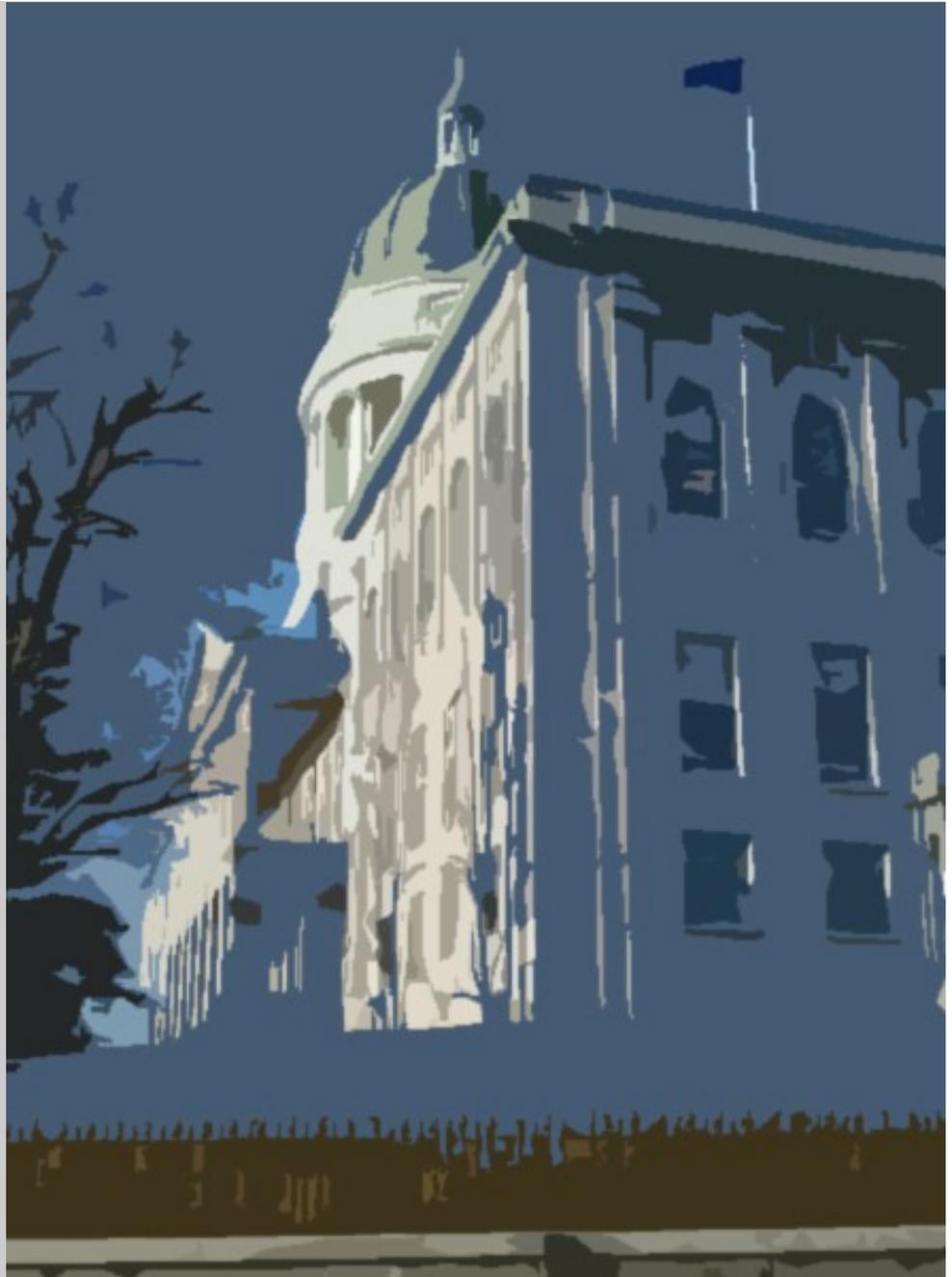


# 2016 Legislative Candidates: Traditionally Financed Getting Started Packet

FORMS,  
INSTRUCTIONS AND  
FILING REQUIREMENTS



COMMISSION ON  
GOVERNMENTAL ETHICS  
AND ELECTION PRACTICES

[www.maine.gov/ethics](http://www.maine.gov/ethics)

Mailing: 135 State House Station, Augusta, Maine 04333

Location: 45 Memorial Circle, Augusta, Maine

Phone: 207-287-4179

FAX: 207-287-6775



## 2016 REGISTRATION MATERIALS FOR TRADITIONALLY FINANCED LEGISLATIVE CANDIDATES

This packet contains the forms you will need to register as a candidate with the Commission. We encourage you to call the Commission staff if you have any questions.

### REGISTRATION & OTHER FORMS:

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

**Voluntary Spending Limits**  
*(optional)* Traditionally financed legislative candidates may complete the Voluntary Expenditure Limitations form and submit it to the Commission. Agreeing to the spending limits is optional.

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

### OTHER INFORMATION:

**Campaign Surplus from Previous Election** *Cash from 2012 elections.* If you have cash remaining from the 2012 elections, you are required to dispose of this surplus cash by December 2016. One way to dispose of this cash is to transfer it to your 2016 campaign.

*Cash from 2014 elections.* If you have cash remaining from the 2014 elections, you have until December 2018 to dispose of it, but you may want to consider transferring this cash to your 2016 campaign rather than waiting until 2018.

Besides transferring the cash to your campaign, there are additional ways to dispose of the surplus cash. Please refer to the other side of this letter or contact the Commission staff for information on how to dispose or transfer your surplus cash and terminate your previous campaign.

**2016 Filing Schedule** Candidates are required to submit campaign finance reports electronically on the Commission's website according to this filing schedule. If you are unable to comply with this requirement, you may request a waiver and file paper reports. A waiver request form is included in this packet.

**Questions?** Many questions can be answered by referring to the Commission's website, [www.maine.gov/ethics](http://www.maine.gov/ethics), the 2016 Candidate Quick Guide or the 2016 Candidate Guidebook. You can also call the Ethics Commission staff with your questions.



## **DISPOSITION OF SURPLUS CAMPAIGN FUNDS**

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### **21-A M.R.S.A. Section 1017(8)**

**Disposition of surplus.** A treasurer of a candidate registered under section 1013-A or qualified under sections 335 and 336 or sections 354 and 355 must dispose of a surplus exceeding \$100 within 4 years of the election for which the contributions were received by:

- A. Returning contributions to the candidate's or candidate's authorized political committee's contributors, as long as no contributor receives more than the amount contributed;
- B. A gift to a qualified political party within the State, including any county or municipal subdivision of such a party;
- C. An unrestricted gift to the State. A candidate for municipal office may dispose of a surplus by making a restricted or unrestricted gift to the municipality;
- D. Carrying forward the surplus balance to a political committee established to promote the same candidate for a subsequent election;
- D-1. Carrying forward the surplus balance for use by the candidate for a subsequent election;
- E. Transferring the surplus balance to one or more other candidates registered under section 1013-A or qualified under sections 335 and 336 or sections 354 and 355, or to political committees established to promote the election of those candidates, provided that the amount transferred does not exceed the contribution limits established by section 1015;
- F. Repaying any loans or retiring any other debts incurred to defray campaign expenses of the candidate;
- G. Paying for any expense incurred in the proper performance of the office to which the candidate is elected, as long as each expenditure is itemized on expenditure reports; and
- H. A gift to a charitable or educational organization that is not prohibited, for tax reasons, from receiving such a gift.

The choice must be made by the candidate for whose benefit the contributions were made.



## 2016 CANDIDATE REGISTRATION

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

Is this an amendment?    Yes    No

1. CANDIDATE INFORMATION		
Are you running as a (check one): <input type="checkbox"/> Maine Clean Election Act candidate <input type="checkbox"/> traditionally financed candidate		
Title <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/> Mr. <input type="checkbox"/> Dr. <input type="checkbox"/> Honorable	Party affiliation	Office sought & District #
Name: First	MI or Middle Name	Last
County (for candidates for county office)		
Mailing address		Phone
City	Zip code	Alternate Phone
E-mail (required)		Fax

2. TREASURER INFORMATION		
Name: First	MI or Middle Name	Last
Phone		
Mailing address		Fax
City	Zip code	E-mail (required)

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

2A. DEPUTY TREASURER INFORMATION (optional)		
Name: First	MI or Middle Name	Last
Phone		
Mailing address		Fax
City	Zip code	E-mail (required)

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

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

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

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

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

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

**Committee Officers (use additional pages, if necessary):**

Name	Title	Phone
Mailing address	City	Zip code
		E-mail

Name	Title	Phone
Mailing address	City	Zip code
		E-mail

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

6. REPORTING EXEMPTION REQUEST	
<b>Only county and municipal candidates and legislative candidates in an uncontested primary election may request an exemption.</b>	
A candidate may request an exemption from the obligation to appoint a treasurer and file campaign finance reports if the candidate does not accept any cash or in-kind contributions or make any expenditures for his or her campaign. You cannot request a reporting exemption if you use your or your spouse's/domestic partner's personal funds to pay for your campaign expenses. To request an exemption, complete the statement below and sections 1 & 5, have the form notarized, and submit it to the Commission.	
<b>STATEMENT OF ELIGIBILITY FOR A REPORTING EXEMPTION:</b> I, the undersigned, swear or affirm that I will not accept contributions, make expenditures or incur obligations associated with my candidacy.	
Signature of candidate _____	Date _____
Subscribed and sworn (affirmed) to before me this _____ day of _____, 20____.	
Signature of Notary/Attorney-at-law _____ (Seal is optional)	My commission expires _____ (Date)
<b>REVOCAION NOTICE:</b> The foregoing statement may be revoked. Prior to revocation, the candidate must appoint a treasurer. A revocation notice must be in the form of an amended registration which must be filed with the Commission no later than 10 days after the date the treasurer is appointed. The notice must be filed before contributions are accepted or expenditures made. A late revocation notice is subject to the same penalties applicable to late campaign finance reports.	



**2016 STATEMENT CONCERNING VOLUNTARY EXPENDITURE LIMITS (Optional)  
For Traditionally Financed Legislative Candidates Only**

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Traditionally financed legislative candidates may voluntarily agree to the following expenditure limits:

- A. For State Senator, \$25,000 per election
- B. For State Representative, \$5,000 per election

The expenditure limits are for each election. For example, a candidate for State Senate who is on the ballot for the primary and the general election and who agrees to accept the limits may spend up to \$25,000 for the primary election and up to \$25,000 for the general election. The limitations may not be carried forward from one election to another.

- I understand and accept the voluntary spending limits on political expenditures. I understand that the limit covers the sum of all expenditures made to influence a single election that are made by me, or made on my behalf by my party or my immediate family if coordinated with my campaign. I also affirm that I will not condone and will not solicit any independent expenditures made on my behalf.
- I do not agree to the voluntary spending limits on political expenditures.

\_\_\_\_\_  
Candidate's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name



## 2016 MAINE CODE OF FAIR CAMPAIGN PRACTICES

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

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

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

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

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

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

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

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

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Candidate's Signature

\_\_\_\_\_  
Office Sought and District

\_\_\_\_\_  
Printed Name



Mail: 135 State House Station, Augusta, Maine 04333  
 Office: 45 Memorial Circle, Augusta, Maine  
 Website: www.maine.gov/ethics  
 Phone: 207-287-4179  
 Fax: 207-287-6775

## 2016 FILING SCHEDULE

### For Traditionally Financed Legislative and County Candidates

PRIMARY ELECTION: JUNE 14, 2016

GENERAL ELECTION: NOVEMBER 8, 2016

TYPE OF REPORT	FILING DEADLINE (BY 11:59 P.M.)	REPORT PERIOD
2016 January Semiannual	January 15, 2016	If filing first report: Beginning of campaign – Dec 31, 2015 <i>or</i> If filed 2015 July Semiannual: July 1, 2015 – Dec 31, 2015
* Candidates raising or spending more than \$500 in 2015 must file campaign finance report showing all contributions received and all expenditures made during the applicable reporting periods. Please see information on back to determine your semiannual filing requirement.		
11-Day Pre-Primary	June 3, 2016	If semiannual report(s) filed, report period is: January 1, 2016 – May 31, 2016 If semiannual report(s) NOT filed, report period is: Beginning of campaign – May 31, 2016
42-Day Post-Primary	July 26, 2016	June 1 – July 19, 2016
42-Day Pre-General	September 27, 2016	July 20 – September 20, 2016
11-Day Pre-General	October 28, 2016	September 21– October 25, 2016
42-Day Post-General	December 20, 2016	October 26 – December 13, 2016

### 24-HOUR REPORTS

24-HOUR REPORTING PERIODS (13 DAYS BEFORE THE ELECTION)	WHEN TO FILE THE REPORT
Primary: June 1 – June 13, 2016 General: October 26 – November 7, 2016	<u>Within 24 hours</u> , including weekends and holidays, of receiving the contribution, making the expenditure, incurring the obligation, or placing the order.
WHAT TO REPORT:	
<b>Expenditures:</b> Any single expenditure of \$1,000 or more. Orders placed with or obligations made to vendors for goods or services are considered expenditures at the time the obligations are made. Please refer to the Commission's Rules, Chapter 1, Section 7(3) for more information concerning events which constitute making an expenditure and the timing and reporting of these expenditures.	<b>Contributions:</b> Any single contribution aggregating \$1,000 or more. This includes contributions from the candidate, candidate spouse/domestic partner and a single loan of \$1,000 or more. County candidates please note: For the purposes of filing a 24-Hour Report, a contribution for the <u>general</u> election received in the 13-day period <i>before the primary election</i> is not reported in a 24-Hour Report. For example: On June 3, 2016, you receive a \$1,550 contribution - \$775 for the primary and \$775 for the general. The \$775 primary contribution is less than \$1,000 threshold.

Please see filing instructions on back.

**2016 PRE-ELECTION SEMIANNUAL REPORTS  
FOR LEGISLATIVE AND COUNTY CANDIDATES IN THE 2016 ELECTIONS**

*What events determine when pre-election semiannual reports are required?* The campaign's fundraising and spending. If the campaign has raised or spent more than \$500 in 2015, a semiannual report is required.

*What determines if both the 2015 July and 2016 January reports are required?* The date on which the campaign raises or spends more than the threshold amount (\$500). If more than \$500 has been raised or spent on or before June 30, 2015, both reports are required. If the campaign's fundraising and spending goes over the threshold amount after July 1 and before December 31, 2015, only the 2016 January report is required.

*If a campaign does not go over the threshold amount in calendar year 2015, what is the first report filed for the 2016 elections?* The 11-Day Pre-Primary Report is the first report filed by the campaign and covers the period from the beginning of the campaign through May 31, 2016.

**FILING PROCEDURES**

*Electronically Filed Campaign Finance Reports.* Candidates who receive or expect to receive at least \$1,500 for their campaigns must file reports electronically on the Commission's website. Candidates or treasurers must enter the required information and click "File Report" by 11:59 p.m. on the filing deadline. The deadline for filing a 24-Hour Report is no later than 24 hours after receiving the contribution or making the expenditure (as described on the previous page).

Candidates who lack access to the technology or the technological ability to file reports on the internet may request a waiver by April 15, 2016. The Commission will grant all reasonable requests.

*Filing Campaign Finance Reports on Paper.* For candidates who are not required to file electronically, each original campaign finance report signed by the candidate or treasurer must be properly filed with the Commission by the filing deadline, except in two circumstances:

- a properly signed report may be faxed to the Commission office at (207) 287-6775 by 11:59 p.m. on the deadline or within 24 hours for 24-Hour Reports, provided that the Commission receives the original report within 5 calendar days; or
- for regularly scheduled reports (semiannual, pre- and post-election reports), a report mailed to the Commission by certified or registered mail and postmarked at least 2 days before the filing deadline will not be considered late, even if it is received after the deadline.

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



## **2016 ELECTRONIC FILING WAIVER**

All candidates who receive or expect to receive \$1,500 for their campaigns are required to file their campaign finance reports electronically on the Commission's website. Filing electronically has many advantages, such as:

**NO MATH** – You do not need to enter any totals or fill out any summary pages. Just enter the individual receipts and expenditures, and the e-filing system will take care of the rest.

**CONVENIENCE** – All you need is internet access in order to file your reports. There is no need to come to the Commission's office on the filing deadline or worry about mailing the report by the filing deadline.

You may request a waiver of the electronic filing requirement if you lack access to the technology or the technological ability to file reports electronically. If you wish to request a waiver, sign the bottom of this page and submit it to the Ethics Commission. You must do this no later than April 15, 2016. The Commission will grant all reasonable requests for exceptions.

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I REQUEST A WAIVER OF THE ELECTRONIC FILING REQUIREMENT BECAUSE I LACK ACCESS TO THE NECESSARY TECHNOLOGY OR THE TECHNOLOGICAL ABILITY TO FILE REPORTS ELECTRONICALLY.

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Date

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Candidate's Signature

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Print Name

# COMMISSION ON GOVERNMENTAL ETHICS AND ELECTION PRACTICES

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Mail: 135 State House Station, Augusta, Maine 04333

Office: 45 Memorial Circle, Augusta, Maine

Website: [www.maine.gov/ethics](http://www.maine.gov/ethics)

Phone: 207-287-4179

## Staff Contact Information

Emma Burke

*Candidate Registrar*

(207) 287-4727

[emma.burke@maine.gov](mailto:emma.burke@maine.gov)

House Districts: 1-51

Senate Districts: 23-35

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Erin Gordon

*Candidate Registrar*

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[erin.gordon@maine.gov](mailto:erin.gordon@maine.gov)

House Districts: 52-100

Senate Districts: 13-22

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Allen Hallett

*Candidate Registrar*

(207) 287-4709

[allen.w.hallett@maine.gov](mailto:allen.w.hallett@maine.gov)

House Districts: 101-151

Senate Districts: 1-12

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