



CANDIDATE GUIDE TO CAMPAIGN FINANCE

KENTUCKY REGISTRY OF ELECTION FINANCE

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USING THIS GUIDE

CITATIONS

Authorities cited in this Guide include the Campaign Finance Statutes and the Kentucky Administrative Regulations. Statutory citations are to Chapter 121 of the Kentucky Revised Statutes. Citations to regulations are to Title 32 of the Kentucky Administrative Regulations. The phrase “campaign finance law” as used in this Guide means the statutory and regulatory provisions and case law addressing campaign finance in Kentucky.

ABBREVIATIONS USED THROUGHOUT THIS GUIDE

FCC	Federal Communications Commission
FEC	Federal Election Commission
KAR	Kentucky Administrative Regulations
KRS	Kentucky Revised Statutes
PAC	Political Action Committee or Permanent Committee

GETTING MORE HELP

Advisory Opinions

KRS 121.135; 32 KAR 2:060

Any person or group requiring a clarification of the Kentucky campaign finance law regarding a specific activity or transaction that they plan to undertake may request an Advisory Opinion from the Registry. Advisory Opinion requests should be addressed to the General Counsel, Kentucky Registry of Election Finance, 140 Walnut Street, Frankfort, KY 40601. The Advisory Opinion process is explained in greater detail in Chapter 12.

Registry Staff Assistance

Many questions about Kentucky campaign finance law do not require formal Advisory Opinions. Such questions may be addressed to trained Registry staff members by calling the Registry. The telephone number is 502-573-2226. Assistance from a Registry staff person does not have the legal effect of an Advisory Opinion.

Resources permitting, staff members are also willing to attend meetings and events to train individuals about Kentucky campaign finance law.

Free Publications

Available on the agency’s website, www.kref.ky.gov, the Registry publishes brochures and other publications on several aspects of Kentucky campaign finance law. These publications are prepared for all persons who may become subject to Kentucky campaign finance law, whether they are seeking office for the first time, seasoned veterans of the political process, or members of the general public who have an interest in participating in campaigns.

Internet Website

Visit the Registry's home page on the World Wide Web at www.kref.ky.gov. Information on the site includes:

- Online Searchable Database
- Candidate Information
- Statistical Information
- Contribution Limits Chart
- Reporting Dates
- Reporting Forms
- Brochures
- Guidebooks
- Registered PACs in Kentucky
- Registry Board Members & Staff Directory
- Frequently Asked Questions
- Calendar of Important Events/Dates
- Advisory Opinions
- KRS Chapter 121 and KAR Title 32
- Announcements
- Links to the Kentucky Secretary of State, State Board of Elections (SBE), Federal Election Commission (FEC), and Internal Revenue Service (IRS)

Electronic Filing Software

The KREF website also offers information on electronic filing software. Candidates and slates of candidates are encouraged to use filer software to assist in storing election finance data and completing election finance statements. A listing of approved filer software is available on the KREF website. Software can assist campaign treasurers in many areas, particularly in running error reports and avoiding problems that could lead to violations.

Important Notice

This Guide is intended as a general reference tool and in no way supersedes statutory law or administrative regulations promulgated by the Registry. The Registry recommends a complete reading of the campaign finance laws contained in KRS Chapter 121 and the rules contained in Title 32 of the Kentucky Administrative Regulations.

Starting The Campaign

CANDIDATE

KRS 121.015(8)

“Candidate” means any person who has received contributions or made expenditures, has appointed a campaign treasurer, or has given his or her consent for any other person to receive contributions or make expenditures with a view to bringing about his or her nomination or election to public office, except federal office.

SLATE OF CANDIDATES

KRS 121.015(9)

“Slate of candidates” means any two (2) persons who have filed a joint notification and declaration pursuant to KRS 118.127, received contributions or made expenditures, appointed a campaign treasurer, designated a campaign depository, or given their consent for any other person to receive contributions or make expenditures with a view to bringing about their nomination for election to the offices of Governor and Lieutenant Governor. **Unless the context requires otherwise, any provision of law that applies to a candidate shall also apply to a slate of candidates.**

WHO IS A CANDIDATE?

A person is considered a candidate when one of the following occurs: (1) the person raises and/or spends money (even his or her own) to bring about his or her nomination or election to public office; (2) the person files a Letter of Intent with the Registry; or (3) the person files proper documents (notification and declaration/nominating petition or write-in intent) for ballot access with the filing officer (Secretary of State or County Clerk). Slates of candidates for Governor and Lieutenant Governor should refer to Chapter 3 for information and details particular to Gubernatorial Slates.

HOW DO I START?

KRS 121.015(8); KRS 121.160(1); KRS 121.180(1)

As stated above, you may notify the Registry by Letter of Intent or you may officially file [no earlier than the first Wednesday after the first Monday in November of the year preceding the year the office will appear on the ballot] with your filing officer to obtain ballot access, at which time you will also file a *Statement of Spending Intent and Appointment of Campaign Treasurer* which will be forwarded to the Registry by your filing officer.

You must do one of the above prior to accepting contributions or making expenditures. This includes the use of the candidate’s own money. See page 44 for instructions on opening a campaign bank account.

Letter of Intent

If you wish to start your campaign before you are allowed to officially file for ballot access with the Secretary of State or County Clerk, you may file a Letter of Intent with the Registry. The notice shall include the candidate's name, birth date, mailing address, phone number, email address, the office the candidate plans to seek, the year in which the election will be held, the treasurer's name, mailing address and phone number. Also include the name and address of the financial institution designated as the campaign depository.

Individuals who notify the Registry in a year preceding the election of the intent to become a candidate may be required to file quarterly campaign finance statements until the year that office will appear on the ballot. In the year of the election, the candidates will file campaign finance statements required for the current election based on the indicated spending option selected on the KREF 001. KRS 121.180(3)(b).

See page 5 for a sample "Letter of Intent." The Gubernatorial Slate sample "Letter of Intent" is found on page 12.

What Must I Do to Officially Gain Ballot Access?

You must file appropriate documents with the Secretary of State or your County Clerk. The Registry recommends you contact this office directly for additional information. They will also be able to provide you with the forms you need for ballot access purposes.

These forms can be obtained from the Office of the Secretary of State or your County Clerk.

IS THERE ANYTHING ELSE I MUST FILE?

KRS 121.160; KRS 121.180

Statement of Spending Intent and Appointment of Campaign Treasurer (KREF 001)

At the time you officially file with the Secretary of State or your County Clerk for ballot access, you must file a *Statement of Spending Intent and Appointment of Campaign Treasurer* form (KREF 001). The Registry is notified of your candidacy by receiving the KREF 001 form. The Secretary of State or County Clerk will forward this form to the Registry.

This form is used to designate an individual to serve as your campaign treasurer, indicate the financial institution that your campaign will use, and indicate your spending intent which may qualify you for a reporting exemption. The exemption, further described on page 7, determines how many reports you must file.

You may appoint any registered Kentucky voter as your campaign treasurer, or you may decide to be your own treasurer.

The Secretary of State or County Clerk will retain the original form, provide you with a copy and forward a copy to the Registry. Do not send the form directly to the Registry. The Registry cannot accept the form unless it has first been filed with the appropriate filing officer during the ballot access filing period.

See Appendix C for a sample of the "Statement of Spending Intent and Appointment of Campaign Treasurer" form. Gubernatorial Slates see a sample of the "Slate of Candidates Statement of Spending Intent and Appointment of Campaign Treasurer" form.

Sample Letter of Intent

(Date)

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

Dear Registry:

This letter is to inform you that it is my intention to begin raising and/or spending money to run in the 20(year) election, for the office of (office title)(district/location). It is my intent at this time to raise/spend \$_____ (select one: more than \$3,000 or \$3,000 or less) during the election. Listed below is the information required.

Candidate information:

Name

Mailing Address

Telephone Number

Alternate Telephone Number

E-mail Address

Date of Birth

Party Affiliation (if the race for which you are filing is partisan)

Treasurer Information:

Name

Address

Telephone Number

Alternate Telephone Number

E-mail Address

Bank Depository:

Name

Address

If you have any questions, please contact me.

Sincerely,

Candidate's Name and *Signature*

Treasurer's Name and *Signature*

SELECTING A SPENDING INTENT / REPORTING EXEMPTION

KRS 121.180

Statement of Spending Intent And Appointment of Campaign Treasurer (KREF 001)

When completing the “Statement of Spending Intent and Appointment of Campaign Treasurer” form (KREF 001), a candidate may request a reporting exemption. The spending intent determines the amount of money to be raised and spent during the election as well as the number of campaign finance reports to be filed with the Registry. Whether or not a candidate has opposition, the spending intent selected determines the reporting requirements for that election.

Think carefully before requesting an exemption from reporting. If you exceed the limit, you may be fined. The form is designed to allow candidates to select a spending intent for both the primary and general elections. Even if the candidate’s name is not on the primary ballot, the campaign is responsible for filing the campaign finance statements as indicated on the candidate’s KREF 001 form.

(Option A) Intent to Raise or Spend More Than \$3,000 (No reporting exemption)

You will not be exempt from reporting. You will be required to file all pre-election and post-election reports. Depending on when you declare your candidacy, this could include:

Quarterly Reports (in the year preceding the election)

Primary Election (Reports Due: 30 and 15 days before the election(s) and 30 days after the election(s)*)

General Election (Reports Due: 60, 30 and 15 days before the election(s) and 30 days after the election(s))

Special Election (Reports Due: 30 and 15 days before the election(s) and 30 days after the election(s))

Unexpired Term (Reports Due: see above for Primary Election Reports Due or General Election Reports Due)

*(See note below)

(Option B) Intent to Raise or Spend \$3,000 or Less (Exemption Option)

No Campaign Finance Reports are due. See Page 7 for Exception

Note: *A 60 Day Post Election Supplemental Report may be due if the 30 Day Post Election Report reflects a surplus or debt (see page 57). An Annual Report may be due if the 60 Day Post Election Report reflects a surplus or debt or you maintain an open account as an incumbent (see Chapter 8 for specific dates). See Appendix C for a sample of the “Statement of Spending Intent and Appointment of Campaign Treasurer” form.

WHAT IF I CHANGE MY MIND ABOUT THE SPENDING INTENT?**KRS 121.180**

After filing your Statement of Spending Intent and Appointment of Campaign Treasurer form (KREF 001), you may wish to change the amount of money you intend to raise or spend. Candidates may amend the Statement of Spending Intent and Appointment of Campaign Treasurer form (KREF 001) and select a different spending intent. The amended form must be filed in a timely manner with the Registry or you will be bound by the original spending intent.

Exception: Candidates for county, city, or school board races may change their spending intent at any time, but then must begin filing all applicable reports or be subject to late reporting fines. (Note: This exception only allows for the spending intent to be increased but not decreased.)

Amending the Statement of Spending Intent and Appointment of Campaign Treasurer (KREF 001) form.

To change your spending intent for the primary election, an amended form must be filed with the Registry no later than 15 days after the ballot access filing deadline for the primary.

To file or change your spending intent for the general election, the amended form must be filed with the Registry no later than 25 days after the date of the primary election.

If you have an August filing deadline, you may change your spending intent no later than 15 days after the filing deadline for the general election.

See Chapter 8 for specific dates. See Appendix C starting on page 103 for a sample of the “Statement of Spending Intent and Appointment of Campaign Treasurer” form. Gubernatorial Slates should see a sample of the “Slate of Candidates Statement of Spending Intent and Appointment of Campaign Treasurer” form.

Notes:

CAMPAIGN COMMITTEE REGISTRATION AND WAIVER FROM FILING

KRS 121.015(3)(a), KRS 121.170, KRS 121.180, KRS 121.210

Campaign committee registration is optional. If a candidate authorizes the registration of a campaign committee to act on his or her behalf, a Political Committee Registration form (KREF 010) must be filed with the Registry to provide the necessary information regarding the organization of the committee. The form must be signed by the chairperson and the treasurer of the committee, who must be separate persons.

Additionally, the candidate authorizing the committee must sign the “Political Committee Registration” form and the “Waiver From Filing Candidate Election Finance Statement” form (KREF 011). By signing these forms, the candidate agrees to comply with KRS 121.180(9) which states:

1. The candidate has an authorized campaign committee.
2. The candidate shall surrender possession of any contribution to the treasurer of the principal campaign committee within five (5) business days.
3. Contributions received by check, money order or other written instrument shall be endorsed directly to the committee and shall not be used in any way by the candidate.
4. No contribution shall be commingled with the candidate’s personal funds or accounts.
5. The candidate shall not make any unreimbursed expenditure for his or her campaign. However, this does not preclude a candidate from making an expenditure from personal funds to the authorized campaign committee, which shall be reported by the committee as a contribution or loan received from the candidate.
6. This waiver shall continue in effect only as long as the candidate complies with the conditions set forth above.

If the candidate does not authorize the committee and waive his or her individual reporting requirements, the candidate will be responsible for filing his or her own campaign finance reports, and the committee will be required to file reports as well.

All provisions of KRS Chapter 121 governing the duties and responsibilities of a candidate or campaign treasurer shall apply to a candidate’s campaign committee. The committee registration form is available on the Registry’s website at www.kref.ky.gov or candidates may call the Registry to obtain the forms. When completed, the Political Committee Registration and Waiver forms are filed directly with the Registry.

Slates of candidates for Governor and Lieutenant Governor should see page 14 and Appendix C for committee registration information.

See Appendix C for a sample of the “Political Committee Registration” form and “Waiver from Filing Candidate Election Finance Statement” form.

ACKNOWLEDGEMENT OF CANDIDATE'S REGISTRATION

Candidates who submit a Future Year Letter of Intent will receive an acknowledgement letter from the Registry upon receipt of the Future Year Letter of Intent. When candidates submit a Future Year Letter of Intent or officially file for office, the Registry assigns a staff administrator to work with the candidate. The administrator is the candidate's direct line of communication with the Registry. The administrator can answer questions and help the candidate avoid mistakes that may become violations of the campaign finance laws.

When the candidate officially files for office with the Secretary of State or the County Clerk, the filing officer will forward to the Registry a copy of the Statement of Spending Intent and Appointment of Campaign Treasurer form.

After the filing deadline, the Registry will send a post card to all candidates who elected to spend over \$3,000 and will have campaign finance reports due. This post card will inform the candidate of his or her identification number and campaign filer number. The campaign filer number should be used on all campaign finance reports and correspondence to the Registry pertaining to that particular election.

The campaign filer number changes for each election, while the candidate identification number never changes. Remember the primary and general elections are two separate elections. Successful primary candidates and August filers will receive notification of general election filer numbers. In addition, candidates for statewide office will be contacted by an auditor to schedule an initial meeting.

Gubernatorial Slates should see page 15 concerning acknowledgement of intent/filing.

Note: If you receive correspondence or reporting notices from the Registry that you believe are in error, you may contact the Registry at (502) 573-2226.

CONTACTING THE INTERNAL REVENUE SERVICE



Department of the Treasury
Internal Revenue Service

All candidates, slates and political committees are urged to contact the Internal Revenue Service (IRS) for directions on complying with applicable federal laws when opening a campaign bank account. See pages 38, 44 and 95 for additional information.

Notes:

Gubernatorial Slates

WHO IS A SLATE?

The Kentucky Constitution requires that candidates running for Governor and Lieutenant Governor run together as a slate. Candidates for Governor and Lieutenant Governor are required by KRS 118.127 to list on the notification and declaration form the names of the persons who are to jointly appear on the ballot. No candidate for either office may appear on the ballot individually. Voters will cast a single vote for the slate, applicable to both offices.

GETTING STARTED

KRS 118.125; KRS 121.015(9)

If you are considering forming a slate to run for Governor and Lieutenant Governor, you should contact the Registry or the Office of the Secretary of State before undertaking any campaign activity. KRS Chapter 121 broadly defines “slate of candidates,” and you and your running mate may be considered a slate under the law well before any formal announcement of candidacy is made. KRS 121.015(9) provides that a slate of candidates means not only persons who have filed a joint notification and declaration pursuant to KRS 118.127, but also persons who have undertaken any of the following activities: received contributions, made expenditures, appointed a campaign treasurer, designated a campaign depository, or given consent for any other person to receive contributions or make expenditures with a view to bringing about the slate’s nomination for election to the offices of Governor and Lieutenant Governor. Slates should begin keeping records at the point they are considered a “slate of candidates” pursuant to the aforementioned definition.

LETTER OF INTENT

If you wish to start your slate campaign before you are allowed to officially file for ballot access with the Secretary of State, you may file a Letter of Intent with the Registry. The notice shall include the following information for both the Governor and Lieutenant Governor Candidates: name, birth date, mailing address, phone number, email address, and the office which each candidate plans to seek. Also include the year in which the election will be held, the treasurer’s name, mailing address, phone number, and the name and address of the financial institution designated as the campaign depository.

See sample “Slate Letter of Intent” on next page.

Sample Letter of Intent

(date)

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

Dear Registry:

This letter is to inform you that it is our intention to form a slate and begin raising and/or spending money to run in the 20____ election, for the office of Governor and Lieutenant Governor. It is our intent at this time to spend \$_____ (select one: more than \$3,000 or \$3,000 or less) during the election. Listed below is the information required.

Candidate Information:

Name: Candidate for Governor
Mailing Address
Telephone Number
Alternate Telephone Number
E-mail Address
Date of Birth
Party Affiliation

Name: Candidate for Lieutenant Governor
Mailing Address
Telephone Number
Alternate Telephone Number
E-mail Address
Date of Birth
Party Affiliation

Treasurer Information:

Name
Mailing Address
Telephone Number
Alternate Telephone Number
E-mail Address

Bank Depository:

Name
Address

If you have any questions, please contact me.

Sincerely,

Signature: Candidate for Governor

Signature: Candidate for Lieutenant Governor

Signature: Campaign Treasurer

OFFICIAL BALLOT ACCESS

To obtain official ballot access, file the joint notification and declaration is to be filed with the Secretary of State as provided by KRS 118.125.

APPOINTMENT OF CAMPAIGN TREASURER

KRS 121.160; KRS 121.220

At the time the joint notification and declaration is filed, the slate is also required to designate its campaign treasurer. Until this requirement is met, the slate of candidates will be listed as its own treasurer and accountable as such. The slate may appoint one of the candidates personally or any registered voter in Kentucky as the campaign treasurer.

The selection of a campaign treasurer is an extremely important decision. It is important not only because he or she plays such an integral role in the campaign, but also because the slate will be held responsible for the acts and omissions of the treasurer.

A slate may remove a campaign treasurer at any time. In the case of death, resignation, or removal of a campaign treasurer, the slate must, within three days after receiving notice thereof, appoint a successor and file the new treasurer's name and address with the Registry. The slate will be accountable as its own treasurer if it fails to meet this reporting requirement.

A person may serve as a campaign treasurer for more than one candidate or slate of candidates, but all reports must be filed separately for each candidate or slate.

It is the duty of the campaign treasurer to designate a depository bank in which the primary campaign account is to be maintained for the purpose of depositing all contributions and disbursing all expenditures. Only a financial institution authorized to transact business in Kentucky may be designated as a campaign depository. To acknowledge these duties the campaign treasurer must sign the Appointment of Campaign Treasurer form (KREF 001/G).

To appoint a campaign treasurer and designate the depository bank, the slate will complete a Slate of Candidates Appointment of Campaign Treasurer form (KREF 001/G). The original form will be retained by the Secretary of State and a copy will be forwarded to the Registry. The Secretary of State will also provide the slate with a copy of the form.

See sample "Slate of Candidates Statement of Spending Intent and Appointment of Campaign Treasurer" form on page 107 of Appendix C: Forms & Instructions.

APPOINTMENT OF CAMPAIGN COMMITTEE

KRS 121.015(3)(a); KRS 121.210; KRS 121.170; KRS 121.180

After filing the joint notification and declaration, a slate of candidates may authorize a campaign committee to act on its behalf. All provisions of KRS Chapter 121 governing the duties and responsibilities of a slate of candidates and its campaign treasurer will apply to the campaign committee.

The campaign committee may register by filing its official notice of intention at the time of organization and provide the names, addresses, and positions of the officers of the committee. A form prescribed for this purpose, the Political Committee Registration (KREF 010) form (*see page 133 of the Candidate Guide*), requires the registrant(s) to clearly identify the specific purpose, sponsorship, and source from which the committee originates and designate the primary campaign depository for the purpose of depositing all contributions received and disbursing all expenditures made. The form must be signed by the members of the slate, the committee chairperson, and the campaign treasurer. The chairperson and treasurer must be separate persons.

Also, the candidates for Governor and Lt. Governor must each sign the acknowledgement on the Political Committee Registration form and the Waiver from Filing Candidate Election Finance Statement form (KREF 011, *see Appendix C, page 133 of the Candidate Guide*) to be relieved of personal responsibility for filing campaign finance reports. The waiver remains in effect provided that the slate surrenders possession of any contributions to the campaign treasurer within five (5) business days of receipt without spending any of the proceeds or commingling contributions with personal funds; endorses contributions in the form of checks, money orders, or other written instruments directly, without being cashed or redeemed, to the campaign committee; and does not make any unreimbursed or unreported expenditures for the campaign. Otherwise, if a slate of candidates does not authorize the committee and waive his or her individual reporting requirements, the slate of candidates will be responsible for filing its own campaign finance reports, and the committee will be required to file reports as well.

See sample "Waiver from Filing" and "Political Committee Registration" forms in Appendix C.

Notes:

VACANCIES

KRS 118.227

If a vacancy occurs in a slate of candidates before the ballots are printed for the primary election because of death, disqualification to hold the office sought, or severe disabling condition which arose after the slate formed a campaign committee, the remaining member of the slate may designate a replacement for the vacant candidate or change the composition of the slate and designate a running mate. Any changes made to the slate of candidates shall be made on forms prescribed by the State Board of Elections and filed with the Secretary of State not later than the deadline for printing primary election ballots, but only following certification to the remaining candidates by the Secretary of State that a vacancy exists.

If a vacancy occurs in a slate of candidates after the ballots are printed for the primary election, the form must be filed with the Secretary of State prior to the primary election. Notices informing the voters of the change in the composition of the slate shall be posted at each precinct polling place.

The provisions of KRS 118.105 shall apply to vacancies occurring in the nomination of a qualifying slate of candidates.

The form can be obtained from the Office of the Secretary of State. The Secretary of State will then notify the Registry of the change in the composition of the slate.

ACKNOWLEDGEMENT OF SLATE'S REGISTRATION

KRS 121.120(4)(k)

When a slate submits a Letter of Intent or officially file for office, the Registry assigns a staff auditor. The auditor is responsible for performing the statutorily mandated audit and is the slate's direct line of communication with the Registry. The auditor can answer questions and help the slate avoid mistakes that may result in violations of the campaign finance laws. The campaign's relationship with the auditor begins with an initial conference attended by the officials representing the slate, and continues with audit field work performed throughout the campaign.

The slate's filer number changes for each election. The primary and general elections are two separate elections. Successful primary election slates will receive notification of general election filer numbers.

A slate of candidates who notifies the Registry in a year preceding the election of the intent to file as a slate of candidates shall be required to file quarterly campaign finance statements until the year that office will appear on the ballot. In the year of the election, the slate of candidates will file campaign finance statements required for the current election based on the slate's indicated spending option. KRS 121.180(3)(b).

Notes:

CONTRIBUTIONS AND OTHER RECEIPTS

WHAT IS A CONTRIBUTION?

The term “contribution” not only encompasses money, but also goods, advertising and services given to a candidate or his or her committee. This chapter defines what is a contribution; discusses limitations, exceptions and, in some cases, absolute prohibitions on certain sources of contributions; and describes the different types of contributors.

Definition of a Contribution

KRS 121.015(6)

Includes the following:

- Payment, distribution, loan, deposit, or gift of money or other thing of value, to a candidate, his or her agent, a slate of candidates, its authorized agent, or a candidate or slate campaign committee;
- Payment by any person other than the candidate, his authorized treasurer, a slate of candidates, its authorized treasurer, or a candidate or slate campaign committee, of compensation for the personal services of another person which are rendered to a candidate, slate of candidates, or candidate or slate campaign committee, or for inauguration activities;
- Goods, advertising, or services with a value of more than one hundred dollars (\$100) in the aggregate in any one (1) election which are furnished to a candidate, slate of candidates, candidate or slate campaign committee, or for inauguration activities without charge, or at a rate which is less than the rate normally charged for the goods or services; or
- Payment by any person other than a candidate, his authorized treasurer, a slate of candidates, its authorized treasurer, or a candidate or slate campaign committee for any goods or services with a value of more than one hundred dollars (\$100) in the aggregate in any one (1) election which are utilized by a candidate, slate of candidates, candidate or slate campaign committee, or for inauguration activities.

TYPES OF CONTRIBUTIONS

Monetary Contributions

KRS 121.015(6)(a)

A contribution of money to a candidate that is received in the form of cash, check, draft, money order, credit card, or cashier’s check is considered a monetary contribution. Limitations exist concerning the acceptance of different forms of monetary contributions.

See pages 22-26 for further information.

In-kind Contributions

KRS 121.015(6)(b)-(c); 32 KAR 2:170

An in-kind contribution is a non-monetary contribution consisting of goods or services, offered free or at less than the usual charge. Similarly, when a person pays for services on the candidate's behalf, the payment is an in-kind contribution.

An expenditure made in cooperation, coordination, or consultation with or at the request or suggestion of the campaign is also considered an in-kind contribution to the candidate.

In-kind contributions are treated as any other contribution and are subject to the same contribution limits and reporting requirements. Contribution limits are discussed on pages 22-26.

Exception (Incidental Goods or Services Valued at \$100 or Less)

KRS 121.015(6)(c)

Under limited exceptions in the law, persons may provide incidental goods or services to a campaign without making a contribution. Incidental goods or services valued at \$100 or less do not qualify as contributions until the aggregate value per contributor exceeds \$100 per election. In order for a campaign to determine whether a contributor has exceeded the \$100 limit, itemized records on all contributors must be kept by the campaign.

Uncompensated volunteer services by an individual are not considered a contribution. However, payment by someone other than the candidate or his or her treasurer to compensate the personal services of another rendered to the campaign is considered a contribution, regardless of the amount of the payment.

The Value of Discounts

32 KAR 2:170

If goods or services are provided at less than the rate normally charged, or at an unreasonably low charge, the amount of the in-kind contribution is the difference between the amount normally charged for the goods and services at the time of the contribution and the amount actually charged. A discount received that is available to the general public is not an in-kind contribution.

Goods

32 KAR 2:170

Goods, such as equipment, supplies, mailing lists and facilities, are valued at the price the item or facility would cost if purchased or rented at the time the contribution is made. For example, if someone contributes a fax machine to the campaign, the contribution equals the fair market price of the fax machine at the time of the contribution.

Services

32 KAR 2:170

Services, such as advertising or printing, are valued at the prevailing rate at the time the services are rendered. The value is the fair market value of the service provided.

Loans from Individuals

KRS 121.015(6)(a); KRS 121.015(7)

A candidate may loan an unlimited amount of personal funds to his or her campaign. All other loans, other than bank loans obtained in the ordinary course of business, are considered contributions and are subject to contribution limits.

Any personal or family loan that is forgiven must be reported as a contribution. The campaign may not accept a loan in excess of the contribution limit from anyone other than the candidate. An unpaid loan, when added to other contributions from the same contributor, may not exceed the contribution limit. Once repaid in full, a loan no longer counts against the donor's contribution limit.

All loans must be continuously reported as debts until fully repaid. In the event a lender forgives a loan in whole or in part, the amount of the canceled debt becomes a contribution subject to the contribution limits.

Candidate Contributions

KRS 121.160(2)(a); KRS 121.180(9)(b); KRS 121.220

Candidates may contribute or loan to their own campaigns in unlimited amounts. However, the personal funds of a candidate used in connection with seeking elective office must be deposited directly into the campaign account. If a candidate gives money to his or her campaign account and expects to be repaid, it must be treated as a loan to the campaign.

If a candidate contributes personal items that he or she owned prior to becoming a candidate for the benefit of the campaign, and does not expect reimbursement, the value of the items should be reported as an in-kind contribution from the candidate. (These must be items to benefit the campaign, or from a previous campaign, such as phones, tablets, computers, etc.) If the candidate makes direct campaign expenditures from the candidate's cash or personal accounts, this amount should be reimbursed to the candidate from the campaign account.

Disposition of Unexpended Candidate/Committee Funds

KRS 121.180(10)

When a partisan candidate or committee wishes to dispose of unexpended funds that are not otherwise obligated for the payment of expenses, one option available is to transfer the remaining funds to the state or county executive committee of the political party of which the candidate or committee is a member. Likewise, a partisan candidate may transfer unexpended funds to a caucus campaign committee. Such transfers are not subject to the contribution limit. Candidates may also choose to escheat unexpended funds to the State Treasury, return the funds pro rata to all contributors, retain the funds to seek election to the same office, or may donate the funds to any charitable, nonprofit, or educational institution recognized under Section 501(c)(3) of the United States Internal Revenue Code of 1986, as amended. **(Remember: A candidate may not close out or transfer funds from his or her account until after the election for which they were solicited or received.)**

Surplus Campaign Property

KRS 121.180(10)

When the campaign terminates, it must liquidate all assets, dispose of excess funds in a manner permitted by statute (see page 81), and file a final report showing a zero balance. Campaign paraphernalia or signs are considered to be of no value to anyone except the campaign and it is understood that these items cannot be liquidated.

However, if these materials are stored by the candidate until the next election and are contributed to the new campaign, the items must be assessed at the fair market value and reported as an in-kind contribution from the candidate to his or her new campaign.

Proceeds from Sales

KRS 121.180(5)

Contributions include proceeds from the sale of tickets for events, such as luncheons, dinners, rallies, and similar campaign fundraising events; mass collections made at events; and sales of items such as campaign pins, buttons, hats, and shirts. The purchaser of tickets or items is the contributor, even if the tickets or items are given to others. Therefore, the campaign should record the entire purchase price of tickets or items as the amount contributed.

Extension of Credit

32 KAR 2:180

An extension of credit outside a creditor's ordinary course of business may be considered a contribution.

TYPES OF CONTRIBUTORS**Person**

KRS 446.010(33)

For the purpose of applying the campaign finance laws, a "person" referred to in KRS Chapter 121 is an individual human being. "Individual" as used in this guide refers to a natural person.

Minor

KRS 121.150(5)

For the purpose of applying the campaign finance laws, a "minor" is an individual who will not be 18 years old on or before the date of the next general election.

Contributing Organization

KRS 121.015(4)

A "contributing organization" is a group which merely contributes to candidates, slates of candidates, or campaign committees from time to time from funds derived solely from within the group and which does not solicit or receive funds from sources outside the group itself. Contributing organizations must begin reporting to the Registry when any contributions made by the group exceed \$100. Reporting forms for a Contributing Organization are available on the Registry's website at www.kref.ky.gov.

Caucus Campaign Committee

KRS 121.015(3)(b)

A “caucus campaign committee” is one of the following caucus groups who receive contributions and make expenditures to support or oppose one or more specific candidates or slates of candidates for nomination or election, or a committee:

- (1) House Democratic caucus campaign committee;
- (2) House Republican caucus campaign committee;
- (3) Senate Democratic caucus campaign committee; and
- (4) Senate Republican caucus campaign committee; or
- (5) Subdivisions of the state executive committee of a minor political party, which serve the same function as the above-named committees, as determined by regulations promulgated by the registry.

Permanent Committee (PAC)

KRS 121.015(3)(d); KRS 121.170(7)

A “permanent committee” is a permanent organization functioning on a regular basis throughout the year having as a primary purpose expressly advocating the election or defeat of one or more clearly identified candidates, slates of candidates, or political parties. These organizations are registered with the Registry, the FEC, or another state. Affiliated PACs share a contribution limit.

The organization, formation, or registration of a permanent committee by any member of the General Assembly is prohibited.

State or County Executive Committee

KRS 121.015(3)(e)

The following requirements must be met in order for a committee to qualify as a political party state executive committee:

- The political party must be recognized at the federal level;
- The committee must achieve ballot access for at least one statewide candidate in Kentucky;
- The committee must possess an official party structure; and
- The relationship between the political party and the committee must be based on an agreement that requires the committee to perform activities commensurate with the day-to-day operation of the party on a state level (such as raising contributions; assisting candidates’ fundraising efforts; conducting voter registration drives; holding state conventions; and nominating candidates for state and federal office).

County Level executive committees and caucus campaign committees may only be formed after a minor political party’s state executive committee achieves recognition.

Out-of-State Contributor

An individual who resides, or a committee or organization which operates, outside of Kentucky may contribute to Kentucky candidates. Contributions from out-of-state contributors are subject to the same restrictions as Kentucky residents, organizations, and committees.

CONTRIBUTION LIMITS

KRS 121.150(6)

The maximum contribution from individuals (excluding minors), PACs and Contributing Organizations to a candidate is \$2,000 per election. The contribution allowable from persons who will not reach the age of 18 on or before the next general election is \$100. Caucus Campaign Committees and Executive Committees may contribute unlimited amounts to candidates.

See pages 25-26 for further details.

LIMITATIONS ON DIFFERENT FORMS OF CONTRIBUTIONS***Gifts***

KRS 121.015(6)

A candidate may not accept a gift of money for use in the campaign.

Anonymous Contributions

KRS 121.150(3)

Candidates may not accept anonymous contributions in excess of \$100 per contributor, per election. An anonymous contribution in excess of \$100 must be returned to the donor, if the contribution can be traced. If the donor cannot be determined, the contribution shall escheat to the state.

The total anonymous contributions received by a campaign may not exceed \$2,000 per election. Anonymous contributions in excess of the aggregate limit also escheat to the state.

- Money received from an event or activity, such as a fish fry, concession sales, or from the sale of campaign paraphernalia, is a contribution. If the campaign does not have records of individual purchasers, the sales are anonymous contributions and the campaign may only accept anonymous contributions up to \$2,000 in the aggregate per election.

Cash Contributions

KRS 121.150(4); 32 KAR 2:130

Candidates may not accept cash contributions in excess of \$100 per contributor, per election.

Contributions by Cashier's Check or Money Order

KRS 121.150(4); 32 KAR 2:130

A candidate may not accept a cashier's check or money order in excess of the maximum cash contribution limit unless the instrument clearly identifies both the payer and the payee. If both are identified, the instrument may be accepted like a check.

Contributions by Minors

KRS 121.150(5)

A candidate may not accept a contribution in excess of \$100 from any person who will not become 18 years of age on or before the date of the next general election.

Contributions by Married Couples

KRS 121.150(22)

Married couples may make contributions with one check that reflects the combined individual contribution limits of each individual spouse per election (\$2,000 each) for all elections in a calendar year. The signatures of both spouses must be written on the signature line of the check, and the designation of each contribution amount and the election or elections to which they apply shall be memorialized on the memo line of the check.

ITEMS NOT CONSIDERED CONTRIBUTIONS

KRS 121.015(6)(c); 121.015(7); 32 KAR 2:170

- An in-kind contribution does not meet the statutory definition of contribution until the aggregate total of in-kind contributions from a single contributor exceeds \$100.
- Services provided without compensation by individuals volunteering a portion or all of their time on behalf of a campaign are not contributions.
- A loan of money by any financial institution doing business in Kentucky made in accordance with applicable banking laws and regulations and in the ordinary course of business is not a contribution.
- Independent expenditures are not contributions. Under KRS 121.015(12), an independent expenditure “means the expenditure of money or other things of value for a communication which expressly advocates the election or defeat of a clearly identified candidate or slate of candidates, and which is made without any coordination, consultation, or cooperation with any candidate, slate of candidates, campaign committee, or any authorized person acting on behalf of any of them, and which is not made in concert with, or at the request or suggestion of any candidate, slate of candidates, campaign committee, or any authorized person acting on behalf of any of them.”

Treasurer’s Services

KRS 121.160(6); 32 KAR 2:170

Kentucky campaign finance law specifically excludes “services provided without compensation by individuals volunteering a portion or all of their time” from the definition of a contribution. However, the law provides that a campaign may pay a treasurer a salary for his or her services.

Treasurers are often professional bookkeepers or certified public accountants who volunteer their professional services. However, any use by the campaign treasurer of his or her office’s corporate assets should be billed to the campaign and paid for with campaign funds.

Volunteer Activity

KRS 121.015(7); 32 KAR 2:170

An individual may volunteer a portion or all of his or her time to provide services to a campaign without making a contribution, as long as the individual is not compensated by anyone for the services. If a volunteer is on paid vacation leave (or on leave time that he or she has earned) when working for the campaign, the volunteer's vacation pay does not count as a contribution to the campaign. If a volunteer is paid on a commission or piecework basis, or is paid only for work actually performed and the employee's time is considered his or her own to use as he or she sees fit, no contribution results.

Note, however, that if individuals are, in fact, paid for their services by someone other than the campaign itself, the activity is no longer considered volunteering, and the payments constitute in-kind contributions that must be reported by the campaign as an in-kind contribution from the person paying for the service. Generally, if an individual provides services to a campaign during paid working hours, the employer makes a contribution to the campaign. However, note that if the employer is a corporation, the contribution is prohibited.

Incidental Goods or Services Valued at \$100 or Less

KRS.015(6)(c)

Expenditures of \$100 or less made by a person are not considered contributions, individuals may spend up to \$100 for goods, advertising or services valued at \$100 or less without making a contribution. This exemption was designed to stimulate grassroots activity. These expenditures are not considered contributions, but should be recorded by the campaign. When an in-kind expenditure exceeds \$100, it is considered a contribution and must be reported. Any amount spent by an individual, on behalf of the campaign, in excess of \$100 must be reported as an in-kind contribution to the campaign.

Loans

KRS 121.015(7)(b)

A loan of money by any financial institution doing business in Kentucky made in accordance with applicable banking laws and regulations and in the ordinary course of business is not a contribution.

Notes:

Contribution Limits¹

(Effective July 1, 2017)

	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, or Candidate Campaign Committee	\$2,000 per election ³ 121.150(6)	\$2,000 per election ³ 121.150(6)	\$2,000 per election ³ 121.150(6)	Prohibited 121.025 & 121.035	Unlimited	Unlimited
To a Permanent Committee (PAC) or Contributing Organization	\$2,000 per year ³ 121.150(10)	\$2,000 per year ³ 121.150(10)	\$2,000 per year ³ 121.150(10)	Prohibited 121.025 & 121.035	\$2,000 per year ³ 121.150(10)	\$2,000 per year ³ 121.150(10)
To a Political Issues Committee	Unlimited	Unlimited	Unlimited	Unlimited 121.035(3)	Unlimited	Unlimited
To an Executive Committee	\$5,000 per year 121.150(11)	\$5,000 per year 121.150(11)	\$5,000 per year 121.150(11)	Prohibited 121.025 & 121.035	Unlimited Transfer of Funds between executive committees	\$5,000 per year 121.150(11)
To a Caucus Campaign Committee	\$5,000 per year 121.150(11)	\$5,000 per year 121.150(11)	\$5,000 per year 121.150(11)	Prohibited 121.025 & 121.035	\$5,000 per year 121.150(11)	\$5,000 per year 121.150(11)
To an Inaugural Committee	Unlimited	Unlimited	Unlimited	Prohibited KRS 121.150(18)	Unlimited	Unlimited
To an Unauthorized Campaign Committee	Unlimited	Unlimited	Unlimited	Unlimited	Unlimited	Unlimited
To an Executive Committee Building Fund Account	Unlimited	Unlimited	Unlimited	Unlimited 121.025, 121.035 & 121.150(18)	Unlimited	Unlimited

	To a Candidate, Slate, or Campaign Committee	To a Permanent Committee (PAC)	To an Issues Committee	To an Executive Committee	To a Caucus Campaign Committee	To an Inaugural Committee	To an Unauthorized Campaign Committee
Cash⁴ Contributions	\$100 per election 121.150(4)	\$100 per election 121.150(4)	\$100 per election 121.150(4)	\$100 per election 121.150(4)	\$100 per election 121.150(4)	\$100 per election 121.150(4)	\$100 per election 121.150(4)
Anonymous Contributions	\$100 per election (Maximum aggregate \$2,000 per election) 121.150(3)	\$100 per election (Maximum aggregate \$2,000 per election) 121.150(3)	\$100 per election (Maximum aggregate \$2,000 per election) 121.150(3)	\$100 per election (Maximum aggregate \$2,000 per election) 121.150(3)	\$100 per election (Maximum aggregate \$2,000 per election) 121.150(3)	\$100 per election (Maximum aggregate \$2,000 per election) 121.150(3)	\$100 per election (Maximum aggregate \$2,000 per election) 121.150(3)

Contribution Limits

- 1** In-kind and monetary contributions both count toward the “per election” and the “per year” contribution limits.
- 2** Contributing Organizations or PACs affiliated by bylaw structure or by registration, as determined by the Registry, shall be considered as one (1) committee for purposes of applying contribution limits. **KRS 121.150(7)**
- 3** Limits will be indexed for inflation every odd-numbered year using the preceding year’s percent increase in the non-seasonally adjusted annual average Consumer Price Index for all Urban Consumers (CPI-U), U.S. City Average, All Items, as published by the United States Bureau of Labor Statistics and rounded to the nearest hundred dollars.
- 4** Contributions by cashier's check or money order are limited to one hundred dollars (\$100) per election, unless the instrument identifies both the payor and the payee. If the cashier's check or money order identifies both the payor and the payee, the instrument is considered a contribution by check. **KRS 121.150(4)**

Independent Expenditures

KRS 121.015(7)(c), (12); KRS 121.150(1)

An independent expenditure is defined by statute as follows:

[T]he expenditure of money or other things of value for a communication which expressly advocates the election or defeat of a clearly identified candidate or slate of candidates, and which is made without any coordination, consultation, or cooperation with any candidate or slate of candidates, campaign committee, or any authorized person acting on behalf of them, and which is not made in concert with or at the request or suggestion of any candidate or slate of candidates, campaign committee, or any authorized person acting on behalf of any of them. KRS 121.015(12)

Independent expenditures are not subject to any limits, but are subject to reporting requirements. Any person, PAC or unauthorized campaign committee that makes independent expenditures exceeding \$500 in the aggregate in any one election **are required to report** the independent expenditure directly to the Registry. To obtain an Independent Expenditure reporting form, go to the Registry's website at www.kref.ky.gov or call (502) 573-2226. See Appendix C, page 141 for an example of an independent expenditure reporting form.

Special Note: *Citizens United v. Federal Election Commission*, 588 U.S. 310 (2010) permits corporations to make independent expenditures in political campaigns, and corporations should contact the Registry for further direction. Candidates and campaign representatives should be cautioned against advising corporations or otherwise requesting corporations to make independent expenditures as this is an indicator of coordination. See KREF Advisory Opinions 2010-001, 2010-002, and 2011-002.

PROHIBITED CONTRIBUTIONS

Corporate Contributions

KRS 121.025; KRS 121.035; KRS 121.150(18)&(19)

Kentucky campaign finance law strictly prohibits corporate contributions to candidates, slates of candidates and committees, either directly or indirectly. These statutory provisions reflect Section 150 of the Kentucky Constitution, which prohibits corporations from giving money or any other thing of value to influence an election in the Commonwealth.

Under Kentucky's campaign finance law, "corporation" means any corporation, company, partnership, joint stock company, or association. Thus the prohibition on corporate contributions to candidates and committees that support candidates for election extends to all corporate types, including non-stock corporations, solely owned corporations, not-for-profit corporations, S-corporations, and professional service corporations (PSCs), and also extends to other types of business entities, including limited liability partnerships (LLPs), limited liability companies (LLCs), and unions.

While corporations, LLPs, LLCs, and unions are prohibited from making contributions directly to candidates, slates of candidates, or committees, they may sponsor and administer a state permanent committee (PAC), and pay the state PAC's administrative expenses from corporate, LLC, LLP, or union funds. See Protect My Check v. Dilger, 176 F. Supp. 3d 685 (E.D. KY. 2016).

The prohibition against receiving corporate contributions applies to both monetary and in-kind contributions. Monetary contributions include checks or money orders from a business entity or cash transmitted from a corporation to a campaign.

To determine how an entity is organized, a campaign may verify the entity's status by calling the Secretary of State's Office, Division of Corporate Records, at (502) 564-7330 or by consulting the Secretary of State's on-line business database at www.sos.ky.gov.

In-kind contributions from a corporation must also be avoided. A discount provided to a candidate by a corporation that is otherwise not available to the general public or the forgiveness of a debt owed by the candidate to a corporation constitutes an illegal in-kind corporate contribution. Any unreimbursed use of corporate property, such as computers, telephones, or postage, for the benefit of a candidate constitutes an illegal corporate contribution. A campaign that uses corporate property should prorate the value of its use and keep detailed records of bills assessed by the corporation and payments made by the campaign. These transactions must be disclosed on the campaign's financial reports.

See "Special Note" on page 27 regarding independent expenditures by corporations.

Charitable Contributions

KRS 121.150(2)

Solicitations from and contributions by campaign committees, caucus campaign committees, political issues committees, permanent committees, and party executive committees to any religious, charitable, civic, eleemosynary, or other causes or organizations established primarily for the public good are expressly prohibited.

Contributions in the Name of Another

KRS 121.150(12)

A contribution made by one person in the name of another is prohibited. For example, an individual who has already contributed up to his or her limit to the candidate may not give money to another person to make a contribution or give money to the candidate to fund the candidate's campaign. Similarly, a business is prohibited from using bonuses or other methods of reimbursing employees for their individual contributions. Parents may not make a contribution in the name of a child.

If an individual who does not have a checking account wants to make a contribution, the campaign should advise the individual to purchase a money order or to obtain a cashier's check, and to clearly identify on the written instrument both the payor and the payee. Be aware of consecutively-numbered money orders or cashier's checks as this could be a way of someone giving in the name of another.

Foreign Nationals

2 U.S.C. § 441e; 11 CFR § 110.4(1); 22 U.S.C. § 611

Contributions from an entity organized under the laws of a foreign country or having its principal place of business in a foreign country are prohibited. A candidate may not accept contributions from foreign nationals. A "foreign national" is an individual who is not a citizen of the United States, and not lawfully admitted for permanent residence. Individuals with a green card may make political contributions.

Contributions from Other Candidates

KRS 121.180(10)

Contributions from another candidate's campaign account are prohibited, except that another candidate may purchase tickets to a fundraiser or other event up to \$200 per event or affair.

Federal Campaign Accounts

KRS 121.150(21)

Candidates may not accept a contribution, including an in-kind contribution, which is made from funds in a federal campaign account. A candidate may, however, accept a contribution from a federal PAC. See Advisory Opinion 2010-006.

Circumventing the Limits

KRS 121.150(9)

No person shall contribute funds to a permanent committee, political issues committee, or contributing organization for the purpose of circumventing contribution limits.

Questionable Contributions

When a campaign receives a contribution of questionable legality, it should return the contribution to the donor without depositing it, as the negotiation of the check establishes the receipt of the contribution. The campaign should retain in its internal records a written record or a photocopy of the contribution, and clearly note why the contribution was returned.

If a campaign decides to keep a questionable contribution while determining if the contribution is acceptable, the contribution may be deposited for safe keeping. From the date of deposit the campaign has 30 days in which to refund a prohibited contribution without penalty. The campaign should maintain written records of all efforts to obtain documentation relative to a questionable contribution.

If a candidate, slate of candidates, committee, or anyone on their behalf receives a contribution prohibited by the provisions of KRS 121.150, the candidate, slate of candidates, or committee shall have 30 days from the date the contribution is deposited in the campaign account to refund the contribution. A refund made in this manner shall constitute compliance with the provisions of KRS 121.150. Schedule 1A of the Election Finance Statement must report the deposit as a contribution and the refund as a “receipts adjustment.”

All contributions not otherwise refunded in accordance with the above requirement shall be considered accepted by the candidate, slate of candidates, or committee, as applicable.

OTHER REPORTABLE RECEIPTS

The campaign must report all receipts. However, some receipts are not contributions. The following are not considered contributions:

Bank Loans

KRS 121.015(7)(b)

A loan of money by any financial institution doing business in Kentucky made in accordance with applicable banking laws and regulations and in the ordinary course of business is not a contribution. Any such funds deposited into a campaign account would be reported on an Election Finance Statement and attributed to the individual who borrowed the funds.

Interest Income

Interest earned on invested funds is not considered a contribution, but is reported as “other receipts” on Schedule 1A of the Election Finance Statement.

Offsets to Operating Expenditures

Offsets to operating expenditures, such as returns by vendors of deposits and refunds, are not considered contributions. These should be recorded on Schedule 2A of the Election Finance Statement as “disbursement adjustments.”

REPORTING CONTRIBUTIONS AND OTHER RECEIPTS

See Chapter 9 for details and examples of reporting contributions and other receipts.

Notes:

Notes:

EXPENDITURES

There are several things to keep in mind when making expenditures for the campaign. It is possible that a campaign may inadvertently violate campaign finance laws simply through oversight, rather than by any intentional act. The best way to avoid problems is to be familiar with the law and ensure that those individuals acting on behalf of the campaign understand the requirements of the campaign finance law.

What Is an Expenditure?

KRS 121.160(2)(c); KRS 121.175; KRS 121.180(3)(a)(5); 32 KAR 2:200

A campaign expenditure includes reimbursement for actual expenses, a purchase or a payment made in support of or in opposition to a clearly identified candidate. All expenditures are reportable by the campaign regardless of amount. No campaign shall permit funds in its account to be expended for any purpose other than allowable expenditures.

Allowable Expenditures

KRS 121.175; KRS 121.180(10); 32 KAR 2:200

Allowable campaign expenditures are defined by law as “expenditures including reimbursement for actual expenses, made directly and primarily in support of or opposition to a candidate.” No campaign shall permit funds in a campaign account to be expended for any purpose other than allowable campaign expenditures.

Kentucky law recognizes the following **allowable expenditures**:

- Staff salaries (including a salary for the treasurer)
- Printing
- Advertising
- Advertising services
- Necessary travel
- Office space
- Campaign paraphernalia including, but not limited to, hats, shirts, calendars, and magnets
- Postage
- Office supplies
- Equipment, purchased or rented, and used primarily for the administration of the campaign, including but not limited to copiers, computers, automobiles, facsimile machines, and similar devices
- Gifts and meals for volunteer campaign workers
- Food and beverages provided at campaign functions
- Stationery
- Communications with constituents or prospective voters
- Polling and consulting
- Graphic arts
- Newsletters
- Literature delivery services

- Phone banks
- Transportation services, including but not limited to transporting voters to the polls
- Purchases of advertisements in athletic and scholastic publications
- Tickets for any fundraising event or testimonial affair for another candidate if the amount of the purchase does not exceed \$200 per event
- Expenditures made or items donated to charitable and civic organizations such as clubs, neighborhood organizations, schools, and churches, provided that the expenditure furthers a candidacy through advertising
- Purchase of American, state, or other flags to be donated to schools, civic, or charitable organizations.

Additional Allowable Expenditures for General Assembly Members:

KRS 121.175(1)

- A member of the General Assembly may utilize funds in his or her campaign account to purchase items valued at no more than \$200 for donation at a political party function, a caucus campaign committee function, auction, or fundraiser. The total purchase of items or admission tickets should not exceed \$5,000 in one calendar year.

Expenditures That Are Prohibited

KRS 121.175; 32 KAR 2:200; KRS 121.055

Kentucky law specifically provides that the following types of expenditures are prohibited:

- Expenditures which are illegal pursuant to any other provision of Kentucky Revised Statutes
- Tickets to an event which is unrelated to a political campaign or candidacy
- Expenditures to promote or oppose a candidacy for a leadership position in a governmental, professional, or political organization, or other entity
- Equipment, devices or appliances used primarily outside the campaign
- Charitable contributions to any religious, charitable, civic, eleemosynary, or other causes or organizations established primarily for the public good
- Expenditures which would bestow a private pecuniary benefit upon the candidate, a member of the candidate's family, a member of the candidate's committee, or any of his or her paid or unpaid employees
- Expenditures to support another candidate (See information above concerning use of campaign funds to attend a fundraising event or testimonial affair.)
- Tickets for general distribution for the purpose of influencing an election, either directly or indirectly

- Items of personal property given to prospective voters which do not bear the name, likeness, or logo of a candidate or a campaign-related communication
- Dues to professional, civic, or other organizations to which the candidate belongs or desires to join
- Expenditures made to defray the costs associated with an individual's performance of his or her official duties as an officeholder
- Vote buying

ITEMS NOT CONSIDERED EXPENDITURES

Transfers of Funds for Investment

Transfers of campaign funds for investment are not expenditures. These funds must still be accounted for on the campaign's Election Finance Statement.

REVIEW OF EXPENDITURES

32 KAR 2:200

If the Registry staff, on review of a submitted Election Finance Statement, determines that a questionable expenditure has been made, the burden shall be on the campaign to prove that the expenditure was an allowable expense under KRS 121.175.

REPORTING OF EXPENDITURES

All disbursements, regardless of amount, must be recorded. Disbursements over \$25 must be made by check. Additionally, disbursements over \$25 must be itemized, showing name, address and occupation, if the payee is an individual.

See Chapter 9 for details and examples of reporting campaign expenditures.

Notes:

GENERAL PROVISIONS

AUDITS

KRS 121.120(4)(j)-(k)

The Registry is required to conduct audits of candidates running for statewide office, as well as random audits of receipts and expenditures of candidates running for other offices.

For statewide candidates, an auditor is assigned at the inception of the campaign. The auditor is not only responsible for performing the audit, but is also the candidate's direct line of communication with the Registry. The auditor can answer questions that arise during the campaign to help the candidate avoid mistakes that may result in violations of the campaign finance laws. The campaign's relationship with the auditor begins with an initial conference attended by the officials representing the campaign, and continues with audit fieldwork performed throughout the campaign.

EVENTS AND FUNDRAISER FUNCTIONS

KRS 121.180(5)

Events such as rallies, dinners, luncheons, and testimonials are considered reportable events. The entire cost to attend the event is to be reported as a contribution. The total gross receipts from the sale of tickets for such events shall be listed on Schedule 3A of the Election Finance Statement.

Additionally, the sale of items such as campaign hats and shirts and similar material must be disclosed as a fundraising event. See Chapter 9 for instructions on how to report these receipts.

FUNDRAISER PERSON

KRS 121.170(2); 32 KAR 2:070; KRS 121.015(11)

A "fundraiser" is defined in as an individual who directly solicits and receives contributions for candidates for an office in a jurisdiction with a population of more than 200,000 residents or candidates or slates of candidates for statewide office. When a fundraiser directly solicits and receives contributions for a candidate in excess of \$3,000 in an election, he or she is required to register with the Registry as a fundraiser and must file Election Finance Statements. To obtain the registration form and the campaign finance reporting form, go to the Registry's website at www.kref.ky.gov or call (502) 573-2226.

Pursuant to the administrative regulations promulgated by the Registry, the following activities will not qualify a person as a fundraiser required to register:

- Acting as a campaign treasurer
- Performing clerical functions such as receiving contributions or preparing and filing campaign finance reports
- Communicating 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

- Acting as host of a social event at one's residence or place of business, provided that the host does not directly solicit and personally receive contributions for the candidate in excess of \$3,000.

RESPONSIBILITIES UNDER THE INTERNAL REVENUE CODE

Questions about the registration, disclosure and annual tax reporting requirements of the Internal Revenue Service (IRS) should be directed, both at the start of and continuing throughout the campaign, to IRS Customer Service at 1-877-829-5500, and the caller should request assistance from an Exempt Organizations Specialist. You may also find additional information at the IRS website: <http://www.irs.gov/charities/political>.

RECORDS

Public Inspection of Reports

KRS 121.120(4)(d); KRS 121.180(8)

All reports filed by the campaign are available for public inspection and copying in the Registry's Frankfort office. Copies of reports may also be ordered by mail, and all orders are filled on a first-come, first-served basis. For more information, call (502) 573-2226. Also, check the Registry's website, as reports from many races are available for review on the Registry's Online Searchable Database.

Record Retention

KRS 121.160(2)(d)

Candidates are required to retain all receipted bills and accounts for six years from the date the last report is filed with the Registry.

Custodian of Records

The candidate must authorize someone to preserve the campaign's records for six years after the last report has been filed. The Registry should be supplied with the name, mailing address, and the phone number of the individual responsible for maintaining these records.

PROHIBITED ACTIVITIES

Solicitation of State Employees

KRS 121.150(20); KRS 121.320

Neither a candidate nor anyone acting on his or her behalf may solicit a contribution of money or services from any merit or non-merit state employee. However, a state employee may receive a solicitation directed to him or her as a registered voter in an identified precinct as part of an overall plan to contact voters not identified as state employees. In other words, you may not target state employees when soliciting campaign contributions.

Vote Buying

KRS 121.055

Vote buying is strictly prohibited. No candidate for nomination or election to any office shall expend, pay, promise, loan or become liable in any way for money or anything of value to any person in consideration for his or her vote.

POLITICAL ADVERTISING RATE

KRS 121.065(1)

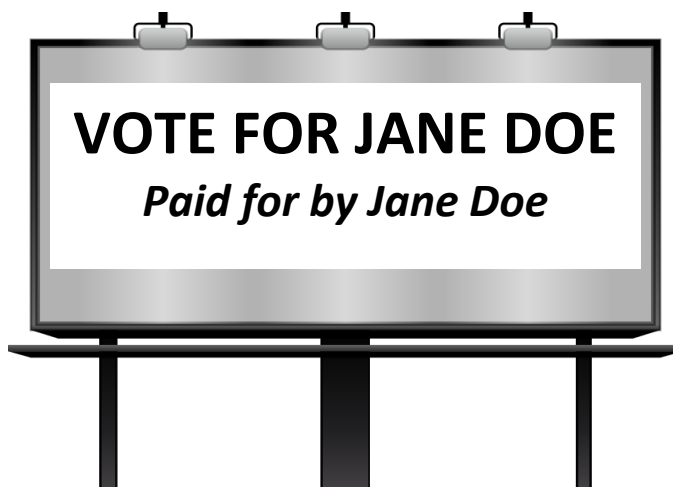
Entities that sell advertising space or time to the public, such as newspaper and magazine publishers, owners or lessors of billboards, and radio and television stations, may not charge fees for political advertising that are not comparable to those charged to other advertisers.

DISCLAIMERS

KRS 121.190(1); 32 KAR 2:110

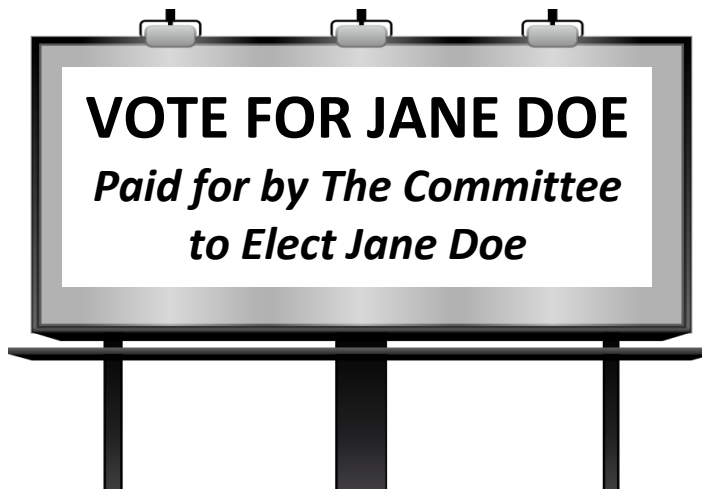
All newspaper or magazine advertising, posters, circulars, billboards, handbills, sample ballots and paid for television or radio announcements which expressly advocate the election or defeat of a clearly identified candidate or group of candidates for nomination or election to any public office shall be identified by the words “paid for by” followed by the name and address of the individual or committee which paid for the communication; except that if paid for by a candidate, slate of candidates, or campaign committee, it shall be identified only by the words “paid for by” followed by the name of the candidate, slate of candidates, or campaign committee, whichever is applicable.

Printed communications that must contain a disclaimer include newspaper or magazine advertising, posters, circulars, billboards, yard signs, handbills, and sample ballots. Internet communications are not addressed in current regulations, but to avoid confusion, the Registry recommends that disclaimers be used on all internet communication as well. For television and radio broadcasts, compliance with the Federal Communication Commission’s regulation regarding sponsored programs and broadcasts by candidates for public office shall be considered in compliance with this section. See 32 KAR 2:110 for further information. The following examples provide the required wording for disclaimers in printed materials:



Printed advertising and communications paid for by *Jane Doe’s campaign* would contain the following disclaimer: **Paid for by Jane Doe**

If Jane Doe’s campaign has registered a committee named “Committee to Elect Jane Doe”, the disclaimer for printed advertising and communications paid for by the Committee on behalf of Jane Doe’s campaign would read: **Paid for by The Committee to Elect Jane Doe**



The following disclaimer, would **NOT** be in compliance with the statute, and should **NOT** be used:

Paid for ~~by~~ Candidate

If someone other than Jane Doe’s campaign or committee pays for the communication, the disclaimer must contain the **name and address** of the individual or group that paid for the ad. The disclaimer in this example would read as follows:

Paid for by
John Smith, 700 Walnut Street, Frankfort, KY 40601
OR
Paid for by Franklin County Democratic Executive Committee
300 Frankfort Avenue
Frankfort, KY 40601

Items Exempted

32 KAR 2:110

The Registry has exempted certain items from the disclaimer requirement, including balloons, calling cards, emery boards, bumper stickers, matchbook covers, pencils, shirts, and caps. Any calling card smaller than 3 ½ x 5 inches does not require a disclaimer. (This list is an example for candidate guidance and does not include all items which may be exempted.)

Multiple page mailings will be considered in substantial compliance if at least one page of the mailing includes a disclaimer.

Envelopes stamped with a return address which includes the name of the candidate or campaign committee indicating that the candidate is seeking election to public office shall not be required to include a disclaimer, provided that at least one piece of the envelope's contents includes a disclaimer.

There is no specific location for the disclaimer to be printed and no specific font size that must be used.

QUESTIONS COMMONLY ASKED BY CANDIDATES

I paid my filing fee for office with my own personal funds. How do I report that on the Election Finance Statement?

The filing fee may be reimbursed to the candidate from the campaign bank account. The reimbursement should be shown as a disbursement on Schedule 2A of the Election Finance Statement. Some people, however, believe they were not a candidate for office until after the fee was paid. Therefore, they do not include the fee as an expense of the campaign. Either option is acceptable.

May a member of the General Assembly receive any contributions while the legislature is in session?

This question falls under the jurisdiction of the Legislative Ethics Commission. You should contact the Legislative Ethics Commission directly. See Appendix A.

May I hold a raffle in order to raise funds?

A "raffle" is defined by KRS Chapter 238 as a form of "charitable gaming" under the jurisdiction of the Department of Charitable Gaming. Under current Kentucky law, charitable gaming can only be conducted to benefit common schools or organizations that qualify as charitable organizations under the Internal Revenue Code. Political campaigns and committees are not charitable organizations under the Internal Revenue Code. Instead they are political organizations. For these reasons, a campaign or committee acts in violation of Kentucky law by holding a "raffle" to collect campaign contributions. A "raffle" is distinguishable from a "door prize" in that a person must pay for the chance to win an item in a "raffle", as opposed to anyone in attendance at an event having the opportunity to win a "door prize". You may call the Department of Charitable Gaming at (502) 573-5528 for further information.

May I accept a contribution I received in the mail after the date of the election?

Candidates may accept contributions after the date of the election. The treasurer will need to determine if the contribution is for the current election, or if the contribution should be attributed to the next election for the candidate.

May a candidate be a radio personality and continue doing a radio show once he or she becomes a candidate? Does the radio have to give equal time to other candidates?

The Federal Communications Commission should be contacted. See Appendix A.

For additional frequently asked questions, you may visit the Agency's website at:
www.kref.ky.gov

Notes:

TREASURER DUTIES

REPORTING & RECORD KEEPING

One of the primary purposes of the Kentucky campaign finance laws is to provide public information about the financing of political campaigns. Political campaigns and political committees are required to file periodic reports with the Registry of Election Finance. The source of contributions to the campaigns or committees must be disclosed, as well as the amount given, the occupation and employer of each contributor, whether the money was from a fundraising event, and how the money was spent.

The key to complying with the reporting requirements is to keep detailed records of each contribution and expenditure.

Before attempting to complete any campaign finance forms, a thorough review of this Guide is necessary.

NEW TREASURER

KRS 121.160(4)

If the campaign treasurer is removed, dies or resigns, the candidate must, within three days after receiving notice thereof, appoint a new treasurer and file the name and address of the new treasurer with the Registry. A candidate shall be accountable as his or her own treasurer if he or she fails to meet this filing requirement.

DUTIES OF THE TREASURER

KRS 121.160; 121.170(3)

The selection of a campaign treasurer is an extremely important decision, not only because he or she plays such an integral role in the campaign, but also because the candidate or slate of candidates may ultimately be held responsible for the acts or omissions of the treasurer. An individual who accepts the responsibility of being a treasurer should be aware of the penalties that may be imposed for failure to file campaign finance reports and failure to file complete and accurate reports. It is an important responsibility and should be taken seriously.

The duties of the campaign treasurer are set out by KRS 121.160. The treasurer is charged with the responsibility for depositing all contributions into the campaign account, keeping detailed records of contributions, monitoring compliance with contribution limits, and making or authorizing all expenditures. The treasurer is also responsible for complying with all reporting requirements and maintaining all campaign records.

Keeping and maintaining complete records of the campaign from start to finish is essential for a successful campaign. The lack of good records may lead to unnecessary time and effort in looking for records at critical times in the campaign. In deciding what kind of recordkeeping system to implement, the treasurer should keep in mind that the Kentucky campaign finance laws place great emphasis upon complete and full disclosure of campaign finance information. Any system that is designed must be done with this in mind.

KRS 121.160 provides that the duties of a treasurer are as follows:

- Open a bank account and designate that account “Campaign Fund of (Name of Candidate, Slate of Candidates, or Committee).”
- Deposit all contributions into the campaign depository account, including the candidate’s own personal funds, which may be designated as loans to the campaign.
- Keep detailed records of ALL contributions. One of the best ways to accomplish this is to keep copies of each contribution check received or electronic receipts. For contributions in excess of \$100, record the name, address, employer, and occupation of each contributor, or if self-employed, the name under which the contributor is doing business. Be specific in listing the occupation of the contributor. A general classification such as “businessman” is insufficient. (Candidates seeking a statewide office are also required to list the contributor’s spouse by name, occupation and employer.)
- Keep detailed records of ALL contributions from Permanent Committees (PACs). The law requires itemization of all PAC contributions regardless of amount. The treasurer is also required to report the major business, social, or political interest represented by each PAC.
- Keep detailed records of ALL contributions from Caucus Campaign Committees and Executive Committees. Contributions over \$100 must be itemized; however, all contributions from Caucus Campaign Committees and Executive Committees must be accounted for separately from other receipts.
- Make or authorize all expenditures on behalf of the campaign from the campaign’s account. Expenditures in excess of \$25 must be made by check, debit card or electronic transfer. Records and reports must indicate the name, address, and occupation of every payee, as well as the date, amount, and purpose of the expenditure. Be sure to keep a receipted bill for each of the expenditures.
- Maintain all records, including receipts and bills, for six years from the date the last report is filed.
- Avoid making a payment to someone not directly providing goods or services to the committee. Payments made in the attempt to conceal payment to someone else are strictly prohibited.
- Prepare and file separate reports for each candidate, if serving as a treasurer for more than one candidate.

Often, treasurers for candidates are professional bookkeepers or certified public accountants who volunteer their professional services as treasurers. However, corporate assets belonging to the treasurer’s employer are not allowable contributions. Therefore, any use by the treasurer of corporate assets should be billed to the campaign and paid for with campaign funds. 32 KAR 2:170

CAMPAIGN BANK ACCOUNT**KRS 121.220**

The first duty of a campaign treasurer is to designate a bank depository in which the primary campaign account will be maintained. Only a financial institution authorized to do business in Kentucky may be

designated as a campaign depository. The account should be designated as “Campaign Fund of (Name of Candidate, Slate of Candidates, or Committee).” A campaign depository must be designated before receiving or spending any money for the campaign.

The treasurer is urged to contact the Internal Revenue Service prior to opening a bank account. *See pages 38, 44 and 93.*

It is recommended that the campaign open an account at a bank that provides copies of cancelled checks with their monthly statement either in printed or electronic format. It may save the campaign the extra expense of paying for check copies that may be needed at a later date. The campaign’s account balance should be reconciled to the campaign finance reports regularly.

REPORTING FORMS

KRS 121.120(4)

Reporting forms (Election Finance Statement - KREF 006) may be obtained from the Registry’s website (www.kref.ky.gov) or by contacting the Registry to have the forms mailed.

All forms may be typed, printed, or computer generated, as long as the forms are legible. **Campaigns submitting illegible documents will be required to resubmit a legible copy.** The campaign must file the original document with the Registry. The treasurer should keep a copy of the completed Election Finance Statement for the campaign’s records.

Note:

The forms may be duplicated as needed. If forms are computer generated, you must use the same format as the Registry’s forms on 8 1/2 x 11 paper. The report must be legible and printed in a font size that can be easily read.

ELECTRONIC REPORTING

KRS 121.120(6); KRS 121.180(11)-(18); 32 KAR 2:220

KRS Chapter 121 permits electronic reporting of campaign finance data, and the Registry encourages this filing option for candidates. In addition, statewide candidates are required to electronically report their campaign finances. Candidates who wish to report electronically should consult the Registry’s website at www.kref.ky.gov. The website provides information about how to get started reporting electronically.

REPORTING PERIOD

KRS 121.180(3)

Each Election Finance Statement covers activity during a specific time period. Each report begins where the last report ends. There should never be gaps between the periods covered and there should not be an overlap of time periods. See Chapter 8 for the reporting schedules.

RECORDS OF CONTRIBUTIONS/RECEIPTS

KRS 121.160(2)

The procedure for recording contributions received should enable the treasurer to maintain a continuing total of all contributions received, as well as a cumulative total received from any one contributor. KRS Chapter 121 requires that detailed records of all contributions be kept.

Accepting Contributions

Remember that all contributions must be recorded in the campaign's records. Contributions exceeding \$100 in the aggregate per election are reported on Schedule 1A, Itemized Receipts of the Election Finance Statement, or as cash, anonymous or unitemized receipts on Schedule 1B of the Election Finance Statement.

What Does it Mean to Itemize”?

The term “itemize” used in this guide means to fully disclose the name and address of the contributor, date of the contribution, amount of contribution, type of receipt, and the specific occupation and employer for each contributor, or the name under which the contributor is doing business, if the contributor is self-employed. Statewide candidates must also provide the contributor's spouse's name, occupation and employer. If the contributor is a PAC, the political interest represented by the PAC must be given.

What Does Aggregate” Mean?

KRS 121.180(3)(a)(2)

The term “aggregate” used in this guide indicates a campaign has to keep a running total of all contributions from an individual or organization on a per contributor, per election basis. When a contributor's total aggregate contributions exceed \$100 in an election, the campaign must itemize the contribution by providing the required contributor information. In addition, all PAC receipts must be itemized regardless of amount.

Required Contributor Information – Itemized Contributors

1. Name of Contributor
2. Address of Contributor
3. Date of Contribution
4. Amount of Contribution
5. Type of Receipt
6. Specific occupation or Employer (or name under which the contributor does business)
7. Contributor's spouses' name, occupation and employer (for statewide candidates only)

Sample Campaign Contribution Card

This sample contribution card is suggested for use by candidates to gather contributor information required by law for itemized contributors. The same information is required in the event contributions are received electronically.

Campaign Contribution Card	
<i>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.</i>	
Make checks payable to <u>Joe Candidate Campaign Fund</u>.	
Return this card with your contribution.	
Maximum contribution allowable is \$2,000	Maximum cash contribution is \$100
Corporate contributions are <u>prohibited</u>	
<hr/>	
Contributor's Name	
<hr/>	
Address	
<hr/>	
City, State, Zip	Phone
<hr/>	<hr/>
Occupation	Employer (Name of Business if self-employed)
<hr/>	<hr/>
Amount of Contribution: \$ _____ Date: _____	
Have you made other contributions this election? <input type="checkbox"/> Yes If yes, how much \$ _____ <input type="checkbox"/> No	
<input type="checkbox"/> I am looking forward to attending the upcoming fundraiser to support your candidacy.	
<input type="checkbox"/> Number of people who will be attending with my party.	

Each Candidate should create a form with the above listed information for recordkeeping purposes. Statewide candidates must also obtain the contributor's spouse's name, occupation and employer.

Identifying Contributions of \$100 or Less

KRS 121.160(2)(b)

Campaign finance law does not require the treasurer to itemize contributions of \$100 or less. However, internal campaign records must be maintained to identify the sources of contributions as they occur in order to aggregate each individual or organization contribution with subsequent contributions by that particular individual or organization. (Contributions to campaigns are aggregated on a per contributor, per election basis for the purpose of monitoring contribution limits.)

Identifying Contributions Exceeding \$100

KRS 121.160(2)(b)

For contributions by any individual or organization which exceed \$100 in the aggregate, the treasurer's records must identify the contributor by name, address, age if under 18, occupation and employer of the contributor, or if the contributor is self-employed, the name under which the contributor is doing business, along with the date and amount of the contribution. **Be specific** in listing the contributor's occupation. If the contributor is self-employed, list the name under which the contributor is doing business. For example, the use of a general classification such as "businessman" or "businesswoman" is insufficient. Statewide candidates must also provide the contributor's spouse's name, occupation and employer. Additionally, for each in-kind contribution, the treasurer should keep a record of the value of the item or service and a brief description.

Aggregating Monetary and In-kind Contributions

KRS 121.150(6)

Monetary and in-kind contributions are aggregated for the purpose of applying the contribution limits. Whenever a dollar amount is mentioned, it refers to the aggregate of any combination of monetary and non-monetary contributions.

Identifying Contributions from PACs

KRS 121.180(3)(a)(1)

Keep detailed and exact accounts of contributions of any amount made to the campaign by a PAC. Your reports should disclose the name of the PAC, its address, date of the contribution, amount contributed, and a description of the major social or political interest represented by the PAC. You may refer to the Registry's list of registered PACs available at www.kref.ky.gov to obtain detailed information about a PAC registered in Kentucky. *(See our website at www.kref.ky.gov for the most recent list.)*

Joint Contributions

KRS 121.150(6)

A joint contribution is a contribution that is made by more than one person using a single check or other written instrument. It is acceptable, however, only if the check is drawn on a joint bank account and each person to whom the contribution is to be attributed has signature authority on the joint bank account. While it is preferable for each joint owner to write and sign his or her own contribution check, two or more individuals may each make a contribution using one check drawn on a joint account.

When making a joint contribution, each contributor must sign the check (or other written instrument) or a statement that accompanies the contribution check. If the check or statement does not indicate how much should be attributed to each donor, the campaign should attribute the contribution in equal portions.

The campaign should retain any statement that accompanies a joint contribution. If the designation appears on the face of the check itself (or other written instrument), the campaign should retain a photocopy or electronic copy of the check or other written instrument.

Note that a joint contribution must represent the personal funds of each donor because contributions made in the name of another are prohibited. The campaign should immediately return a joint contribution check in excess of the individual contribution limit, if the check is not signed by more than one joint owner, or is not accompanied by any other written record indicating to whom the contribution should be attributed.

Contributions from Spouses

KRS 121.150(12), KRS 121.150(22)

A husband and wife each have a separate contribution limit. A couple may transmit a contribution via one check drawn on a joint bank account (for example, a check for \$4,000 for an election), as long as both sign the check or an attached statement. *See “Contributions by Married Couples” on page 23 for additional information.*

Remedying an Excessive Contribution

Accepting a contribution in excess of the contribution limit is a violation. When a campaign receives an excess contribution, one that exceeds the donor’s aggregate limit for the election, the campaign should return the contribution before depositing it into the campaign bank account if possible. The campaign should keep a written record or photocopy of each returned contribution for its records.

If the contribution check has been deposited, the campaign must report it. The campaign should immediately refund the excess amount and report the refund as a “receipts adjustment.” If the contribution is in the form of a check drawn on a joint account, the campaign may seek a reattribution of the contribution between the owners of the joint account. *See the discussion on joint contributions on the previous page.*

A prohibited contribution received by a campaign shall not be considered “accepted” so long as the contribution is refunded by the candidate or committee within thirty (30) days from the date of deposit and the campaign does not otherwise spend or obligate the funds based on the deposit. See 32 KAR 2:130.

Unwanted Contributions

When a campaign receives an unwanted contribution, the contribution should be returned to the donor without depositing it. If the campaign returns the check without depositing it, the contribution does not have to be reported. The campaign should keep a written record or photocopy of each returned contribution. If the contribution is deposited in the campaign’s account, it must be reported and the refund shown as a “receipts adjustment.”

Refund of a Contribution

When a campaign refunds a contribution to a donor, the campaign must report the refund as a “receipts adjustment” rather than as a campaign expenditure (also known as a negative receipt). If the campaign did not itemize the receipt on a previous report, it subtracts the amount of the refund from the total for the appropriate category of receipts (i.e., unitemized, cash or anonymous). The reduced total is entered on the Summary Page.

If the campaign previously itemized the receipt, it itemizes the refund as a negative entry on the appropriate Receipts Schedule.

Checks Returned Due to Insufficient Funds

If the campaign reports the receipt of a check and later finds it cannot be negotiated because of insufficient funds in the donor's account, the campaign should deduct the amount of the check on its next report. If the campaign did not itemize the receipt on a previous report, it subtracts the amount of the check from the total for the appropriate category of receipts (i.e., unitemized). The reduced total is entered on the Summary Page. If the campaign previously itemized the receipt, it itemizes the return of the check as a negative entry on the appropriate Receipts Schedule.

Investments

Invested funds are included in the amount of cash on hand. The campaign should not report any investment as an expenditure, since the money is still an asset. A campaign must report interest income received during the reporting period in the "Other Receipts" category.

REPORTING THE EXPENSES OF THE CAMPAIGN

Treasurer's Responsibility

KRS 121.160(2)(c); KRS 121.220(1)

It is the treasurer's duty, by law, to make or authorize all expenditures on behalf of the campaign and only from funds which have first been deposited into the campaign account.

Reporting Expenditures

KRS 121.160(2)(c)

Each expenditure must be reported on Expenditures Schedule 2 regardless of the amount of the expenditure. For expenditures over \$25, the report must disclose the name, address, and occupation of the payee, and the date, purpose and amount of the expenditure. For expenditures of \$25 or less, the report must disclose the purpose, date and amount of each expenditure.

Expenditures by Check

KRS 121.160(2)(c); KRS 121.170(3); KRS 121.180(3)(a)(5); 32 KAR 2:200

The campaign treasurer must make all expenditures from the campaign account. All expenditures must be recorded and the report must disclose the date, amount and purpose of the expenditure. If the expenditure is over \$25, it must be paid by check, debit or electronic transfer, and in addition to the date, amount and purpose, the campaign must report name, address and occupation of the payee. It is recommended that all expenditures be made by check from the campaign account. Also see "Vote Hauling," page 52.

For each expenditure the campaign makes, it must maintain a receipt, invoice, statement, or contract to support it. The campaign must retain these documents for six years from the date the campaign files its last report for any given election.

OTHER EXPENDITURES**Joint Expenditures**

KRS 121.160(2)(e)

If advertising is purchased in conjunction with another campaign or organization, each campaign or organization must pay for its share of the cost with a separate check, rather than one campaign or organization paying for the total cost and being reimbursed by the other campaign or organization. This method of paying for joint advertising ensures that the campaign complies with KRS 121.160(2)(e). The campaign should maintain an invoice, receipt, contract, or other documentation to support its respective share of shared advertising costs.

Expenditure Adjustments

Refunds received on deposits (such as telephone and other utility deposits), refunds received from overpayment of bills, and the proceeds from the liquidation of committee property (such as office furnishings and equipment) are considered offsets to operating expenditures.

Offsets to operating expenditures are reported as “expenditure adjustments” on Schedule 2A in the period in which the refunds or proceeds are received.

Expenditures for Multiple Purposes

KRS 121.160(2)(e); 32 KAR 2:200

If a single purpose does not fully and clearly describe the services rendered or goods purchased, and space on the reporting form does not allow for a complete description, the campaign should attach supplemental information to its report.

For example, payments made on behalf of the campaign by an agent hired by the campaign (i.e., advertising agency, consultant, credit card expenses) must be fully disclosed on the campaign’s reports, even though the actual payment was made by the agent. When listing payments to “campaign workers,” identify what service was provided (i.e., campaign literature distributed, signs put up or removed, canvassing, or vote hauling).

Invoices for Expenditures

KRS 121.120(4)(j); KRS 121.120(4)(k); KRS 121.160(2)(d)

The treasurer should not make any expenditure without an invoice or receipt provided by the person to whom the payment is to be made. The invoices and receipts are to be maintained by the treasurer and made available for reasonable inspection and auditing by the Registry.

Reimbursements

KRS 121.160(2)(e)

To the extent possible, all expenses of the campaign should be approved in advance of incurring the expense, and the vendor should be paid directly. The law contains specific language prohibiting the treasurer from making a payment to someone not directly providing goods or services to the campaign in an attempt to conceal a payment to someone else.

If a member of the campaign or the candidate uses personal funds for campaign-related expenditures, the campaign treasurer should require the original receipts and invoices obtained by that individual to be submitted at the time the campaign reimburses the individual.

Vote Hauling

KRS 119.205(5); 32 KAR 2:200

The law requires that all payments to persons transporting voters on election day are to be made by check, regardless of the amount paid to each individual. The campaign must pay each person directly and individually who transports voters. Lump sum payments to third parties for distribution to transporters are not acceptable. Each person paid for transporting voters to the polls must be reported as an expenditure by name, address, and occupation.

EVENTS

KRS 121.180(5)

The Events Schedule 3A is used to report fundraising and other campaign events. If the event raises funds, the total gross receipts from each event, as well as any expenses, must also be reported.

Events include rallies, dinners, luncheons and testimonials. The entire cost to attend the event is considered a contribution.

The sale of items such as hats, shirts and similar materials must be disclosed as an event. The entire purchase price of the item is considered a contribution.

DEBTS AND OBLIGATIONS**Loans**

All loans received by the campaign from individuals or a bank must be itemized and continuously reported until repaid. A candidate may loan an unlimited amount of personal funds to his or her own campaign. Loans are reported on the Itemized Receipts Schedule 1A and on the Debts and Obligations Schedule 4A of the Election Finance Statement.

Initial Receipt of a Loan

The campaign must report the receipt of a loan as an "Other Receipt." This is recorded on the Itemized Receipts Schedule 1A, and also must be recorded on the Debts and Obligations Schedule 4A of the Election Finance Statement.

Loan Repayments

A repayment of a loan is not recorded as an expenditure. It is recorded as a "receipts adjustment" on the Itemized Receipts Schedule 1A and should also be reflected on the Debts and Obligations Schedule 4A of the Election Finance Statement (for the life of the loan) . Payments to reduce the principal on a loan must be itemized, regardless of the amount.

Debts Other Than Loans

KRS 121.180(3)(a)(5)

Campaign finance law requires that all expenditures “authorized, incurred, or made” be reported. Agreements to make expenditures should be reported as estimated obligations until actual payment is made. A contract for services (for example, a contract for radio advertising) constitutes an agreement to make an expenditure and should be reported as a debt until paid.

Debts Owed by the Campaign

An Election Finance Statement is incomplete if it fails to include debts the campaign is obligated to pay but, for whatever reason, has not paid as of the date the Election Finance Statement is filed.

SUMMARY PAGE - BALANCE STATEMENT

When all schedules have been completed, the grand totals from each schedule must be transferred to the Summary Page.

Internal records should be maintained in a manner that will enable the treasurer to easily transfer “Receipts In Currency,” “Anonymous,” and “Unitemized Contributions” to the Summary Page.

Copies of the campaign’s previous reports must be maintained in order to complete Column II, Cumulative This Election.

With the exception of deposits in transit and checks that have not cleared the campaign account, the ending balance should reconcile with the bank records.

TREASURER’S DILIGENCE KEY TO AVOIDING VIOLATIONS

32 KAR 2:130

Best practice involves the Treasurer’s due diligence in reviewing all contribution instruments before deposit to ensure the contribution is not prohibited as excessive or corporate in nature. This saves the campaign the time and trouble of refunding a campaign contribution and subsequently reporting the transaction.

If, however, the campaign finds that prohibited contributions have been deposited into the campaign account, so long as a campaign quickly and expediently reviews its deposited contributions, does not obligate or otherwise spend funds based on the deposit, and makes any necessary refund within thirty (30) days from the date of deposit, the mere act of making the initial deposit of a prohibited contribution does not constitute acceptance of the contribution in violation of KRS 121.150. However, all contributions and refunds must still be reported on duly filed election finance statements.

Notes:

FILING REPORTS

WHERE TO FILE REPORTS

Election Finance Statements are to be filed with the Registry of Election Finance, 140 Walnut Street, Frankfort, Kentucky 40601. Retain a copy for your records. You may file documents with the Registry by any of the following methods:

MAIL:

Reports may be mailed. The report must be received in the Registry's office on or before the "Report Due" date to be considered timely.

FAX:

Reports may be faxed to the Registry at (502) 573-5622 or (502) 573-0275, to be received timely by no later than the "Report Due" date. **The original must still be submitted either by mail or hand-delivered, if not electronically filed.** It is recommended that you keep a copy of the transmission report showing that the fax was sent successfully.

ELECTRONIC TRANSMITTAL:

Reports electronically filed with the Registry are to be received no later than the "Report Due" date to be considered timely. It is recommended that you keep a copy of the email showing that the electronic file was successfully received by the Registry.

HAND-DELIVERED:

Hand-delivered reports should be delivered between the hours of 8:00 a.m. to 4:30 p.m., Monday through Friday, by no later than the "Report Due" date to be considered timely.

WHEN TO FILE REPORTS

Reporting Period

32 KAR 2:100

Each report covers activity during a specific time period. Generally, a report begins where the last report ended. There should never be gaps between the periods covered. For each report filed, the beginning balance must be the same as the ending balance of the previous report. The treasurer should also reconcile the reported ending balance to the campaign's bank balance before the report is filed.

Exception: For successful candidates in the Primary, the 30-day and 60-day Post-Primary reporting period will overlap with the 60-day Pre-General reporting period. The primary campaign may still have outstanding debts to pay and report on the 30-day and 60-day post reports. At the same time, the campaign may begin accepting contributions and making *new* expenditures for the general election. Receipts received and new expenditures made for the general election are to be reported on the 60-day Pre-General Report - not the 30-day or 60-day Post Primary Report.

Reporting Schedule

KRS 121.180

The number of campaign finance reports a candidate is required to file is based on the spending option (KREF 001) elected by the campaign and the actual amount of funds raised and spent. There is a “**Period Ends**” date which is the cutoff date for your report and then there is a 5 day “Grace Period” or “**Report Due**” date in which all reports must be received by the Registry. **Postmarked dates no longer matter!** Use the reporting schedules beginning on page 59 to determine the candidate’s “Report Due” date.

See Reporting Dates on pages 59-62.

Individuals who notify the Registry in a year preceding the election of the intent to become candidates shall be required to file quarterly campaign finance statements until the year that office will appear on the ballot. In the year of the election, the candidates will file campaign finance statements required for the current election based on the indicated spending option selected on the KREF 001 form. KRS 121.180(3)(b).

Supplemental Reporting – 60-Day Post-Election

KRS 121.180(7); 32 KAR 2:100

If a candidate’s 30-day post-election report shows an unexpended balance or outstanding debt, he or she is required to file a supplemental report within 60 days after the election.

The Registry has promulgated an administrative regulation (32 KAR 2:100) to simplify the candidate’s bookkeeping and reporting as explained below.

If you are a successful primary candidate and you will be going on to run in the general election, you should close out your primary reporting as follows:

- Pay all the bills.
- Indicate any expenditures made on your supplemental report, show any remaining debts you owe, and sign the “Certificate of Debt Assumption” at the bottom of Schedule 4A of the Election Finance Statement.
- When you file your first report for the general election, indicate any remaining balance of funds you have transferred from the primary to the general election.
- Any expenses incurred or contributions received after the date of the primary should be reflected on your 60-day pre-general election report rather than on your 60-day post-election supplemental. (Note: reporting periods overlap)
- Any expenses incurred after the date of the primary election that are primary election expenses should be reflected on your primary 30-day or 60-day post-election finance statement. Any expenses incurred after the date of the primary election that are general election expenses should be reflected on your 60-day pre-general election finance statement rather than on your 60-day post-primary election supplemental finance statement. (Note: reporting periods overlap)

-
- Any contributions received after the date of the primary election should be reflected on your 60-day pre-general election finance statement, unless the face of the check or accompanying check documentation indicates that the contribution should be attributed to the primary.

If you are a *candidate* and your 30-day post-election finance statement shows an unexpended balance of funds or outstanding debt, you are required to file a supplemental report within 60 days after the election.

For disposition of unexpended campaign funds, see Chapter 10 page 81.

Annual Reporting

KRS 121.180(7)

If a candidate's 60-day post-election report shows an unexpended balance of funds or outstanding debt, he or she is required to file subsequent supplemental reports annually, to be received not later than five (5) business days after the report ending date of December 1st of each year until the account shows no unexpended balance of funds or outstanding debt.

RECONCILING THE BANK ACCOUNT

Every effort should be made to reconcile the bank statement with the Election Finance Statements as soon as possible. Record any miscellaneous charges, such as bank service charges, on the Election Finance Statements as expenditures. Record any interest earned as an "other receipt."

The balance on a bank statement is always reconcilable to the balance on the Election Finance Statement, and the treasurer should exercise due diligence to ensure that the Election Finance Statement is reconciled to agree with the bank statement.

FILING AMENDMENTS

The campaign must file an amended report if it discovers that an earlier report contained erroneous or incomplete information. The campaign should not wait until the next reporting period to file an amendment. Amended reports should be filed as soon as the error is discovered, or as soon as any previously missing information is available. In addition to penalties for the failure to timely file reports, the law also provides penalties for filing inaccurate or incomplete reports.

When filing an amended report, the campaign should indicate on the cover page of the report that the document is an amended report. The campaign should file a corrected version of the schedule(s) that contained the incomplete or incorrect information.

See sample Election Finance Statement beginning in Chapter 9.

2018 - Reporting Dates for Candidates, Campaign Committees, Caucus Campaign, Permanent (PACs), Executive, Inaugural, and Unauthorized Campaign Committees and Contributing Organizations

Primary Election Filing Deadline: January 30, 2018

Deadline to Designate or Rescind Statement of Spending Intent for the 2018 Primary Election: February 14, 2018

05/22/2018 Primary Election	Period Ends	Report Due*	Due From
30-day pre-Primary report	04/22/2018	04/27/2018	All candidates who elect to raise/ spend over \$3,000 for the 2018 Primary Election and Campaign Committees and Unauthorized Campaign Committees
15-day pre-Primary report	05/07/2018	05/14/2018	
30-day post-Primary report	06/21/2018	06/28/2018	All candidates who elect to raise/ spend over \$3,000 for the 2018 Primary Election and Campaign Committees and Unauthorized Campaign Committees
60-day post-Primary report	07/21/2018	07/27/2018	All candidates with debt and/or surplus remaining on the 30-day post-Primary Election report and Campaign Committees and Unauthorized Campaign Committees
<p>General Election Filing Deadline for Independents and minor-party candidates: April 2, 2018</p> <p>Primary Election Winners – Deadline to Designate or Rescind Statement of Spending Intent for 2018 General Election: June 18, 2018</p> <p>General Election Filing Deadline for candidates with no Primary Election per KRS 118.365: August 14, 2018</p> <p>Deadline to Designate or Rescind Statement of Spending Intent for the 2018 General Election for candidates who were exempted from the Primary Election by KRS 118.365: August 29, 2018</p> <p>Earliest Date for Candidates to File for Offices in 2018 for 2019 (KREF-001), November 7, 2018</p>			
11/06/2018 General Election	Period Ends	Report Due*	Due From
60-day pre-General report	09/07/2018	09/14/2018	All candidates who elect to raise/ spend over \$3,000 for the 2018 General Election and Campaign Committees and Unauthorized Campaign Committees
30-day pre-General report	10/07/2018	10/15/2018	
15-day pre-General report	10/22/2018	10/29/2018	
30-day post-General report	12/06/2018	12/13/2018	All candidates who elect to raise/ spend over \$3,000 for the 2018 General Election and Campaign Committees and Unauthorized Campaign Committees
60-day post-General report	01/05/2019	01/11/2019	All candidates with debt and/or surplus remaining on the 30-day post- General Election report and Campaign Committees and Unauthorized Campaign Committees
1 st Quarter report	03/31/2018	04/06/2018	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 and State Executive Committee Building Funds and Contributing Organizations
2 nd Quarter report	06/30/2018	07/09/2018	
3 rd Quarter report	09/30/2018	10/05/2018	
4 th Quarter report	12/31/2018	01/08/2019	
1 st Semi-Annual	06/30/2018	08/07/2018	All Executive Committees and Caucus Campaign Committees for the reporting period 01/01/2018-06/30/2018
2 nd Semi-Annual	12/31/2018	02/07/2019	All Executive Committees and Caucus Campaign Committees for the reporting period 07/01/2018-12/31/2018
Annual	12/01/2018	12/07/2018	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 2018 General Election.

*ALL REPORTS MUST BE RECEIVED BY THE REGISTRY ON OR BEFORE THE LAST DAY OF THE REPORT DUE DATE.
POSTMARKED DATES WILL NO LONGER MATTER!

2019 - Reporting Dates for Candidates, Campaign Committees, Caucus Campaign, Permanent (PACs), Executive, Inaugural, and Unauthorized Campaign Committees and Contributing Organizations

Primary Election Filing Deadline: January 29, 2019
Deadline to Designate or Rescind Statement of Spending Intent for the 2019 Primary Election: February 13, 2019

05/21/2019 Primary Election	Period Ends	Report Due*	Due From
30-day pre-Primary report	04/21/2019	04/26/2019	All candidates who elect to raise/ spend over \$3,000 for the 2018 Primary Election and Campaign Committees and Unauthorized Campaign Committees
15-day pre-Primary report	05/06/2019	05/13/2019	
30-day post-Primary report	06/20/2019	06/27/2019	All candidates who elect to raise/ spend over \$3,000 for the 2018 Primary Election and Campaign Committees and Unauthorized Campaign Committees
60-day post-Primary report	07/20/2019	07/26/2019	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, 2019 Primary Election Winners – Deadline to Designate or Rescind Statement of Spending Intent for 2019 General Election: June 17 2019 General Election Filing Deadline for candidates with no Primary Election per KRS 118.365: August 13, 2019 Deadline to Designate or Rescind Statement of Spending Intent for the 2019 General Election for candidates who were exempted from the Primary Election by KRS 118.365: August 28 2019 Earliest Date for Candidates to File for Offices in 2019 for 2020 (KREF-001), November 6, 2019			
11/05/2019 General Election	Period Ends	Report Due*	Due From
60-day pre-General report	09/06/2019	09/13/2019	All candidates who elect to raise/ spend over \$3,000 for the 2018 General Election and Campaign Committees and Unauthorized Campaign Committees
30-day pre-General report	10/06/2019	10/11/2019	
15-day pre-General report	10/21/2019	10/28/2019	
30-day post-General report	12/05/2019	12/12/2019	All candidates who elect to raise/ spend over \$3,000 for the 2018 General Election and Campaign Committees and Unauthorized Campaign Committees
60-day post-General report	01/04/2020	01/10/2020	All candidates with debt and/or surplus remaining on the 30-day post- General Election report and Campaign Committees and Unauthorized Campaign Committees
1 st Quarter report	03/31/2019	04/05/2019	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 and State Executive Committee Building Funds, and Contributing Organizations
2 nd Quarter report	06/30/2019	07/08/2019	
3 rd Quarter report	09/30/2019	10/07/2019	
4 th Quarter report	12/31/2019	01/08/2020	
1 st Semi-Annual	06/30/2019	08/07/2019	All Executive Committees and Caucus Campaign Committees for the reporting period 01/01/2019-06/30/2019
2 nd Semi-Annual	12/31/2019	02/07/2020	All Executive Committees and Caucus Campaign Committees for the reporting period 07/01/2019-12/31/2019
Annual	12/01/2019	12/06/2019	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 2019 General Election.

*ALL REPORTS MUST BE **RECEIVED** BY THE REGISTRY ON OR BEFORE THE LAST DAY OF THE REPORT DUE DATE.
POSTMARKED DATES WILL NO LONGER MATTER!

2020 - Reporting Dates for Candidates, Campaign Committees, Caucus Campaign, Permanent (PACs), Executive, Inaugural, and Unauthorized Campaign Committees and Contributing Organizations

Primary Election Filing Deadline: January 28, 2020

Deadline to Designate or Rescind Statement of Spending Intent for the 2020 Primary Election: February 12, 2020

05/19/2020 Primary Election	Period Ends	Report Due*	Due From
30-day pre-Primary report	04/19/2020	04/24/2020	All candidates who elect to raise/ spend over \$3,000 for the 2018 Primary Election and Campaign Committees and Unauthorized Campaign Committees
15-day pre-Primary report	05/04/2020	05/11/2020	
30-day post-Primary report	06/18/2020	06/25/2020	All candidates who elect to raise/ spend over \$3,000 for the 2018 Primary Election and Campaign Committees and Unauthorized Campaign Committees
60-day post-Primary report	07/18/2020	07/24/2020	All candidates with debt and/or surplus remaining on the 30-day post-Primary Election report and Campaign Committees and Unauthorized Campaign Committees
<p>General Election Filing Deadline for Independents and minor-party candidates: April 1, 2020</p> <p>Primary Election Winners – Deadline to Designate or Rescind Statement of Spending Intent for 2020 General Election: June 15, 2020</p> <p>General Election Filing Deadline for candidates with no Primary Election per KRS 118.365: August 11, 2020</p> <p>Deadline to Designate or Rescind Statement of Spending Intent for the 2020 General Election for candidates who were exempted from the Primary Election by KRS 118.365: August 26, 2020</p> <p>Earliest Date for Candidates to File for Offices in 2020 for 2021 (KREF-001), November 4, 2020</p>			
11/03/2020 General Election	Period Ends	Report Due*	Due From
60-day pre-General report	09/04/2020	09/14/2020	All candidates who elect to raise/ spend over \$3,000 for the 2018 General Election and Campaign Committees and Unauthorized Campaign Committees
30-day pre-General report	10/04/2020	10/09/2020	
15-day pre-General report	10/19/2020	10/26/2020	
30-day post-General report	12/03/2020	12/10/2020	All candidates who elect to raise/ spend over \$3,000 for the 2018 General Election and Campaign Committees and Unauthorized Campaign Committees
60-day post-General report	01/02/2021	01/08/2021	All candidates with debt and/or surplus remaining on the 30-day post- General Election report and Campaign Committees and Unauthorized Campaign Committees
1 st Quarter report	03/31/2020	04/07/2020	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 and State Executive Committee Building Funds, and Contributing Organizations
2 nd Quarter report	06/30/2020	07/08/2020	
3 rd Quarter report	09/30/2020	10/07/2020	
4 th Quarter report	12/31/2020	01/08/2021	
1 st Semi-Annual	06/30/2020	08/07/2020	All Executive Committees and Caucus Campaign Committees for the reporting period 01/01/2020-06/30/2020
2 nd Semi-Annual	12/31/2020	02/05/2021	All Executive Committees and Caucus Campaign Committees for the reporting period 07/01/2020-12/31/2020
Annual	12/01/2020	12/08/2020	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 2020 General Election.

*ALL REPORTS MUST BE **RECEIVED** BY THE REGISTRY ON OR BEFORE THE LAST DAY OF THE REPORT DUE DATE.
POSTMARKED DATES WILL NO LONGER MATTER!

2021 - Reporting Dates for Candidates, Campaign Committees, Caucus Campaign, Permanent (PACs), Executive, Inaugural, and Unauthorized Campaign Committees and Contributing Organizations

Earliest Date for Candidates to File for Offices in 2017 for 2018 (KREF-001), November 3, 2021

Quarterly	Period Ends	Report Due*	Due From
1 st Quarter report	03/31/2021	04/07/2021	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 and State Executive Committee Building Funds, and Contributing Organizations
2 nd Quarter report	06/30/2021	07/08/2021	
3 rd Quarter report	09/30/2021	10/07/2021	
4 th Quarter report	12/31/2021	01/07/2022	
1 st Semi-Annual	06/30/2021	08/06/2021	All Executive Committees and Caucus Campaign Committees for the reporting period 01/01/2021-06/30/2021
2 nd Semi-Annual	12/31/2021	02/07/2022	All Executive Committees and Caucus Campaign Committees for the reporting period 07/01/2021-12/31/2021
Annual	12/01/2021	12/08/2021	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.

*ALL REPORTS MUST BE RECEIVED BY THE REGISTRY ON OR BEFORE THE LAST DAY OF THE REPORT DUE DATE.
POSTMARKED DATES WILL NO LONGER MATTER!

There are no regularly scheduled elections for 2021

Notes:

COMPLETING THE ELECTION FINANCE STATEMENT

The following section is designed to provide comprehensive instructions for completing the Election Finance Statement. This section contains examples and explanations for numerous types of transactions. A campaign that utilizes a well-planned record keeping system should be able to complete the Election Finance Statement with ease. However, if you have questions concerning your report that do not appear to be covered here, please call the Registry for assistance.

NOTE: As long as certain criteria are met, the Registry will accept Election Finance Statements produced through the use of a computer. These statements must be on standard letter-sized paper, contain the same information in the same format as required on Registry forms, and be legible.

When an Election Finance Statement arrives at the Registry, each statement is logged by the date received and reviewed for completeness and compliance with campaign finance laws. Therefore, it is very important that all information is included and recorded appropriately.

NOTE: The following example is a 30-day Post Election Finance Statement for a primary election. Keep in mind that in this example the candidate has previously filed reports and therefore has a beginning balance. You will also note some of the contributors' cumulative totals are calculated by using figures from previous reports. This report is entirely fictitious.

THE COVER PAGE

Complete the information for names, addresses, telephone numbers, office and election date where appropriate. Please include daytime telephone numbers and email addresses for appropriate personnel so Registry staff may quickly resolve any questions that may arise. Please check the box if any of this information has changed since your last filing.

Make sure that the time period the statement covers (Box 4) is consistent from one report to the next. For example, if the last report filed covered the period of April 14 through May 11, then the next report should begin on May 12, as shown. It is easy to inadvertently omit activity by beginning with the wrong date of a reporting period, and it is critical to use the correct beginning date for an electronically filed report.

Note that the Election Finance Statement should only include information for the election shown on the cover page.

If there was no activity in the campaign for the period the statement covers, a report must still be filed but the campaign will check the box marked "No Activity." Indicate the ending balance from the last report filed and any debts and obligations owed by the campaign on the appropriate lines on the Summary Page.

Either the candidate or the treasurer may sign and date the Election Finance Statement. KRS 121.160.

KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, KY 40601-3240
 (502) 573-2226 / FAX (502) 573-5622 or (502) 573-0275
 www.kref.ky.gov

This Space for Registry Use Only

ELECTION FINANCE STATEMENT – COVER PAGE

(Please type or print)

1. Candidate/Slate of Candidates: _____
 Committee Name: Good People for Joe Candidate
 Date of Birth: 01 / 01 / 1975 KREF Filer # 987564
 Office Sought: Senate 37
 District/Division Number: 101
 County of Residence: Jefferson
 Political Party: Republican

2. Candidate/Slate of Candidates/Committee Mailing Address:
456 Campaign Way
Louisville, KY 40323
 Daytime Phone Number: (502) 451-0000 Email: Joe
 Check here if the any of the above info has change

3. Treasurer's Name and Mailing Address:
Jane Treasurer
PO Box
Versailles, KY
 Daytime Phone Number: (859)
 Check here if the any of the

Keyed _____
 W L
 Status: _____
 Continue to G
 TFC
 Statement Covers:
 From: 5/12/20XX
 Month – Day – Year
 To: 6/25/20XX
 Month – Day – Year

COMING SOON!
 Please be advised that due to recent changes to the Campaign Finance Law (KRS Chapter 121) due to the passage of Senate Bill 75, the Registry is in the process of updating guidebooks, informational and training materials, and reporting forms. As soon as these have been revised and approved they will be released to all candidates and committees. In the meantime, please continue to use the forms currently available on the Registry's website. Please contact the Registry if you have any questions.

REGISTRY USE ONLY

5. Date of Election: _____ Dates to: Primary General Special
 Run-off Primary

6. Type of _____
 a. _____
 b. _____
 c. _____
 d. 12-month Supplemental
 e. 30-day Supplemental
 f. 60-day Supplemental
 g. Annual Supplemental
 h. Termination _____
 Month – Day – Year
 i. **AMENDMENT** – Check one of the items above to indicate which statement is being amended.

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

Candidate or Treasurer: Jane Treasurer Jane Treasurer Date: 6/25/20XX
 Type or Print Name Authorized Signature Month – Day – Year



ITEMIZED RECEIPTS SCHEDULE 1A

Receipts in Excess of \$100 Per Election Must be Itemized

Candidate/Slate of Candidates/Committee: Good People for Joe Candidate

KREF Filer #: 987564 Period From: 5/12/20XX To: 6/25/20XX

BALANCE TRANSFER

This is an example of surplus funds being transferred from the candidate’s previous campaign. Note: a transfer from a previous campaign as an “other receipt” is recorded.

1a. Contributor Name and Address 1b. Contributor Occupation and Employer (Name of business if self-employed) 1c. Spouse’s Name, Occupation and Employer (1c & 1d are for Statewide candidates Only)	1d. Marital Status	2. Date of Receipt ***** 3. Type of Contribution	4a. Contribution by Check or Written Instrument	4b. Description And Value of In-Kind Contribution	4c. Other Receipts	5. Cumulative for Election (per Contributor) (Monetary/In-kind)
Primary Campaign Funds Balance Transfer Occupation/Employer:	S	03/01/20XX <input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> Fundraiser (person) <input checked="" type="checkbox"/> Other: Transfer			\$3,000	\$3,000

DIRECT FROM CANDIDATE

The candidate is the only person who may contribute or loan an *unlimited* amount of personal funds to his or her campaign.

Joe Candidate PO Box 3 Frankfort, KY 40601 Occupation/Employer: Accountant, Joe & Co., CPAs	S	05/12/20XX <input checked="" type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> Fundraiser (person) <input type="checkbox"/> Other: _____	\$3,000			\$3,000
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LOAN FROM CANDIDATE

The amount loaned by the candidate is shown in Column 4c, “Other Receipts.” Any amount a candidate loans the campaign must also be shown as a debt owed by the campaign on Schedule 4A. There is no limit on the amount. See page 77-78 for details on Schedule 4A. Note that separate cumulative totals must be kept for candidate contributions and candidate loans.

Joe Candidate PO Box 3 Frankfort, KY 40601 Occupation/Employer: Accountant, Joe & Co., CPAs	S	05/12/20XX <input type="checkbox"/> Direct from Candidate <input checked="" type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> Fundraiser (person) <input type="checkbox"/> Other: _____			\$30,000	\$30,000
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ITEMIZED RECEIPTS SCHEDULE 1A (Continued)

DIRECT FROM A PERSON OR AUTHORIZED ENTITY

A contribution direct from a person or authorized entity is typically a contribution that comes from an individual citizen or contributing organization. It is not a contribution from a permanent committee (PAC), executive committee, caucus campaign committee or the result of a fundraising activity. A contribution “direct from a person or authorized entity” must be itemized (by including the name, address, occupation and employer) when a contributor’s aggregate contribution total exceeds \$100. *Statewide* candidates must also record the contributor’s marital status, and if married, the name of the contributor’s spouse, and the spouse’s employer and occupation. The “Cumulative for Election” total shown in Column 5 is the sum of aggregate monetary and in-kind contributions from this contributor as of this contribution.

This individual contributor has made a single contribution to date during this election.

1a. Contributor Name and Address	1d. Marital Status	2. Date of Receipt	4a. Contribution by Check or Written Instrument	4b. Description And Value of In-Kind Contribution	4c. Other Receipts	5. Cumulative for Election (per Contributor) (Monetary/In-kind)
1b. Contributor Occupation and Employer (Name of business if self-employed)	3. Type of Contribution					
1c. Spouse’s Name, Occupation and Employer (1c & 1d are for Statewide candidates Only)						
<p align="center">Jim Frank Route 8, Box A Shelbyville, KY 40231</p> <p>Occupation/Employer: Farmer/Owner, Green Acres Farm</p>	S	<p align="center"><u>05/12/20XX</u></p> <input checked="" type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> Fundraiser (person) <input type="checkbox"/> Other: _____	\$250			\$250

This contributor has made past contributions that have caused her cumulative total to exceed \$100; therefore, her current contribution of \$50 is itemized.

<p align="center">Sally Smith 210 Citizen Street Frankfort, KY 40601</p> <p>Occupation/Employer: Physician, Lexington VA Hospital</p>	S	<p align="center"><u>05/12/20XX</u></p> <input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input checked="" type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> Fundraiser (person) <input type="checkbox"/> Other: _____	\$50			\$300
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Following is a contribution from an organization that is **NOT** registered with the Registry or the Federal Election Commission as a Political Action Committee (PAC). See page 20 for a definition of contributing organization.

<p align="center">Women’s Group of the Bluegrass Box 7 Lexington, KY 40504</p> <p>Occupation/Employer: Contributing Organization</p>	S	<p align="center"><u>05/12/20XX</u></p> <input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input checked="" type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> Fundraiser (person) <input type="checkbox"/> Other: _____	\$200			\$200
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ITEMIZED RECEIPTS SCHEDULE 1A (Continued)

FROM FUNDRAISING EVENT

Contributions received because of a fundraising event (except from permanent committees or executive committees) are itemized when the contributor's cumulative contribution total exceeds \$100. These contributions are also included in the total receipts reported on Fundraising Event Schedule 3A. See page 76.

1a. Contributor Name and Address 1b. Contributor Occupation and Employer (Name of business if self-employed) 1c. Spouse's Name, Occupation and Employer (1c & 1d are for Statewide candidates Only)	1d. 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) (Monetary/In-kind)
John Doe 300 Broadway Frankfort, KY 40602	S	<u>05/20/20XX</u>	<input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input checked="" type="checkbox"/> Fundraising Event <input type="checkbox"/> Fundraiser (person) <input type="checkbox"/> Other: _____	\$1,000			\$1,000
Occupation/Employer: Production Manager, IBM							

FROM FUNDRAISER (PERSON)

Most campaigns do not meet the requirements for having a "registered fundraiser." See page 52. If your campaign does have a registered fundraiser, all contributions raised through this person must be shown as such on the report. All contributions raised by a particular "fundraiser" will also be shown on a report the "fundraiser" is required to file with the Registry. The following is an example of a contribution that was collected by a "fundraiser."

Roger Raisor 14 Fund Street Lexington, KY 40500	S	<u>05/18/20XX</u>	<input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input checked="" type="checkbox"/> Fundraiser (person) <input type="checkbox"/> In-Kind <input type="checkbox"/> Other: _____	\$3,000			\$3,000
Occupation/Employer: Banker, Third Bank of Lexington							

FUNDS FROM OTHER SOURCES

Interest

Interest earned on checking accounts or other investments is not a contribution and therefore should be recorded as an "Other Receipt" in Column 4c.

Franklin Bank 1 Main Street Frankfort, KY 40601	S	<u>05/31/20XX</u>	<input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> Fundraiser (person) <input type="checkbox"/> In-Kind <input checked="" type="checkbox"/> Other: Interest			\$8.50	
Occupation/Employer:							

ITEMIZED RECEIPTS SCHEDULE 1A (Continued)

Contribution Returned For Insufficient Funds (NSF) Or Stopped Payment

Occasionally, a check received from a contributor will not clear the contributor’s account. When the campaign becomes aware that a reported contribution has been returned for insufficient funds, that transaction should be reported as a “receipt adjustment,” which serves to correct the campaign balances.

1a. Contributor Name and Address	1d. Marital Status	2. Date of Receipt *****	4a. Contribution by Check or Written Instrument	4b. Description And Value of In-Kind	4c. Other Receipts	5. Cumulative for Election (per Contributor) (Monetary/In-kind)
1b. Contributor Occupation and Employer (Name of business if self-employed)		3. Type of Contribution				
1c. Spouse’s Name, Occupation and Employer (1c & 1d are for Statewide candidates Only)						
<p align="center">Curly Howard 99 Wiseguy Way Georgetown, KY 4000</p> <p>Occupation/Employer: Professional Stooge; Howard, Fine, Howard, PSC</p>	S	<p align="center"><u>06/01/20XX</u></p> <input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> Fundraiser (person) <input type="checkbox"/> In-Kind <input checked="" type="checkbox"/> Other: <u>NSF Contribution</u>	(\$500)			\$0

There may be other transactions that fall into the “Other” category. If you have questions about transactions not illustrated here, you may call the Registry staff for assistance.

IN-KIND CONTRIBUTIONS

In-kind contributions are contributions of something of value, other than money that exceeds \$100 in value in any one election. The same requirements for reporting monetary contributions apply to reporting in-kind contributions. A description of the in-kind contribution is included in **Column 4b, “Description and Value of In-kind.”** The “value” amount of the in-kind contribution is also shown in **Column 4b.** The “value” of the in-kind contribution should reflect the fair market value of the item(s) *or what that contribution would cost if it were purchased from its original source.*

<p align="center">Gina Gift 3 Generous Way Georgetown, KY 40222</p> <p>Occupation/Employer: Real Estate Agent, Homes R-Us</p>	S	<p align="center"><u>05/12/20XX</u></p> <input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> Fundraiser (person) <input type="checkbox"/> In-Kind <input checked="" type="checkbox"/> Other: <u>In-kind</u>		Laser Printer \$600		\$50
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ITEMIZED RECEIPTS SCHEDULE 1A (Continued)

It is acceptable to combine entries for contributors that have contributed both money and in-kind.

1a. Contributor Name and Address 1b. Contributor Occupation and Employer (Name of business if self-employed) 1c. Spouse's Name, Occupation and Employer (1c & 1d are for Statewide candidates Only)	1d. 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) (Monetary/In-kind)
Steve Slick 7 Noe Way Anderson, KY 43211 Occupation/Employer: Attorney, Steve Slick Law Firm	S	<u>05/12/20XX</u>	<input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> Fundraiser (person) <input type="checkbox"/> In-Kind <input checked="" type="checkbox"/> Other: <u>In-kind</u>		Fundrais er Food \$450		\$450

When the campaign repays all or part of a loan, the repayment is shown as a “receipts adjustment.” The amount of the payment is subtracted from the receipts so the campaign’s cumulative receipts are not overstated. This repayment must also be reflected on the Debts and Obligation Schedule 4A. See page 77-78.

Joe Candidate PO Box 3 Frankfort, KY 40601 Occupation/Employer:		<u>06/01/20XX</u>	<input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> Fundraiser (person) <input type="checkbox"/> In-Kind <input type="checkbox"/> Fundraiser (person) <input checked="" type="checkbox"/> Other: <u>Loan</u> <u>Repayment</u>			(\$1,000)	\$1,000
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Total all pages of the schedule on the last page of that schedule. The total of Column 4a should be transferred to Line 1a of the Summary Page. The total of Column 4b should be transferred to Line 3a of the Summary Page. The total of Column 4c should be transferred to Line 1b of the Summary Page. See page 79-81.

SUBTOTAL THIS PAGE	\$50.00	\$ 0.00	\$0.00
TOTAL THIS PERIOD (Only on last page of Schedule)	\$4,800	\$1,050.00	\$1,008.50
	Enter this total on Col. 1, Line 1a of Summary Page	Enter this total in the space provided on Line 4a of the Summary Page	Enter this total on Col. 1, Line 1b of Summary Page

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

CASH, ANONYMOUS & UNITEMIZED RECEIPTS SCHEDULE 1B

Candidate/Slate of Candidates/Committee: Good People for Joe Candidate

KREF Filer #: 987564 Period From: 5/12/20XX To: 6/25/20XX

CASH RECEIPTS	
1. Date of Receipt	2. Amount of Cash Receipt
5/25/20XX	75.00
5/27/20XX	50.00
6/11/20XX	100.00
6/14/20XX	75.00
6/17/20XX	50.00

ANONYMOUS RECEIPTS	
1. Date of Receipt	2. Amount of Anonymous Receipt
5/22/20XX	50.00
5/23/20XX	50.00
6/15/20XX	50.00
6/21/20XX	75.00
6/22/20XX	50.00

UNITEMIZED RECEIPTS	
1. Date of Receipt	2. Amount of Unitemized Receipt
5/15/20XX	50.00
5/17/20XX	100.00
6/17/20XX	50.00
6/22/20XX	50.00

	Subtotal # of Cash Contributors	Subtotal Amount of Cash Receipts	Subtotal # of Anonymous Contributors	Subtotal Amount of Anonymous Receipts	Subtotal # of Unitemized Contributors	Subtotal Amount of Unitemized Receipts
Subtotal This Page	5	\$350.00	5	\$275.00	4	\$250.00
	Total # of Cash Contributors	Total Cash Receipts This Period	Total # of Anonymous Contributors	Total Anonymous Receipts This Period	Total # of Unitemized Contributors	Total Unitemized Receipts This Period
Total This Period <small>(Only on last page of Schedule)</small>	5	\$350.00	5	\$275.00	4	\$250.00
	<small>Enter these totals on Line 1c on Summary Page</small>	<small>Enter these totals on Line 1c on Summary Page</small>	<small>Enter these totals on Line 1d on Summary Page</small>	<small>Enter these totals on Line 1d on Summary Page</small>	<small>Enter these totals on Line 1e on Summary Page</small>	<small>Enter these totals on Line 1e on Summary Page</small>

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

PAC RECEIPTS SCHEDULE 1C

Receipts from PACs Must be Itemized Regardless of Amount

Candidate/Slate of Candidates/Committee: Good People for Joe Candidate

KREF Filer #: 987564 Period From: 5/12/20XX To: 6/25/20XX

All PAC receipts are listed by name and address (*itemized*), regardless of amount. Monetary contribution amounts are listed in column 4a. In-kind contribution amounts are listed in Column 4b. Cumulative amounts should include both monetary and in-kind contributions. If the contribution is in-kind, a brief description of the contribution is to be included in Column 4b. Item 2 requires you to list the interest represented by the PAC.

1. PAC Name and Address 2. Major business, social or political interest represented by the 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) (Monetary/In-kind)
Bank PAC 600 Central Ave. Louisville, KY 40200 Major Interest: Banking and Finance	<u>05/12/20XX</u>	\$450		\$450
Law PAC 700 Justice Way Louisville, KY 40200 Major Interest: Professional Association	<u>05/12/20XX</u>	\$50		\$50
PAC for Education 101 Main Street Lexington, KY 40500 Major Interest: Banking and Finance	<u>05/12/20XX</u>		<i>\$200 Rental hall for Fundraising Event</i>	\$200

Subtotal each page of the schedule at the bottom. Total all pages of the schedule on the last page of that schedule. The total of Column 4a should be transferred to Line 1f of the Summary Page. The total of Column 4b should be transferred to Line 3b of the Summary Page.

SUBTOTAL THIS PAGE	<i>\$500</i>	<i>\$200</i>
TOTAL THIS PERIOD (Only on last page of Schedule)	<u><i>\$500</i></u> <small>Enter this total in Col. 1, line 1f of Summary Page</small>	<u><i>\$200</i></u> <small>Enter this total in the space provided on Line 3b of the Summary Page</small>

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

EXECUTIVE COMMITTEE RECEIPTS SCHEDULE 1DPage 10 of 23

Receipts in Excess of \$100 Must be Itemized

Candidate/Slate of Candidates/Committee: Good People for Joe CandidateKREF Filer #: 987564 Period From: 5/12/20XX To: 6/25/20XX

Receipts from executive committees must be itemized when a particular committee's aggregate total exceeds \$100. Monetary contribution amounts are listed in Column 3a. In-kind contribution amounts are listed in Column 3b. Cumulative amounts should include both monetary and in-kind contributions. If the contribution is in-kind, a brief description of the contribution is to be included in Column 3b.

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) (Monetary/In-kind)
<i>Jefferson Co. Republican Party PO Box 6 Louisville, KY 40200</i>	<u>05/12/20XX</u>	<i>\$5,245</i>		<i>\$6,000</i>
<i>Kentucky Republican Party 3 Political Blvd. Frankfort, KY 40601</i>	<u>05/12/20XX</u>		<i>\$1,200 Phone Service of Party Headquarter s</i>	<i>\$1,200</i>

Subtotal each page of the schedule at the bottom. Total all pages of the schedule on the last page of that schedule. The total from column 3a should be transferred to Line 1g of the Summary Page. The total of Column 3b should be transferred to Line 3c of the Summary Page. See page 81.

TOTAL THIS PERIOD (Only on last page of Schedule)	<u><i>\$5,245</i></u>	<u><i>\$1,200</i></u>
	Enter this total on Col. 1, Line 1g of Summary Page	Enter this total on Col. 1, Line 3c of Summary Pages

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

CAUCUS CAMPAIGN COMMITTEE RECEIPTS SCHEDULE 1E

Receipts in Excess of \$100 Must be Itemized

Candidate/Slate of Candidates/Committee: Good People for Joe Candidate

KREF Filer #: 987564 Period From: 5/12/20XX To: 6/25/20XX

Receipts from caucus campaign committees must be itemized when a particular committee's aggregate total exceeds \$100. Monetary contribution amounts are listed in Column 3a. In-kind contribution amounts are listed in Column 3b. Cumulative amounts should include both monetary and in-kind contributions. If the contribution is in-kind, a brief description of the contribution is to be included in Column 3b.

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 <small>(Monetary/In-kind)</small>
<i>State Republican Caucus Campaign Committee 3 Political Blvd Frankfort, KY 40601</i>	<u>05/12/20XX</u>	\$4,000		\$6,000
<i>State Republican Caucus Campaign Committee 3 Political Blvd Frankfort, KY 40601</i>	<u>05/20/20XX</u>		\$2,000 <i>Robo Calls</i>	\$4,000

Subtotal each page of the schedule at the bottom. Total all pages of the schedule on the last page of that schedule. The total from column 3a should be transferred to Line 1h of the Summary Page. The total of Column 3b should be transferred to Line 3c of the Summary Page. See page 81.

TOTAL THIS PERIOD <small>(Only on last page of Schedule)</small>	<u>\$4,000</u> <small>Enter this total on Col. 1, Line 1h of Summary Page</small>	<u>\$2,000</u> <small>Enter this total in the space provided on Line 3d of the Summary Page</small>
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YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

Candidate/Slate of Candidates/Committee: Good People for Joe Candidate

KREF Filer #: 987564 Period From: 5/12/20XX To: 6/25/20XX

All expenditures, regardless of amount, must be reported. Expenditures over \$25 must be made by check. Additionally, expenditures over \$25 must be itemized, showing name, address and occupation, if the payee is an individual.

This is an example of a payment made to a business for over \$25. Notice that the purpose is specific. Instead of saying "Printing" the description says "Print flyers for mail out."

1. Name and Address of Person or Business Paid (List <u>Occupation</u> if Paid to a person. If over \$25 expenditure <i>must</i> be made by check. Persons transporting voters to the polls <i>must</i> be paid by check and each payment must be itemized to include name, address and <u>occupation</u> .)	2. Purpose of Expenditure (Be specific. If more than \$25, show purpose, date and amount.)	3. Date of Expenditure	4. Amount of Expenditure
<p style="text-align: center;">Ace Printing 205 Main Street Frankfort, KY 40602</p> <p>Occupation:</p>	Print Flyers for Mail Out	05/12/20XX	\$450

This example shows a payment for \$25 or less, that shows purpose, date and amount only.

	Paper and Toner for Copier	05/20/20XX	\$14.50
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This example shows a payment to an individual of more than \$25 with name, address, and occupation.

<p style="text-align: center;">Ken Hacker – Car Salesman 376 Input Way Louisville, KY 40200</p> <p>Occupation:</p>	Computer Programming Services	06/1/20XX	\$500
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When the campaign purchases items to sell at a fundraising event, the expenditure is reflected on Schedule 2A. This expense is also reflected on Events Schedule 3A.

<p style="text-align: center;">Hats, Inc. 123 Helmut Drive Lexington, KY 40503</p> <p>Occupation:</p>	Hats	05/12/20XX	\$200
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When a campaign receives a refund, it should be shown on the Election Finance Statements as a "Expenditure Adjustment" and not an "Other Receipt." The amount of the refund is subtracted from the expenditures so the campaign's cumulative expenditures on the Summary Page are not overstated. This prevents the campaign's cumulative receipts from being overstated.

<p style="text-align: center;">WRAD-AM PO Box 1193 Shelbyville, KY 43210</p> <p>Occupation:</p>	Refund on Advertising Purchased	06/25/20XX	(\$3,200)
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EXPENDITURES SCHEDULE 2A (Continued)

Candidate/Slate of Candidates/Committee: Good People for Joe Candidate
 KREF Filer #: 987564 Period From: 5/12/20XX To: 6/25/20XX

When a campaign pays people to transport voters to polling places (“vote haulers”), the name, address and occupation of that person must be itemized on the report, regardless of the amount. Additionally, ALL payments made for this purpose must be made by check.

1. Name and Address of Person or Business Paid (List <u>Occupation</u> if Paid to a person. If over \$25 expenditure <i>must</i> be made by check. Persons transporting voters to the polls <i>must</i> be paid by check and each payment must be itemized to include name, address and <u>occupation</u> .)	2. Purpose of Expenditure (Be specific. If more than \$25, show purpose, date and amount.)	3. Date of Expenditure	4. Amount of Expenditure
Missi Helper – Student 15 Maple Street Lexington, KY 40501 Occupation:	Election Day Vote Hauler	05/26/20XX	\$20

When the campaign makes a single expenditure check to a credit card company for multiple campaign expenditures, the report must still disclose detailed information about each expenditure.

Computers R-Us Box 1 Washington, D.C. 22222 Occupation:	\$500 Consulting Fee \$250 Travel Expense Reimbursement \$250 TV Buy	05/12/20XX	\$1,000
Excellent Printing 711 Maple Street Danville, KY 40468 Occupation:	Printing Campaign Bumper Stickers and Yard Signs	06/1/20XX	\$500

When the campaign has expenses related to a fundraising event, the expenditure is reflected on Schedule 2A. This expense is also recorded on Events Schedule 3A.

Kroger PGA Blvd Frankfort, KY 40601 Occupation:	Food for Luncheon	05/20/20XX	\$1,000
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This is an example of surplus funds being transferred to the candidate’s next campaign.

Joe Candidate Campaign Occupation:	Balance transfer to the general election fund	06/20/20XX	\$3,000
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Subtotal each page of the schedule at the bottom. Total all pages of the schedule on the last page of that schedule. The total of Column 4 should be transferred to Line 4 of the Summary Page.

	SUBTOTAL THIS PAGE	\$6,020.00
	TOTAL THIS PERIOD (Only on last page of Schedule)	<u>\$3,984.50</u> Enter this total in Col. 1, line 4 of Summary Page

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

Candidate/Slate of Candidates/Committee: Good People for Joe Candidate

KREF Filer #: 987564 Period From: 5/12/20XX To: 6/25/20XX

Campaigns are required to report the gross receipts and costs for each individual fundraising activity or event. See page 52 for an explanation of what qualifies for an event. Keeping accurate records about an event while it is ongoing is extremely important. It is difficult to obtain or recreate this information once the event is over.

The following example reflects an event that was held on May 20. This event was sponsored by the campaign. Notice the report reflects the location and type of event that was held. The campaign records should contain the supporting information used to determine the amounts listed in Columns 4 and 5.

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
<i>Good People for Joe Candidate Civic Auditorium 4 Market Street Frankfort, KY 40601</i>	<i>Luncheon</i>	FROM: <i>05/20/20XX</i> TO: <i>05/20/20XX</i>	<i>\$3,500</i>	<i>\$1,000</i>

<i>Good People for Joe Candidate Various Locations</i>	<i>Sale of Joe Candidate Hats</i>	FROM: <i>05/12/20XX</i> TO: <i>05/26/20XX</i>	<i>\$500</i>	<i>\$200</i>
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The amounts listed in Columns 4 and 5 are for informational use only. The receipts and costs associated with each event should already be reflected as some type of receipt or expenditure somewhere else in the Election Finance Statement.

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, regardless of amount, and is for informational purposes only. All receipts in excess of \$100 per election must be itemized, all receipts from PACs, executive committees, and caucus campaign committees must be disclosed on the appropriate Receipts Schedule, and all other event receipts must be included in receipt totals on the Summary Page. All costs incurred in connection with fundraising activities or events must be included on Schedule 2A, or as an in-kind contribution on the appropriate Receipts Schedule.

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

Candidate/Slate of Candidates/Committee: Good People for Joe Candidate

KREF Filer #: 987564 Period From: 5/12/20XX To: 6/25/20XX

Campaigns are required to disclose any expenditure “authorized, incurred or made.” This means that debts or obligations owed by the campaign must be shown on Schedule 4A.

The first entry is an example of a candidate loan made to the campaign in a previous reporting period. Also, during a previous reporting period, a payment was made toward the balance of this loan. Remember, when the candidate gave the loan, it was reported on Schedule 1A as an “Other Receipt”. When the campaign makes a repayment to the candidate, it is made on Schedule 1A as a “Receipt Adjustment.” Both the receipt of the loan and the repayment are shown on Schedule 4A. During the current reporting period, a portion of the repayment shown on Itemized Receipts, Schedule 1A, is applied to the balance of the January 1, XX, loan amount. Column 7 shows the “outstanding balance at close of this period.” (Column 4 minus Columns 5 and 6 equals Column 7.)

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
<i>Joe Candidate PO Box 3 Frankfort, KY 40601</i>	<i>Candidate Loan</i>	<i>1/1/20XX</i>	<i>\$3,000</i>	<i>\$1,000</i>	<i>\$1,000</i>	<i>\$1,000</i>

This example shows a candidate loan made this reporting period. See Schedule 1A, page 65.

<i>Joe Candidate PO Box 3 Frankfort, KY 40601</i>	<i>Candidate Loan</i>	<i>5/12/20XX</i>	<i>\$2,000</i>			<i>\$2,000</i>
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When a campaign knows the amount of an outstanding bill or invoice for a purchase, that amount should be shown as a debt. Notice that even though there was no activity on this debt during this reporting period, it is included on the schedule because there is an outstanding balance. All debts are shown each reporting period until they reach a zero balance.

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
<i>Computer Supply Co. PO Box 1000 Louisville, KY 40200</i>	<i>Unpaid Invoice</i>	<i>3/1/20XX</i>	<i>\$1,500</i>	<i>\$500</i>		<i>\$1,000</i>

DEBTS AND OBLIGATIONS SCHEDULE 4A (Continued)

Candidate/Slate of Candidates/Committee: Good People for Joe Candidate

KREF Filer #: 987564 Period From: 5/12/20XX To: 6/25/20XX

Subtotal each page of the schedule. Total all pages of the schedule on the last page of that schedule. The total of Column 7 should be entered on Line 5 on the Summary Page.

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

SUBTOTAL THIS PAGE	\$1,000
TOTAL THIS PERIOD (Only on last page of Schedule)	\$4,000
	Enter this total on line 5 "Total Debts and Obligations" on the Summary Page

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

CERTIFICATE OF DEBT ASSUMPTION		Amount Assumed by Candidate (Only when closing campaign account)
I hereby assume personal responsibility for payment of all outstanding campaign debts for this election.		
<u>Joe Candidate</u>	<u>6/25/20XX</u>	
SIGNATURE	DATE	\$ 4,000

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

SUMMARY PAGE INSTRUCTIONS

COLUMN 1

After all the schedules have been completed for a reporting period, totals should be transferred to the corresponding line on the Summary Page. This process should complete most of the required entries.

In the receipts section of the Summary Page, the total receipts from each receipt schedule must be entered. These totals (Lines 1a-1h) are derived from campaign records.

If the candidate assumes any of the Debts and Obligations amount on Schedule 4A, exclude the assumed amount of debt from the total entered on the Summary Page Line 5. See page 81. In this example, the Total Debts and Obligations equal the Amount Assumed by Candidate. Therefore, when debts are completely paid or assumed by the candidate, a zero is entered on Line 5.

COLUMN 2

The amounts in Column 2 should reflect a *running or aggregate total* for the appropriate election for each item listed. Column 2 can be completed only after all the totals in Column 1 have been entered. Each item in Column 2 equals the sum of the corresponding item in Line 1 plus the corresponding item in Column 2 from the previous report filed.

In this case shown on Line 1a, itemized receipts this period (Column 1) are \$4,800. Imagine that the previous report, dated April 14 through May 11, XX shows \$4,200 in Line 1a, Column 2. These two figures added together equal \$9,000 as shown in Column 2 on this report.

BALANCE STATEMENT

This section should reflect the campaign's monetary activity during the period. The ending balance on Line 10 should equal the campaign's checkbook balance for the last date of the report.

SUMMARY PAGECandidate/Slate of Candidates/Committee: Good People for Joe CandidateKREF Filer #: 987564 Period From: 5/12/20XX To: 6/25/20XX

RECEIPTS		COLUMN 1	COLUMN 2
		(THIS PERIOD)	(CUMULATIVE THIS ELECTION)
1. MONETARY RECEIPTS: (INCLUDING ALL RECEIPTS FROM EVENTS)			
a. ITEMIZED CONTRIBUTIONS BY CHECK OR WRITTEN INSTRUMENT (SCHEDULE 1A, ITEM 4a)		\$ 4,800.00	\$ 9,000.00
b. OTHER RECEIPTS (SCHEDULE 1A, ITEM 4c)		+\$ 1,008.50	\$ 10,008.50
c. CONTRIBUTIONS IN CURRENCY (NUMBER OF PEOPLE <u>5</u>) (SCHEDULE 1B) (INDIVIDUAL CASH LIMIT IS \$100, PER ELECTION)		+\$ 350.00	\$ 2,000.00
d. ANONYMOUS CONTRIBUTIONS (NUMBER OF PEOPLE <u>5</u>) (SCHEDULE 1B) (MAXIMUM: \$100 PER CONTRIBUTION, AGGREGATE OF \$2,000 PER ELECTION)		+\$ 275.00	\$ 100.00
e. UNITEMIZED CONTRIBUTIONS (NUMBER OF PEOPLE <u>4</u>) (SCHEDULE 1B) (CONTRIBUTIONS BY CHECK OF \$100 OR LESS PER ELECTION)		+\$ 250.00	\$ 2,500.00
f. POLITICAL ACTION COMMITTEE (PAC) CONTRIBUTIONS (SCHEDULE 1C, ITEM 4a)		+\$ 500.00	\$ 500.00
g. EXECUTIVE COMMITTEE CONTRIBUTIONS (SCHEDULE 1D, ITEM 3a)		+\$ 5,245.00	\$ 25,545.00
h. CAUCUS CAMPAIGN COMMITTEE CONTRIBUTIONS (SCHEDULE 1E, ITEM 3a)		+\$ 5,245.00	\$ 8,200.00
2. TOTAL RECEIPTS		=\$ 12,428.50	\$ 57,853.50
IN-KIND CONTRIBUTIONS			
3. a. ITEMIZED (SCHEDULE 1A, ITEM 4b)	\$ 1,050.00		\$ 2,000.00
b. PAC (SCHEDULE 1C, ITEM 4b)	\$ 200.00		\$ 200.00
c. EXECUTIVE CMTE (SCHEDULE 1D, ITEM 3b)	\$ 1,200.00		\$ 7,900.00
d. CAUCUS CAMPAIGN CMTE (SCHEDULE 1E, ITEM 3b)	\$ 1,200.00		\$ 3,200.00
EXPENDITURES			
4. TOTAL EXPENDITURES (SCHEDULE 2A, ITEM 4)		\$ 3,984.50	
DEBTS AND OBLIGATIONS			
5. TOTAL DEBTS AND OBLIGATIONS (SCHEDULE 4A, ITEM 7)		\$ 0.00	
BALANCE STATEMENT			
6. ENDING BALANCE OF PREVIOUS REPORT (ENTER -0- IF NO PREVIOUS REPORT)		+\$ 33.00	
7. ADD TOTAL RECEIPTS DURING REPORTING PERIOD (LINE 2, COLUMN 1)		+\$ 12,428.50	
8. SUB-TOTAL (ADD LINES 6 AND 7)		=\$ 12,461.50	
9. SUBTRACT TOTAL EXPENDITURES DURING REPORTING PERIOD (LINE 4, COLUMN 1)		-\$ 3,984.50	
10. ENDING BALANCE (SUBTRACT LINE 9 FROM LINE 8)		=\$ 8,477.00	

 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.

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

CLOSING THE CAMPAIGN

CLOSING THE CAMPAIGN

If the campaign decides to terminate, it must liquidate all assets. The sale of campaign assets such as furnishings and equipment, are reported as “Other Receipts” on “Itemized Receipts” Schedule 1A, in Column 4c of the Election Finance Statement. Any excess funds in the campaign account must be disposed of in a manner permitted by statute (explained below), and the campaign must file a final report showing a zero balance.

Surplus Campaign Property

Campaign paraphernalia or signs are considered to be of no value to anyone besides the campaign and it is understood that these materials cannot be liquidated. However, if these materials are stored by the candidate until the next election and are donated to the new campaign, the materials must be assessed at the fair market value and reported as an in-kind contribution from the candidate to his or her campaign.

Disposition of Unexpended Campaign Funds

KRS 121.180(10)

When the election is over and there are unexpended funds in the campaign account, those funds may be disposed of in whole or in part as follows:

- Escheat to the State Treasury;
- Returned pro rata to all contributors;
- Transferred to the state or county executive committee of your political party or to a caucus campaign committee if you were a partisan candidate;
- Donated to any charitable, nonprofit, or educational institution recognized under Section 501(c)(3) of the U. S. Internal Revenue Code, or
- Transferred to next campaign to seek the same office.

Termination Report

A final report must be filed showing that all outstanding debts have been paid or assumed by the candidate, and that the campaign account has a zero balance. The final report may be filed as soon as these requirements have been met. It is not necessary to wait until the next regular reporting deadline. (The reporting form contains a termination box to mark when the candidate is filing the final report and terminating the account.)

Custodian of Records

The candidate must authorize someone to preserve the campaign’s records for six years after the last report has been filed. Ideally this person will be the campaign treasurer or the candidate. The Registry should be supplied with the name, mailing address, and phone number of the individual responsible.

HELPFUL TIPS FOR 60-DAY POST REPORTING

The following examples are provided to assist you in completing your 60-Day Post Election Finance Statement. If you are unsure how to report any item, please call our office at 502-573-2226 for assistance. We will be glad to help you.

EXAMPLE 1: CONTINUED REPORTING OF CAMPAIGN DEBT

Campaign debt incurred for the current campaign must be reported using the current KREF filer number. Unlike excess funds, campaign debt cannot be transferred to the next election. All unpaid debt and excess funds up to the amount of the unpaid debt must continue to be reported using the current KREF filer number. Contributions received to assist the campaign in paying down the debt from a past election should be reported using the KREF filer number for the election in which the debt was incurred.

EXAMPLE 2: REPORTING CONTRIBUTIONS FOR THE NEXT ELECTION

Candidates who have received contributions for the next election will need to contact the Registry to obtain a *new* KREF filer number for the specified election. These receipts will be reported on the Election Finance Statement for the next election.

EXAMPLE 3: TRANSFER (“ROLLING FORWARD”) EXCESS FUNDS

If you decide to use any excess funds in your current campaign finance account towards the next election (to the same office), you will need to contact the Registry to obtain a *new* KREF filer number for the next election. First, you will report the transfer of the excess funds as an Itemized Expenditure on Schedule 2A of your 60-Day Post Election Finance Statement. Use words such as “balance transfer to next election” in the Purpose of Expenditure column. Below is an example of excess funds being transferred from the candidate’s previous campaign to the candidate’s next campaign:

EXPENDITURES SCHEDULE 2A

1. Name and Address of Person or Business Paid (List <u>Occupation</u> if Paid to a person. If over \$25 expenditure <i>must</i> be made by check. Persons transporting voters to the polls <i>must</i> be paid by check and each payment must be itemized to include name, address and <u>occupation</u> .)	2. Purpose of Expenditure (Be specific. If more than \$25, show purpose, date and amount.)	3. Date of Expenditure	4. Amount of Expenditure
<p style="text-align: center;"><i>Joe Candidate Campaign</i></p> <p>Occupation:</p>	<p style="text-align: center;"><i>Balance transfer to the general election fund</i></p>	<p style="text-align: center;"><i>06/20/20XX</i></p>	<p style="text-align: center;"><i>\$3,000</i></p>

HELPFUL TIPS FOR 60-DAY POST REPORTING (Continued)

Note: A candidate may only transfer excess funds if all debt has been paid or assumed by the candidate.

The Election Finance Statement for the new KREF filer number for the next election will then show a “campaign funds balance transfer” on Schedule 1A in the Other Receipts column. Below is an example of these excess funds being transferred to the candidate’s next campaign from the candidate’s previous campaign.

ITEMIZED RECEIPTS SCHEDULE 1A

1a. Contributor Name and Address	1d. Marital Status	2. Date of Receipt	4a. Receipt by Check or Written Instrument	4b. Description And Value of In-Kind	4c. Other Receipts	5. Cumulative for Election (per Contributor) (Monetary/In-kind)
1b. Contributor Occupation and Employer	*****	3. Type of Receipt				
1c. Spouse’s Name, Occupation and Employer (1c & 1d are for Statewide candidates Only)		<p><u>03/01/20XX</u></p> <p><input type="checkbox"/> Direct from Candidate</p> <p><input type="checkbox"/> Loan from Candidate</p> <p><input type="checkbox"/> Direct from a person or authorized entity</p> <p><input type="checkbox"/> Fundraising Event</p> <p><input type="checkbox"/> Fundraiser (person)</p> <p><input type="checkbox"/> In-Kind</p> <p><input checked="" type="checkbox"/> Other: <u>Transfer</u></p>			\$3,000	\$3,000
<p><i>Primary Campaign Funds Balance Transfer</i></p> <p>Occupation and Employer:</p>						

EXAMPLE 4: CLOSING DOWN YOUR CAMPAIGN ACCOUNT/TERMINATION

If all debt from the previous election has been satisfied (paid or assumed) and you have disposed of excess funds as allowed under KRS 121.180(10), you may choose to close your current campaign finance account. This will eliminate any additional reporting to the Registry for the previous election. To close this account, you must have an ending balance of zero on the Summary Page of the Election Finance Statement. You also must mark box h, Termination, and indicate the termination date on the Cover Page of the Election Finance Statement.

Unless your campaign has unpaid bills or owes a debt, the 60-day Post-Election Finance Statement is the ideal report on which to terminate your prior election campaign.

Notes:

Notes:

INAUGURAL COMMITTEE

Inaugural Committee

If your campaign wishes to have an inaugural event, the following information will provide guidance regarding the registration and reporting required for an inaugural committee.

How to Form a Committee

KRS 121.170(1)

Any committee which is organized under KRS Chapter 121 shall register with the Registry, by filing official notice of intention at the time of organization, giving names, addresses, and positions of the officers of the organization and designating the candidate or candidates, or slate of candidates being supported on forms prescribed by the Registry. This may be accomplished by notifying the Registry that you wish to establish an inaugural committee. The Registry will then provide form KREF 010 for the committee's completion.

What is an Inaugural Committee?

KRS 121.015(3)(f)

Inaugural committee means one (1) or more persons who receive contributions and make expenditures in support of inauguration activities for any candidates or slate of candidates elected to any state, county, city, or district office. The committee is then responsible for submitting Election Finance Statements as required by KRS 121.180(6)(d), and may only expend funds for inauguration activities.

Contributions

KRS 121.150

A **contribution is defined in KRS 121.015(6)(a)** as any payment, distribution, loan, deposit, gift of money, or other thing of value, given to a committee.

A contribution **does not include** services provided without compensation by individuals volunteering a portion or all of their time on behalf of a committee.

Corporate contributions - KRS 121.150(18): No inaugural committee, nor anyone on its behalf, shall knowingly accept a contribution from a corporation, either directly or indirectly.

Anonymous Contributions - KRS 121.150(3): No inaugural committee may accept any anonymous contributions in excess of \$100. If an anonymous contribution in excess of \$100 is received, the excess must be returned to the donor if the contributor can be traced. If the donor cannot be determined, the excess contribution shall escheat to the state. No inaugural committee may accept total anonymous contributions in excess of \$2,000 per election. Any anonymous contributions in excess of the aggregate limit escheat to the state.

Cash Contributions Prohibition - KRS 121.150(4): No inaugural committee may accept aggregate cash contributions in excess of \$100 per contributor.

Contributions by Minors - KRS 121.150(5): No inaugural committee may accept a contribution in excess of \$100 from any person who will not become eighteen (18) years of age on or before the date of the next general election.

Giving in the name of another Prohibition - KRS 121.150(12): No person shall make a payment, distribution, loan, advance, deposit, or gift of money to another person to contribute to an inaugural committee or anyone on their behalf.

Contributions by check or written instruments - KRS 121.150(6): Contribution limits under this statute are not applicable to inaugural committees. There is *no limit on the amount of a contribution by check or written instrument to an inaugural committee.*

Note: The contribution limit of KRS 121.150(6) is inapplicable to Inaugural Committees. There is no limit on the amount.

Duties of Inaugural Committee and Treasurer

KRS 121.160(2); KRS 121.170(3); KRS 121.180(6)(a)-(d)

An inaugural committee's treasurer shall designate a depository bank in which the primary account shall be maintained and deposit all contributions in that account. The treasurer should keep detailed and exact accounts of: (1) all contributions from permanent committees; (2) all contributions in excess of \$100 by date, name, address, occupation and employer of each contributor; (3) an aggregate amount of cash contributions, the amount contributed by each contributor, and the date of each contribution; and (4) a complete statement of all expenditures authorized, and incurred or made.

Notes:

Expenditures

Expenditures by Check - KRS 121.160(2)(c): All expenditures for the candidate's inauguration must be made from the inaugural committee's account. Each expenditure must be recorded to reflect the date, purpose, and amount. Expenditures of \$25 or more must be made by check and must be itemized to reflect the name, address and occupation of the person to whom the expenditure was paid, as well as the date and purpose of each expenditure.

Allowable Campaign Expenditures - KRS 121.175: All expenditures must be directly related to the inaugural event.

Depository

KRS 121.220

Each committee shall, before receiving any contributions or expending any money, designate one primary depository for the purpose of depositing all contributions received and disbursing all expenditures made by the committee.

Reporting Dates

KRS 121.180 (6)(d)

Inaugural committees shall report on the last day of the first calendar quarter following the registration of the committee with the registry and on the last day of each succeeding calendar quarter until such time as the committee terminates.

Record Retention

KRS 121.160(2)(d)

The committee's treasurer must retain all receipted bills and records for six (6) years from the date the last report is filed.

Prohibitions

KRS 121.320(1)

No person shall obtain or attempt to obtain money by assessment or coercion from any state or federal employee. Every assessment and each act of coercion shall constitute a separate offense.

Penalties

KRS 121.990

Any person who knowingly violates any of the provisions of KRS 121.150 to 121.230 shall, for each offense, be guilty of a Class D felony.

Notes:

REGISTRY PROCEDURES

COMPLAINT PROCESS

KRS 121.140, 32 KAR 2:030, 32 KAR 2:040, 32 KAR 2:050, 32 KAR 2:210, KRS 500.050

Any person may file a complaint if he or she believes a violation of the campaign finance laws (KRS Chapter 121) has occurred or is about to occur. The complaint must be verified and made in writing to the General Counsel, Kentucky Registry of Election Finance, 140 Walnut St., Frankfort, KY 40601. A verified complaint filed with the Registry is a civil, administrative matter and must be made within one (1) year from the date the alleged violation occurred.

A complaint filed with the Registry's General Counsel must meet the following requirements:

- The complaint shall provide the full name and address of the person who files the complaint ("Complainant");
- The complaint shall clearly identify each person or entity that is alleged to have committed a violation or is about to commit a violation ("Respondent");
- The contents of a complaint shall be sworn to and signed in the presence of a notary public and shall be duly notarized;
- Statements contained in the complaint shall be made under penalty of perjury;
- The complaint shall differentiate between statements based upon personal knowledge and statements based upon information and belief;
- Statements which are not based upon personal knowledge shall be accompanied by an identification of the source of information which gives rise to the Complainant's belief in the truth of the statements contained in the complaint;
- The complaint shall include a clear and concise recitation of the facts which support the allegation of a violation of the campaign finance statute or administrative regulation; and
- The complaint shall be accompanied by documentation supporting the allegations if the documentation is known by and available to the Complainant.

Initial Complaint Processing and Notification

Upon receipt of a complaint, the General Counsel has five (5) business days in which to review the complaint for compliance with the above requirements. In the event the complaint does not comply with the requirements, the General Counsel shall send the Complainant a letter advising that no action will be taken on the complaint due to failure to meet the above requirements. A copy of the complaint deficiency letter and the complaint will also be sent to the alleged Respondent. A deficient complaint becomes public record when the General Counsel sends the deficiency notice to the Complainant.

Notification and Opportunity to Respond

Upon receipt of a verified complaint that meets all of the above requirements, the General Counsel will notify each Respondent of the allegations in the complaint. A named Respondent then has fifteen (15) days in which to provide a written response to the Registry. The complaint and response (or the fact of no response) becomes public record after the expiration of the 15 day time period in which a Respondent may answer the complaint.

Investigation

The General Counsel will conduct an investigation to determine if there is a reason to believe that a violation may have occurred or is about to occur. Upon completion of the investigation, the General Counsel will report the investigation findings and make a recommendation to the Registry for further action. The Respondent will be notified in writing of the legal basis for and the alleged facts which support the recommendations of the General Counsel, be given an opportunity to respond, and may be required or otherwise choose to appear before the Registry.

Authority to Issue Subpoenas, Conduct Depositions, Require Responses to Interrogatories

The Registry may authorize the issuance of subpoenas, order oral testimony to be taken by deposition, and require a person to submit sworn, written answers to written questions submitted during the course of an investigation.

Registry Action

If the Registry concludes there is probable cause to believe that a civil violation of the campaign finance law has occurred, the matter will be referred to the General Counsel and Executive Director to enter into conciliation negotiations with the Respondent. If, however, the Registry determines that there is probable cause to believe that a Respondent knowingly violated the campaign finance law, then the matter will be referred to the Attorney General for prosecution.

Conciliation

A conciliation agreement is offered by the General Counsel and Executive Director in cases where the Registry concludes there is probable cause to believe that a civil violation of the campaign finance law has occurred. A conciliation agreement may require the Respondent to comply with one or more of the following:

- Cease and desist violation of the law;
- File required reports or other documents or provide required information;
- To pay a penalty not to exceed \$100 per day, up to a maximum total fine of \$5,000, for failure to (1) file any report, (2) pay a required administrative fee, or (3) file other document or information required by law until such time that the report, fee payment, or required document or information is filed;
- To pay a penalty not to exceed \$5,000 per violation for acts of noncompliance with provisions of KRS Chapter 121.

NOTE: NO MAXIMUM TOTAL FINE APPLIES TO CANDIDATES FOR STATEWIDE OFFICE. See KRS 121.140(2)(c).

If no conciliation agreement is reached, the Registry initiates judicial hearing procedures. Judicial hearings are public and the judge's decision is subject to final approval by the registry.

Referrals for Prosecution

If the Registry determines there is probable cause to believe that a Respondent has **knowingly** violated the campaign finance law, the violation will be referred to the Attorney General for further investigation and potential prosecution. A campaign finance violation committed knowingly is subject to prosecution as a Class D felony.

Right to Appeal

Any person directly involved or affected by a final decision of the Registry, other than a determination to refer for further investigation and potential prosecution, may appeal the final decision of the Registry within 30 days of the Registry's decision.

Delinquency Actions

The Registry initiates an internal complaint when a required election finance statement is filed late or not filed at all. The failure to timely file required election finance statements constitutes prima facie evidence of probable cause to believe that a violation of the campaign finance law has occurred. In these instances, the General Counsel and Executive Director are authorized to immediately enter into conciliation negotiations with the Respondent.

Audits with Findings

All statewide candidates are subject to audit of campaign accounts by the Registry. In the event the Registry's auditor makes findings regarding the statewide candidate's campaign, an internal complaint is initiated in which the candidate and treasurer, and potentially other parties, are named as Respondents and given an opportunity to respond to the auditor's findings.

PENALTIES

Substantial penalties may be assessed for committing civil violations of the campaign finance law. A person who knowingly violates the campaign finance law may be prosecuted for committing a Class D felony. A business that violates the prohibition against corporate contributions may have its charter revoked, lose the ability to do business in Kentucky, and face substantial fines. For specific penalty provisions, see KRS 121.990.

ADVISORY OPINIONS

KRS 121.135; 32 KAR 2:060

Any person may request an Advisory Opinion from the Registry concerning the application of campaign finance laws to a specific transaction or activity by the person. Requests must be in writing, and must identify the person(s) involved in the specific activity. **General questions of interpretation or questions posing a hypothetical situation or regarding actions by an unidentified third party shall not be considered for an Advisory Opinion by the Registry.** The Registry is required to issue an Advisory Opinion within 30 days of receipt of the request. If a candidate, slate of candidates or a campaign committee requests an opinion not more than 30 days before an election in which the candidate or slate of candidates is to appear on the ballot, the Advisory Opinion must be issued within 20 days after the Registry receives the request.

An Advisory Opinion issued by the Registry is binding only as to the person involved in the specific transaction or activity with respect to which the Advisory Opinion is rendered. If a person or committee to whom an Advisory Opinion has been issued acts in good faith in accordance with the terms of the Advisory Opinion, the opinion is a defense against any sanction provided by law or administrative regulation. However, it shall be no defense in any civil or criminal proceeding for a person to rely on an Advisory Opinion, if he or she was not the party involved in the specific transaction or activity with respect to which the Advisory Opinion was rendered.

A searchable version of advisory opinions is available on the Registry's website at www.kref.ky.gov. Advisory opinions are listed by topic and by year.

Notes:

COMPLYING WITH OTHER LAWS

In addition to complying with campaign finance law, campaigns may be subject to laws and rules outside the Registry's jurisdiction. This Appendix lists some of the agencies that the campaign may wish to contact.

ADDITIONAL RESOURCES

Federal Withholding Information for Employees, Independent Contractor Rules, Federal Filing and Deposit Requirements for Payroll Tax Returns

Internal Revenue Service

1-800-829-1040

<http://www.irs.gov>

Obtain a Federal Employer Identification Number (EIN)

Internal Revenue Service: Telephone 1-800-829-4933

Fax 1-855-641-6435

www.irs.gov/businesses/small

Business / Self-employed / Employer ID Numbers

Social Security

Social Security Administration: 1-800-772-1213

www.ssa.gov/

Obtain Kentucky Withholding and Sales Tax Account Numbers

Department of Revenue

Registration Compliance Section

502-564-5170

www.revenue.ky.gov/business

Assistance Completing Kentucky Withholding Tax Form

Department of Revenue

Withholding Tax Branch

502-564-7287

www.revenue.ky.gov/business

Obtain an Unemployment Insurance Number

Kentucky Office of Employment and Training
Unemployment Insurance
502-564-2272
www.oet.ky.gov/

SALE AND DISTRIBUTION OF CAMPAIGN ITEMS***Assistance Completing Kentucky Sales Tax Forms***

Department of Revenue
Division of Sales and Use Tax
502-564-5170
www.revenue.ky.gov/business

Selling or Serving Alcoholic Beverages at Functions

Public Protection Cabinet
Alcoholic Beverage Control
www.abc.ky.gov

Selling or Serving Beer and/or Liquor
502-564-4850

The Legality of Raffles, Drawings or Other Games of Chance

Public Protection Cabinet
Department of Charitable Gaming
502-573-5528
1-800-729-5672
www.dcg.ky.gov

GENERAL INFORMATION***CANDIDATE OR ELECTION QUESTIONS***

Kentucky Secretary of State
Elections Division
502-564-3490
www.sos.ky.gov

Registered Voter Lists, Mailing Labels, Campaign Advertising at the Polling Place

State Board of Elections
502-573-7100
www.elect.ky.gov

Political Advertising Broadcast Disclaimer Questions

Federal Communications Commission (FCC)
Political Office
Telephone 202-418-1440
FAX 866-418-0232
www.fcc.gov

Federal Election Regulations

Federal Elections Commission (FEC)
1-800-424-9530
www.fec.gov

Health Permits for Serving Food

Contact the local health department where the food is being served. A listing of local health departments can be obtained from the Department for Public Health, Food Safety,
502-564-3970
www.chfs.ky.gov/dph/default.htm

Bulk Mail Postal Permit

United States Postal Service
Contact the local Post Office
www.usps.com

Ethics Questions

Executive Branch Ethics Commission

502-564-7954

FAX: 502-695-5939

www.ethics.ky.gov

Legislative Ethics Commission

502-573-2863

www.klec.ky.gov

Judicial Ethics Committee

Kentucky Court of Justice

150 N. Limestone, Ste. 301

Lexington, KY 40507

859-246-2296

www.courts.ky.gov/commissionscommittee/iec/

Political Parties

Democratic Party of Kentucky

260 Democratic Drive

Frankfort, KY 40601

502-695-4828

www.kydemocrats.org

Republican Party of Kentucky

105 W. 3rd Street

Frankfort, KY 40601

502-875-5130

www.rpk.org

Libertarian Party of Kentucky

PO Box 432

Independence, KY 41251

502-791-5759

www.lpkv.org

GLOSSARY

Advisory Opinion: A formal written response by the Registry to a question concerning the application of KRS Chapter 121 to a specific transaction or activity

Advertising (Political): Under KRS 121.190(1), any communication that expressly advocates the election or defeat of a clearly identified candidate or slate of candidates for public office

Affiliate of Political Party: Any organization which is under the control or direction of the state committee and is responsible for the day-to-day operation of the political party at the county or district level

Candidate: A person who has received contributions, made expenditures, appointed a campaign treasurer, or given consent for anyone else to do so on his or her behalf with a view to bring about his or her nomination or election to public office, except federal office

Candidate Campaign Committee: A group authorized by a candidate or slate of candidates to receive contributions and make expenditures to support or oppose the candidate or slate of candidates (This group must file a Committee Registration Form with the Registry.)

Caucus Campaign Committee: Under KRS 121.015(3)(b), which means members of one (1) of the following caucus groups who receive contributions and make expenditures to support or oppose one (1) or more specific candidates or slates of candidates for nomination or election, or a committee: 1. House Democratic caucus campaign committee; 2. House Republican caucus campaign committee; 3. Senate Democratic caucus campaign committee; and 4. Senate Republican caucus campaign committee; or 5. Subdivisions of the state executive committee of a minor political party, which serves the same function at the above mentioned committees, as determined by regulations promulgated by the Registry.

Contributing Organization: A group which merely contributes to candidates or slates of candidates, campaign committees, executive committees or caucus campaign committees from time to time with funds derived solely from within the group, and which does not solicit or receive funds from sources outside the group.

Contributor: An individual or group who gives something of value to a committee, candidate, or slate of candidates, including the provision funds of goods, advertising, or services valued at more than \$100 per election.

Corporation: Under Kentucky's campaign finance law, "corporation" means any corporation, company, partnership, joint stock company, or association. The prohibition on corporate contributions to candidates and committees that support candidates for election extends to all corporate types, including non-stock corporations, solely owned corporations, not-for-profit corporations, S-

corporations, and professional service corporations (PSCs), and also extends to other types of business entities, including limited liability partnerships (LLPs), limited liability companies (LLCs), and unions.

Cover Page: The first page of the Registry's Election Finance Statement (KREF 006). Must be submitted with each Election Finance Statement filed with the Registry.

Disbursement: Any expenditure of money by a candidate or committee

Disclaimer: The information which is required to identify the purchaser of advertising or other material advocating the election or defeat of a clearly identified candidate, slate of candidates, or group of candidates under KRS 121.190.

Election: Any primary, general, or special election to fill vacancies regardless of whether a candidate or slate of candidates is opposed or unopposed in an election. (Each primary, general, or special election shall be considered a separate election.)

Executive Committee: The decision making and governing body of a specific political party with an accurately defined role, responsibilities, objectives, administration and purpose defined in the political party rules or constitution and a specific number of members elected through a democratic election according to the political party election rules that reflect the various political structures within the specific political party and ensure representation from each structure. The Registry applies a test to determine whether an organization qualifies for recognition as an executive committee of a political party. Committees that desire a determination must submit an advisory opinion request to the Registry, and must meet the following requirements in order to qualify as a state party committee, as follows:

- The committee must achieve ballot access for at least one statewide candidate in the state;
- The committee must possess an official party structure; and
- The relationship between the political party and the committee must be based on an agreement that requires the committee to perform activities commensurate with the day-to-day operation of the party on a state level (such as raising contributions, assisting candidates' fundraising efforts; conducting voter registration drives; holding state conventions; and nominating candidates for state and federal office).

See Advisory Opinion 2013-003.

Fundraiser Person: An individual who directly solicits and receives contributions on behalf of a candidate for a statewide-elected office or an office in a jurisdiction with a population in excess of 200,000 residents

Events: Testimonial affairs, dinners, luncheons, rallies, and similar fundraising activities, mass collections and the sale of items such as buttons, hats, ties, and literature

Inaugural Committee: One or more persons who receive contributions and make expenditures in support of inauguration activities for any candidate or slate of candidates elected to office

Independent Expenditure: The expenditure of money or other things of value for a communication which expressly advocates the election or defeat of a clearly identified candidate, or slate of candidates and which is made without any coordination, consultation, or cooperation with any candidate, campaign committee, or any authorized person acting on behalf of any of them, and which is not made in concert with, or at the request or suggestion of any candidate, campaign committee, or any authorized person acting on behalf of any of them

In-kind Contribution: A non-monetary contribution such as goods, services, or advertising in excess of \$100 per election, per contributor, or a series of similar donations which in the aggregate, exceeds a value of \$100 per election, per contributor

Itemized Contribution: Contributions Exceeding \$100 in the Aggregate which require listing of a contribution by name, address, date, amount of the contribution, age if under 18, occupation and employer, or if the contributor is self-employed, the name under which the contributor is doing business

KAR: Kentucky Administrative Regulations

KRS: Kentucky Revised Statutes

PAC: Acronym for Political Action Committee or Permanent Committee under KRS Chapter 121.

Permanent Committee: A group of individuals, including an association, committee or organization, which is intended to be a permanent organization having as a primary purpose expressly advocating the election or defeat of one or more clearly identified candidates, slates of candidates, or political parties, which functions on a regular basis throughout the year, also referred to as a PAC.

Political Issues Committee: A group of three or more persons joining together to advocate or oppose a constitutional amendment or public question which appears on the ballot if that committee receives or expends money in excess of \$1,000

Political Party: A committee or organization whose nominated or selected candidates for federal office appear on the ballot as the party's candidates.

Registry: Kentucky Registry of Election Finance

Schedule 1A: Part of the Registry's Election Finance Statement (KREF 006). Used for reporting "Itemized Receipts" of the campaign.

Schedule 1B: Part of the Registry's Election Finance Statement (KREF 006). Used for reporting "Anonymous, Cash and Unitemized Receipts" of the campaign.

Schedule 1C: Part of the Registry's Election Finance Statement (KREF 006). Used for reporting "PAC Receipts" of the campaign.

Schedule 1D: Part of the Registry’s Election Finance Statement (KREF 006). Used for reporting “Executive Committee Receipts” of the campaign.

Schedule 1E: Part of the Registry’s Election Finance Statement (KREF 006). Used for reporting “Caucus Campaign Committee Receipts” of the campaign.

Schedule 2A: Part of the Registry’s Election Finance Statement (KREF 006). Used for reporting “Disbursements” or “Expenditures” of the campaign.

Schedule 2B: Part of the Registry’s Election Finance Statement (KREF 006). Used for reporting “In-Kind Disbursements” or “Expenditures” of the campaign.

Schedule 2C: Part of the Registry’s Election Finance Statement (KREF 006). Used for reporting “Independent Expenditures” of the campaign.

Schedule 3A: Part of the Registry’s Election Finance Statement (KREF 006). Used for reporting “Events” of the campaign.

Schedule 4A: Part of the Registry’s Election Finance Statement (KREF 006). Used for reporting “Debts and Obligations” of the campaign.

Slate of Candidates: Any two persons who have filed a joint notification and declaration pursuant to KRS 118.127, received contributions or made expenditures, appointed a campaign treasurer, designated a campaign depository or given their consent for any other person to receive contributions or make expenditures with a view to bringing about their nomination for election to the offices of Governor and Lieutenant Governor

Statewide Candidate: Candidates seeking the nomination or election by the qualified voters of the Commonwealth to the following public offices: Governor, Lieutenant Governor, Secretary of State, Attorney General, Auditor of Public Accounts, State Treasurer, and Commissioner of Agriculture

Subdivision of Political Party: An organization under the control or direction of the State Committee of a minor political party which serves the same function as a caucus campaign committee.

Summary Page: Part of the Registry’s Election Finance Statement (KREF 006). A cumulative total of all income and expenditures for a pre-determined period.

Testimonial Affair: An affair held in honor of a person who holds office or who is, or was, a candidate for nomination or election to a political office in this state, designed to raise funds for any purpose not charitable, religious, or educational

Unauthorized Campaign Committee: A group formed to receive contributions and make expenditures to support or oppose a candidate or slate of candidates, without the authorization of the candidate or slate of candidates, subject to Political Committee Registration requirements

Vote Buying: The distribution of a material benefit to an individual voter in exchange for his or her vote.

FORMS & INSTRUCTIONS



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KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, Kentucky 40601-3240

PHONE (502) 573-2226 / FAX (502) 573-5622

www.kref.ky.gov

KREF 016 (Rev. 03/2018)

Notes:



**STATEMENT OF SPENDING INTENT AND
APPOINTMENT OF CAMPAIGN TREASURER
FORM (KREF-001)**

KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, Kentucky 40601-3240

PHONE (502) 573-2226 / FAX (502) 573-5622

www.kref.ky.gov

KREF 001 (Rev. 03/2018)

Notes:

<p>KENTUCKY REGISTRY OF ELECTION FINANCE 140 Walnut Street, Frankfort, KY 40601-3240 (502) 573-2226 / FAX (502) 573-5622 www.kref.ky.gov</p> <p style="text-align: center;">STATEMENT OF SPENDING INTENT AND APPOINTMENT OF CAMPAIGN TREASURER</p>	<p>This Space for Filing Officer Use Only</p> <p style="text-align: center;">If not date stamped, complete the following:</p> <p style="text-align: center;">Form filed with Secretary of State</p> <p style="text-align: right;">(Date Filed)</p>	<p>This Space for Registry Use Only</p> <p style="text-align: right;">FN _____</p> <p style="text-align: right;">BY _____</p> <p style="text-align: right;">DATE _____</p>
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SECTION 1. CANDIDATE INFORMATION (Please type or print)

Name of Candidate (as it will appear on ballot)		County of Candidate's Residence	
Candidate's Mailing Address: Street, PO Box, Rural Route		City	State Zip Code
Candidate's Telephone Number		Candidate's Alternate Telephone Number	
Candidate's Date of Birth	Candidate's Email Address		

SECTION 2. ELECTION INFORMATION

Date of Election	Type of Election (Check all that apply): ___ Primary Election ___ General Election ___ Special Election ___ Election to Fill Unexpired Term	Is Candidate the Incumbent for This Office? ___ Yes ___ No	Is Candidate Filing as a Write-In Candidate? ___ Yes ___ No
Office Sought		Jurisdiction of Office Sought, including District, Circuit, or Division Number, if Applicable	
This Race is: (Check One) ___ Partisan ___ Non-Partisan	If Partisan Race, Indicate Candidate's Designation on the Ballot: (Check One) ___ Democrat ___ Republican ___ Independent ___ Other (Specify) _____		

SECTION 3. TREASURER AND DEPOSITORY INFORMATION

Name of Treasurer – Required Designation Even if Candidate is Serving as Own Treasurer		Treasurer's Email Address:	
Treasurer's Mailing Address: Street, PO Box, Rural Route		City	State Zip Code
Treasurer's Telephone Number		Treasurer's Alternate Telephone Number	
Name of Financial Institution Intended for Use as Campaign Depository		Address of Financial institution Intended for Use as Campaign Depository	

SECTION 4. STATEMENT OF SPENDING INTENT AND REQUEST FOR EXEMPTION - KRS 121.180(1)

NO EXEMPTION. I (or my campaign committee) expect to **raise and/or spend more than \$3,000** during the election(s) as indicated below. **I INTEND TO FILE ALL CAMPAIGN FINANCE REPORTS directly** with the Registry. I understand that I will have campaign finance reports due as listed below. This is my intent for the (check all that apply):

___ **Primary Election** (Reports Due: 30 and 15 days before the election(s) and 30 days after the election(s))

___ **General Election** (Reports Due: 60, 30 and 15 days before the election(s) and 30 days after the election(s))

___ **Special Election** (Reports Due: 30 and 15 days before the election(s) and 30 days after the election(s))

___ **Unexpired Term** (Reports Due: see above for Primary Election Reports Due or General Election Reports Due)

EXEMPTION OPTION. I (or my campaign committee) expect to **raise and/or spend \$3,000 or less** during the election(s) indicated below which entitles me to request a reporting exemption. I understand that I will have **no campaign finance reports due** for the election(s) indicated, unless my campaign exceeds the \$3,000 threshold, at which time I will immediately file the required campaign finance reports **directly** with the Registry. This is my intent for the (check all that apply):

___ **Primary Election** ___ **General Election** ___ **Special Election** ___ **Unexpired Term Election**

AMENDMENT (To amend candidate, election, treasurer, or depository information or prior request for exemption. **Please file directly with the Registry.**) Briefly describe reason for amendment or change:

SECTION 5. VERIFICATION

I certify that I have examined this Statement of Spending Intent and Appointment of Campaign Treasurer form and to the best of my knowledge and belief it is true, correct, and complete. I understand that submission of false, erroneous, or incomplete information may subject me to the penalties of KRS 121.990.

Candidate's Signature _____ **Date** ____/____/____

Treasurer's Signature _____ **Date** ____/____/____

STATEMENT OF SPENDING INTENT AND APPOINTMENT OF CAMPAIGN TREASURER INSTRUCTIONS

FILING OFFICER INSTRUCTIONS – The Filing Officer should date/stamp the form in the space provided at the top of the form. If a date/stamp device is not used, the Filing Officer must complete the information requested by hand in the spaces provided. State the name of the office where form was filed, including the name of the county, and indicate the date on which the filing was accepted. The Filing Officer should 1) retain the original form to be filed with the Candidate’s filing papers, 2) send a copy to the Registry immediately, and 3) provide the Candidate with a copy.

REGISTRY USE ONLY BOX - This space is reserved for use by the Registry of Election Finance. Do not make any marks or enter any information in this space.

GENERAL INSTRUCTIONS - Type or print all entries and provide all information requested. Candidates are advised that, with very limited exceptions, they may not file this form directly with the Registry. It must be filed with the Secretary of State or their County Clerk only, who will forward the appropriate copy to the Registry. This form does not constitute the registration of a campaign committee. To register a campaign committee, obtain Form KREF-010 from the Registry and file it with the Registry.

SPECIFIC INSTRUCTIONS -

SECTION 1. CANDIDATE INFORMATION - This section of the form contains information relating to the candidate. An entry in each field is required. Do not leave any fields blank. Enter the name of the candidate as it will appear on the ballot.

SECTION 2. ELECTION INFORMATION - This section contains information relating to the election. An entry in each field is required. Do not leave any fields blank. Enter the date of the election for which the candidate is filing this form.

SECTION 3. TREASURER AND DEPOSITORY INFORMATION - This section of the form contains information relating to the campaign treasurer and campaign depository bank account. An entry in each field is required. Note that a candidate is required to notify the Registry of the death, resignation, or removal of a treasurer and appoint a successor by using this form or be accountable as his or her own treasurer. If candidate is serving as his or her own treasurer, “Self” may be entered in this field.

SECTION 4. STATEMENT OF SPENDING INTENT AND REQUEST FOR EXEMPTION, AMENDED INFORMATION, REVOCATION OR CHANGE IN REPORTING EXEMPTION - Pursuant to KRS 121.180(1), this section of the form contains options for spending intent and requesting a reporting exemption based on the amount of money the candidate plans to raise or spend in each election. This section of the instructions contains important information regarding deadlines for filing reporting exemptions and possible penalties for exceeding the threshold for the exemption chosen.

For candidates with a January filing deadline - The request for exemption for the primary nomination must be filed with the filing officer who receives the candidate’s filing papers no later than the filing deadline for the primary. To revoke or change the request for exemption for the primary, the candidate must file an amended Form KREF 001 no later than 15 days after the filing deadline for the primary. For candidates winning the primary nomination - If the candidate has not already filed a request for exemption for the general election, it must be filed with the officer who receives the candidate’s filing papers no later than 25 days after the date of the primary. To revoke the request for exemption, the candidate must file an amended Form KREF 001 no later than 25 days after the date of the primary. For candidates with an August filing deadline - The request for exemption must be filed with the officer who receives the candidate’s filing papers no later than the filing deadline for the general election. To revoke or change the request for reporting exemption, the candidate must complete Form KREF 001 no later than 15 days after the filing deadline for the general election. Candidates for county offices, city offices, or school board races may exceed the threshold chosen without filing an amended Form KREF 001. However, the candidate must begin filing all applicable financial reports due, or be subject to civil penalties for late reporting. All other candidates who fail to revoke or change the reporting exemption chosen, and then exceed the threshold, may be subject to penalties, including civil penalties for late reporting or possible criminal penalties for knowing violations. A candidate who intends to raise or spend over \$3,000 is not entitled to a reporting exemption, and is therefore required to file all reports for the primary election, for the general election, or for both elections, or for a special or unexpired term election, as indicated by checking the appropriate boxes. If a candidate chooses this option, all reports are required, even if no campaign activity has taken place during the reporting period. Whether a candidate is opposed or unopposed in an election does not affect the reporting requirements. A candidate who intends to raise or spend \$3,000 or less (including the candidate’s own money) during each election may request an exemption from all pre- and post-election reporting. When choosing this option, indicate whether the exemption is being requested for the primary election, the general election, or both, or for a special or unexpired term election.

AMENDMENT - This section of the form is used to indicate that information as previously filed on a Form KREF 001 has changed. If using this form to amend candidate, election, treasurer, or depository information, complete a new Form KREF 001 in its entirety. In Section 4, check the appropriate box to indicate that the form contains information which is different from that which was originally filed. Briefly describe the reason for the amendment. (Note: For this type of change the amended Form KREF 001 must be filed directly with the Registry.) For example, to name a new campaign treasurer in the event of the resignation of the former treasurer, complete the entire form, include the new treasurer’s name, address, and telephone numbers in the appropriate fields.

SECTION 5. CANDIDATE’S AND TREASURER’S SIGNATURE - After reading the verification statement, the candidate should sign and date the form. By signing the form the candidate acknowledges that he or she has read and understands the verification statement. After reading the verification statement, the treasurer should sign and date the form. By signing the form the treasurer acknowledges that he or she has read and understands the verification statement.



SLATE OF CANDIDATES
STATEMENT OF SPENDING INTENT AND
APPOINTMENT OF CAMPAIGN TREASURER
FORM (KREF-001/G)

KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, Kentucky 40601-3240

PHONE (502) 573-2226 / FAX (502) 573-5622

www.kref.ky.gov

KREF 001/G (Rev. 03/2018)

Notes:

<p>KENTUCKY REGISTRY OF ELECTION FINANCE 140 Walnut Street, Frankfort, KY 40601-3240 (502) 573-2226 / FAX (502) 573-5622 www.kref.ky.gov</p> <p>SLATE OF CANDIDATES STATEMENT OF SPENDING INTENT AND APPOINTMENT OF CAMPAIGN TREASURER</p>	<p>This Space for Filing Officer Use Only</p> <p>If not date stamped, complete the following:</p> <p>Form filed with Secretary of State _____ (Date Filed)</p>	<p>This Space for Registry Use Only</p> <p>FN _____</p> <p>BY _____</p> <p>DATE _____</p>
--	---	---

SECTION 1. CANDIDATE FOR GOVERNOR INFORMATION (Please type or print)

Name of Candidate for Governor (as it will appear on ballot)		Candidate for Governor's Email Address	
Candidate for Governor's Mailing Address: Street, PO Box, Rural Route		City	State Zip Code
Candidate for Governor's Telephone Number	Candidate for Governor's Alternate Telephone Number		Candidate for Governor's Date of Birth
Date of Election	Type of Election (Check all that apply): __ Primary Election __ General Election __ Special Election	If Partisan Race, Indicate Candidate's Designation on the Ballot: (Check One) __ Democrat __ Republican __ Independent __ Other (Specify) _____	Is Candidate Filing as a Write-In Candidate? __ Yes __ No

SECTION 2. CANDIDATE FOR LT. GOVERNOR INFORMATION (Please type or print)

Name of Candidate for Lt. Governor (as it will appear on ballot)		Candidate for Lt. Governor's Email Address	
Candidate for Lt. Governor's Mailing Address: Street, PO Box, Rural Route		City	State Zip Code
Candidate for Lt. Governor's Telephone Number	Candidate for Lt. Governor's Alternate Telephone Number		Candidate for Lt. Governor's Date of Birth

SECTION 3. TREASURER AND DEPOSITORY INFORMATION

Name of Treasurer – Required Designation Even if Candidate is Serving as Own Treasurer		Treasurer's Email Address:	
Treasurer's Mailing Address: Street, PO Box, Rural Route		City	State Zip Code
Treasurer's Telephone Number	Treasurer's Alternate Telephone Number		
Name of Financial Institution Intended for Use as Campaign Depository	Address of Financial institution Intended for Use as Campaign Depository		

SECTION 4. STATEMENT OF SPENDING INTENT AND REQUEST FOR EXEMPTION - KRS 121.180(1)

NO EXEMPTION. We (or our campaign committee) expect to **raise and/or spend more than \$3,000** during the election(s) as indicated below. **We INTEND TO FILE ALL CAMPAIGN FINANCE REPORTS.** We understand that we will have campaign finance reports due as listed below. This is our intent for the (check all that apply):

 ___ **Primary Election** (Reports Due: 30 and 15 days before the election(s) and 30 days after the election(s))

 ___ **General Election** (Reports Due: 60, 30 and 15 days before the election(s) and 30 days after the election(s))

 ___ **Special Election** (Reports Due: 30 and 15 days before the election(s) and 30 days after the election(s))

EXEMPTION OPTION. We (or our campaign committee) expect to **raise and/or spend \$3,000 or less** during the election(s) indicated below which entitles us to a reporting exemption. We understand that we will have **no campaign finance reports due** for the election(s) indicated, unless our campaign exceeds the \$3,000 threshold, at which time we will immediately file the required campaign finance reports **directly** with the Registry. This is our intent for the (check all that apply):

 ___ **Primary Election** ___ **General Election** ___ **Special Election**

AMENDMENT (To amend candidate, election, treasurer, or depository information or prior request for exemption. **Please file directly with the Registry.**) Briefly describe reason for amendment or change:

SECTION 5. VERIFICATION

I certify that I have examined this Statement of Spending Intent and Appointment of Campaign Treasurer form and to the best of my knowledge and belief it is true, correct, and complete. I understand that submission of false, erroneous, or incomplete information may subject me to the penalties of KRS 121.990.

Signature - Candidate for Governor _____ **Date** ____/____/____
Signature - Candidate for Lt. Governor _____ **Date** ____/____/____
Signature - Treasurer for Slate _____ **Date** ____/____/____

STATEMENT OF SPENDING INTENT AND APPOINTMENT OF CAMPAIGN TREASURER INSTRUCTIONS

FILING OFFICER INSTRUCTIONS – The Filing Officer should date/stamp the form in the space provided at the top of the form. If a date/stamp device is not used, the Filing Officer must complete the information requested by hand in the spaces provided. State the name of the office where form was filed, including the name of the county, and indicate the date on which the filing was accepted. The Filing Officer should 1) retain the original form to be filed with the Slate’s filing papers, 2) send a copy to the Registry immediately, and 3) provide the Slate with a copy.

REGISTRY USE ONLY BOX - This space is reserved for use by the Registry of Election Finance. Do not make any marks or enter any information in this space.

GENERAL INSTRUCTIONS - Type or print all entries and provide all information requested. Slates are advised that, with very limited exceptions, they may not file this form directly with the Registry. It must be filed with the Secretary of State or their County Clerk only, who will forward the appropriate copy to the Registry. This form does not constitute the registration of a campaign committee. To register a campaign committee, obtain Form KREF-010 from the Registry and file it with the Registry.

SPECIFIC INSTRUCTIONS -

SECTION 1. CANDIDATE FOR GOVERNOR INFORMATION - This section of the form contains information relating to the candidate for governor. An entry in each field is required. Do not leave any fields blank. Enter the name of the candidate as it will appear on the ballot.

SECTION 2. CANDIDATE FOR LT. GOVERNOR INFORMATION - This section of the form contains information relating to the candidate for Lieutenant Governor. An entry in each field is required. Do not leave any fields blank. Enter the name of the candidate as it will appear on the ballot.

SECTION 3. TREASURER AND DEPOSITORY INFORMATION - This section of the form contains information relating to the campaign treasurer and campaign depository bank account. An entry in each field is required. Note that a candidate is required to notify the Registry of the death, resignation, or removal of a treasurer and appoint a successor by using this form or be accountable as his or her own treasurer. If candidate is serving as his or her own treasurer, “Self” may be entered in this field.

SECTION 4. STATEMENT OF SPENDING INTENT AND REQUEST FOR EXEMPTION, AMENDED INFORMATION, REVOCATION OR CHANGE IN REPORTING EXEMPTION - Pursuant to KRS 121.180(1), this section of the form contains options for spending intent and requesting a reporting exemption based on the amount of money the slate plans to raise or spend in each election. This section of the instructions contains important information regarding deadlines for filing reporting exemptions and possible penalties for exceeding the threshold for the exemption chosen.

For a slate with a January filing deadline - The request for exemption for the primary nomination must be filed with the filing officer who receives the slate’s filing papers no later than the filing deadline for the primary. To revoke or change the request for exemption for the primary, the slate must file an amended Form KREF 001/G no later than 15 days after the filing deadline for the primary. For a slate winning the primary nomination - If the slate has not already filed a request for exemption for the general election, it must be filed with the officer who receives the slate’s filing papers no later than 25 days after the date of the primary. To revoke the request for exemption, the slate must file an amended Form KREF 001 no later than 25 days after the date of the primary. For slates with an August filing deadline - The request for exemption must be filed with the officer who receives the slate’s filing papers no later than the filing deadline for the general election. To revoke or change the request for reporting exemption, the slate must complete Form KREF 001/G no later than 15 days after the filing deadline for the general election. All slates who fail to revoke or change the reporting exemption chosen, and then exceed the threshold, may be subject to penalties, including civil penalties for late reporting or possible criminal penalties for knowing violations. A slate who intends to raise or spend over \$3,000 is not entitled to a reporting exemption, and is therefore required to file all reports for the primary election, for the general election, or for both elections, or for a special or unexpired term election, as indicated by checking the appropriate boxes. If a slate chooses this option, all reports are required, even if no campaign activity has taken place during the reporting period. Whether a slate is opposed or unopposed in an election does not affect the reporting requirements. A slate who intends to raise or spend \$3,000 or less (including the slate’s own money) during each election may request an exemption from all pre- and post-election reporting. When choosing this option, indicate whether the exemption is being requested for the primary election, the general election, or both, or for a special or unexpired term election.

AMENDMENT - This section of the form is used to indicate that information as previously filed on a Form KREF 001 has changed. If using this form to amend slate, election, treasurer, or depository information, complete a new Form KREF 001 in its entirety. In Section 4, check the appropriate box to indicate that the form contains information which is different from that which was originally filed. Briefly describe the reason for the amendment. (Note: For this type of change the amended Form KREF 001 must be filed directly with the Registry.) For example, to name a new campaign treasurer in the event of the resignation of the former treasurer, complete the entire form, include the new treasurer’s name, address, and telephone numbers in the appropriate fields.

SECTION 5. CANDIDATE FOR GOVERNOR, CANDIDATE FOR LT. GOVERNOR AND TREASURER’S SIGNATURE - After reading the verification statement, the candidate for Governor and the candidate for Lt. Governor should sign and date the form. By signing the form both candidates acknowledge that he or she has read and understands the verification statement. After reading the verification statement, the treasurer should sign and date the form. By signing the form the treasurer acknowledges that he or she has read and understands the verification statement.



ELECTION FINANCE STATEMENT
FORMS & INSTRUCTIONS
FORM (KREF-006)

KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, Kentucky 40601-3240

PHONE (502) 573-2226 / FAX (502) 573-5622

www.kref.ky.gov

KREF 006 (Rev. 03/2018)

.....
CANDIDATE / SLATE OF CANDIDATES
ELECTION FINANCE STATEMENT - COVER PAGE
.....

- BOX 1 Candidate/Slate:** Enter the name of the candidate. For a slate of candidates, enter only the last names of the two slate members.
- Committee:** Enter the name of the campaign committee, if applicable.
- Date of Birth:** Enter the Month/Day/Year the candidate was born. For a slate of candidates, list only the date of birth of the candidate for Governor.
- KREF Filer #:** Enter the KREF filer number assigned by the Registry.
- Office Sought:** Enter the name of the office sought as shown on the campaign filing papers.
- District/Division:** Enter the district or division number, if applicable.
- County of Residence:** Enter the county name of the candidate’s main residence. For a slate of candidates, enter only the county of residence of the candidate for Governor.
- Political Party:** Enter the name of the political party affiliated with the campaign.
If non-partisan, list N/A.
- BOX 2** Enter the complete mailing address for the campaign along with a daytime telephone number and email address. Please check the box if any of this information has changed since your last filing.
- BOX 3** Enter the name and complete mailing address for the treasurer along with a daytime telephone number and email address. Please check the box if any of this information has changed since your last filing.
- BOX 4 This Statement Covers:** Enter the beginning and ending date for this statement. These dates should be consecutive from one report to the next and should **NOT** overlap (i.e., if you ended the last report on the 14th of the month, this report would start on the 15th of the month)
- BOX 5 Date of Election:** Enter the Month/Day/Year of the election covered by this statement.
- Statement relates to:** Check one of the four boxes to identify the election pertinent to this report.
- BOX 6 Type of statement:** Check one of the boxes to identify the type of statement being filed.
- For the final campaign finance report, also check box “h” and fill in the Month/Day/Year the campaign account was closed and all campaign activity ceased.
- For an amended report, check the appropriate box for the reporting period being amended and also check amendment box “i.”
- BOX 7 Not on Ballot or Unopposed:** If you are either not on the Ballot for this election or running unopposed, **and** will have no campaign activity (contribution/expenditures) for the election, check one of the boxes and complete the Cover Page and Summary Page only. This will terminate the campaign’s reporting requirements. Also check Box 6, Item h and enter the date.
- BOX 8 Verification:** The election finance statement must be signed and dated by either the candidate or the campaign treasurer. The name of the person signing the report must be printed or typed and that person must provide his/her authorized signature and indicate the Month/Day/Year the signature was applied.

Note that the election finance statement should only include information for the reporting period shown on the cover page. If the candidate or committee had no activity (receipts and/or expenditures) during the reporting period, complete the Cover Page and Summary Page only, checking the box “NO CHANGE SINCE LAST REPORT” on the Balance Statement portion of the Summary Page.

KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, KY 40601-3240
 (502) 573-2226 / FAX (502) 573-5622 or (502) 573-0275
 www.kref.ky.gov

This Space for Registry Use Only

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: (____)____-____ Email: _____

Check here if the any of the above info has changed

3. Treasurer's Name and Mailing Address:

Daytime Phone Number: (____)____-____

Check here if the any of the above info has changed

Statement Covers:

From: _____
 Month – Day – Year

To: _____
 Month – Day – Year

COMING SOON!

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5. Date of Election:

Applies to: Primary General Special
 Run-off Primary

6. Type of

a.

b.

c.

e.

f. Amended

g.

h.

i.

Annual Supplemental

Termination _____
 Month – Day – Year

AMENDMENT – Check one of the items above to indicate which statement is being amended.

7. I am either **Proposed** or **Unopposed** for this election, **and** will have **NO** contributions/expenditures

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

Candidate or

Treasurer: _____
Type or Print Name

Authorized Signature

Date: _____
Month – Day – Year

.....
SUMMARY PAGE

TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

RECEIPTS	
1a.	In Column 1, transfer the total itemized contributions from Schedule 1A, Item 4a.
1b.	In Column 1, transfer the total other receipts from Schedule 1A, Item 4c.
1c.	Record the number of <u>cash</u> receipts this period on space provided in Line 1c. In Column 1 record the total cash receipts from Schedule 1B. Individual cash contribution limit is \$100. (Note that any cash receipt which campaign records cannot attribute to a specific contributor by name and address must be classified as anonymous cash and must be reported as part of the total on Line 1d.)
1d.	Record the number of anonymous cash contributions must come from the Candidate's records.) Then enter the total anonymous receipts for this election in Column II. (Individual anonymous contribution limit is \$100 with a \$2,000 maximum aggregate.)
1e.	Record the number of unitemized contributions this period in the space provided on Line 1e, then in Column 1, enter the total of all unitemized (contribution by check of \$100 or less per election) monetary receipts. (This information must come from the Candidate's records.)
1f.	Record the total PAC contributions from Schedule 1C, Item 4a
1g.	Record the total Executive Committee contributions from Schedule 1D, Item 3a.
1h.	Record the total Caucus Campaign Committee contributions from Schedule 1E, Item 3a.
2.	In Column 1, enter the sum total of all the above reported amounts. This figure is the total receipts for the period. In Column 2, enter the total receipts for this election.
IN-KIND CONTRIBUTIONS	
3a.	In the space provided, transfer the total itemized in-kind contributions from Schedule 1A, Item 4b. In Column 2, enter the total itemized in-kind contributions <u>received</u> for the election.
3b.	In the space provided, transfer the total PAC in-kind contributions from Schedule 1C, Item 4b. In Column 2, enter the total PAC in-kind contributions <u>received</u> for the election.
3c.	In the space provided, transfer the total Executive Committee in-kind contributions from Schedule 1D, Item 3b. In Column 2, enter the total executive committee in-kind contributions <u>received</u> for the election.
3d.	In the space provided, transfer the total Caucus Campaign Committee in-kind contributions from Schedule 1E, Item 3b. In Column 2, enter the total caucus campaign committee in-kind contributions <u>received</u> for the election.
EXPENDITURES	
4.	In Column 1, record the total expenditures for this period from Schedule 2A, Item 4. In Column 2 enter the total expenditures for this election.
DEBTS AND OBLIGATIONS	
5.	In the space provided, record the total debts owed by the candidate from Schedule 4A, Item 7.
BALANCE STATEMENT	
6.	Transfer the ending balance from the last report (0 if no prior report).
7.	Transfer the total monetary receipts from Line 2, Column 1 of the Summary Page.
8.	Enter the total of Line 6 and Line 7.
9.	Transfer the total expenditure amount from Line 4, Column 1 of the Summary Page.
10.	Enter the total of Line 8 minus Line 9. This is the ending balance for this reporting period.

If this is the first election finance statement filed, copy the figures in Column 1 to Column 2.

For each subsequent election finance statement with activity, add the Column 2 figures of the prior statement with activity to the Column 1 figures of the current statement. The result is the total of Column 2 for the current statement. If no activity (receipts and/or expenditures) occurred during the reporting period, complete the Cover Page and Summary Page only, checking the box "NO CHANGE SINCE LAST REPORT" at the bottom of the Summary Page.

Candidate/Slate of Candidates/Committee Name: _____

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

RECEIPTS		COLUMN 1	COLUMN 2
		(THIS PERIOD)	(CUMULATIVE THIS ELECTION)
1. MONETARY RECEIPTS: (INCLUDING ALL RECEIPTS FROM EVENTS)			
a. ITEMIZED CONTRIBUTIONS BY CHECK OR WRITTEN INSTRUMENT (SCHEDULE 1A, ITEM 4a)		\$ _____	\$ _____
b. OTHER RECEIPTS (SCHEDULE 1A, ITEM 4c)		_____	\$ _____
c. CONTRIBUTIONS IN CURRENCY (NUMBER OF PEOPLE _____) (SCHEDULE 1B) (INDIVIDUAL CASH LIMIT IS \$100, PER ELECTION)		_____	\$ _____
d. ANONYMOUS CONTRIBUTIONS (NUMBER OF PEOPLE _____) (SCHEDULE 1B) (MAXIMUM: \$100 PER CONTRIBUTION, AGGREGATE OF \$2,000 PER ELECTION)		_____	\$ _____
e. UNITEMIZED CONTRIBUTIONS (NUMBER OF PEOPLE _____) (SCHEDULE 1B) (CONTRIBUTIONS BY CHECK OF \$100 OR LESS PER ELECTION)		_____	_____
f. POLITICAL ACTION COMMITTEE (PAC) CONTRIBUTIONS (SCHEDULE 1C, ITEM 4a)		_____	_____
g. EXECUTIVE COMMITTEE CONTRIBUTIONS (SCHEDULE 1D, ITEM 3a)		_____	\$ _____
h. CAUCUS CAMPAIGN COMMITTEE CONTRIBUTIONS (SCHEDULE 1E, ITEM 4a)		_____	\$ _____
2. TOTAL RECEIPTS		_____	\$ _____
IN-KIND CONTRIBUTIONS			
3. a. ITEMIZED (SCHEDULE 1A, ITEM 4b)		_____	\$ _____
b. PAC (SCHEDULE 1C, ITEM 4b)		_____	\$ _____
c. EXECUTIVE COMMITTEE (SCHEDULE 1D, ITEM 3a)		_____	\$ _____
d. CAUCUS CAMPAIGN COMMITTEE (SCHEDULE 1E, ITEM 4a)		_____	\$ _____
EXPENDITURES			
4. TOTAL EXPENDITURES		\$ _____	
DEBTS AND LIABILITIES			
5. TOTAL DEBTS AND LIABILITIES		\$ _____	
BALANCE			
6. ENDING BALANCE (FROM LAST REPORT)		+\$ _____	
7. ADD TOTAL RECEIPTS (FROM LINE 2, COLUMN 1)		+\$ _____	
8. SUB-TOTAL (ADD LINES 6 AND 7)		=\$ _____	
9. SUBTRACT TOTAL EXPENDITURES DURING REPORTING PERIOD (LINE 4, COLUMN 1)		-\$ _____	
10. ENDING BALANCE (SUBTRACT LINE 9 FROM LINE 8)		=\$ _____	

COMING SOON!

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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.

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

.....
ITEMIZED RECEIPTS
SCHEDULE 1A
.....

TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

READ THE FOLLOWING INSTRUCTIONS BEFORE COMPLETING SCHEDULE 1A:

- Receipts are required to be itemized when the cumulative contribution from an individual or contributing organization has exceeded \$100 during the course of an election.
- Refunds of receipts are recorded as “receipts adjustments” here on Schedule 1A and not as expenditures on Expenditure Schedule 2A.
- Refunds of amounts previously disbursed by the candidate are recorded as “expenditure adjustments” on Expenditure Schedule 2A, not as receipts on Schedule 1A.

BOX 1a Enter the name and complete address of each individual or contributing organization who has given more than \$100 per election.

BOX 1b Enter the contributor’s occupation and the name of the contributor’s employer, if applicable. (Be specific. If the contributor is self-employed, list the name under which the contributor is doing business. The term “businessman” is not acceptable.)

ADDITIONAL REQUIREMENTS ONLY FOR SLATES AND STATEWIDE CANDIDATES

Box 1c - If the contributor is married, list the contributor’s spouse’s name, occupation and employer.

Box 1d - List the marital status of the contributor (enter **S** for single or **M** for married).

BOX 2 Enter the date of receipt (Month/Day/Year) of each itemized contribution or other receipt.

BOX 3 Check one of the boxes to disclose which type of itemized receipt the campaign is reporting:

- *Direct from Candidate* for a donations from the candidate to the campaign account.
- *Loan from Candidate* for a loan from the candidate to the campaign account.
- *Direct from a person or authorized entity* for a contribution received directly from an individual or contributing organization.
- *Fundraising Event* for a contribution received in conjunction with a campaign event.
- *In-Kind Contribution* for a non-monetary contribution exceeding \$100 received by the campaign.
- *Other* for a type of receipt other than those listed above along with a description of the “other” receipt.

BOX 4a Enter the amount of each monetary contribution.

BOX 4b Enter the fair market value of each in-kind contribution of goods, advertising, services, or discounts along with a detailed explanation of what was given in-kind. Be specific.

BOX 4c Enter the amount of each “other” receipt (such as interest on a checking account).

BOX 5 Enter the cumulative receipt total for the reported election cycle (which includes both monetary and in-kind contributions) from each itemized contributor as of the current contribution.

Subtotal each page of the schedule at the bottom of the page.

Total all pages of Schedule 1A on the last page of the schedule.

Record the totals from the last page of Schedule 1A to the appropriate lines in Column 1 of the Summary Page.

ITEMIZED RECEIPTS SCHEDULE 1A

Receipts in Excess of \$100 Per Election Must be Itemized

Candidate/Slate of Candidates/Committee: _____

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

1a. Contributor Name and Address	1d. Marital Status	2. Date of Receipt *****	4a. Contribution by Check or Written Instrument	4b. Description And Value of In-Kind Contribution	4c. Other Receipts	5. Cumulative for Election <small>(per Contributor) (Monetary/In-kind)</small>
1b. Contributor Occupation and Employer (Name of business if self-employed)		3. Type of Receipt				
1c. Spouse's Name, Occupation and Employer <i>(1c & 1d are for Statewide candidates Only)</i>		<input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> In-Kind <input type="checkbox"/> Other: _____				
Occupation/Employer:		_____ <input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> In-Kind <input type="checkbox"/> Other: _____				
Occupation/Employer:		_____ <input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> In-Kind <input type="checkbox"/> Other: _____				
Occupation/Employer:		_____ <input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> In-Kind <input type="checkbox"/> Other: _____				
Occupation/Employer:		_____ <input type="checkbox"/> Direct from Candidate <input type="checkbox"/> Loan from Candidate <input type="checkbox"/> Direct from a person or authorized entity <input type="checkbox"/> Fundraising Event <input type="checkbox"/> In-Kind <input type="checkbox"/> Other: _____				

COMING SOON!

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\$	\$	\$
PERIOD (Schedule)	\$	\$
Enter this total on Col. 1, Line 1a of Summary Page	Enter this total in the space provided on Line 3a of the Summary Page	Enter this total on Col. 1, Line 1b of Summary Page

SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

.....
CASH (ONLY), ANONYMOUS & UNITEMIZED RECEIPTS
SCHEDULE 1B
.....

TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

CASH RECEIPTS

(Individual cash contribution limit is \$100 per election. Cash receipts are attributable to a specific donor while anonymous receipts are not.)

Enter the **date** of each individual cash contribution received during this period in Column 1.

Enter the **amount** of each cash contribution received during this period in Column 3.

ANONYMOUS RECEIPTS

(Anonymous contribution limit is \$100 per contribution. Anonymous receipts are limited to \$100 per contributor up to a maximum aggregate limit of \$2,000 per election.)

Enter the **date** of each individual anonymous contribution received during this period in Column 1.

Enter the **amount** of each anonymous contribution received during this period in Column 2.

UNITEMIZED RECEIPTS

(Unitemized contributions by check of \$100 or less per contributor, per election)

Enter the **date** of each individual *unitemized* contribution received during this period in Column 1.

Enter the **amount** of each *unitemized* contribution received during this period in Column 2.

Enter the subtotal for each column, and subtotal each Schedule 1B that you complete.

Total all completed Schedule 1Bs and enter the "Total # of Contributors," and "Total Receipts this Period" for Cash, Anonymous and Unitemized on the bottom of the last Schedule 1B.

Record the "Total # of Cash Contributors" and "Total Cash Receipts this Period," to Line 1c of the Summary Page.

Record the "Total # of Anonymous Contributors" and "Total Anonymous Receipts this Period," to Line 1d of the Summary Page.

Record the "Total # of Unitemized Contributors" and "Total Unitemized Receipts this Period," to Line 1e of the Summary Page.

CASH, ANONYMOUS & UNITEMIZED RECEIPTS SCHEDULE 1B

Candidate/Slate of Candidates/Committee Name: _____

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

CASH RECEIPTS	
1. Date of Receipt	2. Amount of Cash Receipt

ANONYMOUS RECEIPTS	
1. Date of Receipt	2. Amount of Anonymous Receipt

UNITEMIZED RECEIPTS	
1. Date of Receipt	2. Amount of Unitemized Receipt

COMING SOON!

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Subtotal This Page		Subtotal # of Anonymous Contributors	Subtotal Amount of Anonymous Receipts	Subtotal # of Unitemized Contributors	Subtotal Amount of Unitemized Receipts
	\$				\$

Total This Period <small>(Only on last page of Schedule)</small>		Total # of Anonymous Contributors	Total Anonymous Receipts This Period	Total # of Unitemized Contributors	Total Unitemized Receipts This Period
	\$				\$

Enter these totals on Line 1c on Summary Page	Enter these totals on Line 1c on Summary Page	Enter these totals on Line 1d on Summary Page	Enter these totals on Line 1d on Summary Page	Enter these totals on Line 1e on Summary Page	Enter these totals on Line 1e on Summary Page
---	---	---	---	---	---

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

.....
PAC RECEIPTS
SCHEDULE 1C
.....

TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

BOX 1 Enter the full name and complete address of the PAC. (Enter the official name of the PAC and not an acronym the PAC may be known to use.)

BOX 2 Enter the major business, social, or political interest represented by the PAC.

BOX 3 Enter the date of receipt (Month/Day/Year) of the PAC monetary or in-kind contribution.

BOX 4a Enter the amount of each PAC monetary contribution.

BOX 4b Enter the fair market value of each PAC in-kind contribution of goods, services, or discounts along with a description of what was given in-kind by the PAC.

BOX 5 Enter the cumulative total (which includes both monetary and in-kind contributions) from each PAC as of the current contribution.

Subtotal each page of the schedule at the bottom of the page.

Total all pages of Schedule 1C on the last page of the schedule.

**Record the totals from the last page of this schedule to the appropriate lines (1f or 3b)
in Column 1 of the Summary Page.**

Be aware that permanent committees affiliated by by-law structure or by registration are considered as one (1) committee for the purposes of applying contribution limits.

PAC RECEIPTS SCHEDULE 1C

Receipts from PACs Must be Itemized Regardless of Amount

Candidate/Slate of Candidates/Committee: _____

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

1. PAC Name and Address 2. Major business, social or political interest represented by the 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) (Monetary/In-kind)
Major Interest: _____	___/___/___			
Major Interest: _____	___/___/___			
Major Interest: _____	___/___/___			
Major Interest: _____	___/___/___			
Major Interest: _____	___/___/___			

COMING SOON!

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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 3b of Summary Pages

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

.....
EXECUTIVE COMMITTEE RECEIPTS
SCHEDULE 1D
.....

TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

BOX 1 Enter the full name and complete address of the executive committee.

BOX 2 Enter the date of receipt (Month/Day/Year) of the itemized executive committee monetary or in-kind contribution.

BOX 3a Enter the amount of the itemized executive committee monetary contribution.

BOX 3b Enter the fair market value of each in-kind contribution of goods, services, or discounts along with a detailed explanation of what was given in-kind by the executive committee.

BOX 4 Enter the cumulative total (which includes both monetary and in-kind contribution) from each executive committee as of the current contribution.

Subtotal each page of the schedule at the bottom of the page.

Total all pages of Schedule 1D on the last page of the schedule.

**Record the totals from the last page of this schedule to the appropriate lines (1g or 3c)
in Column 1 of the Summary Page.**

EXECUTIVE COMMITTEE RECEIPTS SCHEDULE 1D

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 <small>(per Contributor) (Monetary/In-kind)</small>
	___/___/___			
	___/___/___			
	___/___/___			
	___/___/___			
	___/___/___			
	___/___/___			
	___/___/___			
	___/___/___			
	___/___/___			
	___/___/___			
SUBTOTAL THIS PAGE		\$ _____	\$ _____	
TOTAL THIS PERIOD <small>(Only on last page of Schedule)</small>		\$ _____ <small>Enter this total on Col. 1, Line 1g of Summary Page</small>	\$ _____ <small>Enter this total on Col. 1, Line 3c of Summary Pages</small>	

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YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

.....
CAUCUS CAMPAIGN COMMITTEE RECEIPTS
SCHEDULE 1E
.....

TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

BOX 1 Enter the full name and complete address of the caucus campaign committee.

BOX 2 Enter the date of receipt (Month/Day/Year) of the itemized monetary or in-kind contribution.

BOX 3a Enter the amount of the itemized caucus campaign committee monetary contribution.

BOX 3b Enter the fair market value of each in-kind contribution of goods, services, or discounts along with a description of what was given in-kind by the caucus campaign committee.

BOX 4 Enter the cumulative total (which includes both monetary and in-kind contributions) from each caucus campaign committee as of the current contribution.

Subtotal each page of the schedule at the bottom of the page.

Total all pages of Schedule 1E on the last page of the schedule.

**Record the totals from the last page of this schedule to the appropriate lines (1h or 3d)
in Column 1 of the Summary Page.**

CAUCUS CAMPAIGN COMMITTEE RECEIPTS SCHEDULE 1E

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 <small>(Monetary/In-kind)</small>
	___/___/___			
	___/___/___			
SUBTOTAL THIS PAGE		\$ _____	\$ _____	
TOTAL THIS PERIOD <small>(Only on last page of Schedule)</small>		\$ _____ <small>Enter this total on Col. 1, Line 1h of Summary Page</small>	\$ _____ <small>Enter this total in the space provided on Line 3d of the Summary Page</small>	

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YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

.....
EXPENDITURES
SCHEDULE 2A
.....

TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

BOX 1 Enter the name and complete address of any person or business that receives a payment of more than \$25. If the payment is to an individual, Box 1 must also list the specific occupation of this person. If the contributor is self-employed, list the specific occupation name under which the individual is doing business. The term “businessman” is not acceptable. **Payment of any amount to a person for hauling voters must be made by check and itemized on this schedule.**

BOX 2 Enter the purpose of the expenditure. The purpose of an expenditure must be disclosed regardless of the amount. The purpose must be specific. **When a single payment is made for various types of expenses or reimbursements, each item of the total expense must be described.**

BOX 3 Enter the date of the expenditure. The date an expenditure is made must be disclosed regardless of the amount.

BOX 4 Enter the amount of the expenditure. The amount of an expenditure must always be disclosed and any expenditure in excess of \$25 must be made by check.

Subtotal each page of the schedule at the bottom of the page.

Total all pages of Schedule 2A on the last page of the schedule.

Record the “Total This Period” from the last page of this schedule to Line 4 on Column 1 of the Summary Page.

When the campaign receives a refund from an amount previously paid, it should be shown on this statement as an “expenditure adjustment” and not on Schedule 1A as an “other receipt.” The amount of the refund is subtracted from expenditures so the campaign’s cumulative expenditures are not overstated on the Summary Page.

The campaign’s repayment of a candidate loan is reported as a “receipts adjustment” on Schedule 1A, and is not reported as an expenditure on Schedule 2A.

EXPENDITURES SCHEDULE 2A

Candidate/Slate of Candidates/Committee: _____

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

1. Name and Address of Person or Business Paid <small>(List <u>Occupation</u> if Paid to a person. If over \$25 expenditure <i>must</i> be made by check. Persons transporting voters to the polls <i>must</i> be paid by check and each payment must be itemized to include name, address and <u>occupation</u>.)</small>	2. Purpose of Expenditure <small>(Be specific. If more than \$25, show purpose, date and amount.)</small>	3. Date of Expenditure	4. Amount of Expenditure
Occupation: _____		____/____/____	
Occupation: _____			
Occupation: _____			
Occupation: _____		____/____/____	
Occupation: _____		____/____/____	
Occupation: _____		____/____/____	
Occupation: _____		____/____/____	

COMING SOON!

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SUBTOTAL THIS PAGE	
TOTAL THIS PERIOD <small>(Only on last page of Schedule)</small>	Enter this total on Col. 1, line 4 of Summary Page

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

EVENTS
SCHEDULE 3A

TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

BOX 1 Enter the name of the person(s) sponsoring the event and the address where the activity was held.

BOX 2 Enter a description of the event or fundraising activity that took place (i.e., bean soup dinner, fish fry, etc.).

BOX 3 Enter the date the event was held. For events held over multiple dates, such as the sale of campaign paraphernalia, enter the beginning and ending dates.

BOX 4 Enter the total receipts for the event or activity. All event receipts must **also** be itemized or be included in unitemized, cash, or anonymous cash totals on the Summary Page.

BOX 5 Enter the total cost of the event. The costs associated with each event should **also** be included as expenditures on Schedule 2A or as in-kind contributions.

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 it is for informational purposes only. All receipts in excess of \$100 must be itemized, all PAC receipts must be itemized, and all other fundraising receipts must be reported in the appropriate Receipts Schedule and included in totals reported on the Summary Page. All costs incurred in connection with the fundraising activities or events must be included on Schedule 2A, or as an in-kind contribution on the appropriate Receipts Schedule.

An Event is a testimonial affair, dinner, luncheon, rally, or similar events, mass collections and the sale of items such as buttons, hats, ties, literature and similar materials. For sale of items, list the date the sales began through the date the sales ended in Box 3.

EVENTS SCHEDULE 3A

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
		FROM: ___/___/___ TO: ___/___/___		
		FROM: ___/___/___		
		FROM: ___/___/___ TO: ___/___/___		
		FROM: ___/___/___ TO: ___/___/___		

COMING SOON!

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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, regardless of amount, and is for informational purposes only. All receipts in excess of \$100 per election must be itemized, all receipts from PACs, executive committees, and caucus campaign committees must be disclosed on the appropriate Receipts Schedule, and all other event receipts must be included in receipt totals on the Summary Page. All costs incurred in connection with fundraising activities or events must be included on Schedule 2A, or as an in-kind contribution on the appropriate Receipts Schedule.

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

.....
DEBTS AND OBLIGATIONS
SCHEDULE 4A
.....

TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

BOX 1 Enter the name and complete address of the party to whom debt is owed. List each debt or obligation on a separate line.

BOX 2 Enter the type of debt or obligation. Unpaid bills and written contracts or agreements to make expenditures are also considered debts and must be reported here.

BOX 3 Enter the date the debt was incurred or the loan was made.

BOX 4 Enter the original amount of debt.

BOX 5 Enter the total of the debt repaid during prior reporting periods.

BOX 6 Enter the total of the debt or loan amount repaid during this period. For a debt owed, this amount would also be recorded on Schedule 2A as a expenditure. For a loan repayment, this amount would also be recorded on Schedule 1A as a “receipts adjustment.”

BOX 7 Enter the original amount less prior payments and payments made during this reporting period (Box 4 minus Box 5 minus Box 6 equals Box 7). This is the outstanding amount owed on each debt or obligation. Continue reporting each debt or obligation on Schedule 4A until the debt or obligation has been retired.

Subtotal each page of the schedule at the bottom of the page.

Total all pages of Schedule 4A on the last page of the schedule.

Record this total to the space provided on Line 5 of the Summary Page.

Each debt and obligation must be listed separately and this schedule must be filed with the Election Finance Statement. All loans must be itemized on Schedule 1A as “Other Receipts.” All payments made on loans are to be reported as negative “Other Receipts” on Schedule 1A, and payments made on debts must be itemized on Schedule 2A.

DEBTS & OBLIGATIONS SCHEDULE 4A

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
		//___				
		//___				
		//___				

COMING SOON!

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NOTE If you are the candidate/slate of candidates/committee, you must file this schedule with every election report. This schedule must be filed with every report, regardless of whether you have any debts or obligations. Receipts and/or other supporting documents for all debts are paid or assumed by the candidate/slate of candidates/committee. If you are assuming the debt remaining at the end of the 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		Amount Assumed by Candidate (Only when closing campaign account)
I hereby assume personal responsibility for payment of all outstanding campaign debts for this election.		\$ _____
_____ SIGNATURE	_____ DATE	

YOU MAY DUPLICATE SCHEDULES AS NEEDED / USE ONLY SCHEDULES THAT ARE NEEDED

Notes:



**POLITICAL COMMITTEE
REGISTRATION FORM
(KREF-010)**

KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, Kentucky 40601-3240

PHONE (502) 573-2226 / FAX (502) 573-5622

www.kref.ky.gov

KREF 010 (Rev. 03/2018)

Notes:

KENTUCKY REGISTRY OF ELECTION FINANCE

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

POLITICAL COMMITTEE REGISTRATION

(Please type or print)

THIS SPACE FOR REGISTRY USE ONLY

Committee Name - Do not include candidate's name in committee name unless authorized by candidate. (KRS 121.210(4)). Acronyms are permitted but full title from which derived must be shown. (KRS 121.170).

DATE RECEIVED

Mailing address (including city, state and zip) Daytime Telephone Number

DATE APPROVED

State the name of sponsor, the specific source of funds and the purpose for which this committee is being registered. (Permanent committees must list the major business, social, or political interest represented.)

DATES COMMITTEE PLANS TO BE ACTIVE: (Committees with on-going activity use "Indefinite")

ORGANIZATION TYPE: (check one - see KRS 121.015 for definitions)

FROM: / /

- CAMPAIGN COMMITTEE: CANDIDATE RAISING COMMITTEE UNAUTHORIZED
CAUCUS CAMPAIGN COMMITTEE
EXECUTIVE COMMITTEE: CANDIDATE RAISING COMMITTEE FUND OTHER
PERMANENT COMMITTEE
POLITICAL ISSUES COMMITTEE
INAUGURAL COMMITTEE
CONTRIBUTING COMMITTEE

THROUGH: / /

INDEFINITE

NOTE: The chairperson and the treasurer of a committee shall not be a legislative agent or an executive agent of a permanent committee shall not be a legislative agent or an executive agent of a permanent

CHAIRPERSON INFORMATION:

Name of Chairperson

Mailing Address: Street, PO Box, Rural Route

State

Zip Code

Daytime Telephone Number

Name of Treasurer

Mailing Address: Street, PO Box, Rural Route

State

Zip Code

Telephone Number

Alternate Telephone Number

Name of Financial Institution

Address of Financial institution Intended for Use as Campaign Depository

CONTACT PERSON INFORMATION:

Name of Contact Person

Email Address

Mailing Address: Street, PO Box, Rural Route

City

State

Zip Code

Daytime Telephone Number

Home Telephone Number

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This Section to be completed by Campaign Committees ONLY

Candidate or Slate of Candidates to be supported by committee, if applicable:

Name of candidate (or if Slate: candidate for Governor) ____/____/____
Date of Birth _____
Party Affiliation

Mailing Address (Including city, state and zip) _____
Office Sought

Name of candidate for Lt. Governor (if Slate) ____/____/____
Date of Birth _____
Party Affiliation

Mailing Address (Including city, state and zip) _____
Office Sought

For unauthorized campaign committees, if candidate is unknown or several candidates will be supported by independent expenditures, check here:

Does the candidate's name appear in the name of the committee? YES NO (Required if unauthorized)

Has the candidate approved use of his/her name? YES (See Candidate's Authorization Box at bottom)
 NO (If unauthorized)

This Section to be completed by Political Issues Committees

Constitutional amendment or public question to be advocated or opposed:

This committee: Supports or Opposes the above listed constitution

VERIFICATION BY OFFICERS

We, the undersigned, state we are the Chairperson _____ Committee and the
information provided in this Political Committee Registry Form is true and correct.

Signature of Chairperson Date _____
Date

COMING SOON!
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(If Applicable) I have read and understand the above statement and further understand that I am personally relieved from filing any CAMPAIGN FINANCE REPORTS as I comply with these conditions. I will immediately notify the Political Committee Registry if I do not comply with these conditions, and I will subsequently file any applicable CAMPAIGN FINANCE REPORTS.

I, _____ above statement and authorize the use of my name by this
Print Candidate's Name

Signature of Candidate (or if Slate: Candidate for Governor) Date

I, _____ hereby agree to the above statement and authorize the use of my name by this
Print Candidate's Name for Lt. Governor committee.

Signature of Candidate for Lt. Governor (if Slate) Date



**WAIVER FROM FILING CANDIDATE
ELECTION FINANCE STATEMENT
FORMS
(KREF-011)**

KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, Kentucky 40601-3240

PHONE (502) 573-2226 / FAX (502) 573-5622

www.kref.ky.gov

KREF 011 (Rev. 03/2018)

Notes:

KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, KY 40601-3240

(502) 573-2226 / FAX (502) 573-5622

www.kref.ky.gov

THIS SPACE FOR REGISTRY USE

ONLY

**WAIVER FROM FILING CANDIDATE
ELECTION FINANCE STATEMENTS**

(Please type or print)

NOTE: This form to be filed only by candidates or slate of candidates who have an authorized campaign committee registered on their behalf.

Name of Candidate (If Slate: Name of Candidate for Governor) _____ Date of Birth _____

Mailing Address (Including city, state and zip) _____ Office Sought _____

Email Address _____ Daytime Telephone Number (____) _____ - _____

If Slate: Name of Candidate for Lt. Governor _____ Date of Birth _____

Mailing Address (Including city, state and zip) _____ Email Address _____ Daytime Telephone Number (____) _____ - _____

State the name of the authorized committee registered on behalf of the candidate or gubernatorial slate.

KRS 121.180(9) relieves a candidate or slate of candidates of the duty personally to file any CANDIDATE ELECTION FINANCE STATEMENT so long as the following conditions are met:

1. The candidate or slate of candidates has an authorized campaign committee.
2. Within five (5) business days after personally receiving any contributions, the candidate or slate of candidates shall surrender possession of the contributions to the treasurer of their principal campaign committee and shall not cash or redeem any of the proceeds thereof.
3. No contributions shall be commingled with the candidate's or slate of candidates' personal funds.
4. Contributions received by check, money order, or other written instrument shall be payable to the principal campaign committee and shall not be cashed or redeemed by the candidate or slate of candidates.
5. The candidate or slate of candidates shall not make any personal use of campaign funds. This condition does not preclude a candidate or slate of candidates from contributing to a separate, designated principal campaign committee, which shall not be used for the candidate's or slate of candidates' personal use or as a loan to the committee.

This waiver shall continue in effect as long as the candidate or slate of candidates complies with the conditions under which it was granted.

COMING SOON!

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CANDIDATE'S CERTIFICATION – I have read and further understand that I am personally relieved from filing any CANDIDATE ELECTION FINANCE STATEMENT and I will immediately notify the Registry of Election Finance if I receive any contributions. I agree to comply with these conditions. I will immediately notify the Registry of Election Finance if I receive any contributions and all reports required by KRS 121.180(9).

I, _____, do hereby agree to the above statement.
Print Candidate's Name (If Slate: Name of Candidate for Governor) _____ Date _____

I, _____, do hereby agree to the above statement.
If Slate: _____ Date _____
If Slate: Signature of Candidate for Lt. Governor _____

Notes:



REPORT OF A CONTRIBUTION
BY A
CONTRIBUTING ORGANIZATION
(KREF-012)

KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, Kentucky 40601-3240

PHONE (502) 573-2226 / FAX (502) 573-5622

www.kref.ky.gov

KREF 012 (Rev. 03/2018)

Notes:

KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, KY 40601-3240

(502) 573-2226 / FAX (502) 573-5622

www.kref.ky.gov

THIS SPACE FOR REGISTRY USE
ONLY

DATE RECEIVED

LOGGED _____

REPORT OF CONTRIBUTIONS BY A CONTRIBUTING ORGANIZATION

(Please type or print)

Name of Group or Individual

Mailing address (including city, state and zip)

(____) _____ - _____
Daytime Telephone Number

E-Mail Address

KRS 121.015(4) reads as follows:
"Contributing organization" means a group which merely contributes to campaign committees, caucus campaign committees, or executive committees from a group, and which does not solicit or receive funds from sources outside the groups in excess of one hundred dollars (\$100) shall be reported.

Date	Name of Candidate, State, and Office	Amount Contributed

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USE OF FUNDS
is the use of corporate funds to influence an election.

- DUES**
- COLLECTIONS**
- OTHER (explain)** _____

OFFICIAL CONTACT PERSON INFORMATION:

Contact's Name

Title

Signature

Date



Notes:



**REPORT OF AN
INDEPENDENT EXPENDITURE
(KREF-013)**

KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, Kentucky 40601-3240

PHONE (502) 573-2226 / FAX (502) 573-5622

www.kref.ky.gov

KREF 012 (Rev. 03/2018)

Notes:

KENTUCKY REGISTRY OF ELECTION FINANCE

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

THIS SPACE FOR REGISTRY USE ONLY

REPORT OF AN INDEPENDENT EXPENDITURE

NOTE: KRS 121.015(12) provides as follows: "Independent expenditure" means the expenditure of money or other things of value for a communication which expressly advocates the election or defeat of a clearly identified candidate or slate of candidates, and which is made without any coordination, consultation, or cooperation with any candidate, slate of candidates, campaign committee, or any authorized person acting on behalf of any of them, and which is not made in concert with, or at the request or suggestion of any candidate, slate of candidates, campaign committee, or any authorized person acting on behalf of any of them."

DATE RECEIVED

An independent expenditure must be reported if it exceeds \$500 in the aggregate in one election.

Your Name and Address _____		Your _____	
Daytime Phone Number _____		_____	
Email Address _____		_____	
Name of Candidate/Slate of Candidates/Committee _____		<input type="checkbox"/> Supported <input type="checkbox"/> Opposed	
Constitutional Amendment _____		<input type="checkbox"/> Supported <input type="checkbox"/> Opposed	
Date		Purpose	Amount

COMING SOON!
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I certify that this report was prepared with all reasonable diligence and is true, correct, and complete. I further certify that this expenditure was made in accordance with KRS 121.015(12).

_____ Date _____ Signature



Notes:



SAMPLE
CAMPAIGN CONTRIBUTION CARD

KENTUCKY REGISTRY OF ELECTION FINANCE

140 Walnut Street, Frankfort, Kentucky 40601-3240

PHONE (502) 573-2226 / FAX (502) 573-5622

www.kref.ky.gov

KREF SAMPLE (Rev. 03/2018)

Notes:

Sample Campaign Contribution Card

In order help you comply with Campaign Finance Laws, we suggest that the following information is provided with each contribution.

Campaign Contribution Card	
<i>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.</i>	
Make checks payable to <u>Joe Candidate Campaign Fund</u>.	
Please return this card with your contribution.	
Maximum contribution allowable is \$2,000	Maximum cash contribution is \$100
Corporate contributions are prohibited	
<hr/>	
Contributor's Name:	
<hr/>	
Address:	
<hr/>	
City, State, Zip:	Phone:
<hr/>	<hr/>
Occupation:	Employer:
<hr/>	<hr/>
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.	
___ Number of people who 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.	

Each Committee should create a form with the above listed information. This may be duplicated and enclosed with each contribution that is made to a candidate. Candidates will be most appreciative to have this information provided.

