



CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

SEEC FORM CEP 10

AFFIDAVIT OF INTENT TO ABIDE BY EXPENDITURE LIMITS AND OTHER CITIZENS' ELECTION PROGRAM REQUIREMENTS

Revised January 2014

For use by

**Statewide and General Assembly Candidates
Participating in the
Citizens' Election Program**

GENERAL INSTRUCTIONS

- Type or print clearly all information in black or blue pen. **Please do not use pencil.**
- Elections Officers are available to answer questions and advise on how to complete this form (860-256-2985).
- Candidate who intends NOT to participate in the Citizens' Election Program: **Use SEEC Form CEP 11.**

WHO FILES THIS FORM

A candidate who has filed a Candidate Committee Registration (**SEEC Form 1 and 1A**) and who intends to participate in the Citizens' Election Program (CEP), the campaign's treasurer and deputy treasurer (if applicable) are to use this form. Generally, a candidate who completes and files this affidavit intends to apply for a public campaign financing grant.

A candidate who has filed a Certification of Exemption From Forming a Candidate Committee (**SEEC Form 1 and 1B**) is not eligible to apply for a public campaign financing grant, but may file a SEEC Form CEP 10 to abide by expenditure limits and other Program requirements if the candidate wishes to do so.

Please Note: Because this form is an affidavit, the candidate, treasurer, and deputy treasurer (if applicable) must initial each certification and sign the appropriate certification page under oath before a notary public or Commissioner of Superior Court. A Commissioner of Superior Court is an attorney in good standing admitted to practice law in Connecticut.

*A candidate who intends NOT to participate in the Citizens' Election Program must file a **SEEC Form CEP 11** — Affidavit of Intent Not to Abide by Expenditure Limits.*

WHERE TO FILE THIS FORM

Hand-deliver or mail the completed and signed SEEC Form CEP 10 to Connecticut State Elections Enforcement Commission, 20 Trinity Street, Hartford, CT 06106-1628, Attn.: Campaign Finance Disclosure Unit—3rd Floor.

WHEN TO FILE THIS FORM

SEEC CEP Form 10 must be completed, signed, and received by the SEEC no later than 4:00 P.M. on the 25th day before the primary date (if applicable), the 40th day before the regular election date, or the 25th day before the special election date, as set forth in subsection (a) of section 9-703, as amended by Public Act 11-48. Failure to file by the deadline will cause the candidate to be deemed nonparticipating.

COMPLETING THE FORM

Please Note: Whenever *any* information contained on the candidate committee registration (SEEC Form 1 or 1A) changes, the candidate must file an **amended** SEEC FORM 1/1A signed by the candidate, treasurer and deputy treasurer (if applicable) within **10 days** of the date of the change.

SECTION A. IDENTIFYING INFORMATION

1. **Election Date:** In *mm/dd/yyyy* format, provide the election date for which the candidate is seeking election to a public Office.
2. **Office Sought:** List the name of the public office or position being sought by the candidate as registered with the SEEC Form 1 and 1A.
3. **District Number:** Provide the district number, if applicable, for the public office or position being sought by the candidate.
4. **Candidate Name:** Provide the full name of the candidate (first name, middle initial, last name, suffix) as registered with the SEEC Form 1 and 1A.
5. **Committee Name:** Provide the full name of the committee as registered with the SEEC Form 1 and 1A.
6. **Party Status:** Indicate how the candidate qualified or will qualify for ballot status for the primary or election indicated in the Election Date at the top of the form. The purpose of the party status disclosure is to determine the amount of public funds a candidate may be eligible to receive, based on the candidate's path of ballot access.

Example 1: A candidate is nominated by a major party at the party convention and the nomination papers are filed with the Secretary of the State. On the SEEC Form CEP 10, that candidate would mark the Major Party box and complete the Name of Party line.

Example 2: A candidate is *not* nominated by a major or minor party, but instead successfully petitions onto the ballot for the regular election, as verified by the Secretary of the State. On SEEC Form CEP 10, that candidate would mark the Petitioning box and would leave the Name of Party line blank.

Please Note: Once a candidate files SEEC Form CEP 10 designating the candidate's party status, if the same participating candidate subsequently changes party status, that candidate is not eligible to receive any grant funds. *Candidates, especially cross-endorsed candidates, with questions about completing this section should contact their Elections Officer (860-256-2985).*

7. **Treasurer Name:** Provide the full name of the Treasurer (first name, middle initial, last name, suffix). This should be the same person who is the appointed Treasurer and properly registered with the SEEC Form 1 and 1A.
8. **Deputy Treasurer Name:** If applicable, provide the full name of the Deputy Treasurer (first name, middle initial, last name, suffix). This should be the same person who is the appointed Deputy Treasurer and properly registered with the SEEC Form 1 and 1A. The SEEC **strongly** recommends that all participating candidates appoint a Deputy Treasurer.

SECTION B. CANDIDATE CERTIFICATION

The candidate must **initial** each line of Section B and sign under oath in front of a notary public or Commissioner of Superior Court. *Notary public or Commissioner of Superior Court must complete the applicable portion of Section B.*

SECTION C. TREASURER CERTIFICATION

The treasurer must **initial** each line of Section C and sign under oath in front of a notary public or Commissioner of Superior Court. *Notary public or Commissioner of Superior Court must complete the applicable portion of Section C.*

If the treasurer later resigns as treasurer, the candidate must amend the committee registration (SEEC Form 1 and 1A) to designate a new treasurer. The new treasurer must file an amended SEEC Form CEP 10, marked Amended, consisting of a new Section A and Section C.

SECTION D. DEPUTY TREASURER CERTIFICATION

If the committee has a designated Deputy Treasurer, the deputy treasurer must **initial** each line of Section D, and sign under oath in front of a notary public or Commissioner of Superior Court. *Notary public or Commissioner of Superior Court must complete the applicable portion of Section D.*

If the candidate committee does not have a deputy treasurer at the time of filing the SEEC Form CEP 10, but the candidate later amends the committee registration (SEEC Form 1 and 1A) to designate a deputy treasurer, the deputy treasurer must file an amended SEEC Form CEP 10, marked Amended, and consisting of new Section A and Section D.

SEEC FORM CEP 10

Citizens' Election Program-Affidavit of Intent to Abide
CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

Revised January 2014

Page 1 of 4



For Internal Use ONLY

CODE:

REVIEWED BY:

AFFIDAVIT TYPE

- ☐ INITIAL
☐ AMENDED

AFFIDAVIT OF INTENT TO ABIDE BY EXPENDITURE LIMITS AND OTHER CITIZENS' ELECTION PROGRAM REQUIREMENTS

Statewide and General Assembly Candidates

The candidate and the campaign treasurer must each review all information provided on this Affidavit, and sign or initial the designated lines requiring signatures or initials. Any deputy treasurer designated by the candidate must complete and sign the Deputy Treasurer Affidavit. This Affidavit must be completed, signed, and received by the State Elections Enforcement Commission no later than 4:00 p.m. on the twenty-fifth (25th) day before the primary date, if applicable, the fortieth (40th) day before the election date, or the twenty-fifth (25th) day before the special election date as set forth in subsection (a) of section 9-703 of the Connecticut General Statutes.

SECTION A. Identifying Information

1. ELECTION DATE

(mm/dd/yyyy)

2. OFFICE SOUGHT

3. DISTRICT NUMBER

(If applicable)

4. CANDIDATE NAME

First Name

MI

Last Name

Suffix

5. COMMITTEE NAME

6. PARTY STATUS (How the candidate qualified or will qualify for the ballot in this election cycle)

☐ Major Party

Name of party _____

☐ Minor Party

Name of party _____

☐ Petitioning

Name of party (if affiliated) _____

7. TREASURER NAME

First Name

MI

Last Name

Suffix

8. DEPUTY TREASURER NAME

First Name

MI

Last Name

Suffix

NOTICE FOR SEEC FORM CEP 10

Pursuant to Public Act 13-180, a candidate may not apply for a Citizens' Election Program grant if such candidate has been convicted of or plead guilty or nolo contendere to, in a court of competent jurisdiction, any (A) criminal offense under Title Nine of the General Statutes (Elections) unless at least eight years have elapsed from the date of the conviction or plea or the completion of any sentence, whichever date is later, without subsequent conviction of or plea to another such offense, or (B) a felony related to the individual's public office, other than an offense under Title Nine. Furthermore, the candidate must certify in the grant application that all outstanding civil penalties or forfeitures assessed pursuant to chapters 155 to 157 of the General Statutes (Campaign Finance), against the current or any former committee of the candidate have been paid, provided (A) in the case of any candidate seeking nomination for or election to statewide office, any such penalty or forfeiture was assessed not later than twenty-four months prior to the submission of the application; or (B) in the case of any candidate seeking nomination for or election to the General Assembly, any such penalty or forfeiture was assessed not later than twelve months prior to the submission of an application.

Notice: Making a false statement on this form may subject you to criminal penalties, including but not limited to, imprisonment for up to one year or a fine of up to two thousand dollars, or both.

**SECTION B. Candidate Certification**

The candidate must read each paragraph below and indicate agreement to each numbered paragraph by writing his/her initials at each numbered space below. Affidavits missing initials for any item will not be deemed complete. A completed affidavit must be received by the State Elections Enforcement Commission no later than 4:00 p.m. on the twenty-fifth (25th) day before the primary date, if applicable, the fortieth (40th) day before the election date, or the twenty-fifth (25th) day before the special election date if you elect to be a participating candidate.

1. I certify that I am over 18 years of age and believe in and understand the obligation of an oath. I hereby affirm, certify, and state that I intend to participate in the Citizens' Election Program (the "Program") established by Chapter 157 of the Connecticut General Statutes ("Conn. Gen. Stat.") and that I understand my obligation to abide by and will abide by the Program's requirements, including the expenditure limits, which are set forth in Conn. Gen. Stat. § 9-702(c). I further affirm, certify, and state that I have thus far abided by the Program's expenditure limits and that my candidate committee has not made expenditures in excess of the expenditure limits applicable to the office I am seeking, as set forth in Conn. Gen. Stat. § 9-702(c).

Initials
2. I certify that my candidate committee will expend any moneys received from the Citizens' Election Fund in accordance with the provisions of Conn. Gen. Stat. § 9-607(g), as amended, and with any regulations adopted by the State Elections Enforcement Commission ("SEEC") under Conn. Gen. Stat. § 9-706(e). I certify that I understand that I am personally liable and must repay to the Citizens' Election Fund any moneys that are not expended in accordance with the provisions of Conn. Gen. Stat. § 9-607(g), as amended, and with any regulations adopted by the SEEC under Conn. Gen. Stat. § 9-706(e).

Initials
3. I certify that I understand that prior to applying for a grant I must return any contribution or contributions from any one contributor that exceed or exceeds in the aggregate the \$100 contribution limit set forth in Chapter 157 of the Connecticut General Statutes. I further understand that prior to applying for a grant I must return any contributions from any sources not authorized under Chapter 157, and I must transmit any excess qualifying contributions to the Citizens' Election Fund.

Initials
4. I certify that I have abided by and will continue to abide by the provisions of the Program governing use of the candidate's personal funds and the provisions of the Program governing loans, as set forth in Conn. Gen. Stat. § 9-710.

Initials
5. I certify that I understand that I am required to comply with the requirements of the Program, including all applicable statutes, regulations and declaratory rulings. I certify that I understand that my failure to abide by the requirements of all applicable statutes and regulations relating to the Program may result in the SEEC's imposition of penalties as provided in Chapters 155 and 157 of the Connecticut General Statutes. I certify that I understand that I shall be personally liable for penalties relating to violations of the Program requirements, by myself, my agents, and/or anyone acting under my explicit or implied direction. I further understand that I am jointly and severally liable, with the treasurer of my candidate committee, for paying any excess expenditure in accordance with Conn. Gen. Stat. § 9-711(a)(1).

Initials
6. I certify that I understand that if my candidate committee exceeds any applicable expenditure limit during the period in which I am seeking qualifying contributions and before my candidate committee receives a grant, my grant application will not be approved, and penalties may be assessed for not abiding by the expenditure limit.

Initials
7. I certify that I understand that intentionally making a false written statement under oath or pursuant to a form bearing notice, authorized by law, which is intended to mislead a public servant in the performance of his or her official function, is a class A misdemeanor pursuant to Conn. Gen. Stat. § 53a-157b(a), and may subject me to criminal penalties, including but not limited to, imprisonment for up to one year and/or a fine of up to \$2,000. I certify and verify that the information on this document is true and complete to the best of my knowledge and belief.

Initials

I hereby swear, under penalty of false statement, that the above certifications are true and complete.

CANDIDATE SIGNATURE

DATE (mm/dd/yyyy)

Sworn and subscribed before me on this _____ day of _____, 20____

Seal

SIGNATURE OF PERSON ADMINISTERING THE OATH

NAME OF PERSON ADMINISTERING THE OATH (Please Print)

☐ Commissioner of Superior Court ☐ Notary Public — My Commission Expires _____

**SECTION C. Treasurer Certification**

The campaign treasurer must read each paragraph below and indicate agreement to each numbered paragraph by writing his/her initials at each numbered space below. Affidavits missing initials for any item will not be deemed complete. A completed affidavit must be received by the State Elections Enforcement Commission no later than 4:00 p.m. on the twenty-fifth (25th) day before the primary date, if applicable, the fortieth (40th) day before the election date, or the twenty-fifth (25th) day before the special election date if the candidate elects to be a participating candidate.

1. I certify that I am over 18 years of age and believe in and understand the obligation of an oath. I hereby affirm, certify, and state that I understand that the candidate named in Section A intends to participate in the Citizens' Election Program (the "Program") established by Chapter 157 of the Connecticut General Statutes ("Conn. Gen. Stat.") and that I understand my obligation as such candidate's designated treasurer to abide by and will abide by the Program's requirements, including the expenditure limits, which are set forth in Conn. Gen. Stat. § 9-702(c). I further affirm, certify, and state that I have thus far abided by the Program's expenditure limits and that the candidate committee named in Section A, for which I am the designated treasurer, has not made expenditures in excess of the expenditure limits applicable to the office the candidate is seeking, as set forth in Conn. Gen. Stat. § 9-702(c).

Initials
2. I certify as the treasurer of the candidate committee named in Section A that I will expend any moneys received from the Citizens' Election Fund in accordance with the provisions of Conn. Gen. Stat. § 9-607(g), as amended, together with any regulations adopted by the State Elections Enforcement Commission ("SEEC") under Conn. Gen. Stat. § 9-706(e). I certify that I understand that the candidate is personally liable and must repay to the Citizens' Election Fund any moneys that are not expended in accordance with the provisions of Conn. Gen. Stat. § 9-607(g), as amended, together with any regulations adopted by the SEEC under Conn. Gen. Stat. § 9-706(e).

Initials
3. I certify that I understand that prior to applying for a grant I must return any contribution or contributions from any one contributor that exceed or exceeds in the aggregate the \$100 contribution limit set forth in Chapter 157 of the Connecticut General Statutes. I further understand that prior to applying for a grant I must return any contributions from any sources not authorized under Chapter 157, and I must transmit any excess qualifying contributions to the Citizens' Election Fund.

Initials
4. I certify that I have abided by and will continue to abide by the provisions of the Program governing use of the candidate's personal funds and the provisions of the Program governing loans, as set forth in Conn. Gen. Stat. § 9-710.

Initials
5. I certify that I understand that I am required to comply with the requirements of the Program, including all applicable statutes, regulations and declaratory rulings. I certify that I understand that my failure to abide by the requirements of all applicable statutes and regulations relating to the Program may result in the SEEC's imposition of penalties as provided in Chapters 155 and 157 of the Connecticut General Statutes. I certify that I understand that I shall be personally liable for penalties relating to violations of the Program requirements, by myself, my agents, and/or anyone acting under my explicit or implied direction. I further understand that I am jointly and severally liable with the candidate for paying any excess expenditure in accordance with Conn. Gen. Stat. § 9-711(a).

Initials
6. I certify that I understand that if the candidate committee exceeds any applicable expenditure limit during the period in which the candidate is seeking qualifying contributions and before the candidate committee receives a grant, the grant application will not be approved, and penalties may be assessed for not abiding by the expenditure limit.

Initials
7. I certify that I understand that intentionally making a false written statement under oath or pursuant to a form bearing notice, authorized by law, which is intended to mislead a public servant in the performance of his or her official function, is a class A misdemeanor pursuant to Conn. Gen. Stat. § 53a-157b(a), and may subject me to criminal penalties, including but not limited to, imprisonment for up to one year and/or a fine of up to \$2,000. I certify and verify that the information on this document is true and complete to the best of my knowledge and belief.

Initials

I hereby swear, under penalty of false statement, that the above certifications are true and complete.

TREASURER SIGNATURE

DATE (mm/dd/yyyy)

Sworn and subscribed before me on this _____ day of _____, 20____

Seal

SIGNATURE OF PERSON ADMINISTERING THE OATH

NAME OF PERSON ADMINISTERING THE OATH (Please Print)

☐ Commissioner of Superior Court ☐ Notary Public — My Commission Expires _____

**SECTION D. Deputy Treasurer Certification**

The deputy treasurer must read each paragraph below and indicate agreement to each numbered paragraph by writing **his/her initials at each numbered space below**. Affidavits missing initials for any item will not be deemed complete. A completed affidavit must be received by the State Elections Enforcement Commission no later than 4:00 p.m. on the twenty-fifth (25th) day before the primary date, if applicable, the fortieth (40th) day before the election date or the twenty-fifth (25th) day before the special election date if the candidate elects to be a participating candidate.

In the event I become responsible for discharging any of the duties required of the treasurer:

- _____ 1. I certify that I am over 18 years of age and believe in and understand the obligation of an oath. I hereby affirm, certify, and state that I understand that the candidate named in Section A intends to participate in the Citizens' Election Program (the "Program") established by Chapter 157 of the Connecticut General Statutes ("Conn. Gen. Stat.") and that I understand my obligation as such candidate's designated deputy treasurer to abide by and will abide by the Program's requirements, including the expenditure limits, which are set forth in Conn. Gen. Stat. § 9-702(c). I further affirm, certify, and state that I have thus far abided by the Program's expenditure limits and that the candidate committee named in Section A, for which I am the designated deputy treasurer, has not made expenditures in excess of the expenditure limits applicable to the office the candidate is seeking, as set forth in Conn. Gen. Stat. § 9-702(c).

Initials _____
- _____ 2. I certify as the deputy treasurer of the candidate committee named in Section A that I will expend any moneys received from the Citizens' Election Fund in accordance with the provisions of Conn. Gen. Stat. § 9-607(g), as amended, together with any regulations adopted by the State Elections Enforcement Commission ("SEEC") under Conn. Gen. Stat. § 9-706(e). I certify that I understand that the candidate is personally liable and must repay to the Citizens' Election Fund any moneys that are not expended in accordance with the provisions of Conn. Gen. Stat. § 9-607(g), as amended, together with any regulations adopted by the SEEC under Conn. Gen. Stat. § 9-706(e).

Initials _____
- _____ 3. I certify that I understand that prior to applying for a grant I must return any contribution or contributions from any one contributor that exceed or exceeds in the aggregate the \$100 contribution limit set forth in Chapter 157 of the Connecticut General Statutes. I further understand that prior to applying for a grant I must return any contributions from any sources not authorized under Chapter 157, and I must transmit any excess qualifying contributions to the Citizens' Election Fund.

Initials _____
- _____ 4. I certify that I have abided by and will continue to abide by the provisions of the Program governing use of the candidate's personal funds and the provisions of the Program governing loans, as set forth in Conn. Gen. Stat. § 9-710.

Initials _____
- _____ 5. I certify that I understand that I am required to comply with the requirements of the Program, including all applicable statutes, regulations and declaratory rulings. I certify that I understand that my failure to abide by the requirements of all applicable statutes and regulations relating to the Program may result in the SEEC's imposition of penalties as provided in Chapters 155 and 157 of the Connecticut General Statutes. I certify that I understand that I shall be personally liable for penalties relating to violations of the Program requirements, by myself, my agents, and/or anyone acting under my explicit or implied direction. I further understand that I am jointly and severally liable, with the candidate for paying any excess expenditure in accordance with Conn. Gen. Stat. § 9-711(a).

Initials _____
- _____ 6. I certify that I understand that if the candidate committee exceeds any applicable expenditure limit during the period in which the candidate is seeking qualifying contributions and before the candidate committee receives a grant, the grant application will not be approved, and penalties may be assessed for not abiding by the expenditure limit.

Initials _____
- _____ 7. I certify that I understand that intentionally making a false written statement under oath or pursuant to a form bearing notice, authorized by law, which is intended to mislead a public servant in the performance of his or her official function, is a class A misdemeanor pursuant to Conn. Gen. Stat. § 53a-157b(a), and may subject me to criminal penalties, including but not limited to, imprisonment for up to one year and/or a fine of up to \$2,000. I certify and verify that the information on this document is true and complete to the best of my knowledge and belief.

Initials _____

I hereby swear, under penalty of false statement, that the above certifications are true and complete.

DEPUTY TREASURER SIGNATURE

DATE

Sworn and subscribed before me on this _____ day of _____, 20____

Seal

SIGNATURE OF PERSON ADMINISTERING THE OATH

NAME OF PERSON ADMINISTERING THE OATH (Please Print)

☐ Commissioner of Superior Court ☐ Notary Public — My Commission Expires _____