

CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION



INSTRUCTIONS FOR SEEC FORM 1, 1A , 1B

REGISTRATION BY CANDIDATE CANDIDATE COMMITTEE REGISTRATION STATEMENT CERTIFICATION OF EXEMPTION FROM FORMING A CANDIDATE COMMITTE

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 TERMS

WHO IS A CANDIDATE?

A candidate is an individual who seeks nomination or election to public office, whether or not such individual is successful. An individual is deemed to be a candidate if he or she: personally, or through another person, has solicited or received funds or other resources, or made expenditures, including expenditures from personal funds, for the purpose of bringing about such individual's nomination or election to any office; or has been endorsed or nominated by a political party and is thus entitled to a position on the ballot at an election or primary (whether or not funds or resources have been solicited, received or expended); or is otherwise qualified for placement on the ballot pursuant to the election laws (whether or not funds or resources have been solicited, received or expended).

[Sections 9-601(11), 9-400, 9-406, 9-418, and Subchapter C of Chapter 153, General Statutes]

WHAT IS A CANDIDATE COMMITTEE?

A candidate committee is a committee designated by a single candidate to promote his or her nomination or election to a particular public office or to the position of town committee member. A candidate committee may only be utilized to support one candidate.

[Section 9-601(4), General Statutes]

PURPOSE OF DESIGNATION and WHEN TO FILE?

An individual must give public notice of the manner in which the individual's campaign will be funded within 10 days after becoming a candidate by filing these forms with the proper filing repository, which is the State Elections Enforcement Commission or the Town Clerk depending upon the office or position being sought. Generally, each candidate must register a single candidate committee to fund his or her campaign. No candidate may form more than one candidate committee. However, there are certain exemptions from this requirement. See Exemption Status information on SEEC FORM 1B Instructions, p. 2.

Failure of the candidate to file a candidate committee or file a qualified exemption with the proper filing repository within 10 days of becoming a candidate will result in the imposition of a mandatory \$100 fine; which must be paid by personal funds of the candidate.

[Sections 9-604(a), (b) and 9-623, General Statutes]

The candidate's designation of a treasurer or a deputy treasurer must be co-signed by such individuals, signifying their acceptance of the appointment. A candidate *must* designate a campaign treasurer to be responsible for receiving contributions, making expenditures and filing the financial disclosure statements required by Sec. 9-608. A deputy campaign treasurer *may* also be appointed. The campaign treasurer and deputy campaign treasurer must be electors (registered voters) of this state. A candidate may not serve as his/her own campaign treasurer or deputy treasurer. A single checking account must be established with a depository institution situated in this state, and the address of such institution must be designated on this form.

WHERE TO FILE THIS FORM?

If you are a candidate for the office of Governor, Lieutenant Governor, Secretary of the State, Treasurer, Comptroller, Attorney General, Judge of Probate, State Senator or State Representative, you must file this form with the State Elections Enforcement Commission at: State Elections Enforcement Commission, Campaign Finance Disclosure Unit--3rd Floor, 20 Trinity St., Hartford, CT 06106-1628.

If you are a candidate for an elective office in a municipal election or the position of member to a town committee at a town committee primary, you must file this form with the Town Clerk in the municipality in which you are a candidate.

ADDITIONAL INFORMATIONAL RESOURCES

For complete rules and definitions relating to the financing of a candidate's campaign, you are urged to read either "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 you are seeking. These publications are available at the Commission's offices or on its webpage located at www.ct.gov/seec after clicking on the "Publications" link.

QUESTIONS?

If you have any questions concerning filing dates, need additional forms, or if you need guidance in 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).

**INSTRUCTIONS FOR SEEC FORM 1
REGISTRATION BY CANDIDATE
CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION**

Rev. 3/07



SEEC FORM 1 INSTRUCTIONS

REGISTRATION TYPE

Initial: Check this box if the candidate is filing his /her first SEEC FORM 1 for the election indicated in the first category below.

Amended: Check this box if changes are being made by the candidate to information on a previously filed SEEC FORM 1. You may amend by adding *only* the new or updated information that has changed since the candidate's previously filed SEEC FORM 1. Please note that whenever any information contained on this SEEC FORM 1 changes, *the candidate* must file an amended SEEC FORM 1 together with SEEC FORM 1A or 1B, whichever is applicable, within ten (10) days of the date of the change.

ELECTION INFORMATION

- 1. Election Date:** In *mm/dd/yyyy* format, provide the election date for which the candidate is seeking election to a public office or membership in a town committee. For an election to the position of member of a town committee, the date of the party's town committee primary is deemed the date of the election.
- 2. Office or Position Sought:** Provide the name of the elective public office or position being sought by the candidate. The term "Position" addresses the situation in which a candidate is seeking to be elected as a member to a town committee at a town committee primary. In such instances, the position sought is "town committee".
- 3. District Number:** Provide the district number, if applicable, for the public office or position being sought by the candidate (e.g. senatorial, probate, assembly, council/aldermanic district).

CANDIDATE INFORMATION

- 4. Candidate Name:** Provide the full name of the candidate for a particular public office; prefix, first name, middle initial, last name and suffix, if any.
- 5. Candidate Residence Address:** Provide the full and complete residence address of the candidate; which must contain street number, street name, town and zip code. P.O. Boxes are *not* acceptable as a residence address.
- 6. Candidate Mailing Address:** Provide candidate's mailing address, if different from residence address. P.O. Boxes *are* acceptable as an alternate mailing address.
- 7. Candidate Telephone:** Provide the candidate's phone number, including area code.
- 8. Candidate E-Mail Address:** Provide e-mail address, if any, of the candidate. Completion of this information is encouraged in order to disseminate important communications in the most efficient and timely manner.

PARTY DESIGNATION INFORMATION

- 9. 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, 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.

FUNDING SOURCE INFORMATION

- 10. Designation of Funding Source:** Provide funding designation by checking the appropriate box. Each candidate must either designate a single candidate committee to fund his or her campaign *or* claim an exemption from forming a candidate committee.
 - 10a.** Candidate checks box 10a if he/she is designating a candidate committee, the candidate must proceed to and complete SEEC FORM 1A, entitled "Candidate Committee Registration Statement."
 - 10b.** Candidate checks box 10b if he/she is declaring an exemption from forming a candidate committee, the candidate must proceed to and complete SEEC FORM 1B, entitled "Certificate of Exemption from Forming a Candidate Committee," and complete all pertinent information.



**SEEC FORM 1A INSTRUCTIONS
CANDIDATE COMMITTEE REGISTRATION STATEMENT**

REGISTRATION TYPE

Initial: Check this box if the candidate is filing his/her first SEEC FORM 1A for the election indicated on Form 1

Amended: Check this box if changes are being made by the candidate to information on a previously filed SEEC FORM 1A. You may amend by adding *only* the new or updated information that has changed since the filing of the candidate's previously filed SEEC FORM 1A. Please note that whenever any information contained on this SEEC FORM 1A changes, the candidate must file an amended SEEC FORM 1A, within ten (10) days of the date of the change.

CANDIDATE NAME

Provide the candidate's name for reference purposes in order that the filing repository can re-connect these pages with the SEEC FORM 1 should the two become separated.

COMMITTEE INFORMATION

- 11. Committee Name:** Provide the full name of the committee.
- 12. Committee Address:** Provide the full and complete address, if any, of the committee; which must contain street number, street name, town, state and zip code. P.O. boxes *are* acceptable as a committee address.
- 13. Committee E-Mail Address:** Provide the committee's e-mail address, if any.
- 14. Committee Web Site Address:** Provide the committee's web site address, if any.

TREASURER INFORMATION

The individual who is appointed by the candidate to serve as treasurer must be a Connecticut elector (registered voter). The campaign treasurer is solely responsible for receiving, depositing, and expending funds, for filing financial disclosure statements with the proper filing repository, and for keeping internal records of all transactions. This SEEC FORM 1A must be co-signed by the treasurer signifying the treasurer's acceptance of the appointment. Commissioners and deputy commissioners of state agencies are prohibited from serving as committee treasurer. Communicator lobbyists are prohibited from serving as committee treasurer for candidates for statewide office and the General Assembly.

Principals of state contractors and prospective state contractors are prohibited from serving as committee treasurer for candidates for statewide office and the General Assembly, dependent upon the branch of state government that the contractor does business with. For more information, see SEEC website and link

<http://www.c.gov/seec> "State Contractor Contribution Ban." A candidate may not serve as his/her own campaign treasurer or deputy treasurer. Only one individual may serve as treasurer at any one time. (Sections 9-606(a) & (d), 9-622(11), 9-601(26), 9-610(f), 9-612(g)(2), General Statutes.

- 15. Treasurer Name:** Provide the full name of the treasurer; prefix, first name, middle initial, last name and suffix, if any.
- 16. Treasurer Residence Address:** Provide the full and complete address of the treasurer; which must contain street number, street name, town, state and zip code. P.O. Boxes are *not* acceptable as a residence address.
- 17. Treasurer Mailing Address:** Provide treasurer's mailing address, if different from residence address. P.O. Boxes *are* acceptable as an alternate mailing address.
- 18. Treasurer Telephone:** Provide the treasurer's phone number, including area code.
- 19. Treasurer E-Mail Address:** Provide the e-mail address, if any, of the treasurer. This information is encouraged in order to disseminate important communications in the most efficient and timely manner.

DEPUTY TREASURER INFORMATION (OPTIONAL)

A deputy treasurer must have the same qualifications and be appointed in the same manner as the campaign treasurer. The purpose of appointing a deputy treasurer is to have an individual on hand who may function as the treasurer in the event that the treasurer is unable to perform the required duties of the treasurer for any reason (e.g. illness, absence). The appointment of a deputy treasurer is optional for all committees.

- 20. Deputy Treasurer: (Optional):** Provide the full name of the deputy treasurer; prefix, first name, middle initial, last name and suffix, if any.
- 21. Deputy Treasurer Residence Address:** Provide the full and complete address of the deputy treasurer; which must contain the street number, street name, town, state and zip code. P.O. Boxes are *not* acceptable as a residence address.
- 22. Deputy Treasurer Mailing Address:** Provide deputy treasurer's mailing address, if different from residence address. P.O. Boxes *are* acceptable as an alternate mailing address.
- 23. Deputy Treasurer Telephone Number:** Provide the deputy treasurer's phone number, including area code.



SEEC FORM 1A INSTRUCTIONS
CANDIDATE COMMITTEE REGISTRATION STATEMENT

24. Deputy Treasurer E-mail Address: Provide the e-mail address, if any, of the deputy treasurer. This information is encouraged in order to disseminate important communications in the most efficient and timely manner.

CANDIDATE NAME

Provide the candidate's name for reference purposes in order that the filing repository can re-connect these pages with the SEEC FORM 1 should the two become separated.

DEPOSITORY INSTITUTION INFORMATION

A depository institution may be any financial institution situated in or having an office in Connecticut, including but not limited to a bank, savings and loan association, or credit union. It is the treasurer's obligation to establish a *single checking account* for the deposit of all funds received by the committee. Further, all committee expenditures must be made from this account.

25. **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.
26. **Depository Institution Address:** Provide the complete address of the committee's depository institution. P.O. Boxes *are* acceptable.

CERTIFICATION

27. **Certification:** The certifications, which are made under penalties of false statement, must be signed and dated by the candidate, campaign treasurer and deputy treasurer, if the candidate has designated an individual to serve as deputy treasurer.

INSTRUCTIONS FOR SEEC FORM 1B
CERTIFICATION OF EXEMPTION FROM FORMING A
CANDIDATE COMMITTEE
CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION



Rev. 3/07

SEEC FORM 1B INSTRUCTIONS
CERTIFICATION OF EXEMPTION FROM FORMING A CANDIDATE COMMITTEE

Effect of Filing SEEC FORM 1B: Filing this form, entitled "Certification of Exemption from Forming a Candidate Committee," eliminates the requirement to register a candidate committee, establish a bank account and appoint a campaign treasurer, provided the candidate qualifies for this exemption by satisfying one (1) of the four (4) conditions at all times during the candidacy. **See Section 9-604(b), General Statutes.**

Responsibilities of Candidate:

- The candidate must complete, sign and file this form with the proper filing repository. See General Terms to these instructions "Where to File this Form."
- The candidate is responsible for the accuracy of the information submitted and must be able to substantiate a claim for the exemption.
- The candidate must keep records of campaign contributions and expenditures, if the reason given in box 11b or 11c for an exemption is claimed.

REGISTRATION TYPE

Initial: Check this box if the candidate is filing his /her first SEEC FORM 1B for the election date indicated on SEEC FORM 1.

Amended: Check this box if changes are being made by the candidate to information on a previously filed SEEC FORM 1B. You may amend by adding *only* the new or updated information that has changed since the candidate's previously filed SEEC FORM 1B. Please note that whenever the reason claimed for the exemption changes, the candidate must file an amended SEEC FORM 1B *within three (3) days* of the date of the change.

CANDIDATE NAME

Provide the candidate's name for reference purposes in order that the filing repository can re-connect these pages with the SEEC FORM 1 should the two become separated.

EXEMPTION STATUS INFORMATION

11. Reason for Exemption: Candidate must indicate the reason for his/her qualification for exempt status from forming a candidate committee. Candidate must check the box corresponding with one of the following four reasons:

11a. Candidate checks box 11a if his/her campaign will be solely and entirely funded by *either* a town committee or a political committee formed to support a slate of candidates for a single election or primary (slate committee). The full and complete name of the town committee or slate committee that the candidate is authorizing as his/her funding source must be disclosed on the line left for this purpose. This will apply only to candidates for municipal office or in a town committee primary.

11b. Candidate checks box 11b if he/she intends to fund the campaign entirely from personal funds. The candidate must not request or receive funds or in-kind contributions from any outside sources, (such as, but not limited to; individuals, town committees, political committees etc.) Please note: If the candidate expends more than \$1,000 from personal funds, then he/she *is required* to file financial disclosure statements as though a candidate committee was created and must do so in the manner and in accordance with the same schedule of filings as a treasurer of a candidate committee. Any such disclosures do not permit the candidate's acceptance of funds from outside sources or in-kind contributions unless the candidate creates a candidate committee and files a SEEC FORM 1A with the proper filing repository within three days of any such acceptance.

11c. Candidate checks the box 11c if he/she does not intend to receive or expend over \$1,000 in funds from all sources, including funds from sources other than the candidate's own funds.

Please note: If the candidate receives or expends over \$1,000, he/she no longer qualifies for exemption status and must immediately form a candidate committee.

11d. Candidate checks the box 11d if he/she does not intend to expend **any** funds for the campaign, including personal funds.

Note: If the qualifying condition checked for this certification changes and the candidate is eligible for another exemption, the candidate must file an amendment to the certification indicating the new reason within three (3) days of the change in circumstances. If the candidate no longer qualifies for an exemption, a candidate committee registration statement must be filed within such time.

CERTIFICATION

12. The certification, which is made under penalties of false statement, must be signed and dated by the candidate.