COMMISSION ON GOVERNMENTAL ETHICS AND ELECTION PRACTICES
Mail: 135 State House Station, Augusta, Maine 04333-0135
Office: 45 Memorial Circle, Augusta, Maine

Website: www.maine.gov/ethics
Phone: 207-287-4179
Fax: 207-287-6775

2015 SPECIAL ELECTION REGISTRATION MATERIALS

FOR MAINE CLEAN ELECTION ACT CANDIDATES

This packet contains the forms you will need to register with the Commission and to participate in the Maine Clean Election Act. The Commission staff is available to help you with any questions about running as a Maine Clean Election Act (MCEA) candidate.

COMPLETE THESE FORMS:

Candidate Registration Every candidate must register with the Commission before accepting any campaign contributions or making any campaign expenditures. Please complete and sign the enclosed registration form and return it to the Commission.

Appoint a Treasurer When you register, you will have to name your campaign treasurer. The treasurer is responsible for filing reports in the campaign finance e-filing system. The MCEA prohibits candidates from serving as treasurer or deputy treasurer and from filing campaign finance reports in the e-filing system. However, you may register and serve as your own treasurer for up to 14 days before appointing someone else. *See Treasurer's Guidance at the back of this packet.*

Declaration of Intent (DOI) Please complete and file the DOI form when you register. Qualifying contributions received more than 5 business days before the DOI is filed with the Commission will not count toward the eligibility requirements. You can begin to collect qualifying contributions after you are registered with the Commission.

Maine Code of Fair Campaign Practices (optional) Please review the Code and return the signed form if you want to subscribe. Subscribing to the Code is voluntary. The Commission is not authorized to take action against candidates who violate the Code.

Vendor Form You must complete this form to receive MCEA funds. Please do this when you register or at your earliest convenience and submit it to the Commission.

OTHER REQUIREMENTS:

Campaign Bank Account You must have a separate bank account for your campaign funds, *i.e.*, your seed money contributions and your MCEA payments. You cannot commingle seed money or MCEA funds with personal or business funds. Remember that cancelled checks (or copies) and monthly statements are records that you must keep for three years.

MCEA Expenditure Guidelines All public funds must be spent on campaign-related expenditures in accordance with guidelines established by the Commission. Violations of this requirement may result in civil and criminal penalties. Please familiarize yourself with the guidelines (copy included in this packet).

Seed Money Prior to MCEA certification, you may raise and spend only "seed money contributions." A seed money contribution cannot exceed $100 and must come from individuals only. Each family member may make a seed money contribution, provided that the money is from their personal funds. Seed money contribution limits are $500 for House candidates and $1,500 for Senate candidates. All cash and in-kind (goods and services) contributions count toward the limit. A seed money report must be filed whether you raised or spent any seed money.

Many questions can be answered by referring to the Commission's website, www.maine.gov/ethics, or the *2014 Candidate's Guide*. You can also call the Ethics Commission staff with your questions at 287-4179. Please ask for a candidate registrar.

Continued on back

Qualifying Contributions

To become eligible to receive MCEA funds, you must collect a minimum number of qualifying contributions during the qualifying period.

Qualifying Period and Required Number

	ALL CANDIDATES: DEMOCRATIC, GREEN-INDEPENDENT, REPUBLICAN, AND UNENROLLED
QUALIFYING PERIOD	Date of registration - September 28
REQUIRED NUMBER OF QUALIFYING CONTRIBUTIONS	House Candidates – 60
	Senate Candidates – 175

What is a Qualifying Contribution

Qualifying contributions are donations of $5 or more made with the personal funds of individuals who are registered to vote in your district. They do not have to be enrolled in the same political party as you.

Qualifying contributions maybe made by:

- a personal check payable to the Maine Clean Election Fund (MCE Fund);
- cash, but only if the contributor signs a money order provided by the campaign in the same amount as the cash contribution. If the contributor prints their name on the money order, please ask them to sign it, too. If the money order is not signed, it will not be accepted and counted as a qualifying contribution; or
- a debit or credit card payment to the MCE Fund using the Commission's online contribution website (www.maine.gov/online/ethics/cleanelection).

Receipt and Acknowledgment Form (R&A Form) and Voter Verification

For qualifying contributions made by check or money order:

- Each contributor must fill out and sign the R&A form.
- The contributors listed on a single form should be from the same city or town.
- Everyone, including candidates, circulating the forms and collecting qualifying contributions and signatures must complete and sign the circulator section of the form.
- You must bring these forms to the municipal clerks in your district to verify that the contributors are registered voters at the address listed on the form.

For qualifying contributions made by debit or credit card on the Commission's website:

- Contributors do not sign a paper form because they sign electronically when they make their contribution.
- The online system automatically verifies the voter registration of online contributors.
- If the system is unable to verify the voter registration, the campaign must download and print the R&A forms for the unverified contributors and bring these forms to the town clerks for voter verification.

Requesting Certification

Requests for certification must be received by the Ethics Commission by 5:00 p.m. on the last day of the qualifying period. For a checklist of documents that must be submitted, please refer to the Request for Certification form included in this packet. Requests for certification will not be granted if the qualifying contributions and verified Receipt and Acknowledgement forms are not submitted by the deadline of the qualifying period.

Qualifying Contributions and R & A Forms

You must submit at least the minimum number of valid qualifying contributions along with the R&A forms verified by municipals registrars. You do not need to submit R&A forms for qualifying contributions verified online.

Alphabetical List

You must submit an alphabetical list of all individuals including names and town/city where they reside who made a qualifying contribution by check, money order and online.

Seed Money Report

Before you can be certified, you must file a seed money report in the e-filing system.

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2015 SPECIAL ELECTION CANDIDATE REGISTRATION

Notice: Changes to registration information must be filed within 10 days in writing or by e-mail to the Commission.

Is this an amendment? ☐ **Yes** ☐ **No**

1. CANDIDATE INFORMATION

Are you running as a (check one): ☐ **Maine Clean Election Act candidate** ☐ **traditionally financed candidate**

Title ☐ Ms. ☐ Mrs. ☐ Mr. ☐ Dr. ☐ Honorable	Party affiliation	Office sought & District #
Name: First / MI or Middle Name / Last		County (if applicable)
Mailing address		Primary Phone - For Commission Use Only
City	**Zip code**	Public Phone
E-mail **(required)**	Fax	Alternate Phone

2. TREASURER INFORMATION

Name: First / MI or Middle Name / Last		Primary Phone - For Commission Use Only
Mailing address		Public Phone
City **Zip code**	E-mail **(required)**	Fax

DESIGNATION OF TREASURER: A candidate for office must appoint a treasurer no later than 10 days after becoming a candidate, and before accepting contributions, making expenditures or incurring obligations. No later than 10 days after appointing a treasurer, the candidate must register with the Commission the name and address of the candidate and treasurer. The treasurer is responsible for maintaining campaign records and for filing reports. A MCEA candidate may serve as treasure for no more than 14 days following the date of registration. (21-A MRSA §§ 1013-A and 1125(12-A))

2A. DEPUTY TREASURER INFORMATION (optional)

Name: First / MI or Middle Name / Last	Primary Phone - For Commission Use Only
Mailing address	Public Phone
City **Zip code**	E-mail **(required)**

DESIGNATION OF DEPUTY TREASURER (optional): The candidate may appoint a deputy treasurer and notify the Commission no later than 10 days after the appointment. The deputy, when acting in the absence of the treasurer, has the same powers and responsibilities as the treasurer. A MCEA candidate may serve as deputy treasure for no more than 14 days following the date of registration. (21-A MRSA §§ 1013-A and 1125(12-A)) (21-A MRSA § 1013-A (1)(A)(1))

3.	AUTHORIZED AGENT INFORMATION (optional)	
Name	Phone	Email **(required)**
Name	Phone	Email

DESIGNATION OF AUTHORIZED AGENT (optional): Please use this section to designate individuals, other than the treasurer and deputy treasurer, authorized to file reports on your behalf.

4.	POLITICAL COMMITTEE INFORMATION (optional)	
Name		Phone
Address of campaign headquarters	City	Zip code

DESIGNATION OF POLITICAL COMMITTEE (optional): The candidate may form a political or campaign committee. Within 10 days of forming the committee and before accepting contributions, making expenditures or incurring obligations, the candidate must:

- appoint a treasurer (the candidate may have only one treasurer who is listed in Section 2) and
- register the committee and its officers, if any are appointed, with the Commission. (21-A MRSA § 1013-A (1) (B))

Committee Officers (use additional pages, if necessary):

Name	Title	Phone
Mailing address	City Zip code	E-mail

Name	Title	Phone
Mailing address	City Zip code	E-mail

5. CERTIFICATION

I, _____, certify that the information in this registration is true, accurate and complete.
(Print Candidate's Full Name)

Signature of Candidate _____ Date _____

6. FOR COUNTY CANDIDATES ONLY

REPORTING EXEMPTION REQUEST: A candidate for county office may request an exemption from the obligation to appoint a treasurer and file campaign finance reports if the candidate does not accept any cash or in-kind contributions or make any expenditures for his or her campaign. You cannot request a reporting exemption if you use your or your spouse's/domestic partner's personal funds to pay for your campaign expenses. To request an exemption, complete the statement below and sections 1 & 5, have the form notarized, and submit it to the Commission.

STATEMENT OF ELIGIBILITY FOR A REPORTING EXEMPTION: I, the undersigned, swear or affirm that I will not accept contributions, make expenditures or incur obligations associated with my candidacy.

Signature of county candidate _____ Date _____

Subscribed and sworn (affirmed) to before me this _____ day of _____, 20____.

Signature of Notary/Attorney-at-law _____ My commission expires _____
(Seal is optional) (Date)

REVOCATION NOTICE: The foregoing statement may be revoked. Prior to revocation, the candidate must appoint a treasurer. A revocation notice must be in the form of an amended registration which must be filed with the Commission no later than 10 days after the date the treasurer is appointed. The notice must be filed before contributions are accepted or expenditures made. A late revocation notice is subject to the same penalties applicable to late campaign finance reports.

Sworn Falsification is a Class D crime. (17–A MRSA § 453)

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2015 SPECIAL ELECTION DECLARATION OF INTENT

To Seek Certification as a Maine Clean Election Act Candidate

Candidate's Name: _____
(Please Print)

I hereby declare my intent to become certified as a Maine Clean Election Act candidate and to comply with the requirements of the Maine Clean Election Act. I authorize the Commission to conduct a financial audit of my campaign, including but not limited to financial records and account(s). I affirm the following in support of this Declaration of Intent:

- That I am seeking certification as a Maine Clean Election Act candidate.
- That I understand that any qualifying contribution I collected more than five business days before filing this Declaration of Intent with the Commission will not be counted toward the eligibility requirement.
- That I have raised and spent only seed money contributions since becoming a candidate, and that I will continue to comply with applicable seed money restrictions.
- That I will deposit and maintain all Maine Clean Election Act funds I receive in an account to be used solely for campaign purposes, and that all my payments of Maine Clean Election Act funds will comply with the Commission's expenditure guidelines.
- That I will obtain and keep campaign records required by the Maine Clean Election Act and by the Commission's rules and policies.
- That I have received or will obtain from the Commission the current Candidate Guidebook containing the Commission's policies.
- That I have elected to participate in this voluntary public financing program, and understand that it is my responsibility to review and to comply with the Maine Election Law, and the Commission's rules and policies.

I certify that the above affirmations are true, correct, and complete to the best of my knowledge.

_____ _____
Date Candidate's Signature

This form must accompany the registration form for MCEA candidates.

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2015 SPECIAL ELECTION MAINE CODE OF FAIR CAMPAIGN PRACTICES

(Optional under 21-A M.R.S.A. § 1101(2))

I shall conduct my campaign and, to the extent reasonably possible, insist that my supporters conduct themselves, in a manner consistent with the best Maine and American traditions, discussing the issues and presenting my record and policies with sincerity and candor.

I shall uphold the right of every qualified voter to free and equal participation in the election process.

I shall not participate in and I shall condemn defamation of and other attacks on any opposing candidate or party that I do not believe to be truthful, provable and relevant to my campaign.

I shall not use or authorize and I shall condemn material relating to my campaign that falsifies, misrepresents or distorts the facts, including, but not limited to, malicious or unfounded accusations creating or exploiting doubts as to the morality, patriotism or motivations of any party or candidate.

I shall not appeal to and I shall condemn appeals to prejudices based on race, creed, sex or national origin.

I shall not practice and I shall condemn practices that tend to corrupt or undermine the system of free election or that hamper or prevent the free expression of the will of the voters.

I shall promptly and publicly repudiate the support of any individual or group that resorts, on behalf of my candidacy or in opposition to that of an opponent, to methods in violation of the letter or spirit of this code.

I, the undersigned candidate for election to public office in the State of Maine, hereby voluntarily endorse, subscribe to and solemnly pledge to conduct my campaign in accordance with the above principles and practices.

Date	Candidate's Signature
Office Sought and District	Printed Name

State of Maine Substitute W-9 & Vendor Authorization Form

Reset Form

Return to:
Maine Ethics Commission
135 State House Station
Augusta, ME 04333-0135
207-287-4179

PURPOSE: To establish or update an account with the State of Maine's accounting system. | This form replaces the IRS W-9 form per the IRS W-9 language; "If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9." | Complete this form if: 1) You will receive payment from the State of Maine, and/or 2) You are a vendor who provides services or goods to the State of Maine.

All items with an asterisk (*) must be completed.

TYPE OF REQUEST*: (Must select one.)

☐ **New Request** See Instructions on Back!

☐ **Change (Choose)** ◯ Legal Name ◯ DBA Name ◯ Payment Address ~~Ordering Address~~ ◯ Contact Info

TAXPAYER ID NUMBER* (TIN) ***(Provide ONE only)***

Candidate's Social Security Number (SSN) ___ - ___ - ___ OR Committee's Federal Employer ID Number (FEIN) ___ - ___

Organization Type * choose ONE ◯ Individual/Candidate OR ◯ ~~Company~~ **Committee with FEIN**

Classification * choose ONE ☐ Individual ~~Sole Proprietorship~~ ~~Nonresident Alien~~ | ~~Corporation~~ ~~Foreign (W8 required)~~ ~~Partnership~~ ~~Trust~~ ~~State Gov't~~ ~~Other Gov't~~ ☐ **Other**

LEGAL NAME ***(Must provide: Legal name filed with IRS tied to the ID number, SSN=first & last name/FEIN=business name)***

Legal Name* _____ Alias/DBA MCEA CAMPAIGN ACCOUNT

Other Info Completed by Ethics or DAFS

Vendor Customer Number (if known) VC#/VS# _____

Payment Address* where bank statement is mailed

Address _____ C/O _____

City/State/Zip _____ Phone _____

Contact*

Name _____ Phone _____ Ext _____

Email _____ ☐ Send me Email notifications of DD/EFT (requires Direct Deposit/EFT form to be completed)

Physical Address SKIP THIS SECTION

Address _____ C/O _____

City/State/Zip _____ Phone _____

Contact*

Name _____ Phone _____ Ext _____

Email _____

Candidate's Signature & Current Date*

Under penalties of perjury, I certify that: 1) The number shown on this form is my correct taxpayer identification number, and ~~2)I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the IRS that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup w~~ithholding, and 3) I am a U. S. citizen or other U. S. person (defined by the IRS). Ref: www.irs.gov

OFFICE USE ONLY — Information on State Agency Submitting Vendor Form — OFFICE USE ONLY

State Agency & SHS #	Agency Contact Person Name & Title	Contact's Phone #
ETHICS, 135 SHS	Emma Burke, Candidate Registrar	(207) 287-4727

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INSTRUCTIONS FOR COMPLETING VENDOR FORM

Please submit completed forms to the Ethics Commission, 135 State House Station, Augusta, ME 04333
Please call the Commission with questions: 207-287-4179.

- All candidates must complete this form at the beginning of each election year (cycle). Check "New Request."
- When updating your information during the election cycle, check the appropriate boxes in the "Change" section.
- The taxpayer identification number (TIN) is either the candidate's social security number (SSN) or a federal employer identification number (FEIN) if you obtained one from the IRS for your campaign committee. Do not use the treasurer's SSN.
- "Organization Type" is either "Individual/Candidate" if SSN used or "Committee with FEIN" if FEIN used. "Classification" is either "Individual" if SSN used or "Other" if FEIN used.
- The "Legal Name" is either:
  a. the candidate's name, if the TIN is the candidate's SSN; or
  b. the committee's name, if the TIN is the committee's FEIN.

  The legal name must match the name used to get a SSN or an FEIN, if you have a committee. If the candidate is using a "DBA" committee, the "Legal Name" is still the candidate's. A committee's name can be entered as a "Legal Name" only if a committee has an FEIN.
- If you have designated your treasurer or committee to receive the check(s) or EFT correspondence, enter the address of your treasurer or committee in "Payment Address" and complete the "C/O" as either "c/o [treasure's name]" or "DBA [committee's name]." The address on this form should be the same address on your candidate registration for you, your treasurer or committee. Please notify the Commission if an address change is needed on your registration. (Please note: "Physical Address" section (grayed area) is not required - leave blank.)
- Complete the "Contact" section with the name, email address, and phone number of the person you want the state's accounting staff to contact concerning questions on your vendor information.
- "Candidate's Signature" section includes a new IRS requirement. State vendor forms must meet IRS W-9 requirements if a W-9 is not used. MCEA payments are coded as "non-reportable funds" in the state's accounting system and therefore are not considered as income and subject to withholding. By signing, you are certifying that the TIN number used on this form is correct and that you are a U.S. citizen.
- Sign and date the form. Please hand-deliver or mail the completed original form to the Commission. Faxed or scanned copies cannot be processed.

MAINE CLEAN ELECTION ACT

QUALIFYING CONTRIBUTIONS - RECEIPT AND ACKNOWLEDGEMENT

COMMISSION ON GOVERNMENTAL ETHICS AND ELECTION PRACTICES
135 STATE HOUSE STATION, AUGUSTA, ME 04333
207-287-4179
WWW.MAINE.GOV/ETHICS

CANDIDATE'S NAME: _____ OFFICE: ☐ HOUSE ☐ SENATE DISTRICT #_____
(Please check box above)

ALL CONTRIBUTORS MUST BE FROM THE TOWN OR CITY OF: _____

IMPORTANT NOTICE TO CONTRIBUTORS:

- **Your signature and qualifying contribution of $5 or more will help the candidate named above to be eligible for public funding from the State to pay for the candidate's campaign.**
- **By signing below, you affirm that you have used your personal funds to make this contribution and that you have received nothing of value in exchange for your signature and contribution.**

	Date	Check/M.O.#	Contributor's Name (Please Print)	Residential Address (No PO Box)	Contributor's Signature
1					
2					
3					
4					
5					
6					
7					
8					

Falsifying any information on this form is punishable by law.
Please make checks and money orders payable to Maine Clean Election Fund. Money orders must be signed by the contributors.

Municipal Registrars: Please circle the number of each contributor who is registered to vote in the candidate's district (any party) and complete the statement below by inserting the total number of contributors on this page who are registered in the district. Please also cross out any blank lines or contributors who are not registered in the candidate's district.

I have verified that _____ contributors circled above are registered to vote in the electoral division of the candidate.

Date: _____

Signature of Registrar: _____

Circulators: Anyone (including candidate) circulating this form must complete and sign the statement below for the contributions collected on this form to be accepted by the Commission.

I, (print name) _____, affirm that: (1) I collected the qualifying contributions, (2) to the best of my knowledge and belief, the signature is the signature of the person whose name it purports to be, (3) the contribution came from the personal funds of the contributor, and (4) I did not give anything of value to the contributor in exchange for their contribution and signature.

Signature of Circulator: _____ Date: _____

Residential Address: _____

City/Town/State/Zip: _____ Phone: _____

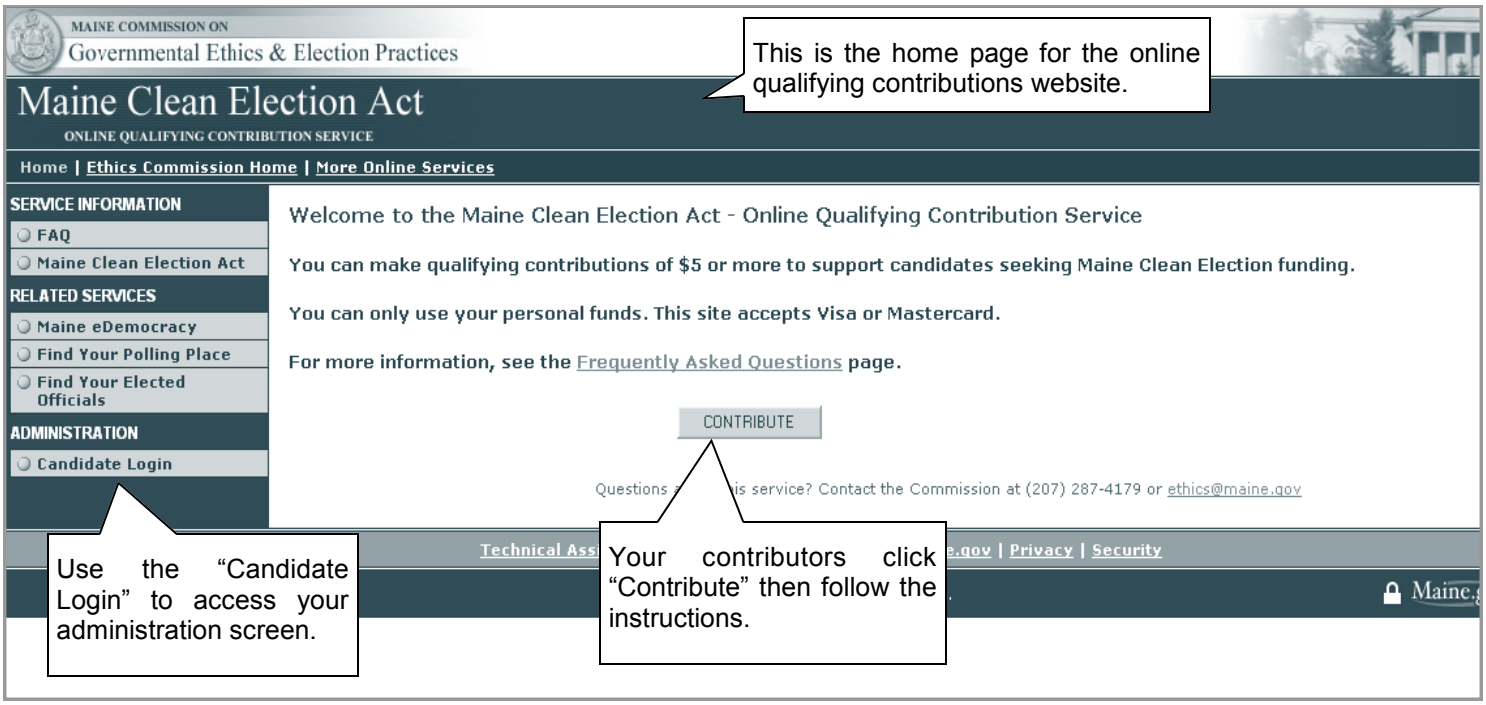
Commission on Governmental Ethics and Election Practices
135 State House Station, Augusta, ME 04333
207-287-4179

August 25, 2013

Maine Clean Election Act Candidates Online Qualifying Contributions Service

Online Qualifying Contributions Website:

http://www.maine.gov/cleanelections



The online qualifying contribution service is quick and convenient for contributors and candidates. Contributors use a secure website to make qualifying contributions with a VISA or MasterCard. Contributors who give their qualifying contribution online do not need to sign a paper form because they sign electronically when they make their contribution.

The system is convenient for candidates because it automatically verifies the voter registration of the contributor. If the system is not able to verify the voter registration, the contributor is still able to make a qualifying contribution online but the campaign must get the contributor's voter registration verified by the town clerk. Candidates download and print the online receipt and acknowledgement forms with the *unverified* contributors. These forms are brought to the town clerks for verification.

The online system uses data from the Secretary of State's Central Voter Registry (CVR) for voters' names and addresses. If the system does not recognize a contributor's street name, the system will give the contributor a list of similar street names to choose from. If the system does not recognize an address because it is not in the CVR, e.g., an address in a new development, the contributor will get instructions on how to make a contribution using a paper form.

Qualifying Contributions Online Website: Candidate Access

To access the administrative section of the online qualifying contribution system, candidates use their electronic-filing system user name and password which was assigned to them when they registered as a candidate. When logged into the administrative section, a candidate can review the status of their online qualifying contributions, including the verification of contributors' voter registration. Candidates can also search for contributions by contributor name or town or date range, download receipt and acknowledgement forms, and view the total contributions made online.

To log on to the site:

1. Go to www.maine.gov/ethics.
2. Look for "ONLINE SERVICES" in the list of links on the left hand side of the screen, and select "Qualifying Contributions."
3. On this screen, look for "Candidate Login" under "Administration" on the left hand side of the screen.
4. Enter your user name and password that you use for e-filing your campaign finance reports. We sent that to you when you registered. Call us if you don't have it.
5. Once on your administration screen, select the tab for the service or report you want.

Information for Your Supporters

Direct your supporters to go to www.maine.gov/cleanelections. Tell them to click the "Contribute" - yellow button.

They will need to:

- enter their name and the street address where they are registered to vote;
- select the candidates they wish to make a qualifying contribution to;
- enter payment information using a credit card or bank debit card (MasterCard and VISA only); and
- sign the affirmation statement electronically (no hand-written signature required).

The online system will automatically list all gubernatorial candidates and the legislative candidates who are running in the contributor's district.

You can put a link to the online qualifying contribution service on your campaign website or send the link in an e-mail to your supporters and include instructions like the sample below.

Please note that this online service is for qualifying contributions and not seed money contributions.

Sample instructions for your supporters:

1. Go to www.maine.gov/cleanelections.
2. Click "Contribute" - yellow button.
3. Follow the instructions to make a contribution to support my candidacy and to help me qualify for public funding for my campaign.
4. Make sure you enter the address where you are registered to vote. If the website cannot verify you as a registered voter, please contribute. I will be able to get your name verified by the town clerk and your contribution will count.

Thank you

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2015 SPECIAL ELECTION REQUEST FOR CERTIFICATION

As a Maine Clean Election Act Candidate for the Legislature

2015 Special Election CERTIFICATION DEADLINE FOR LEGISLATIVE CANDIDATES:
Monday, September 28, 2015 by 5:00 p.m.

CANDIDATE'S NAME: _____

OFFICE SOUGHT: _____ DISTRICT #_____ PARTY: _____

I hereby request to be certified as a Maine Clean Election Act candidate. I agree to comply with all requirements of the Act and the Commission's rules. I have:

- signed and filed a Declaration of Intent to participate in the Maine Clean Election Act;
- qualified as a candidate by petition or other means (confirmed by Secretary of State's Office);
- complied with seed money restrictions and otherwise met the requirements for participation in the Maine Clean Election Act;
- read the Commission's guidelines on permissible campaign-related expenditures;
- established a separate campaign account in a financial institution; and
- if applicable, any person who circulated my Receipt and Acknowledgement forms and collected qualifying contributions did so with my knowledge and consent.

With this Request for Certification, I have submitted (please check the appropriate boxes):

☐ at least the minimum number of qualifying contributions. I have submitted ___ qualifying contributions, which is the total collected on Receipt and Acknowledgement forms and on the Commission's website.

☐ for contributions made by check and money order, the original Receipt and Acknowledgement forms verified by the municipal clerks with the checks or money orders attached to the appropriate forms, in the order that the contributions are listed on the forms.

☐ for contributions made by credit or debit card on the Commission's website that were not verified by the online system, the printed Receipt and Acknowledgement forms verified by the municipal clerks.

☐ an alphabetical list of all qualifying contributors, which includes their towns and cities.

☐ a seed money campaign finance report filed electronically. (If no seed money was raised or spent, a "no activity report" must be filed. If you requested an electronic filing waiver, submit the completed paper report signed by your treasurer.)

Request for Extension. A candidate may request an extension of time to file the seed money report and the alphabetical list. The deadline for submitting the qualifying contributions and receipt and acknowledgement forms cannot be extended. I request an extension of time to file the following:

☐ Seed Money Report ☐ List of Contributors

_____ _____

Candidate's Signature Date

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2015 SPECIAL ELECTION FILING SCHEDULE

For MCEA & Tradtionally Financed Candidates

Special Election: November 3, 2015

TYPE OF REPORT	FILING DEADLINE (BY 11:59 P.M.)	REPORT PERIOD
Seed Money Report *(for MCEA candidates only)*	September 28, 2015	Date of first seed money contribution – date of certification request
42-Day Pre-General *(for TF candidates only)*	September 22, 2015	August 11, 2015 – September 15, 2015
11-Day Pre-General *(for TF candidates)*	October 23, 2015	September 16, 2015 – October 20, 2015
11-Day Pre-General *(for MCEA candidates)*		Date after Seed Money Report filing - October 20, 2015
42-Day Post-General *(for all candidates)*	December 15, 2015	October 21, 2015 – December 8, 2015

24-HOUR REPORTS

24-HOUR REPORT PERIOD	WHAT TO REPORT	WHEN TO FILE
For Special Election: October 21, 2015 –November 2, 2015	**Any single expenditure of $1,000 or more.** Orders placed with or obligations made to vendors for goods or services are considered expenditures at the time the obligations are made. **Any single contribution of $1,000 or more.** Traditionally Financed candidates and their spouses/ domestic partners who contribute $1,000 or more in a single contribution during the 24-Hour Reporting Period must report those contributions in a 24-Hour Report. This includes loans.	Within 24 hours, including weekends and holidays, of making/accepting the transaction, incurring the obligation, or placing the order.

HOW TO FILE REPORTS

Using the Commission's Website. Candidates who receive or expect to receive at least $1,500 for their campaigns must file reports electronically on the Commission's website. Candidates or treasurers must enter the required information and the treasurer must click "File Report" by 11:59 p.m. on the filing deadline.

Commission staff will be available until 5:00 p.m. on filing deadlines to offer assistance to candidates and campaign staff.

GUIDANCE FOR MCEA TREASURERS

Maine Commission on Governmental
Ethics and Election Practices
135 State House Station
Augusta, ME 04333
Website: www.maine.gov/ethics

Welcome to the MCEA Program!

When candidates are seeking a campaign treasurer, they frequently ask the question: "What are the responsibilities and tasks of a treasurer?" Candidates want to assure that the person they appoint understands their role as treasurer. This information sheet summarizes the duties and responsibilities of a treasurer. More detailed information can be found in the *Candidate's Guide*—which is located on the Commission's website in electronic format or a copy may be requested from the Commission.

Because a MCEA candidate uses public funds for their campaign, the candidate and the treasurer have a high but reasonable standard of accountability for the proper use of those funds. It is important that a treasurer is reliable and actively keeps track of all campaign finances, maintains all campaign records including seed money contribution and expenditure records *as required by law*, and files complete and accurate campaign finance reports on time. The treasurer is responsible for filing reports in the campaign finance e-filing system.

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1. Keep Complete Records

As treasurer, maintaining and keeping track of all campaign finance records is important because these records document that MCEA funds were spent for campaign purposes. Complete and accurate records also make filing campaign finance reports easy!

Records you need to maintain during the election cycle are:

- For the Campaign Bank Account: All bank statements/credit card statements including copies of cancelled checks.
- For Seed Money Contributions: Copies of contribution checks, deposit slips, name, address of contributor, and occupation and employer information (for contributors giving more than $50).
- For Expenditures:
  1. Vendor invoice or timesheet listing goods or services purchased *for every expenditure over $50*.
  2. Proof the vendor received payment—a cancelled check, cash receipt, or debit/credit record as found in the campaign bank account statement or credit card statement.
  3. Sub-vendors must provide the above records to the vendor—and the vendor must provide them to the treasurer. Make sure vendors are aware of this requirement if they will be using sub-vendors.
- For Reimbursements: From the person requesting the reimbursement, obtain the receipt and proof of payment—which is either a copy of the check the person wrote to the vendor or a copy of a debit/credit card statement from the account that the person used to pay the vendor.
- For Mileage Reimbursements: The original log(s) submitted to the campaign.

Good recordkeeping makes filing accurate campaign finance reports easy.

See Chapter 7 of the Candidate's Guide for a complete explanation of campaign records.

2. Use Campaign Bank Account for All Expenditures

Treasurers and candidates are responsible for authorizing expenditures.

Over spending MCEA funds is a violation.

Candidates are *required* to deposit seed money and MCEA funds into a campaign account because commingling of any campaign funds with personal or business funds *is prohibited.* Therefore, use the campaign account for all campaign transactions. This makes recordkeeping and reporting easy!

- Consider an account where cancelled checks or copies are provided to you with your monthly statements. If you are selected for a random audit, you will have to provide copies of the checks and bank statements to the Commission.
- Minimize reimbursements because they require more recordkeeping (see next page).

3. Seed Money vs. $5 Qualifying Contributions

Sometimes there is confusion between seed money and the $5 qualifying contributions. Seed money is the limited amount of private funds that the campaign raises from individuals to help the campaign through the qualifying period. The $5 qualifying contribution is a $5 (or more) contribution collected by the campaign from registered voters in the district to demonstrate that the candidate has support in their district in order to qualify for public funds for their campaign.

SEED MONEY CONTRIBUTION	$5 QUALIFYING CONTRIBUTION
Not a requirement—optional	A requirement for receiving MCEA funds—and must be submitted when requesting certification or no later than by 5:00 p.m. on the day of the deadline.
Payable to the campaign	Payable to "**Maine Clean Election Fund"**
Deposited in the campaign bank account	Not deposited in the campaign bank account but submitted to the Commission (attached to the corresponding Receipt & Acknowledgement form)
From individuals only and may give no more than $100	From any registered voter in the district (Democratic, Green-Independent, Republican, and unenrolled)
No more than $500 may be raised by House candidates; $1,500 for Senate	At least 6o verified contributions must be submitted by House candidates; 175 for Senate candidates

4. Mileage Logs & Reimbursements

See Chapter 7 in the Candidate's Guide for additional information on logs and reimbursements.

Any mileage reimbursement made with MCEA funds must be documented by a mileage log that meets the standards found in the Commission's laws and rules. The log must be completed contemporaneously—as the travel occurs—not at the end of the campaign or report period.

As treasurer, you should request the original log before authorizing or making a mileage reimbursement. The logs must be kept for three years as part of the campaign records and will be requested if the campaign is randomly selected for an audit—or may be requested as part of a routine compliance check of any report filed with the Commission.

An example of a log meeting all requirements is found in the *Candidate's Guide*. If the log that was used to make a reimbursement does not meet the requirements, the reimbursement may not be allowed and the person who was reimbursed may be required to return the funds.

5. Reimbursements: Making and Reporting Correctly

(except mileage reimbursements; see opposite page)

1. Before making a reimbursement, obtain from the person you are reimbursing: (a) the original vendor receipt/invoice for the goods/services purchased and (b) a copy of the check the person wrote to the vendor or a copy of a debit/credit card statement from the account that the person used to pay the vendor. These records are required and are needed in order to correctly report a reimbursement.
2. Make all reimbursements in the same report period in which the goods/services were originally purchased. This is a requirement in Commission Rules because if the reimbursement is not made in the report period, it is considered an in-kind contribution and is prohibited for MCEA candidates.
3. Report the reimbursement correctly. The name of the "Payee" is the vendor name—the name on the original receipt/invoice and not the name of the person receiving the reimbursement. Enter the name of the person receiving the reimbursement in "Remarks."

This is the #1 reporting error! Please report reimbursements correctly.

6. Documenting TV and Radio Ad Purchases

See Chapter 7 in the Candidate's Guide for additional information on reimbursements and media purchases.

You should make sure that your media buyer and media outlets understand the documentation requirements early – when you and the campaign are placing an order. Copy the guidance found in Chapter 7 in the *Candidate's Guide* and give it to the media buyer or outlets. The guidance describes the documentation that the campaign is required to obtain and keep as part of the campaign records. Documentation includes the following three items: "proof of payment"—copy of check or debit credit statement; invoice from media outlet; and invoice from media buyer (if using one).

The final invoice from the media outlet is for the actual spots aired—which may be less than the number of spots that were scheduled and initially paid for. The media outlet will refund the difference to the campaign or the buyer. The buyer will then refund the amount to the campaign.

TWO WAYS TO PURCHASE ADS	
Using a media buyer	**Purchasing directly from media outlets**
Provide copies of pages from the *Candidate's Guide* (as mentioned above) that explain the documentation and reporting requirements.	Provide copies of the pages from the *Candidate's Guide* (as mentioned above) that explain the documentation and reporting requirements.
When making payment, make sure the buyer understands the documentation that they will have to provide to you.	Request that the documentation (invoice) be provided ASAP – rather than weeks after the election.
Report refunds.	Report refunds.

PROOF OF PAYMENT TO MEDIA OUTLET	
When a media buyer makes a payment	**When the campaign makes a payment**
If by check, a copy of the check written by media buyer to media outlet	If by check, a copy of check written by the campaign to media outlet
If by debit/credit card, a copy of media buyer's statement	If by debit/credit card, a copy of card statement

7. Handling and Reporting Vendor Refunds

1. Deposit Refund Check. When a vendor refund is received, deposit the refund check into the campaign bank account.

2. Report the Refund. To report a refund, find the expenditure that was originally reported and enter a "return" for the amount of the refund. To search for an expenditure in the e-filing system, use the search function under the Financial tab.

8. Reconcile Bank Balance with Report Balance

Before you file a report, reconcile the cash balance found in the financial activity summary of the report you are filing with the cash balance of the campaign bank account. By reconciling the balance, you are assured that you are filing an accurate report that substantially complies with the reporting requirements.

The treasurer is responsible for filing reports in the campaign finance e-filing system.

9. File Reports On Time

Treasurers and candidates are responsible for filing campaign finance reports on time. All reports—including 24 Hour Reports—are filed on the Commission's website unless an E-filing Waiver Request was submitted to the Commission. Filing deadlines for each report may be found on the candidate's homepage in the e-filing system and in the *Candidate's Guide.*

10. Record Retention: 3 Years

Treasurers or candidates must keep all campaign records for three years after the filing of the last campaign finance report for the election. For candidates, who were unsuccessful in the primary, the last campaign finance report is the 42-Day Post-Primary Report; for candidates, who participated in the general election, the last report is the 42-Day Post-General Election Report.

We found the reporting errors. Somebody entered all of the zeros upside down.

Questions? Call ! 207-287-4179

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