



REPORTING REQUIREMENTS FOR INDEPENDENT EXPENDITURES: 2015 HD 19 SPECIAL ELECTION — NOVEMBER 3, 2015

These instructions are intended to provide information about how to report independent expenditures. The statute and rules governing independent expenditures are 21-A M.R.S.A. § 1019-B and Commission Rules, Chapter 1, Section 10 (94-270 CMR Chapter 1, Section 10).

WHEN DO INDEPENDENT EXPENDITURES HAVE TO BE REPORTED?

It is important to note that, through October 14th, it is the total or aggregate amount spent per candidate for the election that matters in determining whether an independent expenditure has to be reported, not simply the amount of a single expenditure. After October 14th, aggregation is not required; only single expenditures of more than \$250 per candidate must be reported. When an independent expenditure report has to be filed depends on the amount and the timing of the expenditure. The table below shows the reporting periods and the applicable thresholds and deadlines for reporting expenditures.

Reporting Period	Threshold for Reporting Expenditure	Report and Due Date
From August 11 through September 3	Expenditures aggregating over \$100 per candidate	60-Day Pre-Election Report due September 4
From September 4 through October 14	Expenditures aggregating over \$100 per candidate but not over \$250	11-Day Pre-Election Report due October 23
From September 4 through October 14	Expenditures aggregating over \$250 per candidate	Within 2 calendar days of making the expenditure
From October 15 through October 20	Any expenditure over \$250 per candidate	Within 2 calendar days of making the expenditure
From October 21 through November 3	Any expenditure over \$250 per candidate	Within 1 calendar day of making the expenditure

HOW DO I REPORT INDEPENDENT EXPENDITURES?

If you or your organization makes an independent expenditure, you must file the attached report with the Commission. The filer must report the date, amount, payee, and purpose of the expenditure, and must allocate the cost among the different candidates affected by the expenditure, indicating whether the expenditure was made in support of or in opposition to each candidate. The Election Law requires the report to contain a notarized statement disclosing whether the expenditure was made in cooperation or consultation with a candidate, so please locate a notary public in advance of the filing deadline.

Independent expenditure reports can be filed in person at the Commission's office during regular business hours (Monday through Friday from 8:00 a.m. to 5:00 p.m.). Filers may also submit the reports anytime by fax to (207) 287-6775, provided that the original report is received by the Commission within five calendar days. If the deadline for an independent expenditure report falls on a weekend or holiday, the report must be filed on that day, usually by fax.

WHAT ARE THE SPECIAL REQUIREMENTS FOR COMMUNICATIONS DISSEMINATED CLOSE TO THE ELECTION?

If you disseminate a communication that names or depicts a clearly identified candidate during the 35 days before the special election (from September 29, 2015 through November 3, 2015), any expenditure made for the design, production, or dissemination of the communication will be presumed to be an independent expenditure. This presumption applies even if the communication does not expressly advocate for the election or defeat of a candidate.

DOES THE PRESUMPTION EVER APPLY TO EXPENDITURES THAT ARE MADE BEFORE THE PRESUMPTION PERIOD BEGINS?

Yes. If the expenditure to design, produce or disseminate the communication is made before the presumption period and the communication itself is disseminated or is intended to be disseminated within the presumption period, the expenditure is presumed to be an independent expenditure and must be reported.

IMPORTANT INFORMATION ABOUT EXPENDITURES

The legal definition of expenditure includes not just the making of a payment but also “[a] contract, promise or agreement, expressed or implied, whether or not legally enforceable, to make any expenditure.” (21-A M.R.S.A. §§ 1012(3)(A)(3) & 1052(4)(A)(3)) The Commission views this as requiring the reporting of an unpaid obligation as an independent expenditure.

What is an expenditure?

- any obligation to pay for a good or service
- the placement of an order for goods and services
- a promise or agreement (even an implied one) that payment will be made
- the signing of a contract for a good or service
- the delivery of a good or service even if payment has not been made
- the payment for a good or service

When is an expenditure made?

The earliest of the following events:

- the placement of an order for a good or service
- a promise or an agreement to pay
- the signing of a contract for a good or service
- the delivery of a good or service
- the making of a payment for a good or service

WHAT IF THE COST OF A COMMUNICATION IS LESS THAN \$100 PER CANDIDATE?

If the person making the communication did not spend or obligate more than \$100 (or \$250 after October 14, 2015) per candidate to design, produce, or disseminate the communication, no independent expenditure report is necessary. However, once the aggregated costs for any candidate exceed \$100, a report must be filed for independent expenditures regarding that candidate. After October 14, 2015, you do not need to aggregate expenditures; only expenditures in excess of \$250 per candidate must be reported.

Please note that if an organization uses materials produced by another entity (e.g., a legislative scorecard), the cost of produc-

If you have any questions about whether an expenditure for a communication has to be reported as an independent expenditure, please contact the Commission staff at (207) 287-4179 .



COMMISSION ON GOVERNMENTAL ETHICS AND ELECTION PRACTICES
 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

INDEPENDENT EXPENDITURE REPORT – 2015 HD 19 SPECIAL ELECTION

Name of Person/Committee Making Expenditure(s) _____

Mailing Address _____

City, Zip Code _____ Telephone _____

Please check the appropriate box for the report you are filing and complete the notarized affidavit and attached schedules. Reports must be filed on Saturday or Sunday if that is when they are due by faxing the report to the Commission (287-6775). The Commission must receive the signed original report within 5 days after the fax was received.

INDEPENDENT EXPENDITURES OVER \$250			
Report Type (select one)	Expenditures Aggregating over \$250 made from September 4, 2015 through October 14, 2015 <input type="checkbox"/>	Any Expenditure Over \$250 Per Candidate Made from October 15, 2015 through October 20, 2015 <input type="checkbox"/>	Any Expenditure Over \$250 Per Candidate Made from October 21, 2015 through November 3, 2015 <input type="checkbox"/>
Due Date	Within 2 calendar days of making the expenditure	Within 2 calendar days of making the expenditure	Within 1 calendar day of making the expenditure
What Gets Reported	Expenditures aggregating over \$250 per candidate from September 4, 2015 through October 14, 2015	Any expenditure over \$250 per candidate	Any expenditure over \$250 per candidate

OTHER INDEPENDENT EXPENDITURES		
Report (select one)	<input type="checkbox"/> 60-Day Pre-Election Report	<input type="checkbox"/> 11-Day Pre-Election Report
Due Date	September 4, 2015	October 23, 2015
What Gets Reported	Expenditures aggregating over \$100 per candidate from August 11 through September 3, 2015	Expenditures aggregating over \$100 per candidate but not over \$250 from September 4 through October 14, 2015

I CERTIFY THAT THE INFORMATION IN THIS REPORT IS TRUE, CORRECT AND COMPLETE.

 Signature of PAC or Party Treasurer, or
 Other Authorized Person Making Expenditure(s)

 Date



INDEPENDENT EXPENDITURE REPORT – 2015 HD 19 SPECIAL ELECTION

AFFIDAVIT

STATE OF _____

COUNTY OF _____

I, _____, being duly sworn, attest that I made each of the expenditures listed in the attached report independently, and not in cooperation, consultation, or concert with, or at the request or suggestion of, any candidate, authorized committee or agent of a candidate in a race affected by any expenditure listed in this report.

Signature of Affiant

Sworn to before me, this _____ day of _____ 2015

(Notary Public/Attorney at Law)

My commission expires: _____

Schedule B-IE-1

CANDIDATE(S) SUPPORTED/OPPOSED

- Please list all candidates that were the subjects of independent expenditures.
- If more than one candidate was the subject of the expenditure, allocate the expenditure among the candidates.

Office sought by candidate (including district # or county)	Candidate's name	Indicate whether expenditure was made in support of or in opposition to the candidate	Amount expended this reporting period for each candidate
<p align="center">Total expenditures for all candidates this reporting period. <i>This amount should equal the total independent expenditures listed on Schedule B-IE-2, Line C. ⇒</i></p>			

Schedule B-IE-2

PAYMENTS AND OBLIGATIONS

- Please indicate the date, payee, expenditure type, and amount of each expenditure.
- If you are reporting an agreement or obligation to make a future payment, please check (✓) the box next to the expenditure type.

Expenditure Types			
LIT	Printing and graphics (flyers, signs, palmcards, etc.)	PRT	Print media ads only (newspapers, magazines)
MHS	Mail house (all services purchased)	RAD	Radio ads, production costs
PHO	Phone banks, automated telephone calls	TVN	TV or cable ads, production costs
POL	Polling and research survey	WEB	Website design, registration, hosting, maintenance, etc.
POS	Postage for U.S. Mail and mail box fees	OTH	Other (include description)

Date of expenditure	Payee, address, zip code	Expenditure type	✓	Amount
A. Expenditures for this page ⇒				
B. Total for all other Schedule B-IE-2 pages (if any) ⇒				
C. Total independent expenditures for this reporting period (A+B). ⇒ <i>This amount should equal the total amount for all candidates listed on Schedule B-IE-1.</i>				