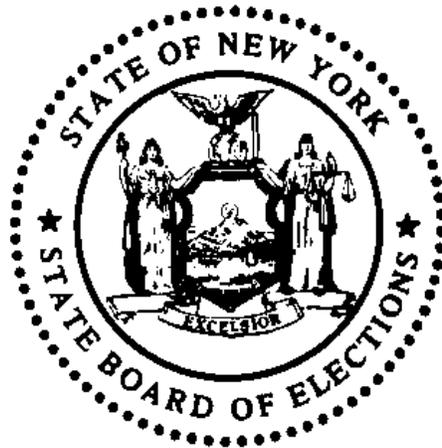


**NEW YORK STATE
BOARD OF ELECTIONS**



**HANDBOOK OF INSTRUCTIONS
FOR
CAMPAIGN FINANCIAL DISCLOSURE
2006**

INTRODUCTION

Welcome to the New York State Board of Election's *Handbook of Instructions for Campaign Financial Disclosure*. This handbook contains all necessary information and instructions to enable candidates and committees to comply with the financial disclosure requirements in Article 14 of the New York State Election Law and in Part 6200 of the Board's Rules and Regulations.

Committees or candidates that are required to file disclosure statements with the State Board of Elections must file all such statements electronically if they raise or spend or expect to raise or spend more than \$1,000 in any calendar year.

The New York State Election Law has been amended to require candidates and committees for local elections who file with a county board of elections or with NYC Board of Elections, that raise or expend or expect to raise or expend more than \$1,000 in any calendar year, to file their campaign finance statements in electronic format with the New York State Board of Elections and to continue to file on paper format or electronic format with the county board of elections or with the NYC Board of Elections, as the case may be. The new law does not apply to candidates or committees that are required to make their filings with a village clerk.

All forms and the computer software necessary to comply with this requirement, as well as installation and use instructions, are available at the State Board's website at www.elections.state.ny.us . All forms are also available from your local board of elections.

If you do not have access to the internet, you may request forms and/or the software on CD by calling the Campaign Finance Unit at 518-474-8200 or 1-800-458-3453. If you have **technical questions** concerning installation and/or use of the electronic filing software, you may call (518) 473-4803 or send e-mail inquiries to efshelp@elections.state.ny.us .

Please be aware that you must use the forms and electronic filing format prescribed by the State Board. If you want to use supplemental schedules or a different format, you must obtain prior written approval from the State Board.

This handbook of instructions is intended to be a useful guide for both electronic and paper filers. If you have any problems or questions that are not resolved by reading this handbook, you may call us at 1-800-458-3453 or (518) 474-8200.

Finally, the State Board has issued formal opinions periodically concerning financial disclosure and other Election Law questions. You can obtain these opinions and other helpful information concerning the Election Law by visiting the Board's web site, at www.elections.state.ny.us

ELECTRONIC FILING

Filing Electronically with the New York State Board of Elections

Filers must file electronically either by diskette or e-mail. It is important to make sure you are using the most recent version of the NYSBOE EFS Software. At this printing, the most recent version is EFS v4.0.

You can obtain the latest version of the EFS software under the Campaign Finance heading at the Board's web address: <http://www.elections.state.ny.us>

Click on "Downloads" and then on the the link that says Electronic Filing Software. If your browser gives you the choice of **Open or Save**, you can select Open and follow the installation instructions. If your browser only gives you the **Save** option, you can save the setup files to your hard drive. Then use your Windows Explorer to locate and run the setup.exe file in the directory where you saved the software. If you do not have access to the Internet, you can call (518) 474-8200 or 1-800-458-3453 to request the software on CD. If the CD does not start automatically when inserted, use Windows Explorer to locate and run the setup.exe file located on the CD.

For help with technical questions related to the EFS software you can contact the Information Technology Help Desk at (518) 473-4803, 1-800-458-3453 and ask to be transferred to the I. T. Help Desk or contact the Help Desk by email at efshelp@elections.state.ny.us. The user guide is also available from the web address listed above, as well as from the Help menu in the EFS v4.0 software.

Technical Information on Electronic Filing

Before a filing can be accepted by the State Board, a filer must be assigned a Filer Identification Number (Filer ID) and Personal Identification Number (PIN). It is critical that you do not use our software to prepare a report for filing, before you receive a Filer ID and PIN from the State Board. Doing so will result in the filer having to re-enter all data in the report, as reports prepared without a correct Filer ID/PIN can not be uploaded into the database. PIN use is mandatory to authenticate your filing.

In order to receive your Filer ID/PIN, you must register with the State Board by filing a CF-02 (The Committee Designation of Treasurer and Depository), a CF-03 (Committee Statement of Authorization or Non-Authorization by Candidates), and a CF-16 (Candidate Committee Authorization and Non-Expenditure Statement), as the case may be. These forms all require original signatures and form CF-03 and CF-16 need to be notarized.

Submission of Filings

Electronic filings can be submitted to the State Board via the following:

On a diskette via mail to: NYS Board of Elections
40 Steuben Street
Albany, New York 12207
Attn: Campaign Finance Unit

As an e-mail attachment to: efsfilings@elections.state.ny.us

To file by e-mail you simply need to do the following:

1. From within the EFSv4.0 software you select [File > File Disclosure Statement] from the drop down menu and follow the prompts for saving your filing to disk.
2. Select [File > Send Statement by Email. This will launch your default email program.
3. Attach your file created in step 1 to the email.
4. Send your email with attached file.

Alternatively, after completing step 1, you can just open your email program, attach the file, and send it to efsfilings@elections.state.ny.us.

Whichever way you choose to mail your filing make sure you ATTACH your file.

Initial Electronic Filing Requirement with the State Board of Elections for Active Local Filers:

The New York State Election Law now requires candidates and committees for local elections who file with a county board of elections or with NYC Board of Elections, that raise or expend or expect to raise or expend more than \$1,000 in any calendar year, to file their campaign finance statements in electronic format with the New York State Board of Elections and to continue to file on paper format or electronic format with the county board of elections or with the NYC Board of Elections, as the case may be. This requirement does not apply to candidates or committees that are required to make their filings with a village clerk.

Active local filers who also become obligated to file electronically with the State Board of Elections under the new law because they have raised or expended more than \$1,000 in 2005 or 2006 or expect to raise or expend more than \$1,000 in 2006 must comply with the following:

The ending cash balance on your most recent filing with the local board prior to your first electronic filing with the State Board must be properly carried forward on that first electronic filing. Therefore, local filers are required to do a one time entry on Schedule G (Transfers-In) on their first electronic filing to carry forward this applicable ending cash balance as follows:

- ▶ **Date** - Use the cut off date of this filing you are preparing now as your first filing for the State. (e.g. 01/11/06 is the cut off date for January 15, 2006 Periodic filing.)

- ▶ **Transfer Type** - Use type 2 (Committee solely supporting same candidate).
- ▶ **Name** - Treasurers will list their committee name. Candidates filing their own report will list their name.
- ▶ **Amount** - record the ending cash balance from your last paper report you filed with the local board of elections. (i.e., the ending cash balance of the report prior to this filing that you are preparing now.)

After you transmit your filing, check our website to verify that the data and the ending cash balance is correct.

Active local filers who trigger the obligation to file electronically with the State Board of Elections in 2007 should follow all of the requirements listed above.

Future Filings

You are required to continue to file your reports in electronic format with the State Board and in paper or electronic format, as the case may be, with the county board of elections until you terminate your filing with both the State Board and County Board of Elections. This includes all applicable election reports as well as all January and July Periodic reports. The process for termination can be found on our website.

The State Board assumes that all active committees are supporting or opposing candidates for election and therefore, we will expect to receive election reports from them (3 primary election reports and/or 3 general election reports), unless we are notified otherwise. If a committee is not going to actively support or oppose candidates in a particular election, it may notify the State Board by filing a Notice of Inactive Status (CF-20). This form may be filed on paper or via our website under Campaign Finance. The CF-20 requires an original signature. If filing online, you are required to use your ID# and PIN.

Electronic Filing Exemption

An exemption from the electronic filing requirement is available to filers that meet both of the following criteria:

Filers who do not have access to the technology necessary to comply with the electronic filing requirement and that filing by such means would constitute a substantial hardship to comply, may submit an Application for Electronic Filing Exemption (CF-19) with the State Board, at least 30 days prior to the filing.

NOTE: For purposes of granting an exemption to the electronic financial disclosure requirements of Article 14 of the Election Law, the following definitions apply:

“Access to the technology” is defined as the ownership and/or the ability to access a computer with a windows-based operating system capable of complying with electronic filing requirements.

“Substantial hardship” is defined as the financial inability to purchase and/or acquire access to the technology necessary to comply with the electronic financial filing requirements.

The exemption is generally valid for the calendar year for which it is granted and the filer is obligated to inform the State Board of any change in circumstances which would disqualify the committee/candidate from the exemption for electronic filing. The State Board may revoke the exemption at any time.

NOTE: An exemption from electronic filing does not exempt the filer from having to file at all. The filer must still file all reports on paper using the appropriate CF-01 “Disclosure Statement.”

Filers must also register with the State Board prior to requesting an exemption.

On-line Filing Options/Verification Statement (CF-18)

Filers have the option of filing No-Activity Reports, In-Lieu-Of Statements, 24 Hour Notices, and Notice of In-Active Status directly at the Board’s web site through the use of their Filer ID and PIN, thereby eliminating the need to file on paper or via fax as the case may be. (See pages 4 & 5 for “In-Lieu-Of Statements,” page 7 for “24 Hour Notices” and page 63 for “Notice of In-Active Status”). To do so, go to the Board’s website www.elections.state.ny.us link to Campaign Finance and follow the step by step instructions.

A paper Verification Statement (CF-18) must be filed by mail when filing Termination, Resignation and No-Activity Reports, whether such reports were filed via diskette, e-mail or the State Board’s website (e.g., In-Lieu of Statements).

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SECTION ONE -Financial Disclosure Requirements

I. Explanations/Glossary

To begin your understanding of the disclosure requirements it is important to know some key definitions.

Candidate means any individual who seeks to be nominated or elected to public office or party position. An individual shall be deemed to be a candidate if (1) action was taken to qualify for nomination or election or (2) monies were raised or expended by the individual or any agent in order to bring about such nomination or election to such office or position.

Political Committee means any combination of one or more persons that raises and spends money to advocate the success or defeat of any ballot proposal or any candidate for election or nomination to public office or party position. Authorized and Unauthorized single or Multi-candidate committees, PACs, Constituted Committees, Duly constituted sub-committees of county committees, and Party Committees, as defined below, are all political committees.

Authorized single or Multi-candidate committees are committees that are specifically authorized by one candidate or a group of candidates to raise and spend money on their behalf for their election. Authorization occurs when the candidate(s) has affirmatively acknowledged that the committee will act on his or her behalf.

Unauthorized single or Multi-candidate committees are committees that are **not** specifically authorized by one candidate or a group of candidates to raise and spend money on their behalf for their election.

Political Action Committee (PAC) although not defined in the New York State Election Law, a PAC is considered to be **any political committee that supports candidates or other political committees by making contributions only; i.e., PAC's do not make direct expenditures on behalf of Candidates.**

Constituted Committee is a state party committee or a county party committee wherein the committee members are elected to their position.

Duly constituted sub-committee of a county committee means, outside the city of New York, a city, town or village committee, which consists of all county committee members from that city, town or village as the case may be, and only such members. Within the City of New York, an Assembly district committee, which consists of all county committee members from that Assembly district, and only such members.

Party Committee is any committee (state or county) provided for in the rules of the political party other than a Constituted committee (committee members are generally appointed).

Housekeeping Expenditures are expenditures made by a Party or Constituted committee to maintain a permanent party headquarters and staff and carry on ordinary party activities not promoting the candidacy of specific candidates. Funds initially raised for campaign activity may be used for housekeeping expenses.

Contribution

- (1) Any gift, subscription, outstanding loan, advance, or deposit of money or anything of value, made in connection with the nomination or election of any candidate, or made to promote the success or defeat of a political party or principle, or of any ballot proposal.
- (2) Any funds received by a political committee from another political committee to the extent such funds do not constitute a transfer (see definition of transfer, below).
- (3) Any payment, by any person other than a candidate or a political committee authorized by the candidate, made in connection with the nomination or election of that candidate. This includes but is not limited to the compensation for personal services of an individual which are rendered without charge in support of the candidate's nomination or election. None of the foregoing shall be deemed a contribution if it is made or performed by a candidate or spouse or by an individual or political committee INDEPENDENT of the candidate and the candidate's agents or authorized political committee.

NOTE: "independent" means that the candidate, his/her agent or authorized political committee, did not authorize, request, suggest, foster or cooperate in any such activity.

Itemized/Unitemized Contributions - Whenever any contributor makes a contribution to a campaign, the name, address, date, check number, and amount must be detailed on one of the contribution schedules, unless the contributor has not exceeded \$99.00 for the campaign. In that case, simply **include the amount of the contribution in the unitemized total section of the schedule**. If at any point in the campaign, the contributor's aggregate contributions exceeds \$99.00, the contributions must be itemized.

The following ARE NOT contributions:

- ✓ the value of services provided without compensation by individuals who volunteer all or a portion of their time on behalf of a candidate or political committee.
- ✓ the use of real or personal property and the cost of invitations, food and beverages voluntarily provided by an individual to a candidate on the individual's personal residential premises for candidate-related activities to the extent such services do not exceed five hundred dollars in value.
- ✓ the travel expenses of any individual who on his/her own behalf, volunteers his/her personal services to any candidate or political committee to the extent such services are not reimbursed and do not exceed five hundred dollars in value.

Transfer - the exchange of funds or anything of value between a Party or Constituted committee and a candidate or any of his/her authorized committees (e.g. Type 1 transfer - NYS Republican State Comm to Friends of Smith or vice versa) OR two committees SOLELY supporting the same candidate (e.g. Type 2 transfer - Friends of Vincent Smith to Citizens for Vincent Smith). Transfers are not contributions and are not subject to contribution limits.

Itemized/Unitemized Expenditures - Whenever any **individual** expenditure exceeds \$49.99, you must provide on Schedule F the date, check number, name and address of the payee, the amount and purpose. For expenditures less than \$50.00, you would simply include the amount in the unitemized expenditure total box on Schedule F. Whenever you write a check for several expenditures originally made by an individual or by a charge to your credit card, you must disclose the detail for each expenditure that was over \$49.99 as previously mentioned. **This can be done as memo entries on the schedule or in an attachment.** (See Schedule F instructions pages 40-44)

Filer Identification Number - The State Board of Elections and some local boards of elections assign ID numbers to candidates and committees. Any time you file anything with a board, you must ensure that the ID number (if one was assigned by that board), is on the document being filed.

Personal Identification Number (PIN) - State filers receive a **PIN** upon registering with the State Board by filing a Committee Designation of Treasurer and Depository (CF-02) (See pages 19, 22, and 23). This number acts as the electronic signature on filings made with State Board. Use of the PIN is mandatory.

II. What must be filed?

All candidates and political committees are required to file statements which disclose their receipts and disbursements in connection with their support or opposition to candidates or ballot proposals.

A. Candidates

Candidates are required to file Financial Disclosure Statements CF-01 unless:

- 1) they have an authorized committee registered with the Board of Elections which files reports disclosing the candidate's campaign financial activities, and
- 2) the candidate is not raising or spending money themselves except through their authorized committee.

Candidates that are required to file must file either an Itemized report, In-Lieu-Of Statement, or No-Activity Statement for each filing period. You qualify to file an In-Lieu-Of Statement if you are a candidate and at the close of the reporting period for which such statement would be required, neither the total receipts nor the total

expenditures of the campaign have exceeded \$1,000. Once you have exceeded this \$1,000 threshold, you must file a fully itemized report unless there is no activity to report for the specific reporting period. In this case, if you are a state filer, you should file a "Verification Statement" (Form CF-18) marking the box "No-Activity" or file a "No-Activity Statement" on-line. Local filers who do not have activity to report for a reporting period should file a fully completed cover page together with both the summary and status pages of form CF-01.

Candidates who have an authorized committee, and who do not raise or spend money themselves (except through the committee), must file a Candidate Committee Authorization and Non-Expenditure Statement (CF-16). This statement names the candidate's authorized committee that will file the financial disclosure statements on the candidate's behalf. The committee must file the Committee Designation of Treasurer and Depository (CF-02) and Committee Statement of Authorization or Non-Authorization by Candidates (CF-03). If the named treasurer does not file these documents (CF-02 & CF-03) which indicate that he/she has accepted the responsibility for filing the financial reports, then that responsibility remains with the candidate.

B. Committees

Committees must file the following forms to register and fulfill their financial disclosure obligations.

1. Committee Designation of Treasurer and Depository (CF-02)

This form is used to register a committee.

Exemption: This form is not required to be filed by a Constituted Committee. (See page 1 for definition.) Contact the State Board for instructions on how to register a Constituted Committee.

2. Committee Statement of Authorization/Non-Authorization By Candidates (CF-03)

This form must be filed by any political committee that is supporting or opposing the nomination or election of any candidate through direct expenditure. It is used to indicate whether or not a candidate has authorized a committee to aid or take part in his/her nomination or election.

Exemption: This form is not required to be filed by a committee that only makes contributions. (e.g. PACs)

3. Financial Disclosure Statements CF-01 (Itemized or In-Lieu-Of)

Committees are required to file either an Itemized Report, an In-Lieu-Of Statement, or a No-Activity Statement for each filing period. You qualify to file an In-Lieu-of Statement if you are the Treasurer of an authorized committee that supports a single candidate and at the close of the reporting period for which such statement would be required, neither the total receipts nor the total expenditures of

the campaign have exceeded \$1,000. Once you have exceeded this \$1,000 threshold, you must file a fully itemized report, unless there is no activity to report for the specific reporting period. For state filers, if there is no-activity to report during a reporting period, you should file a “Verification Statement” (Form CF-18) marking the box “No-Activity” or file a “No-Activity Statement” on-line. Local filers who do not have activity to report for a reporting period should file a fully completed cover page, together with the summary and status pages from the CF-01.

4. The Verification Statement (CF-18)

A Verification Statement is only required to be filed when submitting termination, resignation or no-activity reports. Filers have the option of filing no-activity reports directly at the Board’s website through use of their PIN thereby eliminating the need to file the paper Verification Statement. Termination and treasurer resignation reports must still be accompanied by a signed paper Verification Statement.

C. **PACs**

All PACs must file the Committee Designation of Treasurer and Depository (CF-02) and Financial Disclosure Statements (CF-01). PACs do not file the Committee Statement of Authorization or Non-Authorization by Candidates (CF-03). All PAC’s must file a Verification Statement when required. (See #4, above.)

NOTE:

Electronic filers that had no transactions for the report period can either file a Verification Statement (CF-18) checking the “No-Activity” box or file a “No-Activity” report through use of their PIN directly at the Board’s website. Paper filers that had no transactions will complete the Summary page showing zeros for receipts and disbursements.

Paper filers that had no transactions to report will submit the Cover page and Summary page which will show the same beginning and ending balance. Any committee that will not, in any way, support or oppose a candidate or issue on the ballot for a particular election will not have to file any reports for that election. They must, however, inform the Board by filing the Notice of Inactive Status (CF-20).

D. **Additional Documentation**

Copies of documents evidencing loans received or forgiven and debts forgiven must be submitted with the report covering the period in which the transaction occurred.

Copies of campaign material must be submitted with the Post Election report. This includes brochures, palm cards, circulars, radio or TV scripts, schedules of broadcasts, letterheads, pamphlets, or other printed materials. Photos may be submitted in lieu of actual items.

Any **contribution or loan** which **exceeds** \$1,000.00, and which is received after the cut-off date for filing the 11 day Pre-Election report but before Election Day, must be reported within 24 hours of receipt. This notification must be in writing, but may be faxed to the appropriate Board. The State Board fax number is (518) 486-6627. You must contact local boards for their fax numbers. *Note: State Board filers now have the option of filing these “24 Hour Notices” via the Board’s website www.elections.state.ny.us through use of their PIN.* **Any contribution/loan for which you sent a 24 hour notice must also be disclosed in the Post-Election report.**

III. When Are Reports Filed?

- A. **Periodic Reports** - These reports are filed on January 15 and July 15 each year.
All committees must file Periodic Reports
- B. **Election Reports** - There are three election reports filed in connection with each Primary, General, or Special Election. These are due at the following times:
- ✓ 32 Day Pre-Election
 - ✓ 11 Day Pre-Election
 - ✓ 10 Day Post Election for Primary Elections or
27 Day Post Election for General or Special Elections.

All candidates and or their committees must file the three election reports for all elections in which the candidate appears in the ballot. This is also applicable when an “opportunity to ballot” petition has been filed for a primary election. PAC’s and Party Committees that support candidates or ballot proposal in any election must file the three election reports.

All reports cover a specific period. The period covered is always the day after the cut-off date from the previous report to the cut-off date for the current report. The cut-off date is always 4 days before the filing date.

A disclosure report, by paper or diskette, is deemed properly filed when sent by certified mail within the prescribed time. Reports filed by e-mail with the State Board of Elections must be filed within the prescribed time.

A candidate that has no committee and does not carry over assets or liabilities from a prior election will file the 32 Day Pre-Election report as the first report regardless of when campaigning began. Candidates running their own campaigns must file the appropriate 3 election reports. If the Post Election report shows assets or liabilities remaining, the candidate must continue to file periodic reports until there are no assets or liabilities, at which point a termination report may be filed.

A committee must file a report on the first reporting period following its filing of the Designation of Treasurer and Depository Statement: For example, if a new committee forms in March, the first report is the July Periodic.

A Constituted or Party committee that has set up a separate housekeeping account must file a housekeeping report only twice each year, on January 15 and July 15.

A committee must continue to file periodic reports until it can terminate, i.e., when it has no assets or liabilities.

If a candidate raises or spends money in an attempt to be on a ballot, but does not appear on the ballot, all receipts and disbursements in connection with that attempt must be disclosed in the next periodic report.

IV. Where are Reports and Statements filed?

Statements and Reports for candidates, and for committees supporting or opposing candidates for the following offices are filed at the State Board of Elections:

Governor, Lt. Governor, Comptroller, Attorney General, State Senate, State Assembly, and State Supreme Court Justice.

Statements and Reports for all other offices are filed at the appropriate county board of elections. Reports and Statements for village offices are filed with the village clerk, unless the county board of elections has been designated by the village.

The New York State Election Law has been amended to require candidates and committees for local elections who file with a county board of elections or with NYC Board of Elections, that raise or expend or expect to raise or expend more than \$1,000 in any calendar year, to file their campaign finance statements in electronic format with the New York State Board of Elections and to continue to file on paper format or electronic format with the county board of elections or with the NYC Board of Elections, as the case may be. The new law does not apply to candidates or committees that are required to make their filings with a village clerk.

Committees that are registered with the State Board of Elections must file their reports with the State Board electronically, unless they are exempted from electronic reporting (see page 62 for exemption requirements and request form). Local filers, whether they are also obligated to file electronically with the State Board or not, may use the electronic software to create paper reports to file locally. If so, they must attach a cover page and the summary page as the software does not create these pages.

Local filers file with the appropriate county board of elections. When any reports from local filers who are not also registered and filing with the State Board show support for a state candidate, they must file a copy of that report with the State Board of Elections.

Since you may need to file several copies of the same report in several locations, you may send copies. Please be sure to place an original signature on each copy. Electronic filers should file all reports with the State Board of Elections and then send printed copies to the local boards.

The mailing address is not imprinted on the forms because the State Board prints forms for all boards of elections in the state. You can visit our website at www.elections.state.ny.us for address and phone # information of all county boards of elections.

V. Termination of Filing Obligation

Termination ends the obligation to file. To terminate, you must file the following:

Termination Report - must have an ending cash balance of zero and no outstanding loans or liabilities remaining. This report can be in conjunction with any post election report, or if filing itemized statements, either a periodic report or as an Off-Cycle* (Termination Report).

*An Off-Cycle report is defined as a report which does not correspond to any specific filing period. It should be used when filing a termination report outside of a regularly scheduled reporting period.

Verification Statement (CF-18)- State filers filing electronically, must also submit this form on paper in addition to their final electronic report. This form must be completed in its entirety, with the type of report designated, as well as the "Termination Report" box checked. This statement requires an original signature.

Paper filers using form [CF-01](#) must check the type of report being filed as well as the "Termination Report" box. If Off-Cycle, check the Off-Cycle box as well.

Note: Prior to filing a termination report, state filers should check their records against their reports that are on file with the [State Board](#) to make sure that the ending cash balance will be zero in their termination report when they file it.

VI. Penalties

1. There are serious significant penalties and consequences for failing to file required Financial Disclosure Statements.
2. The maximum penalty for failing to file a statement is \$500.00.
3. This penalty is recoverable in a judicial proceeding which seeks a money judgement brought by the County or State Board of Elections.
4. This penalty is applicable for each filing.
5. Treasurers: Penalties for a committee's failure to file are the personal responsibility of the treasurer. Judgements are obtained against the treasurer, not the committee.
6. Candidates: A form CF-16 must be filed by candidates with authorized committees unless they are raising or spending monies outside their committees, in which case, the candidates must file their own disclosure statements in addition to those of the committees. Such candidates will be subject to a penalty for failure to file the form CF-16 or their own disclosure statements as the case may be. This is even if their authorized committee has made its filings. In addition, the penalty is applicable to each filing period in which the candidate has not yet filed their CF-16 or disclosure statement as applicable.

Candidates who do not have an authorized committee and who fail to make their own required filings, will be subject to penalties for each filing that is not made.

Any person who willfully and knowingly violates the filing provisions or contribution limits may be guilty of a misdemeanor.

VII. Exceptions to filing requirements

- ✓ The State Board of Elections may exempt a filer from the electronic filing requirements if the filer files a sworn statement which demonstrates that the committee does not have access to the necessary technology and that filing electronically would constitute a substantial hardship. (See page 62 for exemption requirement and request form.)

The filing requirements **do not apply** to the following:

- ✓ Newspapers or other periodicals.
- ✓ Federal Candidates or Committees filing with the Federal Elections Commission. If contributions will exceed \$1,000.00, then the committee is required to first register and file as any other New York political committee.
- ✓ Candidates who do not receive or spend more than \$50.00, including candidates for county committee and for delegate and alternate to a Judicial Convention. However, you must inform the Board in writing that you are exempt.
- ✓ Any candidate in an uncontested primary. (Monies received or spent shall be disclosed in the first general election report filed.)
- ✓ Candidates/committees solely supporting one candidate for public office in towns, cities, or villages having a population under 10,000 where the candidate/committee does not raise or spend in excess of \$1,000.00.
- ✓ A committee formed solely to support or oppose a ballot issue and that does not raise or spend over \$100.00.

VIII. Duties of Treasurers/Treasurer Resignation

- A. The treasurer must file the Committee Designation of Treasurer and Depository (CF-02) prior to receiving or expending funds. (See pages 19, 22 and 23)
- B. Only the treasurer and the individuals so authorized by the CF-02 may sign checks drawn on the committee depository.
- C. Treasurers (except for PACs, Party and Constituted Committees) must also file Committee Statement of Authorization or Non-Authorization by Candidate (CF-03). (See pages 20, 24 and 25.)
- D. The treasurer is legally responsible for filing all committee reports. Paper reports must contain an original signature (please sign in blue ink). Treasurers filing with the State Board of Elections must file electronically, via diskette or e-mail, using the State Board's electronic filing software. Treasurers will be assigned a Filer ID# as well as a PIN when they register by filing the Committee Designation of Treasurer and Depository (CF-02). The PIN is the electronic signature of the treasurer for filing purposes. The PIN ensures that the report has been filed by the designated treasurer. As liability attaches to each filing, the treasurer should ensure that their PIN is kept and used securely.

Treasurers filing treasurer resignation, termination or no-activity reports must file a paper Verification Statement (CF-18) with an original signature (See page 61). Treasurers have the option of filing no-activity reports directly at the Board's website.

- E. Receipts and disbursements in excess of \$100.00 may not be in cash.
- F. Treasurers (active, as well as those who have resigned), must keep detailed bound accounts of all receipts, transfers, loans, liabilities, contributions, and expenditures (including copies of reports filed) for a period of at least five years. Upon resignation, the resigning treasurer should turn over all accounts, checkbooks, and records to the new treasurer, and maintain a copy for themselves.
- G. A treasurer wishing to resign must submit a letter of resignation to the appropriate board(s) of elections, together with a resignation report. Treasurers of an authorized committee must submit a copy of their letter of resignation to the candidate. Treasurers of other types of committees (e.g. Multi-Candidate Authorized or Unauthorized, PACs, Party and Constituted) must submit a copy of their letter of resignation to the appropriate management representative of the organization.

Treasurer Resignation Report must include all transactions from the cut-off date of the last report filed up to the date of resignation and must be submitted within five days of the effective date of resignation. This report can be filed either in conjunction with: (1) any of the election reports, (2) a periodic report or (3) as an *Off-Cycle Treasurer Resignation Report.

*An Off-Cycle report is defined as a report which does not correspond to any specific filing period. It should be used when filing a treasurer resignation report outside of a regularly scheduled reporting period.

Verification Statement (CF-18) State filers filing electronically, must also submit this form on paper, in addition to the treasurer resignation report. This form must be completed in its entirety, with the type of report designated, and "Treasurer Resignation" box checked. If filing an *Off-Cycle report, only check "Treasurer Resignation Report" box.

Upon the effective date of resignation, or upon the death of the treasurer, no member of the committee may receive or expend funds until a new treasurer is chosen and an amended [CF-02](#) Designation of Treasurer and Depository is filed.

The new treasurer must file an amended [CF-02 and CF-03](#) within 2 days of any changes to any information contained therein.

Note: In accordance with Section 14-118 of the [Election Law](#), treasurers (active, as well as those who have resigned) must maintain their records for a period of at least five years. Upon resignation, the resigning treasurer is expected to fully cooperate in the transition to the new treasurer. The resigning treasurer should turn over all accounts, checkbooks, and

records to the new treasurer and maintain a copy for themselves.

- H. Upon the effective date of resignation, or upon the death of the treasurer, no member of the committee may receive or expend funds until a new treasurer is chosen and an amended Designation of Treasurer and Depository (Form CF-02) is filed.
- I. A treasurer must file an amended CF-02 and CF-03 as applicable within 2 days of any changes to any information contained therein.

IX. Miscellaneous Items

Attribution of Campaign Advertisements - New York State Election Law does not require the sponsor's or payor's name to be on any political advertisements. If the ad refers to a Federal candidate the Federal Election Commission (FEC) may impose such a requirement. Federal Communication Commission rules, or Radio and TV stations themselves, may impose that requirement on Radio or TV advertisements.

Fundraisers - The price at which you sell a ticket to a campaign event is the amount that is reported as a contribution received. Expenses are not subtracted from the ticket price. If you purchase a ticket to a campaign event, the cost is reported as a political contribution to the sponsoring committee on Schedule F. If the payment is from a candidate committee to a Party committee, or vice-versa, it is a transfer rather than a contribution.

Solicitations - Section 6113 of the Internal Revenue Code requires all solicitations for political purposes to contain an express statement that political contributions are not tax deductible as charitable contributions.

Auctions - Items received for an auction must be reported as In-Kind contributions at fair market value. The entire amount received for an item will then be reported as a contribution on Schedule A, B or C.

Political Clubs - A political club, depending upon the nature of its activity may or may not be a political committee. (See page 1 for definition of political committee.) If a political club is a political committee then it is not exempt from filing requirement.

Party Funds - Party funds may not be used in support of any candidate in a primary election.

Allocating Expenses - Party committees, constituted committees and authorized multi-candidate committees are required to allocate campaign expenses among the candidates they support. **(These amounts must be aggregated for the campaign cycle.)** Paper filers include this information where indicated on the Status Report. Electronic Filers need to create and complete Schedule R. For

additional information, please refer to page 59 and 60 of this Handbook.

Outstanding Liabilities - Whenever you have received goods or services for which you have not yet paid, there exists an outstanding liability. If you received the goods and services along with an invoice, then report the invoiced amount on Schedule N. If you received the goods or services and no invoice, then report an estimated amount on Schedule N.

Subcontractors - If you pay a person or entity, such as a consultant, to act on your behalf, and that entity subcontracts out for finished goods or services from a single subcontractor in an amount which exceeds either \$10,000 in the case of a statewide race or \$5,000 in the case of any other race, you must report that subcontract information on Schedule O. However, you may wait until the post election filing to report it.

INVESTMENTS/LOANS MADE

The following instructions describe the procedures to be followed when investing committee funds or making loans:

Investments - An investment occurs when you take cash from your checking account (depository) and place it in a potential income producing instrument. You will not show an investment as a disbursement of funds, nor should you show the return of principle as income. You will show interest or income earned as other receipts. Losses on investments will be shown as a campaign expense, citing the check number of the original investment. When you make an investment, you must disclose the details in an attachment filed with the report covering the period in which the investment was made. E-mail filers must provide details under separate cover.

Loans Made - As with an investment, we consider campaign funds loaned to another entity to still be an asset of your campaign. Therefore, you will not show the disbursement or receipt of the principal amount. You will show interest income under other receipts and if the lendee defaults on all or any part of the loan, or if you forgive the loan or any part, that amount will be shown on Schedule F as a political contribution or other expense as the case may be. You must provide in an attachment, with the report covering the period in which the loan was made, the details of the loan, and the purpose of the loan. E-mail filers must provide details under separate cover.

Remember, you may not convert campaign funds to a personal use. Investments or loans made must not be for personal gain.

X. Contribution and Receipt Limitations

What is a contributor? A contributor may be an individual, a corporation, another candidate's political committee, an unincorporated union or trade organization, a PAC or any other entity such as a League or association.

A limited liability company is treated as an individual for limitation purposes. Contributions received from LLCs are reported on Schedule C .

Sole proprietors' contributions are from the owner and must be listed as such on Schedule A.

Partnership contributions are contributions from the partners individually, but they are not listed individually until the partnership contribution exceeds \$2,500. Then complete Schedule O. Each individual partner's contributions, whether taken from the partnership account or from the partner's personal account, will count towards that partner's individual calendar year limit of \$150,000.

Checks drawn on a joint account are assumed given by the signatory if no other information available.

The funds of a candidate and the spouse of the candidate spent on the campaign are not contributions and are not limited. They must be reported, however.

The New York State Election Law places aggregate calendar year limits on the amount of political contributions that can be made by **individuals** and **corporations** to New York State candidates and committees, as follows:

- An **individual** may contribute up to a total of **\$150,000.00** in a calendar year.
- A **corporation** may contribute up to a total of **\$5,000.00** in a calendar year.

Each affiliated or subsidiary corporation, if a separate legal entity, has its own limit.

No other type of contributor has an aggregate calendar year limit on its contributions.

Notwithstanding the above, no individual, corporation, or other contributor may give more to a candidate or a candidate's authorized political committee(s) than an amount determined under the law for the office sought by the candidate. This is called the **election limit**. This amount is the maximum that the candidate may receive from any one contributor during the campaign cycle for the particular election.

For some offices, the law requires a formula be used to determine the limit. In those cases, you should contact the board of elections where the candidate files their reports to find out the limits.

Each Primary, General or Special election campaign has its own limit. Therefore, contributors may give up to the limit for each election in which the candidate participates. Candidates and committee treasurers must ensure that the election limits are not exceeded and that those funds are spent only for the election to which they pertain unless they were surplus funds left over from a prior election.

The election limit for family members is an aggregate limit from all the candidate's family (defined as a child, parent, grandparent, brother and sister and the spouse's of those persons).

The following charts set forth the maximum election limits that may be received by a candidate for a particular office. Column A represents the amount that can be received from any non-family contributor and Column B represents the amount that can be received from the family.

		Column A	Column B
Office	Election	Non-Family Limit	Family Limit
Statewide Governor Lt. Gov. Comptroller Atty. Gen.	Primary	Total number of enrolled voters in the candidate's party in the state x \$0.005.*	Total number of enrolled voters in the candidate's party in the state x \$0.025.
	General	Any amount up to \$33,900.	Total number of registered voters in the state x \$0.025.
NYS Senate	Primary	\$5,400	\$0.25 x enrolled voters in candidate's district and party but at least \$20,000, and no more than \$100,000.
	General	\$8,500	\$0.25 x registered voters in district but at least \$20,000, and no more than \$100,000.
NYS Assembly	Primary	\$3,400	\$0.25 x enrolled voters in candidate's district & party but at least \$12,500, and no more than \$100,000.
	General	\$3,400	\$0.25 x registered voters in district but at least \$12,500, and no more than \$100,000.
NYC Offices of Mayor, Public Advocate, and Comptroller	Primary	Total number of enrolled voters in candidate's party in the city x \$0.05*	\$0.25 x enrolled voters in candidate's party in the city but at least \$1,250, and no more than \$100,000.
	General	Any amount up to \$33,900.	\$0.25 x registered voter in the city but at least \$1,250, and no more than \$100,000.

* The formula amount up to \$16,200, but at least \$5,400.

NOTE: Candidates opting into the NYC Public Financing program should check with that Public Finance Board for further limitations.

		Column A	Column B
Office	Election	Non-Family Limit	Family Limit
Other Public Offices	Primary	\$0.05 x enrolled voters in candidate's party & district but at least \$1,000, with a maximum of \$50,000.	\$0.25 x enrolled voters in candidate's party & district but at least \$1,250, and no more than \$100,000.
	General	\$0.05 x registered voters in candidate's district but at least \$1,000, with a maximum of \$50,000.	\$0.25 x registered voter in candidate's district but at least \$1,250, and no more than \$100,000.

The general election limit applies to Special elections as well.

Primary limits are only applicable to candidates that are in a contested primary. Candidates may receive a separate limit for every contested primary that they are in.

Please remember that these limits are for the entire election cycle. Generally, the Election Cycle is either two or four years. Where the limit exceeds \$5,000.00, a corporation is still restricted to its limit of \$5,000.00 in a calendar year. But, it may give during each year of the election up to the lesser of its or the candidate's limit.

The person making a contribution, as well as the person receiving it, are responsible to ensure that the limits are not exceeded.

- ✓ The contribution limit for family members is an aggregate limit from all the candidate's family members (defined as a child, parent, grandparent, brother and sister and the spouse's of those persons.)
- ✓ Ballot Issues - There are no limits on contributions for ballot issues.
- ✓ Party or constituted committees - these committees may receive no more than \$84,400 from any one contributor in a calendar year and up to \$5,000 from a corporation.
- ✓ Housekeeping - there are no limits on contributions to a Party or Constituted committee for Housekeeping expenses.

Unless otherwise designated in writing, a contribution is deemed attributable to the very next election in which the candidate participates. Contributions allocated to prior campaigns (to pay outstanding debts) must remain within the limits applicable to that election.

SECTION TWO - Detailed Instruction - *Financial Disclosure Forms*

XI. Committee Designation of Treasurer and Depository - CF-02

1. This statement must be filed prior to receiving or expending any funds, and within 5 days after the selection of the treasurer and depository. The depository must be authorized to do business in New York State and be physically located in New York State.
2. Information required:
 - a) Committee Name.
 - b) Committee Type.
 - c) Treasurer name, addresses (residential and mailing), telephone numbers (residential and business/alternate) and e-mail address.
 - d) Name and address of the depository.
 - e) Name(s) of candidates supported or opposed (if applicable) including office, district and year of election. **Note: This section of the form is completed only by committees that will make direct expenditures, other than contributions, on behalf of or against a candidate(s).**
 - f) Ballot proposals supported or opposed.
 - g) Names and original signatures of other persons authorized to sign checks.
 - h) Original signature of treasurer and date signed.
3. Any change in the information, other than the year of election, requires that an amended CF-02 be filed within 2 days of the change. Any amendments require the treasurer to file an amended form.
4. In the case of a treasurer resignation, upon the filing of a letter of resignation and a resignation report by the treasurer, that treasurer's PIN will be invalidated. Upon receipt of an amended CF-02 naming a new treasurer, a new PIN will be issued to the new treasurer.
5. This statement also provides for the voluntary submission of the Treasurer's Social Security number. There is no penalty for failure to supply this information.

XII. Committee Statement of Authorization/Non-Authorization by Candidates -CF-03

Only committees making direct expenditures on behalf of candidates must submit this statement. **PACs do not file this statement.**

1. This statement (if applicable) will be filed with the Committee Designation of Treasurer and Depository (CF-02).
2. This form is required to be filed prior to the first election to which it relates, and will remain in effect for each subsequent election. However, if any information provided on the form changes, other than the year of election, you must file an amended statement.
3. Information required:
 - a. Committee Name
 - b. Section A: is to be used to list candidates in whose election the committee has been authorized to take part. When you list candidates in Section A, you are stating that the candidate authorized you to be one of their campaign committees for the election. This means that the candidate has affirmatively acknowledged that you will be raising and spending money on their behalf. In other words, the authorization is decided by the candidate. The mere fact that the candidate knows that you are conducting campaign activity on their behalf does not mean that you are an Authorized committee.
 - c. Section B: is to be used to list candidates in whose election the committee is taking part without specific authorization from the candidates.
 - d. This statement must be notarized and contain the original signature of the treasurer.
 - e. This statement also provides for the voluntary submission of the Treasurer's Social Security number. There is no penalty for failure to provide this information.

XIII. Candidate Committee Authorization and Non-Expenditure Statement CF-16

1. This statement must be filed by a candidate who has authorized a committee to run their campaign **and** who will not raise or spend any monies except through the authorized committee.

Note: Candidates with one or more authorized committees who also raise or spend monies on their own outside of their authorized committees do not file this statement. Instead, they must make all required financial disclosure filings. These filings would be in addition to their committee's making all required financial disclosure filings.

2. This statement is required to be filed prior to the first election in which the candidate participates and must be filed 32 days prior to the election date.
3. It provides the date of the election, the candidate's name, address, telephone number, office sought (Governor, Senator, etc), district # (e.g. 43rd Assembly), and party, if affiliated.
4. It also provides the authorized committee's name and the name and address of the treasurer.
5. This statement must be notarized and contain an original signature.
6. This statement also provides for the voluntary submission of the Candidate's Social Security number. Disclosure is voluntary. There is no penalty for failure to do so.
7. A **new** statement must be filed by the candidate if any information other than the year of election changes.

XIV. Sample Forms

The sample forms with instructions as listed below, are contained in the six (6) pages that follow:

- Committee Designation of Treasurer and Depository (CF-02)
- Committee Statement of Authorization or Non-Authorization by Candidate(CF-03)
- Candidate Committee Authorization and Non-Expenditure Statement (CF-16)

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STATE OF NEW YORK
STATE BOARD OF ELECTIONS
COMMITTEE DESIGNATION OF TREASURER AND DEPOSITORY
Section 14-118 of the Election Law
(See instructions on reverse side)

THIS FORM MUST CONTAIN ORIGINAL SIGNATURES AND BE COMPLETED IN FULL.

New Registration [] For State Campaign [] _____
Amended Registration [] For Local Campaign [] _____ Filer ID# (To be assigned)

A. NAME OF COMMITTEE: _____

B. COMMITTEE TYPE: (see reverse) _____

C. TREASURER:

Full Name _____

Res. Address _____

Zip _____

(Voluntary)
Soc. Sec. # _____ / _____ / _____ **E-mail Address** _____

Mailing Address _____

(If different) _____

Zip _____

Res. Tel. No. _____ **Bus./Alternate Tel. No.** _____

D. DEPOSITORY:

Name of Bank _____

Address _____

E. CANDIDATE(S) TO BE SUPPORTED OR OPPOSED: (Attach additional sheets if necessary)

ELECTION YEAR	OFFICE/DISTRICT	FIRST/MIDDLE INITIAL/ LAST NAME OF CANDIDATE	SUPPORT/OPPOSE
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____

F. BALLOT ISSUE(S) TO BE SUPPORTED OR OPPOSED: (Attach additional sheets if necessary)

SUPPORT/OPPOSE
1. _____
2. _____

G. PERSON(S) OTHER THAN TREASURER AUTHORIZED TO SIGN CHECKS:
(Attach additional pages if necessary.)

Full Name 1. _____ 2. _____

Res. Address _____

Zip _____ **Zip** _____

Signature _____

H. _____ **The above information is true to the best of my knowledge and belief**

_____ Date _____ Treasurer's Signature (must be original in blue or black ink.)

INSTRUCTIONS FOR COMPLETING FORM CF-02

(PLEASE PRINT OR TYPE IN BLACK INK)

This form must be filed by all political committees as defined in Section 14-118 of the Election Law with the exception of constituted committees. **It is due within five days after the choice of a treasurer and depository, and prior to receiving or expending any funds.** It must contain original signatures. Faxed or photocopied signatures are not acceptable.

Candidates themselves are not required to file this form.

Type of registration:

1. All new committees shall check the new registration box.
2. The amended registration box must be checked if any of the information provided on this form as previously filed changes, other than the year of election. The treasurer must file an amended registration statement completed in full within two days of any change of information.
3. For State Campaigns - must be checked for committees that are supporting or opposing candidates for New York State Governor, Lt. Governor, Comptroller, Atty. General, Assembly, Senate and State Supreme Court.
4. For Local Campaigns - must be checked for all other offices.

Identification No.: This number will be assigned to the committee by the Board of Elections after the filing of the registration statement and should be used on all documents and correspondence.

Note: Some county boards of election do not use identification numbers.

Item B: Committee Type: Select one of the following types: (Consult the Campaign Finance Handbook Glossary for definition)

1	Authorized single candidate committee*	2	PAC
3	Constituted County	4	Party County
3H	Constituted County Housekeeping	4H	Party County Housekeeping
5	Constituted State	6	Party State
5H	Constituted State Housekeeping	6H	Party State - Housekeeping
7	Duly Constituted Sub-Committee of a County Committee	9	Others (e.g. Multi-candidate comm. & Unauthorized committees
7H	Duly Constituted Sub-Committee of a County Committee - Housekeeping	9B	Ballot Issue

Note: For 7 and 7H, add T= Town, C=City, V=Village. For City of New York include Assembly District#. In addition, add H for Housekeeping. (e.g. 7T, 7C, 7V, 7C64 or 7HT, 7HC, 7HV, 7HC64)

* The candidate has affirmatively acknowledged that this committee will be raising and spending money on their behalf. (e.g. Friends of John Doe)

Note: A candidate may need to file a Candidate Committee Authorization and Non-Expenditure Statement (CF-16)(See page 21).

Item C: Social Security #. We are requesting your social security number to more precisely identify those persons who fail to comply with campaign financial disclosure requirements. Disclosure of this information is strictly voluntary.

Item D: Only a banking organization authorized to do business and physically located in New York State may be designated a depository.

Item E: This section should only be completed by committees that engage in campaign activity support of or in opposition to a candidate. It should not be completed by a committee that only makes contributions to candidates or their committees (e.g. PACs).

Note: In addition to the CF-02, the CF-03 Committee Statement of Authorization or Non-authorization by Candidates **must** be filed by this committee for all candidates listed in this section.

**STATE OF NEW YORK
STATE BOARD OF ELECTIONS
COMMITTEE STATEMENT OF AUTHORIZATION OR
NON-AUTHORIZATION BY CANDIDATES**

Section 14-112 of the Election Law

(See instructions on reverse side)

New Statement []
Amended Statement []

Committee Identification No.
(To be assigned by the Board)

NAME OF COMMITTEE: _____

A. List in this Section those candidates who have **Authorized** the committee to aid or take part in their election (other than by making contributions). Provide name, office and district.

DATE OF ELECTION	OFFICE & DISTRICT	LAST NAME	FIRST NAME
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____

B. List in this Section those candidates who have **not Authorized** the committee to aid or take part in their election (other than by making contributions).

DATE OF ELECTION	OFFICE & DISTRICT	LAST NAME	FIRST NAME
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____

VERIFICATION STATEMENT BY TREASURER

I _____, being duly sworn, depose and say that the information in this statement is complete, true and correct.
(Print Full Name of Treasurer)

Sworn to before me this _____ day

of _____, 20__

Signature of Treasurer

Social Security # - (voluntary)

Number & Street Name

City, State & Zip Code

(_____) _____
Telephone Number

(Notary Public or Commissioner of Deeds)

INSTRUCTIONS FOR COMPLETING FORM CF-03

(Please print or type in black ink)

1. All committees that are taking part in the campaign of any candidate by making direct expenditures on their behalf must complete this form. If your committee only makes contributions to candidates or to candidate committees, then you DO NOT complete this form. (e.g. PACs)
2. A. When you list a candidate's name in Section A, you are stating that the candidate authorized you to be one of their campaign committees for the election. This means that the candidate has affirmatively acknowledged, that you will be raising and spending money on the candidate's behalf. In other words, **the Authorization is determined by the candidate**. The mere fact that the candidate knows that you are conducting campaign activity on the candidate's behalf does not mean that you are an Authorized committee.

Note: The candidate may need to file the Candidate Committee Authorization and Non-Expenditure Statement (CF-16).

B. If you are not authorized as above, but are making direct expenditures on behalf of candidate(s), list the candidate(s) name(s) in Section B.
3. This form is required to be filed prior to the first election to which it relates, and will remain in effect for each subsequent election. However, if any information provided on this form changes, other than the year of election, then you must file an amended statement.
4. If this form does not provide enough spaces for candidates, then use additional sheets.
5. This form must be filed together with the Committee Designation of Treasurer and Depository (CF-02).
6. This form must contain original signatures. Facsimiles are not acceptable.
7. Social Security # - We are requesting your Social Security number to more precisely identify those persons who fail to comply with campaign finance disclosure requirements. Disclosure of this information is strictly voluntary.

STATE OF NEW YORK
STATE BOARD OF ELECTIONS
CANDIDATE COMMITTEE AUTHORIZATION AND
NON-EXPENDITURE STATEMENT
Section 14-104 of the Election Law
(See instructions on reverse side)

New Statement []
Amended Statement []

This form must be filed no later than the 32nd Day prior to the first election to which it relates

Candidate's full name: _____

Candidate's Res. Address _____
_____ **Zip** _____

Mailing Address _____
(If different)
_____ **Zip** _____

Soc. Sec. # _____ / _____ / _____ **E-mail Address** _____
(Voluntary)

Telephone No. () _____ **Business #** () _____

Office _____ **District** _____

Party or Independent Body _____

I SWEAR OR AFFIRM THAT

- 1) I am a candidate for election to the office as stated above.
- 2) I have made no campaign expenditures relating to my candidacy nor do I intend to make any such expenditures except through the following authorized political committee which will file on my behalf:

Name of Committee: _____

Treasurer's Name: _____

Residence Address: _____
_____ **Zip** _____

Sworn to before me, this _____ day
of _____, 20 _____

(Notary Public or Commissioner of Deeds)

(Signature of Candidate)

INSTRUCTIONS FOR COMPLETING FORM CF-16

(Please print or type in black ink)

This statement must be used by any candidate for public office or party position who has not expended funds and does not intend to expend funds in connection with his or her election **except** through a duly authorized political committee. The duly authorized political committee, in this instance, shall fulfill all of the campaign financial reporting requirements for the candidate.

If the committee named does not register (CF-02), the candidate will be responsible for reporting all financial activity for the campaign.

A candidate filing this statement, whose authorized committee has registered, shall not be required to file campaign financial reports (CF-01) unless the candidate shall make campaign related expenditures outside of his/her authorized committee(s).

Note: If you are a candidate with or without an authorized committee and you have made or plan on making any expenditures on your own, you do not file this form. Instead, you are required to file a CF-01 on the required filing dates. If you have an authorized committee, these filings would be in addition to those made by the committee.

This non-expenditure statement is required to be filed no later than the thirty-second day prior to the first election to which it relates, and will remain in effect for each subsequent election. However, a new statement must be filed if any of the information changes other than the year of the election.

Candidates that are required to file this form must furnish the requested information for all authorized committees. This can be done by completing several forms or by attaching an addendum to this report.

Candidates for statewide office, Justice of the Supreme Court, State Senate and Member of the Assembly must file with the State Board of Elections. All other candidates file with their county board of elections. Candidates for village office file with the village clerk, unless the county board is running the village election. If so, they file with the county board of elections.

SOCIAL SECURITY # - We are requesting your Social Security number to more precisely identify those persons who fail to comply with campaign financial disclosure requirements. Disclosure of this information is strictly voluntary.

XV. Financial Disclosure Statement (CF-01) - Cover page

The following six (6) pages include detailed instructions and examples for completing a Financial Disclosure Statement cover page.

STATE OF NEW YORK BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

ELECTION YEAR	FILER ID	STATEMENT NUMBER FROM BELOW**	STATEMENT PERIOD DATES FROM / / TO / /	DATE FILED (FOR BOARD USE ONLY)
---------------	----------	-------------------------------	---	---------------------------------

IDENTIFICATION

YOU MUST TYPE OR PRINT LEGIBLY IN BLACK OR BLUE INK

Full name of filer (candidate or committee name) _____

Mailing address of filer - number and street _____

City _____ State _____ Zip _____

Check box if mailing address has changed since last report

[file amended CF-02, CF-03, CF-16 as necessary]

Committee treasurer name (Last) _____ (First) _____

Is this committee authorized by the candidate? Yes No

OFFICE/DISTRICT/CANDIDATE BEING SUPPORTED _____

STATEMENT IS BEING FILED BY:

- | | |
|--|--|
| <input type="checkbox"/> Candidate | <input type="checkbox"/> Political Committee * |
| <input type="checkbox"/> Party Committee | <input type="checkbox"/> Constituted Committee |
| <input type="checkbox"/> Housekeeping Account
(For Party/Constituted Committees only) | <input type="checkbox"/> PAC |

* For Authorized or Unauthorized single or multi-candidate committee and for Ballot Issues.

TYPE OF REPORT

****CHECK ONE BOX AND INDICATE STATEMENT NUMBER ABOVE**

- | | |
|--|---|
| 1. <input type="checkbox"/> 32 day Pre Primary | 7. <input type="checkbox"/> 32 day Pre Special |
| 2. <input type="checkbox"/> 11 day Pre Primary | 8. <input type="checkbox"/> 11 day Pre Special |
| 3. <input type="checkbox"/> 10 day Post Primary*** | 9. <input type="checkbox"/> 27 day Post Special*** |
| 4. <input type="checkbox"/> 32 day Pre General | 10. <input type="checkbox"/> Periodic Jan. 15, 20____ |
| 5. <input type="checkbox"/> 11 day Pre General | 11. <input type="checkbox"/> Periodic July 15, 20____ |
| 6. <input type="checkbox"/> 27 day Post General*** | 12. <input type="checkbox"/> 24 hour notice |
| | 13. <input type="checkbox"/> Off-Cycle |

*** Campaign material or a disclaimer must be submitted with Post Election statements.

- See Attached No Campaign Material Produced
- Termination Report (you can not terminate if any funds or debts remain)
- Amendment Report Date of original report ____/____/____
- Treasurer Resignation Report: Copy of letter of resignation attached.

I state that the information contained in this statement is in all respects true and complete to the best of my knowledge, information and belief.

VERIFICATION

Name - Print or type _____

Signature _____ **(must be original in blue or black ink only.)**

Title _____

Date Signed _____ Phone number _____

ANY FALSE INFORMATION IN THIS STATEMENT MAY BE A CLASS A MISDEMEANOR, PUNISHABLE BY A FINE AND/OR UP TO ONE YEAR IMPRISONMENT, PURSUANT TO SECTION 210.45 OF THE PENAL LAW. FOR FURTHER INFORMATION, CONTACT THE NEW YORK STATE BOARD OF ELECTIONS OR YOUR COUNTY BOARD OF ELECTIONS.

CF-01 3/06

STATEMENT INVENTORY

		Number of Pages	Schedules Amended
Individuals/Partnership Contributions (Sch. A)			
Corporate Contributions (Sch. B)			
All Other Contributions (Sch. C)			
In-Kind Contributions/Other Receipts (Sch. D/E)		/	/
Expenditure Payments (Sch. F)			
Transfers In/Out (Sch. G/H)		/	/
Loans Received/Paid (Sch. I/J)		/	/
Liabilities/Loans Forgiven (Sch. K)			
Expenditures Refunds/Contributions Refunded (Sch. L/M)		/	/
Outstanding Liabilities (Sch. N)			
Partners/Subcontracts (Sch. O)			
Housekeeping Receipts (Sch. P)			
Housekeeping Expenses (Sch. Q)			
Summary/Status Report		/	/

IN-LIEU-OF STATEMENT

I state that I am a candidate or a treasurer of an authorized committee which supports only one candidate, and at the close of this reporting period neither the total receipts nor the total expenditures of this campaign have exceeded one thousand dollars.

Note: Once you file an itemized statement, you cannot file an In-Lieu-Of Statement for any future reports.

STATE OF NEW YORK BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

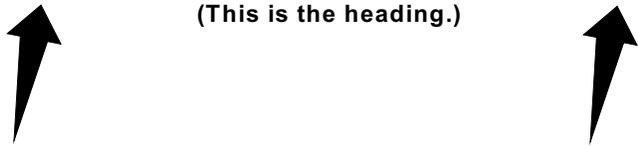
The **ELECTION YEAR** is the year of the Primary, General or Special Election to which the transactions in the report relate. This is the calendar year for PACs and Party committees.

The **STATEMENT NUMBER** relates to the numbers 1-12 under Type of Report Section (e.g., 4 = 32 day Pre General)



ELECTION YEAR	FILER ID	STATEMENT NUMBER FROM BELOW**	STATEMENT PERIOD DATES FROM / / TO / /	DATE FILED (FOR BOARD USE ONLY)
---------------	----------	-------------------------------	---	---------------------------------

(This is the heading.)



The **FILER ID** is the identification number assigned to filers by the Board of Elections. Some boards of elections do not assign filer IDs.

The **STATEMENT PERIOD DATES** are the inclusive dates covered by this report. They must agree with the political calendar's filing cut-off dates.

TYPE OF REPORT

****CHECK ONE BOX AND INDICATE STATEMENT NUMBER ABOVE**

- | | |
|--|---|
| 1. <input type="checkbox"/> 32 day Pre Primary | 7. <input type="checkbox"/> 32 day Pre Special |
| 2. <input type="checkbox"/> 11 day Pre Primary | 8. <input type="checkbox"/> 11 day Pre Special |
| 3. <input type="checkbox"/> 10 day Post Primary*** | 9. <input type="checkbox"/> 27 day Post Special*** |
| 4. <input type="checkbox"/> 32 day Pre General | 10. <input type="checkbox"/> Periodic Jan. 15, 20____ |
| 5. <input type="checkbox"/> 11 day Pre General | 11. <input type="checkbox"/> Periodic July 15, 20____ |
| 6. <input type="checkbox"/> 27 day Post General*** | 12. <input type="checkbox"/> 24 hour notice |
| | 13. <input type="checkbox"/> Off-Cycle |

***Campaign materials or a disclaimer must be submitted with Post Election statements.

- See Attached No Campaign Materials Produced

Note: The information for the heading will be the same for each page of the report.

STATE OF NEW YORK
BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

IDENTIFICATION

YOU MUST TYPE OR PRINT LEGIBLY IN BLACK OR BLUE INK

A ①&②

Full name of filer (candidate or committee name)

B

Mailing address of filer - number and street

City State Zip

Check box if mailing address has changed since last report

[file amended CF-02, CF-03, and CF-16 as necessary]

C

Committee treasurer name (Last) (First)

D

Is this committee authorized by the candidate? Yes No

E ①&②

OFFICE/DISTRICT/CANDIDATE BEING SUPPORTED

A ① = If this report is being filed by a candidate and no committee exists, provide the candidate's name.

A ② = If this report is being filed by or on behalf of a treasurer of a committee, provide the committee's name.

B = Mailing address of candidate if A ① or treasurer if A ②.

C = Printed name of treasurer if A ②.

D = If this is a committee which makes campaign expenditures other than contributions, is it authorized by the candidate?

E ① = For committees which are supporting only 1 candidate through campaign expenditures provide the office, district, and name of candidate.

E ② = If the report is filed for a candidate by the candidate [A①- provide office and district only].

STATE OF NEW YORK
BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

STATEMENT IS BEING FILED BY:

- | | |
|---|--|
| <input type="checkbox"/> Candidate | <input type="checkbox"/> Political Committee* |
| <input type="checkbox"/> Party Committee | <input type="checkbox"/> Constituted Committee |
| <input type="checkbox"/> Housekeeping Account | <input type="checkbox"/> PAC |

A

(For Party/Constituted Committees Only)

* For Authorized or Unauthorized single or multi-candidate committee and for Ballot Issues.

TYPE OF REPORT

****CHECK ONE BOX AND INDICATE STATEMENT NUMBER ABOVE**

B

- | | |
|--|---|
| 1. <input type="checkbox"/> 32 day Pre Primary | 7. <input type="checkbox"/> 32 day Pre Special |
| 2. <input type="checkbox"/> 11 day Pre Primary | 8. <input type="checkbox"/> 11 day Pre Special |
| 3. <input type="checkbox"/> 10 day Post Primary*** | 9. <input type="checkbox"/> 27 day Post Special*** |
| 4. <input type="checkbox"/> 32 day Pre General | 10. <input type="checkbox"/> Periodic Jan. 15, 20____ |
| 5. <input type="checkbox"/> 11 day Pre General | 11. <input type="checkbox"/> Periodic July 15, 20____ |
| 6. <input type="checkbox"/> 27 day Post General*** | 12. <input type="checkbox"/> 24 hour notice |
| | 13. <input type="checkbox"/> Off-Cycle |

***Campaign material or a disclaimer must be submitted with Post Election statements.

C

- See Attached No Campaign Materials Produced

Termination Report (you can not terminate if any funds or debts remain)

Amendment Report Date of original report ____ / ____ / ____

Treasurer Resignation Report: Copy of letter of resignation attached.

D

A = Check the appropriate box for the type of entity filing the report.

B = Check the box next to the report being filed and place that number in the heading.

C = If campaign material was purchased (Palm cards, buttons, scripts of radio or TV ads, etc.) copies must be submitted with Post Election Reports. Otherwise, submit a disclaimer (a signed and dated statement that there was no campaign material).

D = Any regularly scheduled report may also be a Treasurer Resignation Report.

**STATE OF NEW YORK
BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE**

Itemized Filers

STATEMENT INVENTORY		NUMBER OF PAGES	SCHEDULES AMENDED
INDIVIDUAL/PARTNERSHIP CONTRIBUTIONS	(SCH. A)		
CORPORATE CONTRIBUTIONS	(SCH. B)		
ALL OTHER CONTRIBUTIONS	(SCH. C)		
IN-KIND CONTRIBUTIONS/OTHER RECEIPTS	(SCH.D/E)	/	/
EXPENDITURE PAYMENTS	(SCH. F)		
TRANSFERS IN/OUT	(SCH.G/H)	/	/
LOANS RECEIVED/PAID	(SCH. I/J)	/	/
LIABILITIES/LOANS FORGIVEN	(SCH. K)		
EXPENDITURE REFUNDS/CONTRIBUTIONS REFUNDED	(SCH. L/M)	/	/
OUTSTANDING LIABILITIES/LOANS	(SCH. N)		
PARTNERS/SUBCONTRACTS	(SCH.O)		
HOUSEKEEPING RECEIPTS	(SCH. P)		
HOUSEKEEPING EXPENSES	(SCH.Q)		
SUMMARY STATUS REPORT		/	/

The cover page must always be submitted. The Summary and Status Pages must be submitted unless the In-Lieu-of Statement on the cover page is completed. Please indicate which schedules have been completed by placing the number of pages in the column next to the name of those schedules.

Note: You only need to submit those schedules that are required/necessary to report the types of transactions that occurred during the period. **Do not submit blank schedules or schedules that are not used.**

**STATE OF NEW YORK
BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE**

IN-LIEU-OF STATEMENT

I state that I am a candidate or a treasurer of an authorized committee which supports only one candidate, and at the close of this reporting period neither the total receipts nor the total expenditures of this campaign have exceeded one thousand dollars.

Note: Once you file an itemized statement, you cannot file an In-Lieu-Of-Statement for any future reports.

1. If you qualify to file an In-Lieu-Of Statement, check the box and complete the verification section. You must not complete any other schedules.
2. You qualify to file an In-Lieu-Of Statement if you are a candidate and/or any authorized committee(s) solely supporting the candidate and if, at the close of the reporting period for which such statement would be required, neither the total receipts nor the total expenditures of the campaign have exceeded \$1,000.
3. If you have previously filed an In-Lieu-Of Statement and find that you now exceed this threshold, you must file an itemized report covering all transactions since the beginning of the campaign. Once an itemized statement is required, you may not file an In-Lieu-Of statement for any future reporting.

VERIFICATION

I state that the information contained in this statement is in all respects true and complete to the best of my knowledge, information, and belief.

VERIFICATION

Name - print or type

Signature **(must be original in blue or black ink only.)**

Title

Date

Phone Number

ANY FALSE INFORMATION IN THIS STATEMENT MAY BE A CLASS A MISDEMEANOR, PUNISHABLE BY A FINE AND/OR UP TO ONE YEAR IMPRISONMENT, PURSUANT TO SECTION 210.45 OF THE PENAL LAW. FOR INFORMATION, CONTACT THE NEW YORK STATE BOARD OF ELECTIONS OR YOUR COUNTY BOARD OF ELECTIONS.

FOR INFORMATION ON COMPLETING THIS FORM CALL 1-800-458-3453

MONETARY CONTRIBUTIONS/Individual & Partnerships Schedule A

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
DATE RECEIVED 1	NAME 3		CHECK# 4	AMOUNT 5
	STREET APT			PREV. AMT. 5
CODE: 2	CITY-STATE ZIP		\$	\$
TOTAL THIS PAGE			\$ 6	

7

Complete this summary on the last page of this schedule

1 TOTAL ITEMIZED CONTRIBUTIONS	\$
2 TOTAL UNITEMIZED CONTRIBUTIONS	\$
3 Schedule Total	\$

Schedule A is used to report all monetary contributions from individuals, relatives and partnerships. Funds received from candidates and their spouses are also reported on this schedule.

Contributions of \$99.00 or less need not be itemized. They should be added together for the report period and listed as total unitemized contributions on the last page of Schedule A. You must keep detailed records of all contributions (i.e., name of contributor, date received, and amount), regardless of the amount. At anytime the \$99.00 threshold is exceeded for a particular contributor, you must then itemize. When a partnership's total aggregate contributions exceed \$2,500.00, you must also complete Schedule O.

- 1** Provide the date the monetary contribution was received.
- 2** CODE: CAN = CANDIDATE/CANDIDATE SPOUSE
 IND = INDIVIDUAL
 FAM = FAMILY MEMBER: SEE INSTRUCTIONS IN HANDBOOK
 PART = PARTNERSHIP
- 3** Provide the complete name and address of the contributor.
- 4** Provide the check number and amount.
- 5** Provide the total of previous contributions from this contributor, received during the relevant time period. If the total exceeds \$99, you must then itemize those contributions. For PACs and Party Committees, the relevant time period is the calendar year. For all other committees, the relevant time period is the Campaign Cycle. See page 59.
- 6** Provide the total monetary contributions for each page.
- 7** Complete the summary section on the last page of each schedule by listing the total of all pages in box 1, the total of unitemized receipts from your records in box 2, and the Schedule total in box 3. Forward the schedule total to line 2a of the Summary Page.

MONETARY CONTRIBUTIONS/Corporate Schedule B

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
1	NAME 2		3	4
	STREET APT			
	CITY - STATE ZIP			
			TOTAL THIS PAGE	\$ 5

6

**Complete this summary
on the last page of this
schedule**

1	TOTAL ITEMIZED CONTRIBUTIONS	\$
2	TOTAL UNITEMIZED CONTRIBUTIONS	\$
3	Schedule Total	\$

Schedule **B** is used to report all monetary contributions from corporations.

Contributions of \$99.00 or less need not be itemized. They should be added together for the report period and listed as total unitemized contributions on the last page of Schedule B. You must keep detailed records of all contributions (i.e., name of contributor, date received, and amount), regardless of the amount. At anytime the \$99.00 threshold is exceeded for a particular contributor, you must then itemize.

- 1** Provide the date the monetary contribution was received.
- 2** Provide the complete name and address of contributor.
- 3** Provide the check number and amount.
- 4** Provide the total of previous contributions from this contributor, received during the relevant time period. If the total exceeds \$99, you must then itemize those contributions. For PACs and Party Committees, the relevant time period is the calendar year. For all other committees, the relevant time period is the Campaign Cycle. See page 59.
- 5** Provide the total monetary contributions for each page.
- 6** Complete the summary section on the last page of this schedule by listing the total of all pages in box 1, the total of unitemized receipts from your records in box 2, and the Schedule total in box 3. Forward the schedule total to line 2b of the Summary Page.

MONETARY CONTRIBUTIONS/All Other Schedule C

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
DATE RECEIVED 1				
	NAME 2		CHECK #	AMOUNT
	STREET APT		3	4
	CITY-STATE ZIP			
TOTAL THIS PAGE			\$	5

6
Complete this summary
on the last page of this
schedule

1 TOTAL ITEMIZED CONTRIBUTIONS	\$
2 TOTAL UNITEMIZED CONTRIBUTIONS	\$
3 Schedule Total	\$

Schedule **C** is used to report all monetary contributions from other entities such as political committees, unions, associations, etc.

Contributions of \$99.00 or less need not be itemized. They should be added together for the report period and listed as total unitemized contributions on the last page of Schedule C. You must, however, keep detailed records of all contributions (i.e., name of contributor, date received, and amount), regardless of the amount. At anytime the \$99.00 threshold is exceeded for a particular contributor, you must then itemize.

- 1** Provide the date the monetary contribution was received.
- 2** Provide the complete name and mailing address of contributor.
- 3** Provide the check number and amount.
- 4** Provide the total of previous contributions from this contributor, received during the relevant time period. If the total exceeds \$99, you must then itemize those contributions. For PACs and Party Committees, the relevant time period is the calendar year. For all other committees, the relevant time period is the Campaign Cycle. See page 59.
- 5** Provide the total monetary contributions for each page.
- 6** Complete the summary section on the last page of each schedule by listing the total of all pages in box 1, the total of unitemized receipts from your records in box 2, and the Schedule total in box 3. Forward the schedule total to line 2c of the Summary Page.

IN-KIND CONTRIBUTIONS Schedule D

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __ OF __			
1	DATE RECEIVED			TYPE CODE 4			
	NAME 3						
	STREET		APT	\$ 5			
2	CNTRB CODE:			DESCRIPTION 6			
	CITY-STATE		ZIP				
<p>CONTRIBUTOR CODE: CAN = CANDIDATE/CANDIDATE SPOUSE FAM = FAMILY MEMBER (SEE INSTRUCTIONS) CORP = CORPORATE IND = INDIVIDUAL PART = PARTNERSHIP COMM = Committee OTHER= Please explain Note: "OTHER" is not available for electronic filers.</p> <p>CONTRIBUTION TYPE CODE: 1 = SERVICES/FACILITIES PROVIDED 2 = PROPERTY GIVEN 3 = CAMPAIGN EXPENSES PAID</p>				TOTAL THIS PAGE	\$ 7		
				1 TOTAL ITEMIZED CONTRIBUTIONS			\$ 8
				2 TOTAL UNITEMIZED CONTRIBUTIONS			\$ 9
				3 SCHEDULE TOTAL LAST PAGE ONLY			\$ 10

Schedule **D** is used to report all In-Kind Contributions which are classified as (1) services or facilities provided for your use, (2) property/equipment given to your campaign and (3) expenses which you incurred that were paid by someone else.

- 1** Provide the date the monetary contribution was received.
- 2** Provide the Contributor Code
- 3** Provide complete name and address of contributor.
- 4** Provide the Contribution Type Code. (1, 2 or 3)
- 5** Provide the amount of the in-kind contribution.
- 6** Provide a brief description of the in-kind contribution.
- 7** Provide the page total.
- 8** Provide the total itemized in-kind contributions for all pages.
- 9** Provide the unitemized in-kind contributions from your records. These are in-kind contributions of \$99.00 or less. They should be added together for the report period and listed as total unitemized contributions on the last page of Schedule D.
- 10** Provide the schedule total of all itemized and unitemized in-kind contributions.
- 11** Forward the Schedule Total to Line 2d of the Summary Page.

NOTE: In-Kind contributions received by Party committees for Housekeeping are reported received on Schedule P and out on Schedule Q simultaneously with an explanation.

OTHER RECEIPTS Schedule E

1	DATE RECEIVED		3	<input type="checkbox"/> INTEREST/DIVIDEND <input type="checkbox"/> PROCEEDS SALE/LEASE <input type="checkbox"/> OTHER -EXPLAIN	RECEIPT AMOUNT
	NAME 2				\$ 4
	STREET	APT			
	CITY-STATE	ZIP			
			TOTAL THIS PAGE	\$ 5	
			TOTAL ITEMIZED RECEIPTS	\$ 6	
			TOTAL UNITEMIZED RECEIPTS	\$ 7	
			SCHEDULE TOTAL LAST PAGE ONLY	\$ 8	

Schedule **E** is used to report miscellaneous receipts such as interest received on a bank account or loan, dividends from investments, or proceeds from the sale or lease of campaign property or equipment.

- 1** Provide the date received.
- 2** Provide the name and complete address of the payor.
- 3** Check the box indicating the type of receipt or provide a description for "other".
- 4** Provide the amount received.
- 5** Provide the page total.
(Complete the Summary Section items 6 through 8 on the last page of the Schedules)
- 6** Provide the total itemized receipts from all pages.
- 7** Provide the total unitemized receipts from your records.
- 8** Provide the Schedule Total and forward to line 3a of the Summary Page.

EXPENDITURE/PAYMENTS Schedule F

ATTENTION CAMPAIGN FINANCIAL DISCLOSURE FILERS

During the course of committee/candidate financial disclosure statement reviews, the New York State Board of Elections sends numerous letters for clarification of Schedule F transactions. To help ensure that Schedule F is submitted completely and correctly, the Board has redefined the Schedule F codes and provided examples to illustrate correct usage of these codes and proper completion of Schedule F.

Schedule F is used to report all disbursements made in connection with a campaign, other than loan repayments, refunds of contributions and transfers out. The law requires, in addition to other information, that a clearly stated purpose be provided. For the purpose of saving space and to provide some uniformity, the State Board of Elections developed expenditure/payment codes to be used on Schedule F.

The codes listed on Schedule F are the ONLY ones to be used. Failure to provide a code will result in correspondence from this Board. Following are the codes authorized for use on Schedule F, the definition of the code, and examples of the expenses for which you would use a particular code.

Sometimes a particular expense may fit into more than one code. You should use the code most representative of the expense. For example: You purchase stamps for day to day correspondence, bills, etc. This would be listed as POSTA. However, when you purchase stamps for a mass mailing to voters or contributors, that would most properly be reported as CMAIL. You should list an item only under one code.

The following pages and examples will:

- (1) review and further explain the proper codes to use when identifying a committee's expenses; and**
- (2) explain the proper reporting method for the reimbursement of individuals or the making of payments to credit card companies for campaign expenses.**

EXPENDITURE/PAYMENTS Schedule F

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /	PAGE __ OF __
		DO NOT report Transfers Out on this Schedule	
DATE PAID 1	NAME 2	PURPOSE CODE 3	EXPLAIN 4
CHECK NO.	STREET	APT	AMT PAID \$
	CITY-STATE	ZIP	
EXPENDITURE PURPOSE CODES			TOTAL THIS PAGE \$ 5

CODE	DEFINITION	EXAMPLES
CMAIL:	Campaign Mailings	cost to produce mailing envelopes, typing, printing, design
CONSL:	Consultant Services	consultant's fees, subcontracts (see instructions for Schedule O)*
CONSV:	Constituent Services	district office renovations, supplies, telephones**
CNTRB:	Political Contributions	
FUNDR:	Fund raising:***	meals, entertainment, hall rental, tickets
LITER:	Campaign Literature	palm cards, flyers, brochures, lawn signs, letters, billboards, voter lists, printing, circulation costs
OFFCE:	Office Expenses	utilities, telephone, equipment, supplies, cleaning
OTHER:	Other	(must provide explanation, i.e., campaign van rental, campaign travel, tuxedo rental, reimbursements)
PETIT:	Petition Expenses	voter lists, printing, circulation costs,
INT:	Interest Expense	loan interest, late payment charges

CODE	DEFINITION	EXAMPLES
POLLS:	Polling Costs	pollster fee, telephones, voter lists
POSTA:	Postage	includes all mailing and delivery service production and placement expense paid directly by the candidate
PRINT:	Print Ads	
RADIO:	Radio Ads	
TV ADS:	Television Ads	
PROFL:	Professional Services*	accounting fees, legal fees, speech writing
RENTO:	Office Rent	
VOTER:	Voter Registration Materials	maps, printing, mailing costs or services
WAGES:	Campaign Workers' Salaries	

Including but not limited to items listed.
 *Subcontractors must be further defined in Schedule O - See Instructions on Schedule O.
 **CONSV can be used only by a political office holder to better serve your constituents or better serve your office.
 ***Expenses to conduct your own fund raiser are fund raising expenses. Purchasing tickets to another candidate's fund raiser is a political contribution and you would use the code CNTRB. For candidates, purchasing tickets to a state or county committee's fund raiser is a transfer-out on Schedule H.

You must provide the detail for each expenditure that exceeds \$49.99.

- 1** Provide the date paid and check number.
- 2** Provide the complete name and address of payee.
- 3** Provide the appropriate purpose code.
[When using code "other" provide an explanation]
- 4** Provide the amount of each entry.
- 5** Provide the total for this page.
- 6** Total all pages of schedule F in Box 1 - total itemized.

6
Complete this summary on your last page only!

1 TOTAL ITEMIZED EXPENDITURES	\$
2 TOTAL UNITEMIZED EXPENDITURES	\$
3 Schedule Total	\$

Place the total of all unitemized expenditures (from your records) in Box 2 - unitemized expenditure box. Add the itemized and unitemized amounts to arrive at the total expenditure amount, which is placed in Box 3. Forward Box 3 total to line 6a of the Summary Page.

REIMBURSEMENTS TO INDIVIDUALS OR CREDIT CARDS:

A major problem that many filers encounter is how to correctly report a payment when it is to reimburse an individual for expenditures (s)he made to a vendor on behalf of the campaign. A similar problem occurs when payments are made for campaign expenses via credit card. **We expect that payments to persons are for personal services (wages, fees, and/or stipends for work they performed for the campaign).** If you are reimbursing a person for non-personal services for something (s)he purchased for the campaign, from a vendor, then you must report the transaction as in the following example:

YOU SHOULD REPORT A REIMBURSEMENT TO A PERSON AS FOLLOWS:

FIRST ENTRY:

① Date Paid **②** Payee **③** Purpose **④** Street **⑤** City **⑥** State **⑦** Zip **⑧** Check/Ref # **⑨** Amount Paid **⑩** Explanation
 6/3/1999 John Doe OTHER 123 5th Av Troy NY 12180 1248 \$600 Reimbursement

DATE PAID	NAME John Doe ②	PURPOSE CODE	EXPLAIN	AMT. PAID
① 6/3/1999	④ APT STREET 123 5 th Avenue	OTHER ③	Reimbursement ⑩	⑨
CHECK NO. ⑧ 1248	CITY-STATE ⑤ Troy, ⑥ NY ZIP ⑦ 12180			\$ 600.00

SUBSEQUENT ENTRIES: You will now provide the vendor information for those individual expenditures included in the reimbursement which exceeded \$49.99, for example:

Date **Payee** **Purpose** **Street** **City** **State** **Zip** **Check/Ref #** **Explanation**
 5/5/1999 Print it PETIT 24 Elm St Cohoes NY 12047 1248R memo \$240
 5/19/1999 WTRY RADIO 88th 4th St Troy NY 12183 1248R memo \$240
 6/3/1999 Unitemized OTHER 1248R memo \$120

DATE PAID	NAME Print It	PURPOSE CODE	EXPLAIN	AMT PAID
5/5/1999	STREET 24 Elm St APT	PETIT	Memo \$240	
CHECK NO. 1248R	CITY-STATE Cohoes NY ZIP 12047			\$
DATE PAID	NAME WTRY	PURPOSE CODE	EXPLAIN	AMT PAID
5/19/1999	STREET 88 4 th St APT	RADIO	Memo \$240	
CHECK NO. 1248R	CITY-STATE Troy NY ZIP 12183			\$
DATE PAID	NAME Unitemized	PURPOSE CODE	EXPLAIN	AMT PAID
6/3/1999	STREET	OTHER	Memo \$120	
CHECK NO. 1248R	CITY-STATE ZIP			\$

NOTE: In our example above, **on the subsequent entries**, you provided the date the vendor was paid, the purpose code, the vendor name, an **R** after the check # in the CHECK NO. column, and the amount for each vendor with the word memo in front of it in the EXPLAIN column. For those items under \$50.00, and not requiring itemization, you select under Purpose OTHER and under Payee write unitemized. In the EXPLAIN column use the word memo with the unitemized balance. The total of all memo amounts must equal the amount paid. **The amount paid column is blank.** In both examples when there are several unitemized payments use the date of the reimbursement for the date paid.

YOU SHOULD REPORT A REIMBURSEMENT FOR A CREDIT CARD AS FOLLOWS:

FIRST ENTRY:

<u>Date</u>	<u>Payee</u>	<u>Purpose</u>	<u>Street</u>	<u>City</u>	<u>State</u>	<u>Zip</u>	<u>Check/Ref#</u>	<u>Amount Paid</u>	<u>Explanation</u>
6/3/1999	GM Card	OTHER	75 Minot St	Albany	NY	12187	1312	\$800.00	Reimbursement

DATE PAID	NAME	PURPOSE	EXPLAIN	AMT
6/3/1999	GM Card	OTHER		
	STREET 75 Minot St			
CHECK NO.	CITY-STATE Albany NY		Reimbursement	\$ 800.00
1312	ZIP 12187			

SUBSEQUENT ENTRIES: You will now provide the vendor information for those individual expenditures included in the reimbursement which exceeded \$49.99, for example:

<u>Date</u>	<u>Payee</u>	<u>Purpose</u>	<u>Street</u>	<u>City</u>	<u>State</u>	<u>Zip</u>	<u>Check/Ref#</u>	<u>Amount Paid</u>	<u>Explanation</u>
5/5/1999	Staples	OFFCE	RT#5	Albany	NY	12353	1312R		Memo \$300.00
5/19/1999	Nusbaum's	LITER	847 2 ND Ave	Troy	NY	12382	1312R		Memo \$300.00
6/3/1999	Unitimized	OTHER					1312R		Memo \$200.00

DATE PAID	NAME	PURPOSE	EXPLAIN	AMT PAID
5/5/1999	Staples	OFFCE		
	STREET Rt #5			
CHECK NO.	CITY-STATE Albany NY		Memo \$300	\$
1312R	ZIP 12353			

DATE PAID	NAME	PURPOSE CODE	EXPLAIN	AMT
5/19/1999	Nusbaum's	LITER		
	STREET 847 2 nd Ave			
CHECK NO.	CITY-STATE Troy NY		Memo \$300	\$
1312R	ZIP 12382			

DATE PAID	NAME	PURPOSE CODE	EXPLAIN	AMT
6/3/1999	Unitimized	OTHER		
	STREET			
CHECK NO.	CITY-STATE		memo \$200	\$
1312R	Zip			

NOTE: In our example above, **on the subsequent entries**, you provide the date the vendor was paid, the purpose code, the vendor name, an **R** after the check # in the CHECK NO. column, and the amount for each vendor with the word memo in front of it in the EXPLAIN column. For those items under \$50.00, and not requiring itemization, you select under Purpose OTHER and under Payee write unitimized. In the EXPLAIN column use the word memo with the unitimized balance. The total of all memo amounts must equal the amount paid. **The amount paid column is blank.** In both examples when there are several unitimized payments, use the date of the reimbursement for the date paid.

Receipts from Party Committees and/or other committees authorized solely for this candidate

(TRANSFERS IN) Schedule G

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
DATE 1	NAME 2		TRANSFER TYPE 1 <input type="checkbox"/> 3 2 <input type="checkbox"/>	AMOUNT TRANSFERRED 4
	STREET APT			
CHECK #	CITY-STATE ZIP			\$
TYPE 1 -Between a Party or Constituted committee and a candidate or a candidate's Authorized committee. TYPE 2 - Between two Authorized committees <u>solely</u> supporting one candidate.			TOTAL THIS PAGE	\$ 5
			Schedule Total Last Page Only	\$ 6

Schedule **G** is used to report transfers in. Transfer means the exchange of funds or anything of value between (i) a party or constituted committee and a candidate or any of his/her authorized committees, or (ii) two committees solely supporting the same candidate (including tickets to fundraisers).

- 1** Provide the date received for Transfers In and the check number.
- 2** Provide the complete name and address of Transferor.
- 3** Check the appropriate box for the type of transfer.
- 4** Provide the amount of the transfer.
- 5** Provide the total transferred amount for this page.
- 6** On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward the Schedule Total amount to line 3b of the Summary Page.

NOTE: Do not report funds received from independent committees or committees authorized by a different candidate as a transfer. These receipts must be reported as a contribution on Schedule C.

PACs (Political Action Committees) must **not** use this schedule. Any monies received by PACs must be reported on Schedule A, B, or C depending on the type of contributors.

Payments to Party Committees and/or other committees authorized solely for this candidate

(TRANSFERS OUT) Schedule H

DATE 1	NAME 2	TRANSFER TYPE	AMOUNT TRANSFERRED
	STREET APT	1 <input type="checkbox"/> 3	4
CHECK #	CITY-STATE ZIP	2 <input type="checkbox"/>	\$
TYPE 1 - Between a Party or Constituted committee and a candidate or a candidate's Authorized committee.			
TYPE 2 - Between two Authorized committees solely supporting one candidate.		TOTAL THIS PAGE	\$ 5
		SCHEDULE TOTAL Last Page Only	\$ 6

Schedule H is used to report **transfers out**. Transfer means the exchange of funds or anything of value between (i) a party or constituted committee and a candidate **or** any of his/her authorized committees or (ii) two committees **solely** supporting the same candidate (including tickets to fundraisers).

- 1** Provide the date paid for Transfers out and the check number.
- 2** Provide the complete name and address of Transferee.
- 3** Check the appropriate box for the type of transfer.
- 4** Provide the amount of the transfer.
- 5** Provide the transfer total for this page.
- 6** On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward the Schedule Total amount to line 6c of the Summary Page.

NOTE: Do not report funds given or paid to independent committees or committees authorized by a different candidate as a transfer. Those must be reported as a payment on Schedule F.

PACs (Political Action Committees) must **not** use this schedule. Any monies given or paid for political purposes must be reported on Schedule F.

LOANS RECEIVED Schedule I

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /	PAGE __OF__
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LOAN DATE ①	LENDER NAME ②	LOAN AMOUNT \$ ③
	STREET APT	
<input type="checkbox"/> CHECK IF BANK LOAN	CITY-STATE ZIP	

When submitting this schedule to the Board of Elections, a copy of the evidence of indebtedness for each loan must be attached to the statement.

TOTAL THIS PAGE	\$ ④
SCHEDULE TOTAL Last Page Only	\$ ⑤

Schedule I is used to report loans received during the reporting period. The evidence of indebtedness must include the name of the lender, their address, the amount of loan, any interest to be charged and the repayment schedule. If the loan was received from a lending institution, the evidence of indebtedness must include the name and address of any cosignor, obligor or any other person providing security for or otherwise guaranteeing the loan.

- ① Provide the date of the loan and indicate if a bank loan.
- ② Provide the complete name and address of the lender, guarantor, or co-signer.
- ③ Provide the loan amount.
- ④ Provide the loan amount page total.
- ⑤ On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward this amount to line 3c of the Summary Page.

Note: A loan made to a candidate or political committee, other than a constituted committee, by any person, firm, association or corporation **other than in the regular course of the lender's business** (i.e., Banks) shall be deemed, to the extent not repaid by the date of the primary, general or special election, as the case may be, a contribution by such person, firm, association or corporation.

A loan made to a candidate or political committee, other than a constituted committee, by any person, firm, association or corporation in the regular course of the lender's business shall be deemed, to the extent not repaid by the date of the primary, general or special election, as the case may be, a contribution by the obligor on the loan and by any other person endorsing, cosigning, guaranteeing, collateralizing or otherwise providing security for the loan.

However, any outstanding liability remains, and you must continue to report it on Schedule N until it is repaid or forgiven.

LOAN REPAYMENTS Schedule J

1	ORIGINAL LOAN DATE	CHECK NO. 3	AMOUNT
	LENDER NAME 2	DATE	4
	STREET APT		
CITY-STATE	ZIP	\$	
			5
TOTAL THIS PAGE			\$ 5
SCHEDULE TOTAL Last Page Only			\$ 6

Schedule J is used to record the repayment of loans received. Only repayments of principal are reported here. Interest payments are reported on Schedule F.

- 1** Provide the original date of the loan.
- 2** Provide the complete name and address of the lender.
- 3** Provide the check number and the date repaid.
- 4** Provide the amount paid.
- 5** Provide the loan repayment total for this page.
- 6** On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward this amount to line 6d of the Summary Page.

LIABILITIES /LOANS FORGIVEN Schedule K

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
DATE 1	VENDOR/LENDER 2		3	AMOUNT FORGIVEN
ORIGINAL DATE OF LIABILITY/LOAN	STREET APT		<input type="checkbox"/> LIABILITY <input type="checkbox"/> LOAN	4
	CITY-STATE ZIP			
COPY OF EVIDENCE FROM VENDOR/LENDER INDICATING FORGIVENESS MUST BE ATTACHED			TOTAL THIS PAGE	\$ 5
			SCHEDULE TOTAL LAST PAGE	\$ 6

Schedule K is used to report that a creditor or a lender has forgiven an outstanding debt.

- 1** Provide the date forgiven and the original date of debt.
- 2** Provide the complete name and address of the creditor/lender.
- 3** Check box for liability or loan forgiven.
- 4** Provide the amount of the liability/loan forgiven.
- 5** Provide the total amounts of liabilities and loans forgiven for this page.
- 6** On the last page of this schedule, place the total of liabilities and loans forgiven from all pages in the Schedule Total Box.

EXPENDITURE REFUNDS Schedule L

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
---------------	----------	---	--	----------------

1	DATE RECEIVED	ORIG. PAYMENT DATE
	NAME 2	3
	STREET APT CITY-STATE ZIP	AMOUNT \$

TOTAL THIS PAGE	\$ 4
SCHEDULE TOTAL LAST PAGE ONLY	\$ 5

Schedule L is used to report refunds of campaign expenses such as errors (overpayments), adjustments, return of deposits, etc..

- 1** Provide the date received.
- 2** Provide the complete name and address of the payor.
- 3** Provide the date of original payment and the amount refunded.
- 4** Provide the total amounts of expenditure refunds for this page.
- 5** On the last page of this schedule, place the total of all pages in the Schedule Total Box. Forward the amount to 3d of the Summary Page.

CONTRIBUTIONS REFUNDED Schedule M

REFUND DATE 1	ORIG.DATE REC. 2	CONTRIBUTOR NAME 3		AMOUNT REFUNDED 4	
		STREET		APT	\$
		CITY-STATE		ZIP	CHECK #
			TOTAL THIS PAGE	\$ 5	
			SCHEDULE TOTAL Last Page Only	\$ 6	

Schedule M is used to report the return of contributions you received to the person who made the contribution. You may not refund more than the amount contributed.

- 1** Provide the date you refunded the money.
- 2** Provide the date(s) it was received.
- 3** Provide the complete name and address of the contributor.
- 4** Provide the amount of the refund and the check number.
- 5** Provide the total amount refunded for this page.
- 6** On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward this amount to line 6e of the Summary Page.

OUTSTANDING LIABILITIES/LOANS Schedule N

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /			PAGE __ OF __	
1	NAME 2		Total Orig. Amt. [] Liability	Purpose Code _____	Liability Amount Outstanding	Loan Amount Outstanding
	STREET APT		[] Loan	Explain:	\$ _____	
<input type="checkbox"/> CURRENT <input type="checkbox"/> PRIOR	CITY-STATE ZIP		3	4	5	6
TOTAL THIS PAGE					7	\$
SCHEDULE TOTAL					8	\$

Purpose of Liability/Loan Codes

CMAIL Campaign Mailings	POLLS Polling Costs
CONSL Campaign Consultant	POSTA Postage
CONSV Constituent Services	PRINT Print Ads
FUNDR Fund-raising	PROFL Professional Services
LITER Campaign Literature	RADIO Radio Ads
LOAN Loan	RENTO Office Rent
OFFCE Office Expenses	TVADS Television Ads
OTHER Other: Must provide explanation	VOTER Voter Registration Materials or Services
PETIT Petition Expenses	WAGES Campaign Workers' Salaries

Schedule N is used to report outstanding liabilities for goods or services received, and outstanding loans received. Each report should include liabilities/loans that have not been paid or forgiven as of the cutoff date for the report.

- 1** Provide the date of liability/loan and whether it was during the current report period or a prior report period.
- 2** Provide the complete name and address of the vendor or lender.
- 3** Provide the total amount of the original liability/loan.
- 4** Indicate by using the appropriate code, the purpose. If using code 'other', provide an explanation.
- 5** Provide the amount of the liability still outstanding.
- 6** Provide the amount of the loan still outstanding.
- 7** Provide page totals for columns 5 & 6.
- 8** Provide schedule totals for columns 5 & 6 on the last page of this schedule.

Forward the column 5, schedule liabilities total to line 9g of the Status of Campaign Expense section.

PARTNERS | SUBCONTRACTS Schedule O

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
---------------	----------	---	--	----------------

AMT. OF CONTRIBUTION 1 \$	PARTNERSHIP NAME 2	PAYEE NAME 1		
DATE RECEIVED	STREET	STREET APT		
	CITY-STATE ZIP	CITY - STATE ZIP		
PARTNER NAME		PROVIDER OF FINISHED GOODS/ SERVICES:		
3 LAST FIRST MI	AMOUNT ATTRIBUTED	PREVIOUS AMOUNT	NAME 2	AMT ATTRIBUTED 3
STREET APT	4		STREET APT	\$
CITY/STATE ZIP	\$	\$	CITY/STATE ZIP	4 CODE
TOTAL AMOUNT ATTRIBUTED	A 5	A	PLEASE USE "PURPOSE CODES" FOUND ON SCHEDULE F OR N	
TOTAL AMOUNT UNITEMIZED	B 6	B		
TOTAL AMOUNT CONTRIBUTION	A+B 7 \$	A+B \$		

Schedule O is used to furnish additional information about partnership contributions or subcontractor payments.

PARTNERSHIPS - See Sch A instructions

- 1** Provide the amount (and date) of the contribution as reported on Schedule A.
- 2** Provide the partnership name and address.
- 3** Whenever a partnership's contribution(s) exceed(s) \$2500.00 to an election campaign, the names and addresses of the individual partners whose shares of the contribution exceed \$99.00 must be provided along with the amount attributable to each partner.
- 4** Provide the amount attributed and any previous amounts.
- 5** Provide the total of all attributable amounts.
- 6** For all partners whose shares do not exceed \$99.00 you will place the total of those shares in the unitemized box in the summary section.
- 7** Total amount of contribution Box = total of boxes A and B.

SUBCONTRACTORS

- 1** Provide the complete name and address of the person, entity, or consultant paid by the campaign.
- 2** Provide the complete name and address of the subcontractor.
- 3** Provide the amount attributed.
- 4** Provide the proper expenditure code as found in Schedule F or N.

NOTE: The above information is required for any subcontracted amount greater than \$10,000 in the case of Statewide candidates and \$5,000 for all other offices. This subcontractor information can be reported either on the report which lists the expenditure to the consultant or on the post-election report to which the transaction(s) relates.

***NONCAMPAIGN HOUSEKEEPING RECEIPTS Schedule P**

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /	PAGE __OF__
1	DATE RECEIVED		PREV. AMT.
Code: 2	NAME		\$
	STREET APT		
CHECK #	CITY-STATE ZIP		\$
6			
TOTAL THIS PAGE			\$

CODE:
 IND = INDIVIDUAL
 CORP = CORPORATION
 PART = PARTNERSHIP: Partnerships which contribute over \$2500.00 total, must be further defined in Schedule O.
 COMM = COMMITTEE
 OTHER = ANY OTHER ENTITY

7
 Complete this summary
 on your last page only!

① TOTAL ITEMIZED CONTRIBUTIONS	\$
② TOTAL UNITEMIZED CONTRIBUTIONS	\$
③ Schedule Total	8 \$

Schedule P is used by Party and Constituted Committees to report receipts associated with maintaining a permanent Party Headquarters and staff and carrying on ordinary activities which are not for the express purpose of promoting the candidacy of specific candidates. See Election Law Section 14-124(3)

- 1** Provide the date received.
- 2** Indicate the type of contributor and the check #.
- 3** Provide complete name and address of the contributor.
- 4** Provide the amount for contributions received.
- 5** List any previous contributions received during the calendar year.
- 6** Provide total monetary contributions for each page.
- 7** On the last page of this schedule, place the total of all itemized receipts in Box 1 of the Summary section. Place the total of all unitemized amounts** (from your records) in Box 2 of the Summary section.
- 8** Total of Box 1 and Box 2 amounts. Forward Box 3 total to line 3e of the Summary Page.

* This schedule to be used ONLY by party or constituted committees.

** The threshold for itemizing is an aggregate over \$99.00 for the calendar year.

Note: Returned housekeeping receipts should be listed on this schedule, and as negative amounts.

***NON-CAMPAIGN HOUSEKEEPING EXPENSES Schedule Q**

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /	PAGE __ OF __
---------------	----------	---	------------------

DATE PAID 1	NAME 2	PURPOSE CODE 3	EXPLAIN	AMT PAID 4
CHECK NO.	STREET	APT		\$
	CITY-STATE	ZIP		

TOTAL THIS PAGE	\$ 5
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1 TOTAL ITEMIZED EXPENDITURES	\$
2 TOTAL UNITEMIZED EXPENDITURES **	\$
3 Schedule Total	\$ 7

EXPENDITURE PURPOSE CODES (Use on Schedule Q only)

- RENTO Office rent
- UTILS Utilities
- PAYRL Payroll
- POSTA Postage
- PROFL Professional Services
- OFEXP Office Expenses
- MAILS Mailings
- OTHER Other: Provide Explanation
- VOTER Voter Registration Materials or Services

6
Complete this Summary on your last page only!

Schedule Q is used by Party and Constituted Committees to report expenses associated with maintaining a permanent Party Headquarters and staff and carrying on ordinary activities which are not for the express purpose of promoting the candidacy of specific candidates. See Election Law Section 14-124(3)

- 1** Provide the date paid and check number.
- 2** Provide the complete name and address of payee.
- 3** Provide the appropriate purpose code. When using code "other" provide an explanation.
- 4** Provide the amount of each entry.
- 5** Provide the total of each page.
- 6** Total all pages of Schedule Q in Box 1 - total itemized expenditures. Place the total of all unitemized expenditures* *(from your records) in Box 2 - unitemized expenditure box.
- 7** Total of Box 1 and Box 2 amounts. Forward Box 3 total to line 6f of the Summary page.

* This schedule to be used only by party or constituted committees.

** All individual expenditures under 50.00

Note: Returned housekeeping expenditures should be listed on this schedule, and as negative amounts.

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		
---------------	----------	---	--	--

SUMMARY OF RECEIPTS / EXPENDITURES

1. OPENING BALANCE - must be the same as line 7 of your previous report \$ _____

2. CONTRIBUTIONS

2a) SCHEDULE A - Individuals - total..... \$ _____

2b) SCHEDULE B - Corporations - total..... \$ _____

2c) SCHEDULE C - Other - total..... \$ _____

2d) SCHEDULE D - In-kind - total..... \$ _____

2e) Total Contributions (add 2a through 2d).....\$ _____

3. MISCELLANEOUS RECEIPTS

3a) SCHEDULE E - Other receipts - total.....\$ _____

3b) SCHEDULE G - transfers in - total.....\$ _____

3c) SCHEDULE I - loans received - total.....\$ _____

3d) SCHEDULE L - Expenditure refunds - total.....\$ _____

3e) SCHEDULE P - Housekeeping receipts - total.....\$ _____

3f) Total Miscellaneous Receipts (add 3a through 3e).....\$ _____

4. TOTAL RECEIPTS THIS PERIOD (add 2e and 3f).....\$ _____

5. TOTAL (add line 1 and line 4).....\$ _____

6. EXPENSES

6a) Schedule F - Disbursements - total.....\$ _____

6b) Schedule D total..(offset).....\$ _____

6c) Schedule H - Transfers out - total..... \$ _____

6d) Schedule J - Loans repaid - total.....\$ _____

6e) Schedule M - Contribution refunds - total.....\$ _____

6f) Schedule Q - Housekeeping expenses - total.....\$ _____

6g) TOTAL Expenses this period (add 6a through 6f).....\$ _____

7. BALANCE AT END OF PERIOD (subtract line 6g from line 5).....\$ _____

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES		
		FROM / / TO / /		

STATUS REPORT

8. STATUS OF CONTRIBUTIONS

- 8a) Contributions received, from line 8e of your previous report * \$ _____
- 8b) Contributions received this period, line 2e \$ _____
- 8c) TOTAL, line 8a plus 8b \$ _____
- 8d) Contributions refunded, from this summary, line 6e \$ _____
- 8e) TOTAL contributions to date (line 8c minus 8d) \$ _____

*This figure will be 0 (zero) if this is the first report of a new campaign.

9. STATUS OF CAMPAIGN EXPENSES

- 9a) Campaign expenses paid, from line 9f of your previous report* \$ _____
- 9b) Campaign expenses this period, line 6a \$ _____
- 9c) In-Kind offset, Schedule D total \$ _____
- 9d) TOTAL add lines 9a through 9c \$ _____
- 9e) Refunds of campaign expenses, from this summary, line 3d \$ _____
- 9f) SUB-TOTAL campaign expenses to date (line 9d minus 9e) \$ _____
- 9g) Outstanding liabilities (Schedule N total, excluding loans) \$ _____
- 9h) Total Campaign Expenses to date (line 9f plus line 9g) \$ _____

*This figure will be 0 (zero) if this is the first report of a new campaign.

9i) EXPENSE ALLOCATION SECTION (Schedule R of Electronic filing) (See instructions for 9i on page 60.)

Candidate name	Office/District	Election Year	\$ Amount

TOTAL AMOUNT ALLOCATED (please use additional pages if necessary) \$ _____

10. STATUS OF LOANS MADE

- 10a) Loans made to date, from line 10f of your previous report \$ _____
- 10b) Loans made this period, from your records \$ _____
- 10c) TOTAL, line 10a plus 10b \$ _____
- 10d) Amounts included in 10c above, which were repaid this period \$ _____
- 10e) Amounts included in 10c above, which were forgiven this period \$ _____
- 10f) Balance of loans made to date (line 10c minus 10d and 10e) \$ _____

11. STATUS OF HOUSEKEEPING RECEIPTS

- 11a) Housekeeping receipts ONLY, from line 11c of your previous report \$ _____
- 11b) Housekeeping receipts this period, from this summary, line 3e \$ _____
- 11c) TOTAL housekeeping receipts to date, (line 11a plus 11b) \$ _____

12. STATUS OF HOUSEKEEPING EXPENSES

- 12a) Housekeeping expenses ONLY, from line 12c of your previous report \$ _____
- 12b) Housekeeping expenses this period, from this summary, line 6f \$ _____
- 12c) TOTAL housekeeping expenses to date (line 12a plus 12b) \$ _____

Instructions for Summary and Status Page

A. Summary Page

After all detail schedules have been completed, you must then complete the summary. Each line on this summary will contain the total from the corresponding detail schedule in the report, except Line 6B.

Complete the heading of the Summary Page

Line 1 reflects your opening balance. This will be zero on the first report for a new candidate or committee. It will then be the ending balance on your previous report for any active filer.

Line 2a thru 2d will reflect any contributions from Schedules A through D of this report (2d, in-kind contribution total must be included on line 6b.)

Line 2e will be the total of 2a through 2d.

Line 3a through 3e will reflect other receipts from Schedules E, G, I, L or P, as appropriate.

Line 3f will be the total of lines 3a through 3e.

Line 4 will be the total of lines 2e and 3f.

Line 5 will be the total of lines 1 and 4.

Lines 6a through 6f will reflect the totals from the appropriate detail schedules.

Line 6a reflects the amount entered in Box 3, Schedule F.

Line 6b is an offset entry. (Place Schedule D total here)

Line 6c through 6f will reflect the totals from Schedules H, J, M or Q, as appropriate.

Line 6g will be the total of lines 6a through 6f.

Line 7 equals line 5 minus line 6g. This should never be negative.

B. Status Report - Paper Filers

Complete the heading of the Status Report

Each report filed during a campaign cycle should list those contributions received and campaign expenses incurred for a particular reporting period (lines 8a and 9a), as well as aggregate to date totals for either the calendar year or campaign cycle as described below.

The purpose of the Status of Contributions and Status of Campaign Expense schedules is to enable one to examine the last report filed and to be able to determine the cumulative, to date amounts of all contributions and expenses for the campaign cycle.

Campaign Cycle

The campaign cycle is the period between elections for a particular office wherein a candidate or committee raises or spends money for the next election to that office.

Contribution limits are imposed for the campaign cycle*.

Example: A State Senate election is held every two years and is therefore a two year campaign cycle. The Gubernatorial election is held every four years and is therefore a four year campaign cycle.

The campaign cycle generally begins in January following the last election for that office. The next July periodic report (covering the period from January 12 through July 11 in the year following the last election) will be the first report for the new campaign. On this report you would **not** carry forward the line 8a and line 9a amounts from prior reports.

Due to factors such as debt remaining from a prior campaign, or when a new candidate begins to seek office during the middle of the period, the first report for the campaign cycle may vary.

While contribution limits are imposed for the campaign cycle, please note the following:

Any funds that are received after an election and after the time when the funds of such candidate or committee exceed the debts of such candidate or committee must be deemed contributions to a future campaign and will be subject to the contribution limits of that future campaign.

Therefore, any contributions received after an election will apply to the contribution limits for the next campaign cycle, unless the candidate or committee's liabilities/loans incurred prior to the election exceed the cash balance on hand as of election day .

If you need help determining which is your first report please call 1-800-458-3453 or (518) 474-8200.

PACs and Party committees and the campaign cycle

Due to their nature and to the number of different elections in which PACs and Party committees are involved, these entities may be reporting activity for several cycles on any given report. Unless they submitted separate reports for each candidate supported, which would be unduly burdensome, it is difficult to complete the status schedules on a campaign cycle basis.

Therefore, these entities will complete the Status of Contribution schedules on an annual basis. Also, Party committees will complete the Status of Expense schedule (not required of PACs) on an annual basis.

Each year, the July report will be the first report and the report of January next will be the final report.

Status of Contributions - This schedule will show all contributions received for the campaign less any contributions for the campaign that were refunded.

Line 8a is completed on your second through final reports for the campaign cycle (Calendar year for PACs and Party committees) by bringing forward the total from line 8e of your previous report.

Status of Campaign Expenses - This schedule will show all expenses paid for the campaign plus outstanding liabilities incurred for this campaign less any refunds received that were previously expended for the current campaign.

Line 9a is completed on your second through final reports for the campaign cycle (Calendar year for Party committees) by bringing forward the total from line 9f of your previous report.

Line 9i Allocation Section - Party committees, constituted committees and authorized multi-candidate committees are required to allocate campaign expenses among the candidates they support according to the relative benefit each candidate received from the expenditures. **(These amounts must be aggregated for the campaign cycle)** Paper filers must include this information where indicated on the Status Report. Electronic Filers must create and complete Schedule R.

Remember, candidates generally have either a two or four year campaign cycle.

When a committee spends its first dollar on a candidate for a particular election campaign, they list on this schedule the candidate's name, the office, the district or municipality, and the allocated amount spent for that candidate.

On each subsequent report, this information is carried forward. As the committee spends more on a candidate, the amount will be increased accordingly.

After having reported the total spent on a candidate for a particular campaign, you will no longer carry forward this information.

Status of Loans Made - This section shows the current amount of loans made outstanding and the loan activity for the period. ***You must maintain supporting documentation of any loans made including repayments and forgiveness.***

The Status of Housekeeping Receipts and The Status of Housekeeping Expenses aggregate these items for the calendar year. These are used only by party and constituted committees.

NEW YORK STATE BOARD OF ELECTIONS VERIFICATION STATEMENT

IDENTIFICATION NO.
(Assigned by the Board)

OFFICE & DISTRICT
(If applicable) E.g., 12th S.D.

Report Period _____

I, _____,
am the treasurer for the _____ Committee

OR

I, _____,

AM A CANDIDATE FOR PUBLIC OFFICE, AND I HAVE SUBMITTED HEREWITH ON COMPUTER DISKETTE, OR HAVE SUBMITTED VIA E-MAIL, THE COMMITTEE'S/CANDIDATE'S FINANCIAL DISCLOSURE STATEMENT FOR THE PERIOD INDICATED BELOW:

- | | |
|---|--|
| <p>1. <input type="checkbox"/> 32 Day Pre Primary</p> <p>2. <input type="checkbox"/> 11 Day Pre Primary</p> <p>3. <input type="checkbox"/> 10 Day Post Primary *</p> <p>4. <input type="checkbox"/> 32 Day Pre General</p> <p>5. <input type="checkbox"/> 11 Day Pre General</p> <p>6. <input type="checkbox"/> 27 Day Post General *</p> | <p>7. <input type="checkbox"/> 32 Day Pre Special</p> <p>8. <input type="checkbox"/> 11 Day Pre Special</p> <p>9. <input type="checkbox"/> 27 Day Post Special *</p> <p>10. <input type="checkbox"/> Periodic Jan. 15, 20 _____</p> <p>11. <input type="checkbox"/> Periodic July 15, 20 _____</p> <p>12. <input type="checkbox"/> 24 Hour Notice</p> <p>13. <input type="checkbox"/> Off-Cycle</p> |
|---|--|

- Termination Report
- Treasurer Resignation Report
(Copy of letter of Resignation attached)
- Amended Report
- * Campaign material or a Disclaimer
must be submitted with Post Election Reports

No-Activity: Be sure to check appropriate report period above.

Although I am required to file a statement for the period indicated, there are no transactions to report, so I have not filed electronically via e-mail or diskette. Note: No-Activity reports may be filed via the Board's website. www.elections.state.ny.us

See Attached No Campaign Materials Produced

I STATE THAT (i) THE INFORMATION CONTAINED IN THE ELECTRONICALLY FILED DISCLOSURE STATEMENT REFERENCED ABOVE IS IN ALL RESPECTS TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE, INFORMATION AND BELIEF, OR (ii) I HAVE NO TRANSACTIONS TO REPORT FOR THIS PERIOD.

Name - print or type

Preparer's Signature

Title

Date Signed () - -
Phone Number

KNOWINGLY INCLUDING FALSE INFORMATION IN THE DISCLOSURE STATEMENT IDENTIFIED ABOVE OR ON THIS VERIFICATION STATEMENT CONSTITUTES A CLASS A MISDEMEANOR, PUNISHABLE BY A FINE AND/OR IMPRISONMENT. SEE PENAL LAW § 210.45

New York State Board of Elections

APPLICATION FOR ELECTRONIC FILING EXEMPTION

(Applications should be received by the Board at least 30 days prior to the filing)

Treasurer/Candidate: _____
(please print name)

Identification No. _____
(assigned by the Board)

Committee Name: _____

Office & District _____
(if applicable)

Address: _____

e.g., 12th S.D.

Zip _____

Telephone: (____) - ____ - ____ Ext. _____

I _____, swear or affirm that the committee/candidate does not have **access to the technology** necessary to comply with the electronic filing requirements of Subdivision Nine-A of Section 3-102 of the Election Law **AND** that filing by such means would constitute a **substantial hardship** for such committee/candidate.

NOTE: For purposes of granting an exemption to the electronic financial disclosure requirements of Article 14 of the Election Law, the following definitions apply:

"Access to the technology" is defined as the ownership and/or the ability to access a computer with a windows-based operating system capable of complying with electronic filing requirements.

"Substantial hardship" is defined as the financial inability to purchase and/or acquire access to the technology necessary to comply with the electronic financial filing requirements.

Please explain the basis of your request for an exemption. (Additional pages may be attached, if needed)

I understand that the exemption is valid for **the calendar year for which it is granted** and that I am obligated to inform the State Board of Elections of any change in circumstances which would disqualify the committee/candidate from the exemption for electronic filing. The Board may revoke the exemption at any time. I understand if the exemption is granted I am still obligated to file using the paper form.

I state that the information contained in this statement is in all respects true and complete to the best of my knowledge, information, and belief.

Knowingly including false information in this application constitutes a Class A Misdemeanor, punishable by a fine and/or imprisonment. See Penal Law § 210.45

_____/_____/_____
Signature Date

For Board use only

The Application for the exemption is (check one): Granted DENIED** Date: ____/____/_____
**(DENIED explanation) _____

By: _____

New York State Board of Elections

NOTICE OF INACTIVE STATUS (CF-20)

Treasurer: _____
(please print name)

Identification No.
(assigned by the Board)

Committee Name: _____

Office & District
(if applicable)

Address: _____

e.g., 12th S.D.

_____ **Zip** _____

Telephone: (____) - ____ - ____ **Ext.** _____

The above-named committee will not support or has not supported, in any way, any candidate or political committee which is a participant in the year _____ Primary Elections and/or the year _____ General Elections.

I state that the information contained in this statement is in all respects true and complete to the best of my knowledge, information, and belief.

Knowingly including false information in this application constitutes a Class A Misdemeanor, punishable by a fine and/or imprisonment. See Penal Law § 210.45

Signature

_____/_____/_____
Date

Instructions

1. The State Board of Elections assumes that all active committees are supporting candidates for election and therefore we will expect to receive election reports from them (3 Primary Election reports and/or 3 General Election reports), unless otherwise notified.

Note: If you are active only for the Primary Election, or only for the General Election, be sure to cross off the election that does not pertain to you on the form above. We will expect reports only for the specific election in which you took part.

2. Filing of this notice will serve as that notification.

3. This applies only to filers with the State Board of Elections.

4. You are, however, required to continue to make your Periodic filings in July and January.

for more information, or to obtain
additional copies, write to us at

New York State Board of Elections
Campaign Finance Unit
40 Steuben Street
Albany, NY 12207

or call us at
1-(800) 458-3453

or visit our website
www.elections.state.ny.us