of a state contractor or prospective state contractor, as defined, and who is associated with this committee either as a chairperson, treasurer, or deputy treasurer, as well as the name of a business entity, labor union or other entity disclosed under Item 28 as connected to this committee *if* such entity is a also state contractor or prospective state contractor, as defined. *If there is insufficient space on the form for identifying all of the names of principals, use page 9 of this form Additional Section 38.*

**STATEWIDE AND GENERAL ASSEMBLY**

39. **Purpose of Committee as to Statewide and General Assembly Candidates:** Check either the *no* or *yes* boxes in *both A and B*. Note that committees established by a business entity, non-profit or individual that is a state contractor or prospective state contractor should not be authorized to give to candidates in the branch of government with which the contractor has contract(s).

**INVESTMENT FIRM**

40. **Is Committee Established by or on behalf of a Principal of an Investment Services Firm?:** Check either the *no* or *yes* box. *If yes*, provide the full name of the principal. *If there is insufficient space on the form for identifying all of the names of principals, use page 10 of this form Additional Section 40.*

**CERTIFICATION**

41. **Certification:** These certifications, which are made under penalties of false statement, must be signed and dated (as outlined below) by the chairperson, treasurer and/or deputy treasurer (if applicable).

If this is either an **Initial Committee Registration** or an **Amended Committee Registration**, the chairperson must sign the Chairperson Certification. If this is the **Biennial Committee Re-Registration**, the chairperson need only sign the Chairperson Certification he or she is appointing a new treasurer and/or deputy treasurer with this filing.

In addition, if this is an **Initial Committee Registration**, *both* the treasurer and deputy treasurer (if one has been appointed) must check the box for **Initial Committee Registration** and sign the applicable certification to show they have accepted their appointment by the chairperson as treasurer and deputy treasurer respectively.

If this is an **Amended Committee Registration**, and the chairperson has appointed a **new** treasurer and/or a **new** deputy treasurer, then the new treasurer and/or deputy treasurer, must check the box for **Amended Committee Registration** and sign the applicable certification to show that he or she has accepted the appointment as treasurer or deputy treasurer respectively.

**CERTIFICATION** *continued*

If this is the **Biennial Committee Re-Registration** due by November 15 in even numbered years, the treasurer or deputy treasurer who is completing the biennial re-registration filing requirement must check the box for Biennial Committee Re-Registration and sign that certification. If the chairperson is appointing a new treasurer and/or deputy treasurer using this filing, then, in addition to the chairperson signing the Chairperson Certification, that new treasurer and/or deputy treasurer must also check the box for **Biennial Committee Re-Registration** and sign that certification to show that he or she has accepted the appointment as treasurer or deputy treasurer respectively.

IMPORTANT NOTE: This SEEC Form 3 will not satisfy the biennial re-registration requirement unless the Biennial Committee Re-Registration Certification is made by the treasurer or deputy treasurer (if applicable).

**CERTIFICATION FOR LEGISLATIVE LEADERSHIP COMMITTEES ONLY**

42. **Certification:** This certification is only applicable to legislative leaders who are designating a committee as a legislative leadership committee and the certification is in addition to the certifications required under Section 40 above. The certification is also made under penalties of false statement and must be signed and dated by the legislative leader along with his/her leadership title.

**ADDITIONAL PAGES FOR SEEC FORM 3**

If additional pages are needed to complete all information required in Sections 23, 27, 31, 32, 37 and 39 of the form, please reproduce the "Additional Page" for the appropriate section, and attach the page(s) to the SEEC Form 3.