KENTUCKY REGISTRY OF ELECTION FINANCE

Craig C. Dilger, Chairman
Terry Naydan, Vice-Chair
Reid Haire, Member
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Frankfort, Kentucky 40601-3240
Phone: (502) 573-2226
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www.kref.ky.gov

John R. Steffen
Executive Director

Emily Dennis
General Counsel

Greetings!

Congratulations on becoming a candidate in the current election cycle! Along with the excitement of running for an office, your candidacy also brings added responsibilities. These responsibilities are found in Kentucky Revised Statutes Chapter 121 and Kentucky Administrative Regulations Title 32. The campaign may access a copy of these statutes and administrative regulations on the Registry's website, **www.kref.ky.gov.** This candidate packet was designed to assist you in complying with these laws.

We encourage you to consider utilizing one of the electronic filing software programs from an approved vendor as you prepare your Election Finance Statements. These programs can be an enormous help in meeting the requirements of Kentucky's election finance laws. More information on the Registry's Electronic Filing Program, and available software, may be found at **www.kref.ky.gov/efile**/.

The information in this packet was prepared by the Kentucky Registry of Election Finance to assist candidates, slates of candidates, and their treasurers in complying with Kentucky election finance laws. We are enclosing the following materials to assist you:

- **NOTICE OF SPENDING OPTION**
- **TEN IMPORTANT CAMPAIGN FINANCE QUESTIONS**
- **KREF ONLINE RESOURCES**
- **CONTRIBUTION LIMITS CHART**
- **RECORDKEEPING SUGGESTIONS**
- **SAMPLE CAMPAIGN CONTRIBUTION CARD**
- **IMPORTANT REPORTING DATES**
- **LATE FILING FINES & PROCEDURES**
- **ELECTION FINANCE STATEMENT FORM (KREF 006)**
- **FUNDRAISER REGISTRATION FORM (KREF 019)**
- **REGISTERED FUNDRAISER STATEMENT FORM (KREF 006/F)**
- **E-MAIL REMINDER PROJECT NOTICE**

Our website, found at **www.kref.ky.gov,** is now the primary source of campaign information for candidates and campaign committees. Located on the website under the "Forms and Brochures" subheading is a printable PDF version of the *Candidate Guide to Campaign Finance* (KREF 016). Reporting instructions, reporting forms and many other helpful sources of information are also available on the Registry's website. We encourage you to utilize our agency's website as a valuable campaign resource.

Whether you are a seasoned veteran or are seeking office for the first time, please carefully study all of the enclosed materials and the *Candidate Guide to Campaign Finance* (KREF 016) found on the website.

If you have specific questions, please contact our knowledgeable Registry staff at (502) 573-2226, as they are eager to assist you at any time. We look forward to working with you!

Sincerely,

Craig C. Dilger
Chairman

CCD:bfh

Enclosures

Kentucky Registry of Election Finance

NOTICE OF SPENDING OPTION

For the upcoming election, you have indicated an intent to raise or spend

$3,000 OR LESS

REPORTS DUE THIS CYCLE

You will only be required to file a 30-Day Post-Election Finance Statement, **unless you exceed $3,000 in funds raised or spent**. A 60-Day Post-Election Supplemental Election Finance Statement will be due if the 30-Day Post-Election Finance Statement reflects a surplus balance or debt owed by the campaign.

An Election Finance Statement (Form KREF-006) is provided for your use. You may copy this form as needed. See the Reporting Schedule for specific due dates.

Regardless of the spending option selected, you are subject to all election finance laws.

NOTE

A candidate for county, city, or school board races may increase his/her spending option at any time, but then must begin filing all applicable reports or be subject to late reporting fines. Call the Registry's offices at 502-573-2226 for further directions and forms.

This notification is provided as a courtesy to candidates. **If you are unsure of the spending intent you selected, please contact the Registry as soon as possible at 502-573-2226.**

This is the only notice you will receive from the Registry. No reminder postcards or other correspondence will be sent. You are responsible for complying with the reporting deadlines as shown on the **Reporting Dates** schedule. Post this schedule in a conspicuous location for easy reference throughout the election cycle.

KENTUCKY REGISTRY OF ELECTION FINANCE
TEN IMPORTANT CAMPAIGN FINANCE QUESTIONS

1. When does a person become a candidate?
KRS 121.015(8)

A person is considered a candidate when he/she has received a contribution or made an expenditure with a view to bringing about his/her nomination or election to public office.

If a person wants to begin his or her candidacy prior to the official nominating period for public office, the person should file a Letter of Intent with the Registry. To begin a candidacy during the official nominating period, the person will file official documents with the filing officer (Secretary of State or County Clerk), including the Appointment of Campaign Treasurer and Optional Request for Reporting Exemption Form (KREF 001).

2. What determines if and/or when a candidate files an Election Finance Statement?
KRS 121.180; 32 KAR 1:020

The spending option chosen on Section 4 of the Appointment of Campaign Treasurer and Optional Request for Reporting Exemption Form (KREF 001) generally determines if and/or when a candidate files an Election Finance Statement. If a candidate indicates that he/she intends to spend over $3,000, then the candidate must file all Pre- and Post Election Finance Statements. Candidates who register as $3,000 or less filers (Section 4, Exemption Option A) file only Post Election Finance Statements. Candidates who register as $1,000 or less filers (Section 4, Exemption Option B) have no campaign finance reporting requirements. **However, if a candidate exceeds the chosen $1,000 or $3,000 exemption option, then the candidate must immediately notify the Registry and then file all subsequent Pre- or Post Election Finance Statements.**

NOTE: If no spending option is selected, then the candidate will be deemed to have chosen to spend more than $3,000, in which case the candidate is required to file all Pre- and Post Election Finance Statements.

3. When is a disclaimer required?
KRS 121.190(1); 32 KAR 2:110

All newspaper or magazine advertising, posters, circulars, billboards, handbills, sample ballots, and paid-for television or radio advertisements which expressly advocate the election or defeat of a clearly identified candidate or group of candidates are required to have a disclaimer.

For television and radio broadcasts, compliance with Federal Communication Commission regulations regarding sponsored programs and broadcasts by candidates for public office shall be considered compliance with Kentucky law.

4. What is the proper wording of the disclaimer?
KRS 121.190(1)

The phrase "paid for by candidate" is NEVER a correct disclaimer!

If the political advertising is paid for by the candidate's campaign fund or committee, the disclaimer must state "paid for by" and the candidate's first and last name or the committee's name. If the political advertising is paid for by an individual or other entity, the disclaimer must list the name and complete address of the individual or other entity.

5. What may a candidate use campaign funds to purchase?
KRS 121.175; KRS 121.180(10); 32 KAR 2:200

Allowable campaign expenses are only those expenditures which directly benefit the campaign. The statutes prohibit the purchase of items which provide a personal benefit to the candidate or others but do not directly benefit the campaign.

6. Is a campaign required to account for a candidate's personal funds spent on behalf of the campaign?
KRS 121.015(6); KRS 121.180(9)(b); KRS 121.220

Yes! A candidate may make unlimited contributions to his/her own campaign by depositing funds in the campaign account. Personal funds of a candidate used to seek elective office should be deposited directly into the campaign account and accounted for as either a contribution or loan direct from candidate (See Itemized Receipts Schedule 1A, KREF 006 form). Candidate loans must also be reported as debt owed by the campaign (See Debts & Obligations Schedule 4, KREF 006 form). The repayment of candidate loans will also be documented on Schedule 1A and Schedule 4.

Personal funds spent "out of pocket" by the candidate that are directly related to the campaign and documented should be reimbursed to the candidate. Meticulous records should be kept by any campaign that reimburses a candidate for "out of pocket" expenses. **Take caution**, as expenditures using a candidate's personal funds outside the campaign account may subject the candidate's personal accounts to an audit if the campaign cannot adequately document the reason for the reimbursement or the source of funds expended.

7. May a candidate's "out of pocket expenses" be accounted for as an in-kind contribution to the campaign?
KRS 121.015(6); KRS 121.180(9)(b); KRS 121.220

No. A candidate's "out of pocket expenses" must be documented and then either reimbursed or reported as debt owed by the campaign to the candidate. Goods valued at more than $100 (e.g. used campaign signs, laptop computer) privately owned by the candidate prior to the campaign may be accounted for as an in-kind contribution. However, the payment of personal funds by a candidate for gas, lodging, meals, printing or other expenses directly for campaign purposes, constitutes a campaign expenditure. Ideally, campaign expenditures are made from the campaign fund. However, if made by the candidate from personal funds, the expense must be documented and subsequently reimbursed to the candidate from the campaign account or reported as a debt owed by the campaign to the candidate.

8. A contributor is self-employed. On the Election Finance Statement, why is "self-employed" an inappropriate description for the contributor's occupation and/or place of employment?
KRS 121.160 (2)(b)

The statute specifically prohibits the use of generic descriptions such as "Businessman" or "Self-Employed" to describe the occupation of a contributor on an Election Finance Statement. Instead, the statute requires the name under which the contributor is doing business to be disclosed.

9. What if my campaign is contacted about "independent expenditure" efforts?
KRS 121.015(12), KRS 121.150(1), 32 KAR 1:080

Beware any contact from individuals or organizations who want to discuss or include you in "independent expenditure" efforts. An independent expenditure is the expenditure of money or other thing of value to promote a candidate, slate of candidates or committee ***without the candidate, the campaign, or any authorized person acting on behalf of the campaign having prior knowledge, suggesting, or otherwise participating in creating the communication***.

Independent expenditures are not subject to any limits, but are subject to reporting requirements. Individuals, committees and other groups who make independent expenditures exceeding $500 in the aggregate in any one election are required to report directly to the Registry.

10. When is a person required to register and report as a "fundraiser" on behalf of my campaign?
KRS 121.015(11), KRS 121.170(2), 32 KAR 2:070

A "fundraiser" is a person who *directly solicits and secures contributions* for candidates for an office in a jurisdiction containing more than 200,000 residents or candidates for statewide office. When a fundraiser directly solicits and receives more than $3,000 in contributions for these types of candidates in an election, he or she is required to register with the Registry as a fundraiser and must file finance reports. It is the campaign's duty to provide forms and reporting instructions to each person who qualifies as a fundraiser for the candidate or slate of candidates.

A person may engage in the following activities without registering as a fundraiser: (1) Act as a campaign treasurer; (2) Perform clerical functions such as receiving contributions or preparing and filing campaign finance reports; (3) Communicate an endorsement of a candidate or slate of candidates which indirectly results in the receipt of contributions, provided that the communication is not followed by one-on-one direct oral or written solicitation of contributions by the person making the endorsement; or (4) Act as host of a social event at one's residence or place of business, provided that the host does not directly solicit and receive contributions in excess of $3,000.

Need additional help? Have more questions? Contact Registry Staff at (502) 573-2226 or visit our website at www.kref.ky.gov.

www.kref.ky.gov

Kentucky Registry of Election Finance Online Resources

A. The Registry's Website
www.kref.ky.gov

- Contains candidate and committee guides
- Includes all KREF forms and brochures
- Maintains a "Frequently Asked Questions" section
- Lists reporting date information
- Links to KY campaign statutes and regulations
- Houses past KREF Advisory Opinions
- Is searchable by key terms or words

B. The Registry's Online Election Finance Training Seminar
www.kref.ky.gov/OnlineTrainingSeminar.htm

- Helps first-time candidates and treasurers become familiar with campaign finance terms and procedures
- Brings veteran candidates and their campaign staffs up-to-date on campaign finance laws
- Teaches candidates how to accurately report campaign contributions, disbursements and other activities
- Makes candidates aware of common pitfalls to avoid
- Shows candidates how to maintain records and how to close out a campaign

C. The Registry's Online Searchable Database (OSD)
kref.state.ky.us/krefsearch/

- Contains contribution information for all reports filed with KREF since 1998
- Offers the opportunity for the public to search the OSD by election date, candidate name, contributor name, office, committee or by organization
- Facilitates downloading to a campaign finance data text file or a spreadsheet program for more detailed analysis

D. The Registry's Electronic Filing System
kref.ky.gov/efile/

- Provides a choice of approved vendors for software for the filing of campaign finance reports
- Allows campaigns to maintain information and submit reports in a more orderly manner
- Permits the purchase of campaign finance software as a campaign expense

For more information, contact: Tom Messinger, (502) 573-2226, ext. 235
or Tom.Messinger@ky.gov

Contribution Limits[1]

	From an Individual	From a Permanent Committee (PAC)[2]	From a Contributing Organization[2]	From a Corporation	From an Executive Committee	From a Caucus Campaign Committee
To a Candidate or Slate of Candidates	$1,000 per election 121.150(6)	$1,000 per election[3] 121.150(6)	$1,000 per election 121.150(6)	**Prohibited** 121.025 & 121.035	Unlimited[4, 6] 121.150(23)	Unlimited[5, 6] 121.150(23)
To a Permanent Committee (PAC)	$1,500 per year aggregate 121.150(10)	$1,500 per year aggregate 121.150(10)	$1,500 per year aggregate 121.150(10)	**Prohibited** 121.025 & 121.035	$1,500 per year aggregate 121.150(10)	$1,500 per year aggregate 121.150(10)
To a Political Issues Committee	Unlimited	Unlimited	Unlimited	Unlimited 121.035	Unlimited	Unlimited
To an Executive Committee	$2,500 per year aggregate 121.150(11)	$2,500 per year aggregate 121.150(11)	$2,500 per year aggregate 121.150(11)	**Prohibited** 121.025 & 121.035	Unlimited Transfer of Funds	$2,500 per year aggregate 121.150(11)
To a Caucus Campaign Committee	$2,500 per year 121.150(11)	$2,500 per year 121.150(11)	$2,500 per year 121.150(11)	**Prohibited** 121.025 & 121.035	$2,500 per year 121.150(11)	$2,500 per year 121.150(11)

	To a Candidate or Slate	To a Permanent Committee (PAC)	To an Issues Committee	To an Executive Committee	To a Caucus Campaign Committee
Cash[7] Contributions	$50 per election 121.150(4)	$50 per election 121.150(4)	$50 per election 121.150(4)	$50 per election 121.150(4)	$50 per election 121.150(4)
Anonymous Contributions	$50 per election (Maximum aggregate $1,000 per election) 121.150(3)	$50 per election (Maximum aggregate $1,000 per election) 121.150(3)	$50 per election (Maximum aggregate $1,000 per election) 121.150(3)	$50 per election (Maximum aggregate $1,000 per election) 121.150(3)	$50 per election (Maximum aggregate $1,000 per election) 121.150(3)

Contribution Limits

1. In-kind and monetary contributions jointly count toward both the “per election” and the “per year” contribution limits.

2. Contributing Organizations or PACs affiliated by bylaw structure or by registration shall be considered as one (1) committee for purposes of applying contribution limits. **KRS 121.150(7)**

3. The amount the candidate accepts in the aggregate from PACs per election cannot be more than fifty percent (50%) of the candidate’s total contributions, or ten thousand dollars ($10,000), whichever is greater. **KRS 121.150(23)(a)**

4. The contributions given by Executive Committees are unlimited. Party rules and or by-laws may prohibit Executive Committees and Caucus Campaign Committees from making contributions to candidates in non-partisan races. For more information, you may contact these committees. The contributions that a candidate or slate of candidates may accept in the aggregate from an Executive Committee are limited. The limit is based on the total contributions received by the candidate per election. The amount the candidate accepts from Executive Committees per election cannot be more than fifty percent (50%) of the candidate’s total contributions, or ten thousand dollars ($10,000), whichever is greater. **KRS 121.150(23)(a)-(c)**

5. The contributions given by Caucus Campaign Committees are unlimited. Party rules and or by-laws may prohibit Executive Committees and Caucus Campaign Committees from making contributions to candidates in non-partisan races. For more information, you may contact these committees. The contributions that a candidate or slate of candidates may accept in the aggregate from Caucus Campaign Committees are limited. The limit is based on the total contributions received by the candidate per election. The amount the candidate accepts from Caucus Campaign Committees per election cannot be more than fifty percent (50%) of the candidate’s total contributions, or ten thousand dollars ($10,000), whichever is greater. **KRS 121.150(23)(a)-(c)**

6. Party rules and or by-laws may prohibit Executive Committees and Caucus Campaign Committees from making contributions to candidates in non-partisan races. For more information, you may contact these committees.

7. Contributions by cashier's check or money order are limited to fifty dollars ($50) per election unless the instrument identifies both the payor and the payee. If the cashier's check or money order does identify both the payor and the payee, the instrument is considered a contribution by check. **KRS 121.150(4)**

KENTUCKY REGISTRY OF ELECTION FINANCE
RECORDKEEPING SUGGESTIONS

How to Organize Contribution Records

- Have each contributor complete a contribution card.
- Photocopy each contribution check.
- Attach the contribution card to the check photocopy.
- Group check copies and contribution cards by deposit and attach a copy of the deposit slip.

How to Examine a Contributor's Check

- Always examine the check prior to deposit.
- Make sure the check is from an allowable contributor.
- Make sure the check is made payable to the campaign.
- Make sure the check amount is within the legal cumulative contribution limit for that contributor.
- Unless there is other documentation, attribute the contribution to the person who signed the check.
- Corporate contributions are prohibited.

If you are not certain whether the contribution check is from a corporation, access the Online Business Database on the Secretary of State's web page (**www.sos.ky.gov**) for more information. If you do not have Internet access, contact the Secretary of State's office (Phone: 502-564-3490) or the Registry (Phone: 502-573-2226) for assistance.

How to Organize Disbursement Records

- Obtain an invoice from every business and individual to which payment is made or obligated.
- Directly on each invoice, write the number of the campaign check used to make payment.
- Organize invoices by the check number written on them.

Sample Campaign Contribution Card

Thank you for supporting my candidacy for Senate. In order for me to comply with Campaign Finance Laws, I must supply the following information to the Registry of Election Finance. **Make checks payable to Joe Candidate Campaign Fund.**

Please return this card with your contribution.

Maximum contribution allowable is $1,000 **Maximum cash contribution is $50**

Corporate contributions are prohibited

Contributor's Name:

Address:

Occupation: **Employer:**

Amount of Contribution: $ **Have you made other contributions this election? __Yes __No**

____ I am looking forward to attending the upcoming fundraiser to support your candidacy.
____ people will be attending with my party.

____ I am unable to attend, but wish to help the campaign with a $_____ contribution. The required information is listed above for my contribution.

____ I am unable to attend.

Name: **Address:**

City **State** **Zip**

Each Candidate should create a form with the above listed information.

2016 Reporting Dates for Candidates, Campaign Committees, Permanent Committees (PACs), Caucus Campaign Committees, Executive Committees, Inaugural Committees and Unauthorized Campaign Committees

Primary Election Filing Deadline: January 26, 2016
Deadline to Designate or Rescind Statement of Intent for the 2016 Primary Election: February 10, 2016

05/17/2016 Primary Election	**Report Due**	**Grace Period Ends**	**Due From**
32-day pre-Primary report	04/15/2016	04/20/2016	All candidates who elected to receive/ spend over $3,000 for the 2016 Primary Election **AND** Campaign Committees **AND** Unauthorized Campaign Committees
15-day pre-Primary report	05/02/2016	05/09/2016	
30-day post-Primary report	06/16/2016	06/21/2016	All candidates who elected to receive/ spend over $1,000 for the 2016 Primary Election **AND** Campaign Committees **AND** Executive Committees **AND** Caucus Campaign Committees **And** Unauthorized Campaign Committees
60-day post-Primary report	07/16/2016	07/21/2016	All candidates with debt and/or surplus remaining on the 30-day post-Primary Election report **AND** Campaign Committees **AND** Unauthorized Campaign Committees

General Election Filing Deadline for Independents and minor-party candidates: April 1, 2016
Primary Election Winners – Deadline to Designate or Rescind Statement of Intent for 2016 General Election: June 13, 2016
General Election Filing Deadline for candidates with no Primary Election per KRS 118.365: August 2, 2016
Deadline to Designate or Rescind Statement of Intent for the 2016 General Election for candidates who were exempted from the Primary Election by KRS 118.365: August 24, 2016

11/08/2016 General Election	**Report Due**	**Grace Period Ends**	**Due From**
32-day pre-General report	10/07/2016	10/12/2016	All candidates who elected to receive/ spend over $3,000 for the 2016 General Election **AND** Campaign Committees **AND** Unauthorized Campaign Committees
15-day pre-General report	10/24/2016	10/31/2016	
30-day post-General report	12/08/2016	12/13/2016	All candidates who elected to receive/ spend over $1,000 for the 2016 General Election **AND** Campaign Committees **AND** Executive Committees **AND** Caucus Campaign Committees **AND** Unauthorized Campaign Committees
60-day post-General report	01/07/2017	01/12/2017	All candidates with debt and/or surplus remaining on the 30-day post- General Election report **AND** Campaign Committee **AND** Unauthorized Campaign Committees.
1st Quarter report	03/31/2016	04/05/2016	Candidates who have notified the Registry of their intent to run in a future year but did not have an open campaign account for that office from a prior election **AND** Campaign Committees **AND** Permanent Committees (PACs) **AND** Inaugural Committees **And** Unauthorized Campaign Committees
2nd Quarter report	06/30/2016	07/05/2016	
3rd Quarter report	09/30/2016	10/05/2016	
4th Quarter report	12/31/2016	01/05/2017	
Annual	11/11/2016*	11/11/2016*	Candidates **AND** Campaign Committees **AND** Unauthorized Campaign Committees having a debt or surplus of funds remaining on the last report filed for a previous election other than the 2016 General Election. ***State government offices are closed on this date. Report accepted as timely on next business day.**

KENTUCKY REGISTRY OF ELECTION FINANCE

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John R. Steffen
Executive Director

Emily Dennis
General Counsel

MEMORANDUM

TO: **Candidates/Candidate Committees/Treasurers**

FROM: **Emily Dennis, General Counsel** Emily Dennis

RE: **ADMINISTRATIVE FINES FOR LATE FILING OF STATEMENTS & PUBLIC POSTING OF DELINQUENT FILERS**

TAKE NOTICE: To encourage timely filing of Election Finance Statements by all reporting entities, including candidates and candidate committees, the Kentucky Registry of Election Finance ("Registry") has approved the following administrative fine schedule for late filing of reports:

1-5 days late	**$50 minimum (1 day late) plus $10 for each additional day**
6-10 days late	**$100 minimum (6 days late) plus $10 for each additional day**
11-15 days late	**$150 minimum (11 days late) plus $10 for each additional day**
16 + days late	**$200 minimum (16 days late) plus $10 for each additional day**

In addition, please be advised that the Registry shall, no later than four (4) days preceding each primary and general election, publish the names of all candidates appearing on the ballot who have failed to timely file any report required by KRS 121.180(3)(a) for any reporting period since the date of the last election. See KRS 121.120(4)(i) and 32 KAR 2:030 § 5(3).

For a list of reporting deadlines, please visit the Registry's website at **www.kref.ky.gov**. Under the link to Reporting Dates on the Registry's website, you will find a list of candidate reporting deadlines. **The Registry encourages you to calendar these deadlines and to also notify the Registry of your electronic mail address should you wish to receive electronic notice of upcoming report deadlines during the election cycle. Please note – DUE TO BUDGETARY CONSTRAINTS, NO POSTCARD REMINDERS WILL BE SENT TO CANDIDATES.**

These procedures underscore the Registry's concern that Election Finance Statements are timely filed, so the public may access up-to-date information concerning the financing of elections in Kentucky. If you have any questions regarding the administrative fines or public posting of delinquent filers, please contact me at the Registry at 502-573-2226.

KENTUCKY REGISTRY OF ELECTION FINANCE
140 WALNUT STREET, FRANKFORT, KENTUCKY 40601-3240
(502) 573-2226 / FAX (502) 573-5622
www.kref.ky.gov

This Space for Registry Use Only

Logged _____ Keyed _____

Election Status: W L

Candidate Status:	Reporting Status:
INELG	S Only
WD	Debt Only
DD	S/D
T	Ø Continue to G
	TFC

ELECTION FINANCE STATEMENT - COVER PAGE

(Please type or print)

1. Candidate/Slate of Candidates :_____
   Committee Name:_____
   Date of Birth: ___/___/_____ KREF Filer # _____
   Office Sought:_____
   District/Division Number: _____
   County of Residence: _____
   Political Party: _____

2. Candidate/Slate of Candidates/Committee Mailing Address:

   Daytime Phone Number: (_____)_____-_____

3. Treasurer's Name and Mailing Address:

   Daytime Phone Number: (_____)_____-_____

4. This Statement Covers:
   From: _____
   Month - Day - Year
   To: _____
   Month - Day - Year

INCLUDE INFORMATION FOR THIS ELECTION ONLY

5. Date of Election: _____ This Statement relates to: ☐ Primary ☐ General ☐ Special ☐ Run-off Primary
   Month-Day-Year

6. Type of Statement
   a. ☐ Quarterly
   b. ☐ 32-day Pre-Election
   c. ☐ 15-day Pre-Election
   d. ☐ 30-day Post-Election
   e. ☐ 60-day Post-Election Supplemental
   f. ☐ Annual Supplemental
   g. ☐ Termination _____
   Month-Day-Year
   h. ☐ AMENDMENT - Check one of the items above to indicate which statement is being amended.

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this statement to the penalties of KRS 121.990.

7. Verification: I certify that I have examined this Election Finance Statement and to the best of my knowledge and belief it is true, correct, and complete.

Candidate or Treasurer:_____ Date: _____
Type or Print Name *Authorized Signature* *Month-Day-Year*

Kentucky UNBRIDLED SPIRIT

SUMMARY PAGE

Candidate/Slate of Candidates/Committee: _____

KREF Filer #: _____ **Period From:** _____/_____/_____ **To:** _____/_____/_____

RECEIPTS	COLUMN 1	COLUMN 2
1. CONTRIBUTIONS: (including all receipts from Fundraisers)	(This Period)	(Cumulative This Election)
a. Itemized by check or written instrument (Schedule 1A, Item 4a)	$ _____	$ _____
b. Other receipts (Schedule 1A, Item 4c)	+$ _____	$ _____
c. Receipts in currency (Number of people _____) (Individual cash contribution limit is $50)	+$ _____	$ _____
d. Anonymous (Number of people _____) (Maximum $50 per contribution)	+$ _____	$ _____ ($1,000 Maximum Per Election)
e. Unitemized contributions (Number of people _____) (Contributions by check of $100 or less)	+$ _____	$ _____
f. Political Action Committee (PAC) contributions (Schedule 1B, Item 4a)	+$ _____	$ _____
g. Executive Committee contributions (Schedule 1C, Item 3a)	+$ _____	$ _____
h. Caucus Campaign Committee contributions (Schedule 1D, Item 3a)	+$ _____	$ _____
2. TOTAL RECEIPTS	=$ _____	$ _____
DISBURSEMENTS		
3. TOTAL DISBURSEMENTS (Schedule 2, Item 4)	$ _____	
IN-KIND CONTRIBUTIONS		
4. a. In-kind Contributions Received (Schedule 1A, Item 4b)	$ _____	$ _____
b. In-kind Contributions Received (PAC) (Schedule 1B, Item 4b)	$ _____	$ _____
c. In-kind Contributions Received (Executive Com.) (Schedule 1C, Item 3b)	$ _____	$ _____
d. In-kind Contributions Received (Caucus Campaign Com.) (Schedule 1D, Item 3b)	$ _____	$ _____
DEBTS AND OBLIGATIONS		
5. TOTAL DEBTS AND OBLIGATIONS (Schedule 4, Item 7)	$ _____	
BALANCE STATEMENT		
6. Ending balance of previous report (Enter -0- if no previous report)	$ _____	
7. Add total receipts during reporting period (Line 2, Column 1)	+$ _____	
8. Sub-Total (Add lines 6 and 7)	=$ _____	
9. Subtract total disbursements during reporting period (Line 3, Column 1)	-$ _____	
10. ENDING BALANCE (Subtract Line 9 from Line 8)	=$ _____	

No change since last report
☐ *(check if applicable)*
If nothing of value has been received and no expenditures have been made since the last report, list the Ending Balance line 10 amount from the last report as the Ending Balance line 10 amount on this report.

RECEIPTS SCHEDULE 1A

Page____of _____

Receipts in Excess of $100 Must be Itemized

Candidate/Slate of Candidates/Committee: _____

KREF Filer #: _____ **Period From:** _____/_____/_____ **To:** _____/_____/_____

1. Contributor Name and Address Contributor Occupation and Employer Spouse's Name, Occupation and Employer	**1b.** Marital Status	**2.** Date of Receipt ---------- **3.** Type of Contribution	**4a.** Contribution by Check or Written Instrument	**4b.** Description and Value of In-Kind	**4c.** Other Receipts	**5.** Cumulative for Election (per Contributor)
		_____/_____/_____ ☐ Direct from Candidate ☐ Loan from Candidate ☐ Direct from a person or authorized entity ☐ Fundraising Event ☐ Fundraiser (person) ☐ In-kind ☐ Other: _____				
		_____/_____/_____ ☐ Direct from Candidate ☐ Loan from Candidate ☐ Direct from a person or authorized entity ☐ Fundraising Event ☐ Fundraiser (person) ☐ In-kind ☐ Other: _____				
		_____/_____/_____ ☐ Direct from Candidate ☐ Loan from Candidate ☐ Direct from a person or authorized entity ☐ Fundraising Event ☐ Fundraiser (person) ☐ In-kind ☐ Other: _____				
		_____/_____/_____ ☐ Direct from Candidate ☐ Loan from Candidate ☐ Direct from a person or authorized entity ☐ Fundraising Event ☐ Fundraiser (person) ☐ In-kind ☐ Other: _____				

SUBTOTAL THIS PAGE			
TOTAL THIS PERIOD (Only on last page of Schedule)	_____ Enter this total on Col. 1, line 1a of Summary Page	_____ Enter this total on Col. 1, line 4a of Summary Page	_____ Enter this total on Col. 1, line 1b of Summary Page

PAC RECEIPTS SCHEDULE 1B

Page____of _____

Receipts from PACs must be itemized regardless of amount

Candidate/Slate of Candidates/Committee: _____

KREF Filer #: _____ **Period From:** _____/_____/_____ **To:** _____/_____/_____

1. Permanent Committee Name and Address ---------- **2.** Major business, social, or political interest represented by committee	**3.** Date of Receipt	**4a.** Contribution by Check or Written Instrument	**4b.** Description and Value of In-Kind	**5.** Cumulative for Election (per Contributor)
	___/___/_____			
	___/___/_____			
	___/___/_____			
	___/___/_____			
	___/___/_____			

SUBTOTAL THIS PAGE		
TOTAL THIS PERIOD (Only on last page of Schedule)	_____ Enter this total on Col. 1, line 1f of Summary Page	_____ Enter this total on Col. 1, line 4b of Summary Page

EXECUTIVE COMMITTEE RECEIPTS SCHEDULE 1C

Page____of ____

Receipts in Excess of $100 Must be Itemized

Candidate/Slate of Candidates/Committee: _____

KREF Filer #: _____ **Period From:** _____/_____/_____ **To:** _____/_____/_____

1. Executive Committee Name and Address	**2.** Date of Receipt	**3a.** Contribution by Check or Written Instrument	**3b.** Description and Value of In-Kind	**4.** Cumulative for Election (per Contributor)
	___/___/_____			
	___/___/_____			
	___/___/_____			
	___/___/_____			
	___/___/_____			

SUBTOTAL THIS PAGE		
5. Total Cash and Unitemized Executive Committee Contributions Cash _____ + Unitemized _____ = Number of Cash Receipts _____ Number of Unitemized Receipts _____		
TOTAL THIS PERIOD (Only on last page of Schedule)	$_____ Enter this total on Col. 1, line 1g of Summary Page	$_____ Enter this total on Col. 1, line 4c of Summary Page

CAUCUS CAMPAIGN COMMITTEE RECEIPTS SCHEDULE 1D

Page____of ____

Receipts in Excess of $100 Must be Itemized

Candidate/Slate of Candidates/Committee: _____

KREF Filer #: _____ **Period From:** _____/_____/_____ **To:** _____/_____/_____

1. Caucus Campaign Committee Name and Address	**2.** Date of Receipt	**3a.** Contribution by Check or Written Instrument	**3b.** Description and Value of In-Kind	**4.** Cumulative for Election (per Contributor)
	___/___/_____			
	___/___/_____			
	___/___/_____			
	___/___/_____			
	___/___/_____			

SUBTOTAL THIS PAGE		
5. Total Cash and Unitemized Caucus Campaign Committee Contributions Cash _____ + Unitemized _____ = Number of Cash Receipts _____ Number of Unitemized Receipts _____		
TOTAL THIS PERIOD (Only on last page of Schedule)	$_____ Enter this total on Col. 1, line 1h of Summary Page	$_____ Enter this total on Col. 1, line 4d of Summary Page

ITEMIZED DISBURSEMENTS SCHEDULE 2

Page____of ____

Candidate/Slate of Candidates/Committee: _____

KREF Filer #: _____ **Period From:** _____/_____/_____ **To:** _____/_____/_____

1. Name and Address of Person or Business Paid List Occupation if Paid to a Person	**2.** Purpose of Disbursement (Be specific)	**3.** Date of Disbursement	**4.** Amount Disbursed
		___/___/_____	
		___/___/_____	
		___/___/_____	
		___/___/_____	
		___/___/_____	
		___/___/_____	
		___/___/_____	

SUBTOTAL THIS PAGE	
TOTAL THIS PERIOD (Only on last page of Schedule)	_____ Enter this total on Col. 1, line 3 of Summary Page

EVENTS SCHEDULE 3

Candidate/Slate of Candidates/Committee: _____

KREF Filer #: _____ **Period From:** _____/_____/_____ **To:** _____/_____/_____

1. Sponsor of Event and Address where the Event was Held	**2.** Type of Fundraising Activity or Event	**3.** Date Event was Held	**4.** Total Amount Received	**5.** Cost of Event
		___/___/_____		
		___/___/_____		
		___/___/_____		
		___/___/_____		
		___/___/_____		
		___/___/_____		

NOTE: Each fundraising activity or event must be listed separately. This schedule must be filed with the Election Finance Statement covering the period in which the fundraising activity or event took place, and is for informational purposes only. All receipts must be itemized on Schedule 1A, Schedule 1B, Schedule 1C, Schedule 1D or be included in unitemized, cash, or anonymous totals on the Summary Page. All costs incurred in connection with fundraising activities or events must be included on Schedule 2, or as in-kind contributions on Schedule 1A.

DEBTS & OBLIGATIONS SCHEDULE 4

Page____of ____

Candidate/Slate of Candidates/Committee: _____

KREF Filer #: _____ **Period From:** _____/_____/_____ **To:** _____/_____/_____

1. Name and Mailing Address of Party to Whom Debt is Owed	**2.** Type of Obligation	**3.** Date Incurred	**4.** Original Amount	**5.** Prior Payment	**6.** Payment made this reporting period	**7.** Outstanding Balance at close of this period
		___/___/_____				
		___/___/_____				
		___/___/_____				
		___/___/_____				
		___/___/_____				
		___/___/_____				

NOTE: If you have debts or obligations, this schedule must be filed with every Election Finance Statement with reportable activity (contributions and/or expenditures) up to and including the period in which all debts are paid or assumed.

The candidate/slate of candidates may convert outstanding obligations or debt to candidate contribution by personally assuming the debt. If you wish to assume debt outstanding from your campaign, please execute the Certificate of Debt Assumption below.

SUBTOTAL THIS PAGE	$
TOTAL THIS PERIOD (Only on last page of Schedule)	$_____ Enter this total on line 5 "Total Debts and Obligations" on the Summary Page

CERTIFICATE OF DEBT ASSUMPTION

I hereby assume personal responsibility for payment of all outstanding campaign debts for this election.

_____ _____

SIGNATURE DATE

Amount Assumed by Candidate (Only when closing campaign account)

$_____

KENTUCKY REGISTRY OF ELECTION FINANCE
140 Walnut Street, Frankfort, KY 40601-3240
(502) 573-2226 / FAX (502) 573-5622
www.kref.ky.gov

REGISTRY USE

Date Received

Date Approved

FUNDRAISER REGISTRATION

Please type or print

ANY PERSON WHO ACTS AS A FUNDRAISER BY DIRECTLY SOLICITING CONTRIBUTIONS FOR AN ELECTION CAMPAIGN OF A CANDIDATE OR SLATE OF CANDIDATES FOR STATEWIDE-ELECTED STATE OFFICE OR AN OFFICE IN A JURISDICTION CONTAINING IN EXCESS OF TWO HUNDRED THOUSAND (200,000) RESIDENTS SHALL REGISTER WITH THE REGISTRY WHEN HE RAISES IN EXCESS OF THREE THOUSAND DOLLARS ($3,000) IN ANY ONE (1) ELECTION FOR THE CAMPAIGN COMMITTEE. KRS 121.170(2)

(Fundraiser Name)

(Address) (City, State) (Zip Code)

(Telephone) (Fax) (Email Address)

(Occupation and Employer) (If you are self-employed, list the name under which you are doing business.)

Please provide a complete list of all candidates or slate of candidates for whom you intend to solicit funds:

I hereby certify that the information contained herein is true and correct. I understand that I am required by law to comply with the campaign finance reporting requirements of KRS 121.180 (3), (4), for which I have received instructions, and that failure to do so may result in civil and/or criminal penalties. I further understand that I am required to register for each election in which I act as a fundraiser, and comply with all applicable reporting requirements.

Date Fundraiser's Signature

Distribution: Registry – White Fundraiser – Canary Candidate's Treasurer – Pink

Kentucky UNBRIDLED SPIRIT

KENTUCKY REGISTRY OF ELECTION FINANCE
140 Walnut Street
Frankfort, Kentucky 40601-3240
(502) 573-2226 FAX (502) 573-5622
www.kref.ky.gov

REGISTERED FUNDRAISER STATEMENT COVER PAGE

1. Fundraiser Name:

County of Residence:

2. Candidate/Slate of Candidates (Gubernatorial Campaign Only)

Office Sought/Dist. No.

This Space for Registry Use Only

Logged _____ Keyed _____

3. Fundraiser's Mailing Address:

Daytime Telephone Number: (____) ____ - _____

4a. Fundraiser's Occupation

4b. Fundraiser's Employer (if self-employed, name under which doing business.)

5. This Statement Covers:

From: _____
Month - Day - Year

To: _____
Month - Day - Year

6. TYPE OF STATEMENT:

a. ☐ Quarterly
b. ☐ 32-day Pre-Election
c. ☐ 15-day Pre-Election
d. ☐ 30-day Post-Election
e. ☐ Termination _____
Month-Day-Year
f. ☐ AMENDMENT - Check one of the items above to indicate which statement is being amended.

Pre-election or Post Election or this Statement relates to:

☐ Primary ☐ General ☐ Special

7. Date of Election:

_____
Month - Day - Year

YOU MAY DUPLICATE SCHEDULES AS NEEDED.

8. Verification: I certify that I have examined this Registered Fundraiser Statement and to the best of my knowledge and belief it is true, correct, and complete.

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this statement to the penalties of KRS 121.990.

Fundraiser_____ Date: _____
Type or Print Name Signature Month-Day-Year

Kentucky UNBRIDLED SPIRIT

KREF 006/F **KENTUCKY REGISTRY OF ELECTION FINANCE** 140 Walnut Street Frankfort, Kentucky 40601-3240 (502) 573-2226 FAX (502) 573-5622 www.kref.ky.gov **SUMMARY PAGE**	1. Name of Fundraiser	2. Candidate/Slate of Candidates	3. This Statement Covers: From: _____ Month - Day - Year To: _____ Month - Day - Year

RECEIPTS

	COLUMN 1	**COLUMN 2 (TOTAL THIS PERIOD)**
1. CONTRIBUTIONS: (including all receipts from Fundraising Events)		
a. Itemized by check or written instrument (Schedule 1A, Item 6)		$ _____
b. Receipts in currency (Number of contributors _____) (Individual cash contribution limit is $50)		+$ _____
c. Unitemized contributions (Number of People _____) (Contributions by check or written instrument of $100 or less)		+$ _____
2. TOTAL RECEIPTS		=$ _____
3. RECEIPTS TRANSFERRED		
a. Amount Transferred to Candidate/Committee (Date _____)	$ _____	
b. Previous Balance Transferred	+ $ _____	
c. Total Receipts Transferred This Election	= $ _____	

IN-KIND CONTRIBUTIONS

4. In-Kind Contributions (Schedule 2, Item 7)		$ _____

KREF 006/F
KENTUCKY REGISTRY OF ELECTION FINANCE
140 Walnut Street
Frankfort, Kentucky 40601-3240
(502) 573-2226 FAX (502) 573-5622
www.kref.ky.gov

ITEMIZED RECEIPTS SCHEDULE 1A

1. Name of Fundraiser

2. Candidate/Slate of Candidates

3. This Statement Covers:

From: _____
Month - Day - Year

To: _____
Month - Day - Year

4a. Name and Address from whom received. All contributions in excess of $100 must be itemized. All PAC contributions must be itemized, regardless of amount.	4b. Marital Status	5. Date of Receipt	6. Amount of Contributions by Check or Written Instrument	7. Cumulative for Election (per Contributor)	8. Occupation and Employer of Contributor and Spouse of Contributor. (If self-employed, name under which doing business. Occupation shall be specific. If PAC, major business, social or political interest represented by committee.)

Subtotal This Page _____

(Only on last page of Schedule) Total This Period _____

Enter this Amount on line 1a of Summary Page

Page _____ of _____

KREF 006/F
KENTUCKY REGISTRY OF ELECTION FINANCE
140 Walnut Street
Frankfort, Kentucky 40601-3240
(502) 573-2226 FAX (502) 573-5622
www.kref.ky.gov

IN-KIND CONTRIBUTIONS SCHEDULE 2

1. Name of Fundraiser

2. Candidate/Slate of Candidates

3. This Statement Covers:

From: _____
Month - Day - Year

To: _____
Month - Day - Year

4a. Name and Address from Whom Received. All contributions in excess of $100 must be itemized. All PAC contributions must be itemized, regardless of amount.	4b. Marital Status	5. Describe In-Kind Contribution	6. Date of Receipt	7. Amount This Period	8. Cumulative for Election (per Contributor)	9. Occupation and Employer of Contributor and Spouse of Contributor. (If self-employed, name under which doing business. Occupation shall be specific. If PAC, major business, social or political interest represented by committee.)

Subtotal This Page _____

(Only on last page of Schedule) Total This Period _____

Enter this Amount on line 4 of Summary Page

Page _____ of _____

Don't Miss Another Reporting Deadline!!

You are invited to participate in the Registry's E-mail Reminder Project.

A courtesy reminder that a report is due will be sent to the e-mail address provided on the candidate's KREF Form 001 five (5) days prior to the report due date.

If you did not provide an e-mail address on the KREF Form 001, it's not too late.

Go to http://www.kref.ky.gov/candidate/e-mail and fill out the e-mail update form, or complete and submit the below information.

Name of Candidate: _____

Filer Number: _____

Election Date: _____

E-Mail Address: _____

Mail to:
Kentucky Registry of Election Finance
140 Walnut Street
Frankfort, KY 40601

Or

Fax to:
502-573-5622