State of Wisconsin
Ethics Commission

Campaign Finance Information System Overview

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Ethics Specialist

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About The Ethics Commission

- Created by 2015 Wisconsin Act 118
- Administers Campaign Finance, Lobbying, Ethics Code
- Six members – Partisan Appointments
  - Two former judges, four others
  - Four year terms
- All actions require four votes
- Headed by Commission Administrator
- One Staff Counsel; Six Other Staff Positions
- Confidentiality: Advice & Investigations

WE'RE HERE TO HELP!

-ETHICAL STAFF-

Interim Administrator
Dan Carlton

Staff Counsel
David Buerger

Office Manager
Julie Nischik

Program Staff

Richard Bohringer

Harry Broderick

Adam Harvell

Colette Greve

Caroline Russell

Campaign Finance Information System (CFIS)

- All registration and filing for state filers is done online through CFIS, https://cfis.wi.gov/
- Each committee has a single committee ID number, which also serves as the committee's login for CFIS
- CFIS User's Guide – Comprehensive manual that covers registering a committee, entering and uploading transactions, filing reports, best practices, and frequently asked questions.

  https://ethics.wi.gov/Resources/CFIS-UsersGuide.pdf

State of Wisconsin
Ethics Commission

Lay of the Land

- Registration, Exempt Status, Updating Registration, Filing Fee
- Reporting Schedule
- Completing and Filing Reports
- Requirements, Best Practices, Tips and Tricks
- Post Election Considerations, Termination
- Important Laws and Prohibitions to Know
- Enforcement

Registration

REGISTRATION

- State candidates will register online through CFIS
- Local candidates will register with their local filing officer on a paper form
  - To find your local clerk visit the Elections Commission website: https://elections.wi.gov/clerks/directory
  - The paper form is on our website: https://ethics.wi.gov/Resources/CF-1_Registration_Statement.pdf
- For more information on who must register please visit the Campaign Finance section on our website:

https://ethics.wi.gov/Pages/CampaignFinance/CampaignFinance.aspx

Registration Statement

Political Party Committee Registration CF-1

STEP 1 · STEP 2 · STEP 3 · STEP 4

?

Committee Type

Committee Type* Political Party · Sub Committee* County · Party Affiliation* Non-Partisan (For non-pa

Political Party Committee Information

Committee Name* · Acronym (if any)

Choose a 4-digit PIN. This PIN will be used to electronically sign reports and registration amendments. PIN*

Email* · Phone* (__) ___-____ · Phone 2 (__) ___-____

Address Line 1* · Address Line 2

City* · State* Wisconsin · Zip* ____ - ____

Status

Are you Exempt from filing Campaign Finance Reports? Yes No

If you do not anticipate receiving or spending more than $2,000 in a calendar year, you may select "Exempt" status. Exempt committees are not required to file campaign finance reports. If your committee receives or spends more than $2,000 in a calendar year, it must amend its status to non-exempt, and file campaign finance reports covering the entire calendar year.

Treasurer Information

First Name* · Middle Name · Last Name*

Email* · Phone* (__) ___-____ · Phone 2 (__) ___-____

Mailing Address: Same as Committee Mailing Address

Address Line 1* · Address Line 2

City* · State* Wisconsin · Zip* ____ - ____

Additional Contacts (This information is optional)

First Name* · Middle Name · Last Name*

Email* · Phone* (__) ___-____ · phone 2 (__) ___-____

Mailing Address:

Address Line 1* · Address Line 2

City* · State* Wisconsin · Zip* ____ - ____

Office Title* · Primary Contact?

ADD · CANCEL

Referendum

Do you intend to spend money related to a Referendum? Yes No

Recall

Do you intend to spend money related to a Recall Petition? Yes No

Separate Segregated Fund

Do you have a Separate Segregated Fund? Yes No

Depository Information

Name of Financial Institution*

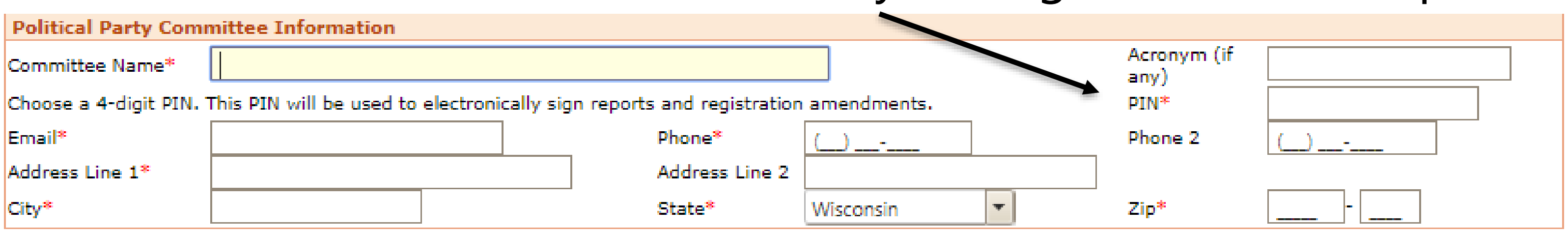
Address Line 1* · Address Line 2

City* · State* Wisconsin · Zip* ____ - ____

CONTINUE · CLEAR · CANCEL

Important Items in Registration Statement

- Contact Information
  - This is how the Commission will contact you regarding filing deadlines, audits, trainings, and all other Commission communications.
  - Very important to keep this up to date
  - **Registration must be amended within 10 days of any change in information reported previously.**
- Committee's PIN number.
  - This is needed to file and amend your registration and reports



Political Party Committee Information

Committee Name* | Acronym (if any)

Choose a 4-digit PIN. This PIN will be used to electronically sign reports and registration amendments. | PIN*

Email* | Phone* (__) ___-____ | Phone 2 (__) ___-____

Address Line 1* | Address Line 2

City* | State* Wisconsin | Zip* ____ - ____

EXEMPTION STATUS

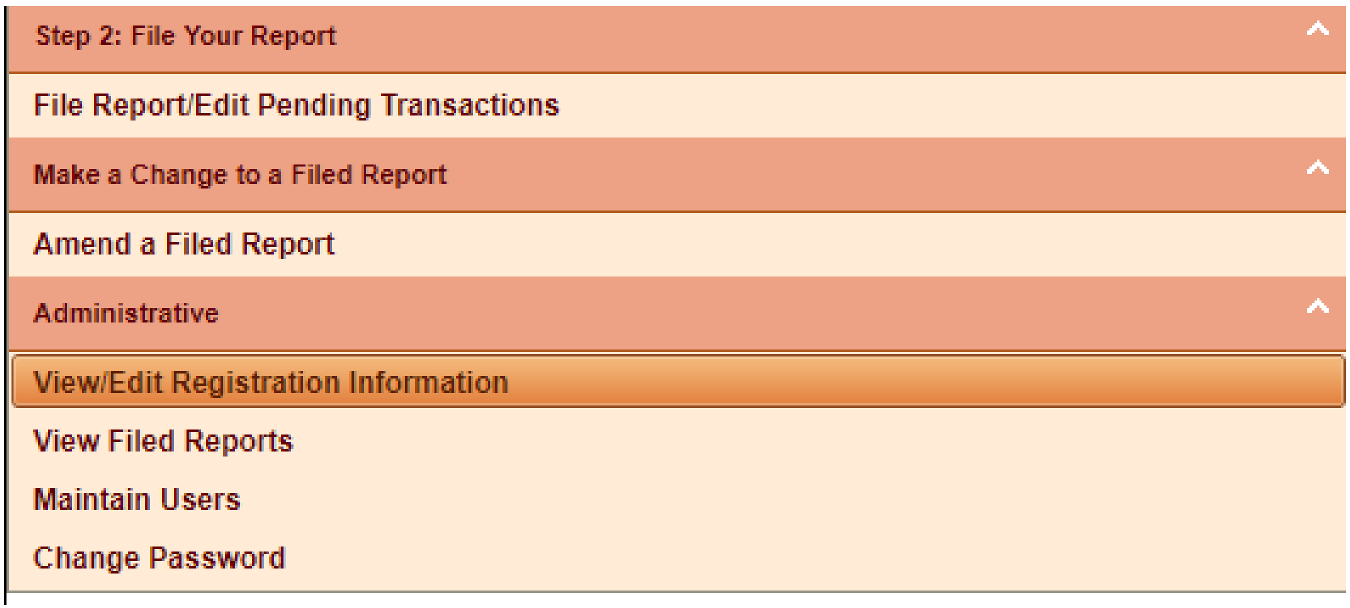
- In the registration statement a committee may select whether they are exempt from filing or not.
- Committees that will not be receiving or spending more than $2,000 in a calendar year may select "Exempt" and will not be required to file reports.
- If the committee does receive or spend more than $2,000 this status must be amended within 10 days.
  - Reports back to the beginning of the year must be filed if you come off exemption status

Status

Are you Exempt from filing Campaign Finance Reports? ○ Yes ◉ No

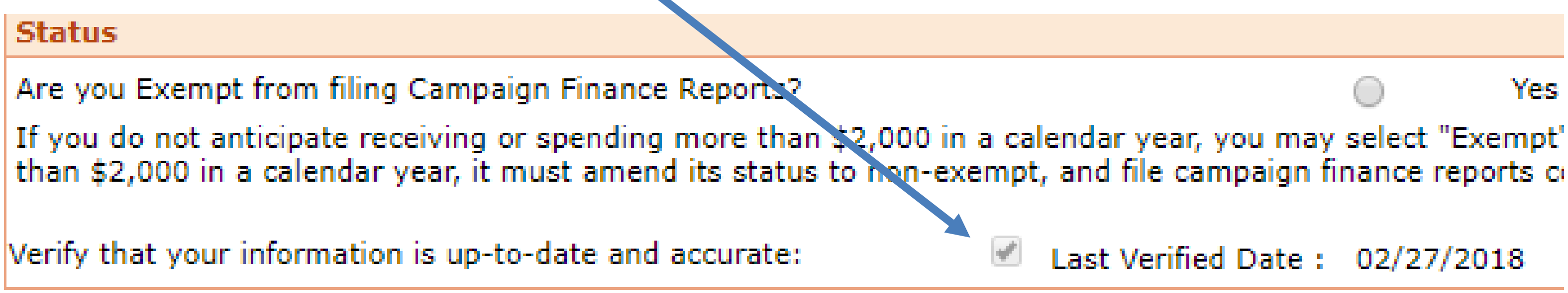
If you do not anticipate receiving or spending more than $2,000 in a calendar year, you may select "Exempt" status. Exempt committees are not required to file campaign finance reports. If your committee receives or spends more than $2,000 in a calendar year, it must amend its status to non-exempt, and file campaign finance reports covering the entire calendar year.

Amending Registration



Registration Verification

- Any time you amend your registration you will also need to verify the information is correct and up to date.
- The box must be checked in order to complete verification


Status

Are you Exempt from filing Campaign Finance Reports? Yes

If you do not anticipate receiving or spending more than $2,000 in a calendar year, you may select "Exempt'
than $2,000 in a calendar year, it must amend its status to non-exempt, and file campaign finance reports c

Verify that your information is up-to-date and accurate: Last Verified Date : 02/27/2018

Filing Fee

All committees spending more than $2,500 must pay an annual filing fee of $100 to the commission.

– Candidate committees are exempt from filing fees.

The filing fee is due each year on January 15, which is also the filing deadline for the January Continuing. The filing fee is required if expenditures for the previous calendar year exceed $2,500.

QUESTIONS

Reporting

Campaign Finance Reports

- Continuing Reports
  - All committees that are not exempt will report activity at least twice a year in the January Continuing and July Continuing
- Election Reports
  - Additional reports are required when a committee participates in an election, either by appearing on the ballot, making contributions or expenditures for a candidate on the ballot
- September Report
  - Registered committees receiving or spending for a candidate participating in the election and incumbent partisan candidates not on the ballot in even numbered years
- No Activity Reports
  - File a no activity report if you incurred no obligations, made no expenditures, and did not accept any contributions

CAMPAIGN FINANCE REPORTS
CONTINUED

- 72-Hour Reports
  - Some activity that takes place around the time of a primary or an election must be reported within 72-hours.
- 72-Hour reports must be filed if:
  - Accepting contributions of $1,000 or more cumulatively from a single contributor within a 14 day period before a primary or an election. This applies to state candidate committees, political party committees, and legislative campaign committees
  - Spending $2,500 or more in aggregate on non-coordinated express advocacy within 60 days of a primary or an election where the candidate identified in the advocacy is participating. This applies to political action committees, independent expenditure committees, and any other person other than a committee

Filing Schedule For Upcoming Fall 2018 Elections

Report	Due	Period Covered
Fall Pre-Primary	August 6, 2018	July 1-July 30
September Report	September 25, 2018	July 31-August 31
Fall Pre-Election	October 29, 2018	September 1-October 22
January Continuing 2019	January 15, 2019	October 23-December 31

https://ethics.wi.gov/Pages/CampaignFinance/ReportPeriods.aspx

When Do you File?

Report Name	Filing Deadline	Schedule A	Schedule B	Schedule C	Schedule D
July Continuing 2018	07/16/18	03/20/18 – 06/30/18	01/01/18-06/30/18	01/01/18-06/30/18	01/01/18-06/30/18
Fall Pre-Primary	08/06/18	N/A	07/01/18-07/30/18	N/A	N/A
September 2018	09/25/18	N/A	07/31/18-08/31/18	07/01/18-08/31/18	N/A
Fall Pre-Election	10/29/18	N/A	09/01/18-10/22/18	N/A	N/A
January Continuing 2018	01/15/2019	07/01/2018-12/31/2018	10/23/18-12/31/18	09/01/18-12/31/18	07/01/18-12/31/18

https://ethics.wi.gov/Pages/CampaignFinance/ReportPeriods.aspx

Filing Scenario #1

- A registered PAC contributes to a candidate on the Fall 2018 ballot on August 25 and September 23.

  Which reports is the PAC required to file?

  What if a conduit contributes on the same dates?

Answer, PAC: The September Report, Fall Pre-Election, and the January Continuing.

Conduit: The September Report and January Continuing

Filing Scenario #2

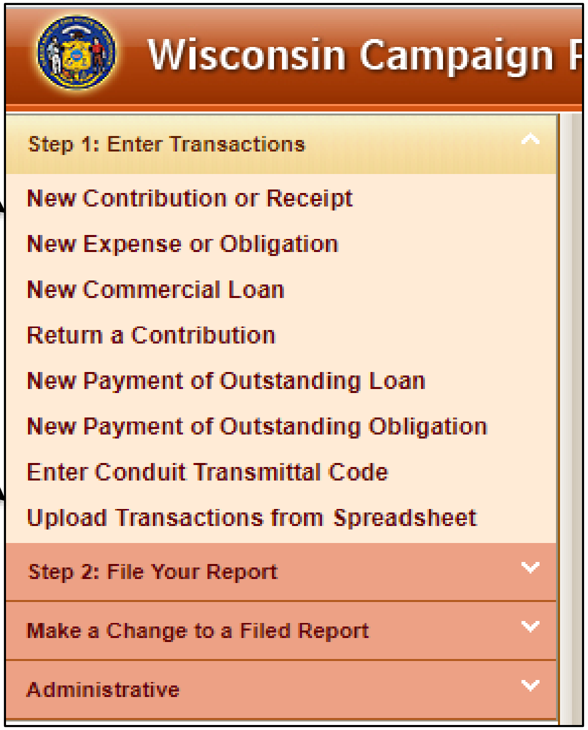
- You are a registered candidate on the ballot for the Fall 2018 election. A contributor hands you a check for $1,000 on October 29, 2018. Which reports do you need to file?

  Answer: You should file a 72-hour report for the $1,000 contribution within 72 hours of the receipt, by November 1. As a candidate, you will also need to file the Pre-Primary, September, Pre-Election, and January Continuing.

QUESTIONS?

Completing Reports

- There are two ways to enter transactions into your reports
  - Entering individual transactions
  - Uploading transactions



Note: The menu for conduits will look different

Entering Transactions

- Entering individual transactions is useful when there is a small amount transactions, and is the only way to enter commercial loans, loan payments, return receipts, and payments of incurred obligations.

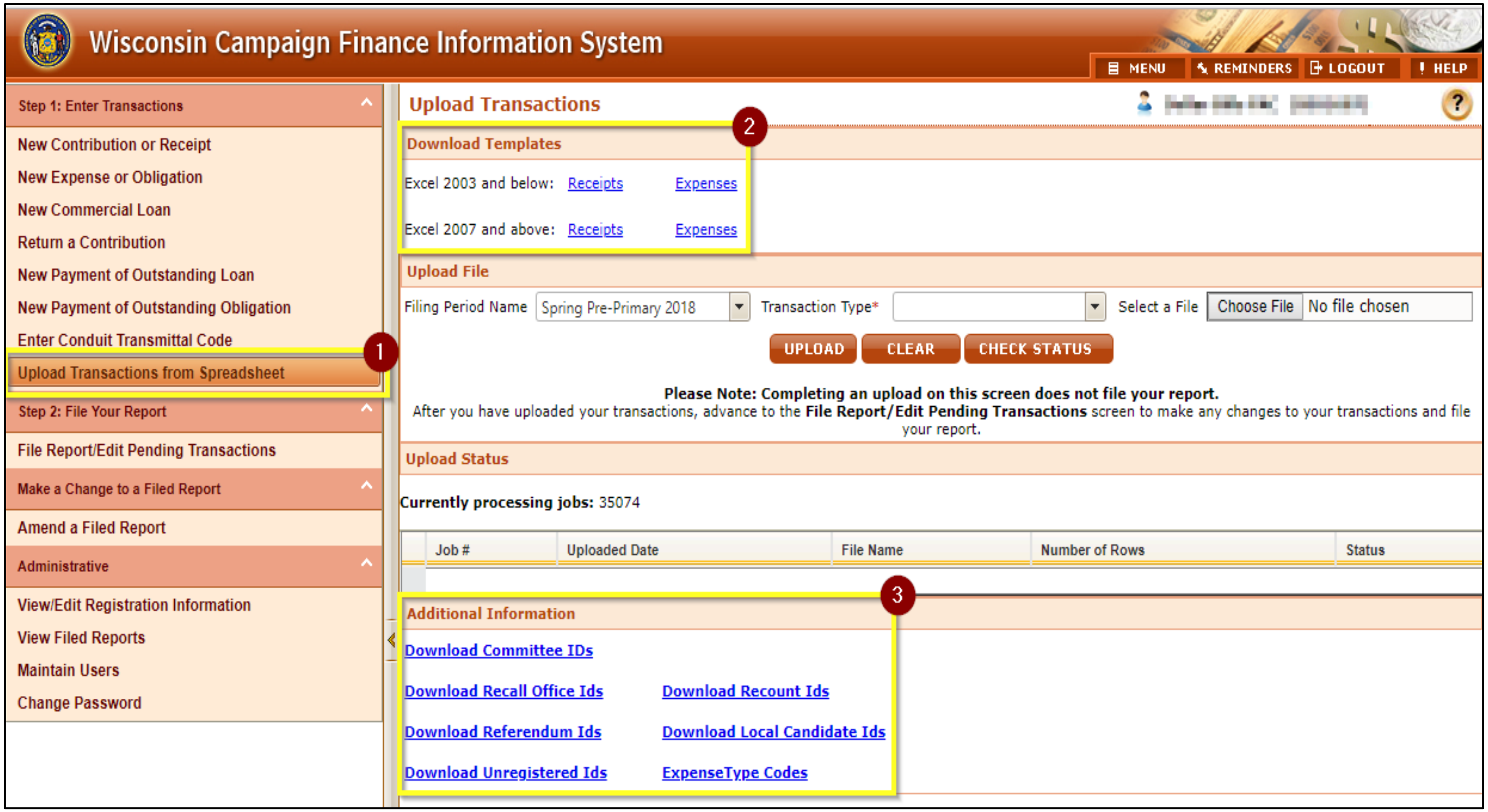
- Uploading transactions from a spreadsheet will be easiest for a large amount of transactions.
  - Our CFIS User Guide has a step-by-step tutorial on how to upload by spreadsheet beginning on page 6.

Uploading from a Spreadsheet

- Spreadsheets are provided in CFIS, "Upload Transactions for Spreadsheet", you will upload receipts and expenses in separate spreadsheets
- After the Spreadsheet uploads, it will either be Processed-No Errors or Processed-Errors
- If there are errors, the final column of your uploaded spreadsheet that processed with errors will list them

A step by step guide is available in the CFIS User's Guide starting on page 6

Uploading Transactions from Spreadsheet



Correcting Errors in Upload

- Open the document that was Processed-Errors
- Make any necessary changes and save the file (using "Save As") and upload
- Only upload transactions which you modified
- **Do not** reupload the original spreadsheet that processed without errors a second time—this creates duplicates.
- If you duplicate transactions or failed to resolve all corrections you also make modifications within "File Report/Edit Pending Transactions"

See User's Guide page 8 - https://ethics.wi.gov/Resources/CFIS-UsersGuide.pdf

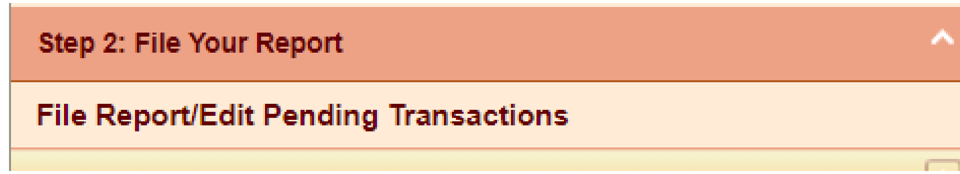
Reporting Conduit Contributions

- **When entering conduit contributions with the passcode make sure you accept in the correct filing period.** Once you press accept, you can only change the filing period or acceptance date by editing each individual transaction. If you choose the wrong value, and delete the transactions you will need to either manually enter the contributions or type the information onto the upload templates. *Passcodes can only be used once.*
- If the conduit transmittal passcode and transactions are entered in to the wrong filing period, you may need to delete them all from that period, and individually enter each conduit contribution.

★ It is important to double check the filing period before pressing accept when reporting conduit contributions.

Filing a Completed Report

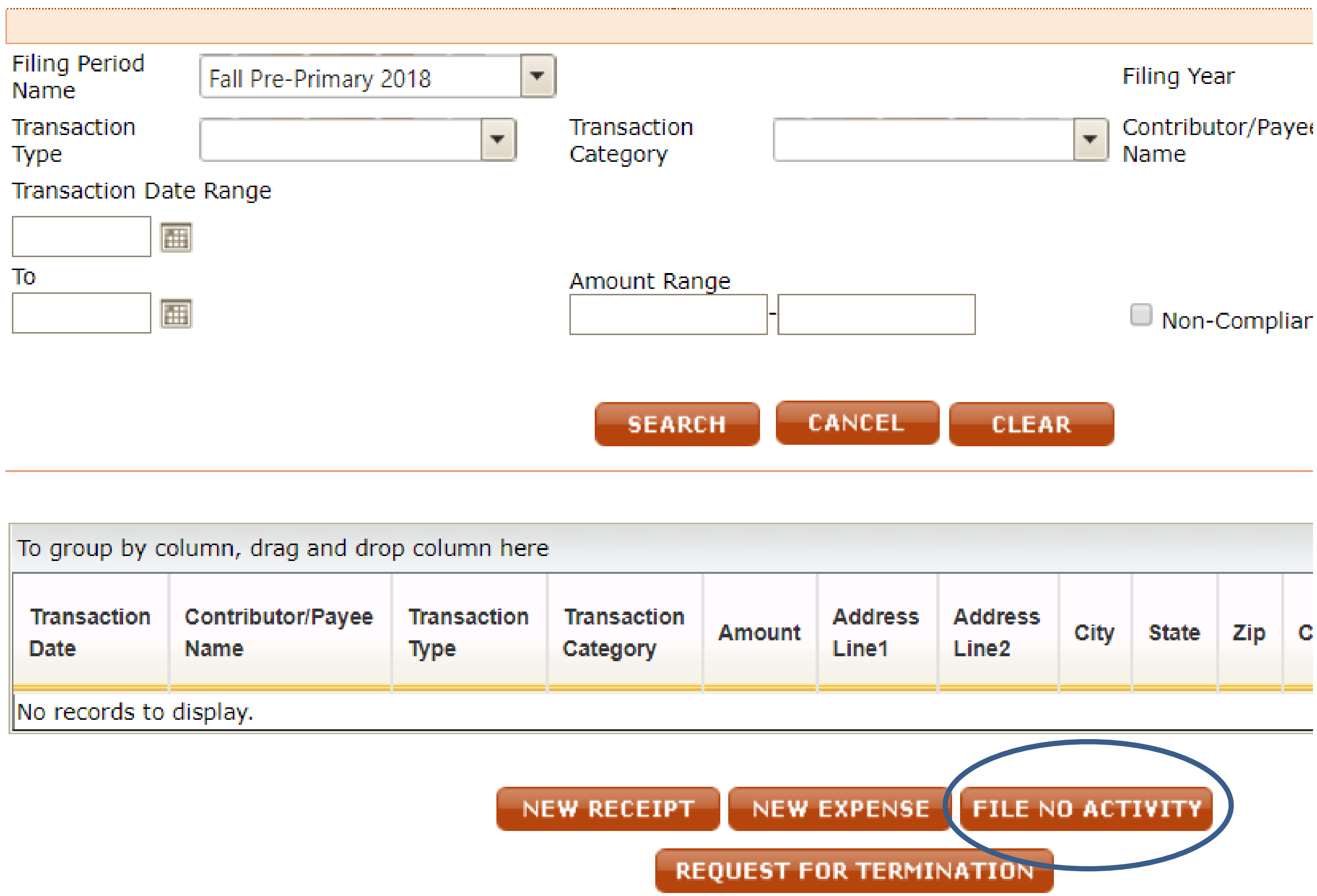
- Step 2 in CFIS menu



- When filing, make sure you first preview the finance report. This will provide you with the correct beginning and ending cash balances to enter when filing all to state. (CFIS User's Guide page 12)

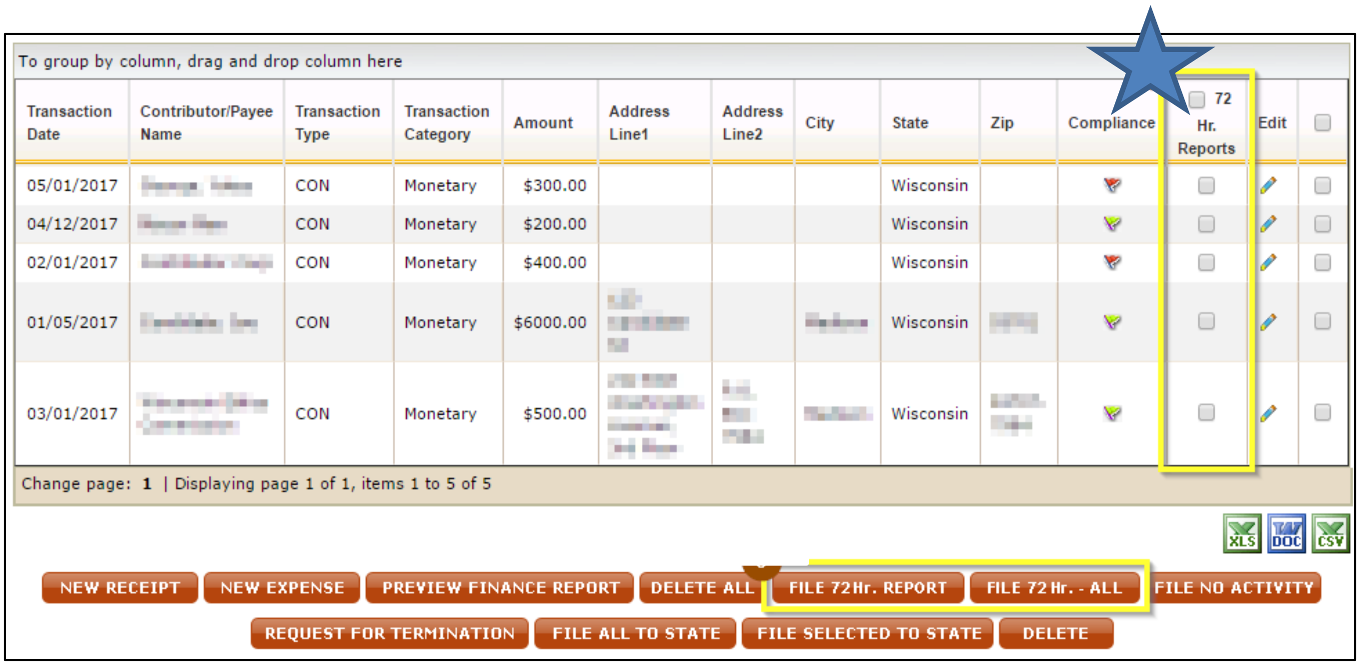
Always make sure your beginning cash balance of the report you are filing matches the end cash balance of the previous report

Filing No Activity Reports



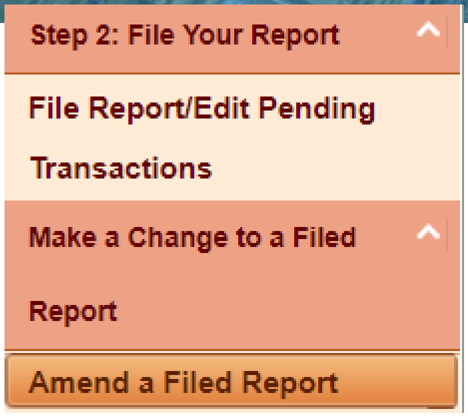
Filing 72-Hour Reports

- In the “File Report/Edit Pending Transactions” section, select each transaction that needs to be in the 72- Hour Report and click “File 72 Hr. Report”



AMENDING FILED REPORTS

- After reports are filed, you may amend them
- Amending reports is how you update cash balances or resolve cash balance discrepancies
- You can edit and delete transactions that already exist, or add new receipts, expenses, etc.
- After the necessary changes are made, file the amended report the same as the original



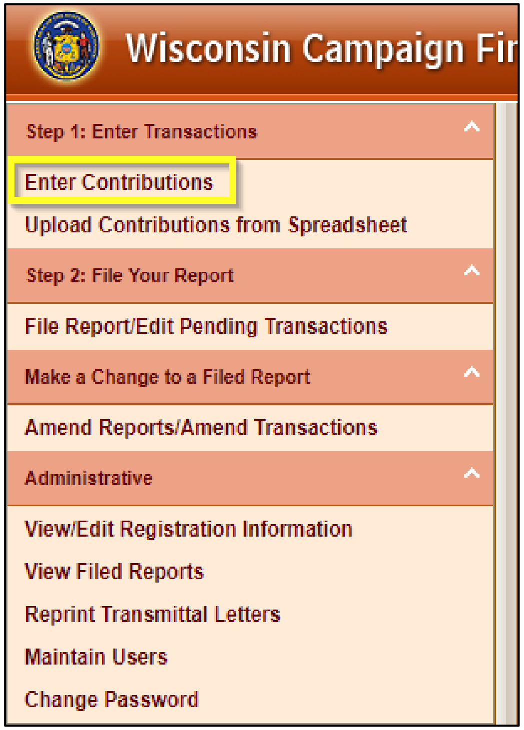
Amount	Compliance	Edit	Select
$50.00			
$515.00			
$305.00			

QUESTIONS?

Filing for Conduits

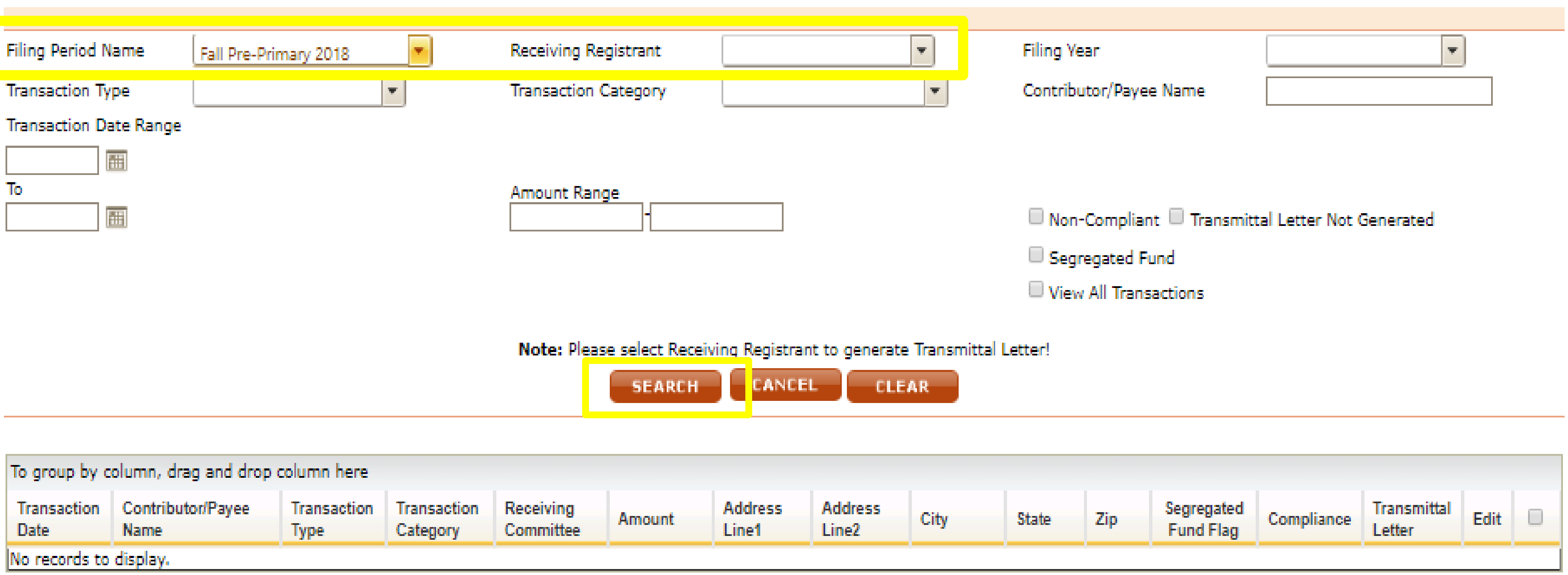
Conduit Filing

- Conduits have a different menu than all other registered committees
- Generating transmittal letters
  - Provided to receiving committee along with the contribution
- Filing reports
  - Do not need to report cash balances
  - Only report the start date for the report



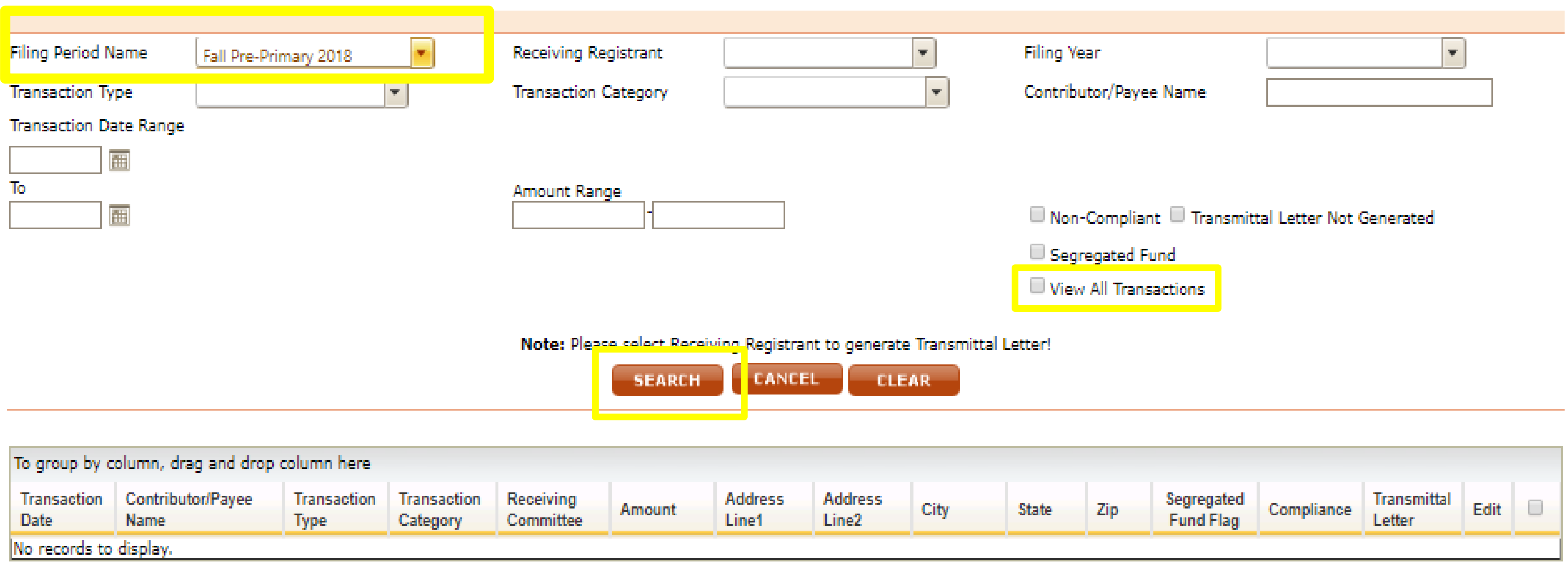
Generating Transmittal Letters

Must select the filing period name and the receiving registrant to generate transmittal letters



Filing Reports

Always select the filing period and “View All Transactions” so that all transactions are filed in the report



Conduit Filing

- One other difference for conduits is that they do not need to report cash balances.
- When filing the report, you will only need to report the start date for the filing period.
- Conduits are not required to file Pre-Primary or Pre-Election Reports.

QUESTIONS?

Reporting Requirements, Record Keeping & Best Practices

Requirements

- Committees and conduits are required to maintain their records in an organized and legible manner for 3 years from the date of the election in which they have participated
- The limit on cash contributions is $100
- For contributions over $200, an individual's occupation must be provided
- Interest earned on an interest-bearing account is not a contribution, but must be reported to ensure accurate cash balances
- **Everything** must be itemized, there is no contribution amount that does not need to be itemized

Requirements

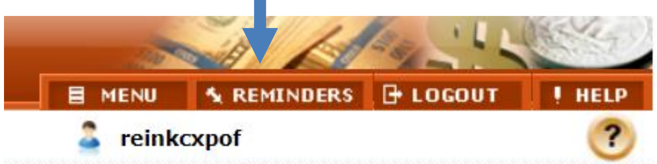
- Anonymous contributions may be accepted if they are $10 or under.

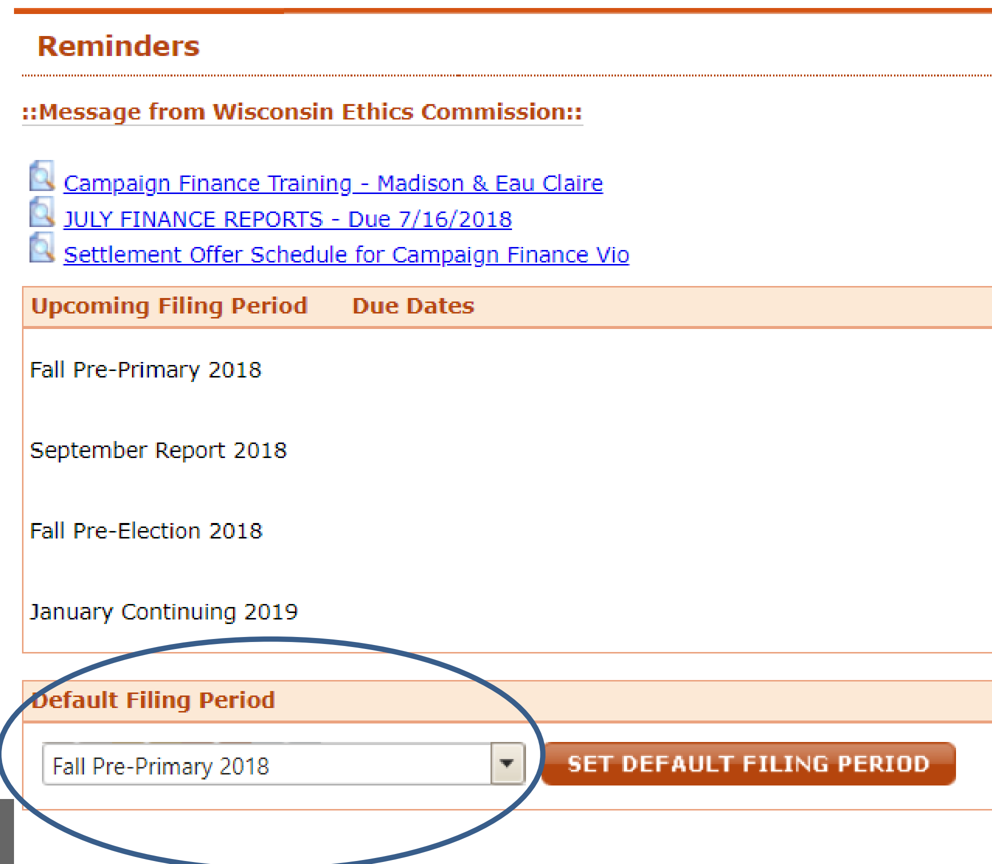
- If someone physically gives a contribution you should always obtain their information.

- Ticket sales for events or sales of pins, stickers, shirt, signs, etc. should always be itemized and reported individually, not as the total amount from sales. Even if the sale is $10 or under, because someone is physically purchasing, you must obtain their information to itemize the contribution in your reports.

Tips for Accurate Reports

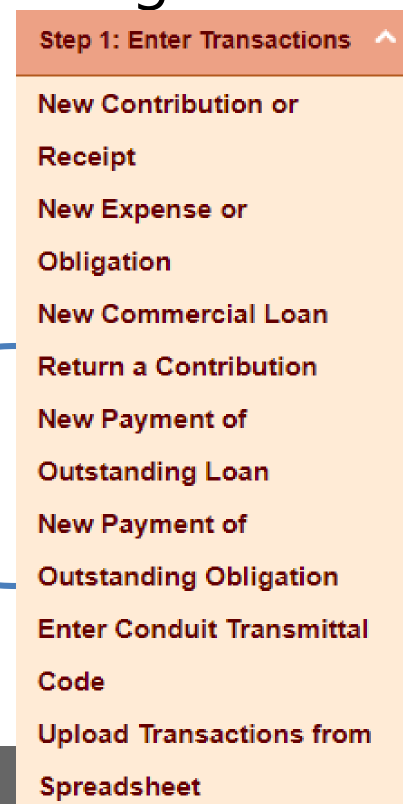
- Set your default filing period to avoid entering transactions into the wrong period.
- This is in the reminders section (top right corner of home screen).





TIPS FOR ACCURATE REPORTS

- Entering return contributions or paying loans or incurred obligations is not the same as entering an expense, these have separate sections that you should go to in order to enter these transactions



Tips for Accurate Reports

- Every in-kind contribution requires a matching expenditure. This balances the in-kind contribution to $0
- When reporting contributions from credit card companies or vendors used to collect online contributions the entire contributions must be reported and an expense for the fees associated with that contribution
- Scan or photocopy all checks received
- At events such as fundraisers or fair booths, have a reliable individual keep track of each contributor and their full name and address

Tips for Accurate Reporting

- Always preview the report before filing to state

- Previewing will allow you to view the report and confirm that the:

  Cash Balance Beginning of Report

  + Total Receipts

  <u>- Total Disbursements</u>

  =Cash Balance End of Report

If these fields do not balance, your report has an error in its transactions or in its reported cash balances.

QUESTIONS?

Terminating a Registered Committee

Post Election Considerations

- Wisconsin's statutory definition of candidate includes a sitting elected official so your committee must remain active as long as you are a sitting official.
- If you lost, you may want to terminate your committee.
- If you wish to keep your committee, but will not be receiving or spending over $2,000 until the next election, go on exemption to avoid filing reports.
- If you will continue receiving and spending after election stay active. You will still be required to file reports.

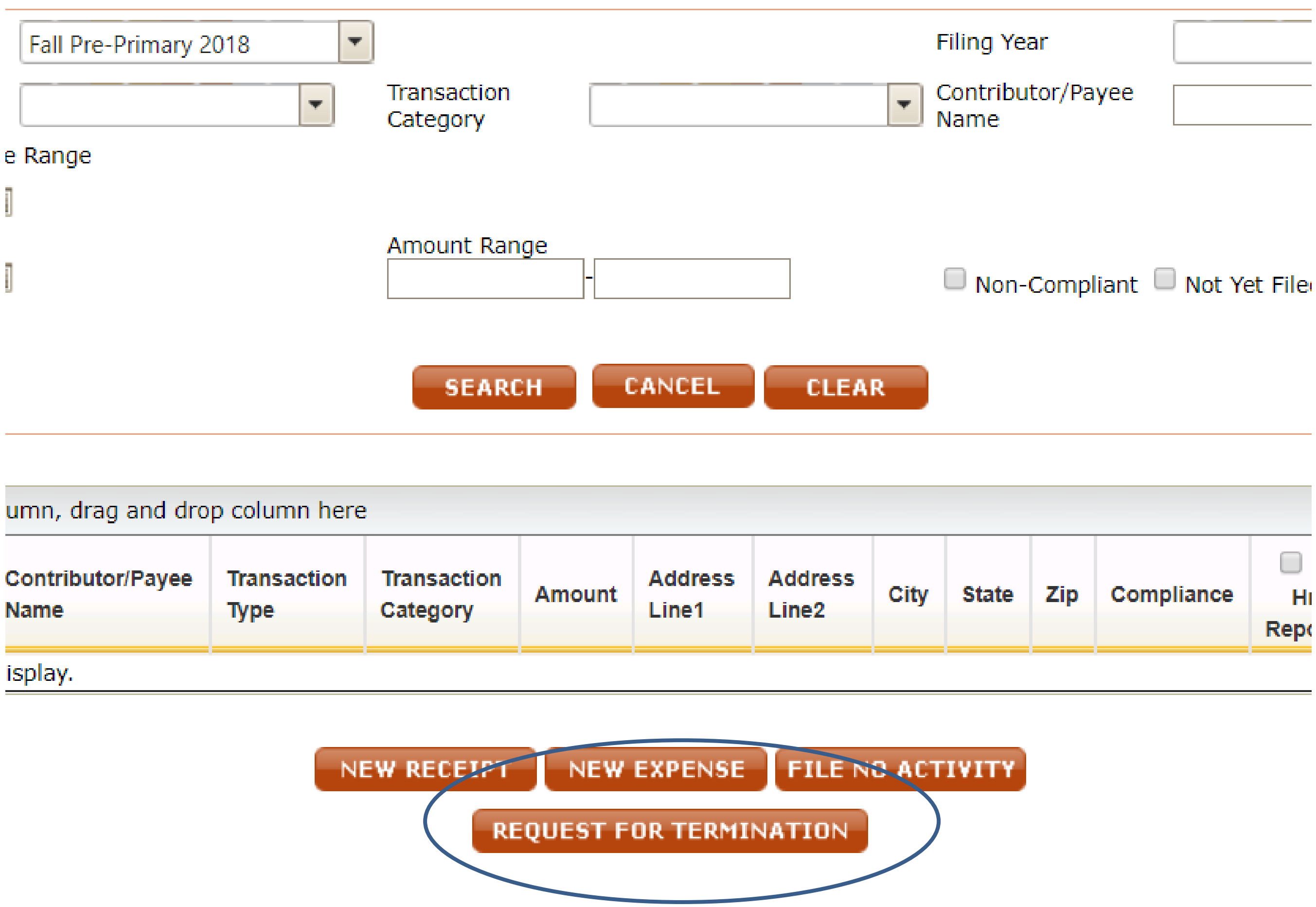
How to Request Termination

- To be eligible the following must be true:
  - Committee has a $0 cash balance and $0 in outstanding debts and obligations
  - Committee has no pending transactions
  - You cannot be a current office holder
  - Committee has paid the filing fee if they spent over $2,500.

How to Request Termination

- Requesting termination is done by filing a campaign finance report
- Request for Termination will be an option below the list of transactions
- Staff will run an audit to ensure the above requirements are met. If they are you will be terminated, if not staff will notify you to resolve any issues identified in the audit

Termination



QUESTIONS?

Important Laws to Know

Contribution Limits

- Contribution limitations apply cumulatively to the entire primary and election campaign in which the candidate participates, whether or not there is a contested primary election.
- For candidates not currently holding office, the timeframe starts the day they register the campaign finance committee and goes through the day before the term of office begins for the office that was sought
  - Example: Fall 2018 candidate registered their committee on March 20, 2018. The timeframe is from March 20, 2018 to January 2018 when the new term of office starts, even if they lose the election.
- For candidates currently holding office, the timeframe is the term of office.
  - Example: Governor - from the day he took office until the new term begins

CONTRIBUTION LIMITS CONTINUED

- There is no contribution limit for a candidate contributing to their own candidate committee
- Contributions to PACs are unlimited
- Contributions from a political party or legislative campaign committee to a candidate committee are unlimited.

A complete table of limits is available here:
https://ethics.wi.gov/Pages/CampaignFinance/ContributionLimits.aspx

Lobbyist Contributions

- Lobbyists may make contributions to candidates for local and non-partisan office allowed
  - If the candidate is not currently holding a partisan office

- A lobbyist may make a ***personal*** contribution to a partisan elected official or candidate for partisan state office:

  From the first day authorized by law for the circulation of nomination papers until general or special election day

  AND the Legislature has concluded its final floor period

  AND the Legislature is not in special or extraordinary session (check https://legis.wi.gov)

- A lobbyist may deliver a contribution on behalf of a committee (PAC, Conduit, etc.) at any time

*note: this restriction applies to lobbyists that represent limited lobbying principals

Attribution and Disclaimer Requirements

- What communication requires an attribution statement?
  - Express advocacy paid for by contribution or disbursement
  - Express advocacy is a communication which clearly identifies a candidate and clearly relates to the election or defeat of the candidate. Common terms are the following:
    - Vote for, Elect, Support, Cast your ballot for, Smith for…, Vote against, defeat, or reject
- All attribution statements must be readable, legible, and readily accessible
- Not required on small items, where it cannot be conveniently printed, such as pen, keychain, sticker, pin.

(This also includes text messages and small social media communication)

Attribution and Disclaimer Requirements

- Registered Committees
  - Any communication, paid for directly by committee or accepted as an in-kind must identify itself as the source of a communication using the words "Paid for by" followed by the committee name

    Example: Paid for by John Smith for Governor

  - If it is done in coordination with another committee making the payment for the communication, the committee that it is for must be identified and the committee making the payment may be identified.

    Example: Paid for by WI PAC, Authorized by John Smith for Governor

  - If the committee places the communication without the knowledge of the candidate committee the following language must be included:

    "Not authorized by any candidate or candidate's agent or committee"

    Example: Paid for by WI PAC, Not authorized by any candidate or candidate's agent or committee

ATTRIBUTION AND DISCLAIMER REQUIREMENTS

- Other persons communicating express advocacy
  - Communication costing more than $2,500
  - Must include "Not authorized by any candidate or candidate's agent or committee"

    Example: Paid for by Jane Doe, not authorized by any candidate or candidates agent or committee

- Statements made for the purpose of influencing the recall from or retention of an official holding state or local office also require attribution statements

Corporate, Union, Association Contributions

- Corporations, associations, labor unions, and American Indian tribes **may not** contribute to political committees in Wisconsin, including candidate committees
- These groups may contribute to independent expenditure committees, referenda committees, and segregated fund accounts established by party committees and legislative campaign committees
- Sole proprietorship contributions, partnerships, LLCs treated as partnerships under federal law, and single-member LLC contributions are permitted and treated as contribution from an individual member

QUESTIONS?

ENFORCEMENT

AUDITS

- Commission staff conducts audits for late filings, cash balance discrepancies, contribution limits, corporate contributions, late 72-hour reports, anonymous transactions, reports containing all required information, and pending transactions

- If a potential violation is identified in an audit, absent special/mitigating circumstances, the Commission may issue a settlement under that standard schedule

https://ethics.wi.gov/Pages/Enforcement/SettlementSchedules.aspx

STANDARD SETTLEMENTS

Late Filing of Continuing Campaign Finance Reports

(Calendar) Days Late:	First Violation:	Second or Greater Violation:
0-30	Warning	Warning
31-60	$100	$200
61-90	$200	$300
91-120	$300	$400
Over 120	$500	$500

Standard Settlements

Late Filing of Pre-Primary, Pre-Election, and Special Post-Election Reports

(Business) Days Late:	Settlement Amount:
1	$100
2	$150
3	$200
4	$250
5	$300
6	$350
7	$400
8	$450
9	$500

Standard Settlements

Late/Incomplete Filing of 72-Hour Reports

Late/Incomplete Reporting	Settlement Amount:
5% of the total amount of unreported contribution	

Late Payment of Annual Filing Fees

(Calendar) Days Late:	Settlement Amount:
1-15	Warning
16-45	$300
46-90	$500
91 or more	$800

Standard Settlements

Incomplete Contribution Information

Calendar Days Late:	Settlement Amount:
Up to 30 days from staff contact	Warning
31+ days from staff contact	$100 plus 10 percent of contributions with incomplete information

Cash Balance Discrepancies

Calendar Days Late:	Settlement Amount:
Up to 30 days from staff contact	Warning
31+ days from staff contact	$100 plus 10% of discrepancy

Standard Settlements

Exceeding Contributions Limits

Violation Type:	Settlement Amount:
Receiving Excess Contribution	Amount of excess contribution
Furnishing Excess Contribution	If receiving committee forfeits full amount of excess contribution, $0; else, case-by-case basis

Prohibited Corporate Contributions

Violation Type:	Settlement Amount:
Receiving Committee	1.5 times amount of contribution
Corporate Contributor	1.5 times amount of contribution

Where to Find More Information

- **Wisconsin Statutes**
  - https://docs.legis.wisconsin.gov
- **Advisory Opinions**
  - Prompt, Confidential, Authoritative
- **Guidelines**
  - https://ethics.wi.gov

Ethics@wi.gov
https://ethics.wi.gov
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Fax: (608) 264-9319

State of Wisconsin
Ethics Commission