



State of Wisconsin
Ethics Commission

WI CAMPAIGN FINANCE: STATE CANDIDATE COMMITTEE OVERVIEW

JUNE 2020

ETHICS COMMISSIONERS

Name	Title	Appointed By	Term Expires
Paul Connell	Commissioner	Senate Majority Leader	5/1/2024
Mac Davis	Commissioner	Governor	5/1/2021
David Halbrooks	Commissioner	Assembly Minority Leader	5/1/2021
Scot Ross	Commissioner	Senate Minority Leader	5/1/2024
Pat Strachota	Chair	Assembly Speaker	5/1/2021
Timothy Van Akkeren	Commissioner	Governor	5/1/2024



WE'RE HERE TO HELP!

ETHICS COMMISSION STAFF

Administrator

Daniel Carlton, Jr.

Staff Counsel

David Buerger

Office Manager

Julie Nischik

Program Staff

Richard Bohringer

Harry Broderick

Colette Greve

Adam Harvell

Caroline Russell



TODAY'S WEBINAR TOPICS

- REGISTRATION OF A CANDIDATE COMMITTEE
- REPORTING OF PERIODIC CAMPAIGN FINANCE REPORTS
- DUTIES & PROHIBITIONS
- ENFORCEMENT & AUDITING





State of Wisconsin
Ethics Commission

REGISTRATION

- WHO NEEDS TO REGISTER AND WHEN
- FILING OFFICER
- COMPLETING A REGISTRATION STATEMENT
 - EXEMPT STATUS
- IMPORTANT NOTES AND TIPS

WHO IS REQUIRED TO REGISTER?

- Any candidate for election to public office must register a candidate committee with the appropriate filing officer as soon as:
- The individual takes any of the following actions:
 - Files nomination papers;
 - Is nominated by a caucus or political party; or
 - Solicit/receive/spend funds in order to bring about the individual's nomination;
- The individual holds public office and is the subject of a recall petition; or
- The individual holds a state or local office.

- WIS. STAT. § [11.0101\(1\)](#), [11.0202\(1\)\(a\)](#).



ETHICS COMMISSION AS FILING OFFICER

The Wisconsin Ethics Commission serves as the filing officer for the following candidate committees:

Governor

Lieutenant Governor

Attorney General

Secretary of State

State Treasurer

State Superintendent of Public Instruction

Justice of the Supreme Court

Court of Appeals Judge

Circuit Court Judge

State Senator

Representative to the Assembly

District Attorney

State candidates register their committees and submit reports using the [Campaign Finance Information System](#) (CFIS or “see-fiss”).



COMPLETING A REGISTRATION STATEMENT

CANDIDATE INFORMATION

Candidate Committee Registration CF-1 STEP 1 STEP 2 STEP 3 STEP 4 ?

Committee Type
Committee Type* State Candidate

Candidate Information

First Name*	<input type="text"/>	Middle Name	<input type="text"/>	Last Name*	<input type="text"/>
Email*	<input type="text"/>	Phone*	<input type="text"/>	Phone 2	<input type="text"/>
Election*	<input type="text"/>	Party Affiliation*	<input type="text"/>	Branch	<input type="text"/>
Office*	<input type="text"/>	District/County	<input type="text"/>		
Mailing Address:					
Address Line 1*	<input type="text"/>	Address Line 2	<input type="text"/>		
City*	<input type="text"/>	State*	Wisconsin	Zip*	<input type="text"/>

Provide an email address and phone number where emails and messages are checked often.



COMPLETING A REGISTRATION STATEMENT

COMMITTEE INFORMATION

Will be used on attribution statements/disclaimers.

Provide an email address and phone number where emails and messages are checked often.

Committee Information			
Committee Name*	<input type="text"/>	Acronym (if any)	<input type="text"/>
Choose a 4-digit PIN. This PIN will be used to electronically sign reports and registration amendments.			
Email*	<input type="text"/>	Phone*	<input type="text"/>
Mailing Address: <input type="checkbox"/> Same as Candidate Mailing Address			
Address Line 1*	<input type="text"/>	Address Line 2	<input type="text"/>
City*	<input type="text"/>	State*	Wisconsin
		Zip*	<input type="text"/>

Treasurer Information			
First Name*	<input type="text"/>	Middle Name	<input type="text"/>
Email*	<input type="text"/>	Phone*	<input type="text"/>
Mailing Address: <input type="checkbox"/> Same as Candidate Mailing Address			
Address Line 1*	<input type="text"/>	Address Line 2	<input type="text"/>
City*	<input type="text"/>	State*	Wisconsin
		Zip*	<input type="text"/>

Candidate can serve as Treasurer.

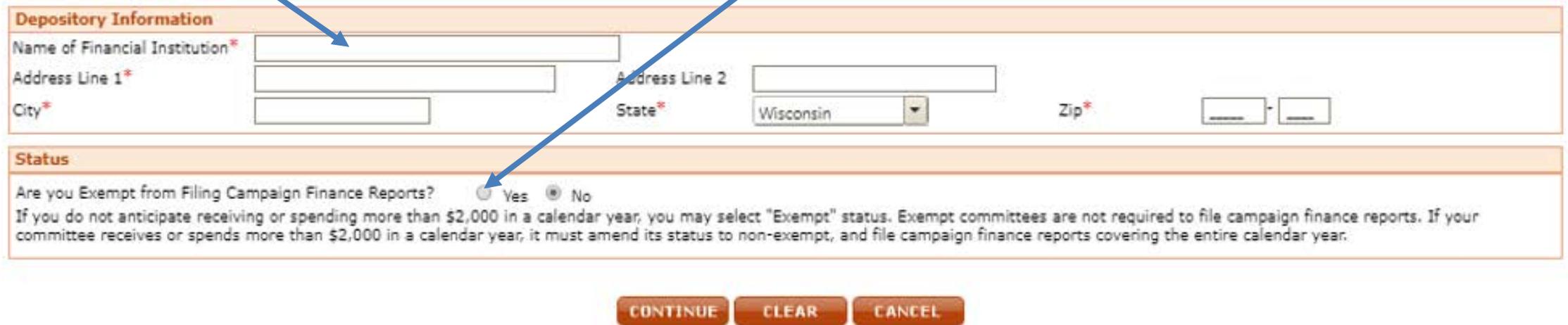
Provide a four-digit PIN.



COMPLETING A REGISTRATION STATEMENT

DEPOSITORY INSTITUTION AND EXEMPTION

Can list personal depository institution if committee is eligible for exemption.



Depository Information

Name of Financial Institution*

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.

CONTINUE **CLEAR** **CANCEL**

If a committee anticipates that it will not have campaign finance activity in an aggregate amount exceeding \$2,000 in a calendar year, they can note that they are eligible for exemption from filing periodic reports while filing the online registration statement in CFIS.

WIS. STAT. §§ [11.0104](#), [11.0201\(2\)\(b\)](#).



COMPLETING A REGISTRATION STATEMENT

EXEMPTION AFFIRMATION

+++ EXEMPTION FROM FILING CAMPAIGN FINANCE REPORTS s.11.0104, Stats. +++

You may be eligible for an exemption from filing campaign finance reports. Consult the appropriate Campaign Finance Overview to determine if the registrant qualifies for exemption.

- This registrant is eligible for exemption. This registrant will not accept contributions, make disbursements or incur obligations in an aggregate amount of more than \$2,000 in a calendar year.
- This registrant is no longer eligible to claim exemption.

Signature of Candidate or Treasurer

Date



COMPLETING A REGISTRATION STATEMENT CERTIFICATION

CERTIFICATE

TREASURER

I, Frog, Kermit
certify the information in this statement is true and complete.

Signature _____ Treasurer _____
Date _____

CANDIDATE

I, Frog, Kermit
certify the information in this statement is true, correct and complete, and that this is the only committee authorized to act on my behalf.

Signature _____ Candidate _____
Date _____

To activate your committee, send a signed copy of your registration form to the Ethics Commission. This can be done by:

- Mail to PO Box 7125, Madison WI 53707;
- E-Mail to campaignfinance@wi.gov;
- Fax to (608) 264-9319, or
- In-person delivery to 101 E. Wilson St., Ste. 127, Madison WI, 53703.

THE INFORMATION ON THIS FORM IS REQUIRED BY ss.9.10(2)(d), 11.0203, STATS. FAILURE TO PROVIDE THE INFORMATION MAY SUBJECT YOU TO THE PENALTIES OF ss. 8.30(2), 11.1400, 11.1401, STATS.

Report Generated On: 03/11/2020



EXEMPT STATUS: EXCEEDING \$2,000

- If the committee exceeds the \$2,000 of activity, it needs to amend the registration statement by checking “No,” in the Status section of the “Edit Registration Information” page in CFIS.

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.

Verify that your information is up-to-date and accurate: Last Verified Date : 10/29/2019

- The committee is then required to file campaign finance reports.
- The first campaign finance report filed after a committee is no longer exempt covers activity from January 1 of that calendar year, or the date the committee was registered, whichever is later.

WIS. STAT. §§ [11.0203\(3\)\(a\)](#), [11.0104\(3\)](#).



IMPORTANT NOTES ON REGISTRATION

- Every candidate for election to public office must have a committee.
- The candidate does not register themselves for campaign finance purposes; they register a committee.
- Candidates cannot receive contributions or make disbursements until they have registered a committee, except to:
 - open a bank account for the committee;
 - rent a PO box; and
 - produce nomination papers.

WIS. STAT. §§ [11.0202\(2\)\(b\)](#), [11.0203\(3\)\(a\)](#).



IMPORTANT NOTES ON REGISTRATION

- It is very important to keep your CF registration updated. The Commission sends filing deadline reminders and audit notices to the email addresses on the registration statement.
- It may be necessary to check on your email's spam filter to make sure communications from the Commission are being directed into your spam folder.
- Any change of committee information requires an amendment to be filed within ten days of the change.

[WIS. STAT. § 11.0201\(4\).](#)





State of Wisconsin
Ethics Commission

REPORTING

- WHO, WHAT, WHEN, AND WHERE
- KEY TERMS & DEFINITIONS FOR REPORTING
- ENTERING TRANSACTIONS AND FILING A REPORT
- 72 HOUR REPORTS & NO-ACTIVITY REPORTS
- TIPS AND IMPORTANT NOTES

WHO - WHAT

- *Who* must file finance reports?
 - Any candidate not claiming [exemption](#).
- *What* do they have to file?
 - Regular committee reports (CF-2);
 - Reports of late contributions (72-hour reports) (CF-3); and
 - No-activity reports (CF-2A).

Links to information on deadlines, contribution limits, committee manual:

- <https://ethics.wi.gov/Pages/CampaignFinance/Candidates.aspx>.



WHEN - WHERE

- *When* do I have to file reports?
 - January & July Continuing Reports
 - Pre-Primary Report
 - September Report
 - Pre-Election Report
 - Due dates depend on the report. Please see the updated [filing calendar](#) for specific due dates.
- *Where* do I file reports?
 - All reports are filed online in CFIS (cfis.wi.gov).

Committees must continue to file reports after the date of their election regardless of whether they win. Certain committees may request an exemption from filing reports, or request termination.

WIS. STAT. §§ [11.0104](#), [11.0105](#), [11.0204\(4\)](#), [11.0204\(5\)](#), [11.0204\(6\)](#), [11.0207](#).





POLLING QUESTION 1

Which of these items are **not** considered contributions?

- a. Check of \$500 from Joe Smith for Senate;
- b. The time spent by a friend that helped you knock on doors and pass out campaign literature;
- c. You, the candidate, write your committee a check for \$1000; or
- d. The pamphlets your friend, that owns a printing business, printed for your committee free of charge.





POLLING QUESTION 1

Which of these items are **not** considered contributions?

Answer:

- b. The time spent by a friend that helped you knock on doors and pass out campaign literature.

If an individual is not specifically compensated for services they provide to a committee, those services are not considered a contribution.

[Wis. STAT. § 11.0101\(8\)\(b\)1.](#)



KEY TERMS AND DEFINITIONS: CONTRIBUTION

- What is a contribution?
 - Gifts, loans, or transfers of money to a committee;
 - Example: An individual mails you or your committee a check for \$100.00.
 - Transfer of funds between registered committees;
 - Example: A registered PAC or another candidate committee writes your committee a check for \$500.
 - Tangible personal property or services transferred to the committee; and
 - Example: A friend buys stamps at the post office and gives them to your committee to use in mailing brochures (tangible personal property), or a friend who is a professional website developer volunteers to develop your campaign website free of charge (service).
 - These are in-kind contributions.
 - A ticket purchase for a fundraising event, or a sale of merchandise.
 - Example: When an individual buys tickets for an event held by a committee these are contributions.
 - Example: The committee has T-shirts or bumper stickers made and sells them to individuals. The entire amount of the purchase price counts as a contribution from the individual to the committee.

[Wis. STAT. § 11.0101\(8\)\(a\)](#)

Note: CFIS.wi.gov refers to contributions, interest income, other income, and refunds collectively as “receipts.” These all must be reported, even if they are not within the definition of contributions.



KEY TERMS AND DEFINITIONS: NOT A CONTRIBUTION

- Examples of things that **are not** considered contributions:
 - Volunteer services;
 - Costs of preparing and transmitting personal correspondence;
 - Interest earned on an interest-bearing account;
 - Rebates or awards earned in connection with a debit or credit card;
 - A loan from a commercial lending institution made in the regular course of business;
 - News stories, commentaries, editorials, etc.;
 - Reuse of surplus materials from a previous campaign, if materials previously reported as a contribution; or
 - The cost of invitations, food, and beverage *only if* it is held in a private residence on behalf of the candidate committee.

» Note: For a complete list of things that are not considered contributions, please see the list provided in [Wis. STAT. § 11.0101\(8\)\(b\)](#).



IN-KIND CONTRIBUTIONS

- In-kind contributions are goods, services, or property offered to the candidate's committee free of charge or at less than usual cost, or payment to a third party to purchase goods, services, or property on behalf of the candidate.
- When reporting in-kind contributions, use the fair market value of the good, service, or property.
- In-kind contributions must be itemized when they are reported and are added to contribution amounts received in monetary form (cash, check, or credit/debit) for the purpose of calculating contribution limits.
 - Example: Jane Smith provides your committee with \$50 in donated goods and a check for \$200, her total contribution for the purpose of determining compliance with contribution limits is \$250.

WIS. STAT. § [11.0101\(8\)\(a\)2](#), [11.1109](#)



KEY TERMS AND DEFINITIONS: DISBURSEMENT

- What is a disbursement?
 - An expenditure by the committee from the committee’s depository account;
 - A transfer of tangible personal property or services by the committee;
 - Example: The candidate committee donates office supplies to another committee.
 - Transfer of funds to another committee; and
 - Example: Your campaign committee writes a check for \$100 to another candidate committee.
 - Purchasing a ticket for an event for another committee, regardless of whether the ticket is used to attend the event.
 - Example: The committee purchases tickets to a dinner hosted by a PAC for the candidate and treasurer to attend.

[WIS. STAT. § 11.0101\(10\)\(a\)](#)

Note: CFIS.wi.gov refers to disbursements as “expenses”



KEY TERMS AND DEFINITIONS: NOT A DISBURSEMENT

- Disbursements do not include any of the following:
 - A nominal fee paid for a communication to the general public;
 - News stories, commentary, editorials by a broadcasting station, cable television operator, producer, or programmer, Internet site, or newspaper or other periodical publication, including an Internet or other electronic publication unless a committee owns the medium in which the news story, commentary, or editorial appears; or
 - A communication or Internet activity by an individual acting in his or her own behalf, or acting in behalf of another person if the individual is not compensated specifically for those services, including the cost or value of computers, software, Internet domain names, Internet service providers, and any other technology that is used to provide access to or use of the Internet, but not including professional video production services purchased by the individual.
 - » Note: For a complete list of things are not considered disbursements, please see the list provided in [WIS. STAT. § 11.0101\(10\)\(b\)](#).



KEY TERMS AND DEFINITIONS: OBLIGATIONS AND LOANS

- An obligation is an express agreement by the candidate committee to make a disbursement. This includes the following:
 - A loan or loan guarantee;
 - A promise to purchase, rent, or lease tangible personal property; or
 - A promise to pay for a service that has been or will be performed.
- Example of an obligation:
 - Your candidate committee needs pamphlets printed for canvassing. You go to your local printer and provide them with the template to be printed and are expected to pay when you pick up your printed pamphlets. This is an obligation that you have incurred.

[WIS. STAT. § 11.0101\(23\)](#)



LOGGING INTO CFIS (CFIS.WI.GOV)

 Welcome to Wisconsin Campaign Finance Information System

Register a Committee
Register a Conduit
Report Independent Expenditures
View Filed Reports
View Receipts
View Expenses
View Registrants
View Conduit Contributions
FAQs
General Information

News
[Impact of Emergency](#)
[Independent Expendit....](#)
[Settlement Offer Sch....](#)

Campaign Finance Information
Chapter 11 State Statutes
Campaign Finance Overview
CFIS Manuals
Committee Manuals
Standard Settlement Schedule
How to File a Complaint

Registrant Login
Committee ID/Username:

Password:

LOGIN
[Forgot password?](#)

Campaign Finance Information System 

Wisconsin Ethics Commission | [Contact Us](#) | [Need Help? Review the User's Guide and FAQ](#)

CFIS 2.7.80



CFIS OVERVIEW

Wisconsin Campaign Finance Information System

MENU REMINDERS LOGOUT HELP

Test Candidate Committee (0105410)

Step 1: Enter Transactions

- New Contribution or Receipt
- New Expense or Obligation
- New Commercial Loan
- Return a Contribution
- New Payment of Outstanding Loan
- New Payment of Outstanding Obligation
- Enter Conduit Transmittal Code
- Upload Transactions from Spreadsheet

Step 2: File Your Report

- File Report/Edit Pending Transactions
- Make a Change to a Filed Report
- Amend a Filed Report

Administrative

- View/Edit Registration Information
- View Filed Reports
- Maintain Users
- Change Password

Reminders

Message from Wisconsin Ethics Commission::

[Settlement Offer Schedule for Campaign Finance Vid](#)

Upcoming Filing Period	Due Dates
Spring Pre-Election 2020	03/30/2020
July Continuing 2020	07/15/2020

Default Filing Period

None

Wisconsin Ethics Commission | [Contact Us](#) | [Need Help? Review the User's Guide and FAQ](#)

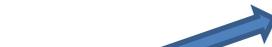
Enter individual transactions



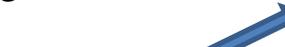
Upload transactions



View and edit transactions, file report



View or amend registration



Change password



Select default filing period



ENTERING TRANSACTIONS - RECEIPTS

- Contributions require: date received, complete name and address of contributor, and amount of contribution for **all** contributions. Additional information:
 - Occupation of all individuals giving over \$200 in a calendar year; and
 - Anonymous donations (donor not known) limited to \$10 or less per donor.

WIS. STAT. §§ [11.0204\(1\)](#), [11.1108](#).

- Loans are contributions and are subject to contribution limits.
- In-kind contributions are reported as both a receipt (who) and expense (what) to prevent a cash balance discrepancy.

Enter Receipts

Test Candidate Committee (0105410)

Filing Period Name*	July Continuing 2020	Contribution Type*	Monetary
Contributor Type*	Individual		
Contributor Details			
Last Name*		First Name*	
		Middle Name	
Address Line 1		Address Line 2	
City		State	Wisconsin
		Zip	
Occupation Details			
Occupation Title			
Employment Details [Note: "Employer information no longer required after 1/1/16"]			
Employer Name			
Address Line 1		Address Line 2	
City		State	Wisconsin
		Zip	
Contribution Details			
Contribution Date*		Amount*	
Contribution Limit	\$20,000.00	YTD Aggregate Amount	\$0.00
		Campaign Aggregate Amount	\$0.00
Comments			

SUBMIT

CLEAR

CANCEL



ENTERING TRANSACTIONS – EXPENSES AND OBLIGATIONS

- Information required for all disbursements over \$20:
 - Date disbursement was made;
 - Name and address of the person to whom the disbursement was made; and
 - Purpose of the disbursement.
- Small amounts of \$20 or less may be reported as Unitemized (disbursements only).

[Wis. STAT. § 11.0204\(1\)\(a\)8.](#)

Enter Expenses and Incurred Obligations

Test Candidate Committee (0105410)

Filing Period Name*	July Continuing 2020	Payee Type*	Business
Payee Details			
Business Name*	<input type="text"/>	Address Line 1	<input type="text"/>
Address Line 2	<input type="text"/>	City	<input type="text"/>
Address Line 2	<input type="text"/>	State	Wisconsin
Zip	<input type="text"/>	Zip	<input type="text"/>
Expense Details			
Expense Date*	<input type="text"/>	Expense Purpose*	<input type="text"/>
Expense Category*	Monetary		
Vendor Details(If Payee is not the Vendor)			
Vendor Name	<input type="text"/>	Address Line 1	<input type="text"/>
City	<input type="text"/>	State	Wisconsin
Address Line 2	<input type="text"/>	Zip	<input type="text"/>
Expense Amount*	<input type="text"/>	<input type="text"/>	
		ADD	CANCEL

Add New Expense for same Payee *					
Expense Date	Expense Purpose	Vendor	Amount	Edit	Delete
		SUBMIT	CLEAR	CANCEL	



ENTERING TRANSACTIONS – LOAN PAYMENTS

Loan Payments Search

Test Candidate Committee (0105410)

1. Select Lender and Loan Type. 2. Enter Lender Name.

Filing Period Name (Loan Origination) Lender Type* Individual Loan Type* Personal Loan Lender Name* (Last Name, First Name Middle Name) Smith

Outstanding Balance > \$0

3. Click Search. 4. Select the loan.

SEARCH CLEAR CANCEL

Lender Name	Address	Loan Date	Outstanding Balance	Select
Smith, John	101 E Wilson Street, Madison, WI 53703	12/01/2019	\$150.00	<input type="button" value="Select"/>

1. Select Lender and Loan Type.
2. Enter Lender Name.
3. Click Search.
4. Select the loan.

5. Select the filing period in which the loan payment occurred.
6. Enter the payment date.
7. Enter the amount that was paid in interest, paid to principal, or forgiven.
8. Click submit.

Enter Loan Payments

Test Candidate Committee (0105410)

5. Select the filing period in which the loan payment occurred.

Filing Period Name (Loan Payments) July Continuing 2020 Lender Type* Individual Loan Type* Personal Loan Lender Name* Smith, John

Lender Details

Last Name* Smith First Name* John Middle Name

Address Line 1 101 E Wilson Street Address Line 2

City Madison State Wisconsin Zip 53703

Transaction Details

	Loan Date	Principal Amount	Outstanding Amount	Payment Date	Interest Paid	Forgiven Amount	Payment to Principal
>	12/01/2019	\$150.00	\$150.00	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

6. Enter the payment date. 7. Enter the amount that was paid in interest, paid to principal, or forgiven.

8. Click submit.

SUBMIT CANCEL



ENTERING TRANSACTIONS – INCURRED OBLIGATION PAYMENTS

Incurred Obligations Paid Search

Test Candidate Committee (0105410)

Filing Period Name (Incurred Obligation Origination) Payee Name* ABC Outstanding Balance > \$0

SEARCH **CANCEL** **CLEAR**

Payee Name	Address	Vendor Name	Expense Date	Outstanding Balance	Select
ABC Printing Business	123 Main Street, Madison, WI 53703		11/20/2019	\$1500.00	

1. Enter Payee Name.
2. Click Search.
3. Select the obligation.
4. Select the filing period in which the payment occurred.

Enter Incurred Obligations Paid

Test Candidate Committee (0105410)

Filing Period Name (Incurred Obligations Paid) July Continuing 2020 Payee Name* ABC Printing Business

Expense Date	Expense Purpose	Expense Category	Vendor Name	Original Amount	Balance Amount	Payment Date	Forgiven Amount	Comments(Forgiven)	Payment Amount
> 11/20/2019	Printing - Brochures	Incurred Obligation		\$1500.00	\$1500.00	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

SUBMIT **CANCEL**

5. Enter the payment date.
6. Enter the amount that was paid and/or the amount forgiven.
7. Click submit.



ENTERING TRANSACTIONS - UPLOADING

1

- Step 1: Enter Transactions
 - New Contribution or Receipt
 - New Expense or Obligation
 - New Commercial Loan
 - Return a Contribution
 - New Payment of Outstanding Loan
 - New Payment of Outstanding Obligation
 - Enter Conduit Transmittal Code
 - Upload Transactions from Spreadsheet**
- Step 2: File Your Report
 - File Report/Edit Pending Transactions
 - Make a Change to a Filed Report
 - Amend a Filed Report
 - Administrative
 - View/Edit Registration Information
 - View Filed Reports
 - Maintain Users
 - Change Password

2

Upload Transactions

Test Candidate Committee (0105410) ?

Download Templates

Excel 2003 and below: [Receipts](#) [Expenses](#)

Excel 2007 and above: [Receipts](#) [Expenses](#)

Upload File

Filing Period Name: July Continuing 2020 Transaction Type*: Select a File:

3

Please Note: Completing an upload on this screen does not file your report.
After you have uploaded your transactions, advance to the **File Report/Edit Pending Transactions** screen to make any changes to your transactions and file your report.

Upload Status

Currently processing jobs:

Job #	Uploaded Date	File Name	Number of Rows	Status
Job#: 52587	10/23/2019	0105410_July_Continuing_2019_Exp_10232019114909AM.xlsx	29	Processed-No Errors
Job#: 52586	10/23/2019	0105410_July_Continuing_2019_Cont_10232019114552AM.xlsx	62	Processed-No Errors
Job#: 52585	10/23/2019	0105410_January_Continuing_2019_Cont_10232019114227AM.xlsx	62	Processed-Errors
Job#: 52584	10/23/2019	0105410_January_Continuing_2020_Cont_10232019113412AM.xlsx	62	Processed-Errors
Job#: 52583				



FILING THE REPORT – REVIEWING TRANSACTIONS

Step 1: Enter Transactions ^

- New Contribution or Receipt
- New Expense or Obligation
- New Commercial Loan
- Return a Contribution
- New Payment of Outstanding Loan
- New Payment of Outstanding Obligation
- Enter Conduit Transmittal Code
- Upload Transactions from Spreadsheet

Step 2: File Your Report ^

- File Report/Edit Pending Transactions** 1
- Make a Change to a Filed Report ^
- Amend a Filed Report ^
- Administrative ^
- View/Edit Registration Information
- View Filed Reports
- Maintain Users
- Change Password

File Report/Edit Pending Transactions Test Candidate Committee (0105410) ?

Filing Period Name: July Continuing 2020 2

Transaction Type: [dropdown] Transaction Category: [dropdown] Filing Year: [dropdown]

Transaction Date Range: [calendar] To: [calendar] Contributor/Payee Name: [text]

Amount Range: [text]

Non-Compliant Not Yet Filed 72 Hr. Report

SEARCH 3 **CANCEL** **CLEAR**

NEW RECEIPT **NEW EXPENSE**



FILING THE REPORT – REVIEW TRANSACTIONS

1. Review all transactions. You can edit individual transactions by clicking the pencil icon in the Edit column.
2. Check the Compliance column. You can click on red flags to see why a transaction is flagged.
3. Click Preview Finance Report OR File All to State.

File Report/Edit Pending Transactions Test Candidate Committee (0105410) ?

Filing Period Name: Filing Year:

Transaction Type: Transaction Category: Contributor/Payee Name:

Transaction Date Range: To:

Amount Range: Non-Compliant Not Yet Filed 72 Hr. Report

SEARCH **CANCEL** **CLEAR**

To group by column, drag and drop column here

Transaction Date	Contributor/Payee Name	Transaction Type	Transaction Category	Amount	Address Line1	Address Line2	City	State	Zip	Compliance	72 Hr. Reports	Edit
03/01/2020	Jackson, Curtis	CON	Monetary	\$0.50	1429 E Johnson Street		Madison	Wisconsin	53703		<input type="checkbox"/>	
03/19/2020	Sixth Fourth Bank	EXP	Monetary	\$10.17	6 4th Street		Madison	Wisconsin	53703		<input type="checkbox"/>	
01/25/2020	Smith, Jane	CON	Monetary	\$100.00	212 E Washington Ave		Madison	Wisconsin	53703		<input type="checkbox"/>	
01/15/2020	Jones, Kimberly D	CON	Monetary	\$175.00	321 County Road B		Milwaukee	Wisconsin	53202		<input type="checkbox"/>	
02/28/2020	McCormick, Malcolm	CON	Monetary	\$1000.00	2005 Beechwood Blvd		Pittsburgh	Pennsylvania	15217		<input type="checkbox"/>	
03/15/2020	Smith, John	CON	Monetary	\$50.00	212 E Washington Ave		Madison	Wisconsin	53703		<input type="checkbox"/>	
03/16/2020	Graham, Aubrey	CON	Monetary	\$416.00	6 Main Street		Little Canada	Minnesota	55109		<input type="checkbox"/>	
02/03/2020	ABC Printing Business	EXP	Incurred Obligation Paid	\$1200.00	123 Main Street		Madison	Wisconsin	53703		<input type="checkbox"/>	
01/02/2020	Smith, John	EXP	Loan Payment	\$50.00	101 E Wilson Street		Madison	Wisconsin	53703		<input type="checkbox"/>	
01/02/2020	Smith, John	CON	Loan Forgiven	\$100.00	101 E Wilson Street		Madison	Wisconsin	53703		<input type="checkbox"/>	

Change page: 1 | Displaying page 1 of 1, items 1 to 10 of 10

3



FILING THE REPORT - PREVIEW

File Report/Edit Pending Transactions

Test Candidate Committee (0105410)

LAST REPORT FILED

Filing Period Name :	January Continuing 2020	End Date :	12/31/2019	Ending Balance :	150.00
----------------------	-------------------------	------------	------------	------------------	--------

SUBMIT CANCEL CLEAR

Cash Balances: Verify the reported cash balances are correct - make corrections here if needed.

Filing Period Name *	Start Date *	Beginning Balance*
July Continuing 2020	1/1/2020	150.00

:: Preview Finance Report ::

Print the following Reports

CF-2	VIEW / PRINT
------	--------------

FILE ALL TO STATE BACK

1. Enter Start Date and Beginning Balance.
2. Click Submit.
3. Click View/Print.
4. Click File All to State.



FILING THE REPORT - AUTHORIZATION

1. Enter Start Date.
2. Enter Beginning and Ending Balances.
3. Fill in authorization section*.
4. Click Submit.

File Report/Edit Pending Transactions Test Candidate Committee (0105410) ?

Comments:

Attachment:

AUTHORIZATION

Committee ID* 3

0105410's Password*

Committee PIN*

Individual submitting this document:

I am the individual listed above and by clicking the submit button, I certify that I have examined this report and to the best of my knowledge and belief it is true, correct and complete.

4

LAST REPORT FILED

Filing Period Name : **End Date :** **Ending Balance :**

Cash Balances: Verify the reported cash balances are correct & make corrections here if needed.

Filing Period Name * **Start Date *** 1 **Beginning Balance*** **Ending Balance *** 2

*PIN is listed on the committee's registration statement



72-HOUR REPORTING

- Candidates for state offices must report contributions of \$1,000 or more received in the 14-day period before a primary or election within 72 hours of receipt. A report of late contributions is required for:
 - Any contribution of \$1,000 or more; and
 - Multiple contributions from a single contributor totaling \$1,000 or more.
- Contributions from the candidate to his or her own committee are included in this reporting requirement.

[Wis. STAT. § 11.0204\(7\)](#)



FILING A 72-HOUR REPORT

1. Go to File Report/Edit Pending Transactions.
2. Select Filing Period and click Search.
3. Select the transaction(s).
4. Click File 72Hr. Report.
5. Complete the oath and have your signature notarized and send the signed notarized copy to the Commission.

Step 1: Enter Transactions

- New Contribution or Receipt
- New Expense or Obligation
- New Commercial Loan
- Return a Contribution
- New Payment of Outstanding Loan
- New Payment of Outstanding Obligation
- Enter Conduit Transmittal Code
- Upload Transactions from Spreadsheet

Step 2: File Your Report

- File Report/Edit Pending Transactions**
- Make a Change to a Filed Report
- Amend a Filed Report
- Administrative
 - View/Edit Registration Information
 - View Filed Reports
 - Maintain Users
 - Change Password

File Report/Edit Pending Transactions Test Candidate Committee (0105410)

Filing Period Name: Transaction Type: Transaction Category: Filing Year: Contributor/Payee Name:

Transaction Date Range: To: To: Amount Range:

Non-Compliant Not Yet Filed 72 Hr. Report

To group by column, drag and drop column here

Transaction Date	Contributor/Payee Name	Transaction Type	Transaction Category	Amount	Address Line1	Address Line2	City	State	Zip	Compliance	72 Hr. Reports	Edit
03/01/2020	Jackson, Curtis	CON	Monetary	\$0.50	1429 E Johnson Street		Madison	Wisconsin	53703		<input type="checkbox"/>	
03/19/2020	Sixth Fourth Bank	EXP	Monetary	\$10.17	6 4th Street		Madison	Wisconsin	53703		<input type="checkbox"/>	
01/25/2020	Smith, Jane	CON	Monetary	\$100.00	212 E Washington Ave		Madison	Wisconsin	53703		<input type="checkbox"/>	
01/15/2020	Jones, Kimberly D	CON	Monetary	\$175.00	321 County Road B		Milwaukee	Wisconsin	53202		<input type="checkbox"/>	
02/28/2020	McCormick, Malcolm	CON	Monetary	\$1000.00	2005 Beechwood Blvd		Pittsburgh	Pennsylvania	15217		<input checked="" type="checkbox"/>	
03/15/2020	Smith, John	CON	Monetary	\$50.00	212 E Washington Ave		Madison	Wisconsin	53703		<input type="checkbox"/>	
03/16/2020	Graham, Aubrey	CON	Monetary	\$416.00	6 Main Street		Little Canada	Minnesota	55109		<input type="checkbox"/>	
02/03/2020	ABC Printing Business	EXP	Incurred Obligation Paid	\$1200.00	123 Main Street		Madison	Wisconsin	53703		<input type="checkbox"/>	
01/02/2020	Smith, John	EXP	Loan Payment	\$50.00	101 E Wilson Street		Madison	Wisconsin	53703		<input type="checkbox"/>	
01/02/2020	Smith, John	CON	Loan Forgiven	\$100.00	101 E Wilson Street		Madison	Wisconsin	53703		<input type="checkbox"/>	

Change page: 1 | Displaying page 1 of 1, items 1 to 10 of 10



FILING A NO-ACTIVITY REPORT

If a candidate receives no contributions, makes no disbursements and incurs no obligations during a reporting period, the registrant may file a "No Activity Report".

1. Go to File Report/Edit Pending Transactions.
2. Enter Filing Period Name and click Search.
3. Click File No Activity at the bottom of the page.

Step 1: Enter Transactions

- New Contribution or Receipt
- New Expense or Obligation
- New Commercial Loan
- Return a Contribution
- New Payment of Outstanding Loan
- New Payment of Outstanding Obligation
- Enter Conduit Transmittal Code
- Upload Transactions from Spreadsheet

Step 2: File Your Report

- File Report/Edit Pending Transactions** (1)
- Make a Change to a Filed Report
- Amend a Filed Report
- Administrative
- View/Edit Registration Information
- View Filed Reports
- Maintain Users
- Change Password

File Report/Edit Pending Transactions Test Candidate Committee (0105410)

Filing Period Name: July Continuing 2020 (2)

Transaction Type: [Dropdown]

Transaction Category: [Dropdown]

Filing Year: [Dropdown]

Contributor/Payee Name: [Text Box]

Transaction Date Range: [From] [To]

Amount Range: [From] [To]

Non-Compliant Not Yet Filed 72 Hr. Report

SEARCH (2) **CANCEL** **CLEAR**

To group by column, drag and drop column here

Transaction Date	Contributor/Payee Name	Transaction Type	Transaction Category	Amount	Address Line1	Address Line2	City	State	Zip	Compliance	<input type="checkbox"/> 72 Hr. Reports	Edit	<input type="checkbox"/>
No records to display.													

NEW RECEIPT **NEW EXPENSE** **FILE NO ACTIVITY** (3) **REQUEST FOR TERMINATION**





POLLING QUESTION 2

What date should be used when reporting contributions?

- a. The date the contribution was deposited in the bank account;
- b. The date the check cleared the bank; or
- c. The date the contribution was received.

Answer: c. The date the contribution was received.

The date of a contribution is the day the check was received and is under control of the committee, unless it was returned or donated with 15 days of receipt.





POLLING QUESTION 3

What date should be used when reporting disbursements?

- a. The date the disbursement comes out of the bank account; or
- b. The date the disbursement is made.

Answer: b. The date the disbursement is made.

The date reported for a disbursement should be the date a donation was made to another committee, date something was purchased for your committee, or the date on which an obligation was incurred.

[Wis. STAT. § 11.0204\(1\)\(a\)8-9.](#)



TIPS FOR COMPLETING 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).



Reminders

::Message from Wisconsin Ethics Commission::

- [Campaign Finance Training - Madison & Eau Claire](#)
- [JULY FINANCE REPORTS - Due 7/16/2018](#)
- [Settlement Offer Schedule for Campaign Finance Vio](#)

Upcoming Filing Period	Due Dates
Fall Pre-Primary 2018	
September Report 2018	
Fall Pre-Election 2018	
January Continuing 2019	

Default Filing Period

Fall Pre-Primary 2018



TIPS FOR COMPLETING AN ACCURATE REPORT

- All in-kind contributions received require an in-kind expense for the same amount;
- Beginning cash should always be the same as the ending cash of the previous report (\$0 for first report filed);
- Ending cash should agree with the reconciled bank balance as of the closing date of the report;
- There should be no gaps between reports and no overlap – contributions and expenses are only reported on one report (72-hour reports of large receipts close to an election are an exception); and
- Check for duplicate transactions before filing the report.



TIPS FOR ACCURATE RECORDS

- Scan or photocopy all checks received.
- At events such as fundraisers or fair booths, have a reliable individual assigned to recording each contributor's full name, address, and occupation when contributions are \$200 or more.
- Create a system to track contribution amounts for each contributor to avoid accepting contributions in excess of the limits.





State of Wisconsin
Ethics Commission

DUTIES & PROHIBITIONS

- RECORDS RETENTION
- CONTRIBUTION LIMITS
- PROHIBITED CONTRIBUTIONS
- ATTRIBUTION STATEMENTS/DISCLAIMERS
- 50 PIECE RULE (CURRENT OFFICE HOLDERS)
- POST-ELECTION



POLLING QUESTION 4

How long does a committee need to keep its financial records?

- a. For one year after contribution was received/disbursement was made;
- b. For three years after the date of the election the candidate participated in; or
- c. For three years after the contribution was received/disbursement was made.

Answer: b. For three years after the date of the election the candidate participated in.

[Wis. STAT. § 11.0201\(4\).](#)



RECORDS RETENTION

- Committees need to maintain all campaign finance records for **at least three years** after the date of the election that the candidate participated in.
- Committees that are exempt from filing campaign finance reports are still required to maintain all financial records even though they are not required to file regular reports.

[Wis. Stat. § 11.0201\(4\).](#)





POLLING QUESTION 5

On June 15, Jane Smith sends your committee a contribution of \$500. On June 20, she helps your committee put together mailings and buys \$150 worth of stamps for your committee to use and does not wish to be reimbursed. Additionally, you, the candidate, had purchase \$400 worth of postcards on June 10. What is the total amount of contributions to your committee?

- a. \$500;
- b. \$650; or
- c. \$1,050.





POLLING QUESTION 5: ANSWER

The answer is:

c. \$1,050.

Everything described in question 5 are contributions. In June, Jane Smith contributed a total of \$650. She made a monetary contribution of \$500 and an in-kind contribution of \$150 worth of stamps.

You, the candidate, made an in-kind contribution to your own committee of \$400 worth of postcards.



CONTRIBUTION LIMITS

- All candidates must abide by the contribution limits set for the office they are seeking and the population of the district in which they are seeking office. [WIS. STAT. § 11.1101](#).
- All contribution types are subject to contribution limits, including loans and in-kind contributions for things such as services and tangible items.
- For Court of Appeals Judges, Circuit Court Judges, and District Attorneys, there are separate limits, depending on whether the office is in a populous district.
 - A populous district for Appeal Judges contains a county having a population of more than 750,000.
 - A populous district for Circuit Judges is a circuit having a population of more than 300,000.
 - A populous district for a District Attorney is a prosecutorial unit having a population of more than 300,000.
 - Based on 2010 U.S. Census data, there are only 3 counties that have a population over 300,000. They are as follows: Dane, Milwaukee, and Waukesha counties. Only Court of Appeals District 1 qualifies as populous.
- The next slide provides a table of the contributions limits that apply for all state candidates and can also be found at: <https://ethics.wi.gov/Pages/CampaignFinance/ContributionLimits.aspx>.



CONTRIBUTION LIMITS

OFFICE	INDIVIDUAL CONTRIBUTORS Wis. STAT. § 11.1101(1)	CANDIDATE COMMITTEE CONTRIBUTORS Wis. STAT. § 11.1101(2)	POLITICAL ACTION COMMITTEE CONTRIBUTORS Wis. STAT. § 11.1101(3)	OTHER PERSONS (UNREGISTERED) Wis. STAT. § 11.1101(4)
GOVERNOR	\$20,000	\$20,000	\$86,000	\$86,000
LIEUTENANT GOVERNOR	\$20,000	\$20,000	\$26,000	\$26,000
SECRETARY OF STATE	\$20,000	\$20,000	\$18,000	\$18,000
STATE TREASURER	\$20,000	\$20,000	\$18,000	\$18,000
ATTORNEY GENERAL	\$20,000	\$20,000	\$44,000	\$44,000
SUPERINTENDENT OF PUBLIC INSTRUCTION	\$20,000	\$20,000	\$18,000	\$18,000
SUPREME COURT	\$20,000	\$20,000	\$18,000	\$18,000
STATE SENATOR	\$2,000	\$2,000	\$2,000	\$2,000
ASSEMBLY REPRESENTATIVE	\$1,000	\$1,000	\$1,000	\$1,000
APPEALS JUDGE – POPULOUS DISTRICTS	\$6,000	\$6,000	\$6,000	\$6,000
APPEAL JUDGE – OTHER DISTRICTS	\$5,000	\$5,000	\$5,000	\$5,000
CIRCUIT JUDGE – POPULOUS AREA	\$6,000	\$6,000	\$6,000	\$6,000
DISTRICT ATTORNEY – POPULOUS AREA	\$6,000	\$6,000	\$6,000	\$6,000
CIRCUIT JUDGE – OTHER AREA	\$2,000	\$2,000	\$2,000	\$2,000
DISTRICT ATTORNEY – OTHER AREA	\$2,000	\$2,000	\$2,000	\$2,000



PERIOD FOR CONTRIBUTION LIMITS

- When calculating whether contributions have exceeded the contribution limits, candidates need to be aware of the following applicable periods:
 - For new candidates, the period begins on the date the candidate files a registration statement and ending the day before the winning candidate begins their term of office; or
 - If the candidate is an incumbent, the period begins on the day the candidate assumed office and ends on the day before the winning candidate takes office.
 - » Note: There are not separate periods for the primary and general election. These periods run through both the primary and the general election.

[WIS. STAT. § 11.1103](#)



CONTRIBUTION LIMIT EXCEPTIONS

Candidates may accept some types of contributions in unlimited amounts:

- Contributions made by the candidate to their own campaign ([WIS. STAT. § 11.1104\(7\)](#));
- Contributions from a political party or legislative campaign committee ([WIS. STAT. § 11.1104\(5\)](#)); and
- Contributions used to pay legal fees and other expenses incurred in connection with a recount or petitions to recall an office.
 - To qualify for this exclusion, recall expenses must occur before the recall primary or election is ordered, or in contesting or defending the order. Contributions used to pay recount or recall expenses must be reported on the regular campaign finance reports. Both the contributor and the candidate should indicate which contributions are being used for this purpose ([WIS. STAT. § 11.1104\(9\)-\(10\)](#)).



PROHIBITED CONTRIBUTIONS

- Candidate committees are prohibited from accepting certain types of contributions and contributions from certain persons.
- Candidate committees *shall not* accept:
 - Anonymous contributions of more than \$10 ([WIS. STAT. § 11.1108](#));
 - Contributions in cash of more than \$100 ([WIS. STAT. § 11.1107](#));
 - Contributions given in the name of someone other than the contributor ([WIS. STAT. § 11.1204\(1\)](#));
 - Contributions from corporations, associations organized under ch. 185 or 193, labor organizations, or federally recognized American Indian Tribes ([WIS. STAT. § 11.1112](#));
 - Contributions in excess of the limits (WIS. STAT. §§ [11.1101](#), [11.1204\(3\)](#)); and
 - Contributions from foreign nationals. [WIS. STAT. § 11.1208\(4\)](#).



CONTRIBUTIONS FROM LICENSED LOBBYISTS

- Lobbyists may make a *personal* contribution to a partisan elective state official or a candidate for partisan elective state office during the following time period (“contribution window”):
 - From the first day authorized by law for the circulation of nomination papers, until the general or special election.
 - If the candidate or partisan elective state official is a candidate for legislative office, contributions may not be made unless the legislature has concluded its final floor period, and is not in special or extraordinary session.

[Wis. STAT. § 13.625\(1m\).](#)



CONTRIBUTIONS FROM LICENSED LOBBYISTS

- Contributions made by a lobbyist through a conduit, are *personal* contributions from that lobbyist and are subject to the lobbyist contribution window.
- Committees should be cautious when reporting contributions from lobbyists within the window, but near the close of the window. Contributions should always be reported with the date the contribution is *received*, rather than the date it is deposited into the bank account or entered into CFIS.
- Lobbyists may *deliver* contributions from PACs or conduits they work with at any time.



RETURNING PROHIBITED CONTRIBUTIONS

- If the candidate committee believes that a contribution may have been received from a potentially prohibited source, the committee should make a good faith effort ensure that the contribution is lawful. [WIS. STAT. § 11.1204\(3\)](#).
- If a committee accepts a prohibited contribution and includes it in the report for that reporting period, the statutes provide that if the contribution is then returned within 15 days after the filing deadline for the reporting period in which the contribution was received, there is no violation of contribution limits or sources. [WIS. STAT. § 11.1110\(2\)\(b\)](#).

Best practice – Do not accept any contributions if you cannot determine whether the contribution is lawful.



ATTRIBUTION STATEMENTS (DISCLAIMERS)

- An attribution statement is required to be placed on all communications containing express advocacy to identify the person(s) who paid for and/or authorized the communication. [Wis. STAT. § 11.1303\(2\)](#).
 - Express advocacy refers to communications that clearly identify a candidate and relates to their election or defeat. [WIS. STAT. § 11.0101\(11\)](#).
 - Some examples are:
 - Vote for, elect, support, Smith for ____ (elective office), vote against, defeat, reject.
 - Some common communications that require attribution statements: Yard signs, pamphlets about the candidate, television or radio advertisements, banners, email communications, and candidate websites.
- Attribution statements do not apply to communications containing express advocacy printed on small items, which would normally require a disclaimer, but cannot be conveniently printed, including text messages, social media communications, and certain small advertisements on mobile phones. [WIS. STAT. § 11.1303\(2\)\(f\)](#).

➤ For more information on attribution statements please see [Guideline ETH 1301](#)



ATTRIBUTION STATEMENTS (DISCLAIMERS)

- When a communication is paid for by the candidate committee, the disclaimer must include the words “**Paid for by,**” followed by the committee’s name.
 - » “Paid for by Friends of Mary Smith.”
- Committees may choose to include the name of the treasurer, but this is *not* required.
 - » “Paid for by Friends of Mary Smith, James Jones, Treasurer.”
- If a communication is paid for by another in coordination with the candidate committee, should include the name of the person making the payment and may include the committee accepting the in-kind contribution.
 - » “Paid for by Citizens for Government, Authorized by Friends of Mary Smith.”



50 PIECE RULE

- This rule applies to candidates who are current state officials.
- WIS. STAT. §11.1205: Use of government materials by candidates:
 - No person elected to state or local office,
 - Who becomes a candidate for national, state, or local office,
 - May use public funds for the cost of materials or distribution for 50 or more pieces of substantially identical materials distributed after the first day to begin circulating nomination papers.
- Except...



50 PIECE RULE - EXCEPTIONS

- Answers to communications of constituents;
- Actions taken by a state or local administrative officer pursuant to a specific law, ordinance, or resolution which authorizes or directs action to be taken;
- Communications between members of the Legislature regarding the legislative or deliberative process while the Legislature is in session; or
- Communications not exceeding 500 pieces by member of the Legislature relating solely to the subject matter of a special or extraordinary session, made during the period between the date the session is called and 14 days after the adjournment of the session.

» For more guidance on the 50 Piece Rule please see Guidelines ETH [1251](#) and [1253](#)



AFTER THE ELECTION

- If you win, you must remain registered as a committee while you are in office. During non-election years, you may wish to go on “exempt status” – this means that as long as you have less than \$2,000 in activity per year, you do not have to file campaign finance reports. [Wis. STAT. § 11.0101\(1\)\(c\)](#).
- If you lose, and you wish to terminate your committee, you must make sure the committee has a \$0 cash balance and \$0 in outstanding obligations and loans. If you wish to keep the committee active for a future candidacy, you may wish to go on “exempt status” so you do not have to file reports.



TERMINATION OF A CANDIDATE COMMITTEE

File Report/Edit Pending Transactions Test Candidate Committee - Daffy Duck for Wisconsin (0105410) ?

Filing Period Name: Filing Year:

Transaction Type: Transaction Category: Contributor/Payee Name:

Transaction Date Range: To:

Amount Range: Non-Compliant Not Yet Filed 72 Hr. Report

To group by column, drag and drop column here

Transaction Date	Contributor/Payee Name	Transaction Type	Transaction Category	Amount	Address Line1	Address Line2	City	State	Zip	Compliance	<input type="checkbox"/> 72 Hr. Reports	Edit <input type="checkbox"/>
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No records to display.

A candidate committee can terminate its registration if it:

- Will no longer engage in financial activity;
- Files a final report showing that the cash balance of the committee is zero; and
- Completes a termination request in CFIS.

To file a termination request:

1. Go to "File Report/Edit Pending Transactions" in the CFIS menu, Choose the current filing period name from the drop down and click "SEARCH."
2. Verify that all transactions show the committee's cash balance as zero by previewing the report.
3. Click "Request for Termination."



TERMINATION OF A CANDIDATE COMMITTEE

Reason Code

Code*

SUBMIT

- reg. prior to 1/1/16 - under \$2,500/major purpose
- Bank Account Closed
- Committee Terminated
- Candidate Deceased
- Duplicate Committee
- Not Running for Office
- Non-Resident - No WI Activity
- Running for Local Office
- Non-Resident-WI not Major Purpose

- After your termination request is filed staff will review your request to terminate and contact you if your committee cannot be terminated for any reason.
- Once your termination request is approved, you will receive one final email to your committee stating that your registration status has been changed.
- Current office holders cannot terminate their candidate committee while in office.

4. Choose a termination reason code and click "SUBMIT."

[WIS. STAT. § 11.0105](#)



TERMINATION: DISPOSAL OF RESIDUAL FUNDS

- A committee that wishes to terminate can dispose of its residual funds by:
 - Repaying outstanding loans, or receiving forgiveness for them;
 - Returning contributions in an amount not more than the original (candidate or treasurer may choose which contributions to return);
 - Donating to any tax-exempt charitable organization or the Common School Fund;
 - Transferring money to another committee within contribution limits; or
 - Using any combination of the above.

WIS. STAT. §§ [11.0105](#), [11.1208\(2\)\(a\)](#).





State of Wisconsin
Ethics Commission

ENFORCEMENT & AUDITING

- AUDITING PROCEDURES & SETTLEMENT SCHEDULES
- TYPES OF AUDITS
- COMPLAINTS & INVESTIGATIONS

ENFORCEMENT AND AUDITING

- Under Chapter 19 of the Wisconsin Statutes, the Commission is given the authority to enforce campaign finance statutes.
- One way that the Commission does this is through regular auditing.
- The auditing process is confidential. Information identifying a committee, individual, violation, or settlement amount is released only if contained within a signed settlement agreement.



AUDITING

- How does the Commission conduct audits?
 - Audits are conducted by performing a global analysis of all committees or individuals subject to a particular law.
 - Data is taken mainly from CFIS. Some data is also pulled in from the Commission's lobbying filing system, Eye on Lobbying, and the Elections Commission's website, WisVote.
 - The Commission's auditing schedule can be found here:
<https://ethics.wi.gov/Pages/Enforcement/Audits.aspx>



AUDITING

- How will your committee know if it was identified in an audit?
 - If potential violations are identified, Commission staff will contact each committee, via email using the contacts listed in your registration.
 - This initial communication will identify the issues and provide the committee with 30 days to respond and/or resolve the issues identified.
 - After the 30 days, if the issues are not resolved, the matters will be referred to the Commission at the next regularly scheduled meeting.
- The Commission may then direct staff to issue a settlement agreement or close the audit matter when appropriate.



SETTLEMENT SCHEDULE

- When enforcing violations identified in audits, the Commission may choose to offer settlement agreements rather than seek a forfeiture for minor violations, violations caused by excusable neglect, or for violations which for other good cause should not be prosecuted. [WIS. STAT. § 19.49\(1\)\(b\)](#).
- Standard schedules were developed for each audit. These schedules can be found in [WIS. ADMIN. CODE ETH § 26.02](#) and on the Commission's website: <https://ethics.wi.gov/Pages/Enforcement/SettlementSchedules.aspx>.



TYPES OF AUDITS – LATE REPORTS

- Late Filing of Campaign Finance Report
 - These audits are conducted after each report deadline.
 - Committees identified in this audit may be offered a settlement consistent with Wis. ADMIN. CODE ETH § [26.02\(1\)](#) or [\(2\)](#).
 - Late reporting for continuing reports and late reporting for election-related reports have different schedules; the schedule for late election-related reports begins monetary settlements on the day after the deadline.



TYPES OF AUDITS – ANONYMOUS AND CORPORATE CONTRIBUTIONS

- Anonymous Contributions Audit
 - Conducted annually for the prior year’s reported contributions.
 - Committees identified in this audit may be offered a settlement consistent with [Wis. ADMIN. CODE ETH § 26.02\(6\)](#), which provides for a standard settlement of \$100 plus 10% of all contributions not in compliance.
- Corporate Contributions Audit
 - Conducted annually for the prior year’s reported contributions.
 - Identifies contributions received from corporations, unions, associations, or federally recognized American Indian Tribes.
 - Committees identified in this audit may be offered a settlement consistent with [Wis. ADMIN. CODE ETH § 26.02\(10\)](#), which provides for a standard settlement of 1.5 times the amount of the prohibited contribution.



TYPES OF AUDITS – CASH BALANCE

- Cash Balance Discrepancy Audit
 - The Commission conducts a semi-annual audit for cash balance discrepancies.
 - Committees identified as having one or more cash balance discrepancies of \$100 or more may be offered a settlement consistent with the standard settlement schedule in [Wis. ADMIN. CODE ETH § 26.02\(8\)](#), which provides for a standard settlement of \$100 plus 10% of the total discrepancies in the report.
 - » Note - Prior to this audit, Commission staff conduct a query for pending transactions in CFIS. This is not an enforcement inquiry, but rather helps committees clean up what has been reported in CFIS and can help committees identify and resolve cash balance discrepancies prior to that audit.



TYPES OF AUDITS – CONTRIBUTION LIMITS

- Contribution Limits
 - The Commission conducts contribution limit audits biannually.
 - For Spring Elections, the audit is conducted the following April after the election.
 - For the General Election, the audit is conducted the following August.
 - Committees identified through this audit could be offered a settlement consistent with [WIS. ADMIN. CODE ETH § 26.02\(9\)](#), which provides for a standard settlement in the amount of the excess contribution.



TYPES OF AUDITS – LOBBYIST CONTRIBUTIONS

- The Commission annually conducts an audit for lobbyist contributions outside the window in which contributions are permissible.
- Pursuant to [WIS. ADMIN. CODE ETH § 26.02\(11\)](#), candidate committees may be issued a settlement requiring that the committee return the contribution. At this time, the Commission has not enforced this against campaign committees or issued campaign committees settlements.
- However, the Commission does enforce this for lobbyists. Lobbyists who give prohibited contributions may be offered a settlement consistent with [WIS. ADMIN. CODE ETH § 26.02\(11\)](#), and the terms of the settlement will include that the contribution be returned. If a committee does not return the contribution at the lobbyist's request, the Commission could issue a settlement to the candidate committee.



TYPES OF AUDITS – NAME, ADDRESS, AND OCCUPATION INFORMATION

- Name and Address Information
 - Contributions and Expenses that do not include name, address, or proper itemization when required may be identified in this annual audits.
 - Committees identified in this audit may be offered a settlement consistent with [Wis. ADMIN. CODE ETH § 26.02\(6\)](#) or [\(7\)](#), which provides for a standard settlement of \$100 plus 10% of all contributions not in compliance.
 - Occupation Information
 - Contributions over \$200 that do not include an occupation for the contributor may be identified in this annual audit.
 - Committees identified in this audit may be offered a settlement consistent with [Wis. ADMIN. CODE ETH § 26.02\(6\)](#), which provides for a standard settlement of \$100 plus 10% of all contributions not in compliance.
- Please note that these are new audits and will be conducted for the first time in 2021, for calendar year 2020.



COMPLAINTS AND INVESTIGATIONS

- One other means of enforcement that the Commission has is through complaints and investigations.
- Complaint process is begun by the filing of a sworn complaint.
- The complaint and investigation process is confidential.
- For more information on complaints and investigations, please visit: <https://ethics.wi.gov/Pages/Enforcement/Complaints.aspx>. This page provides further information on statutory authority, confidentiality, the complaint process, and the complaint form.



WHERE TO GET MORE INFORMATION

- [State Candidate Committee Manual](#) (2019)
- [Candidate Committee Overview Page](#)
- Wisconsin Ethics Commission website (<https://ethics.wi.gov>)
- Wisconsin Ethics Commission staff:
campaignfinance@wi.gov or (608) 266-8123



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