

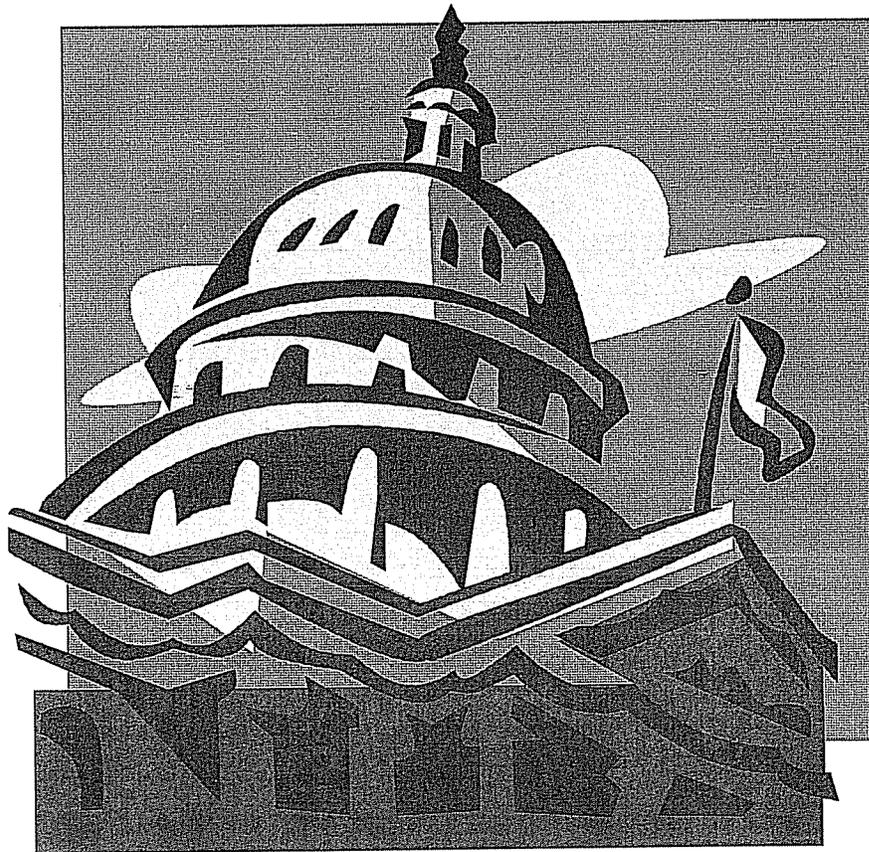


STATE OF RHODE ISLAND BOARD OF ELECTIONS

RI CAMPAIGN CONTRIBUTIONS & EXPENDITURES REPORTING ACT (R.I.G.L. 17-25)

2016

CAMPAIGN FINANCE MANUAL



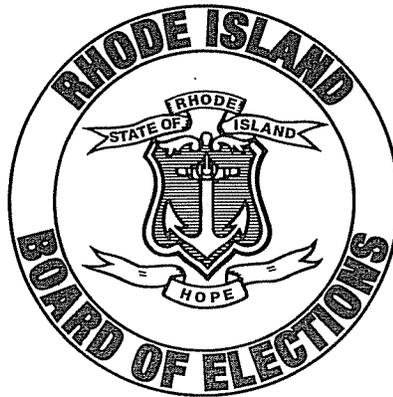
JANUARY 2016

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INTRODUCTION

The Board of Elections (“Board”) revises the Campaign Finance Manual to provide candidates, officeholders and committees with the most recent changes in campaign finance law and guidance on how to comply with campaign finance disclosure and filing requirements set forth in the Rhode Island Campaign Contribution and Expenditures Reporting Act (“Act”). [See 17-25].

This manual is designed to serve as a resource for campaign finance requirements. The Board makes every effort to ensure the accuracy of the information in this publication, but is not liable for errors or omissions of content. Where your legal rights are involved, do not rely on this manual. Instead, review the law yourself or consult your attorney.

If you have any problems or questions not resolved by this manual, please call a member of the campaign finance staff at (401) 222-2345; meet with a member of the campaign finance staff in person; or e-mail the Board at campaign.finance@elections.ri.gov.

For the most up-to-date version of this manual and all forms, please visit the Rhode Island Board of Elections website at www.elections.ri.gov.

1.0 PERSONS AND ENTITIES SUBJECT TO THE CAMPAIGN FINANCE LAWS

1.1 Candidates, Political Action Committees and Political Party Committees

Rhode Island state law requires all candidates for public office, political action committees and political party committees to file periodic reports of campaign contributions and expenditures, even if for such a period, contributions and expenditures shall equal zero. The method by which these contributions and expenditures are reported is determined by the amount of funds raised or expended.

1.1.1 Candidate

A Candidate is defined as any person who undertakes any action whether preliminary or final, which is necessary under the law to qualify for nomination for election or election to public office. This would include receiving any contribution or making any expenditure or giving consent for any other person to receive a contribution or make an expenditure to bring about a nomination or election to any public office even if such office is unknown at that time. A person may be considered a candidate for public office even though such person has not declared himself or herself to be a candidate for public office.

[§17-25-3(a); 17-25-11]

For the purposes of the Act, this shall not include candidates for political party offices, which shall mean a state, city, town, ward, representative or senatorial district committee office of a political party, or a delegate to a political party convention or any similar office, but shall include a candidate who has been elected to public office. [§17-25-3(h)], but shall include a candidate who has been elected to public office.

Withdrawal or termination of candidacy does not relieve the candidate from keeping accurate records and making necessary reports through the time of termination of candidacy or dissolution of the fund, whichever is the later.

[§17-25-3(a); 17-25-7; 17-25-11]

1.1.2 Political Action Committee

A Political Action Committee (PAC) is any group of two (2) or more persons who accepts any contributions to be used for advocating the election or defeat of any candidate or candidates. Only PACs that have accepted contributions from fifteen (15) or more persons in amounts of ten dollars (\$10.00) or more within an "election cycle" shall be permitted to make contributions, and said PACs must make contributions to at least five (5) or more non-Federal RI candidates within the same "election cycle". [See §17-25-3(10)]

- The term "election cycle" means the twenty-four (24) month period commencing on January 1 of odd number years and ending December 31 of even number years; provided, however, with respect to the public financing of election campaigns of General Officers, under §17-25-19; §17-25-20 and §17-25-25, "election cycle" shall mean the forty-eight (48) month period commencing on January 1 of odd number years and ending December 31 of even number years. [§17-25-3(5)]

1.1.3 Political Party Committee

The term Political Party Committee shall mean each state and municipal committee of a political party. A state committee of a political party includes the state committee of each political party and each senatorial and representative district committee. A municipal committee of a political party includes the city and town committees of each political party and each ward committee. [See § 17-12; 17-1-2(6)]

1.2 Lawful Methods of Contributing to Support of Candidates

It shall be lawful for any person, not otherwise prohibited by law and not acting in concert with any other person or group, to expend personally from that person's own funds a sum which is not to be repaid to him or her for any purpose not prohibited by law to support or defeat a candidate; provided, that any person making the expenditure shall be required to report all of his or her expenditures and expenses, if the total of the money so expended exceeds one hundred dollars (\$100) within a calendar year, to the board of elections within seven (7) days of making the expenditure and to the campaign treasurer of the candidate or political party committee on whose behalf the expenditure or contribution was made, or to his or her deputy, within seven (7) days of making the expenditure, who shall cause the expenditures and expenses to be included in his or her reports to the board of elections [See §17-25-10(b)]. Whether a person is "acting in concert with any other person or group" for the purposes of this subsection shall be determined by application of the standards set forth in § 17-25-23.

- "Person" means an individual, partnership, committee, association, corporation, union, charity and/or any other organization. The term "person" shall not include any exempt nonprofit as defined herein or any organization described in § 501(c)(3) of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as amended from time to time, for the purposes of chapter 17-25.3 of the general laws only. [See §17-25-3(9)]

Note: Please refer to “Ballot Question Advocacy and Reporting” [See §17-25.2] for guidance on disclosure and filing requirements for local ballot question advocacy.

Note: Please refer to “Independent Expenditures and Electioneering Communications” [See §17-25.3] for guidance on disclosure and filing requirements for independent expenditures, electioneering communications, covered transfers and statewide referenda.

2.0 DUTIES OF A CANDIDATE

2.1 Notice of Organization

Each candidate shall file a “Notice Of Organization” (Form CF-1) with the Board of Elections upon filing his or her declaration of candidacy or before receiving a contribution or making an expenditure in furtherance or aid of his or her candidacy, ***whichever occurs first***. [See §17-25-8]

The Notice of Organization shall contain:

- The name of the candidate
- Key # (if already assigned by the Board of Elections)
- Street and mailing addresses
- Contact information
- Office sought (if known at the time)
- Party affiliation, if any
- The name, address, contact information and signature of the appointed or designated campaign treasurer or deputy treasurer, signed in the presence of a notary public
- An affidavit, signed by the candidate in the presence of a notary public, in which said candidate agrees to abide by the campaign finance laws of the State of Rhode Island and the Rules and Regulations established by the Board of Elections.

2.2 Appointment or Removal of Treasurers

A candidate may appoint or remove a campaign treasurer or deputy treasurer at any time. Each time a candidate appoints or removes a campaign treasurer or deputy treasurer, he or she shall file a new “Notice of Organization” (Form CF-1) with the Board of Elections indicating the amendment. [See §17-25-8]

A candidate may appoint multiple deputy treasurers. The names and addresses of these campaign treasurers shall also be filed on the “Notice of Organization” (Form CF-1). A person may also serve as the campaign treasurer or deputy treasurer for one or more candidates. [See §17-25-8]

In the event of the death, resignation or removal of a campaign treasurer, the candidate must appoint a successor as soon as practicable and shall file a

new "Notice of Organization" (Form CF-1) with the Board of Elections within ten (10) days. If a candidate fails to file the appropriate "Notice of Organization" (Form CF-1) within the time frame prescribed by law, the board shall immediately deem the candidate to be the campaign treasurer until said "Notice of Organization" (Form CF-1) is received by the Board. [See § 17-25-8(c)]

A candidate may be his or her own treasurer or deputy treasurer. Further, a candidate who fails to designate a campaign treasurer on the "Notice of Organization" (Form CF-1) shall be deemed to be the treasurer by the Board of Elections.

Effective January 1, 2016: Whenever a campaign account containing campaign funds received and expended by a candidate, office holder, or treasurer, receives or expends at least ten thousand dollars (\$10,000) in any year, the account shall require the appointment of a treasurer or deputy treasurer, who shall be a person other than the candidate. For such accounts, a candidate may remain as either a treasurer or deputy treasurer on his or her campaign account; provided, the treasurer or deputy treasurer who is not the candidate shall examine all campaign account records and shall certify to the substantial accuracy of the campaign finance report at the time of filing with the Board of Elections, by filing an "Account Certification" (Form CF-9). [See § 17-25-11.2(a)]

2.3 Responsibilities of a Candidate

Notwithstanding the appointment of a campaign treasurer, a candidate shall be responsible for any contributions accepted or expenditures made on behalf of his or her organization, as well as for any reports required to be filed or the contents and supporting documentation of the reports filed with the Board of Elections. Further, the candidate shall bear full responsibility for the activities of his or her campaign and the campaign's treasurer and deputy treasurer(s), including the payment of fines, fees or penalties. [See §17-25-13(c)]

The candidate shall bear full responsibility for notifying the Board of Elections of any changes of address by amending its "Notice of Organization" (Form CF-1), and that the failure to inform the Board of said change(s) shall not absolve the candidate of his or her responsibilities under the law or rules of the Board.

2.4 Candidates and the Rhode Island Ethics Commission

The general assembly established an independent non-partisan Ethics Commission that adopted a code of ethics including, but not limited to, provisions on conflict of interest, confidential information, use of position, contracts with government agencies and financial disclosure. All elected and

appointed officials and employees of the state and local government, of boards, commissions and agencies are subject to the code of ethics. The Ethics Commission has the authority to investigate violations of the code of ethics and to impose penalties, as provided by law; and the Commission has the power to remove from office officials who are not subject to impeachment.

2.4.1 Candidate Financial Disclosure-Rhode Island Ethics Commission

In addition to the filing requirements for candidates pursuant to the Rhode Island Campaign Contributions and Expenditures Reporting Act, candidates for elective public office, except those candidates for moderator and clerk of a voting district of the cities and towns, must file a **"Financial Disclosure Statement" (Form FS-1)** with the **Rhode Island Ethics Commission** within thirty (30) days of filing declaration of their candidacy. The Commission shall grant an extension for good cause shown of not more than fifteen (15) days, provided a request for an extension is received prior to the filing deadline for the Financial Disclosure Statement. [See §36-14-16 (c)]

The Ethics Commission will forward Financial Disclosure Statement Forms to each new candidate shortly after the candidacy filing deadline.

The failure to file a Financial Disclosure Statement by a state or municipal elected or appointed official is a violation of the law and may subject the official to penalties, including fines.

The filing of the Financial Disclosure Statement with the Ethics Commission is independent of any requirements imposed upon candidates by other governmental agencies.

Additional information regarding Financial Disclosure is available on the Ethics Commission website, www.ethics.ri.gov, or by contacting the Commission.

3.0 DUTIES OF A POLITICAL PARTY COMMITTEE

3.1 Notice of Organization

Each state and municipal committee of a political party shall, on or before January 31 in each calendar year, designate or reaffirm a Chairperson and Treasurer and shall file a "Notice of Organization" (Form CF-1) with the Board of Elections documenting their names and addresses. [See §17-25-9(a)]

The Notice of Organization shall contain:

- The name of the Political Party Committee
- Key #
- Street and mailing addresses
- Contact information
- The name, address, contact information and notarized signature of the appointed, designated or reaffirmed Treasurer or Deputy Treasurer
- An affidavit signed by the Chairperson in the presence of a notary public, in which said Chairperson agrees to abide by the campaign finance laws of the State of Rhode Island and the Rules and Regulations established by the Board of Elections.

3.2 Appointment or Removal of Treasurers

The campaign treasurer of a political party committee may appoint deputy campaign treasurers as may be required. The political party committee shall file a "Notice of Organization" (Form CF-1) with the Board of Elections documenting the names and addresses of all appointed deputy treasurers. [See §17-25-9(b)]

A political party committee may remove at any time its campaign treasurer. In the case of death, resignation or removal of its campaign treasurer, any committee shall appoint a successor as soon as practicable and file a "Notice of Organization" (Form CF-1) with the Board of Elections documenting his or her name and address within ten (10) days of said appointment. [See § 17-25-9(c)]

3.3 Annual Report

Each state and municipal committee of a political party shall file with the Board of Elections, not later than March 1 of each year, an annual report "Summary of Campaign Activity" (Form CF-2) setting forth in the aggregate all contributions received and all expenditures made during the previous calendar year, whether or not these expenditures were made, incurred, or authorized in furtherance of the election or defeat of any candidate. The treasurer of the committee or organization reporting shall certify to the correctness of each report. [See §17-25-7(b)]

Effective January 1, 2016: In addition to the annual report "Summary of Campaign Activity" (Form CF-2), each state and municipal committee of a political party shall also file with the Board of Elections a paper copy of the committee's account statement from its financial institution, which account statement shall be the next account statement issued by their financial institution after the filing of the annual report "Summary of Campaign Activity" (Form CF-2). The account statement shall be submitted to the Board within thirty (30) days of its receipt by the political party committee. [See §17-25-11(c)(2)]

4.0 DUTIES OF A POLITICAL ACTION COMMITTEE (PAC)

4.1 Notice of Organization

No Political Action Committee shall accept any contributions nor make any expenditure prior to filing its "Notice of Organization" (Form CF-1) with the Board of Elections. [See §17-25-15(a)]

The "Notice of Organization" shall contain:

1. The proposed name of the committee
2. The mailing address or addresses of the committee
3. The name, address, contact information and notarized signature of the appointed or designated treasurer or deputy treasurer
4. An affidavit signed by the Chairperson in the presence of a notary public, in which said Chairperson agrees to abide by the campaign finance laws of the State of Rhode Island and the Rules and Regulations established by the Board of Elections
5. The names and addresses of all officers of the committee
6. The identity of any candidates or offices whose election or defeat the committee intends to advocate
7. The goals and purposes of the committee, and
8. A statement indicating whether the membership and/or contributor base of the committee is derived primarily from the employees of one corporation or business entity or from one business or professional group or association or labor union, and, if so, the identity of that employer or group or association or union.

If a political action committee derives more than fifty percent (50%) of its funds from the employees, officers, directors, investors, and/or stockholders of a corporation or other business entity, the name of the political action committee must incorporate the name of that corporation or entity.

[See 17-25-15(e)]

Likewise, if a political action committee derives more than fifty percent (50%) of its funds from persons affiliated with one industry, profession, trade organization or association, or labor union, the name of the political action

committee must identify that industry, profession, trade organization or association, or labor union. [See §17-25-15(e)]

No political action committee shall advocate the election or defeat of any candidate other than that set forth in its "Notice of Organization" (Form CF-1), or amendment to the notice. A political action committee may amend its "Notice of Organization" (Form CF-1) at any time. [See §17-25-15(b)]

The Board of Elections may reject the use by a political action committee of a name that is misleading and/or does not accurately identify the membership or contributor base of the committee. [See §17-25-15(d)]

4.2 Appointment or Removal of Treasurers

Each political action committee shall appoint one treasurer before receiving any contribution or expending any money for the purpose of advocating the election or defeat of any candidate. [See §17-25-8.1(a)]

A committee may appoint or remove a Treasurer or Deputy Treasurer at any time. Each time a committee appoints or removes a Treasurer or Deputy Treasurer, a Notice of Organization (Form CF-1) shall be filed with the Board of Elections indicating the amendment. [See §17-25-8.1(b); §17-25-8.1(c)]

In the event of death, resignation or removal of a Treasurer or Deputy Treasurer, a successor must be appointed as soon as practicable and the committee shall file a new Notice of Organization (Form CF-1) within ten (10) days of the change. [See §17-25-8.1(c)]

5.0 DUTIES OF CAMPAIGN TREASURERS

5.1 Record Keeping

The treasurer or deputy treasurer, as indicated on the "Notice of Organization" (Form CF-1), must file with the Board of Elections reports of contributions received and expenditures incurred in furtherance of the nomination or election of a candidate, and must continue to file reports of contributions received and expenditures incurred following the election, so long as campaign funds remain and the campaign has not filed an "Affidavit Dissolving Campaign Account" (Form CF-7) with the Board of Elections.

The campaign treasurer of each candidate seeking nomination for election or election to public office, and the treasurer of each political action committee and political party committee, shall maintain and preserve all records and supporting documentation for a period of four (4) years, commencing with the date the affidavit, notice, or report was filed. [See §17-25-11.1(a); §17-25-11.1(b)]

5.1.1 Depository Account

For all candidates, officeholders, political party committees and political action committees, the name of the financial institution (Bank or Credit Union) used to deposit campaign receipts and pay campaign expenses must be identified on the organization's "Notice of Organization" (Form CF-1). In the event the depository changes, the Board of Elections must be notified via a new "Notice of Organization" (form CF-1) within ten (10) business days of the change.

Effective January 1, 2016: All campaign funds received and expended by a candidate, office holder, treasurer or deputy treasurer shall be segregated from all other accounts. The candidate or office holder must maintain a separate campaign account, which shall not contain any non-campaign funds, at a financial institution which has a physical branch within the State of RI. The comingling of a candidate's personal or business funds with campaign funds is expressly prohibited. [See § 17-25-5.2(a)]

The provisions of this section shall apply to political action committees, as well as to individual candidates and office holders. [See § 17-25-5.2(b)]

5.2 Who May Receive Contributions or Expend Funds

No contribution shall be made or received, and no expenditures shall be directly made or incurred, to support or defeat a candidate except through:

Effective January 1, 2016: (1) The candidate or duly appointed campaign treasurer or deputy campaign treasurer(s) of the candidate; (2) The duly appointed campaign treasurer or deputy campaign treasurer of a political party committee; or (3) The duly appointed campaign treasurer or deputy campaign treasurer of a political action committee. [See §17-25-10(a)]

5.3 Resignation of a Treasurer or Deputy Treasurer

A treasurer or deputy treasurer of any campaign or committee may resign his or her position by filing a letter of resignation directly with the Board of Elections. In this case, the Board shall, within two (2) business days of the receipt of said letter, notify the candidate, or in the case of a political action committee or political party committee, the chairperson, of the treasurer's resignation. The candidate, political action committee or political party committee shall appoint a successor as soon as practicable and file a "Notice of Organization" (Form CF-1) with the Board of Elections documenting the new treasurer's name and address within ten (10) days of said appointment.

6.0 CAMPAIGN FINANCE REPORTS & SCHEDULES

The Rhode Island Campaign Contributions & Expenditures Reporting Act ("Act") requires that treasurers of candidates, political action committees and political party committees file reports of campaign activities with the Board of Elections ("Board") in accordance with a reporting schedule prescribed herein.
[See §17-25-11]

6.1 Persons Authorized To File

Regardless of whether a report is submitted and received at the Board, any report using paper forms that is signed by someone other than the person(s) designated on the "Notice of Organization" (Form CF-1) on file at the Board shall be returned to the candidate and deemed not filed.

6.2 Campaign Finance Forms

The following is an explanation of various paper forms to be submitted to the Board of Elections.

Refer to *Appendix A* for a copy of each campaign finance form and related instructions.

Form Name	Form Number	Manner of Filing
Notice of Organization	CF-1	This form is used to register a candidate, officeholder, political party committee or PAC with the Board; and/or to appoint/designate or change a campaign treasurer and deputy treasurer(s).
Summary of Campaign Activity	CF-2	This form documents a campaign account's Beginning Cash Balance as of the beginning of a specific reporting period, total contributions and receipts received minus total expenditures and disbursements made during the same reporting period, yielding an Ending Cash Balance as of the period ending date. (Note: The Ending Cash Balance for any report ending period becomes the Beginning Cash Balance for the next following reporting period.)
Schedule of Contributions Received	CF-3	This form is used to list individual and aggregate contributions and receipts received during a specific reporting period, as reported on a Summary Campaign Activity (Form CF-2).
Schedule of Expenditures	CF-4	This form is used to list individual and aggregate expenditures and disbursements made during a specific reporting period, as reported on a Summary of Campaign Activity (Form CF-2).

Affidavit for Annual Filing Exemption	CF-5	This affidavit, when filed, exempts a campaign finance treasurer from filing the scheduled periodic reports of contributions received and expenditures made for a specific report year. Thereafter, a Summary of Campaign Activity (CF-2); a Schedule of Contributions Received (CF-3); and a Schedule of Expenditures (CF-4) must be filed no later than the last day of the month next following the end of the reporting year to report any campaign finance activity occurring within said reporting year.
Affidavit Dissolving Campaign Account	CF-7	This affidavit, when filed, by a campaign treasurer, certifies that there are no remaining campaign funds, the campaign has completed its business and is thereby dissolved.
Schedule of Independent Expenditures, Electioneering Communications or Covered Transfers	CF-8	This form is used by any person, not acting in concert with any other person or group, who has expended funds to support or defeat a candidate, or to support the passage or defeat of a Statewide referendum.
Account Certification (Effective Jan 1, 2016)	CF-9	This form is used by the treasurer or deputy treasurer who is not the candidate to certify that he/she has examined all campaign account records and that the campaign finance report at the time of filing is substantially accurate.

Candidates shall be required to submit reports in the manner prescribed by the Board. Reports shall not be accepted if they are received in any manner other than as original documents, bearing original signatures, or as required, bearing notarized original signatures.

Incomplete reports or reports submitted in a manner which is not in conformance with the requirements set forth herein shall be deemed **not filed**.

NOTE: Copies, facsimiles and other electronically submitted forms shall be deemed not submitted.

6.3 Electronic Filing

See the *ERTS User Manual* for more information on electronic filing of campaign finance reports.

6.4 Reporting Schedules

The **2016 Reporting Schedule** for political action committees, political party committees, and candidates/officeholders with on-going campaigns **NOT** participating in a primary or election, is as follows:

Candidates, Officeholders, PACs and Parties <u>NOT</u> Participating in a Primary or Election in 2016		
Report Name	Reporting Period	Report Due By
On-Going Quarterly (1 st)	January 1 – March 31	May 2
On-Going Quarterly (2 nd)	April 1 – June 30	August 1
On-Going Quarterly (3 rd)	July 1 – September 30	October 31
On-Going Quarterly (4 th)	October 1 – December 31	January 31, 2017

The **2016 Reporting Schedule** for political action committees, political party committees, candidates and office holders with on-going campaigns who are **not** participating in the September 13 primary, but who **are** nominated to appear on the ballot for the November 8 election, is as follows:

Candidates, PACs and Parties with On-Going Campaigns Participating in the November 8, 2016 Election Only (No Primary)		
Report Name	Reporting Period	Report Due By
On-Going Quarterly (1 st)	January 1 – March 31	May 2
On-Going Quarterly (2 nd)	April 1 – June 30	August 1
28 Days Before Election	July 1 – October 10	October 11
7 Days Before Election	October 11 – October 31	November 1
28 Days After Election	November 1– December 5	December 6
On-Going Quarterly (4 th)	December 6–December 31	January 31, 2017

Persons filing “Declarations of Candidacy” during the June declaration period, and who have NO on-going campaign, the Reporting Period begins

with the Date of Declaration and ends October 10, if participating in an Election only, with the Report Due By October 11.

The **2016 Reporting Schedule** for political action committees, political party committees, candidates and officeholders with on-going campaigns who are participating in the September 13 primary, is as follows:

Candidates, PACs and Parties with On-Going Campaigns Participating in the September 13, 2016 Primary, but <u>NOT Nominated</u> for the November 8, 2016 Election		
Report Name	Reporting Period	Report Due By
On-Going Quarterly (1 st)	January 1 – March 31	May 2
On-Going Quarterly (2 nd)	April 1 – June 30	August 1
28 Days Before Primary	July 1 – August 15	August 16
7 Days Before Primary	August 16 – September 5	September 6
28 Days After Primary	September 6 – October 10	October 11
On-Going Quarterly (4 th)	October 11 – December 31	January 31, 2017
Candidates, PACs and Parties with On-Going Campaigns Participating in the September 13, 2016 Primary, who are <u>Nominated</u> for the November 8, 2016 Election		
On-Going Quarterly (1 st)	January 1 – March 31	May 2
On-Going Quarterly (2 nd)	April 1 – June 30	August 1
28 Days Before Primary	July 1 – August 15	August 16
7 Days Before Primary	August 16 – September 5	September 6
28 Days Before Election	September 6– October 10	October 11
7 Days Before Election	October 11 – October 31	November 1
28 Days After Election	November 1 – December 5	December 6
On-Going Quarterly (4 th)	December 6–December 31	January 31, 2017

Persons filing “Declarations of Candidacy” during the June declaration period, and who have NO on-going campaign, the Reporting Period begins with the Date of Declaration and ends August 15, if participating in a Primary, with the Report Due By August 16.

A Campaign Finance Report generally consists of a "Summary of Campaign Activity" (Form CF-2); a "Schedule of Contributions Received" (Form CF-3) and a "Schedule of Expenditures" (Form CF-4).

Unless specified otherwise by a Filing Schedule put forth by the Board of Elections, the On-Going Quarterly reports are due no later than the last day of the month next following the end of the reporting period. Provided, however, if the last day of the month falls on a weekend or a holiday, the report shall be due the following business day. In a contested election, reports required to be filed before and after the primary and election are due by the date next following the end of the reporting period. [See §17-25-11(c)]

Political action committees and political party committees are required to file On-Going reports at ninety (90) day intervals [See §17-25-11(a)(1)], provided however that a political action committee or political party committee contributing to a candidate or candidates in a contested election are deemed to be participating in said election and are thereby required to file reports in accordance with the filing schedule for candidates in an election, commencing with the first reporting period in which the contribution to the candidate or candidates in a contested election was made. [See §17-25-11(a)(2)]

Effective January 1, 2016: In addition to the reports required pursuant to this section, a candidate or office holder shall also file with the Board of Elections a paper copy of the account statement for the candidate's or office holder's campaign account, which account statement shall be the next account statement issued by their financial institution after the filing of the fourth quarterly campaign finance report. The account statement shall be submitted to the Board within thirty (30) days of its receipt by the candidate, office holder, treasurer or deputy treasurer. The account statement is not a public record. [See §17-25-11(c)(2)]

Note: For campaigns involved in a special or off-year election in 2016, please contact the Board of Elections or visit our web site at <http://www.elections.ri.gov> for the appropriate Reporting Schedule.

6.4a Annual Filing Exemption

Notwithstanding the reports detailed above, the treasurer for a candidate or officeholder, political action committee or political party committee may elect to file an "Affidavit For Annual Filing Exemption" (Form CF-5), whereby the treasurer certifies that he or she will accept no contributions in excess of one hundred dollars (\$100.00) in the aggregate from a single source within the calendar year, **including contributions or loans that a candidate may**

make to his or her own campaign, nor make aggregate expenditures in excess of one thousand dollars (\$1,000.00) within the calendar year. When this affidavit is filed, the treasurer is exempt from filing the scheduled periodic or quarterly reports of campaign contributions and expenditures. [See §17-25-11(e)]

The "Affidavit For Annual Filing Exemption" (Form CF-5) must be filed by the due date of the first report scheduled for a campaign.

The campaign treasurer shall file a summary Campaign Finance Report for 2015, due by January 31, 2017, consisting of a "Summary of Campaign Activity" (Form CF-2), a "Schedule of Contributions Received" (Form CF-3) and a "Schedule of Expenditures" (Form CF-4) to report all campaign contributions and expenditures for the entire calendar year.

After executing the "Affidavit For Annual Filing Exemption" (Form CF-5), a candidate, officeholder, political action committee or political party committee who in the calendar year receives contributions in excess of one hundred dollars (\$100.00) in the aggregate from a single source, including from self, or incurs aggregate expenditures in excess of one thousand dollars (\$1,000.00), shall immediately commence filing the required periodic reports, with the first such periodic report due by the due date of the scheduled reporting period in which the contribution and expenditure thresholds were exceeded.

6.4b Dissolving a Campaign Account

Any campaign having completed its business and having no remaining campaign funds may elect to dissolve by having its treasurer file an "Affidavit Dissolving Campaign Account" (Form CF-7). [See §17-25-11(b)]

However, any campaign, having been dissolved, but whose officeholder subsequently raises or expends funds to hold or maintain his or her elected office, must be reactivated by filing a new "Notice of Organization" (Form CF-1), and must file campaign finance reports, commencing with the period in which campaign funds were raised or expended.

Moreover, any campaign having completed its business and having no remaining campaign funds will, nonetheless be considered "Active", and required to file campaign finance reports according to a Reporting Schedule prescribed by the Board of Elections, until such time as an "Affidavit Dissolving Campaign Account" (Form CF-7) is filed by its treasurer. [See §17-25-11(c)]

Any campaign filing an "Affidavit Dissolving Campaign Account" (Form CF-7), shall, as a result, forgive as uncollectible any Loans Payable or Accounts Payable balance remaining at the time of dissolution, regardless of whether

said campaign account is subsequently re-activated. (Note: Any accounts payable balance outstanding at the time a campaign is dissolved shall become the personal obligation of the candidate.)

6.4c Amendments To Reports

When a campaign finance report submitted to the Board of Elections is incomplete or inaccurate, the board shall notify the filer, who, in turn shall amend said report within the time period specified.

Unless otherwise directed by the Board of Elections, a filer may amend a campaign finance report at any time information is incomplete or inaccurate.

In the event an amended report is filed for a period, it may be necessary to amend subsequent reports if there was any change to the beginning or ending cash balances.

Please refer to: **Rules and Regulations For Contributions and Expenditures Reporting** (Appendix D).

6.5 Filing Deadlines

The deadline for the receipt of reports using paper forms will be 4:00 p.m. on the date the report is due. The deadline for the receipt of reports filed electronically using ERTS will be 11:59 p.m. on the date the report is due.

6.5.1 “In-Person” & By Mail Filings

Reports sent through the United States Postal Service, or any alternate mail delivery service, shall be timely filed if they bear a postmark date no later than the date upon which the report was due. Reports presented “in-person” shall be considered filed when the original documents bearing original signatures is received at the Board of Elections.

6.6 Filing Extensions

A candidate or treasurer may, for good cause shown and upon the submission of a written or electronic communication to the Board, request an extension for filing a report. A request for a filing extension must be executed in conformance with the requirements stated herein and be **received** no later than 4:00 p.m. on the date upon which the report is due to be filed. [See §17-25-11(g)(1)]

Requests for filing extensions, unlike reports, will be accepted if transmitted via e-mail or facsimile to the Board.

6.6.1 Filing Extension Schedule

The following table illustrates the maximum filing extension allowed:

FILING EXTENSION SCHEDULE	
Report Type	Maximum Extension Allowed
On-Going Quarterly Reports	7 Days
28 Days Before Primary	3 Days
7 Days Before Primary	None
28 Days After Primary	7 Days
28 Days Before Election	3 Days
7 Days Before Election	None
28 Days After Election	7 Days

6.6.2 Required Information for Filing Extension

In requesting a filing extension, the filer's name, address and telephone number; the name of the committee; the report for which an extension is being sought; the reason for requesting the extension; and the mailing address, e-mail address or facsimile number to which the Board may forthwith communicate its response to the filer's extension request. Extension requests that are not submitted as indicated, will be deemed not received.

6.6.3 Response to Request For Filing Extension

Upon the receipt of an extension request executed in conformance with the requirements stated herein, the Board will, forthwith, approve or reject said extension request and notify the filer of its decision.

a) Approval of Extension Request.

In the event an extension is approved, the report due date will be extended for the amount of days requested or as illustrated in the "Filing Extension Schedule" shown above, whichever is lesser. If said report is not filed within the extension period, the report will be deemed delinquent. (See "Delinquent Reports")

b) Rejection of Extension Request.

If a filer's request for an extension has been submitted and shall have been rejected, the report for which the extension was requested shall be required to be filed by the report's initial due date. A report for which an extension request was rejected shall be deemed to be delinquent upon the passing of the deadline for which the report is due. (See "Delinquent Reports")

7.0 ELECTRONIC FILING

All candidates and committees who are either required or elect to file reports electronically with the Board of Elections must do so via the **Electronic Reporting & Tracking System (ERTS)** according to the instructions and procedures adopted by the Board. [See §17-27-7.6(c)]

Any candidate or committee not required or electing to file campaign reports electronically via ERTS, must nonetheless, continue to file campaign reports using paper forms prescribed by the Board.

7.1 Candidates

Candidates are defined into two groups: Those who are running for Governor, Lieutenant Governor, Attorney General, Secretary of State or General Treasurer (General Office Candidates) and all others (Non-General Office Candidates). The electronic reporting requirements are defined below.

7.1.1 General Office

Any candidate for general office is required to file his or her campaign reports electronically via ERTS. [See §17-25-7.6 (a)(1)]

7.1.2 Non-General Office

All candidates for public office who raise or expend more than ten thousand dollars (\$10,000.00) annually, or whose report shows a balance of twenty-five thousand dollars (\$25,000.00) or more in their campaign fund, shall be required to file their campaign finance reports electronically. [See §17-25-7.6 (a)(2)]

Any candidate not required to file his or her campaign finance report electronically, may elect to file it electronically. [See §17-25-7.6 (a)(2)]

7.1.3 Matching Public Funds

All general office candidates who participate in the matching public funds program will submit their requests electronically using the Board's Electronic Reporting & Tracking System (ERTS).

NOTE: See the Matching Public Funds Manual for further details.

7.2 Political Party Committee

All political party committees, including state political party committees, who raise or expend more than ten thousand dollars (\$10,000.00) annually, or whose report shows a balance of twenty-five thousand dollars (\$25,000.00) or more in their campaign fund, are required to file their campaign finance reports electronically via ERTS. [See §17-25-7.6 (a)(2)]

7.3 Political Action Committee

Political action committees that raise or expend more than ten thousand dollars (\$10,000.00) annually, or whose report shows a balance of twenty-five thousand dollars (\$25,000.00) or more in their campaign fund are required to file their campaign reports electronically via ERTS. [See §17-25-7.6 (a)(3)]

7.4 Electronic Signatures

The execution of any document filed using ERTS that would otherwise be required to be signed and/or notarized will be accepted electronically by the Board (A "Notice of Organization" may be submitted through ERTS but a completed paper Form CF-1 with original notarized signatures, must be delivered to the Board), and the execution of said document(s) will represent the signatures of said parties indicated on the "Notice of Organization" (Form CF-1) on file with the Board.

8.0 NON-COMPLIANCE & PENALTIES

8.1 Delinquent Reports

Any report required to be filed with the Board of Elections on behalf of a candidate, office holder, political action committee, or political party committee pursuant to §17-25 and which was not filed by the date and time required shall be deemed delinquent resulting in a fine of twenty-five dollars (\$25.00).

[See §17-25-11(g)(2)]

A candidate or officeholder, political action committee or political party committee who shall have been granted a filing extension by the Board of Elections and who shall not have filed the report by the end of the extension period shall be deemed delinquent, resulting in a fine of twenty-five dollars (\$25.00).

8.2 Notice Of Non-Compliance & Penalties

The Board of Elections shall send a "Notice of Non-Compliance" via certified mail to the candidate or office holder, or in the case of a PAC or political party committee, the treasurer or chairperson, when a report has been deemed delinquent, resulting in a fine of twenty-five dollars (\$25.00). Upon receipt of the "Notice of Non-Compliance", the candidate or office holder, or in the case of a political action committee or political party committee, the treasurer or chairperson, shall be directed to pay the fine and have seven (7) days to file the required report, provided the report is still outstanding. [See §17-25-11(g)(3)]

A candidate or office holder, political action committee or political party committee who fails to file the required report within seven (7) days of the receipt of the "Notice", shall be fined an additional two dollars (\$2.00) per day from the date of receipt of the "Notice" until the day the report has been received by the Board.

Any person or entity who has been sent a Notice of Non-Compliance via certified mail and who does not claim or sign the return receipt of said Notice, will nonetheless be fined an additional two dollars (\$2.00) per day, with the additional fine commencing fourteen (14) days after the date upon which the Notice of Non-Compliance was sent.

For the purpose of assessing fines which are calculated on a daily basis, pursuant to §17-25-11(g)(3), and which are paid by mail, the postmark date shall be used to determine the date of receipt and the amount of the fine assessed and owed.

8.3 Payment Of Fines, Fees and Penalties

The payment of fines, fees and penalties imposed by the state board for violations of §17-25 shall be paid by the candidate, office holder or entity against whose campaign the fines, fees and penalties have been levied. Fines, fees and penalties levied by the state board pursuant to §17-25 shall not be paid for from contributions or funds available in a campaign account. [See §17-25-13(c)]

Fines may be paid either in-person or by mail and the method of payment accepted shall be cash, check or money order only. Money orders or checks shall be made payable to: "State of Rhode Island – Internal Service Fund".

8.4 Appeals Of Fines

The Board of Elections shall have the authority to waive late filing fines for good cause shown. [See §17-25-11(g)(2,3)]

Parties petitioning the Board for a hearing on appeals of fines must do so in writing.

Please refer to: **Rules and Regulations For The Appealing of Late Fines** (Appendix D).

9.0 CONTRIBUTIONS

A contribution is anything of value given to influence an election. Contributions include all transfers of money, credit or debit card transactions on-line or electronic payment systems such as "Pay Pal", paid personal services, or other things of value given to any candidate, political party committee, political action committee or ballot question advocate. A loan shall be considered a contribution of money until repaid. [See §17-25-3(3)]

- **"Paid personal services"** are personal services of every kind and nature, the cost or consideration for which is paid or provided by someone other than the committee or candidate for whom the services are rendered, but do not include personal services provided without compensation by persons volunteering their time [See §17-25-3(8)];
- **"Other thing of value"** means any items of tangible real or personal property of a fair market value in excess of \$100 [See §17-25-3(7)];
- **"In-kind contribution"** means the monetary value of other things of value or paid personal services donated to any person required to file reports with the Board of Elections. [See R.I.G.L §17-25-3(6)]

9.1 Reporting Contributions

Each campaign treasurer of a candidate, each state and municipal committee of a political party, and each political action committee shall keep accurate records and make a full report, upon a "Schedule of Contributions Received" (Form CF-3), of all contributions received.

9.2 Limitations On Contributions

No individual or political action committee shall make a contribution or contributions, including allowable in-kind contributions, to any candidate or officeholder, political action committee or political party committee, which in the aggregate exceeds one thousand dollars (\$1,000.00) within a calendar year. [See §17-25-10.1(a)(1)]

No individual shall make contributions, including allowable in-kind contributions, to more than one candidate or officeholder, to more than one political action committee, or to more than one political party committee, or to a combination of candidates or officeholders, political action committees and political party committees which in the aggregate exceed ten thousand dollars (\$10,000.00) within a calendar year. [See §17-25-10.1(a)(1)] **[(UPDATE: The U.S. Supreme Court ruled in *McCutcheon v FEC* that limits on aggregate contributions from individuals were not constitutional. Please refer to the related Advisory Opinion adopted by the Board of Elections in August 2015-(Appendix D)]**

No political action committee shall make contributions, including allowable in-kind contributions, to more than one candidate or officeholder, to more than one political action committee, or to more than one political party committee, or to a combination of candidates or officeholders, political action committees and political party committees which in the aggregate exceed twenty-five thousand dollars (\$25,000.00) within a calendar year. [See §17-25-10.1(a)(1)]

No candidate or officeholder, political action committee or political party committee may accept a contribution or contributions, including allowable in-kind contributions, which in the aggregate exceed one thousand dollars (\$1,000.00) within a calendar year from any one individual or political action committee. [See §17-25-10.1(a)(1)]

A political party committee or political party committees may not make a contribution or contributions to a candidate of that political party which in the aggregate exceeds twenty-five thousand dollars (\$25,000.00) within a calendar year. However, there shall be no restriction on the amount of in-kind contributions a political party committee or political party committees may make to a candidate of that political party provided, however that for the purposes of this section only, the cost and preparation and airing of television and/or radio advertisements and the cost of any print advertisements shall not be considered an allowable "in-kind" contribution and shall be subject to the aforementioned aggregate limitation of twenty-five thousand dollars (\$25,000.00). Notwithstanding the above, the political party committee and the candidate must continue to report such contributions. [See §17-25-10.1(e)]

Notwithstanding the limits specified above, a person or political action committee or political party committee may contribute an amount which in the aggregate does not exceed ten thousand dollars (\$10,000.00) within a calendar year to a political party committee, which funds can be utilized for organizational and party building activities, but shall not be used for contributions to candidates state and local for public office. [See §17-25-10.1(a)(2)]

No candidate or officeholder shall accept a contribution or contributions which in the aggregate exceeds one thousand dollars (\$1,000.00) within a calendar year from any one individual or political action committee. [See R.I.G.L 17-25-10.1(a)]

However, a candidate may make a contribution or contributions in excess of the one thousand dollar (\$1,000.00) annual limit to his or her own campaign, and nothing herein shall be construed to restrict the amount of money that a candidate can borrow in his or her own name and, subsequently, contribute or loan to his or her own campaign. [See §17-25-10.1(g)]

9.2.1 Contributions from Dependent Children

A contribution from an individual's "dependent child" shall be deemed a contribution from the individual for purposes of determining whether aggregate contributions exceed either the one hundred dollar (\$100.00) threshold for reporting purposes or the one thousand dollar (\$1,000.00) maximum for contributions to a single candidate or political action committee or ten thousand dollar (\$10,000.00) maximum for contributing to all candidates and political action committees within a calendar year. No dependent child shall contribute an amount which, when added to contributions already made by that child's parent or legal guardian and by other dependent children of that parent or legal guardian, exceed the one thousand dollar (\$1,000.00) maximum for contributions to a single candidate or political action committee or exceed the ten thousand dollar (\$10,000.00) maximum for contributions to all candidates, political action committees and political party committees within a calendar year. [See R.I.G.L 17-25-10.1(f)]

- "Dependent child" is defined in §36-14-2 as a person's natural child, adopted child or stepchild if such person, during any calendar year, provides over 50% of the child's support during such calendar year.

It shall be the responsibility of the candidate, political action committee or political party committee receiving contributions to ascertain whether any individual contributor is the "dependent child" of another person so as to be able to determine whether such other person is to be chargeable for contributions made by such dependent child. In addition to maintaining records of the name, address and place of employment of all contributors, candidates, political action committees and political party committees should also maintain records indicating a contributor's status as a dependent child.

A contribution to a named candidate made to any political committee authorized by that candidate to accept contributions on his or her behalf shall be considered to be a contribution made to the candidate. Contributions to a candidate by a political committee for another person shall be considered to be contributions by that person. [See R.I.G.L 17-25-10.1 (b)]

Expenditures made by any person in cooperation, consultation or concert with, or at the request or suggestion of, a candidate or his or her authorized political committees or agents shall be considered contributions to that candidate. [See R.I.G.L 17-25-10.1(c)]

The payment or financing by any person of the dissemination, distribution, republication, in whole or in part, of any broadcast or any written, graphic or other form of campaign materials prepared by the candidate, his campaign committees or their authorized agents shall be considered a contribution to the candidate. [See R.I.G.L 17-25-10.1(d)]

9.3 CONTRIBUTIONS MADE & RECEIVED IN EXCESS OF THE ALLOWABLE ANNUAL CONTRIBUTION LIMITS

The Board has established a schedule of fines and penalties for those contributions made and received by individuals, candidates/officeholders and entities in accordance with the Rhode Island Campaign Contributions & Expenditures Reporting Act ("Act") and which exceed the allowable annual contribution limits permitted by the Act.

Refer to: **Policy on Fines and Penalties for Contributions Made & Received in Excess of the Allowable Annual Contribution Limits** (Appendix D).

9.4 Transaction Types

There are eight (8) transaction types by which a campaign may receive contributions: Cash, Check, Money Order, Credit/Debit Card, Electronic Pay System, In-Kind, Loan and Other. Each transaction type is discussed below.

9.4.1 Cash

Campaigns may accept cash contributions that do not exceed twenty-five dollars (\$25) in the aggregate from an individual within a calendar year, and such cash contributions must be delivered directly by the donor to the campaign treasurer or deputy treasurer, or candidate if he or she is appointed as the treasurer or deputy treasurer. The campaign treasurer or deputy treasurer shall maintain records of the name and address of all persons making such cash contributions. Except as provided herein, all other cash contributions are prohibited. [See §17-25-10.1(i)]

9.4.2 Check, Money Order, Credit/Debit Card and via Electronic Pay System

Contributions of funds may be by check, money order, or credit or debit card and may be made over the Internet and via electronic payment systems such as "PayPal", but in each case the original source of funds must be identified [See §17-25-10.1(i)]: provided, however, that candidates may accept cash contributions under the limits and conditions specified in a previous section.

9.4.3 In-Kind

An In-Kind contribution is the monetary value of paid services, or other things of value donated to any person required to file reports with the Board of Elections. The value of an in-kind contribution is determined by the fair market value or prevailing commercial rate of the goods, services or other

thing of value contributed. Moreover, an expenditure made by any person in cooperation, consultation or concert with, or at the request or suggestion of, a candidate's campaign is also considered an in-kind contribution to the candidate.

9.4.3.1 Limits On In-Kind Contributions

The value of an allowable in-kind contribution counts towards the aggregate annual contribution limits specified herein. However, there shall be no restriction on the amount of in-kind contributions a political party committee or political party committees may make to a candidate of that political party. However, for the purposes of this section, the cost and preparation and airing of television and/or radio advertisements and the cost of any print advertisements shall not be considered an allowable "in-kind" contribution and shall be subject to the aforementioned aggregate limitation of twenty-five thousand dollars (\$25,000.00). [See §17-25-10.1(e)]

9.4.3.2 Donor Required To Notify Recipient Of Value Of In-Kind Contribution

Expenditures made by any person in cooperation, consultation or concert with, or at the request or suggestion of, a candidate, the candidate's authorized political committees, or their agents shall be considered to be a contribution to the candidate [See §17-25-10.1(c)]. The person is required to notify the recipient candidate or committee of the value of said in-kind contribution. However, it is the responsibility of the candidate or committee to make their "best effort" to obtain the correct value of an in-kind contribution.

9.4.4 Loan

A loan shall be considered a contribution of money until it is repaid. There shall be no restriction on the amount of money that a candidate can borrow under his or her own name, and subsequently contribute or loan to his or her own campaign. [See §17-25-10.1(g)]

9.4.5 Other

Other types of transactions by which a campaign may receive or report contributions include Interest Received, Refunds or Rebates, Other Receipts and Aggregate.

9.5 Contribution Types

For the purpose of this section, contribution types include: a contribution from an individual; a contribution from a political action committee or political party committee; aggregate contributions from individuals, political action committees or political party committees: loan proceeds; in-kind contributions from an individual, political action committee or political party committee; interest received; refunds and rebates; other receipts and matching public funds.

9.5.1 Individual

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) all contributions received in excess of a total of one hundred dollars (\$100.00) from any individual within a calendar year. The schedule shall contain the name, address and place of employment of each person from whom contributions in excess of one hundred dollars (\$100.00) were received within a calendar year, the amount contributed by each person and the date(s) the contribution(s) were received. [See §17-25-11(a)(3)(i)]

9.5.1a Treasurer's Best Efforts to Obtain Contributor Place of Employment

The treasurer of any candidate, political action committee or political party committee must make his or her best efforts to obtain and maintain the information required by RI campaign finance law with respect to a contributor's place of employment. When the reporting information is incomplete, the treasurer must demonstrate that "best efforts" were used in trying to obtain and report the needed information. To demonstrate "best efforts", the treasurer must be able to show:

1. The campaign requested the required information in the solicitation materials that prompted the contribution, and
2. The campaign made at least one follow-up request to the contributor within 30 days of receipt of the contribution and the follow-up request must be made in writing. Campaigns must retain records of follow-up requests.

If the contributor does not respond to the follow-up request, but the campaign possesses information in its contributor records, fundraising records or prior reports filed during the same election cycle, then the committee may use that information when disclosing the contribution.

If the requested information is not received until after the contribution has been reported on a "Summary of Campaign Activity" (Form CF-2) and "Schedule of Contributions Received" (Form CF-3) for a reporting period prescribed by the Board, the treasurer must report the information by filing an amended "Schedule of Contributions Received" (Form CF-3) for that same reporting period.

Note: Listing a contributor's occupation or reporting a contributor as self-employed does not meet the requirement of reporting the contributor's place of employment, unless accompanied by the address of employment.

9.5.2 Aggregate/Individual

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) all contributions received NOT in excess of a total of

one hundred dollars (\$100.00) from any individual, political action committee and political party committee within a calendar year. [See §17-25-11] The treasurer may elect to report such contributions as an aggregate total, in which case the name, home address and place of employment of individual contributors are not required to be reported, but must be maintained by the treasurer.

9.5.3 Political Action Committee (PAC)

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) all contributions received in excess of a total of one hundred dollars (\$100.00) from any political action committee within a calendar year. The schedule shall contain the name and address of each political action committee from which contributions in excess of one hundred dollars (\$100.00) were received within a calendar year, the amount contributed by each political action committee and the dates the contributions were received. [See §17-25-11(a)(3)(i)]

Contributions may only be accepted from political action committees that are registered and qualified in the State of Rhode Island. [See §17-25-10.1(j)]

9.5.3a Aggregate/Political Action Committee (PAC)

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) all contributions received NOT in excess of a total of one hundred dollars (\$100.00) from any political action committee within a calendar year. The treasurer may elect to report such contributions as an aggregate total, in which case the names and addresses of the political action committees are not required to be reported but must be maintained by the treasurer. [See §17-25-11].

9.5.4 Political Party Committee

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) all contributions received in excess of a total of one hundred dollars (\$100.00) from any political party committee within a calendar year. The schedule shall contain the name and address of each political party committee from which contributions in excess of one hundred dollars (\$100.00) were received within a calendar year, the amount contributed by each political party committee and the dates the contributions were received. [See §17-25-11(a)(3)(i)]

Contributions may only be accepted from political party committees that are authorized by the State of Rhode Island. [See §17-25-10.1(j)]

9.5.4a Aggregate/Political Party Committee

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) all contributions received NOT in excess of a total of

one hundred dollars (\$100.00) from any political party committee within a calendar year. The treasurer may elect to report such contributions as an aggregate total, in which case the names and addresses of the political party committees are not required to be reported but must be maintained by the treasurer [See §17-25-11].

9.5.5 Loan Proceeds

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) the cash receipt of any loan as Loan Proceeds with a corresponding liability of said loan as a Loans Payable. A loan is considered a contribution of money until it is repaid. Repayment on a loan reduces the amount of the contribution and the corresponding Loans Payable balance.

Any campaign accepting proceeds from a loan from someone other than a candidate to his or her own campaign, shall adhere to the annual contribution limits identified herein. There is no limit on the amount of funds a candidate may loan his or her own campaign. [See §17-25-10.1(g)]

Any treasurer of a candidate, political action committee or political party committee filing an "Affidavit Dissolving Campaign Account" (Form CF-7), shall, as a result, forgive as uncollectible any Loans Payable balance remaining at the time of dissolution, regardless of whether said campaign account is subsequently re-activated.

9.5.6 In-Kind (Individual)

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) the value of any good, service, or other thing of value donated by an individual; the name, address, and place of employment of the individual contributor and the date of the contribution.

9.5.7 In-Kind (Political Party Committee)

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) the value of any good, service, or other thing of value donated by a political party committee; the name and address of the political party committee and the date of the contribution.

9.5.8 In-Kind (Political Action Committee)

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) the value of any good, service, or other thing of value donated by a political action committee; the name and address of the political action committee and the date of the contribution

9.5.9 Interest Received

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) any interest received from having campaign funds in an interest bearing account; the source of the interest, and date the interest was received.

9.5.10 Refund/Rebate

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) any rebate or refund received from any previously recorded expenditure; the source of the rebate or refund, and the date the rebate or refund was received.

9.5.11 Other Receipt

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) any funds received from a source other than those identified above; the source of the other receipt, and the date the other receipt was received.

9.5.12 Matching Public Funds

Only general office candidates who participate in the matching funds program use this contribution type code. See the *"Campaign Finance Manual for the Public Financing of Campaigns for Candidates for General Office"* for more information.

9.6 Lawful Methods Of Contributing

This section explains the lawful methods of contributing to support or defeat a candidate.

9.6.1 Contributions Through Campaign Treasurer

No contribution may be made or received, and no expenditures shall be directly made or incurred, to support or defeat a candidate except through: **Effective January 1, 2016:** 1) the candidate or duly appointed campaign treasurer or deputy campaign treasurers of the candidate; 2) the duly appointed campaign treasurer or deputy campaign treasurers of the political party committee; or 3) the duly appointed campaign treasurer of deputy campaign treasurers of the political action committee. [See § 17-25-10(a)]

9.6.2 Only Individuals, PACs And Political Party Committees May Make Contributions

No entity other than an individual, a political action committee which is duly registered and qualified pursuant to the terms of this chapter, political party committee organized pursuant to Title 17 of the Rhode Island General Laws,

or an authorized committee of an elected official or candidate established pursuant to this chapter shall make any contribution to or any expenditure on behalf of or in opposition to any candidate, political action committee or political party. [See §17-25-10.1(c); §17-25-10.1(j)]

9.7 Unlawful Contributions

This section explains the unlawful methods of contributing to support or defeat a candidate.

9.7.1 Anonymous Or Third-Party Contributions

Contributions may not be made and expenditures may not be made or incurred anonymously, that is, without the identity and address of the contributor, in a fictitious name, or by one person or group in the name of another. A treasurer or candidate may not solicit or knowingly accept any such contribution. An anonymous contribution may not be used or expended. An anonymous contribution must be returned to the donor if his or her identity can be ascertained; if it cannot, the contribution shall escheat to the state of Rhode Island. [See §17-25-10(c); §17-25-12]

9.7.2 Solicitation Of Contributions From Classified State Employees

No classified employee or member of the personnel appeal board may solicit contributions for nor may he or she be solicited to contribute to any political party or campaign. Every state government officer, agent, clerk, or employee who has charge or control in any building, office, or room occupied for any state government purpose must not permit any person to enter for the purpose of making, collecting, receiving, or giving notice of any political assessment, subscription, or contribution, and no person may enter, or remain in any such facility or end or direct any letter or other notice there for the purpose of giving notice of, demanding, or collecting a political assessment, subscription or contribution. [See §36-4-53] Any person violating the provisions of §36-4-53 shall be deemed guilty of a misdemeanor under §36-4-56

9.7.3 Contributions By Corporations And Other Business Entities Prohibited

It shall be unlawful for any corporation or other business entity to make any campaign contribution or expenditure to or for any candidate, political action committee or political party committee, and it shall also be unlawful for any candidate, political action committee or political party committee to accept any such contribution from such business entity. Any contribution made in the personal name of any employee of a business entity for which the employee received or will receive reimbursement from such business entity shall be considered a contribution by said business entity, in violation of the prohibition on such contributions by business entities. [See §17-25-10.1(h)]

9.8 Refunding Contributions

Any campaign accepting a contribution or contributions from any one source in a calendar year in excess of the aggregate amount allowable shall be required to refund any amount that is in excess of the aggregate amount allowable. Further, any campaign accepting a contribution or contributions from any source that is not allowable as specified herein shall be required to refund the entire amount of the contribution or contributions. Evidence of the refund must be provided to the Board of Elections and shall consist of a copy of the front and back of the check executed to return said contribution or contributions.

Any campaign refunding a contribution or contributions received shall report said refund on a "Schedule of Expenditures" (Form CF-4) and must also disclose the date the original contribution or contributions were received. For those campaigns utilizing electronic filing, see the "ERTS" system documentation for details on how to complete this transaction.

9.9 Unused Campaign Funds

Any campaign funds not used for gaining or holding public office may be:

1. **maintained** in a campaign account;
2. **donated** to another candidate for public office, to a political action committee, or political organization, subject to the limitations of §17-25-10.1;
3. **transferred** into a newly established political action committee or ballot question advocate;
4. **donated** to charity;
5. **donated** to the state of Rhode Island; or
6. **returned** to the donor. [See §17-25-7.2]

9.10 Testimonials

No candidate for public office or any elected public office holder may accept the proceeds of any testimonial for personal use which were received after April 29, 1992, but testimonials to raise campaign funds shall continue to be lawful. [See §17-25-7.3]

9.11 Summary of Allowable and Prohibited Contributions

Please refer to: **Summary Chart Of Allowable And Prohibited Contributions** (Appendix C).

10.0 EXPENDITURES

Expenditures include all transfers of money, paid personal services, or other things of value by any candidate, officeholder, political party committee, political action committee or ballot question advocate. [See §17-25-3(3)]

10.1 Disbursement Types

There are five (5) transaction types for which a candidate, political action committee or political party committee may expend funds: Campaign Expenditure; Aggregate Expenditure; Repayment of Loan; Accounts Payable; and Accounts Payable Repayment. Each disbursement type is discussed below.

10.1.2 Campaign Expenditure

Each treasurer of a candidate, political action committee or political party committee shall be required to disclose on a "Schedule of Expenditures" (Form CF-4) all expenditures incurred or made to any person or vendor in excess of a total of one hundred dollars (\$100) within a calendar year. The schedule shall contain the name and address of each person or vendor to whom expenditures in excess of one hundred dollars (\$100) were incurred or made within a calendar year, the amount disbursed to each person or vendor, the date the expenditure was incurred or made and the purpose of the expenditure. [See §17-25-11(a)(3)(iii,iv)]

10.1.3 Aggregate Expenditure

Each treasurer of a candidate, political action committee or political party committee shall be required to disclose on a "Schedule of Expenditures" (Form CF-4) all expenditures incurred or made to any person or vendor NOT in excess of a total of one hundred dollars (\$100) within a calendar year. The treasurer may elect to report such expenditures as an aggregate total, in which case the name and address of the persons or vendors are not required to be reported but must be maintained by the treasurer [See §17-25-11(a)].

10.1.4 Repayment of Loan

Each treasurer of a candidate, political action committee or political party committee shall be required to disclose on a "Schedule of Expenditures" (Form CF-4) any campaign funds disbursed to repay all or part of any loan made to the campaign.

Campaign contributions received cannot be used to repay cumulative personal loans incurred on or after April 29, 1992 by a candidate to his or her own campaign in excess of two hundred thousand dollars (\$200,000) during an election cycle. [See §17-25-7.4]

10.1.5 Accounts Payable

Each treasurer of a candidate, political action committee or political party committee shall be required to disclose on a "Schedule of Expenditures" (Form CF-4) any accounts payable incurred for goods or services received, but not paid for at the time of receipt. An example would be expenditures made by credit card. The schedule shall contain the name and address of each person or vendor to whom the accounts payable is owed, the amount owed to each person or vendor, the date the payable was incurred and the purpose of the expenditure.

10.1.6 Accounts Payable Repayment

Each treasurer of a candidate, political action committee or political party committee shall be required to disclose on a "Schedule of Expenditures" (Form CF-4) any payment of expenditures that were previously reported as accounts payable.

With respect to the reporting of expenditures in which payments are made to an individual associated with any organization required to file reports with the Board of Elections, or to the issuer of a credit or charge card who, in turn, has paid or will pay the actual provider of the good, service or other thing of value, the reporting of the name and address of the individual or issuer and the amount and purpose of the payment to the individual or issuer if in excess of one hundred dollars (\$100.00), together with the name and address of the actual provider of the good, service or other thing of value exceeding one hundred dollars (\$100.00) in total and the amount and purpose of each such expenditure shall be required. For payments made to the actual provider of the good, service or other thing of value NOT in excess of a total of one hundred dollars (\$100.00) within a calendar year, such payments may be reported as an aggregate total, in which case the name and address of the actual provider of the good, service or other thing of value is not required to be reported but must be maintained by the treasurer.

10.2 Expenditure Types

For the purpose of this section, expenditure types include: Advertising; Bank Fees; Consultant & Professional Services; Donations (Political); Donations (All Others); Employee Services; Entertainment; Food, Beverages and Meals; Fundraising Expenses; Gifts; Office Equipment & Supplies; Other; Rent & Utilities; Telephone; Travel & Lodging; Loan Payment and Refunds/Reimbursements.

10.2.1 Advertising

This expenditure type code is used when a campaign uses funds to pay for advertising. This includes, but is not limited to: printing, brochures, signs, billboards, radio and television advertising, postage and mailings.

10.2.2 Bank Fees

This expenditure type code is used when a campaign uses funds to pay bank fees associated with the campaign account(s) such as service or maintenance fees.

10.2.3 Consultant & Professional Services

This expenditure type code is used when a campaign uses funds to pay for contracted and professional services. These services include, but are not limited to: Polls & Surveys, Legal & Accounting, Campaign Consultants, etc.

10.2.4 Donations (Political)

This expenditure type code is used when a campaign uses funds to contribute to any non-Federal Rhode Island candidate or officeholder, political action committee or political party committee.

10.2.5 Donations (All Others)

This expenditure type code is used when a campaign uses funds to contribute to any Federal or non-Rhode Island candidate or officeholder; or to provide a monetary gift to any charitable organization, provided the donor does not personally benefit from the donation or receive compensation from the recipient organization.

10.2.6 Employee Services

This expenditure type code is used when a campaign uses funds to pay employees of its own organization, or to reimburse employees of its own organization for monies that were expended by them for goods, personal services, or other thing of value for the campaign.

10.2.7 Entertainment

This expenditure type code is used when a campaign uses funds for entertainment purposes, provided however that the entertainment is part of a specific campaign or officeholder activity.

10.2.8 Food, Beverages and Meals

This expenditure type code is used when a campaign uses funds to purchase food or beverages, including meals, provided however that the food, beverages or meals are purchased as part of a campaign or officeholder activity or as a part of a function that is related to the candidate's or officeholder's responsibilities, including meals between and among candidates and/or officeholders that are incurred as an ordinary and necessary expense of seeking, holding or maintaining public office, or seeking, holding or maintaining a position within the legislature or other publicly elected body.

10.2.9 Fundraising Expenses

This expenditure type code is used when a campaign uses funds to pay expenses related to a fundraising event, except for those expenses that would be otherwise reported separately as expenditure types specified herein.

10.2.10 Gifts

This expenditure type code is used when a campaign uses funds to purchase gifts of nominal value or make donations of a nominal amount for a special occasion such as a holiday, graduation, marriage, retirement or death, unless made to a member of the candidate's or officeholder's family.

10.2.11 Office Equipment & Supplies

This expenditure type code is used when a campaign uses funds to purchase office equipment and supplies used solely for the purpose of seeking, holding or maintaining office.

10.2.12 Other

This expenditure type code is used when a campaign uses funds to purchase or pay for any good, service, or other thing of value, except for any purchase or payment that would be otherwise reported separately as an expenditure type specified herein, to gain or hold public office.

10.2.13 Rent & Utilities

This expenditure type code is used when a campaign uses funds for the rental of office space or to pay utility costs associated with said rental of space, provided however that the rent and utility costs were incurred as part of a campaign or officeholder activity.

10.2.14 Telephone

This expenditure type code is used when an organization expends campaign funds on telephone charges, provided however that the telephone charges were incurred as part of a campaign or officeholder activity.

10.2.15 Travel & Lodging

This expenditure type code is used when an organization expends campaign funds on travel expenses for a candidate or officeholder, provided that the travel is undertaken as an ordinary and necessary expense of seeking, holding, or maintaining public office, or seeking, holding, or maintaining a position within the legislature or other publicly elected body. If a candidate or officeholder uses campaign funds to pay expenses associated with travel that involves both personal activities and campaign or officeholder activities, the incremental expenses that were incurred from the personal activities are to be repaid to the campaign within thirty (30) days.

10.2.16 Loan Payment

This expenditure type code is used when an organization expends campaign funds to repay all, or any portion, of a loan previously received.

10.2.17 Refunds/Reimbursements

This expenditure type code is used when an organization expends campaign funds to repay all, or any portion, of accounts payable previously incurred.

10.3 Permitted/Prohibited Uses of Campaign Funds

The law prohibits the "personal use", by any elected public office holder or by any candidate for public office, of any contributions after April 29, 1992.

- "Personal use" is defined as any use other than expenditures made for gaining or holding office and for which the candidate or officeholder would be required to pay taxes on such money. [See §17-25-7.2]

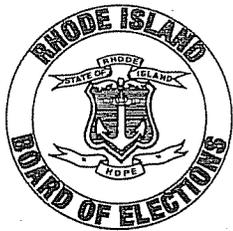
Please refer to: **Policy on the Permitted/Prohibited Uses of Campaign Funds** (Appendix D).

10.4 Petty Cash Fund

The treasurer of a committee is permitted to establish a single petty cash fund by drawing a check on the committee's account in an amount that may not exceed one hundred dollars (\$100.00). The treasurer may replenish the petty cash fund from time to time provided that the total balance of the fund may never exceed one hundred dollars (\$100.00) and provided further that the fund is not replenished more than twice in any seven (7) day period.

Expenditures made from petty cash are limited to twenty-five dollars (\$25.00) per transaction and must be reported by the treasurer in the same manner as any other expenditure. The treasurer must maintain a written account of all petty cash expenditures and keep such records for four (4) years from the filing date.

APPENDIX A



State of Rhode Island and Providence Plantations

Board of Elections
Campaign Finance Unit
50 Branch Avenue, Providence, Rhode Island 02904
Tel. (401) 222-2345
www.elections.ri.gov

Time Stamp
(For Office Use Only)

NOTICE OF ORGANIZATION (CF-1)

Notice of Organization for:

- Candidate or Officeholder
Political Party Committee
Political Action Committee (PAC) (Complete Back of Form)

Purpose:

- Initial Notice of Organization
Amendment to Notice of Organization
Change of Treasurer or Deputy Treasurer
Annual Political Party Treasurer's Filing

Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC) Key #

Street Address City/Town, State and Zip Code

Mailing Address (if different) City/Town, State and Zip Code

Telephone Number Daytime Telephone Number Fax Number E-mail Address

If a Candidate, office being sought:

Party Affiliation, if any: Democratic Republican Other

APPOINTMENT/DESIGNATION OF TREASURER

As a Candidate, Officeholder or Chairperson of a Political Party or PAC named herein, I hereby:

- Designate as Treasurer Remove as Treasurer Designate as Deputy Treasurer Remove as Deputy Treasurer

the person named below, as required by law:

Name of Treasurer/Deputy Treasurer Telephone Number Daytime Telephone Number Fax Number

Street Address City/Town, State and Zip Code E-mail Address

Mailing Address (if different) City/Town, State and Zip Code

Signature of Appointee Date Subscribed and sworn before me this ___ day of ___ 20__ Notary Public

APPOINTMENT/DESIGNATION OF TREASURER (if adding or removing more than one individual)

As a Candidate, Officeholder, or Chairperson of a Political Party or PAC named herein, I hereby:

- Designate as Treasurer Remove as Treasurer Designate as Deputy Treasurer Remove as Deputy Treasurer

the person named below, as required by law:

Name of Treasurer/Deputy Treasurer Telephone Number Daytime Telephone Number Fax Number

Street Address City/Town, State and Zip Code E-mail Address

Mailing Address (if different) City/Town, State and Zip Code

Signature of Appointee Date Subscribed and sworn before me this ___ day of ___ 20__ Notary Public

Campaign Account Depositories:

Name(s) of Institution(s) Number of Accounts (Example: One, Two) Type of Account (Example: Checking, Savings)

Please attached additional sheets, if necessary
PLEASE COMPLETE BACK OF FORM

AFFIDAVIT

I, _____, agree to abide by the
(Candidate, Officeholder, or Chairperson of Political Party Committee or PAC)

campaign finance laws of the State of Rhode Island and the rules and regulations ("rules") established by the Board of Elections ("Board") including, but not limited to, the prescribed manner and format for the reporting of all contributions and expenditures.

I hereby authorize the Treasurer/Deputy Treasurer appointed herein to act on my behalf and to perform all acts necessary to comply with the campaign finance laws of this state and the rules established by the Board and that the appointee's original signature indicates my specific authorization to act on my behalf.

I understand that I, and the Treasurer/Deputy Treasurer appointed herein, when issued a Personal Identification Number ("PIN") by the Board for the purpose of electronically filing reports and/or communications, that use of said PIN shall constitute my specific authorization to act on my behalf.

I understand that all communications by the Board to either myself or the Treasurer/Deputy Treasurer shall be directed to the mailing address(es) provided herein and that I am responsible for the receipt of all correspondence mailed to said address(es). Moreover, I understand that I am responsible for notifying the Board of any changes of address and that the failure to inform the Board of said change(s) shall not absolve me of my responsibilities under the law or rules of the Board.

I understand that I will be deemed to be the Treasurer if an amended "Notice of Organization" designating a new Treasurer is not received by the Board within ten (10) days of the death, resignation or removal of the Treasurer.

Notwithstanding the above, I acknowledge that I am ultimately solely and fully responsible for the activities of my campaign and/or committee including all reporting requirements and the payment of any and all fines assessed.

<p>x _____ Signature of Candidate, Officeholder or Chairperson of Political Party or Political Action Committee (PAC)</p>	<p>_____ Date</p>	<p>Subscribed and sworn before me this ____ day of _____ 20 ____.</p> <p>X _____ X _____ Notary Public Signature Notary Public (Print Name)</p>
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ADDITIONAL INFORMATION REQUIRED FROM POLITICAL ACTION COMMITTEE (PAC)

Name of Political Action Committee (PAC) Supporting or Opposing a Candidate (name as indicated on front of this form)

Name(s) and Address(es) of Officer(s) of Political Action Committee (PAC): (Attach additional list if necessary)

Name(s)	Title of Officer	Address	Telephone Number

Name(s) of any Candidate(s) whose election or defeat the Committee intends to advocate:

Election Defeat _____
Name(s) of Candidate(s)

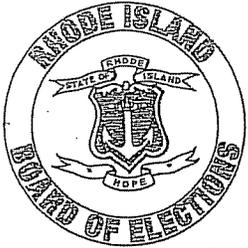
The membership and/or contributor base of the Political Action Committee is derived from the employees of one corporation or business entity or from one business or professional group or association or labor union. Yes No

If yes, identify the employer group, association or union: _____

Any report not completed properly will be returned and deemed not filed.
Only original signatures of candidates, treasurers and deputy treasurers need to be notarized.
If you have any questions on how to complete this form, please contact the Board of Elections.

PENALTIES: Any person violating the provisions of the Rhode Island Campaign Contributions and Expenditures Reporting Act (Chapter 25 of Title 17 of the Rhode Island General Laws) shall be subject to civil and/or criminal penalties.

Please see reverse side for instructions on how to complete this form.



State of Rhode Island and Providence Plantations
Board of Elections

Campaign Finance Unit
 50 Branch Avenue, Providence, Rhode Island 02904
 Telephone No. (401) 222-2345
 www.elections.ri.gov

SUMMARY OF CAMPAIGN ACTIVITY (CF-2)

Time Stamp
 (For Office Use Only)

Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC)

Organization Key #

Street Address		City/Town, State and Zip Code	
Mailing Address (if different)		City/Town, State and Zip Code	
Telephone Number	Daytime Telephone Number	Fax Number	E-mail Address

Reporting Period (Dates): _____ Amended Report
 Yes No

Period Beginning: _____ Period Ending: _____

Summary of Activity for Reporting Period		Campaign Fund Status	
1. Beginning Cash Balance	\$ _____	Assets	
2. Cash Receipts		7. Cash (Enter Amount from Line 5)	\$ _____
a. Contributions From:		8. Other Assets	\$ _____
1. Individuals	\$ _____	_____	\$ _____
2. Political Parties	\$ _____	_____	\$ _____
3. Political Action Committees	\$ _____	_____	\$ _____
4. Loan Proceeds	\$ _____	9. Total Assets (Add Lines 7 + 8)	\$ _____
5. Payroll Check Off (PAC's Only)	\$ _____		
b. Other Receipts		Liabilities and Fund Balance	
_____	\$ _____	10. Liabilities	
_____	\$ _____	a. Accounts Payable	\$ _____
_____	\$ _____	b. Loans Payable	\$ _____
3. Total Cash Available (Add Lines 1 + 2a + 2b)	\$ _____	c. Other Liabilities	\$ _____
		_____	\$ _____
4. Cash Disbursements		_____	\$ _____
a. Campaign Expenses	\$ _____	_____	\$ _____
b. Repayment of Loans	\$ _____	11. Total Liabilities (Add Lines 10a+10b+10c)	\$ _____
c. Other Disbursements	\$ _____		
_____	\$ _____	12. Total Fund Balance (Line 9 - Line 11)	\$ _____
_____	\$ _____		
5. Ending Cash Balance (Line 3 - 4a - 4b - 4c)	\$ _____	13. Total Funds Available (Line 5 - Line 11)	\$ _____
6. Report of In-Kind Contributions	\$ _____		

I hereby certify that this report of campaign contributions and expenditures and the supporting documents are complete, true and correct.

X _____ Date

_____ Print Name of Person Completing Report

_____ Title of Person Completing Report

INSTRUCTIONS

The information reported is required under the Rhode Island Campaign Contributions and Expenditures Reporting Act of 1974 as amended.

Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC) – Enter the full name of the candidate, officeholder, political party committee or political action committee as reported on the "Notice of Organization" (Form CF-1).

Organization Key # – Enter the unique number assigned to this organization by the Board of Elections.

Street Address – Enter the address of this organization as reported on the "Notice of Organization" (Form CF-1).

City/Town, State & Zip Code – Enter the City/Town, State and Zip Code as reported on the "Notice of Organization" (Form CF-1).

Mailing Address – Enter the address where mail is directed to this organization.

City/Town, State and Zip Code – Enter the City/Town, State and Zip Code where mail is directed to this organization.

Telephone Number – Enter the telephone number as reported on the "Notice of Organization" (Form CF-1).

Daytime Telephone Number – Enter a secondary telephone for this organization.

Fax Number – Enter the fax number for this organization.

E-mail Address – Enter the E-mail address for this organization.

Reporting Period (Dates) – Enter the first date of the reporting period in the "Period Beginning" field and the last date of the reporting period in the "Period Ending" field. Note: Refer to the organization's "Reporting Schedule" for the beginning and ending reporting dates.

Amended Report – If this report is a correction of a previously filed report, circle "Yes", otherwise circle "No".

Beginning Cash Balance (Line 1) – Enter the amount of total cash (on hand and in the bank) this organization has as of the first date of the reporting period. NOTE: This amount should be the same amount as the Ending Cash Balance as reported on the organization's last filed report, if applicable.

Individuals (Line 2a1) – Enter the total amount of itemized and aggregated contributions received from individuals during this reporting period.

Political Parties (Line 2a2) – Enter the total amount of itemized and aggregated contributions received from Political Parties during this reporting period.

Political Action Committees (Line 2a3) – Enter the total amount of itemized and aggregated contributions received from Political Action Committees during this reporting period.

Loan Proceeds (Line 2a4) – Enter the total amount of funds loaned to this organization during this reporting period.

Payroll Check Off (Line 2a5) – Enter the total amount of funds received via Payroll Check Off during this reporting period. NOTE: This contribution type only applies to Political Action Committees (PACs).

Other Receipts (Line 2b) – Enter the amount of funds received from sources other than those listed above. Ex: Interest Income, etc.

Total Cash Available (Line 3) – Add Lines 1, 2a, and 2b together and enter the amount on this line.

Campaign Expenses (Line 4a) – Enter the total amount of qualified itemized and aggregated campaign expenditures during this reporting period.

Repayment of Loans (Line 4b) – Enter the total amount of loans that were repaid during this reporting period.

Other Disbursements (Line 4c) – Enter the amount of funds spent for purposes other than those listed above.

Ending Cash Balance (Line 5) – Enter the total of (Line 3 – Line 4a – Line 4b – Line 4c).

Report of In-Kind Contributions (Line 6) – Enter the total of In-Kind Contributions received from individuals and committees.

Cash (Line 7) – Enter the total from Line 5.

Other Assets (Line 8) – List each asset other than cash and its monetary value on these lines.

Total Assets (Line 9) – Add Line 7 and Line 8 together and enter the amount.

Accounts Payable (Line 10a) – Enter the total amount owed by this organization but not yet paid.

Loans Payable (Line 10b) – Enter the total amount of funds previously recorded as "Loans Proceeds" that remain unpaid.

Other Liabilities (Line 10c) – Enter any other liabilities not listed on lines 10a or 10b.

Total Liabilities (Line 11) – Add Lines 10a, 10b and 10c together and enter the amount.

Total Fund Balance (Line 12) – Enter the total of (Line 9-Line 11).

Total Funds Available (Line 13) – Enter the total of (Line 5-Line 11).

Name/Title of Person Completing Report – This should be the treasurer, deputy treasurer, or the candidate, if his or her own treasurer.

REPORTS MUST BE SIGNED

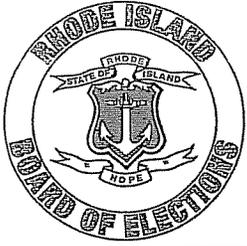
Any report not completed or signed will be returned.

If you have any questions on how to complete this form, please contact the Board of Elections.

PENALTIES: Any person violating the provisions of the Rhode Island Campaign Contributions and Expenditures Reporting Act (Chapter 25 of Title 17 of the Rhode Island General Laws) shall be subject to civil and/or criminal penalties.

CF-2

Please see reverse side for instructions on how to complete this form.



State of Rhode Island and Providence Plantations

Board of Elections

Campaign Finance Unit

50 Branch Avenue, Providence, Rhode Island 02904

Tel. (401) 222-2345

www.elections.ri.gov

SCHEDULE OF CONTRIBUTIONS RECEIVED (CF-3)

Time Stamp
(For Office Use Only)

Key #	Full Name of Candidate, PAC or Party Committee	Amended Report		Reporting Period	
		Yes	No	From:	To:

Item #	Transaction Type Code (see back for list of codes)	Contribution Type Code (see back for list of codes)	Receipt Date	Deposit Date	Contribution Amount
					\$

In-kind/Other Contribution Receipts Description:

Contributor Information					Employer Data		
Prefix	First Name	MI	Last Name or PAC/Party Committee Name	Suffix	Employer Name		
Street Address					Street Address		
City/Town			State	Zip Code	City/Town	State	Zip Code

Item #	Transaction Type Code (see back for list of codes)	Contribution Type Code (see back for list of codes)	Receipt Date	Deposit Date	Contribution Amount
					\$

In-kind/Other Contribution Receipts Description:

Contributor Information					Employer Data		
Prefix	First Name	MI	Last Name or PAC/Party Committee Name	Suffix	Employer Name		
Street Address					Street Address		
City/Town			State	Zip Code	City/Town	State	Zip Code

Item #	Transaction Type Code (see back for list of codes)	Contribution Type Code (see back for list of codes)	Receipt Date	Deposit Date	Contribution Amount
					\$

In-kind/Other Contribution Receipts Description:

Contributor Information					Employer Data		
Prefix	First Name	MI	Last Name or PAC/Party Committee Name	Suffix	Employer Name		
Street Address					Street Address		
City/Town			State	Zip Code	City/Town	State	Zip Code

Item #	Transaction Type Code (see back for list of codes)	Contribution Type Code (see back for list of codes)	Receipt Date	Deposit Date	Contribution Amount
					\$

In-kind/Other Contribution Receipts Description:

Contributor Information					Employer Data		
Prefix	First Name	MI	Last Name or PAC/Party Committee Name	Suffix	Employer Name		
Street Address					Street Address		
City/Town			State	Zip Code	City/Town	State	Zip Code

PAGE NO: ____ OF ____	PAGE TOTAL \$
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INSTRUCTIONS

The information reported is required under the Rhode Island Campaign Contributions and Expenditures Reporting Act of 1974 as amended.

Key # - Enter the unique number assigned to this campaign by the Board of Elections.

Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC) - Enter the full name of the candidate, officeholder, political party committee or political action committee as reported on the "Notice of Organization" (Form CF-1).

Amended Report - If this report is a correction of a previously filed report, circle "Yes", otherwise circle "No".

Reporting Period - Enter the first date of the reporting period in the "From" field and the last date of the reporting period in the "To" field. Note: Refer to the organization's "Reporting Schedule" for the beginning and ending reporting dates.

Item # - This is a sequential number the organization assigns to each transaction. For example, the first transaction is numbered 1, the second transaction is number 2, etc.

Transaction Type Code - Acceptable entries for the contribution transaction types are:

Transaction Type Code	Description
• Cash	\$25 Cash limit from individuals, Political Action Committees (PACs), Political Party Committees.
• Check	Checks received from individuals, Political Action Committees (PACs), Political Party Committees.
• Money Order	Money Orders received from individuals, Political Action Committees (PACs), Political Party Committees.

Contribution Type Code - Acceptable entries for the contribution type are:

Contribution Type Code	Description
• Individual	Contribution received from an individual.
• Aggregate: (Individual, PAC, Party)	Contributions received are \$100 or less per contributor per calendar year. Record a separate entry for each aggregate type (i.e. Aggregate (Individual); Aggregate (PAC); etc.)
• PAC (Political Action Committee)	Contribution received is from a Political Action Committee registered in Rhode Island.
• Party (Political Party Committee)	Contribution received is from a registered Political Party Committee.
• Loan Proceeds	Funds recorded with this contribution type code have to be repaid.
• In-Kind (Individual, PAC, Party)	Non-monetary value of goods or services received. Record a separate entry for each in-kind type (i.e. In-Kind (Individual); In-Kind (PAC); etc.)
• Interest Received	Interest received for having campaign funds in a federally-insured depository.
• Refund/Rebate	Funds received as a result of a previous expenditure.
• Other Receipt	Funds received from a source other than those listed.

Receipt Date - The date the treasurer or deputy treasurer received the contribution.

Deposit Date - The date the treasurer or deputy treasurer deposited the contribution.

Contribution Amount - The amount of funds or value of the in-kind contribution received by the treasurer or deputy treasurer.

In-Kind/Other Contribution Receipts Description - Describe in detail the donated services received or a detailed description of the "Other Contribution Type" when selecting this option.

Contributor Name Prefix - Enter a name prefix as reported by the contributor. Example: Dr., Hon., Gen., etc.

Contributor First Name - Enter the first name of the contributor.

Contributor MI - Enter the middle initial of the contributor.

Contributor Last Name or PAC/Party Committee Name - Enter the last name of the contributor, or if a PAC or party, the name of the PAC or party as reported to the Board of Elections on its "Notice of Organization" (CF-1).

Contributor Suffix - Enter a name suffix as reported by the contributor. Example: Jr., III, Sr., etc.

Contributor Street Address - Enter the home address of the contributor.

Contributor City/Town, State, Zip Code - Enter the city or town, state and zip code of the contributor.

Contributor Employer Name - Enter the name of the business at which the contributor is employed.

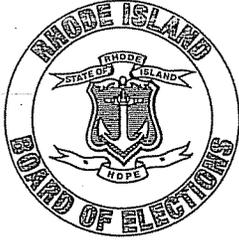
Contributor Employer Address - Enter the address of the business at which the contributor is employed.

Contributor City/Town, State, Zip Code - Enter the city or town, state and zip code of the business at which the contributor is employed.

If you have any questions on how to complete this form, please contact the Board of Elections.

PENALTIES: Any person violating the provisions of the Rhode Island Campaign Contributions and Expenditures Reporting Act (Chapter 25 of Title 17 of the Rhode Island General Laws) shall be subject to civil and/or criminal penalties.

Please see reverse side for instructions on how to complete this form.



State of Rhode Island and Providence Plantations
Board of Elections
 Campaign Finance Unit
 50 Branch Avenue, Providence, Rhode Island 02904
 Tel. (401) 222-2345
 www.elections.ri.gov

Time Stamp
 (For Office Use Only)

SCHEDULE OF EXPENDITURES (CF-4)

Key #	Full Name of Candidate, PAC or Party Committee	Amended Report Yes No	Reporting Period From: To:
-------	--	--------------------------	-------------------------------

Check #	Expenditure Date	Payment Date	Disbursement Type (See back for list of codes)	Expenditure Type (See back for list of codes)	Expenditure Amount
					\$

Purpose of Expenditure

Payee Information

Prefix	First Name	MI	Last Name or Vendor Name	Suffix
Street Address			City/Town	State Zip Code

Check #	Expenditure Date	Payment Date	Disbursement Type (See back for list of codes)	Expenditure Type (See back for list of codes)	Expenditure Amount
					\$

Purpose of Expenditure

Payee Information

Prefix	First Name	MI	Last Name or Vendor Name	Suffix
Street Address			City/Town	State Zip Code

Check #	Expenditure Date	Payment Date	Disbursement Type (See back for list of codes)	Expenditure Type (See back for list of codes)	Expenditure Amount
					\$

Purpose of Expenditure

Payee Information

Prefix	First Name	MI	Last Name or Vendor Name	Suffix
Street Address			City/Town	State Zip Code

Check #	Expenditure Date	Payment Date	Disbursement Type (See back for list of codes)	Expenditure Type (See back for list of codes)	Expenditure Amount
					\$

Purpose of Expenditure

Payee Information

Prefix	First Name	MI	Last Name or Vendor Name	Suffix
Street Address			City/Town	State Zip Code

INSTRUCTIONS

The information reported is required under the Rhode Island Campaign Contributions and Expenditures Reporting Act of 1974 as amended.

Key # - Enter the unique number assigned to this organization by the Board of Elections.

Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC) - Enter the full name of the candidate, officeholder, political party committee or political action committee as reported on the "Notice of Organization" (Form CF-1).

Amended Report - If this report is a correction of a previously filed report, circle "Yes", otherwise circle "No".

Reporting Period - Enter the first date of the reporting period in the "From" field and the last date of the reporting period in the "To" field. Note: Refer to the organization's "Reporting Schedule" for the beginning and ending reporting dates.

Check # - Enter the organization's check number that was used to pay this expenditure.

Expenditure Date - Enter the date the expenditure was incurred (i.e. The date the organization received goods or services).

Payment Date - Enter the date the organization paid the expenditure for the goods or services received.

Disbursement Type - Acceptable entries for this field are:

Disbursement Type

- Campaign Expenditure
- Aggregate Expenditure

- Repayment of Loan
- Accounts Payable

- Accounts Payable Repayment

Description

Any campaign expense paid for at the time of purchase.
One or more expenses in which the total was \$100 or less per payee within a calendar year.
When a loan or portion of a loan is repaid.
When goods or services are received, but not paid. Example: Credit Card Purchases
Payment of expenditures that were previously reported as accounts payable. Example: Paid credit card bill.

Expenditure Type - Acceptable entries for this field are:

Expenditure Types

(Refer to the "Campaign Finance Manual" for descriptions and examples)

- | | | | |
|--------------------------------------|------------------------|----------------------|--------------------|
| • Advertising | • Employee Services | • Gifts | • Office Supplies |
| • Bank Fees | • Entertainment | • Legal & Accounting | • Other |
| • Consultant & Professional Services | • Food & Beverages | • Meals | • Rent & Utilities |
| • Donations | • Fundraising Expenses | • Office Equipment | • Telephone |

Expenditure Amount - Enter the amount of money spent on the goods or services received.

Purpose of Expenditure - Enter a detailed description as to the reason for said expense. Example: Lunch meeting at (Restaurant Name) to discuss pending legislation.

Payee Name Prefix - Enter the name prefix as reported by the payee. Example: Dr., Hon., Gen., etc.

Payee First Name - Enter the first name of the payee.

Payee MI - Enter the middle initial of the payee.

Payee Last Name or Vendor's Name - Enter the last name of the payee, or the vendor name.

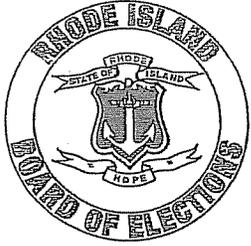
Payee Suffix - Enter the name suffix as reported by the payee. Example: Jr., III, Sr., etc.

Payee Street Address - Enter the home address of the individual or the business address of the vendor.

Payee City/Town, State, Zip Code - Enter the city or town, state and zip code of the individual or vendor.

If you have any questions on how to complete this form, please contact the Board of Elections.

PENALTIES: Any person violating the provisions of the Rhode Island Campaign Contributions and Expenditures Reporting Act (Chapter 25 of Title 17 of the Rhode Island General Laws) shall be subject to civil and/or criminal penalties.



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AFFIDAVIT FOR ANNUAL FILING EXEMPTION (CF-5)

Time Stamp
 (For Office Use Only)

Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC)			Key #
Street Address		City/Town, State and Zip Code	
Mailing Address (if different)		City/Town, State and Zip Code	
Telephone Number	Daytime Telephone Number	Fax Number	E-mail Address
Report Year Requesting Exemption	Funds Available (See Instructions)	Accounts Payable (See Instructions)	Loans Payable (See Instructions)

AFFIDAVIT

I, _____, do hereby certify in my capacity

 Name of Treasurer
 as treasurer, that I will accept no contributions in excess of \$100 in the aggregate from a single source within this calendar year nor make aggregate expenditures in excess of \$1,000 within this calendar year. *

X _____

Signature of Treasurer

_____ Date

***NOTES:** If this affidavit is filed, the treasurer is excused from filing the periodic reports of contributions and expenditures. However, at the end of the calendar year, the campaign treasurer is required to file a "Summary of Campaign Activity" (CF-2), a "Schedule of Contributions Received" (CF-3) to report contributions, and a "Schedule of Expenditures" (CF-4) to report expenses.
 Also, after executing this affidavit, a Candidate, Officeholder, PAC or Political Party Committee who in a calendar year accepts contributions in excess of \$100 in the aggregate from a single source or incurs aggregate expenditures in excess of \$1,000, the treasurer will immediately commence filing the required periodic reports.

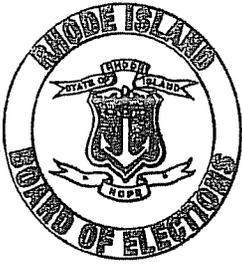
INSTRUCTIONS

The information reported is required under the Rhode Island Campaign Contributions and Expenditures Reporting Act of 1974 as amended.

- Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC)** – Enter the full name of the candidate, officeholder, political party committee or political action committee as reported on the "Notice of Organization" (Form CF-1).
- Key #** – Enter the unique number assigned to this organization by the Board of Elections.
- Street Address** – Enter the address of the organization as reported on the "Notice of Organization" (Form CF-1).
- City/Town, State & Zip Code** – Enter the city/town, state and zip code as reported on the "Notice of Organization" (Form CF-1).
- Mailing Address** – Enter the address where mail is directed to this organization.
- City/Town, State and Zip Code** – Enter the city/town, state and zip code where mail is directed to this organization.
- Telephone Number** – Enter the telephone number as reported on the "Notice of Organization" (Form CF-1).
- Daytime Telephone Number** – Enter a secondary telephone for this organization.
- Fax Number** – Enter the fax number for this organization.
- E-mail Address** – Enter the E-mail address for this organization.
- Report Year Requesting Exemption** – Enter the calendar year that the organization is requesting an annual exemption (Ex.: 2004).
- Funds Available** – Enter the total amount of money the organization has available as of January 1st of the report year (for ongoing organizations), or at the time of filing a declaration of candidacy (for new candidates), whichever is earlier.
- Accounts Payable** – Enter the total amount of money owed to others in exchange for goods and services already received as of January 1st of the report year, if applicable. This amount should match the accounts payable balance reported on the organization's last report filed with the Board of Elections.
- Loans Payable** – Enter the total amount of money owed by your organization that was previously recorded as "loan proceeds" as of January 1st of the report year, if applicable. This amount should match the Loans Payable balance on the last report filed with the Board of Elections.

If you have any questions on how to complete this form, please contact the Board of Elections.

PENALTIES: Any person violating the provisions of the Rhode Island Campaign Contributions and Expenditures Reporting Act (Chapter 25 of Title 17 of the Rhode Island General Laws) shall be subject to civil and/or criminal penalties.



State of Rhode Island and Providence Plantations
 Board of Elections
 Campaign Finance Unit
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Time Stamp
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AFFIDAVIT DISSOLVING CAMPAIGN ACCOUNT (CF-7)

Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC)			Key #
Street Address		City/Town, State and Zip Code	
Mailing Address (if different)		City/Town, State and Zip Code	
Telephone Number	Daytime Telephone Number	Fax Number	E-mail Address

Campaign Dissolved as of (Date):

DECLARATION

Upon filing this form, there are no remaining campaign funds, and the organization (Candidate, Officeholder, Political Party, or Political Action Committee) has completed its business and is hereby dissolved.

AFFIDAVIT

I, _____, do hereby certify that the declaration provided above is true and correct.
 Name of Treasurer

X _____
 Signature of Treasurer Date

INSTRUCTIONS

The information reported is required under the Rhode Island Campaign Contributions and Expenditures Reporting Act of 1974 as amended.

Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC) – Enter the full name of the candidate, officeholder, political party committee or political action committee as reported on the "Notice of Organization" (Form CF-1).

Key # - Enter the unique number assigned to this campaign by the Board of Elections.

Street Address – Enter the address of this organization as reported on the "Notice of Organization" (Form CF-1).

City/Town, State & Zip Code – Enter the city/town, state and zip code as reported on the "Notice of Organization" (Form CF-1).

Mailing Address – Enter the address where mail is directed to this organization.

City/Town, State and Zip Code – Enter the city/town, state and zip code where mail is directed to this organization.

Telephone Number – Enter the telephone number as reported on the "Notice of Organization" (Form CF-1).

Daytime Telephone Number – Enter a secondary telephone for this campaign.

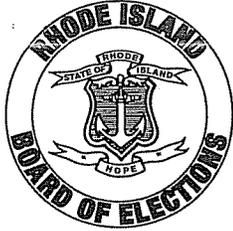
Fax Number – Enter the fax number for this campaign.

E-mail Address – Enter the E-mail address for this campaign.

Campaign Dissolved as of (Date) – Enter the date the campaign has concluded its business.

If you have any questions on how to complete this form, please contact the Board of Elections.

PENALTIES: Any person violating the provisions of the Rhode Island Campaign Contributions and Expenditures Reporting Act (Chapter 25 of Title 17 of the Rhode Island General Laws) shall be subject to civil and/or criminal penalties.



State of Rhode Island and Providence Plantations

Board of Elections
 Campaign Finance Division
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**REPORT OF INDEPENDENT EXPENDITURES,
 ELECTIONEERING COMMUNICATIONS OR COVERED
 TRANSFERS (CF-8)**

Time Stamp
 (Office Use Only)

Identify Person, Business Entity or PAC responsible for Independent Expenditure, Electioneering Communication or Covered Transfer

Street Address	City/Town, State and Zip Code	Telephone Number
Employer (if applicable)	Occupation (if applicable)	

The Person, Business Entity or PAC has expended more than \$1000 to support or defeat a Candidate or Referendum as follows:

Identify the Candidate(s) on the ballot and whether funds were expended to support or defeat this candidate

_____ : Support Defeat

Identify the Referendum on the ballot and whether funds were expended to support or defeat this referendum

_____ : Support Defeat

Any person, business entity or political action committee making independent expenditures, electioneering communications, or covered transfers shall report all such expenditures provided the total of the money so expended exceeds \$1000 within a calendar year to the Board of Elections within 7 days of making the expenditure.

Date of Expenditure	Amount of Expenditure	<u>EXPENDITURES</u>
		Name and Full Address: Person, Business Entity, PAC Receiving Expenditure
	\$	
	\$	
	\$	
	\$	
	\$	

Year to Date Total of All Expenditures in Support or Defeat of This Candidate or Referendum: \$

Reports of independent expenditures, electioneering communications or covered transfers by a person, business entity or PAC shall disclose the identity of all donors of an aggregate of \$1000 or more within the current election cycle.

Date Donation Received	Donation Amount	<u>DONATIONS</u>
		Name, Address and Place of Employment of Donor
	\$	
	\$	
	\$	
	\$	
	\$	

Amount from Person's, Business Entity's or PAC's own funds for independent expenditures, electioneering communications or covered transfers in Support or Defeat of this Candidate or Referendum: \$

The person named below affirms, under penalty of false statement, that no expenditure contained herein is coordinated with the candidate or referendum whose support or defeat is promoted and that information provided is true and accurate and complies with RI General Laws and with Rules and Regulations adopted pursuant to RIGL §17-25.3 et seq.

Identification of Person Responsible for Making Expenditure

Signature of Person Responsible for Making Expenditure

Address, City/Town, State, Zip Code of Person Making Expenditure

Subscribed and Sworn to me this _____ Date

X _____
Notary Public

Reporting Requirements for Independent Expenditures, Electioneering Communications and Covered Transfers

WHO NEEDS TO FILE:

It is lawful for any person, business entity or political action committee (PAC), not otherwise prohibited by law and not acting in coordination with a candidate, authorized candidate committee, PAC or political party committee, to expend personally from that person's own funds a sum which is not to be repaid for any purpose not prohibited by law to support or defeat a candidate or referendum.

WHEN TO FILE:

Any person, business entity or PAC making independent expenditures, electioneering communications or covered transfers shall report all such expenditures, provided the total of the money so expended exceeds \$1000 within a calendar year, to the Board of Elections within seven (7) days of making the expenditure.

After a person, business entity or PAC files its initial report, the person, business entity or PAC shall file an additional report after each time the person, business entity or PAC makes or contracts to make independent expenditures, electioneering communications or covered transfers aggregating an additional \$1,000 with respect to the same election as that which the initial report relates.

When a report is required within thirty (30) days prior to the election to which the expenditure was directed, it shall be filed within twenty-four (24) hours of the expenditure. When such a report is required at any other time, it shall be filed within seven (7) days after the expenditure.

WHAT TO FILE:

Reports of independent expenditures, electioneering communications or covered transfers by a person shall contain the name, street address, city, state, zip code, occupation, employer, of the person responsible for the expenditure, the name street address, city, state, zip code of the person receiving the expenditure, the date and amount of each expenditure and the year-to-date total. The report shall also include a statement identifying the candidate or referendum that the independent expenditure or electioneering communication is intended to promote the success or defeat, and affirm under penalty of false statement that the expenditure is not coordinated with the candidate or referendum in question.

Reports shall also disclose the identify, which includes the name, address and place of employment and donation amount, of all donors of an aggregate of \$1000 or more to such person, business entity or PAC within the current election cycle.

PENALTIES:

Any person, who willfully and knowingly violates the provisions of Chapter 25.3 of Title 17 shall, upon conviction, be guilty of a misdemeanor and shall be fined not more than \$1000 per violation. The state Board of Elections may impose a civil penalty upon any person, business or PAC who violates the provisions of Chapter 25.3 of Title 17 in the amount of \$1000, or up to 150% of the aggregate amount of the independent expenditures, electioneering communications or covered transfers per violation, whichever is greater.

THIS FORM MUST BE RETURNED TO THE BOARD OF ELECTIONS BEARING ORIGINAL SIGNATURES.

If you have any questions on how to complete this form, please contact the Board of Elections.



State of Rhode Island and Providence Plantations
Board of Elections

Campaign Finance Unit
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Tel. (401) 222-2345
www.elections.ri.gov

Time Stamp
(For Office Use Only)

ACCOUNT CERTIFICATION (CF-9)

Name of Candidate or Political Action Committee (PAC)

Key #

Candidate or PAC Address

City/Town, State and Zip Code

Candidate or PAC Mailing Address (if different)

City/Town, State and Zip Code

Telephone Number

Daytime Telephone Number

Fax Number

E-mail Address

Pursuant to R.I.G.L. 17-25-11.2(a): Whenever a campaign account containing campaign funds received and expended by a candidate, office holder, or treasurer...receives or expends at least \$10,000 in any year, the account shall require the appointment of a treasurer or deputy treasurer, who shall be a person other than the candidate. For such accounts, a candidate may remain as either treasurer or deputy treasurer on his or her campaign account; provided, the treasurer or deputy treasurer who is not the candidate shall examine all campaign account records and shall certify to the substantial accuracy of the campaign finance report at the time of filing with the board of elections. The provisions of this section as to examination and certification shall be applicable to political action committees.

CERTIFICATION

I, _____, in my capacity as (choose one) treasurer, deputy treasurer
Print Name

for the candidate or political action committee (PAC) named above, have examined all campaign records and certify to the substantial accuracy of the campaign finance report designated below:

Reporting Period (choose one):

- 1st Quarter (01/01-03/31)
- 2nd Quarter (04/01-06/30)
- 3rd Quarter (07/01-09/30)
- 4th Quarter (10/01-12/31)
- 28 Days Before Primary
- 7 Days Before Primary
- 28 Days After Primary
- Other: _____
- 28 Days Before Election
- 7 Days Before Election
- 28 Days After Election

Subscribed and sworn before me this ____ day of _____ 20__

X _____
Signature of treasurer/deputy treasurer Date

X _____
Notary Public

Penalties: Any person violating the provisions of the Rhode Island Campaign Contributions and Expenditures Reporting Act (Chapter 25 of Title 17 of the Rhode Island General Laws) including the reporting, examination and certification set forth above shall be subject to the civil and criminal penalty provisions therein.

APPENDIX B

SUMMARY CHART

ALLOWABLE AND PROHIBITED CONTRIBUTIONS

(All limits shown below are for a calendar year)

CONTRIBUTIONS FROM:	CONTRIBUTIONS RECEIVED:				
	Candidate	PAC	Political Party Committee	<u>Aggregate Annual Limits</u>	Political Party-Organizational & Party Building Activities Only
Individual/Candidate	\$1,000 (including in-kind)	\$1,000	\$1,000	Unlimited (Updated 8/2015- all Candidates, PACs & Party Committees)	\$10,000 (Updated 08/2015)
PAC	\$1,000 (including in-kind)	\$1,000	\$1,000	\$25,000 (all Candidates, PACs & Party Committees)	\$10,000 (not counted towards aggregate annual limit)
Party Committee	\$25,000 (unlimited in-kind)	\$1,000	\$1,000		\$10,000 (not counted towards aggregate annual limit)
Corporations, Unions, Business Entities, Unregistered PACs	Prohibited	Prohibited	Prohibited		Prohibited

SUPPLEMENTAL INFORMATION

- Contributions of cash in excess of \$25 from a single source in the aggregate in a calendar year are prohibited.
- Anonymous contributions are prohibited.
- Contributions from an individual's dependent child are deemed contributions from the individual.
- There is no restriction on the amount of money a candidate may loan to his or her own campaign.
- Loans are counted as contributions until repaid.

APPENDIX C

APPENDIX D

Board of Elections
50 Branch Avenue
Providence, RI 02904
401-222-2345 Telephone
401-222-3135 Fax

**POLICY
ON THE
PERMITTED/PROHIBITED USES OF CAMPAIGN FUNDS**

The within policy is hereby adopted by the Board of Elections (the "Board") for the purpose of clarifying and expounding on the provisions and requirements of §17-25-7.2 of the Rhode Island Campaign Finance & Expenditures Reporting Act (the "Act") regarding the permitted and prohibited used of campaign funds.

(Note: The policy adopted by the Board appears in *italics* beneath the specific expenditure item which the Board is seeking to address with the adoption of said policy.)

17-25.7.2 Personal use of campaign funds prohibited. –

- a) The personal use by any elected public office holder or by any candidate for public office, as defined in § 17-25-3, of campaign funds contributed after April 29, 1992, shall be prohibited. For the purpose of this section, "personal use" is defined as any use other than expenditures related to gaining or holding office and for which the candidate for public office or elected public official would be required to treat the amount of the expenditure as gross income under § 61 of the Internal Revenue Code of the United States, as from time to time amended.
- b) Expenditures that are specifically prohibited under this chapter include:
 - 1) Any residential or household items, supplies or expenditures, including mortgage, rent or utility payments for any part of any personal residence of a candidate or officeholder or a member of the candidate's or officeholder's family;
 - 2) Mortgage, rent or utility payments for any part of any non-residential property that is owned by a candidate or officeholder or a member of a candidate's or officeholder's family and used for campaign purposes, to the extent the payments exceed the fair market value of the property usage;
 - 3) Funeral, cremation, or burial expenses, including any expenses related to deaths within a candidate's or officeholder's family;
 - 4) Clothing, other than items of de minimis value that are used in the campaign;

PERMITTED/PROHIBITED USES OF CAMPAIGN FUNDS

17-25-7.2(b)(4) (cont.)

- a) *Expenditures for clothing shall be limited to items of de minimis value which display the candidate's name or message, or which promote the advocacy or defeat of an issue, or ballot question. The cost per unit of said clothing shall not exceed twenty-five dollars (\$25.00).*
- b) *Clothing which is rented for a specific campaign or officeholder activity shall be deemed an allowable expense, provided that the campaign making said rental shall be required to report the item rented and the specific campaign or officeholder activity for which it was rented.*
- 5) Tuition payments;
- 6) Dues, fees or gratuities at a country club, health club, recreational facility or other nonpolitical organization, unless part of a specific fundraising event that takes place on the organization's premises;
- 7) Salary payments to a member of a candidate's family, unless the family member is providing bona fide services to the campaign. If a family member provides bona fide services to a campaign, any salary payments in excess of the fair market value of the services provided is personal use;
- 8) Admission to a sporting event, concert, theater, or other form of entertainment, unless part of a specific campaign or officeholder activity.
 - a) *The purchase of "season tickets" is prohibited.*
 - b) *Individual tickets for individual events purchased as part of a specific campaign or officeholder activity is a permitted use of campaign funds, provided, that the campaign making said purchase shall be required to report the specific campaign or officeholder activity participated in and its purpose.*
- 9) Payments of any fines, fees or penalties assessed pursuant to this chapter.
- c) Any expense that results from campaign or officeholder activity is permitted use of campaign funds. Such expenditures may include:
 - 1) The defrayal or ordinary and necessary expenses of a candidate or officeholder;
 - 2) Office expenses and equipment, provided the expenditures and the use of the equipment can be directly attributable to the campaign or the officeholder's duties and responsibilities;
 - 3) Donations to charitable organizations, provided the candidate or officeholder does not personally benefit from the donation or receive compensation from the recipient organization;

PERMITTED/PROHIBITED USES OF CAMPAIGN FUNDS

17-25-7.2(c) (cont.)

- 4) Travel expenses for an officeholder, provided that the travel is undertaken as an ordinary and necessary expense of seeking, holding, or maintaining public office, or seeking, holding, or maintaining a position within the legislature or other publicly elected body. If a candidate or officeholder uses campaign funds to pay expenses associated with travel that involves both personal activities and campaign or officeholders activities, the incremental expenses that result from the personal activities are personal use, unless the person(s) benefiting from this use reimburse(s) the campaign account within thirty (30) days for the amount of the incremental expenses.
 - a) *In-State Travel: A candidate or officeholder is permitted to expend campaign funds for travel directly related to a campaign or officeholder activity. A candidate or officeholder expending funds for in-state travel shall be required to file a "Vehicle Travel Accounting Report" (Form CF-101) ("MV Travel Report") (see "Exhibit A"). A candidate or officeholder may seek reimbursement at a rate established by the Internal Revenue Service (IRS) for the year in which the travel is incurred.*
 - b) *Vehicle repair costs are prohibited.*
 - c) *The rental of a vehicle for a specific campaign or officeholder activity is permitted, provided that said campaign or officeholder activity must be reported.*
 - d) *The leasing of vehicles is prohibited, provided that the candidate or officeholder, who contends that the leasing of a vehicle is necessary for a campaign or for the officeholder to execute the duties of his or her office may, prior to using funds from a campaign account, file a request with the Board of Elections seeking authorization to use said funds to lease a vehicle.*
- 5) Gifts of nominal value and donations of a nominal amount made on a special occasion such as a holiday, graduation, marriage, retirement or death, unless made to a member of the candidate's or officeholder's family.
 - a) *"Nominal Value" shall mean a gift that does not exceed one hundred dollars (\$100.00) per occasion, unless otherwise authorized by the Board of Elections prior to said expenditure being incurred.*
- 6) Meal expenses which are incurred as part of a campaign activity or as part of a function that is related to the candidate's or officeholder's responsibilities, including meals between and among candidate's and/or officeholders that are incurred as an ordinary and necessary expense of seeking, holding, or maintaining public office, or seeking, holding, or maintaining a position within the legislature or other publicly elected body;
- 7) Food and beverages that are purchased as part of a campaign or officeholder activity.

PERMITTED/PROHIBITED USES OF CAMPAIGN FUNDS

17-25-7.2 (cont.)

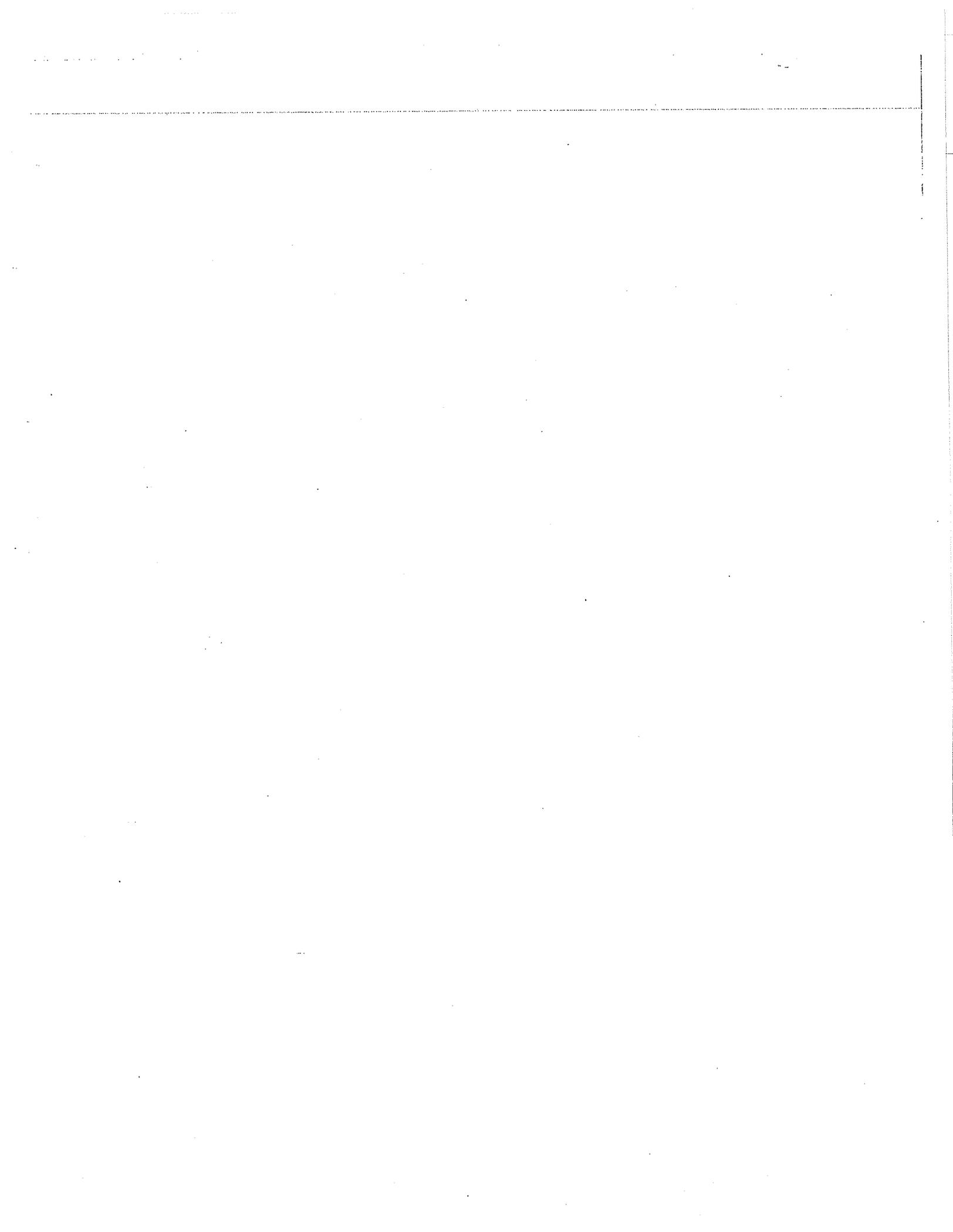
Other:

- a) *The use of funds from a campaign account for the purpose of grooming or enhancing one's personal appearance is prohibited. Such prohibited expenditures include, but are not limited to: cosmetic surgery, haircuts, hairpieces, make-up, etc., provided that if said expenditure is incurred for the purpose of a specific candidate or officeholder activity, i.e., a debate, or the appearance on television or other public forum, and, provided further, that the candidate or officeholder can demonstrate that said expenditure was a necessary expenditure for said activity. Moreover, a candidate or officeholder seeking to expend funds for said purpose shall be required to report the specific candidate or officeholder activity for which said expenditure was required.*
- d) Any campaign funds not used to pay for the expenses of gaining or holding public office may:
- 1) Be maintained in a campaign account(s);
 - 2) Be donated to a candidate for public office, to a political organization, or to a political action committee, subject to the limitation on contributions in § 17-25-10.1;
 - 3) Be transferred in whole or in part into a newly established political action committee;
 - 4) Be donated to a tax exempt charitable organization as that term is used in § 501(c)(3) of the Internal Revenue Code of 1986, 26 U.S.C. § 501, or any subsequent corresponding internal revenue code of the United States as from time to time amended;
 - 5) Be donated to the state of Rhode Island; or
 - 6) Be returned to the donor.

The within policy is hereby adopted by the Board of Elections this 1st day of June 2004.

Roger N. Begin
Chairman

	"Exhibit A"
--	-------------



Board of Elections
50 Branch Avenue
Providence, RI 02904
401-222-2345 Telephone
401-222-3135 Fax

**POLICY ON
FINES & PENALTIES
FOR CONTRIBUTIONS MADE & RECEIVED
IN EXCESS OF THE
ALLOWABLE ANNUAL CONTRIBUTION LIMITS**

The within policy is for the purpose of establishing a schedule of fines and penalties for those contributions made and received by individuals, candidates/officeholders and entities in accordance with the Rhode Island Campaign Contributions & Expenditures Reporting Act ("Act") and which exceed the allowable annual contribution limits permitted by the Act.

Section 1. Definitions

For the purpose of this policy, the following definitions shall be in effect:

"Candidate/Officeholder" shall mean a candidate as defined pursuant to §17-25-3(2); an individual elected to and/or holding public office; and, an individual accepting contributions and/or incurring expenditures or maintaining an "open" campaign account are required to file reports with the Board of Elections pursuant to the requirements of §17-25.

"Entity" shall mean a political party committee and political action committee (PAC).

Section 2. Fines & Penalties

A. Contributions *Made In Excess Of Allowable Limits*

An individual, candidate/officeholder or entity which makes a contribution to a candidate/officeholder or entity which is in excess of the allowable annual contribution limits shall be subject to the following:

- 1) Upon determining that an individual, candidate/officeholder or entity has made a contribution (or contributions) to a candidate/officeholder or entity which, in the aggregate, exceeds the allowable annual contribution limits, the individual, candidate/officeholder or entity, as the case may be, shall be issued a **warning** against making any further contributions which exceed the allowable annual limits, including those contributions which may be made in excess of the allowable annual limits to other candidates/officeholders or entities.

POLICY – FINES & PENALTIES: CONTRIBUTIONS IN EXCESS OF LIMITS

Section 2 (cont.)

- 2) Upon determining that an individual, candidate/officeholder or entity, who has previously received a warning from the Board pursuant to Subsection 2(A)(1), has made a contribution (or contributions) to a candidate/officeholder or entity which, in the aggregate, exceeds the allowable annual contribution limits, the individual, candidate/officeholder or entity, as the case may be, shall be issued a **second warning** against making any further contributions which exceed the allowable annual limits, including those contributions which may be made in excess of the allowable annual limits to other candidates/officeholders or entities.
- 3) Upon determining that an individual, candidate/officeholder or entity, who has received a second warning from the Board pursuant to Subsection 2(A)(2), has made a contribution (or contributions) to a candidate/officeholder or entity which, in the aggregate, exceeds the allowable annual contribution limits, the individual, candidate/officeholder or entity, as the case may be, shall be fined **one hundred dollars (\$100.00) for each contribution(s)** made to any candidate/officeholder or entity which exceeds the allowable annual contribution limits.

B. Contributions Received In Excess Of Allowable Limits

A candidate/officeholder or entity which accepts contributions in excess of the allowable annual contribution limits shall be subject to the following:

- 1) Upon determining that a candidate/officeholder or entity has received contributions which, in the aggregate, exceed the allowable annual contribution limits, the candidate/officeholder or entity, as the case may be, shall be issued a **warning** by the Board of Elections against accepting contributions which exceed the allowable annual limits.
- 2) Upon determining that a candidate/officeholder or entity, who has previously received a warning from the Board of Elections pursuant to Subsection 2(B)(1), has received contributions which, in the aggregate, exceed the allowable annual contribution limits, the candidate/officeholder or entity, as the case may be, shall be issued a **second warning** against accepting contributions which exceed the allowable annual limits.
- 3) Upon determining that a candidate/officeholder or entity, who has received a second warning from the Board pursuant to Subsection 2(B)(2), has received contributions which, in the aggregate, exceed the allowable annual contribution limits, the candidate/officeholder or entity, as the case may be, shall be fined **twenty-five dollars (\$25.00) for each contribution** received which exceeds the allowable annual contribution limits.
- 4) Upon determining that a candidate/officeholder or entity, who has been fined pursuant to Subsection 2(B)(3), has received contributions which, in the aggregate, exceed the allowable annual contribution limits, the candidate/officeholder or entity,

POLICY – FINES & PENALTIES: CONTRIBUTIONS IN EXCESS OF LIMITS

Section 2 (cont.)

as the case may be, shall be fined **fifty dollars (\$50.00) for each contribution** received which exceeds the allowable annual contribution limits.

- 5) Upon determining that a candidate/officeholder or entity, who has been fined pursuant to Subsection 2(B)(4), has received contributions which, in the aggregate, exceed the allowable annual contribution limits, the candidate/officeholder or entity, as the case may be, shall be fined **one hundred dollars (\$100.00) for each contribution** received which exceeds the allowable annual contribution limits.

The fines and penalties established in this section may be issued by the Board or its designee; provided, however, that the Board or its designee may reduce or waive any fines which may be assessed pursuant to this section.

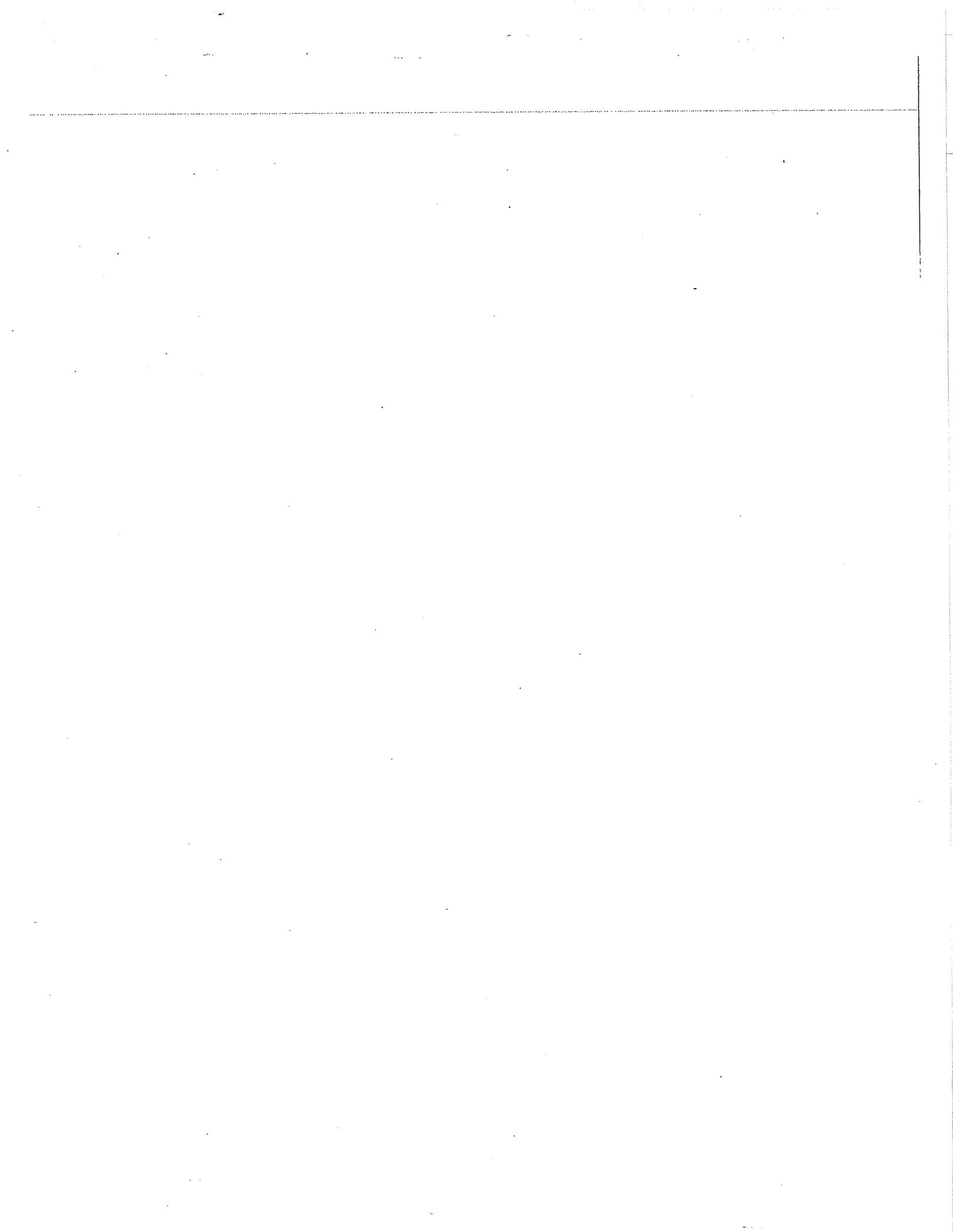
Notwithstanding any other provision or requirement of this section, the Board of Elections may, at its sole discretion, take any further action against an individual, candidate/officeholder or entity which it deems appropriate and which may be permitted pursuant to the Rhode Island Campaign Contributions And Expenditures Reporting Act.

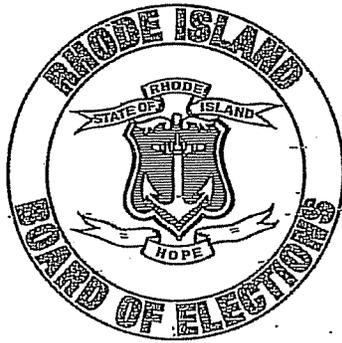
Section 3. Applicability

This policy shall be effective upon adoption and shall apply to all contributions made or received commencing on January 1, 2004; provided, however, that any individual, candidate/officeholder or entity who shall have made or accepted contributions in excess of the allowable annual limits prior to adoption of these policies shall not be penalized or fined beyond the issuance of a warning as provided for in Subsection 2(A)(1) or 2(B)(1), as the case may be, for the contributions made or accepted during this period which exceeded the allowable limits.

The within policy is hereby adopted by the Board of Elections this 1st day of June 2004.

Roger N. Begin
Chairman





**RULES AND REGULATIONS
FOR THE APPEALING OF LATE FINES**

As Amended:

**5/19/2010
7/13/2010**

**Promulgated by order of
The Rhode Island State Board of Elections
John A. Daluz, Chairman**

**RULES & REGULATIONS FOR THE APPEAL OF LATE FILING FINES
ADOPTED BY THE RHODE ISLAND BOARD OF ELECTIONS**

The Rhode Island Board of Elections hereby amends rules and regulations relating to contributions and expenditures reporting pursuant to and in accordance with R.I. Gen. Laws § 17-25-11(g) and 17-25.2-5(d).

Said rules and regulations are amended pursuant to the Administrative Procedures Act (R.I.G.L. § 42-35 et seq.) and are available for public inspection at the offices of the Rhode Island Board of Elections, 50 Branch Avenue, Providence, Rhode Island.

Section 1. Purpose

This rule is adopted by the Board of Elections for the purpose of clarifying and expanding upon R.I.G.L. § 17-25-11(g) and 17-25.2-5(d).

Section 2. Definitions

“Filer” means any candidate, committee, or person required to file Campaign Finance Reports pursuant to R.I.G.L. § 17-25-11 and 17-25.2-5.

“Supervisory Staff” means the Board of Elections’ Executive Director, Director of Campaign Finance, or their designees.

Section 3. Contesting Late Filing Fines

When the Board of Elections assesses a Filer with a fine for failure to file reports under R.I.G.L. § 17-25-11(g)(2) or 17-25.2-5(d)(2), and the Filer is subsequently notified by certified mail of the imposition of the fine, then the Filer may appeal the fine on grounds that the fine was incorrectly imposed within thirty (30) days of receipt of notice of the non-compliance or in the event that the notice is not claimed, within forty-five (45) days of the date on which the notice was sent. A failure to file a timely appeal shall be deemed an admission. Requests for appeals must be in accordance with the Rules of Practice and Procedure in Adjudicatory Hearings before the Rhode Island Board of Elections.

Nothing in this section shall prohibit the Board of Elections from acting on its own motion to waive any fines or fees imposed.

Section 4. Waiver of Late Filing Fines – For Good Cause Shown

Filers seeking waivers of fines or fees imposed under R.I.G.L. § 17-25-11(g) or 17-25.2-5(d) may request a waiver by the Board of Elections for good cause shown within sixty (60) days of receipt of notice of the non-compliance or if the notice is not claimed, within seventy-five (75) days of the date on which the notice was sent. Waivers

may only be considered if there are no reports past due. All waiver requests must be submitted either in writing or electronically and contain the Filer's name, address, a statement specifying the fines and fees to be waived, and cause for the late filing.

The Board of Elections hereby authorizes its Supervisory Staff to administratively review and act upon all requests, including setting conditions for any full or partial waivers, where the amount of fines and fees do not exceed five thousand dollars (\$5,000). Waiver requests where the amount of fines exceed five thousand dollars (\$5,000) will be submitted to the Board for public hearing, provided however, that the Board hereby authorizes its legal counsel to take whatever action is available under the law to collect any outstanding penalties and, with the consent of the Board's Supervisory Staff, to set conditions for any full or partial waivers.

Filers may appeal the Supervisory Staff's decision on any waiver request for a de novo public hearing to the Board of Elections within forty-five (45) days of the date of the notice, which shall contain a statement of the Filer's right of appeal. All requests for a hearing must be in writing and in compliance with the Rules of Practice and Procedure in Adjudicatory Hearings before the Rhode Island Board of Elections.

Nothing in this section shall prohibit the Board of Elections from acting on its own motion to waive any fines or fees imposed.

Section 5. Applicability – Prior Fines and Fees

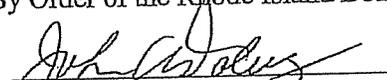
All fines and fees due prior to the adoption of this regulation are hereby subject to this regulation. All the rights and periods of waiver and appeal stated herein shall commence with the date of adoption of this regulation. All previous notices sent prior to the adoption of this regulation shall be deemed sufficient and shall not be resent.

Section 6. Implementation

The Board of Elections may promulgate procedures and forms necessary to implement the within rules and regulations required under the Rhode Island General Laws.

These rules and regulations were adopted at a meeting of the State Board of Elections held on the 13th day of JULY 2010 pursuant to the Administrative Procedures Act (R.I.G.L. 42-35-1, *et seq.*).

By Order of the Rhode Island Board of Elections

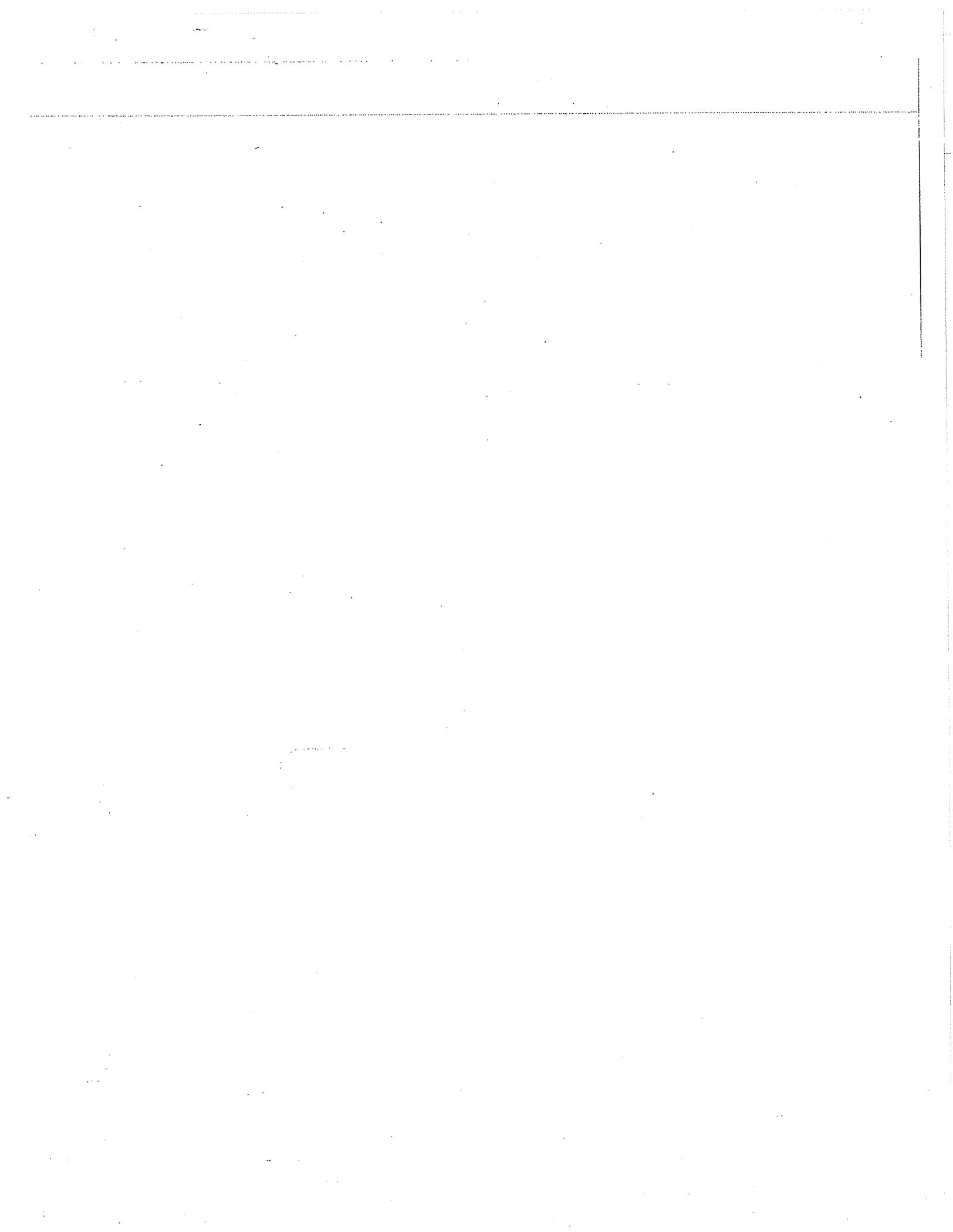

John A. Daluz, Chairman

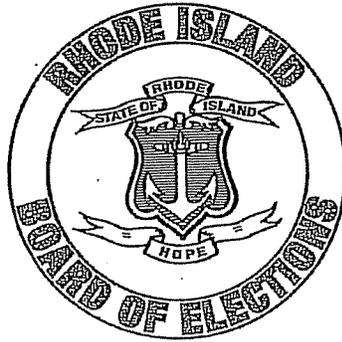
7/15/10
Date

Witnessed by


Robert Kando, Executive Director

7/15/10
Date





**RULES AND REGULATIONS
FOR CONTRIBUTIONS AND
EXPENDITURES REPORTING**

**Promulgated by order of
The Rhode Island State Board of Elections
John A. Daluz, Chairman**

**RULES & REGULATIONS FOR CONTRIBUTIONS AND
EXPENDITURES REPORTING ADOPTED BY THE RHODE
ISLAND BOARD OF ELECTIONS**

The Rhode Island Board of Elections hereby adopts the rules and regulations relating to contributions and expenditures reporting pursuant to and in accordance with R.I. Gen. Laws § 17-25-11 and 17-25.2-5.

Said rules and regulations are adopted pursuant to the Administrative Procedures Act (R.I.G.L. § 42-35 et seq.) and are available for public inspection at the offices of the Rhode Island Board of Elections, 50 Branch Avenue, Providence, Rhode Island.

Section 1. Purpose

This rule is adopted by the Board of Elections for the purpose of clarifying and expanding upon R.I.G.L. § 17-25-11 and 17-25.2-5.

Section 2. Definitions

Campaign Finance Report or **Report** shall mean the Summary of Campaign Activity (CF-2) form and, unless otherwise not required, the Schedule of Contributions Received (CF-3) form and the Schedule of Expenditures (CF-4) form.

Filer shall mean any candidate, committee, or person required to file Campaign Finance Reports pursuant to R.I.G.L. § 17-25-11 and 17-25.2-5.

Materially Amend shall mean to add, delete, or alter more than 500 dollars (\$500) or ten percent (10%), whichever is larger, of the total fiscal sum of either the contributions or expenditures on any Campaign Finance Report. Provided, however, that any willful omission of any amount shall be subject to review and penalties by the Board.

Substantially Complete shall mean that ninety percent (90%) or more of the total fiscal sum of all required contributions and expenditures are disclosed on the CF-2 form and correspond to itemized amounts accounted for on the CF-3 and CF-4 forms.

Section 3. Rules and Regulations for a Complete Report

When a Filer submits a Campaign Finance Report to the Board of Elections pursuant to R.I.G.L. § 17-25-11 and 17-25.2-5 that is Substantially Complete, the date of the original submission will become the filing date.

When a Filer submits a Campaign Finance Report to the Board of Elections that is not Substantially Complete and later Materially Amends it, the date of amendment will become the actual filing date. As a result, late filing fines and fees may be assessed pursuant to R.I.G.L. § 17-25-11(g) and 17-25.2-5(d).

Section 4. Notice and Appeals

When the Board of Elections has reason to believe that any required portions of a Campaign Finance Report were late or willfully or knowingly left blank, incomplete, or inaccurate, the Board may take action against the Filer pursuant to R.I.G.L. § 17-25-13, 17-25-16, 17-25-11(g), and 17-25.2-5(d).

The Board of Elections shall notify the Filer of any violations by certified mail pursuant to the requirements of R.I.G.L. § 17-25-11 (3); the Filer has the opportunity to appeal any actions based on any violations.

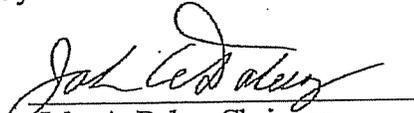
Notwithstanding any of the provisions of these rules and regulations, the Board of Elections shall have the authority to waive late filing fees for good cause shown.

Section 5. Implementation

The Board of Elections may promulgate procedures and forms necessary to implement the within rules and regulations required under the Rhode Island General Laws.

These rules and regulations were adopted at a meeting of the State Board of Elections held on the 21 day of April 2010 pursuant to the Administrative Procedures Act (R.I.G.L. 42-35-1, *et seq.*).

By Order of the Rhode Island Board of Elections.

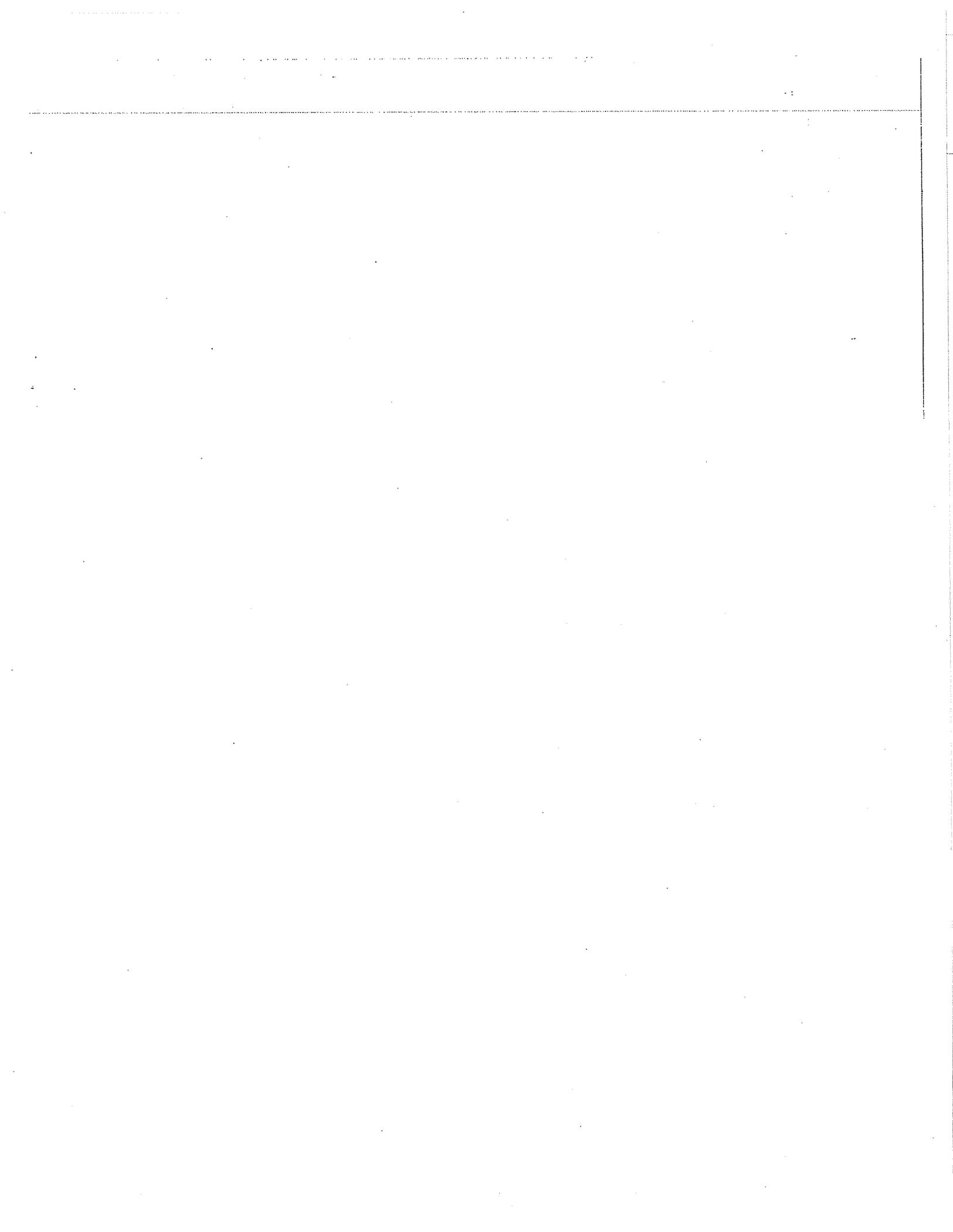

John A. Daluz, Chairman

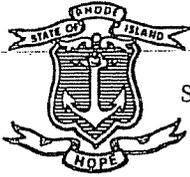
4/27/10
Date

Witnessed by


Robert Kando, Executive Director

4/27/10
Date





STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

BOARD OF ELECTIONS
Campaign Finance Division
50 Branch Avenue
Providence, R.I. 02904
(401) 222-2056
(401) 222-4424 Fax

August 26, 2015

Giovanni D. Cicione, Esquire
Chairman
The Stephen Hopkins Center for Civil Rights
282 County Road
Barrington, RI 02806

Re: 2014 Campaign Finance Reports of Dr. Daniel Harrop-Advisory Opinion 15-01

Dear Mr. Cicione:

The following constitutes the advisory opinion (“Opinion”) of the Board of Elections (“Board”) in response to the question raised in your letter of December 7, 2014, appended hereto, on behalf of your client, Dr. Daniel Harrop. The Opinion is provided in accordance with R.I. Gen. Laws § 17-25-5(c).

The facts set forth in this Opinion are based upon the information contained in the December 7, 2014 letter to the Board. In calendar year 2014, Dr. Harrop contributed \$1,000 to each of eight candidates and political parties. You indicate that these \$1,000 contributions have been reported to the Board in accordance with all statutory requirements and that Dr. Harrop did not exceed the \$1,000 maximum amount permitted to be contributed to any individual or party. However, you further state that Dr. Harrop did exceed the statutory aggregate limit set forth under Rhode Island law. You seek an assurance from the Board that “neither Dr. Harrop nor any of the candidates or organizations he supported” will be deemed to be in violation of the statutory aggregate limit provision of the Rhode Island campaign laws as a result of the United States Supreme Court decision in *McCutcheon*. You also seek a similar assurance on behalf “any other citizen who may have in the past or may in the future choose to exercise [the] particular First Amendment rights” recognized in *McCutcheon*.

At the outset, the Board notes that the purpose for advisory opinions is to assist the person making the request in determining whether certain *anticipated* conduct comports with

Giovanni D. Cicione, Esquire
August 11, 2015
Page Two

applicable law. Advisory opinions are not intended to sanction or disapprove actions already taken. However, given the impact of the Supreme Court decision in *McCutcheon*, we will address the legal issues raised in your letter.

The Rhode Island General Assembly has enacted a comprehensive set of laws relating to campaign contributions and expenditures. The laws restrict the amount of money that a person may contribute to any particular candidate or committee. The individual limit is \$1000 per calendar year. R.I. Gen. Laws § 17-25-10.1(a)(1). The campaign finance laws also restrict the amount of money a person can contribute *in total* to all candidates or political action committees and political party committees in a calendar year. The aggregate limit is \$10,000 per calendar year. R.I. Gen. Laws § 17-25-10.1(a)(1).

The United States Supreme Court decision in *McCutcheon* addresses the annual aggregate limits set forth under the Federal Election Campaign Act ("FECA"), as amended by the Bi-Partisan Campaign Reform Act of 2002 ("BCRA"). 2 U.S.C. 441a(a)(1). The Court struck down the annual aggregate limits on First Amendment grounds. Such limits, the Court reasoned, diminish an individual's right of political association, in violation of the rights afforded by the First Amendment. 134 S. Ct. at 1448. The Court observed that a restriction on how many candidates and committees an individual may support through contributions unnecessarily restrains speech. *Id.* As the Court explained, "the government may no more restrict how many candidates or causes a donor may support than it may tell a newspaper how many candidates it may endorse." *Id.* Thus, the Supreme Court struck down the aggregate limits in the federal campaign finance laws which restricted the amount an individual may contribute to all candidates, parties and political action committees during an election cycle. At the same time, the Court recognized that individual limits achieve the important government interest in preventing corruption in the campaign process. *Id.* at 1450. The government has a legitimate interest in preventing "quid pro quo" corruption through individual limits.

In light of the *McCutcheon* decision and its recognition of a First Amendment violation relating to aggregate limits, the Board shall not enforce the \$10,000 aggregate limit set forth within R.I. Gen. Laws § 17-25-10.1.

You should note that the Board met on April 16, 2014, immediately following the *McCutcheon* decision. Legal counsel advised the Board that the aggregate limits set forth in the Rhode Island campaign finance laws were subject to a constitutional challenge. The Board then voted to support legislation to repeal the aggregate limits set forth in R.I. Gen. Laws § 17-25-10.1. A copy of the April 16, 2014 minutes are attached. Since that time, the Board has not

Giovanni D. Cicione, Esquire
August 11, 2015
Page Three

enforced the \$10,000 aggregate limit. In the absence of a court order or opinion from the Attorney General to the contrary, the Board shall continue to maintain this position. Consequently, any contributions that conform to all other applicable campaign finance laws, but exceed the aggregate limit of \$10,000 in a calendar year, shall not be subject to any enforcement process, or other challenge, by the Board.

In closing, please note that this Opinion is based upon the facts and circumstances set forth in your December 7, 2014 letter. In the event that there is a change in any of the facts or assumptions presented, then this Opinion will no longer be applicable. Any person who has facts and circumstances identical to those set forth in your letter may likewise rely upon this Advisory Opinion. Finally, in the event that there are any changes or subsequent developments in the law that governs this Opinion, the conclusions set forth above may be subject to modification.

Sincerely,



William E. West
Acting Chair

Enclosure



*The Stephen Hopkins
Center for Civil Rights*

RHODE ISLAND
BOARD OF ELECTIONS
2014 DEC -8 P 1:27

"My Hand Trembles, My Heart Does Not."

December 7, 2014

Mr. Robert Kando
Executive Director
R.I. Board of Elections
50 Branch Avenue
Providence, RI 02904

Re: Campaign Finance Report of Dr. Daniel Harrop /
McCutcheon v.FEC

Dear Mr. Kando;

I write on behalf of the Stephen Hopkins Center for Civil Rights, a non-profit legal advocacy organization, and our client, Dr. Daniel Harrop.

In the most recent election cycle Dr. Harrop was not only a candidate for Mayor of Providence, but also an active donor to other candidates. In 2014 alone Dr. Harrop donated the state maximum allowed amount of \$1,000 to eight candidates (including Democrats, Republicans, and the unaffiliated) or PAC's, and made various additional contributions as well. These contributions have been reported to the Rhode Island Board of Elections (the "Board") in a manner consistent with state law, with the most recent report having been filed earlier this week.

While these donations complied with the provisions of R.I. Gen. Laws § 17-25-10.1 relating to the maximum allowed donation to an individual or PAC, the donations exceeded the

purported limits found in that section relative to aggregate annual amounts donated by an individual. (It should be noted that Dr. Harrop also made contributions to state and local political parties for party building purposes, but those are disregarded for the purposes hereof.)

The relevant section (a)(1) of the referenced state statute reads as follows:

“§ 17-25-10.1 Political contributions – Limitations. – (a)(1) No person, other than the candidate to his or her own campaign, nor any political action committee shall make a contribution or contributions to any candidate, as defined by § 17-25-3, or political action committee or political party committee which in the aggregate exceed one thousand dollars (\$1,000) within a calendar year, nor shall any person make contributions to more than one state or local candidate, to more than one political action committee, or to more than one political party committee, or to a combination of state and local candidates and political action committees and political party committees which in the aggregate exceed ten thousand dollars (\$10,000) within a calendar year, nor shall any political action committee make such contributions which in the aggregate exceed twenty-five thousand dollars (\$25,000) within a calendar year, nor shall any candidate or any political action committee or any political party committee accept a contribution or contributions which in the aggregate exceed one thousand dollars (\$1,000) within a calendar year from any one person or political action committee.”

As I'm sure you are aware, on April 2, 2014 the U.S. Supreme court ruled in *McCutcheon v. FEC*¹ that limits on aggregate contribution were not constitutional. Without outlining the decision in detail, we would note simply that the Supreme Court's opinion was that “[a]n aggregate limit on *how many* candidates and committees an individual may support through contributions is not a modest restraint at all,” ... “[t]he government may no more restrict how many candidates or causes a donor may support than it may tell a newspaper how many candidates it may endorse.”²

In light of *McCutcheon* we feel it is obvious that the provisions of R.I. Gen. Laws §17-25-10.1 as relate to aggregate limits are void and unenforceable. While Dr. Harrop is comfortable in that position, and is not particularly concerned about having exceeded the purported limits found in that statute, it is also our position that the Board has an affirmative

¹ *McCutcheon v. Fed. Election Comm'n*, 134 S. Ct. 1434, 188 L. Ed. 2d 468 (2014).

² *Id.* at page 3.

obligation to all participants in the electoral process to make clear the rules that are in force in our state.

To that end, we are hereby requesting an advisory opinion of the Board affirming that neither Dr. Harrop nor any of the candidates or organizations he supported, nor any other citizen who may have in the past or may in the future choose to exercise these particular First Amendment rights, will be subject to any notice, warning, fine, or other claim of violation by the Board. Further, we would ask that the regulations of the Board and the campaign finance manuals and materials it may publish from time to time be modified to properly reflect the law as it stands.

While the Board may have concerns about the appropriateness of modifying its regulations without confirmatory legislative action to repeal the state statutory provisions that offend the *McCutcheon* decision, we would make the following three points to counter any such concerns:

1. The legislature has no obligation to repeal an unconstitutional or unenforceable law, and to wait on that merely potential action would serve only to extend the confusion and uncertainly afforded those wishing to participate in our political process;

2. The Board has an affirmative duty found in R.I. Gen. Laws § 17-25-5³ to "...publish a manual for all candidates, political party committees, political action committees and ballot questions advocates prescribing the requirements of the law..." This does not state that you publication must outline the requirements of "state statute," but rather "the law." As *McCutcheon* tells us, the law of the land, in our state and all others, is that aggregate limits are void as violative of the First Amendment. To publish a manual or other materials that suggest otherwise would clearly defy your organizational mandate. Similarly, under sub-section (b) of

³ 1. R.I. Gen. Laws § 17-25-5(a), in relevant part, states: "Duties and powers of the board of elections. – (a) The board of elections is authorized to perform any duties that are necessary to implement the provisions of this chapter. Without limiting the generality of this provision, the board is authorized and empowered to: (1) Develop forms for the making of the required reports to be filed with the board of elections, which form shall contain a notice setting forth the times and dates when reports are required to be filed;(2) Prepare and publish a manual for all candidates, political party committees, political action committees and ballot questions advocates prescribing the requirements of the law, including uniform methods of bookkeeping and reporting and requirements as to the length of time that any person required to keep any records pursuant to the provisions of this chapter shall retain these records, or any class or category of records, or any other documents..."

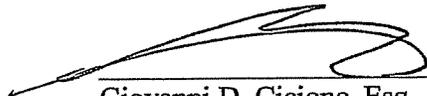
that same section, the Board is given the duty to “furnish timely and adequate information” to those subject to your oversight.⁴ Clearly, inaccurate information cannot be deemed adequate.

3. Finally, you are authorized and empowered under R.I Gen Laws § 17-25-5(3) to “[a]dopt rules and regulations to carry out the purposes of this chapter.” If you deem, as we do, that implicit in the purposes of this chapter are fair, transparent and universal application of the laws relating to campaign finance, then you have a clear obligation to assure that the regulations you endorse, promulgate, and publish are in fact consistent with the legal schema your constituents are expected to act within. While we do not suggest that every court case must yield a modification to regulations to reflect its findings, we do believe that to ignore such a seminal decision as *McCutcheon* would be a dereliction of the Board’s duties.

In summary, we look to the Board both for assurance that our client and the beneficiaries of his political largesse are in good stead, and also for some modest adjustments of your regulations and publications to assure that the law that you are tasked with overseeing is clearly described and fairly applied to all participants in our electoral process.

We appreciate your consideration, and look forward to your response.

Regards,



Giovanni D. Cicione, Esq.
Chairman, Stephen Hopkins
Center for Civil Rights

⁴ 1. R.I. Gen. Laws § 17-25-5 (b): “The board of elections shall take any steps that may be necessary or appropriate to furnish timely and adequate information, in appropriate printed summaries and in any other form that it may see fit, to every candidate or prospective candidate for public office who becomes or is likely to become subject to the provisions of this chapter, and to every treasurer duly designated under the provisions of this chapter, informing them of their actual or prospective obligations and responsibilities under this chapter.”