

# CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION



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## INSTRUCTIONS FOR SEEC FORM 3 POLITICAL COMMITTEE (PAC) REGISTRATION

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 A POLITICAL COMMITTEE?

A political committee includes committees established under Connecticut election law by the following: business entities, labor unions, other organizations, such as trade or professional associations in which only individuals (not businesses) pay membership dues, and groups of at least two individuals formed, on the basis of their political beliefs, to support or oppose candidates and/or ballot questions. Political committees formed at the state or local level may have an ongoing existence or may be formed for only a single election or primary. Similarly, political committees formed for referendum questions may have an ongoing existence or may be formed only for a single referendum question. [Section 9-601(3) of the General Statutes]

### PURPOSE OF DESIGNATION AND WHEN TO FILE?

Groups organized to receive and expend funds for political campaign purposes are required to form a political committee. The chairperson of each political committee is required to file SEEC Form 3, entitled "Political Committee (PAC) Registration", signed by the chairperson, treasurer and deputy treasurer, with the proper filing authority within ten days after the date that it is organized, which includes the date that funds or other resources are first solicited, received or expended. [Section 9-605(a) of the General Statutes]

### WHERE TO FILE THIS FORM?

Political committees which intend to support or oppose candidates for Governor, Lieutenant Governor, State Senator, State Representative, Secretary of the State, State Treasurer, Comptroller, Attorney General, Judge of Probate, State Senator and State Representative, or to promote the success or defeat of a constitutional amendment to be voted upon by the electors throughout the state or for any combination of these purposes should file this form with the State Elections Enforcement Commission, Campaign Finance Disclosure Unit—3<sup>rd</sup> Floor, 20 Trinity St., Hartford, CT 06106-1628. [Section 9-603(a) of the General Statutes]

Political committees formed *solely* to promote the success or defeat of candidates for town, city or borough office in municipal elections or to promote the success or defeat of one or more local referendum questions to be voted upon by the electors of a municipality should file this form with the local town clerk. The office of Registrar of Voters is treated as an elective municipal office for these purposes even though the office appears on the ballot during regular state elections. Political committees formed for a slate of candidates for town committee must file with the town clerk in which the primary is conducted. **Note:** If any such referendum question appears on the ballot of several municipalities but not state-wide, then the committee must file with the clerk of each municipality in which the committee makes an expenditure (e.g. regional school district.) [Section 9-603(b) of the General Statutes]

If the political committee is formed for the combined purpose of supporting municipal candidates, local ballot questions and candidates for statewide office, General Assembly, Judge of Probate and statewide ballot questions, then this form should be filed with the State Elections Enforcement Commission.

### ADDITIONAL INFORMATIONAL RESOURCES

For complete rules and definitions relating to political committees, you are urged to read "A Guide for Political Committees (PACs)," which is available at the State Election Enforcement Commission's offices or on its webpage located at [www.ct.gov/seec](http://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).



**SEEC FORM 3 INSTRUCTIONS**

**REGISTRATION TYPE**

**Initial:** Check this box if the committee is filing its first SEEC FORM 3.

**Amended:** Check this box if changes are being made by the committee chairperson to information on a previously filed SEEC FORM 3. You may amend by adding *only* the new or updated information that has changed since the committee's previously filed SEEC Form. Please note that whenever any information contained on this SEEC FORM 3 changes, the committee chairperson must file an amended SEEC FORM 3 within ten (10) days of the date of the change.

**COMMITTEE INFORMATION**

1. **Committee Name:** Provide the full name of the committee.
2. **Acronym:** Provide the committee's acronym, if any. The committee's acronym is an abbreviation of the committee's name or a word formed from the initial letters of the committee's name. Example: CBG for Citizens for Better Government.
3. **Committee Address:** Provide the full and complete address of the committee; which must contain street number, street name, town, state, and zip code. P.O. boxes *are* acceptable as a committee address.
4. **Committee E-Mail Address:** Provide the committee's e-mail address, if any.
5. **Committee Web Site Address:** Provide committee's web site address, if any.

7. **Chairperson Residence Address:** Provide the full and complete residence address of the chairperson; which must contain street number, street name, town and zip code. P.O. boxes are *not* acceptable as a residence address.
8. **Chairperson Mailing Address:** Provide chairperson's mailing address, if different from residence address. P.O. boxes *are* acceptable as a mailing address.
9. **Chairperson Telephone:** Provide the chairperson's phone number, including area code.
10. **Chairperson E-Mail Address:** Provide chairperson's e-mail address, if any.

**TREASURER INFORMATION**

The individual who is appointed by the chairperson to serve as treasurer must be a Connecticut elector (registered voter). The committee treasurer is solely responsible for receiving, depositing and expending funds as well as for filing financial disclosure statements with the filing repository (State Elections Enforcement Commission or Town Clerk, as the case may be) and for keeping internal records of all transactions. The SEEC FORM 3 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 or deputy treasurer. **Note:** The restrictions on who can serve as chairperson, as explained above, apply with equal effect to Treasurer, Deputy Treasurer or other officer of a PAC. Service in any such capacity for more than one PAC is prohibited by Section 9-605(e)(1) of the General Statutes. The committee treasurer is the only individual authorized to deposit funds into, or expend funds from, the committee's depository account. Only one individual may serve as treasurer at any one time of the same PAC.

[Sections 9-601(12), 9-606(a) of the General Statutes]

**CHAIRPERSON INFORMATION**

The committee's chairperson may be any individual who has signed the SEEC FORM 3 as the designated chairperson and is responsible for submitting and certifying to the truth and accuracy of all of the other designations placed on the form.

**Note:** There are restrictions concerning who may serve as a Chairperson, Treasurer, Deputy Treasurer or other officer of a PAC. Communicator lobbyists, their agents, their spouses and dependent children, Principals of State Contractors, Prospective State Contractors, are prohibited from soliciting contributions for certain candidates and committees, and therefore may not serve as chairperson (or other officer) of a PAC, which contributes to these restricted candidates and committees. [See Sections 9-610(i), 9-612(g)(2)(A), (B) and 9-601(26) of the General Statutes] In addition, no individual can control more than one PAC. Therefore, no individual may serve as Chairperson, Treasurer, Deputy Treasurer, or other officer of more than one PAC. [See Section 9-605(e)(1) of the General Statutes]

6. **Chairperson Name:** Provide the full name of the chairperson; prefix, first name, middle initial, last name and suffix, if any.

11. **Treasurer Name:** Provide the full name of the treasurer; prefix, first name, middle initial, last name and suffix, if any.



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- 12. 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.
- 13. Treasurer Mailing Address:** Provide treasurer’s mailing address if different from residence address. P.O. boxes *are* acceptable as a mailing address.
- 14. Treasurer Telephone:** Provide the treasurer’s phone number, including area code.
- 15. Treasurer E-Mail Address:** Provide treasurer’s e-mail address, if any.

**DEPUTY TREASURER INFORMATION (optional)**

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

**Note:** All restrictions, as explained above, apply with equal effect to the appointment of a deputy treasurer.

- 16. Deputy Treasurer Name (Optional):** Provide the full name of the deputy treasurer; prefix, first name, middle initial, last name and suffix, if any. Designation of a deputy treasurer is optional.
- 17. Deputy Treasurer Residence Address:** Provide the full and complete residence 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.
- 18. Deputy Treasurer Mailing Address:** Provide deputy treasurer’s mailing address, if different from residence address. P.O Boxes *are* acceptable as a mailing address.
- 19. Deputy Treasurer Telephone:** Provide the deputy treasurer’s phone number, including area code.
- 20. Deputy Treasurer E-Mail Address:** Provide deputy treasurer’s e-mail address, if any.

**DEPOSITORY INFORMATION**

A depository institution may be any financial institution situated 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* within the designated financial institution for the deposit of all funds received by the committee.

Further, all committee expenditures must be made from this account.

- 21. Depository Institution Name:** Provide the complete name of the financial institution located in Connecticut which serves as the depository of the committee’s funds.
- 22. Depository Institution Address:** Provide the complete address of the committee’s depository institution. P.O. boxes *are* acceptable.

**OTHER OFFICER(S) INFORMATION**

The term “other officer” means any individual who: (1) occupies a title, office or position, other than Chairperson, Treasurer or Deputy Treasurer or (2) serves on an advisory panel of the PAC, such as a steering committee, executive committee, or similar body, for the purpose of influencing or authorizing decisions regarding fundraising, solicitation or expenditure of PAC funds to candidates or to other committees; or (3) participates in the selection of the PAC’s Chairperson, Treasurer or Deputy Treasurer, or their replacement. The term “other officer” does not apply to legislators with respect to Legislative Leadership and Legislative Caucus committees but applies to other individuals. A PAC is not required to have “other officers”, however when there exists one or more individuals whose opinions are sought concerning the PAC treasurer’s making of contributions or expenditures or the selection of its officers (chair, treasurer or deputy treasurer), it is the responsibility of the PAC’s chairperson to designate such individuals as “other officers” in this section. The individual functioning as an “other officer” may not have a formalized title, however, if the PAC has a formalized title or position for the “other officer”, it is the chairperson’s responsibility to include the title in the designation under this section; otherwise the space under “Title or Position” may be left blank. These individuals, along with the PAC’s Chairperson, Treasurer or Deputy Treasurer, constitute the “control group” of the PAC. Disclosure of these individuals is essential for compliance with the one person per PAC limitation, and the proscriptions on solicitations by certain individuals. [See Sections 9-603(g)(1), 9-610(i) and 9-612(g)(2) of the General Statutes]

- 23. Other Officer-1 Name:** Provide the full name of any individual serving as an “other officer;” prefix, first name, middle initial, last name and suffix, if any.  
**Title or Position:** Provide the name of the title or position, if any, given to other officer-1.



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**Other Officer-1 Residence Address:** Provide the full and complete address of the other officer-1; which must contain street number, street name, town, state and zip code. P.O. boxes are *not* acceptable as a residence address.

**23a-g: If the committee has designated additional officers or members of the control group; please disclose all other officers' or members' information on lines 23a through 23g.** If there is insufficient space on the form for identifying all of the committee's "Other Officers", provide the name and residence address of all such individuals on the additional section 23 attached as **SEEC FORM 3A**.

**COMMITTEE SUBTYPE INFORMATION**

**24. Select Committee Subtype:** Please select committee subtype under *either* box 24a *or* 24b based on the definitions set forth under 24a or 24b.

**24a.** Select *only one* of the following six sub boxes.

**Two or More Individuals:** If the committee has been organized by two or more individuals, and is not connected to any business entity, labor union, or other organization, then check this box.

**Two or More Committees (Fundraising Event(s)):** If a fundraising event committee has been formed by two or more candidate committees for the purpose of sponsoring one or more fund-raising events to benefit those candidates (Sec. 9-610(a)), or by two or more political committees or party committees **for a single fundraising event** to benefit those committees (Sec. 9-609(a)), then check this box. If this box is checked, box 25b must also be checked *and* the committee subtype box "Fundraising Event(s)" found in box 25b *together with* the names of the participating committees must be entered in the space provided.

**Note:** The allocation rules for the distribution of fundraising proceeds raised by a fundraising event committee are found in the applicable Commission guide for political committees or candidate committees, as the case may be, located at [www.ct.gov/seec](http://www.ct.gov/seec) after clicking on the "Publication," link.

**Business Entity:** If the committee has been established by a stock corporation, bank, insurance company, limited liability company, business association, insurance association, trade or professional association which receives any portion of its membership dues from a business entity, partnership, joint venture, private foundation, trust or estate, cooperative or other association,

in the operation of a business or profit making activity, then check this box. **Note:** A trade or professional association that receives any portion of its membership dues from a business entity is a business entity political committee and *not* an "other organization", which is a trade or professional association that receives its funds *exclusively* from membership dues *from individuals*. **A business entity may establish or control only one PAC.** [Section 9-613(a) of the General Statutes]

**Labor Union:** If the committee has been established by a labor organization as defined in the Labor Management Reporting and Disclosure Act of 1959 or Section 31-101 (9), or employee organization as defined in Sections 5-270 (d) or 7-417(6), then check this box. A labor union may establish or control only one PAC.

**Other Organization:** If the committee has been established by a trade or professional association that receives membership dues from individuals and *not* business entities, then check this box. An organization may establish or control only one PAC. **Note:** A trade or professional association that receives any portion of its membership dues from a business entity is *not* an "Other Organization" and if a committee is established by such an association it will be a business entity political committee.

**Legislative Leadership:** If the committee has been established by the Speaker of the House of Representatives, Majority Leader of the House of Representatives, President Pro Tempore of the Senate, Majority Leader of the Senate, Minority Leader of the House of Representatives or Minority Leader of the Senate, then check this box. **Note:** The minority leaders of the House and Senate may each establish two legislative leadership committees while the majority party's leaders may only establish a single legislative leadership committee. [Section 9-605(e)(3), of the General Statutes]

**24b.** Legislative Caucus committees only, check the following sub box.

**Legislative Caucus:** If the committee has been established by the majority of the members of the same political party of the General Assembly in a particular house, then check this box. **If this box is checked,** then you must also check one of the four boxes within this section indicating it is a caucus of Senate Democrats or Republicans or House Democrats or Republicans.



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COMMITTEE PURPOSE INFORMATION

25. PURPOSE OF COMMITTEE

(Check either On-Going or Durational)

**25a. Ongoing:** Check box 25a if the committee's activities will be ongoing or continuing; in other words that the committee has formed with the intent to remain active for an indefinite period of time beyond a single election, primary or referendum cycle.

If box 25a is checked, then also check *only one* of the following three sub boxes:

**State Elections only:** Check this box if the committee *only* intends to raise or expend funds to promote the election or defeat of candidates for Statewide Office, General Assembly or Judge of Probate in a state election or to promote passage or defeat of a statewide ballot question, or a combination thereof. Must also complete box 39.

**Municipal Elections only:** Check this box if the committee *only* intends to expend funds to promote the election or defeat of candidates for municipal office in a municipal election to be held within a single municipality or to promote the passage or defeat of a local referendum question within the same municipality, or a combination thereof. **Note:** If a committee is formed to promote the election or defeat of candidates involved in the municipal elections of two or more municipalities or the passage or defeat of local referendum questions within two or more municipalities, then the committee must file an original of this same PAC registration statement with each town clerk of the several municipalities.

**Both:** Check this box if the committee intends to expend funds to promote the election or defeat of candidates in *both* state *and* municipal elections and/or both statewide and local ballot questions. Must also complete box 39.

**25b. Durational:** Check box 25b if the committee is formed for a single election, primary, referendum or constitutional amendment, and that it intends to terminate its activities thereafter. If box 25b is checked, then also check *only one* of the following seven sub boxes:

**Single Election & Date:** Check this sub box and provide the date of the election in the adjacent space if the committee has been established for a single election.

**Single Primary & Date:** Check this sub box and provide the date of the primary in the adjacent space if the committee has been established for a single primary.

**Single Referendum & Date:** Check this sub box and provide the date of the referendum in the adjacent space

if the committee has been established for a single referendum. **Note: If this box is checked,** complete items 26 and 27.

**Fundraising Event(s):** If this is a fundraising event committee formed by *either* two or more candidate committees *or* two or more party or political committees (see explanation under item 24), then check this box and provide the names of the participating committees in the adjacent space.

**Single Candidate:** Check this sub box if the committee is formed to support or oppose a single candidate and provide the date of the election in the adjacent space.

**Note: If this box is checked,** proceed to item 28 and complete sub items 28a through 28d.

**Slate of Candidates:** Check this sub box if the committee is formed to support or oppose more than one candidate and provide the date of the election in the adjacent space. **Note: If this box is checked,** proceed to item 28 and complete sub items 28a through 28d.

**Constitutional Amendment & Date:** Check this sub box and provide the date of the election in the adjacent space if the committee has been established for a constitutional amendment. **Note:** If this box is checked, complete items 26 and 27.

REFERENDUM / CONSTITUTIONAL AMENDMENT

26. Briefly Describe the Subject Matter of the Referendum Question or Constitutional Amendment:

For committees that checked the applicable sub boxes in item 25b [Single Referendum or Constitutional Amendment], this space should be used to briefly summarize the referendum question that will be before the voters. (Example: To Appropriate Funds and Issue Bonds for Renovations of Town Hall.)

27. Group's Position on the Referendum Question or Constitutional Amendment: Check *either* sub box 27a or sub box 27b indicating whether the committee supports or opposes the question or amendment.

DURATIONAL COMMITTEE INFORMATION

28. If this is a durational committee formed to support single or multiple candidates: If one of the applicable sub boxes in item 25b for a durational committee is checked [Single Candidate or Slate of Candidates], then complete sub boxes 28a through 28d indicating whether the committee is formed with the primary purpose to *either* support *or* oppose (sub box 28a) the names of the



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indicated candidate(s) (sub box 28b), together with office (s) sought (sub box 28c) by such candidate(s) and the candidate(s)' party designation(s) (sub box 28d). If there is insufficient space under this item for identifying all of the candidates either supported or opposed, provide the additional information on the additional section 28, attached as **SEEC FORM 3B**.

**Note:** If a committee's primary purpose is to support the indicated candidate(s), it isn't required to also indicate its implied opposition to such candidate(s)' opponent(s). Similarly, if the committee's primary purpose is to oppose the indicated candidate(s), it isn't required to identify its implied support of the candidate(s)' opponent(s). However, a committee formed for a single candidate or slate of candidates must identify in sub box 28a its **primary purpose**: either its support or opposition with respect to the indicated candidate(s).

**ADDITIONAL PAC INFORMATION**

**29. If the committee is established by a business entity, labor union, or other membership association, what is the entity's name and address?** If the PAC is organized by an entity connected to the PAC, such as a business entity, labor union, trade or professional association (see instructions for "other organization" under section 24) or any other membership association (e.g. environmental advocacy or other issue-oriented associations of individuals), then provide the name and address of the connected entity that is responsible for establishing the committee.

**Note:** See the instructions under Section 37 in which the requirements of making an itemized financial disclosure statement at either the time of this filing or 48 hours after the committee has received its initial contribution or disbursement in light of the requirement of Sections 9-613 and 9-614, General Statutes, which provide that a political committee shall be deemed to have been established by a business entity, labor organization or trade or professional association (see instructions for "other organization" under section 24) "if the initial disbursement or contribution to the committee is either made by (1) for business entities, by "an officer, director, owner, limited or general partner or holder of stock constituting five per cent or more of the total outstanding stock of any class of the business entity" or (2) for labor unions and trade or professional associations, "if the initial contribution to the committee is made by the organization's treasury or an officer or director of the

organization." If this is the case, make sure that Section 24 reflects that the committee subtype is identified as established by a business entity, labor union or other organization, as the case may be; identify in this section the name and address of the business entity, labor union or other organization which is establishing the committee; as well as Completion of Sections 30 and 31 in their entirety, if applicable.

**30.If the committee is formed by a labor union or other organization, how will funds be received?** If the committee is formed by a labor union, please indicate the method by which the committee's internal funds will be received by checking either:  
**Treasury:** Check this sub box if the committee has elected to be financed exclusively from its union treasury funds. If this sub box is checked, the committee is prohibited from soliciting or receiving campaign funds from any source outside of its general treasury funds. This means that it may not solicit or receive additional campaign funds from its individual members;

*or*

**Voluntary Member Contributions:** Check this sub box if the committee has elected to be financed from voluntary contributions by its members. If this sub box is checked, the committee is prohibited from also receiving its internal funding from the union's general treasury. [See Section 9-614 of the General Statutes]

**31.Is the committee a component member of a statewide entity (i.e. AFL-CIO, CEA, CBIA etc.)?** 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 the yes box is checked**, 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 INFORMATION**

**32.Is the committee established or controlled by a registered lobbyist?**

The chairperson is required to disclose whether or not the PAC is **established or controlled** by a lobbyist registered with the Office of State Ethics. There are two different bans that apply to lobbyists: (1) there is a temporary ban that applies to all lobbyists while the General Assembly is in session; and (2) there is a permanent ban that applies



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to communicator lobbyists. A registered lobbyist may be *either* an individual *or* an entity that is registered with the Office of State Ethics as a “client lobbyist” or “communicator lobbyist” as those terms are defined by Section 1-91 of the Code of Ethics for Lobbyists, which includes members of their immediate families.

[See also Sections 1-91(u), 1-91(v), 9-601(16), 9-610(e), 9-610(h),(i) of the General Statutes.]

**If the yes box is checked**, identify the name of the registered lobbyist, which may be (1) any committee officer (chairperson, treasurer, or deputy treasurer), or (2) any “other officer”(see instructions for “other officer” under Item 23), or (3) the entity that organized and established the committee. You must also indicate whether any such individual or entity is a *client lobbyist*, a *communicator lobbyist*, or *both* by checking the applicable sub box associated with the name of the registered lobbyist. If there is insufficient space under this item for identifying all of names of registered lobbyists, provide any additional names on the additional section 32, attached as **SEEC FORM 3C**.

**Note:** Successful completion of this section requires an understanding of the difference between the term “*established*” and the term “*controlled*”. (See also SEEC Declaratory Ruling 2006-2 on its website.) A political committee is deemed *established* by a registered lobbyist if the committee was (1) organized between June 28, 1995 and December 31, 2006 and any of the individuals serving as its chairperson, treasurer or deputy treasurer or the business entity, labor union or other organization that organized and established the PAC, if applicable, was a registered lobbyist at any time during that period *and* (2) such individual or entity *continues to be a registered lobbyist after January 1, 2007 whether or not such individual continues to serve the committee* as its chairperson, treasurer, deputy treasurer or “other officer” on and after January 1, 2007.

A political committee is deemed *controlled* by a registered lobbyist if (1) any of the individuals who serve as the committee’s chairperson, treasurer, deputy treasurer or “other officer” after December 31, 2006 are registered lobbyists, or (2) if the entity that established the political committee, as reflected in Item 29, is a business entity, labor union or other organization that is a registered lobbyist.

**Note:** “*Communicator lobbyists*” are at all times of the year prohibited from making or soliciting contributions or providing any source of campaign funds to (1) an

exploratory committee or a candidate committee established to support a candidate for statewide office or General Assembly office, (2) any political committee established or controlled by any such candidate, (3) any legislative caucus committee or legislative leadership committee, and (4) any party committee. See Section 9-610(h) and (i), General Statutes. See also SEEC Declaratory Ruling 2006-1 on its website. PACs established or controlled by “*Client lobbyists*” however are only banned from providing campaign funds to the foregoing recipients when the General Assembly is in session. [See the full explanation of the sessional ban in SEEC Opinion of Counsel 2003-4.] [See also Section 9-610(e).]

**GENERAL ASSEMBLY INFORMATION**

**33. Is the committee established or controlled by an elected statewide official or General Assembly member, or agent thereof?**

This item must be answered as *either yes or no* together with 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 additional space is needed to identify all of the officials or members who established or controlled the committee, provide any additional names on the additional section 33, attached as **SEEC FORM 3D**.

A political committee is deemed *controlled* by an elected statewide official or member of the General Assembly if any of individuals who serve as the committee’s chairperson, treasurer, deputy treasurer or “other officer” on and after December 31, 2006 are an elected statewide official or member of the General Assembly or who serve such official or member as their agent.

A political committee is deemed “*established*” by such officials, members or their agents if they (1) served as the committee’s chairperson, treasurer or deputy treasurer during the period between 1995 and December 31, 2006 *and* (2) the individual continues to be an elected statewide official or General Assembly member or continues to serve such individual as their agent *even if* on and after January 1, 2007 they do not serve as the committee’s chairperson, treasurer, deputy treasurer or “other officer”. See instructions under Item 23 for the definition of “other officer”.

**Note:** No such individual may establish or control more than one political committee, except such prohibition



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does not apply to (1) an exploratory committee established by an official or member for their own candidacy or (2) a legislative caucus committee of which they are a part or (3) any legislative leadership committee designated by such official.

[See Section 9-605, General Statutes.]

**Note:** The lobbyist contribution ban explained in the preceding section applies to any committee established or controlled by an elected statewide official or General Assembly member and their agents.

**34. Is the committee established for a senatorial district?**

Answer this item by checking either *no* or *yes*. If yes, identify the district by number. See Sections 9-610(e), 9-610(h) of the General Statutes.

**Note:** The lobbyist contribution ban explained in section 32 applies to any committee established for a senatorial district.

**35. Is the committee established for an assembly district?**

Answer this item by checking either *no* or *yes*. If yes, identify the district by number. See Sections 9-610(e) and 9-3610(h) of the General Statutes.

**Note:** The lobbyist contribution ban explained in section 32 applies to any committee established for a senatorial district.

**OUT-OF-STATE FILING INFORMATION**

**36. Is the committee filing reports with the Federal Elections Commission or any out-of-state Elections Agency?** Check either *no* or *yes*. *If yes is checked*, identify the name of the out-of-state elections agency (i.e. Federal Election Commission).

**PRE-REGISTRATION INFORMATION**

**37. Has a contribution or disbursement been made prior to this registration statement?** Check either the *no* or *yes* sub 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. In other words, checking the yes box has the following consequences: (1) it requires the committee's treasurer to simultaneously file the committee's first SEEC Form 20 with this SEEC FORM 3; (2) the reporting period for the committee's first SEEC Form 20 spans a single day--the first day of the committee's deposits --and be

complete as to all of the committee's transactions on that date (i.e. receipts, disbursements, expenditures, etc.); and (3) the reporting period covered by the committee's next Campaign Finance Disclosure Statement, whether an SEEC Form 20, Itemized Campaign Finance Disclosure Statement, or an SEEC Form 21, the Unitemized Campaign Finance Disclosure Statement, will cover a period that begins on the next day following the one day covered by this first filing. (See Section 9-605(b)(15), General Statutes.)

*If no is checked*, these same itemized disclosure requirements apply except that 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 deposits. Thus, if a newly established committee's first SEEC Form 20 reveals (1) campaign receipts that precede the date that the committee filed its SEEC FORM 3 without also filing a Form SEEC 20 and (2) these receipts precede by more than 48 hours the date of the committee's first filed SEEC Form 20, then (3) the committee will be subject to strict fine penalties for such nondisclosure. See Section 9-605(b)(15) of the General Statutes.

**Note:** The purpose of these financial disclosures is because of Sections 9-613 and 9-614, General Statutes provide that a political committee established by a business entity, labor organization or other organization (trade or professional association) shall be deemed to have been established by any such entity "if the initial disbursement or contribution to the committee is either made by (1) for business entities, by "an officer, director, owner, limited or general partner or holder of stock constituting five per cent or more of the total outstanding stock of any class of the business entity" or (2) for labor unions and trade or professional associations, "if the initial contribution to the committee is made by the organization's treasury or an officer or director of the organization." If this is the case, make sure that Section 24 reflects that the committee subtype is identified as established by a business entity, labor union or other organization (trade or professional association), as the case may be; identify in Section 29 the name and address of the business entity, labor union or other organization which is establishing the committee; and complete Sections 30 and 31 in their entirety, as applicable.



**SEEC FORM 3 INSTRUCTIONS**

**STATE CONTRACTOR INFORMATION**

38. **Is the committee established or controlled by a principal of a state contractor?** Answer Item 38 by checking either *no* or *yes*; and if yes, identify the name of the principal, which may be either an individual or an entity. If additional space is needed to identify all of the names of principals, provide any additional names on the additional section 38, attached as **SEEC FORM 3E**. **Note:** See Section 9-612(g)(1)(F), of the General Statutes for definition of “principal” of a state contractor or prospective state contractor. There is also detailed information on the State Contractor Contribution Ban on the SEEC’s website at [www.ct.gov/seec](http://www.ct.gov/seec). “Principals” of state contractors and prospective state contractors are prohibited from soliciting or making contributions to (1) candidates for Statewide office, or (2) candidates for the General Assembly, or (3) candidates for both Statewide office and the General Assembly, depending upon whether the state contractor or prospective state contractor is doing, or seeking to do business with the executive branch of state government only, the legislative branch of state government only, or both, or is a pre-qualified contractor under sec. 4a-100. See Section 9-612(g), General Statutes. 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, deputy treasurer or “other officer, as well as the name of a business entity, labor union or other entity disclosed under Item 29 as connected to this committee *if* such entity is a also state contractor or prospective state contractor, as defined.

prospective state contractor, or a principal thereof, doing business or seeking to do business with the executive branch of state government is prohibited from soliciting or making contributions to, or for, candidates for statewide office or PACs authorized to contribute to such candidates. A PAC established or controlled by a state contractor or prospective state contractor, doing business or seeking to do business with the General Assembly, is prohibited from soliciting or making contributions to, or for, candidates for the General Assembly, and PACs authorized to contribute to such candidates. A PAC established or controlled by a prospective state contractor which is pre-qualified under Section 4a-100, is prohibited from soliciting or making contributions to or for candidates for statewide office, the General Assembly, and all PACs authorized to contribute to the restricted candidates.

**INVESTMENT FIRM INFORMATION**

40. **Is the committee established by or on behalf of a principal of an investment services firm?** Select *either* the *no* or *yes* box. *If the yes box is selected*, the full name of the principal is to be provided. If there is insufficient space under this item for identifying all of the principals, provide any additional names on the additional section 40, attached as **SEEC FORM 3F**. A committee associated with a principal of an investment services firm as described below may not contribute to candidates for State Treasurer. However, a PAC associated with an investment services firm that also qualifies as a state contractor pursuant to the instruction under section 38 above, is also prohibited from soliciting or making contributions to or for candidates for all statewide office. See Section 9-612(f) and (g) and 9-613(f), of the General Statutes.

**Principal of an Investment Services Firm:** means (i) an individual who is a director of or has an ownership interest in an investment services firm to which the State Treasurer pays compensation, expenses or fees or issues a contract, except for an individual who owns less than five per cent of the shares of an investment services firm which is a publicly traded corporation, (ii) an individual who is employed by such an investment services firm as president, treasurer, or executive or senior vice president, (iii) an employee of such an investment services firm who has managerial or discretionary responsibilities with respect to any investment services provided to the State Treasurer,

**STATEWIDE AND GENERAL ASSEMBLY CANDIDATE INFORMATION**

39. **Purpose of committee as to statewide and general assembly candidates?** Check the *no* or *yes* boxes in *both* sub box 39a *and* sub box 39b. These boxes should be checked no with respect to candidates of either or both branches of state government if the committee is organized by a business entity, non profit organization or individual that is a state contractor with such branch or if (a) the committee is controlled by an individual who is a principal of a state contractor and (b) such individual also serves as an officer or “other officer” of the committee irrespective of committee subtype. See Section 9-612(g)(2),(A),(B) of the General Statutes. A PAC established or controlled by a state contractor or



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## SEEC FORM 3 INSTRUCTIONS

### CERTIFICATION BY LEGISLATIVE LEADER

(iv) the spouse or a dependent child of an individual described in this subparagraph, or (v) a political committee established by or on behalf of an individual described in this subparagraph.

#### CERTIFICATION BY CHAIRPERSON, TREASURER, DEPUTY TREASURER

**41. Certification:** The certification, which is made under penalties of false statement, must be signed and dated by the chairperson, treasurer and deputy treasurer.  
**Note:** If this is the initial registration of the PAC and there has been activity prior to the filing of this form, please see instructions under Section 37 concerning the requirements for filing an SEEC Form 20, Itemized Campaign Finance Disclosure Statement.

**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 41 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.