

2014 Candidate Packet: *Local and Countywide Offices*

THIS PACKET CONTAINS THE FOLLOWING:

- Declaration of Candidacy for Primary Nomination (CAN 2)
- Statement of Economic Interest (CAN 12)
- Candidate's Statement of Organization (CFA 1)
- Report of Receipts and Expenditures (CFA 4)
- Supplemental "Large Contribution" Report (CFA 11)
- 2014 Indiana Election Calendar of important dates and deadlines
- Political Signs and "Disclaimer" Requirements for Political Literature and Advertisements
- [Indiana Election Division's 2014 Candidate Handbook](#)
- [Indiana Election Division's 2014 Campaign Finance Manual](#)

In 2014, the following candidates will be on the primary election ballot in Marion County, Indiana: Prosecuting Attorney, Clerk of the Circuit Court, County Auditor, County Recorder, County Sheriff, County Assessor, Circuit Court Judge, Superior Court Judge, Township Trustees, Small Claims Court Judges, Township Constables, and Town Council of Clermont. (If you are interested in running for Democratic Precinct Committeeperson or Delegate to the Republican or Democratic State Convention, please review the candidate packet created specifically for these offices.)

CANDIDATE FILING FOR 2014 PRIMARY ELECTION

The two major political parties – Democratic and Republican – nominate many of their candidates in the primary election. The date of Indiana's 2014 primary election is Tuesday, May 6. Candidates seeking a primary nomination for local and countywide offices must complete and submit a Declaration of Candidacy (CAN 2) and a Statement of Economic Interest (CAN 12). **Both** forms must be submitted together and must be notarized. Hand-delivery or mailing of the forms is encouraged.

All local candidates except those running for judicial office file their candidacy (CAN 2 & CAN 12) with the Marion County Election Board. Judicial candidates file with the Indiana Election Division. **Candidate filing for the 2014 Primary opens Wednesday, January 8, 2014 and closes promptly at NOON, Friday, February 7, 2014.** There are other deadlines later in the year for third party, write-in or major party vacancies; please review the state's election calendar for more details. The [Indiana Election Division's 2014 Candidate Handbook](#) may also be helpful to review.

CAMPAIGN FINANCE

Please do not confuse opening a campaign finance committee with filing a declaration of candidacy. These are two distinct actions governed by different Indiana laws. Though you may not have filed a declaration of candidacy, if you have made a public declaration of candidacy or have raised or spent a threshold amount exploring candidacy, you are required to open a campaign finance committee. There are specific rules and deadlines in Indiana law about whether and when you must file a Statement of Organization (CFA 1) to open your candidate campaign finance committee; please refer to the [Indiana Election Division's Campaign Finance Manual](#) for more details.

All open campaign finance committees must file periodic reports as required under state law (CFA 4 & CFA 11). Late-filed reports are subject to a \$50 per day fine, up to \$1,000. Please refer to the state's election calendar or review the [Indiana Election Division's 2014 Campaign Finance Manual](#) for more information.

FOR MORE INFORMATION:

Marion County Election Board, Clerk Elizabeth L. White, Secretary
200 E. Washington St., Room W144, Indianapolis, IN 46204

O: (317) 327-5100 | F: (317) 327-4815 | www.indy.gov/ELECTION | elections@indy.gov

This information is not intended to replace the advice of an attorney, and the Marion County Election Board is not in a position to offer legal advice. Whenever your important legal rights are involved, you should consult with a qualified attorney.

ATTENTION CANDIDATES:

NEW STATE LAW – IC 3-8-9

STATEMENT OF ECONOMIC INTERESTS

All candidates using a **CAN-2** (Declaration of Candidacy) **MUST ALSO FILE** a **CAN-12** (Statement of Economic Interests) (IC 3-8-9-5). The CAN-2 cannot be accepted without a CAN-12.

Please make sure both are completed, notarized and submitted together.

Election Board Staff will not accept a CAN-2 unless the candidate also presents a CAN-12 at the same time (See IC 3-8-9-6).

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DECLARATION OF CANDIDACY FOR PRIMARY NOMINATION IN 2014

(CAN-2)

State Form 46439 (R14/6-13)
Indiana Election Commission (IC 3-8-2-7)

INSTRUCTIONS: This form is used by an individual who is seeking the Democratic or Republican party nomination to an elected office in a primary election. A declaration of candidacy must be filed no later than **NOON, February 7, 2014**, and no earlier than January 8, 2014. Please print or type all information on this form except all signatures. **SEE IMPORTANT INFORMATION ON BACK OF FORM.** Candidates seeking the office of U.S. Senator in a primary election file a CAN-4 form. Candidates seeking the office of Governor in a primary election file a CAN-25 form. All candidates seeking a primary nomination for a LOCAL office must file the CAN-12 form WITH this form. Candidates seeking a primary nomination in a municipal election year file a CAN-42 form (instead of this form).

STATE OF INDIANA)
)
COUNTY OF _____)

GENERAL INFORMATION

I, _____ the undersigned, certify the following:
Name of Candidate

(1) I am a registered voter of Precinct _____ of the Township of _____,
(or of Ward _____ of the City or Town of _____), County of _____, State of Indiana.

(2) I request that my name be placed on the official primary ballot of the party with which I am affiliated (check one box)
 Democratic Party or the Republican Party for the office of _____, District _____ (if any)
to be voted on at the primary election to be held on May 6, 2014.

(3) **I am claiming affiliation with the Democratic or Republican Party.** I understand that my party affiliation is determined by which party I voted for in the last primary election in Indiana in which I voted. I understand that if I cannot meet this party affiliation requirement I must obtain and file with this declaration a certificate from the appropriate county chairman of the party indicating that I am a member of this political party. I meet the requirement to be affiliated with the political party indicated because (check one)

- The most recent primary election in Indiana in which I voted was the primary held by the party with which I claim affiliation above.
- The county chairman of the county in which I reside, and of the political party with which I claim affiliation above, has certified that I am a member of the political party. (I have attached a copy of the county chairman's certification to this form.)

(4) **(This paragraph does not apply to a candidate for federal office.)** I comply with all requirements under the laws of the State of Indiana to be a candidate for this office including any applicable residency requirement. I am not ineligible to be a candidate due to a criminal conviction that would prohibit me from serving in this office.

RESIDENCY INFORMATION

(5) My complete residence address is:

_____, Indiana _____
Complete residence address must be inserted City Zip Code

(6) My mailing address is (Write address if mailing address is different from residence address; write "SAME" if both addresses are identical):

_____, Indiana _____
Mailing address City Zip Code

CANDIDATE NAME INFORMATION

I request that my name appear on the primary election ballot in the following manner:

(*Include any Nickname and/or Suffix, Jr. Sr. II III IV)

I also request that my name on my voter registration record be the same as the name on this declaration of candidacy.

The candidate's name must comply with the requirements in Indiana Code 3-5-7. If a candidate's name does not comply with this state law, the declaration may be challenged under Indiana Code 3-8-1-2.

*A candidate may use a nickname on the ballot only if the nickname is a name by which the candidate is commonly known and does not exceed 20 characters.
EXAMPLE: John R. (Jack) Doe A candidate may not use a title or degree as a designation or a designation that implies a title or degree.

CERTIFICATION

I, the undersigned, certify that the information in this Declaration of Candidacy is true and complete, and that I meet the specific requirements of this office.

Signature Date signed (MM/DD/YY) Telephone (Day) Telephone (Evening)

Please complete reverse of form



**STATEMENT OF ECONOMIC INTERESTS
FOR LOCAL AND SCHOOL BOARD OFFICES**

(CAN-12)

State Form 55128 (11-12)
Indiana Election Commission (IC 3-8-9)

INSTRUCTIONS: This statement must be filed with a candidate's: (1) declaration of candidacy for nomination at a primary or town party convention; (2) petition of nomination as a school board candidate; (3) petition of nomination as a minor party or independent candidate; (4) declaration of intent to be a write-in candidate; or (5) certificate of candidate selection to fill an early or late vacancy on a general or municipal election ballot. This statement must also be filed no later than noon 60 days after an individual assumes a vacant local office.

STATE OF INDIANA

COUNTY OF _____

INFORMATION FOR THE CALENDAR YEAR BEFORE THE DATE OF THIS FILING:

20____

NOTE: Insert "Not Applicable" where appropriate.

I, _____ the undersigned, certify the following:
Name of Candidate or Person Filling Vacant Office

(1) The elected office which I seek as a candidate, or to which I have been appointed to fill a vacancy is _____ . *(Include district, if applicable.)*

(2) The name of my spouse is _____ .

(3) The name of my employer and the nature of its business is _____ .

(4) The name of the employer of my spouse and the nature of its business is _____ .

(5) If I own a sole proprietorship, the name of the sole proprietorship and the nature of its business is _____ .

(6) If I operate a professional practice, the name of the professional practice and the nature of its business is _____ .

(7) If I am a member of a partnership, the name of the partnership and the nature of its business is _____ .

(8) If my spouse is a member of a partnership, the name of the partnership and the nature of its business is _____ .

(9) If I am a member of a limited liability company, the name of the limited liability company and the nature of its business is _____ .

(10) If my spouse is a member of a limited liability company, the name of the limited liability company and the nature of its business is _____ .

(11) If I am an officer or a director of a corporation (other than a church), the name of the corporation and the nature of its business is _____ .

(12) If my spouse is an officer or a director of a corporation (other than a church), the name of the corporation and the nature of its business is _____ .

COMPLETE THE AFFIRMATION ON REVERSE SIDE OF THIS FORM.



CANDIDATE'S STATEMENT OF ORGANIZATION AND DESIGNATION OF PRINCIPAL COMMITTEE OR EXPLORATORY COMMITTEE

(CFA-1)

State Form 4604 (R13/9-10) Indiana Election Commission (IC 3-9-1-3; IC 3-9-1-4; IC 3-9-1-5)

PLEASE TYPE OR PRINT LEGIBLY IN BLACK INK. SEE INSTRUCTIONS ON REVERSE SIDE.

FILE NUMBER

1. IS THIS AN AMENDMENT? [] No [] Yes If Yes, please enter the file number in this box ->

SECTION A. CANDIDATE INFORMATION: Fill in all applicable boxes as fully and accurately as possible.

2. Last Name, First Name, Middle Name, Nickname, 3. Type of Committee, 4. Mailing Address, 5. FAX, 6. E-mail Address, 7. City, State, ZIP Code, 8. County, 9. Telephone, 10. Telephone, 11. Party Affiliation, 12. Office Sought

SECTION B. COMMITTEE INFORMATION: Fill in all applicable boxes as fully and accurately as possible.

13. Full Name of Committee, 14. Mailing Address, 15. FAX, 16. E-mail Address, 17. City, State, ZIP Code, 18. County, 19. Telephone, 20. Committee Organization Date, 21. Chairperson's Full Name, 22. Mailing Address, 23. FAX, 24. E-mail Address, 25. City, State, ZIP Code, 26. County, 27. Telephone, 28. Telephone, 29. Bank or Other Depositories, 30. Exploratory Committee, 31. Salaries and Reimbursements

SECTION C. APPOINTMENT OF TREASURER (IC 3-9-1-14)

32. I, as Chairperson of the foregoing committee, appoint the following person as Treasurer of the Committee. 33. Treasurer's Full Name, 34. Mailing Address, 35. FAX, 36. E-mail Address, 37. City, State, ZIP Code, 38. County, 39. Telephone, 40. Telephone

SECTION D. ACCEPTANCE OF APPOINTMENT (IC 3-9-1-15)

41. I give notice that I accept the duties and responsibilities of Treasurer of this Committee. I am not the chairperson of a campaign finance committee (except as permitted for a candidate committee under IC 3-9-1-7). Signature of Person Accepting Appointment

SECTION E. CERTIFICATION OF STATEMENT

We certify as the candidate and the duly appointed Chairperson of the Committee and that we have examined this statement. To the best of our knowledge and belief it is true, correct and complete.

FOR OFFICE USE ONLY

42. Typed or Printed Name of Chairperson, Signature of Chairperson, Date, 43. Typed or Printed Name of Candidate, Signature of Candidate, Date

Warning: State law requires that any change in this information be reported within 10 days of the change (IC 3-9-1-10). A person who knowingly files a fraudulent report commits a Class D felony (IC 3-14-1-13). A person who fails to file a complete or accurate report as required by the Indiana Campaign Finance Law commits a Class B misdemeanor (IC 3-14-1-14), and may be subject to civil penalties (IC 3-9-4-16, IC 3-9-4-17, and IC 3-9-4-18).

INSTRUCTIONS FOR COMPLETING THIS FORM

This is a dual purpose form. The most common use of this form is to designate a candidate's principal committee in which the candidate is both the chairperson and treasurer. The form enables the candidate to organize and at the same time designate the candidate's principal committee as required by IC 3-9-1-3, IC 3-9-1-4 & IC 3-9-1-5.

The form also allows a person exploring opportunities for seeking a political office but who has not definitely decided to be a candidate for a particular office to organize an exploratory committee. If the candidate is not yet a candidate for a **specific** office, check "exploratory committee" under Section A 3. When the candidate **does** become a candidate for a specific office, an amended CFA-1 must be filed.

The preparer should **type or print legibly in black ink** all information on this form. If more space is needed please attach additional sheets. All versions of State Form 4604 prior to revision (R10/10-01) are obsolete and cannot be used (IC 3-5-4-8). State law requires that any changes on this form must be reported **WITHIN 10 DAYS OF THE CHANGE**.

ITEM 1. IS THIS AN AMENDMENT? Check the appropriate box. If "YES" is checked, enter the file number in the file number box and go on to Section A. If "NO" is checked, proceed directly to Section A.

SECTION A. CANDIDATE INFORMATION: Enter the name of the candidate, as set forth in the candidate's voter registration record and any nickname the candidate uses.

TYPE OF COMMITTEE. See second paragraph above. Be sure to enter the full and current address and the ZIP Code+4, if known. Under party affiliation, enter the party the candidate supports. If no party is supported, enter "Independent." A "Write-In" candidate should follow the same procedure; do not write "Write-In."

OFFICE BEING SOUGHT. Enter the full name of that office. For example, "Indiana State Senator, District ____." ***This box is not required to be completed by an exploratory committee.***

SECTION B. COMMITTEE INFORMATION: Do not use any abbreviations in the committee name. Check the new name box if this is a new name. Be sure to enter the full and current mailing address. All correspondence with the committee relative to filings under the Campaign Finance Act will be mailed to this address, unless specified otherwise.

Check the new address if appropriate. Enter the ZIP Code+4, if known, in all boxes calling for the ZIP Code. The date the committee was organized may be the date the candidate publicly announced, filed a declaration of candidacy, solicited or accepted contributions, or made an expenditure. (IC 3-5-2-6)

ITEM 16. COMMITTEES FILING WITH THE INDIANA ELECTION DIVISION ONLY: Committees that file campaign finance reports with the Indiana Election Division and wish to file these reports electronically may contact the Election Division at (800) 622-4941 or at the e-mail address campaignfinance@iec.in.gov for further information.

ITEM 21. Chairperson. This may be the candidate. However, the chairperson may not be the treasurer of any other campaign finance committee except in the case of the candidate's committee. Check if this is a new chairperson or new information.

ITEM 29. Bank or Other Depositories. If a candidate's committee accepts contributions or makes expenditures on an aggregate amount of more than two hundred dollars (\$200) in a year, all funds of a committee must be segregated from, and may not be commingled with, the personal funds of officers, members or associates of the committee. (IC 3-9-2-9)

ITEM 30. Exploratory Committee. Enter a brief statement explaining the purpose of this committee. Example: "To receive and expend funds to explore the opportunities for elected office."

ITEM 31. Salaries and Reimbursements. Pursuant to Indiana Election Commission Advisory Opinion 2001-01, attach a copy of any contract between the committee and the candidate permitting salary and reimbursement payments.

SECTION C. APPOINTMENT OF TREASURER:

ITEM 32. Treasurer. The treasurer must be a U.S. citizen and may not be the chairperson of any other campaign finance committee except in the case of a candidate's committee. The treasurer's duties and responsibilities are discussed in detail in the Instruction Manual for the Indiana Campaign Finance Act (*current edition*). Check if this is a new treasurer or new information. This section must be completed in its entirety by the committee chairperson.

SECTION D. ACCEPTANCE OF APPOINTMENT: The treasurer must provide the treasurer's written signature verifying acceptance of the duties and responsibilities as committee treasurer.

SECTION E. CERTIFICATION OF STATEMENT: The chairperson and candidate must enter their typed or printed names, written signatures and date signed in this section. **Note:** If the candidate and the chairperson are the same only one signature is necessary.

SPECIAL INSTRUCTIONS FOR STATEWIDE CANDIDATES

This form must be filed **electronically** with the Election Division. Contact 1-800-622-4941 for more information.

WARNING: Any information contained in this statement may not be copied for sale or used for any commercial purpose. (IC 3-9-4-5) Using campaign funds for primarily personal purposes is prohibited. (IC 3-9-3-4 and IC 3-9-1-12)



REPORT OF RECEIPTS AND EXPENDITURES OF A POLITICAL COMMITTEE

State Form 4606 (R13/11-05)
Indiana Election Commission (IC 3-9-5-14)

(CFA-4) Summary Sheet

FILE NUMBER

INSTRUCTIONS: Please type or print legibly **IN BLACK INK** all information on this form. For assistance in completing this form, see instructions on the reverse side.

TOTAL PAGES IN ENTIRE CFA-4 REPORT

IS THIS AN AMENDMENT? Yes No

COMMITTEE INFORMATION

1. Full Name of Committee (as on <i>Statement of Organization</i>) <input type="checkbox"/> Check if this is a new name	
2. Acronym or Abbreviated Name (if any)	3. Committee Telephone Number ()
4. Mailing Address (address where all campaign finance correspondence is received) <input type="checkbox"/> Check if this is a new address	
5. City, State, ZIP Code	6. Party Affiliation (if applicable)

CANDIDATE INFORMATION (For Candidate's Committees Only)

7. Full Name of Candidate (include any nickname)	8. Party Affiliation or If Independent Candidate
9. Office Sought (Include district number, if any. Not required for exploratory committee.)	10. County of Residence

TYPE OF REPORT

CONVENTION CANDIDATES ONLY

11. Check one: <input type="checkbox"/> Pre-Primary <input type="checkbox"/> Pre-Election <input type="checkbox"/> Annual <input type="checkbox"/> Nomination <input type="checkbox"/> Other _____ <input type="checkbox"/> Final/Disbands Committee (lines 18, 19, and 20 must be "0") <input type="checkbox"/> Outgoing Treasurer (within 10 days amend Statement of Organization)	Check one: <input type="checkbox"/> Pre-Convention <input type="checkbox"/> Post-Convention
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12. Reporting Period: From: _____ Through: _____	COLUMN A This Period	COLUMN B Year to Date
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13. Cash on hand and investments at the beginning of this reporting period.		
14. Cash on hand and investments January 1, current year.		

CONTRIBUTIONS AND RECEIPTS

(Note: these amounts include in-kind contributions and loans, as well as cash contributions.)		
15a. Itemized (use Schedule A)		
15b. Unitemized		
15c. Add lines 15a and 15b in both columns SUBTOTAL		
16. Add lines 13 and 15c in Column A and lines 14 and 15c in Column B TOTAL		

EXPENDITURES

(Note: These amounts include in-kind expenditures and loan repayments.)		
17a. Itemized (use Schedule B) (Public Question: use Schedule C)		
17b. Unitemized		
17c. Add lines 17a and 17b in both columns SUBTOTAL		
18. Cash on hand and investments at close of this reporting period (subtract 17c from 16 in both columns) TOTAL		
19. Debts OWED BY the committee (use Schedule D)		
20. Debts OWED TO the committee (use Schedule E)		

CERTIFICATION

FOR OFFICE USE ONLY

I CERTIFY THAT I HAVE EXAMINED THIS STATEMENT. TO THE BEST OF MY KNOWLEDGE AND BELIEF IT IS TRUE, CORRECT AND COMPLETE.		
Signature of Treasurer	Title	Date
Signature of Candidate (if applicable)		Date

WARNING: Any information contained in this report may not be copied for sale or used for any commercial purpose. (IC 3-9-4-5) A person who knowingly files a fraudulent report commits a Class D felony. (IC 3-14-1-13) A person who fails to file a complete or accurate report as required by the Indiana Campaign Finance Law commits a Class B misdemeanor, (IC 3-14-1-14) and may be subject to civil penalties. (IC 3-9-4-16, IC 3-9-4-17, IC 3-9-4-18)

INSTRUCTIONS FOR COMPLETING THIS FORM

This form consists of a summary sheet together with five schedules for itemized reporting. The form is to be used by treasurers of all committees to report receipts and expenditures in compliance with IC 3-9-5.

The spaces on this form have been numbered for your convenience and for easy reference to these instructions. The preparer should type or print legibly **IN BLACK INK** all information required. All previous versions of State Form 4606 are obsolete and cannot be used. (IC 3-5-4-8) **TO AVOID PENALTIES THIS FORM MUST BE FULLY COMPLETED.** You must complete each item on this form, including ALL SPACES in Column B, Calendar Year-to-Date.

SPECIAL INSTRUCTIONS FOR STATEWIDE CANDIDATES AND CERTAIN POLITICAL ACTION COMMITTEES

This instruction applies to all statewide candidates as well as any political action committee that (1) is required to file with the Election Division and (2) which received more than \$50,000 in contributions since the close of the previous reporting period. This form must be filed **electronically** with the Election Division. Contact the Division at 1-800-622-4941 for more information.

FILE NUMBER: Enter the previously assigned Election Division or County Election Board file number.

TOTAL PAGES: Enter the total number of pages of the entire CFA-4 report, including any attached schedule.

IS THIS AN AMENDMENT? Check "Yes" if this report is to correct or change information submitted in a previous report; otherwise check "No."

ITEM 1: Enter the full name of the committee as it appears on its Statement of Organization (*Form CFA-1, CFA-2, or CFA-3*). Check box if this is a new name.

ITEM 2: Enter the acronym or abbreviated name. For example: W-PAC.

ITEM 3: Enter the committee telephone number, including area code. (*This will typically be the committee's daytime telephone number.*)

ITEM 4: Enter the mailing address of the committee. All correspondence with the committee relative to filing under the Campaign Finance Act will be mailed to this address, unless specified otherwise. Check box if this is a new address.

ITEM 5: Enter the committee's city, state and ZIP code. If known, include ZIP plus four.

ITEM 6: If the committee supports the philosophy and ideals of a particular political party, enter the party affiliation.

ITEM 7: Enter the full name of the candidate and include any nickname, particularly if the candidate's nickname may appear on the ballot.

ITEM 8: If the candidate supports the philosophy and ideals of a particular political party, enter the party affiliation. If the candidate is not affiliated with a political party enter "independent candidate." A committee to retain an incumbent (*such as a justice or judge*) should also enter "independent candidate." A write-in candidate should follow the same procedure and enter either a political party or "independent candidate." **DO NOT ENTER "write-in."**

ITEM 9: enter the full name of the office being sought by the candidate (*include district number, if any*). For example, "Indiana State Senator, District _____", "_____ County Sheriff", or "_____ City Council, District _____." Not required to be completed by an exploratory committee.

ITEM 10: Enter the candidate's county of residence.

ITEM 11: Check the appropriate box indicating the type of report. A candidate should check "nomination" report if the candidate was nominated as a minor party or independent candidate by petition; if the candidate was selected by a major party to fill a vacancy on the ballot existing after the primary; or if the candidate is a write-in candidate.

A Libertarian party candidate nominated at a party convention should not check "nomination" report. Instead, that candidate should check either "pre-convention" or "post-convention" report. Statewide candidates filing a quarterly report should check "Other" and indicate "Quarterly."

ITEM 12: Enter the appropriate dates for the type of report checked in ITEM 11. These reporting and filing dates are prescribed by Indiana Code (IC) 3-9-5.

ITEM 13: Enter the amount of cash on hand and investments (*as described in ITEM 14*) at the beginning of the particular reporting period. If a previous report has been filed using this form, this figure will be the same as that reported on ITEM 18 of the report.

ITEM 14: Enter the amount of cash on hand and investments (*including funds in checking and savings account*) on January 1. This amount is NOT the amount on hand at the beginning of any later reporting period.

"Cash on hand" also includes any certificates of deposit or other "cash equivalent" that can be readily converted to cash within 90 days. Include in total investments things such as money market accounts, stocks, bonds, and mutual fund accounts.

If the committee was not in existence on January 1 of the reporting year, the treasurer should report zero on ITEM 14 in Column B.

ITEM 15a: Enter all itemized individual contributions from all persons including in-kind and transfer-in. This figure will be the total of all pages of Schedule A. Column A is for reporting total contributions for the current reporting period, Column B is for total contributions calendar year-to-date. Contributions exceeding more than \$100 (*\$200 if regular party committee*) must be itemized. All transfers-in must be itemized on Schedule A regardless of the amount.

ITEM 15b: Enter all unitemized individual contributions from all persons (*including in-kind*). This includes contributions not itemized under 15a.

ITEM 15c: Enter the sum of ITEMS 15a and 15b in both Column A and B.

ITEM 16: Enter the sum of ITEMS 13 and 15c in Column A. Enter the sum of 14 and 15c in Column B.

ITEM 17a: Enter all itemized expenditures, transfer-out and in-kind expenses. This figure will be the total of all pages of Schedule B and Schedule C. Use Column A to report total expenditures for the current reporting period. Use Column B to report total itemized expenditures calendar year-to-date. Expenditures exceeding more than \$100 (*\$200 if a regular party committee*) must be itemized. All transfers-out must be itemized on Schedule B regardless of amount.

ITEM 17b: Enter all unitemized expenditures and in-kind expenses. This includes expenditures not itemized under 17a.

ITEM 17c: Enter the sum of ITEMS 17a and 17b in BOTH Column A and B.

ITEM 18: Subtract ITEM 17c from ITEM 16 in both Column A and B.

ITEM 19: Enter the total debts and loans OWED BY the committee as itemized on Schedule D. This includes debts such as accounts payable, credit card purchases **IF made with a credit card issued in the name of the committee** and loans from a lending institution or another entity.

ITEM 20: Enter the total debts OWED TO the committee as itemized on schedule E. This includes a loan payable to the committee.

CERTIFICATION: The treasurer of the committee must sign this report. A person other than the treasurer may sign this report **if** a copy of the power of attorney signed by the treasurer authorizing the individual to sign is filed with the CFA-4. If a candidate's committee is completing this report and a person other than the candidate serves as treasurer, this report must be signed by both the candidate and treasurer.

WARNING: Using campaign funds for primarily personal purposes is prohibited. (IC 3-9-3-4, IC 3-9-1-12)

NOTICE: Contact the Election Division or your County Election Board if you have any questions.



**REPORT OF RECEIPTS AND EXPENDITURES
OF A POLITICAL COMMITTEE**

State Form 4606 (R13/11-05)
Indiana Election Commission (IC 3-9-5-14)

**(CFA-4 SCHEDULE A-1)
CONTRIBUTIONS BY INDIVIDUALS
Itemized Contributions and Other Receipts**

INSTRUCTIONS: LIST ONLY CONTRIBUTIONS BY INDIVIDUALS ON THIS SCHEDULE. Please type or print legibly IN **BLACK INK** all information on this schedule. For assistance in completing this schedule, see instructions on the reverse side. This schedule is used to document contributions and receipts totaled on **ITEM 15a** of the Summary Sheet. All cumulative contributions from individuals **OVER \$100** per contributor, within a calendar year **MUST** be itemized on this schedule (*over \$200, if regular party committee*). All cumulative receipts, (*such as loan proceeds and repayments, refunds, rebates, returns of deposit, proceeds from sales, interest or other income*) **OVER \$100** per contributor, within a calendar year, **MUST** be itemized on this schedule (*over \$200 if regular party committee*). A contributor's occupation is required if an individual makes at least \$1,000 in contributions during the calendar year. Otherwise, this is optional.

FILE NUMBER	
Page _____	of _____

CONTRIBUTOR'S FULL NAME AND OCCUPATION FULL MAILING ADDRESS <i>(street, number, city, state, ZIP code)</i>	TYPE OF CONTRIBUTION OR OTHER RECEIPT	COLUMN A AMOUNT THIS PERIOD	COLUMN B CUMULATIVE YEAR-TO-DATE	DATE RECEIVED
				RECEIVED BY
1. Contributor's Occupation <i>(if required)</i> _____	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <i>(describe)</i> _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. <i>(specify)</i> _____			
2. Contributor's Occupation <i>(if required)</i> _____	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <i>(describe)</i> _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. <i>(specify)</i> _____			
3. Contributor's Occupation <i>(if required)</i> _____	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <i>(describe)</i> _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. <i>(specify)</i> _____			
4. Contributor's Occupation <i>(if required)</i> _____	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <i>(describe)</i> _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. <i>(specify)</i> _____			
5. Contributor's Occupation <i>(if required)</i> _____	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <i>(describe)</i> _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. <i>(specify)</i> _____			
SUBTOTAL THIS PAGE OF SCHEDULE A		\$		
TOTAL OF ALL PAGES OF SCHEDULE A ON THE LAST PAGE ONLY <i>(Enter total on ITEM 15a of the Summary Sheet)</i>		\$		

INSTRUCTIONS FOR COMPLETING THIS FORM

FILE NUMBER: Enter the file number assigned by the Election Division or County Election Board. Also indicate the number of pages used to complete this schedule. For example, "Page 2 of 2." This means this page is the second page of two pages used for this schedule.

CONTRIBUTOR'S NAME, MAILING ADDRESS AND OCCUPATION:

NOTE: Only list a contributor on this schedule if the contributor is an individual.

Enter the full name and mailing address of each contributor who has made one (1) or more contributions (*including in-kind*) within the calendar year in an aggregate amount exceeding \$100 (*\$200 if regular party committee*).

ALSO

Enter the full name and mailing address of all contributors with cumulative receipts over \$100 within a calendar year (*\$200 if regular party committee*). This includes entities that have paid interest to a committee's account.

IMPORTANT: When entering a contributor's name in this space, it is imperative to list the full name of the contributor.

OCCUPATION: Enter the occupation of any individual who has made aggregate contributions of at least \$1,000 during the calendar year. Occupation information for other contributors is optional. Examples: "Attorney", "Banker", "Engineer", **NOT** "consultant."

TYPE OF CONTRIBUTION OR OTHER RECEIPT: Check the appropriate box. For in-kind contributions describe the general product or service provided (*such as yard signs, bumper stickers, or mailings, etc.*). For "miscellaneous", be as specific as possible.

COLUMN A AMOUNT THIS PERIOD: Enter the amount of each contribution, including in-kind, transfers-in or other receipts for this reporting period.

COLUMN B CUMULATIVE YEAR-TO-DATE: Enter the cumulative contributions, including in-kind, transfers-in, or other receipts calendar year-to-date.

On the first report of each calendar year, the entry in Column B is the same as the entry in Column A.

DATE RECEIVED: Enter the month, day, and year the contribution was received. For checks and money orders indicate the date the committee deposited the check or money order in the committee's account, **NOT** the date it was written or mailed. For cash contributions, the contributions are received when cash is deposited in the committee's account, **NOT** when given or mailed. (IC 3-9-1-24.5)

RECEIVED BY: Enter the committee member who received the contribution for the committee. (IC 3-9-1-25)

SUBTOTAL THIS PAGE OF SCHEDULE A: Enter the subtotal for this page of Schedule A. If there is only one page of this Schedule, the figure is the same as the **TOTAL OF ALL PAGES ON SCHEDULE A.**

TOTAL OF ALL PAGES ON SCHEDULE A ON THE LAST PAGE ONLY: Enter (*ON THE LAST PAGE ONLY*) the total amount of all pages on Schedule A. Also enter this figure on ITEM 15a of the Summary Sheet.



**REPORT OF RECEIPTS AND EXPENDITURES
OF A POLITICAL COMMITTEE**

State Form 4606 (R13/11-05)
Indiana Election Commission (IC 3-9-5-14)

**(CFA-4 SCHEDULE A-2)
CONTRIBUTIONS BY CORPORATIONS
Itemized Contributions and Other Receipts**

INSTRUCTIONS: LIST ONLY CONTRIBUTIONS BY CORPORATIONS ON THIS SCHEDULE. Please type or print legibly IN BLACK INK all information on this schedule. For assistance in completing this schedule, see instructions on the reverse side. This schedule is used to document contributions and receipts totaled on ITEM 15a of the Summary Sheet. All cumulative contributions from corporations OVER \$100 per contributor, within a calendar year MUST be itemized on this schedule (over \$200, if regular party committee). All cumulative receipts, (such as loan proceeds and repayments, refunds, rebates, returns of deposit, proceeds from sales, interest or other income) OVER \$100 per contributor, within a calendar year, MUST be itemized on this schedule (over \$200 if regular party committee).

FILE NUMBER	
Page _____ of _____	

CONTRIBUTOR'S FULL NAME AND FULL MAILING ADDRESS <i>(street, number, city, state, ZIP code)</i>	TYPE OF CONTRIBUTION OR OTHER RECEIPT	COLUMN A AMOUNT THIS PERIOD	COLUMN B CUMULATIVE YEAR-TO-DATE	DATE RECEIVED
				RECEIVED BY
1.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <i>(describe)</i> _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. <i>(specify)</i> _____			
2.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <i>(describe)</i> _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. <i>(specify)</i> _____			
3.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <i>(describe)</i> _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. <i>(specify)</i> _____			
4.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <i>(describe)</i> _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. <i>(specify)</i> _____			
5.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <i>(describe)</i> _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. <i>(specify)</i> _____			
SUBTOTAL THIS PAGE OF SCHEDULE A		\$		
TOTAL OF ALL PAGES OF SCHEDULE A ON THE LAST PAGE ONLY <i>(Enter total on ITEM 15a of the Summary Sheet)</i>		\$		

INSTRUCTIONS FOR COMPLETING THIS FORM

FILE NUMBER: Enter the file number assigned by the Election Division or County Election Board. Also indicate the number of pages used to complete this schedule. For example, "Page 2 of 2." This means this page is the second of two pages used for this schedule.

CONTRIBUTOR'S NAME AND MAILING ADDRESS:

NOTE: Only list a contributor on this schedule if the contributor is a corporation.

Not every business is a corporation! A corporation has articles of incorporation, and is registered with the Indiana Secretary of State (*or with the equivalent office in another state*). See www.in.gov/sos/business/corps/searches.html for information on Indiana corporations.

A limited liability company (LLC), limited liability partnership (LLP), partnership, or a sole proprietorship is **NOT** a corporation. The federal income tax status of a corporation (*as a professional corporation or Subchapter S corporation, for example*) has no effect on the reporting of the corporation's contributions. If you are uncertain whether a contribution is from a corporation, contact the contributor for clarification regarding the status of the contributor.

Enter the full name and mailing address of each contributor who has made one (1) or more contributions (*including in-kind*) within the calendar year in an aggregate amount exceeding \$100 (*\$200 if regular party committee*).

ALSO

Enter the full name and mailing address of all contributors with cumulative receipts over \$100 within a calendar year (*\$200 if regular party committee*). This includes entities that have paid interest to a committee's account.

IMPORTANT: When entering a contributor's name in this space, it is imperative to list the full name of the contributor.

TYPE OF CONTRIBUTION OR OTHER RECEIPT: Check the appropriate box. For in-kind contributions describe the general product or service provided (*such as yard signs, bumper stickers or mailings, etc.*). For "miscellaneous", be as specific as possible.

COLUMN A AMOUNT THIS PERIOD: Enter the amount of each contribution, including in-kind, transfers-in or other receipts for this reporting period.

COLUMN B CUMULATIVE YEAR-TO-DATE: Enter the cumulative contributions, including in-kind, transfers-in or other receipts calendar year-to-date.

On the first report of each calendar year, the entry in column B is the same as the entry in Column A.

DATE RECEIVED: Enter the month, day, and year the contribution was received. For checks and money orders indicate the date the committee deposited the check or money order in the committee's account, **NOT** the date it was written or mailed. For cash contributions, the contributions are received when cash is deposited in the committee's account, **NOT** when given or mailed. (IC 3-9-1-24.5)

RECEIVED BY: Enter the committee member who received the contribution for the committee. (IC 3-9-1-25)

SUBTOTAL THIS PAGE OF SCHEDULE A: Enter the subtotal for this page of Schedule A. If there is only one page of this Schedule, the figure is the same as the **TOTAL OF ALL PAGES ON SCHEDULE A**.

TOTAL OF ALL PAGES OF SCHEDULE A ON THE LAST PAGE ONLY: Enter (*ON THE LAST PAGE ONLY*) the total amount of all pages on Schedule A. Also enter this figure on ITEM 15a of the Summary Sheet.



**REPORT OF RECEIPTS AND EXPENDITURES
OF A POLITICAL COMMITTEE**

State Form 4606 (R13/11-05)
Indiana Election Commission (IC 3-9-5-14)

**(CFA-4 SCHEDULE A-3)
CONTRIBUTIONS BY
LABOR ORGANIZATIONS**

Itemized Contributions and Other Receipts

INSTRUCTIONS: LIST ONLY CONTRIBUTIONS BY LABOR ORGANIZATIONS ON THIS SCHEDULE. Please type or print legibly **IN BLACK INK** all information on this schedule. For assistance in completing this schedule, see instructions on the reverse side. This schedule is used to document contributions and receipts totaled on ITEM 15a of the Summary Sheet. All cumulative contributions from labor organizations **OVER \$100** per contributor, within a calendar year **MUST** be itemized on this schedule (over \$200, if regular party committee). All cumulative receipts, (such as loan proceeds and repayments, refunds, rebates, returns of deposit, proceeds from sales, interest or other income) **OVER \$100** per contributor, within a calendar year, **MUST** be itemized on this schedule (over \$200 if regular party committee).

FILE NUMBER	
Page _____ of _____	

CONTRIBUTOR'S FULL NAME AND FULL MAILING ADDRESS (street, number, city, state, ZIP code)	TYPE OF CONTRIBUTION OR OTHER RECEIPT	COLUMN A AMOUNT THIS PERIOD	COLUMN B CUMULATIVE YEAR-TO-DATE	DATE RECEIVED
				RECEIVED BY
1.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (describe) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (specify) _____			
2.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (describe) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (specify) _____			
3.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (describe) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (specify) _____			
4.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (describe) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (specify) _____			
5.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (describe) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (specify) _____			
SUBTOTAL THIS PAGE OF SCHEDULE A		\$		
TOTAL OF ALL PAGES OF SCHEDULE A ON THE LAST PAGE ONLY (Enter total on ITEM 15a of the Summary Sheet)		\$		

INSTRUCTIONS FOR COMPLETING THIS FORM

FILE NUMBER: Enter the file number assigned by the Election Division or County Election Board. Also indicate the number of pages used to complete this schedule. For example, "Page 2 of 2." This means this page is the second of two pages used for this schedule.

CONTRIBUTOR'S NAME AND MAILING ADDRESS:

NOTE: Only list a contributor on this schedule if the contributor is a labor organization.

Enter the full name and mailing address of each contributor who has made one (1) or more contributions (*including in-kind*) within the calendar year in an aggregate amount exceeding \$100 (*\$200 if regular party committee*).

ALSO

Enter the full name and mailing address of all contributors with cumulative receipts over \$100 within a calendar year (*\$200 if regular party committee*). This includes entities that have paid interest to a committee's account.

IMPORTANT: When entering a contributor's name in this space, it is imperative to list the full name of the contributor.

TYPE OF CONTRIBUTION OR OTHER RECEIPT: Check the appropriate box. For in-kind contributions describe the general product or service provided (*such as yard signs, bumper stickers or mailings, etc.*). For "miscellaneous", be as specific as possible.

COLUMN A AMOUNT THIS PERIOD: Enter the amount of each contribution, including in-kind, transfers-in or other receipts for this reporting period.

COLUMN B CUMULATIVE YEAR-TO-DATE: Enter the cumulative contributions, including in-kind, transfers-in or other receipts calendar year-to-date.

On the first report of each calendar year, the entry in column B is the same as the entry in Column A.

DATE RECEIVED: Enter the month, day, and year the contribution was received. For checks and money orders indicate the date the committee deposited the check or money order in the committee's account, **NOT** the date it was written or mailed. For cash contributions, the contributions are received when cash is deposited in the committee's account, **NOT** when given or mailed. (IC 3-9-1-24.5)

RECEIVED BY: Enter the committee member who received the contribution for the committee. (IC 3-9-1-25)

SUBTOTAL THIS PAGE OF SCHEDULE A: Enter the subtotal for this page of Schedule A. If there is only one page of this Schedule, the figure is the same as the **TOTAL OF ALL PAGES ON SCHEDULE A.**

TOTAL OF ALL PAGES OF SCHEDULE A ON THE LAST PAGE ONLY: Enter (ON THE LAST PAGE ONLY) the total amount of all pages on Schedule A. Also enter this figure on ITEM 15a of the Summary Sheet.



**REPORT OF RECEIPTS AND EXPENDITURES
OF A POLITICAL COMMITTEE**

State Form 4606 (R13/11-05)
Indiana Election Commission (IC 3-9-5-14)

**(CFA-4 SCHEDULE A-4)
CONTRIBUTIONS BY
POLITICAL ACTION COMMITTEES
Itemized Contributions and Other Receipts**

INSTRUCTIONS: LIST ONLY CONTRIBUTIONS BY POLITICAL ACTION COMMITTEES ON THIS SCHEDULE. Please type or print legibly **IN BLACK INK** all information on this schedule. For assistance in completing this schedule, see instructions on the reverse side. This schedule is used to document contributions and receipts totaled on ITEM 15a of the Summary Sheet. All cumulative contributions from political action committees **OVER \$100** per contributor, within a calendar year **MUST** be itemized on this schedule (*over \$200, if regular party committee*). All transfers-in and in-kind contributions regardless of amount from political action committees **MUST** be itemized on this schedule. All cumulative receipts, (*such as loan proceeds and repayments, refunds, rebates, returns of deposit, proceeds from sales, interest or other income*) **OVER \$100** per contributor, within a calendar year, **MUST** be itemized on this schedule (*over \$200 if regular party committee*).

FILE NUMBER	
Page _____	of _____

CONTRIBUTOR'S FULL NAME AND FULL MAILING ADDRESS <i>(street, number, city, state, ZIP code)</i>	TYPE OF CONTRIBUTION OR OTHER RECEIPT	COLUMN A AMOUNT THIS PERIOD	COLUMN B CUMULATIVE YEAR-TO-DATE	DATE RECEIVED
				RECEIVED BY
1.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (<i>describe</i>) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (<i>specify</i>) _____			
2.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (<i>describe</i>) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (<i>specify</i>) _____			
3.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (<i>describe</i>) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (<i>specify</i>) _____			
4.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (<i>describe</i>) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (<i>specify</i>) _____			
5.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (<i>describe</i>) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (<i>specify</i>) _____			
SUBTOTAL THIS PAGE OF SCHEDULE A		\$		
TOTAL OF ALL PAGES OF SCHEDULE A ON THE LAST PAGE ONLY <i>(Enter total on ITEM 15a of the Summary Sheet)</i>		\$		

INSTRUCTIONS FOR COMPLETING THIS FORM

FILE NUMBER: Enter the file number assigned by the Election Division or County Election Board. Also indicate the number of pages used to complete this schedule. For example, "Page 2 of 2." This means this page is the second of two pages used for this schedule.

CONTRIBUTOR'S NAME AND MAILING ADDRESS:

NOTE: Only list a contributor on this schedule if the contributor is a political action committee.

Enter the full name and mailing address of each contributor who has made one (1) or more contributions (*including in-kind*) within the calendar year in an aggregate amount exceeding \$100 (*\$200 if regular party committee*).

ALSO

Enter the full name and mailing address of each political committee from which the political action committee received a transfer-in. All transfers-in from a political committee (*candidate's committee, legislative caucus committee, political action committee, or regular party committee*) must be itemized regardless of amount.

ALSO

Enter the full name and mailing address of all contributors with cumulative receipts over \$100 within a calendar year (*\$200 if regular party committee*). This includes entities that have paid interest to a committee's account.

IMPORTANT: When entering a contributor's name in this space, it is imperative to list the full name of the contributor.

TYPE OF CONTRIBUTION OR OTHER RECEIPT: Check the appropriate box. For in-kind contributions describe the general product or service provided (*such as yard signs, bumper stickers or mailings, etc.*). For "miscellaneous", be as specific as possible.

COLUMN A AMOUNT THIS PERIOD: Enter the amount of each contribution, including in-kind, transfers-in or other receipts for this reporting period.

COLUMN B CUMULATIVE YEAR-TO-DATE: Enter the cumulative contributions, including in-kind, transfers-in or other receipts calendar year-to-date.

On the first report of each calendar year, the entry in column B is the same as the entry in Column A.

DATE RECEIVED: Enter the month, day, and year the contribution was received. For checks and money orders indicate the date the committee deposited the check or money order in the committee's account, **NOT** the date it was written or mailed. For cash contributions, the contributions are received when cash is deposited in the committee's account, **NOT** when given or mailed. (IC 3-9-1-24.5)

RECEIVED BY: Enter the committee member who received the contribution for the committee. (IC 3-9-1-25)

SUBTOTAL THIS PAGE OF SCHEDULE A: Enter the subtotal for this page of Schedule A. If there is only one page of this Schedule, the figure is the same as the **TOTAL OF ALL PAGES ON SCHEDULE A.**

TOTAL OF ALL PAGES OF SCHEDULE A ON THE LAST PAGE ONLY: Enter (*ON THE LAST PAGE ONLY*) the total amount of all pages on Schedule A. Also enter this figure on ITEM 15a of the Summary Sheet.



**REPORT OF RECEIPTS AND EXPENDITURES
OF A POLITICAL COMMITTEE**

State Form 4606 (R13/11-05)
Indiana Election Commission (IC 3-9-5-14)

**(CFA-4 SCHEDULE A-5)
CONTRIBUTIONS BY
OTHER ORGANIZATIONS**

Itemized Contributions and Other Receipts

INSTRUCTIONS: LIST ONLY CONTRIBUTIONS BY ORGANIZATIONS OTHER THAN CORPORATIONS, LABOR ORGANIZATIONS, POLITICAL ACTION COMMITTEES AND INDIVIDUALS ON THIS SCHEDULE. Please type or print legibly **IN BLACK INK** all information on this schedule. For assistance in completing this schedule, see instructions on the reverse side. This schedule is used to document contributions and receipts totaled on ITEM 15a of the Summary Sheet. All cumulative contributions from other entities **OVER \$100** per contributor, within a calendar year **MUST** be itemized on this schedule (*over \$200, if regular party committee*). All transfers-in and in-kind contributions regardless of amount from candidate's, legislative caucus, and regular party committees **MUST** be itemized on this schedule. All cumulative receipts, (*such as loan proceeds and repayments, refunds, rebates, returns of deposit, proceeds from sales, interest or other income*) **OVER \$100** per contributor, within a calendar year, **MUST** be itemized on this schedule (*over \$200 if regular party committee*).

FILE NUMBER	
Page _____ of _____	

CONTRIBUTOR'S FULL NAME AND FULL MAILING ADDRESS <i>(street, number, city, state, ZIP code)</i>	TYPE OF CONTRIBUTION OR OTHER RECEIPT	COLUMN A AMOUNT THIS PERIOD	COLUMN B CUMULATIVE YEAR-TO-DATE	DATE RECEIVED
				RECEIVED BY
1.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (<i>describe</i>) <hr/> Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (<i>specify</i>) <hr/>			
2.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (<i>describe</i>) <hr/> Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (<i>specify</i>) <hr/>			
3.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (<i>describe</i>) <hr/> Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (<i>specify</i>) <hr/>			
4.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (<i>describe</i>) <hr/> Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (<i>specify</i>) <hr/>			
5.	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (<i>describe</i>) <hr/> Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc. (<i>specify</i>) <hr/>			
SUBTOTAL THIS PAGE OF SCHEDULE A		\$		
TOTAL OF ALL PAGES OF SCHEDULE A ON THE LAST PAGE ONLY <i>(Enter total on ITEM 15a of the Summary Sheet)</i>		\$		

INSTRUCTIONS FOR COMPLETING THIS FORM

FILE NUMBER: Enter the file number assigned by the Election Division or County Election Board. Also indicate the number of pages used to complete this schedule. For example, "Page 2 of 2." This means this page is the second of two pages used for this schedule.

CONTRIBUTOR'S NAME AND MAILING ADDRESS:

NOTE: Only list a contributor on this schedule if the contributor is **NOT** an individual, a political action committee, a corporation, or a labor organization. A contribution from a limited liability company (LLC), limited liability partnership (LLP), partnership, or sole proprietorship, for example, should be listed on this schedule.

Enter the full name and mailing address of each contributor who has made one (1) or more contributions (including in-kind) within the calendar year in an aggregate amount exceeding \$100 (*\$200 if regular party committee*).

ALSO

Enter the full name and mailing address of each political committee from which the reporting committee received a transfer-in. All transfers-in from a political committee (*candidate's committee, legislative caucus committee, political action committee, or regular party committee*) must be itemized regardless of amount.

ALSO

Enter the full name and mailing address of all contributors with cumulative receipts over \$100 within a calendar year (*\$200 if regular party committee*). This includes entities that have paid interest to a committee's account.

IMPORTANT: When entering a contributor's name in this space, it is imperative to list the full name of the contributor.

TYPE OF CONTRIBUTION OR OTHER RECEIPT: Check the appropriate box. For in-kind contributions describe the general product or service provided (*such as yard signs, bumper stickers or mailings, etc.*). For "miscellaneous", be as specific as possible.

COLUMN A AMOUNT THIS PERIOD: Enter the amount of each contribution, including in-kind, transfers-in or other receipts for this reporting period.

COLUMN B CUMULATIVE YEAR-TO-DATE: Enter the cumulative contributions, including in-kind, transfers-in or other receipts calendar year-to-date.

On the first report of each calendar year, the entry in column B is the same as the entry in Column A.

DATE RECEIVED: Enter the month, day, and year the contribution was received. For checks and money orders indicate the date the committee deposited the check or money order in the committee's account, **NOT** the date it was written or mailed. For cash contributions, the contributions are received when cash is deposited in the committee's account, **NOT** when given or mailed. (IC 3-9-1-24.5)

RECEIVED BY: Enter the committee member who received the contribution for the committee. (IC 3-9-1-25)

SUBTOTAL THIS PAGE OF SCHEDULE A: Enter the subtotal for this page of Schedule A. If there is only one page of this Schedule, the figure is the same as the **TOTAL OF ALL PAGES ON SCHEDULE A**.

TOTAL OF ALL PAGES OF SCHEDULE A ON THE LAST PAGE ONLY: Enter (*ON THE LAST PAGE ONLY*) the total amount of all pages on Schedule A. Also enter this figure on ITEM 15a of the Summary Sheet.



**REPORT OF RECEIPTS AND EXPENDITURES
OF A POLITICAL COMMITTEE**

State Form 4606 (R13/11-05)
Indiana Election Commission (IC 3-9-5-14)

**(CFA-4 SCHEDULE B)
ITEMIZED EXPENDITURES**

INSTRUCTIONS: Please type or print legibly **IN BLACK INK** all information on this schedule. For assistance in completing this schedule, see instructions on the reverse side. This schedule is used to document expenditures **totaled on ITEM 17a** of the Summary Sheet. All cumulative expenses paid to individuals, businesses, labor organizations and other entities **OVER \$100** per recipient, within a calendar year **MUST** be itemized on this schedule (*over \$200, if regular party committee*). All cumulative expenses, including in-kind, **regardless of amount** paid to political committees, (*such as transfers-out from candidate, legislative caucus, political action, or regular party committees*) **MUST** be itemized on this schedule.

FILE NUMBER
Page _____ of _____

RECIPIENT'S NAME AND MAILING ADDRESS <i>(street, number, city, state, ZIP code)</i>	RECIPIENT'S OCCUPATION	TYPE OF EXPENDITURE and PURPOSE <i>(be specific)</i>	COLUMN A AMOUNT THIS PERIOD	COLUMN B CUMULATIVE YEAR-TO-DATE	DATE OF EXPENDITURE
	OFFICE SOUGHT <i>(if applicable)</i>				
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
SUBTOTAL THIS PAGE OF SCHEDULE B			\$		
TOTAL OF ALL PAGES OF SCHEDULE B ON THE LAST PAGE ONLY <i>(Enter total on ITEM 17a of the Summary Sheet)</i>			\$		

INSTRUCTIONS FOR COMPLETING THIS FORM

FILE NUMBER: Enter the file number assigned by the Election Division or County Election Board. Also indicate the number of pages used to complete this schedule. For example, "Page 2 of 2." This means that this page is second page of two pages used for this schedule.

RECIPIENT'S NAME AND MAILING ADDRESS: Enter the full name and mailing address of each person or vendor to whom one (1) or more disbursements in an aggregate amount exceeding \$100 (*\$200 if regular party committee*) have been made.

ALSO

Enter the full name and mailing address of each political committee that has received a transfer-out from the reporting committee. The reporting requirement of a transfer-out from a political committee is different from the reporting requirement of an expenditure to a person. Each transfer-out, regardless of amount, must be itemized.

NOTE: Under normal circumstances, you should not list a credit card issuer as a recipient. If making a payment on a credit card, list vendor, NOT the credit card company. Also note that any unpaid credit obligation should be listed on Schedule D, "Debts Owed By This Committee."

EXPENDITURE CODES: In the box at the upper left corner of the "Recipient's Name and Mailing Address" section, enter the expenditure code for each entry from the following list of codes:

Code: C
Expenditure Type: Contributions

Expenditure Definition: Direct and in-kind contributions the campaign can legally make to other campaigns, political action committees, community and charitable organizations. In the description column, the filer is directed to specify who benefited and, if in-kind, what was purchased.

Code: F
Expenditure Type: Fundraising

Expenditure Definition: Expenditures, direct or in-kind, associated with holding a fundraiser, including payments to restaurants, hotels and caterers, other food and refreshment vendors, entertainers, and speakers.

**Filers are directed to use an "A" for expenditures for printed matter produced in connection with fundraising events.*

Code: A
Expenditure Type: Advertising

Expenditure Definition: Expenditures associated with the production, design, photography, copy, layout, printing, reproduction and purchase of advertising and campaign communications including:

- Radio and television advertising
- Advertising in newspapers, periodicals, and other publications
- Advertising on billboards and yard signs
- Campaign paraphernalia such as buttons, bumper stickers, T-shirts, hats, etc.
- Websites
- Campaign literature
- Printed solicitations
- Fundraising letters
- Mailing lists

Code: O
Expenditure Type: Operations

Expenditure Definition: General campaign operating expenses and overhead including:

- Wages, salaries and benefits associated with hiring campaign employees and other paid workers who provide miscellaneous services
- Contracts, fees, and commissions paid to campaign management companies and contract consultants including law firms
- Headquarters purchase or rental
- Utilities
- Purchase or rental of office equipment and furniture for the campaign
- Surveys and Polls – Including expenditures associated with the design and production of polls, election trend reports, voter surveys, telemarketing, telephone banks, Get Out The Vote drives, etc.
- Postage – including stamps, or metered postage, direct mail services and delivery services like United Parcel Services and Federal Express
- Travel – including fares, accommodations, and meals from campaign trips

RECIPIENT'S OCCUPATION/OFFICE SOUGHT: Enter the recipient's occupation, and if applicable, the office sought. For example, "printer" or "candidate, State Representative District 5."

TYPE OF EXPENDITURE: Check the type of expenditure. For "other", describe the type of expenditure.

PURPOSE OF EXPENDITURE: Enter the purpose of the expenditure or transfer-out. Be specific. Indicate any reimbursement.

COLUMN A AMOUNT THIS PERIOD: Enter the amount of each expenditure and transfer-out, including in-kind for this reporting period.

COLUMN B CUMULATIVE YEAR-TO-DATE: Enter the cumulative expenditure and transfer-out, including in-kind for calendar year-to-date.

On the first report of each calendar year, the entry in Column B is the same as the entry in Column A.

DATE OF EXPENDITURE: Enter the month, day, and year of the expenditure or transfer-out. Use the following guidelines to determine the proper date to use:

FOR	USE
Payment of bill	The date the bill was actually paid (<i>by placing a check in the mail or tendering cash in person</i>).
Transfer-out	The date the check was written to a candidate's, legislative caucus, political action, or regular party committee.
In-kind	The date the material was given or service provided.

SUBTOTAL OF THIS PAGE OF SCHEDULE B: Enter the subtotal for this page of Schedule B. If there is only one page of this schedule, the figure is the same as the TOTAL OF ALL PAGES ON SCHEDULE B.

TOTAL OF ALL PAGES OF SCHEDULE B ON THE LAST PAGE ONLY: Enter (*ON THE LAST PAGE ONLY*) the total amount of all pages on Schedule B. Also enter this figure on ITEM 17a of the Summary Sheet.



**REPORT OF RECEIPTS AND EXPENDITURES
OF A POLITICAL COMMITTEE**

State Form 4606 (R13/11-05)
Indiana Election Commission (IC 3-9-5-14)

**(CFA-4 SCHEDULE C)
ITEMIZED EXPENDITURES
For Public Questions**

INSTRUCTIONS: Please type or print legibly **IN BLACK INK** all information on this schedule. For assistance in completing this schedule, see instructions on the reverse side. All cumulative expenses or transfers-out, regardless of amount paid to political committees supporting or opposing a public question, **MUST** be itemized on this schedule.

FILE NUMBER
Page _____ of _____

PUBLIC QUESTION INFORMATION

Enter Text of Public Question

Type of Question: Statewide Local

Position: Supported Opposed

RECIPIENT'S NAME AND MAILING ADDRESS <i>(street, number, city, state, ZIP code)</i>	RECIPIENT'S OCCUPATION	TYPE OF EXPENDITURE and PURPOSE <i>(be specific)</i>	COLUMN A AMOUNT THIS PERIOD	COLUMN B CUMULATIVE YEAR-TO-DATE	DATE OF EXPENDITURE
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			
Code _____		<input type="checkbox"/> Direct <input type="checkbox"/> In-Kind <input type="checkbox"/> Payment of Debt <input type="checkbox"/> Returned Contribution <input type="checkbox"/> Other _____ Purpose:			

SUBTOTAL THIS PAGE OF SCHEDULE C	\$	
TOTAL OF ALL PAGES OF SCHEDULE C ON THE LAST PAGE ONLY <i>(Enter total on ITEM 17a of the Summary Sheet)</i>	\$	

INSTRUCTIONS FOR COMPLETING THIS FORM

FILE NUMBER: Enter the file number assigned by the Election Division or County Election Board. Also indicate the number of pages used to complete this schedule. For example, "Page 2 of 2." This means that this page is second page of two pages used for this schedule.

PUBLIC QUESTION INFORMATION: Enter the text of the public question as it appears on the ballot, or the general subject of the question if exact language has not been determined.

Check the appropriate box indicating whether the public question is statewide or local.

Check the appropriate box indicating whether the committee supports or opposes approval of the public question.

RECIPIENT'S NAME AND MAILING ADDRESS: Enter the full name and mailing address of each person or political committee to whom one (1) or more disbursements have been made.

ALSO

EXPENDITURE CODES: In the box at the upper left corner of the "Recipient's Name and Mailing Address" section, enter the expenditure code for each entry from the following list of codes:

Code: C
Expenditure Type: Contributions

Expenditure Definition: Direct and in-kind contributions the campaign can legally make to other campaigns, political action committees, community and charitable organizations. In the description column, the filer is directed to specify who benefited and, if in-kind, what was purchased.

Code: F
Expenditure Type: Fundraising

Expenditure Definition: Expenditures, direct or in-kind, associated with holding a fundraiser, including payments to restaurants, hotels and caterers, other food and refreshment vendors, entertainers, and speakers.

**Filers are directed to use an "A" for expenditures for printed matter produced in connection with fundraising events.*

Code: A
Expenditure Type: Advertising

Expenditure Definition: Expenditures associated with the production, design, photography, copy, layout, printing, reproduction and purchase of advertising and campaign communications including:

- Radio and television advertising
- Advertising in newspapers, periodicals, and other publications
- Advertising on billboards and yard signs
- Campaign paraphernalia such as buttons, bumper stickers, T-shirts, hats, etc.
- Websites
- Campaign literature
- Printed solicitations
- Fundraising letters
- Mailing lists

Code: O
Expenditure Type: Operations

Expenditure Definition: General campaign operating expenses and overhead including:

- Wages, salaries and benefits associated with hiring campaign employees and other paid workers who provide miscellaneous services
- Contracts, fees, and commissions paid to campaign management companies and contract consultants including law firms
- Headquarters purchase or rental
- Utilities
- Purchase or rental of office equipment and furniture for the campaign
- Surveys and Polls – Including expenditures associated with the design and production of polls, election trend reports, voter surveys, telemarketing, telephone banks, Get Out The Vote drives, etc.
- Postage – including stamps, or metered postage, direct mail services and delivery services like United Parcel Services and Federal Express
- Travel – including fares, accommodations, and meals from campaign trips

RECIPIENT'S OCCUPATION: Enter the recipient's occupation. For example, "printer."

TYPE OF EXPENDITURE: Check the type of expenditure. For "other", describe the type of expenditure.

PURPOSE OF EXPENDITURE: Enter the purpose of the expenditure or transfer-out. Be specific. Indicate any reimbursement.

COLUMN A AMOUNT THIS PERIOD: Enter the amount of each expenditure and transfer-out, including in-kind for this reporting period.

COLUMN B CUMULATIVE YEAR-TO-DATE: Enter the cumulative expenditure and transfer-out, including in-kind for calendar year-to-date.

On the first report of each calendar year, the entry in Column B is the same as the entry in Column A.

DATE OF EXPENDITURE: Enter the month, day, and year of the expenditure or transfer-out. Use the following guidelines to determine the proper date to use:

<u>FOR</u>	<u>USE</u>
Payment of bill	The date the bill was actually paid <i>(by placing a check in the mail or tendering cash in person)</i> .
Transfers-out	The date the check was written to a political action committee.
In-kind	The date the material was given or service provided.

SUBTOTAL OF THIS PAGE OF SCHEDULE C: Enter the subtotal for this page of Schedule C. If there is only one page of this schedule, the figure is the same as the TOTAL OF ALL PAGES ON SCHEDULE C.

TOTAL OF ALL PAGES OF SCHEDULE C ON THE LAST PAGE ONLY: Enter *(ON THE LAST PAGE ONLY)* the total amount of all pages on Schedule C. Also enter this figure on ITEM 17a of the Summary Sheet.



**REPORT OF RECEIPTS AND EXPENDITURES
OF A POLITICAL COMMITTEE**

State Form 4606 (R13/11-05)
Indiana Election Commission (IC 3-9-5-14)

**(CFA-4 SCHEDULE D)
DEBTS OWED BY THIS COMMITTEE**

INSTRUCTIONS: Please type or print legibly **IN BLACK INK** all information on this schedule. For assistance in completing this schedule, see instructions on the reverse side. List all debts and loans, regardless of the amount, **OWED BY** the committee during the reporting period. Include all amounts owed for or to lend institutions, individuals, credit purchases, committee credit card accounts, etc. List each vendor paid by credit card issued in the name of the committee in the ENDORSER'S column. A lender's occupation is required if an individual makes loans of at least \$1,000 during the calendar year. Otherwise, this is optional.

FILE NUMBER
Page _____ of _____

CREDITOR'S OR LENDER'S NAME & MAILING ADDRESS <i>(street, number, city, state, ZIP code)</i>	ENDORSER'S OR VENDOR'S NAME & MAILING ADDRESS <i>(if any)</i> <i>(street, number, city, state, ZIP code)</i>	AMOUNT	DATE DEBT INCURRED	CUMULATIVE PAID YEAR-TO-DATE	OUTSTANDING BALANCE THIS PERIOD
		NATURE OF DEBT			
LENDER'S OCCUPATION:					
LENDER'S OCCUPATION:					
LENDER'S OCCUPATION:					
LENDER'S OCCUPATION:					
LENDER'S OCCUPATION:					
LENDER'S OCCUPATION:					
LENDER'S OCCUPATION:					
SUBTOTAL THIS PAGE OF SCHEDULE D					\$
TOTAL OF ALL PAGES OF SCHEDULE D ON THE LAST PAGE ONLY <i>(Enter total on ITEM 19 of the Summary Sheet)</i>					\$

INSTRUCTIONS FOR COMPLETING THIS FORM

This schedule is used to document debts **OWED BY** the committee totaled on ITEM 19 of the Summary Sheet.

In addition to disclosing the loans or debts owed by the committee within the reporting period, you must report all previous loans or debts owed by the committee in every subsequent report **until the debt is extinguished**.

FILE NUMBER: Enter the file number assigned by the Election Division or County Election Board. Also, indicate the number of pages being used to complete this schedule. For example, "Page 2 of 2." This means this page is the second page of two pages used for this schedule.

CREDITOR'S OR LENDER'S NAME AND MAILING ADDRESS: Enter the creditor's or lender's full name and mailing address. For the purpose of this reporting requirement, a creditor or lender may be an individual, business, lending institution, or another committee who has advanced money or things of value to the committee with the understanding that the committee will pay back the debt with or without interest. A debt may be evidenced by a promissory note, credit purchase, committee credit card account, or any other document showing an unpaid debt. For a credit card account in the name of the committee, list the name of the credit card issuer.

ENDORSER'S OR VENDOR'S NAME AND MAILING ADDRESS: Enter the full name and mailing address of all co-makers, co-signers, co-endorsers, or endorsers, if the debt owed by the committee was secured by another entity. For committee credit card debts, also list the name and address of the vendor. **If more than one vendor per credit card, list each vendor in this column, but do not re-enter the card issuer in the "creditor's" column.**

AMOUNT: For a **loan**, enter the actual amount of the loan (principal), not the interest charged for the loan. Interest paid on a loan and other finance charges are treated as expenditures by the committee and must be reported on Schedule B. The amount of the **principal** is treated as a **receipt** by the committee and must be reported on Schedule A.

For committee credit card purchases, enter the amount of each transaction.

NATURE OF DEBT: Enter the nature of the debt. This requires a short description of the type of debt owed by the committee. Example: "loan", "promissory note", "open account", or "committee credit card account."

DATE DEBT INCURRED: Enter the month, day and year that debt owed by the committee was incurred. For example, if the committee borrowed money from a lending institution and the committee gave a promissory note evidencing the loan, the date the note was **signed** by the committee would be entered in this space.

If the **committee** used an open-end credit card or revolving charge plan, the date of the transaction as shown on the account statement would be entered here.

CUMULATIVE PAID YEAR-TO-DATE: Enter the amount that has been repaid on the principal of any loan received by the committee at the end of this reporting period. The repayment of the principal on a loan is considered an expenditure by the committee and must be reported on Schedule B. **For committee credit card transactions, list the total amount paid to the credit card issuer. Do not enter the amount of each vendor transaction in this column.**

OUTSTANDING BALANCE THIS PERIOD: Enter the outstanding balance of the debt owed by the committee. You must continue to report the outstanding balance of the debt owed by the committee on each report **until the debt is extinguished**. **For committee credit card transactions, list the total outstanding balance to the credit card issuer. Do not enter the amount of each vendor transaction in this column.**

SUBTOTAL THIS PAGE OF SCHEDULE D: Enter the subtotal for this page of Schedule D. If there is only one page of this schedule, the figure is the same as the **TOTAL OF ALL PAGES ON SCHEDULE D**.

TOTAL OF ALL PAGES OF SCHEDULE D ON THE LAST PAGE ONLY: Enter (*ON THE LAST PAGE ONLY*) the total amount of all pages on Schedule D. Also enter this figure on ITEM 19 of the Summary Sheet.



**REPORT OF RECEIPTS AND EXPENDITURES
OF A POLITICAL COMMITTEE**

State Form 4606 (R13/11-05)
Indiana Election Commission (IC 3-9-5-14)

**(CFA-4 SCHEDULE E)
DEBTS OWED TO THIS COMMITTEE**

FILE NUMBER

Page _____ of _____

INSTRUCTIONS: Please type or print legibly **IN BLACK INK** all information on this schedule. For assistance in completing this schedule, see instructions on the reverse side. List all debts and loans, regardless of the amount, OWED TO the committee during the reporting period. Include all amounts the committee has loaned to others.

BORROWER'S NAME & MAILING ADDRESS <i>(street, number, city, state, ZIP code)</i>	CO-SIGNER'S NAME & MAILING ADDRESS <i>(if any)</i> <i>(street, number, city, state, ZIP code)</i>	ORIGINAL AMOUNT	DATE DEBT INCURRED	CUMULATIVE PAID YEAR-TO-DATE	OUTSTANDING BALANCE THIS PERIOD
		NATURE OF DEBT			
SUBTOTAL THIS PAGE OF SCHEDULE E					\$
TOTAL OF ALL PAGES OF SCHEDULE E ON THE LAST PAGE ONLY <i>(Enter total on ITEM 20 of the Summary Sheet)</i>					\$

INSTRUCTIONS FOR COMPLETING THIS FORM

This schedule is used to document debts **OWED TO** the committee totaled on ITEM 20 of the Summary Sheet.

In addition to disclosing the loans or debts owed to the committee within the reporting period, you must also report all previous loans or debts owed to the committee in every subsequent report **until the debt is extinguished**.

FILE NUMBER: Enter the file number assigned by the Election Division or County Election Board. Also, indicate the number of pages being used to complete this schedule. For example, "Page 2 of 2." This means this page is the second page of two pages used for this schedule.

BORROWER'S NAME AND MAILING ADDRESS: Enter the full name and mailing address of the person to whom the reporting committee has given a loan within the reporting period.

CO-SIGNER'S NAME AND MAILING ADDRESS: Enter the full name and mailing address of all co-makers, co-signers, co-endorsers, or endorsers, if the loan made by the reporting committee was secured by another entity.

ORIGINAL AMOUNT: Enter the principal amount the reporting committee initially loaned to another person.

NATURE OF DEBT: Enter the nature of the debt to be collected by the reporting committee. This requires a short description of the type of debt owed to the committee, such as a "loan."

DATE OBLIGATION INCURRED: Enter the month, day and year that initial loan of credit was made by the committee.

CUMULATIVE PAID YEAR-TO-DATE: Enter the total amount of principal repaid to the committee on a debt owed to the committee. Principal repaid on a debt owed to the committee is treated as a receipt and reported on Schedule A. If the interest is paid to the reporting committee on a loan, the amount of interest received for each reporting period is also to be treated as a receipt and reported on Schedule A.

OUTSTANDING BALANCE THIS PERIOD: Enter the outstanding balance of the debt to be collected by the committee. You must continue to report the outstanding balance of the debt to be collected by the committee on each report **until the debt is extinguished**.

SUBTOTAL THIS PAGE OF SCHEDULE E: Enter the subtotal for this page of Schedule E. If there is only one page of this schedule, the figure is the same as the **TOTAL OF ALL PAGES ON SCHEDULE E**.

TOTAL OF ALL PAGES OF SCHEDULE E ON THE LAST PAGE ONLY: Enter (*ON THE LAST PAGE ONLY*) the total amount of all pages on Schedule E. Also enter this figure on ITEM 20 of the Summary Sheet.



**SUPPLEMENTAL "LARGE CONTRIBUTION" REPORT
BY A CANDIDATE'S COMMITTEE
(\$1,000 CONTRIBUTIONS OR MORE)**

State Form 48492 (R4/11-05)
Indiana Election Commission (IC 3-9-5-20.1; 3-9-5-22)

(CFA-11)

FILE NUMBER

**TOTAL PAGES IN ENTIRE CFA-11
REPORT**

INSTRUCTIONS: Only candidates receiving a "large contribution" are required to file this report. Please type or print legibly **IN BLACK INK** all information on this form. For assistance in completing this form, see instructions on the reverse side.

COMMITTEE INFORMATION

1. Full Name of Candidate (include any nickname) <input type="checkbox"/> Check if this is a new name		2. Committee Telephone Number (_____)	
3. Mailing Address (address where all campaign finance correspondence is received) <input type="checkbox"/> Check if this is a new address			
4. City	State	ZIP Code	5. Party Affiliation or If Independent Candidate
6. Office Sought (include district number, if any. Not required for exploratory committee.)			7. County of Residence
8. Reporting Period: From: _____ Through: _____			

For classification, enter INDV for individual; PAC for political action committee; CORP for corporation; LAB for labor organization; NONE for all entries which are not one of the above categories.

CONTRIBUTOR'S FULL NAME AND OCCUPATION FULL MAILING ADDRESS (street, number, city, state, ZIP code)		TYPE OF CONTRIBUTION OR OTHER RECEIPT	COLUMN A AMOUNT OF CONTRIBUTION	DATE RECEIVED RECEIVED BY
Classification	1. Contributor's Occupation (if applicable) _____	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (describe) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc (specify) _____		
Classification	2. Contributor's Occupation (if applicable) _____	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (describe) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc (specify) _____		
Classification	3. Contributor's Occupation (if applicable) _____	Contributions: <input type="checkbox"/> Direct <input type="checkbox"/> In-Kind (describe) _____ Other Receipts: <input type="checkbox"/> Interest <input type="checkbox"/> Loan <input type="checkbox"/> Misc (specify) _____		

CERTIFICATION

FOR OFFICE USE ONLY

I CERTIFY THAT I HAVE EXAMINED THIS STATEMENT. TO THE BEST OF MY KNOWLEDGE AND BELIEF IT IS TRUE, CORRECT AND COMPLETE.

Signature of Treasurer	Title	Date (MM-DD-YY)
Signature of Candidate (if applicable)		Date (MM-DD-YY)

Warning: Any information contained in this report may not be copied for sale or used for any commercial purpose. (IC 3-9-4-5) A person who knowingly files a fraudulent report commits a Class D felony. (IC 3-14-1-13) A person who fails to file a complete or accurate report as required by the Indiana Campaign Finance Law commits a Class B misdemeanor (IC 3-14-1-14), and may be subject to civil penalties. (IC 3-9-4-16, IC 3-9-4-17, and IC 3-9-4-18)

INSTRUCTIONS FOR COMPLETING THIS FORM

This form is to be used by the treasurer of each candidate committee to report contributions under IC 3-9-5-20.1 or under IC 3-9-5-22, if a candidate for statewide office. This form consists of a single sheet to report "large contributions" that **total** at least \$1,000 received by a candidate's committee:

- (1) not more than twenty-five (25) days before a convention, primary, or election; and
- (2) no later than forty-eight (48) hours before the primary, election, or a convention.

Only candidate's committees that receive a "large contribution" that totals at least \$1,000 during this time period are required to file this report not later than 48 hours after the large contribution is received. Exception: See statewide candidate instructions below.

SPECIAL INSTRUCTIONS FOR STATEWIDE CANDIDATES: For statewide candidates, a "large contribution" **also** means a single contribution that is at least ten thousand dollars (\$10,000) that is received **at any time. This contribution must be reported to the Election Division not later than noon seven (7) days after it is received by the statewide candidate's committee.** (IC 3-9-5-22)

The spaces on this form have been numbered for your convenience and for easy reference to these instructions. The preparer should type or print legibly in BLACK INK all information required. The current version of this form must be used. (IC 3-5-4-8)

You must complete each applicable item on this form. If additional pages are needed, attach copies of this form to the first page. Candidate and committee general information is not necessary to repeat on any additional pages. **The contributions reported in this "supplemental" report must be included in the next CFA-4 report filed for this committee.**

FILE NUMBER: Enter the number previously assigned by the Election Division or County Election Board for this committee.

ITEM 1: Enter the full name of the candidate and include any nickname, particularly if the candidate's nickname may appear on the ballot.

ITEM 2: Enter the committee's telephone number, including area code. *(This will typically be the committee's daytime telephone number.)*

ITEM 3: Enter the mailing address of the committee. All correspondence with the committee relative to filings under the Campaign Finance Act will be mailed to this address, unless specified otherwise. Check if this is a new address.

ITEM 4: Enter the committee's city, state, and ZIP code. If known, include the ZIP plus four.

ITEM 5: If the candidate supports the philosophy and ideals of a particular political party, enter the political affiliation. If the candidate is not affiliated with a political party, enter "Independent." A committee to retain an incumbent *(such as a justice or judge)* should also enter "Independent." A write-in candidate should follow the same procedure, and enter either a political party or "Independent." **DO NOT** enter "Write-in."

ITEM 6: Enter the full name of the office being sought by the candidate *(include district number, if any)*. For example: "Indiana State Senator, District _____", "_____ County Sheriff", or "_____ City Common Council, District _____."

ITEM 7: Enter the candidate's county of residence.

ITEM 8: This report supplements a report previously filed by the committee for the committee's most recent reporting period. Enter the period covered by the supplemental report. For example, From: April 10, 2002 Through: April 30, 2002.

CONTRIBUTOR'S NAME, MAILING ADDRESS, AND OCCUPATION CLASSIFICATION

Enter the full name and mailing address of the contributor. For classification, enter INDV for individual; PAC for political action committee; CORP for corporation; LAB for labor organization; NONE for all entries which are not one of the above categories.

IMPORTANT: When entering the name of a contributor, it is imperative to list the full name of the entity. Since contributions by corporations and labor organizations are limited by state law (IC 3-9-2-4), this is particularly important to avoid confusion between a contribution from a corporation and from that corporation's political action committee. For example, if you receive a contribution for "ABC Corporation PAC," do not enter the name of the contributor as "ABC Corporation." The same is true for labor organizations and their PACs. You must state clearly whether a contribution came from the "United Thumbtack Workers Union" or its political action committee, "STICKPAC."

If the contributor is an individual, enter the specific occupation of that individual. Examples: "Attorney", "Banker", or "Cook", NOT "Consultant."

TYPE OF CONTRIBUTION: Check the appropriate box. For in-kind contributions, describe the general product or service provided *(such as yard signs, bumper stickers, or mailings, etc.)*. For "miscellaneous," be as specific as possible.

AMOUNT OF CONTRIBUTION: Enter the amount of each "large contribution," including transfers-in, in-kind contributions, loans, or other receipts.

CERTIFICATION: The treasurer of the candidate's committee must sign this report. If a person other than the candidate serves as treasurer of a candidate's committee, both the candidate and the treasurer must sign this certification.

Wednesday, July 23, 2014

First day to file a petition of nomination and consent for a school board member chosen at the general election.

Wednesday, August 6

First day to file a declaration as a write-in candidate for school board.

Friday, August 22, 2014

DEADLINE, by noon, to file a petition for a school board office elected at the general election.

DEADLINE, by noon, to file a declaration as a write-in candidate for school board.

Saturday, September 20, 2014

DEADLINE for the county election board to mail general election absentee ballots to voters who have already filed an application with the county election boards.

Monday, October 6, 2014

DEADLINE, at county voter registration office's close of business for a voter to register or to transfer registration in the county voter registration office.

Tuesday, October 7, 2014

First day that a voter may vote an absentee ballot before an absentee voter board in the office of the circuit court clerk.

Friday, October 10, 2014

End of pre-election campaign finance reporting period. (except candidates for statewide office)

Friday, October 17, 2014

DEADLINE, by noon, to file pre-election campaign finance reports. (except candidates for statewide office)

Thursday, October 23, 2014

First day a confined voter, a voter caring for a confined person at a private residence, or a voter with disabilities may vote an absentee ballot before an absentee voter board at the voter's residence or place of confinement.

Saturday, October 25, 2014

Absentee voter board in the office of circuit court clerk must be open at least 7 hours to permit absentee voting. However, in a county with a population of less than 20,000, the county election board may reduce hours to a minimum of 4 on this date.

Monday, October 27, 2014

DEADLINE, by 11:59 p.m. for the circuit court clerk to receive mailed, hand-delivered, or faxed absentee ballot applications requesting to vote absentee by mail.

Saturday, November 1, 2014

Absentee voter board in the office of the circuit court clerk must be open for at least 7 hours to permit absentee voting. However, in a county with a population of less than 20,000, the county election board may reduce hours to a minimum of 4 on this date.

Monday, November 3, 2014

DEADLINE, by noon, for the circuit court clerk to receive mailed, hand-delivered or faxed absentee ballot applications from confined voters or voters caring for a confined person requesting delivery of a ballot by an absentee voter board.

DEADLINE, by noon, for a voter to file an absentee ballot application with the circuit court clerk to vote in-person in the clerk's office.

DEADLINE, 11:59 p.m., for a confined voter, a voter caring for a confined person, or a voter with disabilities to vote an absentee ballot before an absentee voter board at the voter's place of confinement.

Tuesday, November 4, 2014

GENERAL ELECTION DAY

Polls are open 6:00 a.m. to 6:00 p.m., prevailing local time.

Tuesday, November 18, 2014

DEADLINE, by noon, for a candidate to file a verified election recount or contest petition.

Monday, December 1, 2014

Voter Registration Opens

First day the circuit court clerk may receive absentee ballot applications from most voters for the 2015 municipal primary election.

Monday, December 31, 2014

End of annual reporting period for 2014 for campaign finance reports.

Wednesday, January 21, 2015

DEADLINE, by noon, for all candidate committees, legislative caucus committees, and political action committees to file annual campaign finance reports for 2014.

2014 Indiana Election Calendar



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(317) 232-3939 * (800) 622-4941
www.in.gov/sos/elections
Revised May 2013

This brochure reflects Indiana law as of May 2013. Election law dates are subject to change by the 2014 session of the Indiana General Assembly.

This condensed version of the official 2014 election calendar is intended for the use of the general public. Where your legal rights are involved, do not rely only on this calendar.

As used in this brochure, "circuit court clerk" refers to the director of the Lake County Board of Elections and Registration in that county.

As used in this brochure, "county election board" includes the office of the circuit court clerk, the Lake County Board of Elections and Registration and the Tippecanoe Board of Elections and Registration.

As used in this brochure, "county voter registration office" includes the office of the circuit court clerk, and the county board of voter registration in a county where a separate voter registration board has been created.

"Noon" refers to noon, local prevailing time, unless otherwise specified.

Monday, December 2, 2013

First day the office of a circuit court clerk may receive absentee ballot applications from most voters for the 2014 primary.

Wednesday, January 8, 2014

First day a declaration of candidacy for major political party primary nomination (or as Democratic Party precinct committeeman, or state convention delegate at the primary) may be filed.

First day an independent or minor party candidate may file a petition of nomination with a county voter registration office for certification of petition signatures.

First day to file a declaration of intent to be a write-in candidate at the general election for an office other than school board.

Wednesday, January 15, 2014

DEADLINE, by noon, for all candidate committees, legislative caucus committees, and political action committees to file annual campaign finance reports for 2013.

Friday, February 7, 2014

DEADLINE, by noon, to file a declaration of candidacy for the primary

Monday, February 10, 2014

DEADLINE, by noon, to file a withdrawal of candidacy for the primary election.

Monday, March 3, 2014

DEADLINE, by noon, for regular party committees to file 2013 annual campaign finance reports.

Saturday, March 22, 2014

DEADLINE for a county election board to mail primary election absentee ballots to voters who have already filed an application with the county election board.

Monday, April 7, 2014

DEADLINE, at county voter registration office's close of business for a voter to register or to transfer registration in the county voter registration office.

Tuesday, April 8, 2014

First day a voter may vote an absentee ballot before an absentee voter board in the office of the circuit court clerk.

Friday, April 11, 2014

End of pre-primary campaign finance reporting period for all candidates (except candidates for statewide office).

Monday, April 21, 2014

DEADLINE, by noon, for filing pre-primary campaign finance reports to be filed by all candidates (except candidates for statewide office).

Thursday, April 24, 2014

First day a confined voter, a voter caring for a confined person at a private residence, or a voter with disabilities may vote an absentee ballot before an absentee voter board at the voter's residence or place of confinement.

Saturday, April 26, 2014

Absentee board in office of the circuit court clerk must be open for at least 7 hours for absentee voting. However, in a county with a population of less than 20,000, the county election board may reduce hours to a minimum of 4 on this date.

Monday, April 28, 2014

DEADLINE, by 11:59 p.m. for the circuit court clerk to receive mailed, hand-delivered, or faxed absentee ballot applications requesting to vote absentee by mail.

Saturday, May 3, 2014

Absentee board in office of the circuit court clerk must be open for at least 7 hours to permit absentee voting. However, in a county with a population of less than 20,000, the county election board may reduce hours to a minimum of 4 on this date.

Monday, May 5, 2014

DEADLINE, by noon, for the circuit court clerk to receive mailed, hand-delivered or faxed absentee ballot applications from confined voters or voters caring for a confined person requesting delivery of a ballot by an absentee voter board.

DEADLINE, by noon, for a voter to file an absentee ballot application with the circuit court clerk to vote in-person in the clerk's office.

DEADLINE, 11:59 p.m., for a confined voter, a voter caring for a confined person, or a voter with disabilities to vote an absentee ballot before an absentee voter board at voter's place of confinement.

Tuesday, May 6, 2014**PRIMARY ELECTION DAY**

Polls are open 6:00 a.m. to 6:00 p.m., prevailing local time.

Tuesday, May 20, 2014

DEADLINE, by noon, for a candidate to file a verified election recount or contest petition.

VOTER REGISTRATION OPENS**Tuesday, May 20, 2014 (contintued)**

First day the circuit court clerk may receive absentee ballot applications from most voters for the general election.

Monday, June 30, 2014

DEADLINE, by noon, for the Democratic or Republican Party to fill a vacancy on the general election ballot due to primary election ballot vacancy.

DEADLINE, by noon, for an independent or minor party candidate to file a petition of nomination with a county voter registration office for certification of petition signatures.

Thursday, July 3, 2014

DEADLINE, by noon, for filing a certificate stating that a major party vacancy on the general election ballot resulting from a vacancy on the primary election ballot has been filled.

DEADLINE, by noon, to file a declaration of intent to be a write-in candidate at the general election for an office other than school board.

Tuesday, July 15, 2014

DEADLINE, by noon, for a candidate nominated at the primary election, a candidate who has filled a vacancy, or a write-in candidate, to voluntarily withdraw.

DEADLINE, by noon, for the Democratic, Libertarian and Republican Parties to file a certificate of nomination of candidates nominated at the state party conventions

DEADLINE, by noon, for independent or minor party candidate to file a declaration of candidacy and petition of nomination after certification of petition signatures

However, a political action committee soliciting funds to pay its administrative costs is not required to include the disclaimer required by *state law* since these “administrative costs” are not “contributions” under Indiana law. (IC 3-5-2-15(e))

Does the disclaimer have to appear on ALL printed materials or campaign items?

No. The disclaimer is not required on bumper stickers, pins, buttons, pens, and similar small items where a disclaimer cannot be conveniently printed. The disclaimer is not required on wearing apparel or on committee checks and receipts. Certain communications (direct mailings of 100 or less similar pieces of mail, or communications by the PAC of a corporation or labor union requesting contributions from stockholders or labor union members) are not required to contain disclaimers.

What are some examples of political materials and literature requiring disclaimers?

Newspaper advertisements, billboards, signs, posters, **yard signs**, (whether homemade or commercially printed), portable billboards, brochures, leaflets, circulars, letterheads and direct mail pieces sent to more than 100 persons.

Is there a penalty for circulating or publishing literature or other material concerning a candidate without the required disclaimer?

Yes. The penalty is a Class A misdemeanor, up to a \$5,000 fine or 1 year in jail or both. (IC 3-14-1-3)

What is the proper procedure to report violations for circulating or publishing materials without a disclaimer?

You must file a written complaint with the appropriate county election board or prosecuting attorney.

May political signs be posted on utility poles or public property?

Political signs may not be posted or placed on **ANY** other person’s property, including a highway right-of-way and on utility poles, **without the property owner’s permission.** Placing political signs with the approval of the property owner may be subject to local zoning regulations. **Ask your local plan commission for more information.**

An unauthorized sign placed in a highway right-of-way is a public nuisance. The sign may be removed only by the authority having jurisdiction over the highway. (IC 9-21-4-6) Contact the appropriate office (the city or town street department, county highway department or state department of transportation) for assistance.

Inquiries regarding posting political signs and materials on other public property can be directed to the authority having control over the public property, such as the town council, mayor, or the county commissioners’ office. Except in voter registration offices, there is no state law that prohibits the display of political signs or literature on public property. However, if political signs or literature are displayed for one candidate or party, then all candidates and parties have the same right to display signs or literature on the public property.

Who has the authority to remove or confiscate materials and literature without a disclaimer?

Only appropriate law enforcement authorities acting under proper legal authority.

Is there a penalty for removing political signs without authority to do so?

Removing signs without the authority to do so may be criminal conversion. (IC 35-43-4-3). *Buzzell v. State*, 636 N.E.2d 158 (1994) Consult your personal attorney if you need information.

**Political Signs
And
“Disclaimer”
Requirements
For Political Literature
And Advertisements**



**Published by the
Indiana Election Division
302 West Washington Street, Room E-204
Indianapolis, IN 46204
(317) 232-3939 * (800) 622-4941
www.in.gov/sos/elections**

Revised December 2011

This brochure discusses requirements governing individuals, organizations, or committees who purchase advertisement time or space or circulate or publish material in support of or in opposition to a candidate, a political party, or a public question. The information in this brochure is based on Indiana law as of November 2013. Where your legal rights are involved, do not rely on this brochure. Instead, review the law yourself or consult your attorney.

WHAT is a “disclaimer”?

A disclaimer identifies **who** paid for certain political material and **whether** any candidate approves of the material if the material is paid for by someone other than the candidate.

Must political messages on radio, television, or cable broadcasts include a disclaimer?

In general, these media are regulated by federal law, not Indiana law. For information about disclaimers for radio, television, or cable, contact the Federal Communication Commission (FCC) at (202) 418-1440 or visit www.fcc.gov. Contact the Federal Election Commission (FEC) at (800) 424-9530 or visit www.fec.gov for information about disclaimers on web sites or when using email lists.

Must political messages in literature or other material concerning candidates for federal offices include a disclaimer?

Disclaimers on this type of literature or material are governed by federal law. Contact the Federal Election Commission for information.

Must political messages concerning candidates for state, local, or school board offices include a disclaimer on literature or material concerning the candidate?

All persons must print a disclaimer on literature and other material if the material clearly identifies a candidate for these offices and expressly advocates the election or defeat of a clearly identified candidate. This requirement applies to all individuals and political organizations, whether or not the individual or organization is required to file campaign finance reports. (IC 3-9-3-1)

Must political messages concerning candidates for selection to fill a vacant office or ballot position at a party caucus include a disclaimer?

Yes. The disclaimer law applies to all caucuses. However, the material must clearly identify a candidate and expressly advocate the selection of a

clearly identified candidate to fill an office or ballot vacancy, or the defeat of such a candidate.

What about precinct committeemen or state convention delegates elected at a primary?

No. A disclaimer is not required on literature or other material about candidates for these political party offices.

What about literature or material supporting or opposing a referendum?

No. A disclaimer is not required on literature or material concerning a public question.

WHEN is a disclaimer required on literature or material concerning a “clearly identified” candidate?

A disclaimer is required when the name, or a photograph or drawing of the candidate appears in the material or the identity of the candidate is apparent by unambiguous reference. (IC 3-9-3-2.5)

WHERE must the disclaimer appear?

The disclaimer must appear on the front face of a billboard. However, if a mailing or other communication contains more than one page, the disclaimer can appear on either the front page or an inside page. The disclaimer is not required to be placed on each page of a document.

Are there SIZE and COLOR contrast requirements?

Yes, New in 2011, a disclaimer must be at least 7 point font and the color of the disclaimer must contrast with the background color. The disclaimer cannot be difficult to read or easily overlooked, and must be presented in a clear and conspicuous way. Violators can now be fined up to \$1,000.

WHAT does the disclaimer have to state?

The language required for the disclaimer depends on who authorized and who paid for the literature or material. The individual, organization, or committee must include the following statement or the equivalent as a disclaimer:

(1) If both authorized and paid for by the candidate or candidate’s committee or an agent of the committee:

Paid for by Doe for State Senate Committee

(2) If authorized by the candidate but paid for by someone other than the candidate, or the candidate’s committee agents:

Paid for by ABC PAC, or (ABC Political Party, or ABC Corporation, or ABC Labor Union, or ABC Association, or Mary Smith, voter) and authorized by Doe for Sheriff Committee.

(3) If not authorized or paid for by the candidate, the candidate’s committee or its agents:

Paid for by John Doe, Mary Parker and Bill Jones, and not authorized by any candidate or candidate’s committee.

(4) If a regular party committee distributes a slate card, or sample ballot with three or more candidates listed; campaign materials such as handbills, posters, and brochures to be used by political party volunteers; materials distributed by party volunteers for a get-out-the-vote drive:

Paid for by Tecumseh County ABC Party Committee.

(5) If a political committee (other than a candidate’s committee) solicits contributions from the public:

Paid for by Committee for Good Government PAC.

along with the statement concerning tax deductions in (6) below.

Must a disclaimer appear in all literature and advertisements soliciting contributions?

(6) A communication asking for contributions sent by a committee with gross receipts over \$100,000 in a taxable year must include **both** the appropriate disclaimer and the following statement concerning income tax deductions:

Contributions or gifts to the _____ (insert the name of the committee) are not deductible as charitable contributions for federal income tax purposes.

2014 Indiana Candidate Guide



Published by the
Indiana Election Division
302 West Washington Street
Indiana Government Center South, Room E-204
Indianapolis, IN 46204-2743
(317) 232-3939 * (800) 622-4941 in Indiana
FAX: (317) 233-6793
www.in.gov/sos/elections

Important Note about Using the 2014 Indiana Candidate Guide

This publication is not a legal document. It does not replace the Indiana Election Code. Every effort has been made to ensure the accuracy of the information contained in this publication. However, this Guide should be used only in conjunction with the election statutes.

If any inconsistency exists between this publication and the election statutes, the statutory language governs.

Most statements in this Guide are followed by a statutory cite, such as “IC 3-8-2-5.” The “IC” stands for Indiana Code and the numbers following “IC” refer to the title, article, chapter, and section of an Indiana statute (e.g. “IC 3-8-2-5” means Indiana Code title 3, article 8, chapter 2, section 5).

Consult the Indiana Code and the 2013 Indiana Election Code to check for changes or updates to the election statutes. Become familiar with the laws governing your candidacy and the office you seek. The 2013 version of the Indiana Code is available on the Internet at www.in.gov/legislative/ic/code.

The information in this Guide reflects Indiana law as of September 1, 2013. However, since election laws may be changed each year, **consult with your personal attorney** to make certain you know and understand the most current version of the law.

The Indiana Election Division cannot provide legal advice to you as a candidate. You must retain your own attorney.

The Election Division cannot provide information concerning the specific duties or responsibilities of a local government office. For information on this subject, contact:

Association of Indiana Counties
101 West Ohio Street
Indianapolis, IN 46204
(317) 684-3710
www.indianacounties.org

Indiana Association of Cities & Towns
Station Place
200 South Meridian Street, Suite 340
Indianapolis, IN 46225
(317) 237-6200
www.citiesandtowns.org

Indiana Township Association
PO Box 611
Fishers, IN 46038
(317) 813-3240
www.indianatownshipassoc.org

Note about Lake County and Tippecanoe County Boards of Elections and Registration: Each county, with the exception of Lake County and Tippecanoe County, has a county election board. In Lake and Tippecanoe Counties, separate state statutes govern the organization of the county board of elections and registration. (IC 3-6-5.2 (Lake County); IC 3-6-5.4 (Tippecanoe County)) For Lake and Tippecanoe Counties, references in this Guide to a “county election board” (for candidate filing purposes for example), refers to the boards of elections and registration in Lake County and Tippecanoe County. References to circuit court clerk refer to the Lake County election director and the office of the Tippecanoe County board of elections and registration.

Please feel free to contact the Indiana Election Division with any questions about this Guide or information concerning candidates.

Indiana Election Division Staff
317.232.3939 or 1.800.622.4941 in Indiana
www.in.gov/sos/elections

Trent Deckard, Division Co-Director
J. Bradley King, Division Co-Director
Leslie Barnes, Co-General Counsel
Dale Simmons, Co-General Counsel
Abigail Taylor, Campaign Finance Coordinator
Michelle Thompson, Campaign Finance Coordinator
Michelle Brzycki, Precinct Mapping and Voter Registration
Lori Clark, Precinct Mapping and Voter Registration
Kimmy Hollowell-Williams, Executive Assistant
Candy Metcalf, Administrative Assistant

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GENERAL INFORMATION

All state offices that receive election-related filings are located within a short distance of the intersection of West Washington Street and Capitol Avenue (the southeast corner of the State House lot). This section includes a list of references containing addresses, telephone numbers, and e-mail addresses for various federal and state entities mentioned in this Candidate Guide.

The Indiana Election Division is located on the second floor of the Indiana Government Center South (IGCS) Building, 302 West Washington Street, Indianapolis, Indiana. The IGCS building is located directly west of the State House on West Washington Street. The Election Division is open from 8:30 a.m. until 5:00 p.m. each business day.

The office of the Clerk of the Indiana House of Representatives and the Secretary of the Indiana Senate are located on the third floor of the State House (one floor above street level). The Clerk's office is adjacent to the House chamber on the east side of the third floor. After entering the House offices, go up one flight of stairs to Level 3-A. The Secretary's office is adjacent to the Senate chamber on the west side of the third floor. The Clerk's office and Secretary's office are open from 8:30 a.m. until 4:30 p.m.

The Office of the Inspector General is located at 315 West Ohio Street, Room 414, Indianapolis, Indiana. This office is open from 8:00 a.m. until 4:30 p.m.

The office of State Court Administration is located at 30 South Meridian Street, Suite 500 (in the first block south of Washington Street). This office is open from 8:30 a.m. until 4:30 p.m. each business day.

PARKING AND SECURITY

On-street parking is available on West Washington Street directly south of the State House. Cars parked in restricted spaces after 3:00 p.m. will be towed. Parking garages are also available.

Public access to the State House is on the west entrance. Public access to the Indiana Government Center South is on the Washington Street side. Weapons of any kind are prohibited.

ELECTION FORMS

Several candidate-related election forms are included in this Guide. On December 16-18, 2013, the Election Division will provide a copy of all election related forms to each circuit court clerk. These forms will then be available from county election board offices. However, please allow time for the circuit court clerk to arrange for the printing and delivery of copies of these forms following the December distribution date.

This Candidate Guide along with the candidate forms will also be available from the Election Division's office and on the Division's website at www.in.gov/sos/elections.

Indiana Code 3-5-4-8 provides that a person must use the most recent version of any form approved by the Indiana Election Commission to comply with the election statutes.

IC 3-5-4-8(c) states that the election division, an election board, a circuit court clerk, a county voter registration office, or any other official responsible for receiving an election filing **shall reject** a filing that is not on the most recent version of a state prescribed form.

For this reason, it is CRITICALLY IMPORTANT to ensure that a candidate complies with Indiana Code 3-5-4-8 before filing a document required or permitted by the election code.

Each state prescribed form contains a state form number and a revision date, usually in the upper left or upper right corner of the form, for example: "SF 46439 (R6/06-13)." This provides a method to quickly determine which version of a form has been provided. For more information concerning the current version of any state prescribed election form, contact the Election Division.

IMPORTANT FILING DEADLINE INFORMATION

A state or local election official must reject an election filing that is presented after the deadline fixed by election law for the filing. This requirement to reject a late filing does not apply to filings which election law **allows** to be filed late, such as campaign finance reports and voter registration applications. IC 3-5-4-1.9.

IMPORTANT VOTER REGISTRATION INFORMATION

Candidates sometimes provide voter registration applications to potential voters. If the candidate keeps the completed application, the candidate is responsible for ensuring that the completed application is received by the appropriate county voter registration office **NO LATER THAN NOON, 10 DAYS AFTER RECEIPT or THE REGISTRATION DEADLINE for the PRIMARY ELECTION (close of business on April 7, 2014) or the GENERAL ELECTION (close of business on October 6, 2014), whichever occurs first.** A candidate who recklessly fails to file the completed applications is subject to penalties under federal and state law.

STATE AND FEDERAL ELECTION REFERENCES

State Offices

Indiana Election Division Office of the Secretary of State Indiana Government Center South, E-204 302 West Washington Street Indianapolis, IN 46204 (317) 232-3939 * (800) 622-4941 www.in.gov/sos/elections	Secretary of State Administrative Division 200 West Washington Street State House, Room 201 Indianapolis, IN 46204 (317) 232-6531 www.in.gov/sos	Inspector General Indiana State Ethics Commission 315 West Ohio Street, Room 414 Indianapolis, IN 46204 (317) 232-3850 www.in.gov/ethics
Principal Clerk Indiana House of Representatives State House, Room 3A-8 200 West Washington Street Indianapolis, IN 46204 (317) 232-9974 www.in.gov/legislative	Principal Secretary Indiana State Senate State House, Room 3A-N 200 West Washington Street Indianapolis, IN 46204 (317) 232-9421 www.in.gov/legislative	State Court Administration 30 South Meridian Street, Suite 500 Indianapolis, IN 46204-3466 (317) 232-2542 www.in.gov/judiciary

Federal Offices

U. S. Election Assistance Commission 1201 New York Avenue N.W. Suite 300 Washington, DC 20005 (202) 566-3100 * (866) 747-1471 www.eac.gov	Federal Election Commission 999 E Street, N.W. Washington, D.C. 20463 (800) 424-9530 * (202) 694-1100 www.fec.gov	House Standards of Official Conduct Committee 1015 Longworth House Office Bldg. Washington, D.C. 20515 (202) 225-7103 www.house.gov/ethics/	Secretary of the Senate Office of Public Records 220 Hart Office Building Washington, D.C. 20510
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Political Parties

Democratic State Central Committee 115 West Washington Street, Suite 1165 Indianapolis, IN 46204 (317) 231-7100 or (800) 223-3387 www.indems.org	Libertarian Party of Indiana 737 East 86 th Street Indianapolis, IN 46240 (317) 920-1994 www.lpin.org	Republican State Central Committee 47 South Meridian Street, 2 nd Floor Indianapolis, IN 46204 (317) 635-7561 or (800) 466-1087 www.indgop.org
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PLACEMENT ON THE BALLOT

Candidate Challenges

The placement of any individual on the primary or general election ballot may be challenged if the individual has not complied with the requirements set forth for candidates under Indiana law.

Candidate challenges concerning individuals who file as candidates for federal, statewide, state legislative, or judicial offices, or the office of prosecuting attorney come before the Indiana Election Commission for resolution.

Candidate challenges concerning individuals who file as candidates for circuit court clerk, county offices, township offices, town offices, school board offices, precinct committeeman or state convention delegate come before the appropriate county election board for resolution.

Before the Indiana Election Commission or a county election board may consider a challenge to a candidate, a registered voter of the election district that the candidate seeks to represent must file a sworn statement with the Election Division or the county election board. The sworn statement must question the eligibility of the candidate to seek the office and set forth the facts known to the voter concerning this question. (IC 3-8-1-2) The CAN-1 form may be used for a candidate challenge. A CAN-1 is included under the *Candidate Forms* tab of this Guide.

There is one exception to the requirement that a registered voter of the election district must file a candidate challenge. The secretary of state or a circuit court clerk must determine whether a sufficient number of valid signatures have been obtained to meet the requirements to nominate a candidate by petition. If the secretary of state or clerk determines, based on the certification of the signatures by the county voter registration office, that the petition does not have enough valid signatures to nominate the candidate(s) on the petition, the secretary of state or the clerk must deny the certification to the petitioners. An appeal of this denial can then be brought before the Commission or county election board by the candidate by filing the CAN-1 Form. (IC 3-8-1-2; IC 3-8-2.5-6; IC 3-8-6-12)

The Indiana Election Commission or county election board must determine the validity of the candidate's filing. State law specifies the various deadlines before the primary election or general election by which a challenger must file a challenge with the Commission or board, and the deadlines by which the Commission or board must make this determination. (See IC 3-8-2-14 (primary candidates); IC 3-8-2.5-7 (school board candidates); IC 3-8-6-14 (independent and minor party candidates); IC 3-13-1-16.5 (candidates who fill "early ballot" vacancies); and IC 3-13-2-11 (candidates who fill "late ballot" vacancies); IC 3-8-2-14 (write-in candidates))

The Commission and county election boards will make every effort to notify candidates and other interested parties as promptly as possible when a challenge has been filed. However, due to the short period of time between the close of candidate filings and the printing of absentee ballots, the Commission or board may need to rely on informal methods such as telephone calls to give the best possible notice to these individuals. If a candidate appears before the Commission, and does not file a written objection concerning notice before the end of that meeting, any objection to notice is waived. (IC 3-8-2-18)

Except as described above for notice requirements, the Commission conducts its proceeding concerning candidate challenges in accordance with the State Administrative Orders and Procedures Act. (IC 4-21.5) County election board meetings concerning candidate challenges are public meetings, for which notice must be given in accordance with the Open Door Law. (IC 5-14-1.5) Except for requirements set forth in the Open Door Law, county election boards are not required to follow specific procedures in conducting these meetings.

The Election Division cannot give legal advice or assistance to candidates who are challenged before the Commission or a county election board. The candidate must seek the advice and representation of a personal attorney in these cases.

If an attorney appears before the Election Commission regarding a candidate challenge, the Commission requests that the attorney file a notice of appearance with the Election Division prior to the meeting. The appearance form may be adapted from that used in judicial proceedings.

If a candidate or other interested party objects to the determination of the Commission or a county election board, the candidate or interested party may appeal the determination to an appropriate court for a decision in the same manner that other administrative decisions are appealed. An appeal from a decision of a county election board must be filed with the appropriate circuit court clerk not later than thirty (30) days after the election board makes the decision subject to the appeal (IC 3-6-5-34; 3-6-5.2-9; 3-6-5.4-10).

If a candidate selected to fill a ballot vacancy is subject to a candidate challenge, the candidate's name shall not be printed on the general election ballot until the Commission or a court resolves the challenge. (IC 3-13-1-16; IC 3-13-2-9)

Removal of Candidate for Statewide or State Legislative Office from the General Election Ballot

A different law applies concerning the removal of a candidate for a statewide or state legislative office from the general election ballot. A registered voter of the relevant election district may challenge the qualifications of a candidate to remove the candidate from the ballot. The challenge must:

- (1) be filed with the Election Division not later than 74 days before the general election;
- (2) be a sworn statement questioning the qualifications of the candidate; and
- (3) set forth the facts known by the challenger concerning this question.

The Indiana Election Commission shall conduct and conclude its hearing on the challenge within 3 business days after the challenge is filed with the Election Division. The Commission shall announce its determination not later than one (1) business day after the conclusion of the hearing. If the Commission does not announce its determination by this deadline, the Commission is considered to have dismissed the challenge.

A candidate may not be challenged under this procedure if:

- (1) the candidate was previously challenged using this procedure;
- (2) the challenge under this procedure would be for the same reasons as the previous challenge to the candidate; and
- (3) the Indiana Election Commission already has conducted a hearing on the challenge and made a final determination in favor of the candidate.

After the Commission has made a final determination of the challenge, the challenged candidate or the challenger may appeal the Commission's determination, including a dismissal due to the Commission's failure to make a determination by the deadline. An appeal must be filed directly with the Indiana Court of Appeals under the same terms, conditions, and standards that apply to other civil appeals.

In any event, at noon, 60 days before the election, any challenge that is pending before the Commission or the Court of Appeals is dismissed and the name of the challenged candidate may not be removed from the general election ballot, and another individual may not be named to replace the challenged candidate on the ballot, and all votes cast for the challenged candidate must be counted and reported under the name of the challenged candidate. (IC 3-8-8)

This law also places a time limit on candidate withdrawal regardless of the reason for the withdrawal. If a candidate attempts to withdraw as a candidate later than noon 60 days before the general election, the candidate may not be removed from the ballot, or replaced by another individual on the ballot. All votes cast for a candidate who attempts to withdraw later than noon 60 days before the general election are counted

and reported under the name of the candidate.

If a candidate who attempted to withdraw later than noon 60 days before the general election: (1) receives the most votes at the general election; and (2) is determined to be disqualified as a candidate, a vacancy in the office occurs. The resulting vacancy shall be filled as if an eligible candidate of the same political party as the disqualified candidate had been elected, and in the manner otherwise provide by law (a caucus of precinct committeemen under IC 3-13-5 for a state legislative candidate, for example.) (IC 3-8-8-8)

Candidate Names and Nicknames

An individual filing as a primary election, convention, minor or independent, or write-in candidate must list the individual's name on the candidate filing **in the same form as the individual wants the name to appear on the ballot and the candidate's name is permitted to appear on the ballot under IC 3-5-7.** (IC 3-8-2-2.5; IC 3-8-2-7; IC 3-8-5-10.5; IC 3-8-6-5; IC 3-8-7-10; IC 3-10-2-15)

A candidate is only permitted to use certain "designations" for the form in which the candidate's legal name appears on the ballot.

To implement this requirement, a candidate's "designation" is defined as referring to the name, nickname, initial, abbreviation, or number used to identify the individual. However, a designation may not be a title or degree, or imply a title or degree. A candidate's "name" refers to any of the following: (1) the candidate's given name; (2) the candidate's surname; and (3) the candidate's middle name. (IC 3-5-7)

To determine a candidate's "legal name" for ballot placement purposes, the candidate's legal name is the name shown on the candidate's birth certificate. If a candidate takes another name through a judicial proceeding or uses a name after marriage in the manner described below, then the most recent name used after marriage or taken in the judicial proceeding is considered the candidate's legal name. If a candidate changes the candidate's legal name after a candidate is nominated, the candidate shall file a statement with the office where the candidate previously filed the declaration of candidacy or certificate of nomination setting forth: (1) the former legal name; (2) the current legal name; and (3) how the candidate's legal name was changed.

A candidate's legal name after marriage can be any one of the following: (1) the name appearing on the candidate's birth certificate (as in *Mary Jane Doe*, for example); (2) the name used by the candidate on the application for a marriage license, (as in *John Smith*, for example); or (3) any combination of the names that the candidate or the candidate's spouse used as applicants for the marriage license, (as in *Mary Jane Smith*, *Mary Doe Smith*, or *John Smith-Doe*, for example).

First Designation: Assume a candidate has the legal name of Judith Anne Smith with the nickname of Judy. The first designation used on the ballot may be any one of the following: (1) the candidate's legal given name (*Judith*); (2) the initial of the candidate's legal given name (*J*); (3) the candidate's legal middle name (*Anne*); (4) the initial of the candidate's legal middle name (*A*); or (5) the candidate's nickname (*Judy*).

Second Designation: The second designation used on the ballot may be any one of the following, *without repeating any designation used as the first designation*: (1) the candidate's legal middle name (*Anne*); (2) the initial of the candidate's legal middle name (*A*); (3) the candidate's nickname (*Judy*); or (4) the candidate's legal surname (*Smith*).

Third Designation: The third designation used on the ballot may be any one of the following, *without repeating any designation already used as the first or second designation*: (1) the candidate's nickname (*Judy*); or (2) the candidate's legal surname (*Smith*).

The following are examples of acceptable candidate name designations:

Judith Anne Smith
J. Anne Smith

Judith A. Smith
Judith Smith
Anne Smith
J.A. Smith
J. Smith
A. Smith
Judith (Judy) Anne Smith
Judy Smith

A candidate can use the candidate's legal surname after the third designation if the candidate did not use the legal surname as the second or third designation. A candidate can also use *Sr.*, *Jr.*, or a numerical designation such as *II* or *III* after the candidate's legal surname.

A nickname used by a candidate on the ballot must:

- (1) be the nickname by which the candidate is commonly known;
- (2) not exceed twenty (20) characters in length; and
- (3) not imply a title or degree.

Unless the candidate uses the nickname as the first designation, the nickname must appear in parentheses. For example, *Judith (Judy) Anne Smith*.

EXAMPLES: A ballot listing of "John R. (Doc) Doe" would not be permitted since the nickname implies a title or degree. Likewise, a ballot listing would not be permitted if the selected nickname was NOT one by which the candidate was COMMONLY known. However, unless the candidate's filing is properly challenged regarding the candidate's name, and this issue brought before the Commission or a county election board for determination, the candidate's name will be placed on the ballot in the form used in the candidate's filing or certification.

Sometimes an individual may change his or her name after filing as a candidate. If the candidate wishes to change the candidate's legal name **before** absentee ballots are printed for the election, the candidate must file a statement with the office where the candidate's declaration of candidacy or certificate of nomination was filed. This statement must set forth the current and former name of the candidate, and indicate that the candidate has already filed a change of name request with the appropriate county voter registration office. After this statement is filed, the county election board will print ballots bearing the candidate's new name. (IC 3-8-7-25.5)

If a candidate's legal name is changed **after** absentee ballots are printed for an election the county election board is not required to reprint ballots to reflect the new name. (IC 3-11-3-29)

Candidate Vacancies

There are several reasons why a "candidate vacancy" may occur on a primary or general election ballot. However, the procedures and deadlines for filling these vacancies vary considerably.

If No Candidate Runs In a Major Party Primary

On occasion, no candidate will file for the Democratic or Republican Party nomination to an office before a primary election. If this occurs, the vacancy may **not** be filled before the primary. (IC 3-13-1-2)

Immediately following the primary election, the political party may begin the process of filling the ballot vacancy. However, no political party is ever **required** to fill a ballot vacancy, even if an individual wishes to run as a candidate for the vacant nomination.

Candidate vacancies for U.S. Senate and statewide offices are filled by the state committee of the political party (IC 3-13-1-3). If a candidate vacancy exists for U.S. House or state legislative candidates, the state chairman of a political party calls a caucus of the precinct committeemen within the district. For judicial offices, the office of prosecuting attorney, county offices, township offices, or town offices, the county

chairman calls a caucus of the precinct committeemen within the district. However, if the county committee has adopted a resolution to delegate this candidate vacancy filling authority to the county chairman (or to the chairman, vice-chairman, secretary, and treasurer of the county committee), then the candidate vacancy may be filled by direct appointment, without conducting a caucus. (IC 3-13-1-6; 3-13-1-7; 3-13-1-8)

If a chairman calls a caucus of the political party to fill a ballot vacancy, the chairman must employ a form (CAN-30) prescribed by the Indiana Election Commission. Instructions are included on the form. A CAN-30 is available from the Election Division's office and each circuit court clerk's office.

A person who wishes to be selected by the caucus to fill a ballot vacancy for a federal, statewide, state legislative office, judicial office, or the office of prosecuting attorney must file a CAN-31 form with **both** the caucus chairman (or state committee chair for U.S. Senator or statewide offices) and the Election Division. A person who wishes to be selected by the caucus to fill a ballot vacancy for circuit court clerk, county offices, township offices, or town offices must file a CAN-31 form with **both** the caucus chairman and the county election board. (IC 3-13-1-10.5) A CAN-31 is available from the Election Division's office and each circuit court clerk's office, and included under the *Candidate Forms* tab of this Guide.

The deadline for the Democratic or Republican Party to conduct a political party caucus or to make a direct appointment to fill a vacancy existing on the general election ballot **resulting from a vacancy on the primary election ballot** is noon, Monday, June 30, 2014 (IC 3-13-1-2; IC 3-13-1-7)

After the political party fills this vacancy, the chairman must file a written certificate with the Election Division if the nomination is for a federal office (CAN-27 form), a state legislative office (CAN-28 form) or a judicial office, (CAN-29 form), or an office of prosecuting attorney (CAN-29 form). The chairman must file a certificate with the circuit court clerk if the nomination is for the office of circuit court clerk a county office, a township office or a town office. (CAN-29 form) The CAN-28 and CAN-29 forms are available from the Election Division's office or each circuit court clerk's office. The certificate must be filed **no later than 12:00 noon, prevailing local time Thursday, July 3, 2014.** (IC 3-13-1-2; IC 3-13-1-7; IC 3-13-1-15)

Filling a Ballot Vacancy Due to the Death, Withdrawal or Disqualification of a Candidate

When a candidate dies, withdraws, or is disqualified under Indiana Code 3-8-1-5 due to a criminal conviction, or a court order issued under IC 3-8-7-29(d), the political party is permitted to fill the resulting vacancy IF it does so no later than thirty (30) days after the vacancy occurs. (IC 3-13-1-7)

The requirements discussed above for calling a caucus and filing a declaration of candidacy apply to filling this type of candidate vacancy. However, the political party chairman must file the certificate of candidate selection (CAN-28 or CAN-29 form) no later than three days (excluding Saturdays and Sundays) after the party fills the candidate vacancy. (IC 3-13-1-15) Special restrictions apply to statewide or state legislative candidates. (IC 3-8-8)

Late Vacancy Special Procedures

If a candidate dies, withdraws or is disqualified during the final 30 days before the election, state law provides special expedited procedures for filling the vacancy. In most cases, the state or county chairman of the political party of the county in which the greatest percentage of the population of the election district resides fills the candidate vacancy by direct appointment. (IC 3-13-2)

The same general procedures apply regarding the filing of a certificate of candidate selection in these cases. (IC 3-13-2-8)

If the political party fills a candidate vacancy during the final five (5) days before an election, state law does

not require a county election board to reprint ballots or use pasters to include the name of the successor candidate on the ballot. (IC 3-11-3-29.5)

Libertarian Party Candidates

If a candidate vacancy exists following a Libertarian Party state or county convention, the party's state committee may fill the vacancy.

The Libertarian Party must fill a vacancy existing on the general election ballot resulting from a vacancy for an office nominated by that party at a state or county convention no later than noon, Monday, June 30, 2014. (IC 3-13-1-20)

At least 10 days before filling the candidate vacancy, the state chairman of the Libertarian Party must file a notice of intent to fill the vacancy with the official who will receive the certificate of candidate selection filing (the Indiana election division or a circuit court clerk). (IC 3-13-1-20)

Once the Libertarian Party fills a vacancy for federal, statewide, state legislative, or judicial offices, or the office of prosecuting attorney, the state chair and secretary must file a certificate of nomination with the Election Division. **The Party must file the certificate no later than noon, Thursday, July 3, 2014. (IC 3-13-1-20)**

Once the Libertarian Party fills a vacancy for the office of circuit court clerk, county offices, township offices, or town offices, the county chair and secretary must file a certificate of nomination with the county election board. **The Party must file the certificate no later than noon, Thursday, July 3, 2014. (IC 3-13-1-20)**

If a vacancy occurs for any other reason, the same procedure applies, but the certificate must be filed no later than three days (excluding Saturdays and Sundays) after the selection of the candidate. (IC 3-13-1-20) Special procedures apply to candidate vacancies occurring within the final 30 days before the election and to statewide or state legislative candidates. (IC 3-13-2-12; IC 3-8-8)

Candidate Vacancies on a Petition of Nomination

If a candidate for federal, statewide, or state legislative offices does not affiliate with the Democratic Party, the Libertarian Party, or the Republican Party, and the candidate withdraws, dies, or is disqualified, the state chairman of the candidate's political party may fill the resulting candidate vacancy. The chairman can fill this vacancy at any time after a petition of nomination has been circulated or filed for certification by a county voter registration office by filing a statement with the Election Division. (IC 3-8-6-17) (CAN-40 form and CAN-20 form)

This statement must include the following:

- (1) The name of the individual who ceased to be a candidate.
- (2) The date and reason why the person ceased to be a candidate.
- (3) The name and written consent of the successor candidate.
- (4) If other individuals were also candidates on the same petition of nomination, the consent of each other candidate to the selection of the successor candidate.

For candidates nominated by petition for the office of circuit court clerk, county offices, township offices, or town offices, the county chairman must file the statement with the county election board. (IC 3-8-6-17)

The state or county chairman must file the statement no later than noon, Thursday, July 3, 2014. The CAN-40 form and CAN-20 form are available from the Election Division's office or each circuit court clerk's office. (IC 3-8-6-17)

A similar procedure applies to filling candidate vacancies for individuals nominated by petition for "small" town offices with a population of less than 3,500. The town chairman of the party must file a certificate of candidate selection with the county election board no later than **12:00 noon, prevailing local time, Thursday, August 28, 2014.** (IC 3-13-1-18)

Independent Candidates and Write-ins

An independent candidate may not include the name of any other candidate on the petition, unless the other candidate included on the petition is part of an independent ticket of candidates for President and Vice-President of the United States, or governor and lieutenant governor. (IC 3-8-6-4)

If a petition of nomination is circulated or filed by an independent candidate, another candidate may not be substituted on the petition of nomination. (IC 3-8-6-17)

Indiana law has no procedure for the replacement of a write-in or independent candidate.

CAMPAIGN RELATED VIOLATIONS AND ENFORCEMENT

A county election board may investigate and rule on questions concerning reported election law violations. If the county election board has substantial reason to believe that an election violation has or will occur, the board may conduct a hearing to resolve the issue. The county election board has the power to subpoena witnesses, and question those witnesses under oath. If, after affording due notice and an opportunity for a hearing, the county election board believes that an act constitutes or will constitute an election violation, the board may take whatever action it deems proper under the circumstances. This includes referring the matter to the attorney general for civil action or the county prosecuting attorney for criminal prosecution. (IC 3-6-5-31; 3-14-5-3)

Indiana law also requires that a county election board forward all voter challenge affidavits (PRE-4 forms) returned by precinct election officers following the close of the polls to the foreman of the grand jury when the jury is next in session and to forward photocopies of the affidavits to the Secretary of State. The grand jury is required to inquiry into the truth or falsity of the affidavits, and file a report of the results of its inquiry with the court. (IC 3-14-5-2) *Exception: This procedure does not apply to affidavits solely concerning an individual who failed to provide additional documentation as a "first time" voter under IC 3-7-33-4.5 but has since provided this documentation. (IC 3-14-5-1)*

Indiana election law provides that the following offenses are Class D felonies, which subject a person to up to three years of imprisonment, a \$10,000 fine, or both, upon conviction. Beginning July 1, 2014, these offenses are a Level 6 felony, punishable by up to two and one-half years of imprisonment, a \$10,000 fine, or both. The laws cited below should be studied carefully, since they may contain requirements or exemptions that are not set forth in detail in this summary.

- (1) Filing a declaration of candidacy or other similar document to place or remove a candidate from the ballot, knowing that any part of the document is falsely made. (IC 3-14-1-1)
- (2) Refusing to receive and record a declaration of candidacy or other similar document when presented in accordance with the election laws, or suppressing such a document that has been duly filed.(IC 3-14-1-1)
- (3) Using a government employer's property to solicit contributions, or advocate the election or defeat of a candidate or public question at any time, or to distribute campaign materials on government's real property during normal business hours. (IC 3-14-1-17)
- (4) Conspiring with a person to encourage an individual to submit a false registration application or to vote illegally. (IC 3-14-2-1)
- (5) Paying or accepting payment for applying for or casting an absentee ballot. (IC 3-14-2-1)
- (6) Paying or accepting payment for registering to vote or voting. (IC 3-14-2-1)
- (7) Soliciting a person known to be ineligible to vote to complete or submit an absentee ballot application. (IC 3-14-2-2.5)
- (8) Signing another person's name to an absentee ballot application that contains a false statement. (IC 3-14-2-3)
- (9) Signing another person's name to an absentee ballot application without writing on it the person's own name and address as an attesting witness. (IC 3-14-2-3)\
- (10) Knowingly making a false statement regarding one's name, residence, or voter identification number when signing a poll book or making an oral affirmation to a poll worker. (IC 3-14-2-11)
- (11) Hiring or soliciting a person to go into a precinct for the purpose of voting when the person hired or solicited is not a voter of the precinct. (IC 3-14-2-13)
- (12) Receiving from a voter a ballot prepared for voting, except by an inspector, county election board member, absentee voter board member, or a member of the voter's household or an individual designated as the attorney in fact for the voter, or an employee of the United States Postal Service or a bonded courier company when delivering an envelope containing an absentee ballot. (IC 3-

14-2-16)

- (13) Delivering an absentee ballot to an election official that is not the ballot cast by the voter. (IC 3-14-2-16)
- (14) Interfering with a watcher. (IC 3-14-3-3)
- (15) Obstructing, interfering, or injuring an election officer or a voter in the exercise of the election officer's or voter's rights or duties or because the officer or voter has exercised the officer's or voter's rights or duties. (IC 3-14-3-4)
- (16) Failing to receive the vote of a legal voter. (IC 3-14-3-9)
- (17) Interfering with the secrecy of voting. (IC 3-14-3-11)
- (18) Inducing or persuading a voter to vote for a candidate, while acting as a precinct election officer or absentee voter board member. (IC 3-14-3-17)
- (19) Inducing or procuring a person to apply for or cast an absentee ballot or vote or refrain from voting for or against a candidate by giving, offering, or promising money or other property. (IC 3-14-3-19)
- (20) Receiving, accepting, requesting or soliciting money or other property to apply for or cast an absentee ballot or to vote or refrain from voting for or against a candidate. (IC 3-14-3-20)
- (21) Conspiring to obtain property an individual would be entitled to receive as compensation for serving as an elected official by securing false or fraudulent absentee ballot applications or voter registration applications and to transport fraudulent voter registration applications or absentee ballot applications by private or commercial carrier operating entirely within Indiana. (IC 3-14-3-20.5)
- (22) Intimidating, threatening, or coercing another person for voting or attempting to vote, urging or aiding another individual to vote or attempt to vote, or exercising any power or duty related to registration or voting. (IC 3-14-3-21.5)

See the *Election Administrator's Manual*, published by the Indiana Election Division, for information regarding other criminal violations of the election laws. See the *2014 Indiana Campaign Finance Manual*, published by the Indiana Election Division, for information regarding criminal violations of the campaign finance laws, and the county election board's authority to impose civil penalties for campaign finance related violations. See the *2014 Voter Registration Guidebook*, published by the Indiana Election Division, for information regarding criminal violations of the voter registration law.

CAMPAIGN FINANCE INFORMATION

Candidates may access the *2014 Indiana Campaign Finance Manual* from the Indiana Election Division's office or the Division's website at www.campaignfinance.in.gov, along with the forms required for campaign finance filings with the Election Division and County Election Boards.

UNITED STATES REPRESENTATIVE

Candidates for United States Representative should contact the Federal Election Commission for information on campaign finance reporting requirements. Candidates should contact the House Standards of Official Conduct for information on economic interest statement reporting requirements.

SECRETARY OF STATE, AUDITOR OF STATE, AND TREASURER OF STATE

Candidates for any of the statewide offices file campaign finance documents with the Indiana Election Division and should contact the division for information on campaign finance reporting requirements or visit the Division's campaign finance website at www.campaignfinance.in.gov.

STATE LEGISLATIVE OFFICES

Candidates for any of the state legislative offices file campaign finance documents with the Indiana Election Division. Candidates should contact the division for information on campaign finance reporting requirements or visit the Division's campaign finance website at www.campaignfinance.in.gov.

JUDICIAL OFFICES AND PROSECUTING ATTORNEY

Candidates for these offices file the campaign finance documents with the county election board, and should contact the county election board for information on campaign finance reporting requirements.

CIRCUIT COURT CLERK AND COUNTY OFFICES

Candidates for these offices file the campaign finance documents with the county election board, and should contact the county election board for information on campaign finance reporting requirements.

TOWNSHIP OFFICES

Candidates for these offices file the campaign finance documents with the county election board, and should contact the county election board for information on campaign finance reporting requirements.

SCHOOL BOARD OFFICES

Candidates for these offices file the campaign finance documents with the county election board of the county where the greatest percentage of the school corporation resides, and should contact the county election board for information on campaign finance reporting requirements.

TOWN OFFICES

Candidates for these offices file the campaign finance documents with the county election board and should contact the county election board for information on campaign finance reporting requirements.

PRECINCT COMMITTEEMAN AND STATE CONVENTION DELEGATE

Indiana law does not require that precinct committeeman or state convention delegate candidates file campaign finance documents regardless of the amount of money candidates raise or spend.

FEDERAL OFFICES

UNITED STATES REPRESENTATIVE

A. Qualifications

Article 1, Section 2, Clause 2 of the United States Constitution provides that:

“No person shall be a representative who shall not have attained to the age of twenty-five years, and been seven years a citizen of the United States, and who shall not, when elected, be an inhabitant of that state in which he shall be chosen.”

NOTE: There is no requirement that a candidate for United States Representative must reside within the *district* the candidate seeks to represent.

B. Democratic and Republican Party Candidates Nominated at the Primary Election

1. Filing Requirements

A candidate may submit a declaration of candidacy in person or by mail, and it is considered filed as of the DAY AND TIME IT IS FILED in the office of the Indiana Election Division. “Filing” occurs when the Election Division records the date and time that the document was file stamped by the Division, not when the document is received in the mail. (IC 3-5-2-24.5) A declaration may not be submitted by facsimile transmission or email. (IC 3-5-4-1.7; IC 3-8-2-11)

Candidates for the office of United States Representative from the Democratic or Republican Party will be nominated at the primary election to be held on Tuesday, May 6, 2014.

A candidate for the nomination for United States Representative by the Democratic or Republican Party must file a declaration of candidacy with the Election Division. (IC 3-8-2-5) (Petitions signed by registered voters are **NOT** required of Democratic or Republican Party candidates for United States Representative.)

The **first day** to submit a declaration of candidacy to the Election Division is **Wednesday, January 8, 2014**, and the **DEADLINE** to file is **12:00 noon, Indianapolis time, Friday, February 7, 2014**. (IC 3-8-2-4; IC 3-8-2-5) **A declaration of candidacy presented after February 7, 2014 at 12:00 noon will not be accepted for filing.**

The declaration of candidacy form (CAN-2) is available from the Election Division’s office, on the Division’s website, and is included in this Guide under the *Candidate Forms* tab.

2. Political Party Affiliation

Indiana Code 3-8-2-7 sets forth the standard for determining the political party affiliation of a candidate who files a declaration of candidacy for a primary election. The political party affiliation of the candidate is deemed to be:

- (1) the political party in whose primary the candidate most recently voted in Indiana; or
- (2) the political party of the county chair of the county in which the candidate resides who certifies that the candidate is a member of that political party.

3. Candidate Withdrawal Requirements

Primary Election Candidate Withdrawal

A candidate for United States Representative who filed with the Election Division a declaration of candidacy for the primary election, may file written notice of candidate withdrawal with the Election Division certifying that the individual no longer wishes to be a candidate. The **DEADLINE** to file this notice with the Election Division is **12:00 noon, Indianapolis time, Monday, February 10, 2014.** (IC 3-8-2-20) Upon receipt of this notice, the Election Division will **not** certify that individual's name as a candidate for the primary election. (IC 3-8-2-21) **Notice of candidate withdrawal presented after February 10, 2014 at 12:00 noon will not be accepted for filing.**

The primary election candidate withdrawal form (CAN-10) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

General Election Candidate Withdrawal

After the primary, if a nominee for United States Representative wishes to withdraw from the ticket for the general election, the nominee must file a written notice of candidate withdrawal with the Election Division. The **DEADLINE** to file this notice with the Election Division is **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014.** (IC 3-8-7-28) Upon receipt of this notice, the Election Division will **not** certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

C. Libertarian Party Candidates

1. Filing Requirements

Libertarian Party candidates are not nominated in a primary election, but are nominated by political party convention. (IC 3-8-4-10)

The Libertarian Party will nominate candidates for the office of United States Representative at the Party's state convention. Candidates for this office should contact the Libertarian Party's state committee for information concerning any candidate filing requirements.

Libertarian Party candidates for the office of United States Representative are **not** required to file declarations of candidacy with the Election Division. Instead, the Libertarian Party must certify the Party's nominees to the Election Division no later than **12:00 noon, Indianapolis time, July 15, 2014.** (IC 3-8-7)

Following a state convention, the chairperson or secretary of the convention or the state chairperson and secretary of the Libertarian Party shall file a certificate of nomination (CAN-23) with the Election Division no later than noon, **July 15, 2014.**

2. Candidate Withdrawal Requirements

If a nominee for United States Representative wishes to withdraw from the Libertarian Party ticket for the general election, the nominee must file a written notice of candidate withdrawal with the Election Division. The **DEADLINE** to file this notice with the Election Division is **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the Election Division will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

D. Minor Party and Independent Candidates

1. Filing Requirements

This section addresses the filing and petition requirements for a person who does not intend to affiliate with the Democratic, Libertarian or Republican Party, and who does not intend to be a write-in candidate.

A person who wishes to become an independent candidate or a candidate of a minor party not qualified to nominate candidates in a primary election or by political party convention, and who wishes be a candidate for the office of United States Representative at the general election, must file a written consent to become a candidate (CAN-20 form) and a petition of nomination (CAN-19 form) with the Election Division. (IC 3-8-6-12; IC 3-8-6-14(a))

Each candidate nominated by petition of nomination must satisfy all statutory eligibility requirements for the office for which the candidate is nominated. (IC 3-8-6-14)

The written consent form (CAN-20) and petition of nomination form (CAN-19) are available from the Election Division's office, on the Division's website and are included in this Guide under the *Forms* tab.

To be placed on the general election ballot, an independent or minor party candidate must obtain signatures of registered voters in the election district the candidate seeks to represent. A petition of nomination must be signed by the number of registered voters equal to 2% of the total votes cast for secretary of state in the 2010 general election **in the election district** the candidate seeks to represent. Any fraction in excess of a whole number is disregarded in computing this figure. (IC 3-8-6-3) Signatures on any petition of nomination must be those of registered voters of the state who reside in the district the candidate seeks to represent. (IC 3-8-6-2)

EXAMPLE: A candidate for the office of United States Representative, District 2, must obtain signatures of registered voters equal to 2% of the total votes cast for secretary of state in the 2010 general election in the precincts that make up District 2.

Circuit court clerks should have information on the precinct votes for the office of secretary of state in the 2010 general election to help determine the number of signatures required for a candidate seeking ballot placement by petition of nomination. A chart listing the 2% ballot access requirement for each county is included under the *2010 Vote for Secretary of State* tab of this Guide.

The county voter registration office in the county where the individual signing the petition is registered must certify whether each person who signs the petition is a registered voter in the county. This certification must accompany and be a part of the petition of nomination. (This certification is on the reverse side of the CAN-19 form.) (IC 3-8-6-10; IC 3-8-6-11)

The **first day** a candidate for the office of United States Representative may submit the petition of nomination, accompanied by the written consent form (CAN-20) to the county voter registration office for certification is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, prevailing local time, Monday, June 30, 2014**. (IC 3-8-6-10)

For candidates for the office of United States Representative, once the county voter registration office certifies the petitions of nomination, these certified petitions along with the candidate's consent (CAN-20 form) must be filed with the Election Division. The **DEADLINE** for filing the petition of nomination (CAN-19), accompanied by the written consent form (CAN-20) with the Election Division is **12:00 noon, Indianapolis time, Tuesday, July 15, 2014**. (IC 3-8-6-10; IC 3-8-6-12) The county voter registration office must file the certified petitions of nomination with the Election Division. However, the candidate for the office of United States Representative may request that the county voter registration office return the original petitions to the candidate so that the candidate may file the certified petitions (along with the CAN-20 form) with the Election Division to be placed on the general election ballot. (IC 3-8-6-10)

2. Nominating Petition Requirements

Candidates or political party members may wish to contact county voter registration offices to coordinate the processing of nominating petitions. Some county offices prefer to process all petitions for a candidate at the same time, while others are willing to process partial submissions.

Sometimes a county voter registration office rejects a signature on a nominating petition because the individual who signed the petition is not a registered voter of the election district, or has changed the individual's address without notifying the county voter registration office. Although a minor variation between the name or address of a petition signer and the name or address on the county voter registration records does not invalidate the signature, a substantial variation renders the signature invalid. Reasonable doubts must be resolved in favor of the signer of the petition. (IC 3-5-6)

3. Political Party Names

A candidate may not submit a petition of nomination requesting ballot placement for a political party whose name would result in voter confusion due to its similarity with another party's name. If the candidate declines to amend the petition to remove this confusion, the petition may be challenged, and shall be denied by the Indiana Election Commission, if the commission finds the name is confusing. (IC 3-8-6-5.5) A candidate must indicate whether the candidate is affiliated with any other candidate or group of candidates filing a petition under the same political party name. (IC 3-8-6-5)

4. Candidate Withdrawal Requirements

The **DEADLINE** for a person nominated by petition for the office of United States Representative who wishes to withdraw from the general election ballot to file a written notice of candidate withdrawal with the Election Division is than **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the Election Division will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

E. Write-in Candidates

1. Filing Requirements

Indiana law provides that only votes for declared write-in candidates are counted. (IC 3-12-1-1.7(a))

A person who desires to be a write-in candidate for the office of United States Representative in the general election on Tuesday, November 4, 2014 must file a declaration of intent to be a write-in candidate (CAN 3 form) with the Election Division. (IC 3-8-2-2.5)

The CAN-3 form is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Forms* tab.

The **first day** a write-in candidate may file the CAN-3 form with the Election Division is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, Indianapolis time, Thursday, July 3, 2014**. (IC 3-8-2-2.5; IC 3-8-2-4; IC 3-8-2-5; IC 3-11-2-11.5)

2. Candidate Withdrawal Requirements

The **DEADLINE** for a person who files a declaration of intent to be a write-in candidate for the office of United States Representative to file a written notice of candidate withdrawal with the Election Division is **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the Election Division will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

3. Political Party Affiliation

A write-in candidate for United States Representative may claim, on the candidate's declaration, affiliation with a political party other than the Democratic Party, the Libertarian Party, or the Republican Party (the parties whose nominee for Secretary of State of Indiana received at least 2% of the total votes cast in the most recent election for the office of Secretary of State (November 2010)). (IC 3-8-2-2.5)

If a write-in candidate claims affiliation with a political party: (1) that already has ballot access, (2) of a candidate who has previously filed a petition of nomination under IC 3-8-6, or (3) whose name would result in voter confusion due to its similarity with the name of the political party in (1) or (2), then a registered voter of the election district may question the validity of the filing under IC 3-8-1-2. The Indiana Election Commission shall determine the validity of the questioned filing. If the Commission determines that the candidate's stated party affiliation would result in voter confusion due to its similarity with another party's name, and the candidate declines to amend the declaration to remove this confusion, then the Commission shall deny the filing. (IC 3-8-2-12.5)

STATEWIDE OFFICES

SECRETARY OF STATE AUDITOR OF STATE TREASURER OF STATE

A. Qualifications for Secretary of State, Auditor of State, and Treasurer of State

A candidate for the office of secretary of state, auditor of state or treasurer of state must comply with Article 6, Section 1 of the Constitution of the State of Indiana.

Article 6, Section 1 provides that:

“There shall be elected, by the voters of the state, a Secretary, an Auditor and a Treasurer of State, who shall, severally, hold their offices for four years. They shall perform such duties as may be enjoined by law; and no person shall be eligible to either of said offices, more than eight years in any period of twelve years.”

IC 3-8-1-1 provides that:

“ . . . (b) A person is not qualified to run for:

(1) A state office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

(1) for which the person has been pardoned; or

(2) that has been:

(A) reversed;

(B) vacated;

(C) set aside; or

(D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

(1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;

(2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;

(3) in a:

(A) jury trial, a jury publicly announces a verdict against the person for a felony;

(B) bench trial, the court publicly announces a verdict against the person for a felony; or

(C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;

(4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;

(5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or

(6) the person is subject to:

(A) 5 U.S.C. 1502 (the Little Hatch Act); or

(B) 5 U.S.C. 7321-7326 (the Hatch Act);

and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.

(d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

(1) jury has announced its verdict against the person for a felony;

(2) court has announced its verdict against the person for a felony; or

(3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).

B. Statement of Economic Interest

Candidates for statewide offices are required to file a statement of economic interest. (IC 3-8-1-33) **Candidates for these offices must file a statement of economic interest:** (1) before a certificate of nomination is filed following the state convention of the Democratic, Libertarian, or Republican party, (2) before a petition of nomination is filed for an independent or minor party candidate, (3) before a declaration of intent to be a write-in candidate is filed, or (4) before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2.

A candidate for attorney general or superintendent of public instruction must file a statement of economic interest with the Office of the Inspector General. (IC 4-2-6-8)

A candidate will receive a Certificate of Filing from the Ethics Commission. If you submit your statement online, you will receive an email confirmation. The candidate must supply a copy of this certificate or email confirmation to the Election Division before the Division can accept a candidate's filing. (IC 3-8-2-11)

The statement of economic interest form is available from the Office of the Inspector General. The Ethics Commission's contact information is listed under the *General Information* tab of this Guide.

C. Democratic and Republican Party Candidates

1. Filing Requirements

Candidates for the office of secretary of state, auditor of state or treasurer of state from the Democratic or Republican Party will be nominated at their respective state conventions. (IC 3-8-4-2) A person wishing to become a candidate for the nomination to any of these offices from the Democratic or Republican parties should contact their respective party's state headquarters concerning requirements for becoming a candidate.

Following a state convention, the chairman or the secretary of the state convention or the state chairman and state secretary of the political party holding the state convention shall file a certificate of nomination (CAN-23) with the Secretary of State no later than **12:00 noon, Indianapolis time, July 15, 2014.**

2. Candidate Withdrawal Requirements

After the state convention, if a nominee for statewide office desires to withdraw from the ticket for the general election, the nominee must file a written notice of candidate withdrawal with the Election Division. The **DEADLINE** for filing this notice with the Election Division is **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014.** (IC 3-8-7-28) Upon receipt of this notice, the Election Division will **not** certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, the Division's website, and is included in this Guide under the *Candidate Forms* tab.

D. Libertarian Party Candidates

1. Filing Requirements

The Libertarian Party will nominate candidates for the statewide offices at the Party's state convention. (IC 3-8-4-10) A person wishing to become a candidate for the nomination to any of these offices should contact the Libertarian Party's state committee for information concerning any candidate filing requirements.

Following a state convention, the chairman or the secretary of the state convention or the state chairman and state secretary of the political party holding the state convention shall file a certificate of nomination (CAN-23) with the Secretary of State no later than **12:00 noon, Indianapolis time, July 15, 2014.**

2. Candidate Withdrawal Requirements

If a nominee for a statewide office wishes to withdraw from the Libertarian Party ticket for the general election, the nominee must file a written notice of candidate withdrawal with the Election Division. The **DEADLINE** to file this notice with the Election Division is **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014.** (IC 3-8-7-28) Upon receipt of this notice, the Election Division will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

E. Minor Party and Independent Candidates

1. Filing Requirements

This section addresses the filing and petition requirements for a person who does not intend to affiliate with the Democratic, Libertarian or Republican Party, and who does not intend to be a write-in candidate.

A person who wishes to become an independent candidate or a candidate of a minor party not qualified to nominate candidates in a primary election or by political party convention, and who wishes to be a candidate for a statewide office at the general election, must file a written consent to become a candidate (CAN-20 form) and a petition of nomination (CAN-19 form) with the Election Division. (IC 3-8-6-12 and IC 3-8-6-14(a))

Each candidate nominated by petition of nomination must satisfy all statutory eligibility requirements for the office for which the candidate is nominated, including the filing of a statement of economic interest. (IC 3-8-6-14)

The written consent form (CAN-20) and petition of nomination form (CAN-19) are available from the Election Division's office, on the Division's website, and are included in this Guide under the *Candidate Forms* tab.

To be placed on the general election ballot, an independent or minor party candidate must obtain signatures of registered voters in the election district the candidate seeks to represent. A petition of nomination must be signed by the number of registered voters equal to 2% of the total votes cast for secretary of state in the 2010 general election **in the election district** the candidate seeks to represent. Any fraction in excess of a whole number is disregarded in computing this figure. (IC 3-8-6-3) Signatures on any petition of nomination must be those of registered voters of the state who reside in the district the candidate seeks to represent. (IC 3-8-6-2)

EXAMPLE: A candidate for the office of Secretary of State must obtain signatures of registered voters equal to 2% of the total votes cast for secretary of state in the 2010 general election for the entire state or 34, 194.

The county voter registration office in the county where the individual signing the petition is registered must certify whether each person who signs the petition is a registered voter in the county. This certification must accompany and be a part of the petition of nomination. (This certification is on the reverse side of the CAN-19 form.) (IC 3-8-6-10; IC 3-8-6-11)

The **first day** a candidate for a statewide office may submit the petition of nomination, accompanied by the written consent form (CAN-20) to the county voter registration office for certification is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, prevailing local time, Monday, June 30, 2014**. (IC 3-8-6-10)

For a candidate for a statewide office, once the county voter registration office certifies the petitions of nomination, these certified petitions along with the candidate's consent (CAN-20 form) and receipt of filing of the statement of economic interest (as required under IC 3-8-1-33), must be filed with the Election Division. The **DEADLINE** for filing the petition of nomination (CAN-19), accompanied by the written consent form (CAN-20) with the Election Division is **12:00 noon, Indianapolis time, Tuesday, July 15, 2014**. (IC 3-8-6-10; IC 3-8-6-12) The county voter registration office must file the certified petitions of nomination with the Election Division. However, the candidate for a statewide office may request that the county voter registration office return the original petitions to the candidate so that the candidate may file the certified petitions (along with the CAN-20 form) with the Election Division to be placed on the general election ballot. (IC 3-8-6-10)

2. Nominating Petition Requirements

Candidates or political party members may wish to contact county voter registration offices to coordinate the processing of nominating petitions. Some county offices prefer to process all petitions for a candidate at the same time, while others are willing to process partial submissions.

Sometimes a county voter registration office rejects a signature on a nominating petition because the individual who signed the petition is not a registered voter in the county. Although a minor variation between the name or address of a petition signer and the name or address on the county voter registration records does not invalidate the signature, a substantial variation renders the signature invalid. Reasonable doubts must be resolved in favor of the signer of the petition. (IC 3-5-6)

3. Political Party Names

A candidate may not submit a petition of nomination requesting ballot placement for a political party whose name would result in voter confusion due to its similarity with another party's name. If the candidate declines to amend the petition to remove this confusion, the petition may be challenged, and the Indiana election commission shall deny the petition if the commission finds that the name is confusing. (IC 3-8-6-5.5)

4. Candidate Withdrawal Requirements

The **DEADLINE** for a person nominated by petition for a statewide office who wishes to withdraw from the general election ballot to file a written notice of candidate withdrawal with the Election Division is **than 12:00 noon, Indianapolis time, on Tuesday, July 15, 2014.** (IC 3-8-7-28) Upon receipt of this notice, the Election Division will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

F. Write-in Candidates

1. Filing Requirements

Indiana law provides that only votes for declared write-in candidates are counted. (IC 3-12-1-1.7(a))

A person who desires to be a write-in candidate for a statewide office in the general election on Tuesday, November 4, 2014 must file a declaration of intent to be a write-in candidate (CAN 3 form) with the Election Division. (IC 3-8-2-2.5)

The CAN-3 form is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

The **first day** a write-in candidate may file the CAN-3 form with the Election Division is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, Indianapolis time, Thursday, July 3, 2014.** (IC 3-8-2-2.5; IC 3-8-2-4; IC 3-8-2-5; IC 3-11-2-11.5)

2. Candidate Withdrawal Requirements

The **DEADLINE** for a person who files a declaration of intent to be a write-in candidate for a statewide office to file a written notice of candidate withdrawal with the Election Division is **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014.** (IC 3-8-7-28) Upon receipt of this notice, the Election Division will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office and on the Division's website. A CAN-24 is included in this Guide under the *Candidate Forms* tab.

3. Political Party Affiliation

A write-in candidate for statewide office may claim, on the candidate's declaration, affiliation with a political party other than the Democratic Party, the Libertarian Party, or the Republican Party (the parties whose nominee for Secretary of State of Indiana received at least 2% of the total votes cast in the most recent election for the office of Secretary of State (November 2010)). (IC 3-8-2-2.5)

If a write-in candidate claims affiliation with a political party: (1) that already has ballot access, (2) of a candidate who has previously filed a petition of nomination under IC 3-8-6, or (3) whose name would result in voter confusion due to its similarity with the name of the political party in (1) or (2), then a registered voter of the election district may question the validity of the filing under IC 3-8-1-2. The Indiana Election Commission shall determine the validity of the questioned filing. If the Commission determines that the candidate's stated party affiliation would result in voter confusion due to its similarity with another party's name, and the candidate declines to amend the declaration to remove this confusion, then the Commission shall deny the filing. (IC 3-8-2-12.5)

STATE LEGISLATIVE OFFICES

INDIANA STATE SENATOR

INDIANA STATE REPRESENTATIVE

A. Qualifications

IC 3-8-1-13 provides that:

“A candidate for the **office of senator** in the General Assembly must:

- (1) Be a United States citizen at the time of election;
- (2) Have resided in the state for at least two (2) years and in the senate district for at least one (1) year before the election; and
- (3) Be at least twenty-five (25) years old upon taking office;

as provided in Article 4, Section 7 of the Constitution of the State of Indiana.”

IC 3-8-1-14 provides that:

“A candidate for the **office of representative** in the General Assembly must:

- (1) Be a United States citizen at the time of the election;
- (2) Have resided in the state for at least two (2) years and in the house district for at least one (1) year before the election; and
- (3) Be at least twenty-one (21) years old upon taking office;

as provided in Article 4, Section 7 of the Constitution of the State of Indiana.”

IC 3-8-1-1 provides that:

“ . . . (b) A person is not qualified to run for: . . .

- (2) A legislative office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

“Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

- (1) for which the person has been pardoned; or
- (2) that has been:
 - (A) reversed;
 - (B) vacated;
 - (C) set aside; or
 - (D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

(1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;

(2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;

(3) in a:

- (A) jury trial, a jury publicly announces a verdict against the person for a felony;
- (B) bench trial, the court publicly announces a verdict against the person for a felony; or
- (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;

- (4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;
- (5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or
- (6) the person is subject to:
 - (A) 5 U.S.C. 1502 (the Little Hatch Act); or
 - (B) 5 U.S.C. 7321-7326 (the Hatch Act);
 and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.
- (d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:
 - (1) jury has announced its verdict against the person for a felony;
 - (2) court has announced its verdict against the person for a felony; or
 - (3) person has pleaded guilty or nolo contendere to a felony;
 does not affect the operation of subsection (c).”

B. Statement of Economic Interest

Most copies of legislative candidate economic interest statements are available for public inspection and copying (subject to payment of a photocopying fee) at Legislative Information Center, 200 West Washington Street, Room 230, Indianapolis, Indiana 46204. The Secretary of the Senate and the Principal Clerk of the House of Representatives retain economic interest statement filings for the previous calendar year in their offices.

1. Indiana State Senator

A candidate for state senator must file a statement of economic interest with the Principal Secretary of the Indiana State Senate. (IC 2-2.1-3-2)

The Statement covers the economic activity for the previous year. Therefore, state senate candidates running for office in 2014 must file a statement of economic interest covering their economic activity for 2013.

State senate candidates must file an original statement of economic interest in person or by mail. The Principal Secretary will not accept faxed or photocopied statements of economic interest.

The office hours for the Principal Secretary’s office are 8:30 a.m. - 4:30 p.m., Monday through Friday.

The first date a state senate candidate may file a statement of economic interest is January 2, 2014.

The statement of economic interest form is available from the Indiana State Senate.

Before accepting a declaration of candidacy or other similar filings, the Election Division will require a receipt or a copy of the statement file stamped by the Office of the Secretary of the Senate verifying that the statement of economic interest and other prerequisite filings have been completed. (IC 3-8-2-11)

2. Indiana State Representative

A candidate for state representative must file a statement of economic interest with the Principal Clerk of the Indiana House of Representatives. (IC 2-2.1-3-2)

The Statement covers the economic activity for the previous year. Therefore, state representative candidates running for office in 2014 must file a statement of economic interest covering their economic activity for 2013.

State representative candidates must file an original statement of economic interest in person or by mail. The Principal Clerk will not accept faxed or photocopied statements of economic interest.

The office hours for Principal Clerk's office are 8:30 a.m. - 4:30 p.m., Monday through Friday.

The first date a state representative candidate may file a statement of economic interest is January 2, 2014.

The statement of economic interest form is available from the Indiana House of Representatives.

The Election Division will require a receipt or a copy of the statement filed stamped by the Office of the Clerk of the House verifying that the statement of economic interest and other prerequisite filings have been completed. (IC 3-8-2-11)

C. Democratic and Republican Party Candidates Nominated at the Primary Election

1. Filing Requirements

A candidate may submit a declaration of candidacy in person or by mail and is considered filed as of the DAY AND TIME IT IS FILED in the office of the Indiana Election Division. "Filing" occurs when the Election Division records the date and time that the document was file stamped by the Division, not when the document is received in the mail. (IC 3-5-2-24.5) A declaration may not be submitted by facsimile transmission or email. (IC 3-5-4-1.7)

Candidates for a state legislative office from the Democratic or Republican Party will be nominated at the primary election to be held on Tuesday, May 6, 2014.

A candidate for the nomination for a state legislative office by the Democratic or Republican Party must file a declaration of candidacy with the Election Division. (IC 3-8-2-5) (Petitions signed by registered voters are **NOT** required of Democratic or Republican Party candidates for state legislative offices.)

The **first day** to submit a declaration of candidacy to the Election Division is **Wednesday, January 8, 2014**, and the **DEADLINE** to file is **12:00 noon, Indianapolis time, Friday, February 7, 2014**. (IC 3-8-2-4; IC 3-8-2-5) **A declaration of candidacy presented after February 7, 2014 at 12:00 noon will not be accepted for filing.**

The declaration of candidacy form (CAN-2) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

2. Political Party Affiliation

Indiana Code 3-8-2-7 sets forth the standard for determining the political party affiliation of a candidate who files a declaration of candidacy for a primary election. The political party affiliation of the candidate is deemed to be:

- (1) the political party in whose primary the candidate most recently voted in Indiana; or
- (2) the political party of the county chair of the county in which the candidate resides who certifies that the

candidate is a member of that political party.

3. Candidate Withdrawal Requirements

Primary Election Candidate Withdrawal

A candidate for a state legislative office who filed with the Election Division a declaration of candidacy for the primary election, may file written notice of candidate withdrawal with the Election Division certifying that the individual no longer wishes to be a candidate. The **DEADLINE** to file this notice with the Election Division is **12:00 noon, Indianapolis time, Monday, February 10, 2014.** (IC 3-8-2-20) Upon receipt of this notice, the Election Division will **not** certify that individual's name as a candidate for the primary election (IC 3-8-2-21). **Notice of candidate withdrawal presented after February 10, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The primary election candidate withdrawal form (CAN-10) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

General Election Candidate Withdrawal

After the primary, if a nominee for a state legislative office wishes to withdraw from the ticket for the general election, the nominee must file a written notice of candidate withdrawal with the Election Division. The **DEADLINE** to file this notice with the Election Division is **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014.** (IC 3-8-7-28) Upon receipt of this notice, the Election Division will **not** certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or who has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

D. Libertarian Party Candidates

1. Filing Requirements

Libertarian Party candidates are not nominated in a primary election, but are nominated by political party convention. (IC 3-8-4-10)

The Libertarian Party will nominate candidates for state legislative offices at the Party's state convention. Candidates for these offices should contact the Libertarian Party's state committee for information concerning any candidate filing requirements.

Libertarian Party candidates for state legislative offices are **not** required to file declarations of candidacy with the Election Division. Instead, the Libertarian Party shall certify the Party's nominees to the Election Division no later than **Noon, Indianapolis time, July 15, 2014.** (IC 3-8-7-8)

Following a state convention, the chairperson or secretary of the convention or the state chairperson and secretary of the Libertarian Party must file a certificate of nomination (CAN-23) with the Election Division no later than Noon, Indianapolis time, July 15, 2014.

2. Candidate Withdrawal Requirements

If a nominee for a state legislative office wishes to withdraw from the Libertarian Party ticket for the general

election, the nominee must file a written notice of candidate withdrawal with the Election Division. The **DEADLINE** to file this notice with the Election Division is **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the Election Division will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

E. Minor Party and Independent Candidates

1. Filing Requirements

This section addresses the filing and petition requirements for a person who does not intend to affiliate with the Democratic, Libertarian or Republican Party, and who does not intend to be a write-in candidate. A person who wishes to become an independent candidate or a candidate of a minor party not qualified to nominate candidates in a primary election or by political party convention, and who wishes to be a candidate for a state legislative office at the general election, must file a written consent to become a candidate (CAN-20 form) and a petition of nomination (CAN-19 form) with the Election Division. (IC 3-8-6-12 and IC 3-8-6-14(a))

Each candidate nominated by petition of nomination must satisfy all statutory eligibility requirements for the office for which the candidate is nominated, including the filing of a statement of economic interest. (IC 3-8-6-14)

The written consent form (CAN-20) and petition of nomination form (CAN-19) are available from the Election Division's office, on the Division's website, and are included in this Guide under the *Candidate Forms* tab.

To be placed on the general election ballot, an independent or minor party candidate must obtain signatures of registered voters in the election district the candidate seeks to represent. A petition of nomination must be signed by the number of registered voters equal to 2% of the total votes cast for secretary of state in the 2010 general election **in the election district** the candidate seeks to represent. Any fraction in excess of a whole number is disregarded in computing this figure. (IC 3-8-6-3) Signatures on any petition of nomination must be those of registered voters of the state who reside in the district the candidate seeks to represent. (IC 3-8-6-2)

EXAMPLE: A candidate for the office of State Representative, District 2, must obtain signatures of registered voters equal to 2% of the total votes cast for Secretary of State in the 2010 general election in the precincts that make up District 2.

Circuit court clerks should have information on the precinct votes for the office of secretary of state in the 2010 general election to help determine the number of signatures required for a candidate seeking ballot placement by petition of nomination. A chart listing the 2% ballot access requirement for each county is included under the *2010 Vote for Secretary of State* tab of this Guide.

For a petition of nomination to be accepted for filing, the county voter registration office in the county where the individual signing the petition is registered must certify whether each person who signs the petition is a registered voter of the election district. This certification must accompany and be a part of the petition of nomination. (This certification is on the reverse side of the CAN-19 form.) (IC 3-8-6-10; IC 3-8-6-11)

The **first day** a candidate for a state legislative office may submit the petition of nomination, accompanied by the written consent form (CAN-20) to the county voter registration office for certification is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, prevailing local time, Monday, June 30, 2014**. (IC 3-8-6-12)

For candidates for state legislative offices, once the county voter registration office certifies the petitions of

nomination, these certified petitions along with the candidate's consent (CAN-20 form) and receipt of filing the statement of economic interest (as required under IC 3-8-1-33), must be filed with the Election Division. The **DEADLINE** for filing the petition of nomination (CAN-19), accompanied by the written consent form (CAN-20) with the Election Division is **12:00 noon, Indianapolis time, Tuesday, July 15, 2014**. (IC 3-8-6-10; IC 3-8-6-12) The county voter registration office must file the certified petitions of nomination with the Election Division. However, the candidate for a state legislative office may request that the county voter registration office return the original petitions to the candidate so that the candidate may file the certified petitions (along with the CAN-20 form) with the Election Division to be placed on the general election ballot. (IC 3-8-6-10)

2. Nominating Petition Requirements

Candidates or political party members may wish to contact county voter registration offices to coordinate the processing of nominating petitions. Some county offices prefer to process all petitions for a candidate at the same time, while others are willing to process partial submissions.

Sometimes a county voter registration office rejects a signature on a nominating petition because the individual who signed the petition is not a registered voter of the election district. Although a minor variation between the name or address of a petition signer and the name or address on the county voter registration records does not invalidate the signature, a substantial variation renders the signature invalid. Reasonable doubts must be resolved in favor of the signer of the petition. (IC 3-5-6)

3. Political Party Names

A candidate may not submit a petition of nomination requesting ballot placement for a political party whose name would result in voter confusion due to its similarity with another party's name. If the candidate declines to amend the petition to remove this confusion, the petition may be challenged, and shall be denied by the Indiana Election Commission if the commission finds that confusion would exist. (IC 3-8-6-5.5) A candidate must indicate whether the candidate is affiliated with any other candidate or group of candidates filing a petition under the same political party name. (IC 3-8-6-5)

4. Candidate Withdrawal Requirements

The **DEADLINE** for a person nominated by petition for a state legislative office who wishes to withdraw from the general election ballot to file a written notice of candidate withdrawal with the Election Division is than **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the Election Division will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

F. Write-in Candidates

1. Filing Requirements

Indiana law provides that only votes for declared write-in candidates are counted. (IC 3-12-1-1.7(a))

A person who desires to be a write-in candidate for a state legislative office in the general election on Tuesday, November 4, 2014 must file a declaration of intent to be a write-in candidate (CAN 3 form) with the Election Division. (IC 3-8-2-2.5)

The CAN-3 form is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

The **first day** a write-in candidate may file the CAN-3 form with the Election Division is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, Indianapolis time, Thursday, July 3, 2014**. (IC 3-8-2-2.5; IC 3-8-2-4; IC 3-8-2-5; IC 3-11-2-11.5)

2. Candidate Withdrawal Requirements

The **DEADLINE** for a person who files a declaration of intent to be a write-in candidate for a state legislative office to file a written notice of candidate withdrawal with the Election Division is **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the Election Division will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

3. Political Party Affiliation

A write-in candidate for state legislative office may claim, on the candidate's declaration, affiliation with a political party other than the Democratic Party, the Libertarian Party, or the Republican Party (the parties whose nominee for Secretary of State of Indiana received at least 2% of the total votes cast in the most recent election for the office of Secretary of State (November 2010). (IC 3-8-2-2.5))

However, if a write-in candidate claims affiliation with a political party: (1) that already has ballot access, (2) of a candidate who has previously filed a petition of nomination under IC 3-8-6, or (3) whose name would result in voter confusion due to its similarity with the name of the political party in (1) or (2), then a registered voter of the election district may question the validity of the filing under IC 3-8-1-2. The Indiana Election Commission shall determine the validity of the questioned filing. If the Commission determines that the candidate's stated party affiliation would result in voter confusion due to its similarity with another party's name, and the candidate declines to amend the declaration to remove this confusion, then the Commission shall deny the filing. (IC 3-8-2-12.5)

JUDICIAL OFFICES AND PROSECUTING ATTORNEY

A. Qualifications

1. Circuit Court Judge

IC 3-8-1-16 provides that:

“A candidate for the office of judge of a circuit court must:

- (1) Reside in the circuit; and
- (2) Be admitted to the practice of law in the state upon taking office; as provided in Article 7, Section 7 of the Constitution of the State of Indiana.”

IC 3-8-1-1 provides that:

“. . . (b) A person is not qualified to run for: . . .

- (2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

“Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

- (1) for which the person has been pardoned; or
- (2) that has been:
 - (A) reversed;
 - (B) vacated;
 - (C) set aside; or
 - (D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

- (1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;
 - (2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;
 - (3) in a:
 - (A) jury trial, a jury publicly announces a verdict against the person for a felony;
 - (B) bench trial, the court publicly announces a verdict against the person for a felony; or
 - (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;
 - (4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;
 - (5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or
 - (6) the person is subject to:
 - (A) 5 U.S.C. 1502 (the Little Hatch Act); or
 - (B) 5 U.S.C. 7321-7326 (the Hatch Act);and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.
- (d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

- (1) jury has announced its verdict against the person for a felony;
- (2) court has announced its verdict against the person for a felony; or

(3) person has pleaded guilty or nolo contendere to a felony; does not affect the operation of subsection (c).”

2. Superior Court Judge

IC 3-8-1-17 provides that:

“A candidate for the office of judge of a superior ... court must:

- (1) Be admitted to the practice of law in Indiana upon filing a declaration of candidacy or petition of nomination, or upon the filing of a certificate of candidate selection under IC 3-13-1-15 or IC 3-13-2-8; and
- (2) Comply with any other requirement for that office set forth in IC 33-29, IC 33-33, or IC 33-31.”

IC 33-29-1-3 provides that:

”(a) A standard superior court judge is elected at the general election every six (6) years in the county in which the court is located. The judge's term begins January 1 following the election and ends December 31 following the election of the judge's successor.

(b) To be eligible to hold office as a judge of a standard superior court, a person must be:

- (1) a resident of the county in which the court is located; and
- (2) admitted to practice law in Indiana.”

IC 3-8-1-1 provides that:

“... (b) A person is not qualified to run for: . . .

- (2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

“Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

- (1) for which the person has been pardoned; or
- (2) that has been:
 - (A) reversed;
 - (B) vacated;
 - (C) set aside; or
 - (D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

- (1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;
- (2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;
- (3) in a:
 - (A) jury trial, a jury publicly announces a verdict against the person for a felony;
 - (B) bench trial, the court publicly announces a verdict against the person for a felony; or
 - (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;
- (4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;
- (5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or
- (6) the person is subject to:

(A) 5 U.S.C. 1502 (the Little Hatch Act); or

(B) 5 U.S.C. 7321-7326 (the Hatch Act);

and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.

(d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

(1) jury has announced its verdict against the person for a felony;

(2) court has announced its verdict against the person for a felony; or

(3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).”

Marion County Superior Court Judge

In addition to the requirements for superior court judge listed above, IC 33-33-49-6 provides that:

“ . . . (b) To be qualified to serve as a judge of the court, a person must be, at the time a declaration of candidacy or a petition of nomination under IC 3-8-6 is filed:

(1) a resident of Marion County; and

(2) an attorney who has been admitted to the bar of Indiana for at least five (5) years.

(c) During the term of office, a judge of the court must remain a resident of Marion County.”

3. Prosecuting Attorney

IC 3-8-1-19 provides that:

“A candidate for the office of prosecuting attorney must be admitted to the practice of law in the state before the election, as provided in Article 7, Section 16 of the Constitution of the State of Indiana.”

IC 3-8-1-1 provides that:

“ . . . (b) A person is not qualified to run for: . . .

(2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

“Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

(1) for which the person has been pardoned; or

(2) that has been:

(A) reversed;

(B) vacated;

(C) set aside; or

(D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

(1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;

(2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;

(3) in a:

(A) jury trial, a jury publicly announces a verdict against the person for a felony;

(B) bench trial, the court publicly announces a verdict against the person for a felony; or

(C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;

(4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;

(5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or

(6) the person is subject to:

(A) 5 U.S.C. 1502 (the Little Hatch Act); or

(B) 5 U.S.C. 7321-7326 (the Hatch Act);

and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.

(d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

(1) jury has announced its verdict against the person for a felony;

(2) court has announced its verdict against the person for a felony; or

(3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).”

B. Statement of Economic Interest

A candidate for any of the following offices:

judge of a circuit court,

judge of a superior court,

judge of the St. Joseph probate court, or

prosecuting attorney

must file a statement of economic interest with the State Court Administration. (IC 33-23-11-14 & 15)

The statement of economic interest form is available from the State Court Administration Office.

The Election Division will require a receipt or a copy of the statement file stamped by the State Court Administration Office verifying that the statement of economic interest and other prerequisite filings have been completed. (IC 3-8-2-11) A file stamped copy of this filing with State Court Administration (or a photocopy of that file-stamped document) serves as a receipt.

C. Democratic and Republican Party Candidates Nominated at the Primary Election

1. Filing Requirements

A candidate may submit a declaration of candidacy in person or by mail and is considered filed as of the DAY AND TIME IT IS FILED in the office of the Indiana Election Division. “Filing” occurs when the Election Division records the date and time that the document was file stamped by the Division, not when the document is received in the mail. (IC 3-5-2-24.5) A declaration may not be submitted by facsimile transmission or electronic mail. (IC 3-5-4-1.7; IC 3-8-2-11)

Candidates for a judicial office or prosecuting attorney from the Democratic or Republican Party will be nominated at the primary election to be held on Tuesday, May 6, 2014.

A candidate for the nomination to a judicial office or as prosecuting attorney by the Democratic or Republican Party must file a declaration of candidacy with the Election Division. (IC 3-8-2-5) (Petitions signed by registered voters are **NOT** required of Democratic or Republican Party candidates for these offices.)

The **first day** to submit a declaration of candidacy to the Election Division is **Wednesday, January 8, 2014**, and the **DEADLINE** to file is **12:00 noon, Indianapolis time, Friday, February 7, 2014**. (IC 3-8-2-4; IC 3-8-2-5) **A declaration of candidacy presented after February 7, 2014 at 12:00 noon will not be accepted for filing.**

The declaration of candidacy form (CAN-2) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

2. Political Party Affiliation

Indiana Code 3-8-2-7 sets forth the standard for determining the political party affiliation of a candidate who files a declaration of candidacy for a primary election. The political party affiliation of the candidate is deemed to be:

- (1) the political party in whose primary the candidate most recently voted in Indiana; or
- (2) the political party of the county chair of the county in which the candidate resides who certifies that the candidate is a member of that political party.

3. Candidate Withdrawal Requirements

Primary Election Candidate Withdrawal

A candidate for a judicial office or as prosecuting attorney who filed with the Election Division a declaration of candidacy for the primary election, may file written notice of candidate withdrawal with the Election Division certifying that the individual no longer wishes to be a candidate. The **DEADLINE** to file this notice with the Election Division is **12:00 noon, Indianapolis time, Monday, February 10, 2014**. (IC 3-8-2-20) Upon receipt of this notice, the Election Division will **not** certify that individual's name as a candidate for the primary election. (IC 3-8-2-21) **Notice of candidate withdrawal presented after February 10, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The primary election candidate withdrawal form (CAN-10) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

General Election Candidate Withdrawal

After the primary, if a nominee for judicial office or for prosecuting attorney wishes to withdraw from the ticket for the general election, the nominee must file a written notice of candidate withdrawal with the Election Division. The **DEADLINE** to file this notice with the Election Division is **12:00 noon, Indianapolis time, on Tuesday July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the Election Division will **not** certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

D. Libertarian Party Candidates

1. Filing Requirements

Libertarian Party candidates are not nominated in a primary election, but are nominated by political party

convention. (IC 3-8-4-10) The Libertarian Party will nominate candidates for judicial offices and for prosecuting attorney at the Party's state convention. Candidates for these offices should contact the Libertarian Party's state committee for information concerning any candidate filing requirements.

Libertarian Party candidates for judicial offices or prosecuting attorney are **not** required to file declarations of candidacy with the Election Division. Instead, the Libertarian Party shall certify the Party's nominees to the Election Division no later than **Noon, Indianapolis time, July 15, 2014. (IC 3-8-7-8)**

Following a state convention, the chairperson or secretary of the convention or the state chairperson and secretary of the Libertarian Party must file a certificate of nomination (CAN-23) with the Election Division no later than Noon, Indianapolis time, July 15, 2014.

2. Candidate Withdrawal Requirements

If a nominee for a judicial office or for prosecuting attorney wishes to withdraw from the Libertarian Party ticket for the general election, the nominee must file a written notice of candidate withdrawal with the Election Division. The **DEADLINE** to file this notice with the Election Division is **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014.** (IC 3-8-7-28) Upon receipt of this notice, the Election Division will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

E. Minor Party and Independent Candidates

1. Filing Requirements

This section addresses the filing and petition requirements for a person who does not intend to affiliate with the Democratic, Libertarian or Republican Party, and who does not intend to be a write-in candidate.

A person who wishes to become an independent candidate or a candidate of a minor party not qualified to nominate candidates in a primary election or by political party convention, and who wishes be a candidate for a judicial office or for prosecuting attorney at the general election, must file a written consent to become a candidate (CAN-20 form) and a certified petition of nomination (CAN-19 form) with the Election Division. (IC 3-8-6-12 and IC 3-8-6-14(a))

Each candidate nominated by petition of nomination must satisfy all statutory eligibility requirements for the office for which the candidate is nominated, including the filing of a statement of economic interest. (IC 3-8-6-14)

The written consent form (CAN-20) and petition of nomination form (CAN-19) are available from the Election Division's office, on the Division's website, and are included in this Guide under the *Candidate Forms* tab.

To be placed on the general election ballot, an independent or minor party candidate must obtain signatures of registered voters in the election district the candidate seeks to represent. A petition of nomination must be signed by the number of registered voters equal to 2% of the total votes cast for secretary of state in the 2010 general election **in the election district** the candidate seeks to represent. Any fraction in excess of a whole number is disregarded in computing this figure. (IC 3-8-6-3) Signatures on any petition of nomination must be those of registered voters of the state who reside in the district the candidate seeks to represent. (IC 3-8-6-2)

EXAMPLE: A candidate for the office of superior court judge must obtain signatures of registered voters equal to 2% of the total votes cast for secretary of state in the 2010 general election in the county.

Circuit court clerks should have information on the precinct votes for the office of secretary of state in the 2010 general election to help determine the number of signatures required for a candidate seeking ballot placement by petition of nomination. A chart listing the 2% ballot access requirement for each county is included under the *2010 Vote for Secretary of State* tab of this Guide.

The county voter registration office in the county where the individual signing the petition is registered must certify whether each person who signs the petition is a registered voter in the county. This certification must accompany and be a part of the petition of nomination. (This certification is on the reverse side of the CAN-19 form.) (IC 3-8-6-10; IC 3-8-6-11)

The **first day** a candidate for a judicial office may submit the petition of nomination, accompanied by the written consent form (CAN-20) to the county voter registration office for certification is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, prevailing local time, Monday, June 30, 2014**. (IC 3-8-6-12)

For candidates for judicial offices, once the county voter registration office certifies the petitions of nomination, these certified petitions along with the candidate's consent (CAN-20 form) and receipt of filing of the statement of economic interest (as required under IC 3-8-1-33), must be filed with the Election Division. The **DEADLINE** for filing the certified petition of nomination (CAN-19), accompanied by the written consent form (CAN-20) with the Election Division is **12:00 noon, Indianapolis time, Tuesday, July 15, 2014**. (IC 3-8-6-10; IC 3-8-6-12) The county voter registration office must file the certified petitions of nomination with the Election Division. However, the candidate for a judicial office may request that the county voter registration office return the original petitions to the candidate so that the candidate may file the certified petitions (along with the CAN-20 form) with the Election Division to be placed on the general election ballot. (IC 3-8-6-10)

2. Nominating Petition Requirements

Candidates or political party members may wish to contact county voter registration offices to coordinate the processing of nominating petitions. Some county offices prefer to process all petitions for a candidate at the same time, while others are willing to process partial submissions.

Sometimes a county voter registration office rejects a signature on a nominating petition because the individual who signed the petition is not a registered voter in the county.. Although a minor variation between the name or address of a petition signer and the name or address on the county voter registration records does not invalidate the signature, a substantial variation renders the signature invalid. Reasonable doubts must be resolved in favor of the signer of the petition. (IC 3-5-6)

3. Political Party Names

A candidate may not submit a petition of nomination requesting ballot placement for a political party whose name would result in voter confusion due to its similarity with another party's name. If the candidate declines to amend the petition to remove this confusion, the petition may be challenged, and shall be denied if the Indiana election commission finds that confusion would exist. (IC 3-8-6-5.5) A candidate must indicate whether the candidate is affiliated with any other candidate or group of candidates filing a petition under the same political party name. (IC 3-8-6-5)

4. Candidate Withdrawal Requirements

The **DEADLINE** for a person nominated by petition for a judicial office or the office of prosecuting attorney who wishes to withdraw from the general election ballot to file a written notice of candidate withdrawal with the Election Division is than **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the Election Division will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the**

election district the candidate sought to represent.

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

F. Write-in Candidates

1. Filing Requirements

Indiana law provides that only votes for declared write-in candidates are counted. (IC 3-12-1-1.7(a))

A person who desires to be a write-in candidate for a judicial office in the general election on Tuesday, November 4, 2014 must file a declaration of intent to be a write-in candidate (CAN 3 form) with the Election Division. (IC 3-8-2-2.5)

The CAN-3 form is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

The **first day** a write-in candidate may file the CAN-3 form with the Election Division is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, Indianapolis time, Thursday, July 3, 2014**. (IC 3-8-2-2.5; IC 3-8-2-4; IC 3-8-2-5; IC 3-11-2-11.5)

2. Candidate Withdrawal Requirements

The **DEADLINE** for a person who files a declaration of intent to be a write-in candidate for a judicial office or for prosecuting attorney to file a written notice of candidate withdrawal with the Election Division is **12:00 noon, Indianapolis time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the Election Division will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab.

3. Political Party Affiliation

A write-in candidate for judge or prosecuting attorney may claim, on the candidate's declaration, affiliation with a political party other than the Democratic Party, the Libertarian Party, or the Republican Party (the parties whose nominee for Secretary of State of Indiana received at least 2% of the total votes cast in the most recent election for the office of Secretary of State (November 2010)). (IC 3-8-2-2.5)

However, if a write-in candidate claims affiliation with a political party: (1) that already has ballot access, (2) of a candidate who has previously filed a petition of nomination under IC 3-8-6, or (3) whose name would result in voter confusion due to its similarity with the name of the political party in (1) or (2), then a registered voter of the election district may question the validity of the filing under IC 3-8-1-2. The Indiana Election Commission shall determine the validity of the questioned filing. If the Commission determines that the candidate's stated party affiliation would result in voter confusion due to its similarity with another party's name, and the candidate declines to amend the declaration to remove this confusion, then the Commission shall deny the filing.

NON-PARTISAN ELECTIONS FOR CERTAIN COUNTY JUDICIAL OFFICES AND OTHER SPECIAL PROCEDURES

Allen County

The nine judges of the Allen County Superior Court are elected at the general election, but are placed on the general election ballot **without party designation**. (IC 33-33-2-9) A candidate for Allen County Superior Court judge must file a declaration of candidacy with the Election Division (CAN-41 form). The **first day** to file with the Election Division is **Wednesday, January 8, 2014**, and the **DEADLINE** to file is **12:00 noon, Indianapolis time, on Friday, February 7, 2014**. (IC 3-8-2-4; IC 3-8-2-5) **A declaration of candidacy presented after February 7, 2014 at 12:00 noon will not be accepted for filing.**

The declaration of candidacy form (CAN-41) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab. For the special candidate qualifications that apply to this office, see IC 33-33-2-10.

NOTE: If an individual who filed a declaration of candidacy for judge in the Allen County Superior Court ceases to be a candidate, the Election Division may accept the filing of additional declarations of candidacy for the seat not later than 12:00 noon, Indianapolis time, Friday, August 1, 2014. (IC 33-33-2-8(e))

Lake County

The judges of the Lake County Superior Court are appointed by the governor, following nominations submitted by the Superior Court of Lake County Nominating Commission. Each judge is subject to a retention vote by the voters under IC 33-33-45-25.

Marion County

The thirty-six judges of the Marion County Superior Court are elected at the general election. Candidates for these offices are nominated by political parties in the primary election using a special procedure set out in IC 33-33-49-13.

St. Joseph County

The eight judges of the St. Joseph County Superior Court are appointed by the governor, following nominations submitted by the Superior Court of St. Joseph County Nominating Commission. Each judge is subject to a retention vote by St. Joseph County voters under IC 33-33-71-42.

Vanderburgh County

The seven judges of the Vanderburgh County Superior Court (and the judge of the Vanderburgh Circuit Court) are elected at the general election but are placed on the general election ballot **without party designation**. IC 33-33-82-31. A candidate for Vanderburgh County Superior Court judge must file a declaration of candidacy with the Election Division (CAN-41 form). The **first day** to file with the Election Division is **Wednesday, January 8, 2014**, and the **DEADLINE** to file is **12:00 noon, Indianapolis time, on Friday, February 7, 2014** (IC 3-8-2-4; IC 3-8-2-5) **A declaration of candidacy presented after February 7, 2014 at 12:00 noon will not be accepted for filing.**

The declaration of candidacy form (CAN-41) is available from the Election Division's office, on the Division's website, and is included in this Guide under the *Candidate Forms* tab. For the special candidate qualifications that apply to this office, see IC 33-33-82-31.

NOTE: If an individual who filed a declaration of candidacy for judge in the Vanderburgh County Superior Court ceases to be a candidate, the Election Division may accept the filing of additional declarations of candidacy for the seat not later than 12:00 noon, Indianapolis time, Friday, August 1, 2014. (IC 33-33-82-31(c))

**CLERK OF THE CIRCUIT COURT
AND COUNTY OFFICES
CLERK OF THE CIRCUIT COURT
COUNTY AUDITOR
COUNTY RECORDER
COUNTY TREASURER
COUNTY SHERIFF
COUNTY CORONER
COUNTY SURVEYOR
COUNTY ASSESSOR
COUNTY COMMISSIONER
COUNTY COUNCIL MEMBER**

NOTE: Some (but not necessarily all) county offices will be elected in 2014. The election schedule for these offices varies from county to county according to when a county was originally organized by the state. All County Sheriffs will be elected in 2014.

A. Qualifications

1. Clerk of the Circuit Court

Article 6, Section 2 of the Constitution of the State of Indiana provides that:

“There shall be elected, in each county by the voters thereof, at the time of holding general elections, a Clerk of the Circuit Court, Auditor, Recorder, Treasurer, Sheriff, Coroner, and Surveyor, who shall, severally, hold their offices for four years; and no person shall be eligible to the office of Clerk, Auditor, Recorder, Treasurer, Sheriff, or Coroner more than eight years in any period of twelve years.”

IC 3-8-1-1 provides that:

“. . . (b) A person is not qualified to run for: . . .

(2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

“Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

(1) for which the person has been pardoned; or

(2) that has been:

(A) reversed;

(B) vacated;

(C) set aside; or

(D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

(1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;

- (2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;
- (3) in a:
 - (A) jury trial, a jury publicly announces a verdict against the person for a felony;
 - (B) bench trial, the court publicly announces a verdict against the person for a felony; or
 - (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;
- (4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;
- (5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or
- (6) the person is subject to:
 - (A) 5 U.S.C. 1502 (the Little Hatch Act); or
 - (B) 5 U.S.C. 7321-7326 (the Hatch Act);
 and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.
- (d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:
 - (1) jury has announced its verdict against the person for a felony;
 - (2) court has announced its verdict against the person for a felony; or
 - (3) person has pleaded guilty or nolo contendere to a felony;
 does not affect the operation of subsection (c).”

IC 3-8-1-33 provides that:

“Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.
 (b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

* * *

(4) A candidate for a local office..., in accordance with IC 3-8-9, except a candidate for a local office described in subdivision (3).” *(Subdivision 3 requires certain judge and prosecutor candidates to already file statements of economic interest)*

- 2. County Auditor**
- County Recorder**
- County Treasurer**
- County Sheriff**
- County Coroner**
- County Surveyor**

Article 6, Section 2 of the Constitution of the State of Indiana provides that:

“There shall be elected, in each county by the voters thereof, at the time of holding general elections, a Clerk of the Circuit Court, Auditor, Recorder, Treasurer, Sheriff, Coroner, and Surveyor, who shall, severally, hold their offices for four years; and no person shall be eligible to the office of Clerk, Auditor, Recorder, Treasurer, Sheriff, or Coroner more than eight years in any period of twelve years.”

IC 3-8-1-20 provides that:

“A candidate for the office of county auditor, recorder, treasurer, sheriff, coroner or surveyor must have resided in the county for at least one (1) year before the election, as provided in Article 6, Section 4 of the Constitution of the State of Indiana.”

IC 3-8-1-1 provides that:

“. . . (b) A person is not qualified to run for: . . .

(2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

“Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

(1) for which the person has been pardoned; or

(2) that has been:

(A) reversed;

(B) vacated;

(C) set aside; or

(D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

(1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;

(2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;

(3) in a:

(A) jury trial, a jury publicly announces a verdict against the person for a felony;

(B) bench trial, the court publicly announces a verdict against the person for a felony; or

(C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;

(4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;

(5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or

(6) the person is subject to:

(A) 5 U.S.C. 1502 (the Little Hatch Act); or

(B) 5 U.S.C. 7321-7326 (the Hatch Act);

and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.

(d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

(1) jury has announced its verdict against the person for a felony;

(2) court has announced its verdict against the person for a felony; or

(3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).”

IC 3-8-1-33 provides that:

“Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.

(b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

. * * *

(4) A candidate for a local office... , in accordance with IC 3-8-9, except a candidate for a local office described in subdivision (3).” (*Subdivision 3 requires certain judge and prosecutor candidates to already file statements of economic interest*)

3. County Assessor

IC 3-8-1-23 provides that:

“Sec. 23. (a) A candidate for the office of county assessor must:

(1) have resided in the county for at least one (1) year before the election, as provided in Article 6, Section 4 of the Constitution of the State of Indiana;

(2) own real property located in the county upon taking office; and

(3) fulfill the requirements of subsections (b) through (d), as applicable.

(b) A candidate for the office of county assessor who runs in an election after June 30, 2008, must have attained the certification of a level two assessor-appraiser under IC 6-1.1-35.5.

(c) A candidate for the office of county assessor who:

(1) did not hold the office of county assessor on January 1, 2012; and

(2) runs in an election after January 1, 2012;

must have attained the certification of a level three assessor-appraiser under IC 6-1.1-35.5.

(d) A candidate for the office of county assessor who:

(1) held the office of county assessor on January 1, 2012; and

(2) runs in an election after January 1, 2016;

must have attained the certification of a level three assessor-appraiser under IC 6-1.1-35.5.”

IC 3-8-1-1 provides that:

“ . . . (b) A person is not qualified to run for: . . .

(2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

(1) for which the person has been pardoned; or

(2) that has been:

(A) reversed;

(B) vacated;

(C) set aside; or

(D) not entered because the trial court did not accept the person's guilty plea.

- (c) A person is disqualified from assuming or being a candidate for an elected office if:
- (1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;
 - (2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;
 - (3) in a:
 - (A) jury trial, a jury publicly announces a verdict against the person for a felony;
 - (B) bench trial, the court publicly announces a verdict against the person for a felony; or
 - (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;
 - (4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;
 - (5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or
 - (6) the person is subject to:
 - (A) 5 U.S.C. 1502 (the Little Hatch Act); or
 - (B) 5 U.S.C. 7321-7326 (the Hatch Act);
 and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.
- (d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:
- (1) jury has announced its verdict against the person for a felony;
 - (2) court has announced its verdict against the person for a felony; or
 - (3) person has pleaded guilty or nolo contendere to a felony;
- does not affect the operation of subsection (c).

IC 3-8-1-33 provides that:

“Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.
 (b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

* * *(4) A candidate for a local office..., in accordance with IC 3-8-9, except a candidate for a local office described in subdivision (3).” *(Subdivision 3 requires certain judge and prosecutor candidates to already file statements of economic interest)*

4. County Commissioner

IC 3-8-1-21 provides that:

“A candidate for the office of county Commissioner must:

- (1) Have resided in the county for at least one (1) year before the election as provided in Article 6, Section 4 of the Constitution of the State of Indiana; and
- (2) Have resided in the district in which seeking election, if applicable, for at least six (6) months before the election.”

IC 3-8-1-1 provides that:

“. . . (b) A person is not qualified to run for: . . .
 (2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

- (1) for which the person has been pardoned; or
- (2) that has been:
 - (A) reversed;
 - (B) vacated;
 - (C) set aside; or
 - (D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

(1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;

(2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;

(3) in a:

- (A) jury trial, a jury publicly announces a verdict against the person for a felony;
- (B) bench trial, the court publicly announces a verdict against the person for a felony; or
- (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;

(4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;

(5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or

(6) the person is subject to:

- (A) 5 U.S.C. 1502 (the Little Hatch Act); or
- (B) 5 U.S.C. 7321-7326 (the Hatch Act);

and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.

(d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

- (1) jury has announced its verdict against the person for a felony;
- (2) court has announced its verdict against the person for a felony; or
- (3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).

IC 3-8-1-33 provides that:

“Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.

(b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

...

(4) A candidate for a local office..., in accordance with IC 3-8-9, except a candidate for a local office described in subdivision (3).” *(Subdivision 3 requires certain judge and prosecutor candidates to already file statements of economic interest)*

5. County Council Member

IC 3-8-1-22 provides that:

"A candidate for membership on the county council of a county must:

- (1) Have resided in the county for at least one (1) year before the election, as provided in Article 6, Section 4 of the Constitution of the State of Indiana; and
- (2) Have resided in the district in which seeking election, if applicable, for at least six (6) months before the election."

IC 3-8-1-1 provides that:

". . . (b) A person is not qualified to run for: . . .

- (2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination."

IC 3-8-1-5 provides that:

Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

- (1) for which the person has been pardoned; or
- (2) that has been:
 - (A) reversed;
 - (B) vacated;
 - (C) set aside; or
 - (D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

- (1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;
- (2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;
- (3) in a:
 - (A) jury trial, a jury publicly announces a verdict against the person for a felony;
 - (B) bench trial, the court publicly announces a verdict against the person for a felony; or
 - (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;
- (4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;
- (5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or
- (6) the person is subject to:
 - (A) 5 U.S.C. 1502 (the Little Hatch Act); or
 - (B) 5 U.S.C. 7321-7326 (the Hatch Act);and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.
- (d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

- (1) jury has announced its verdict against the person for a felony;
- (2) court has announced its verdict against the person for a felony; or
- (3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).

IC 3-8-1-33 provides that:

“Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.

(b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

...

(4) A candidate for a local office..., in accordance with IC 3-8-9, except a candidate for a local office described in subdivision (3).” (*Subdivision 3 requires certain judge and prosecutor candidates to already file statements of economic interest*)

B. Democratic and Republican Party Candidates Nominated at the Primary Election

1. Filing Requirements

Candidates for the office of circuit court clerk and county offices from the Democratic or Republican Party will be nominated at the primary election to be held on Tuesday, May 6, 2014.

A candidate for the nomination for the office of circuit court clerk or a county office by the Democratic or Republican Party must file a statement of economic interest and declaration of candidacy with the county election board. (IC 3-8-1-33 and IC 3-8-2-6) The county is required to reject a declaration of candidacy that does not include a statement of economic interest. (IC 3-8-9-6) (Petitions signed by registered voters are **NOT** required of Democratic or Republican Party candidates for the office of circuit court clerk and county offices.)

The **first day** to submit a declaration of candidacy to the county election board is **Wednesday, January 8, 2014**, and the **DEADLINE** to file is **12:00 noon, prevailing local time, Friday, February 7, 2014**. (IC 3-8-2-4; IC 3-8-2-5) **A declaration of candidacy presented after February 7, 2014 at 12:00 noon will not be accepted for filing.**

The declaration of candidacy form (CAN-2) and statement of economic interest (CAN-12) are available from the Election Division’s office, on the Division’s website, and each circuit court clerk’s office. A CAN-2 and CAN-12 are included in this Guide under the *Candidate Forms* tab.

2. Political Party Affiliation

Indiana Code 3-8-2-7 sets forth the standard for determining the political party affiliation of a candidate who files a declaration of candidacy for a primary election. The political party affiliation of the candidate is deemed to be:

- (1) the political party in whose primary the candidate most recently voted in Indiana; or
- (2) the political party of the county chair of the county in which the candidate resides who certifies that the candidate is a member of that political party.

3. Candidate Withdrawal Requirements

Primary Election Candidate Withdrawal

A candidate for the office of circuit court clerk or a county office who filed with the county election board a declaration of candidacy for the primary election, may file written notice of candidate withdrawal with the county election board certifying that the individual no longer wishes to be a candidate. The **DEADLINE** to file this notice with the county election board is **12:00 noon, prevailing local time, Monday, February 10, 2014.** (IC 3-8-2-20) Upon receipt of this notice, the county election board will **not** certify that individual's name as a candidate for the primary election. (IC 3-8-2-21) **Notice of candidate withdrawal filed after February 10, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The primary election candidate withdrawal form (CAN-10) is available from the Election Division's office, on the Division's website, and each circuit court clerk's office. A CAN-10 is included in this Guide under the *Candidate Forms* tab.

General Election Candidate Withdrawal

After the primary, if a nominee for the office of circuit court clerk or a county office wishes to withdraw from the ticket for the general election, the nominee must file a written notice of candidate withdrawal with the county election board. The **DEADLINE** to file this notice with the county election board is **12:00 noon, prevailing local time, on Tuesday, July 15, 2014.** (IC 3-8-7-28) Upon receipt of this notice, the county election board will **not** certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and each circuit court clerk's office. A CAN-24 is included in this Guide under the *Candidate Forms* tab.

C. Libertarian Party Candidates

1. Filing Requirements

Libertarian Party candidates are not nominated in a primary election, but are nominated by political party convention. (IC 3-8-4-10)

The Libertarian Party will nominate candidates for the office of circuit court clerk or county offices at the Party's county conventions. Candidates for these offices should contact the Libertarian Party's state committee for information concerning any candidate filing requirements.

Libertarian Party candidates for the office of circuit court clerk or county offices are **not** required to file declarations of candidacy with the county election board. Instead, the Libertarian Party chair and secretary will certify the Party's nominees to the county election board (CAN-22)

Indiana law now requires all Libertarian candidates for county office to file a statement of economic interests along with the certificate of nomination. (IC 3-8-9-5) The statement of economic interests (CAN-12) is available at each circuit court clerk's office and is included in the Guide under the *Candidate Forms* tab.

2. Candidate Withdrawal Requirements

If a nominee for the office of circuit court clerk or a county office wishes to withdraw from the Libertarian Party ticket for the general election, the nominee must file a written notice of candidate withdrawal with the county election board. The **DEADLINE** to file this notice with the county election board is **12:00 noon, prevailing local time, on Tuesday, July 15, 2014.** (IC 3-8-7-28) Upon receipt of this notice, the county election board will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and each circuit court clerk's office. A CAN-24 is included in this Guide under the *Candidate Forms* tab.

D. Minor Party and Independent Candidates

1. Filing Requirements

This section addresses the filing and petition requirements for a person who does not intend to affiliate with the Democratic, Libertarian or Republican Party, and who does not intend to be a write-in candidate.

A person who wishes to become an independent candidate or a candidate of a minor party not qualified to nominate candidates in a primary election or by political party convention, and who wishes to be a candidate for the office of circuit court clerk or a county office at the general election, must file a statement of economic interests (CAN-12 form), written consent to become a candidate (CAN-20 form) and a petition of nomination (CAN-19 form) with the county election board. (IC 3-8-6-12 and IC 3-8-6-14(a))

Each candidate nominated by petition of nomination must satisfy all statutory eligibility requirements for the office for which the candidate is nominated. (IC 3-8-6-14)

The statement of economic interest (CAN-12), written consent form (CAN-20), and petition of nomination form (CAN-19) are available from the Election Division's office, on the Division's website, and each circuit court clerk's office. A CAN-12, CAN-19 and CAN-20 are included in this Guide under the *Candidate Forms* tab.

In order to be placed on the general election ballot, an independent or minor party candidate must obtain signatures of registered voters in the election district the candidate seeks to represent. A petition of nomination must be signed by the number of registered voters equal to 2% of the total votes cast for secretary of state in the 2010 general election **in the election district** the candidate seeks to represent. Any fraction in excess of a whole number is disregarded in computing this figure. (IC 3-8-6-3) Signatures on any petition of nomination must be those of registered voters of the state who reside in the district the candidate seeks to represent. (IC 3-8-6-2)

EXAMPLE: A candidate for the office of circuit court clerk must obtain signatures of registered voters equal to 2% of the total votes cast for secretary of state in the 2010 general election in the county.

Circuit court clerks should have information on the precinct votes for the office of secretary of state in the 2010 general election to help determine the number of signatures required for a candidate seeking ballot placement by petition of nomination. A chart listing the 2% ballot access requirement for each county is included under the *2010 Vote for Secretary of State* tab of this Guide.

The county voter registration office in the county where the individual signing the petition is registered must certify whether each person who signs the petition is a registered voter in the county. This certification must accompany and be a part of the petition of nomination. (This certification is on the reverse side of the CAN-19 form.) (IC 3-8-6-10; IC 3-8-6-11)

The **first day** a candidate for the office of circuit court clerk or a county office may submit the petition of nomination (CAN-19), accompanied by the written consent form (CAN-20) to the county voter registration office for certification is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, prevailing local time, Monday, June 30, 2014**. (IC 3-8-6-12)

For candidates for the office of circuit court clerk or county offices, once the county voter registration office certifies the petitions of nomination, these certified petitions along with the candidate's consent (CAN-20 form) must be filed with the county election board. The **DEADLINE** for filing the statement of economic interest (CAN-12), certified petition of nomination (CAN-19), accompanied by the written consent form (CAN-20) with the county election board is **12:00 noon, prevailing local time, Tuesday, July 15, 2014**. (IC 3-8-6-10; IC 3-8-6-12) The county is required to reject a declaration of candidacy that does not include a statement of economic interest. (IC 3-8-9-6) The county voter registration office must file the certified petitions of nomination with the county election board. However, the candidate for the office of circuit court clerk or a county office may request that the county voter registration office return the original petitions to the candidate so that the candidate may file the certified petitions (along with the CAN-20 form) with the county election board to be placed on the general election ballot. (IC 3-8-6-10)

2. Nominating Petition Requirements

Candidates or political party members may wish to contact county voter registration offices to coordinate the processing of nominating petitions. Some county offices prefer to process all petitions for a candidate at the same time, while others are willing to process partial submissions.

Sometimes a county voter registration office rejects a signature on a nominating petition because the individual who signed the petition is not a registered voter in the county. Although a minor variation between the name or address of a petition signer and the name or address on the county voter registration records does not invalidate the signature, a substantial variation renders the signature invalid. Reasonable doubts must be resolved in favor of the signer of the petition. (IC 3-5-6)

3. Political Party Names

A candidate may not submit a petition of nomination requesting ballot placement for a political party whose name would result in voter confusion due to its similarity with another party's name. If the candidate declines to amend the petition to remove this confusion, the petition may be challenged, and shall be denied if the county election board finds that confusion would exist. (IC 3-8-6-5.5) A candidate must indicate whether the candidate is affiliated with any other candidate or group of candidates filing a petition under the same political party name. (IC 3-8-6-5)

4. Candidate Withdrawal Requirements

The **DEADLINE** for a person nominated by petition for the office of circuit court clerk or a county office who wishes to withdraw from the general election ballot to file a written notice of candidate withdrawal with the county election board is **12:00 noon, prevailing local time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the county election board will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and each circuit court clerk's office. A CAN-24 is included in this Guide under the *Candidate Forms* tab.

E. Write-in Candidates

1. Filing Requirements

Indiana law provides that only votes for declared write-in candidates are counted. (IC 3-12-1-1.7(a))

A person who desires to be a write-in candidate for the office of circuit court clerk or a county office in the general election on Tuesday, November 4, 2014 must file a statement of economic interest (CAN-12 form) and declaration of intent to be a write-in candidate (CAN 3 form) with the county election board. (IC 3-8-2-2.5) A county is required to reject a declaration that does not contain a statement of economic interests. (IC 3-8-9-6)

The CAN-12 and CAN-3 forms are available from the Election Division's office, on the Division's website, and each circuit court clerk's office. The CAN-12 and CAN-3 are included in this Guide under the *Candidate Forms* tab.

The **first day** a write-in candidate may file the CAN-3 and CAN-12 form with the county election board is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, prevailing local time, Thursday, July 3, 2014**. (IC 3-8-2-2.5; IC 3-8-2-4; IC 3-8-2-5; IC 3-11-2-11.5)

2. Candidate Withdrawal Requirements

The **DEADLINE** for a person who files a declaration of intent to be a write-in candidate for the office of circuit court clerk or a county office to file a written notice of candidate withdrawal with the county election board is **12:00 noon, prevailing local time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the county election board will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and each circuit court clerk's office. A CAN-24 is included in this Guide under the *Candidate Forms* tab.

3. Political Party Affiliation

A write-in candidate for circuit or county office may claim, on the candidate's declaration, affiliation with a political party other than the Democratic Party, the Libertarian Party, or the Republican Party (the parties whose nominee for Secretary of State of Indiana received at least 2% of the total votes cast in the most recent election for the office of Secretary of State (November 2010)). (IC 3-8-2-2.5)

However, if a write-in candidate claims affiliation with a political party: (1) that already has ballot access, (2) of a candidate who has previously filed a petition of nomination under IC 3-8-6, or (3) whose name would result in voter confusion due to its similarity with the name of the political party in (1) or (2), then a registered voter of the election district may question the validity of the filing under IC 3-8-1-2. The county election board shall determine the validity of the questioned filing. If the county election board determines that the candidate's stated party affiliation would result in voter confusion due to its similarity with another party's name, and the candidate declines to amend the declaration to remove this confusion, then the board shall deny the filing. (IC 3-8-2-12.5)

TOWNSHIP OFFICES
TOWNSHIP ASSESSOR
TOWNSHIP TRUSTEE
TOWNSHIP BOARD MEMBER
JUDGE OF THE MARION SMALL CLAIMS COURT
CONSTABLE OF THE MARION SMALL CLAIMS COURT

NOTE: All township officials will be elected in 2014 except for some township board members in Marion County who will be elected in 2016. These boards were formerly called “Township Advisory Boards”.

A. Qualifications

1. Township Assessor

In most townships, the role of assessor was one of several duties performed by the township trustee. In these townships, the township assessor was not a separately elected office. Although these assessing duties were transferred from the township trustee to the county assessor in 2008, the township trustee remains an elected office.

In other townships, where the office of township assessor was a separately elected office, some changes have taken place. In townships where the number of parcels of real property on January 1, 2008, was less than fifteen thousand (15,000), the 2008 General Assembly transferred the assessment duties to the county assessor, and the office of township assessor was abolished.

In townships where the number of parcels was more than 15,000 on that date, whether the office of township assessor should be abolished was put to a vote on the 2008 general election ballot. As a result, some larger townships no longer have a separately elected township assessor; those duties have been transferred to the county assessor.

In those larger townships that voted to keep the office of township assessor, an election will take place in 2014 to elect a township assessor. For those townships, the following qualifications apply.

IC 3-8-1-23.6 provides that:

“Sec. 23.6. (a) A person who runs in an election after June 30, 2008, for the office of township assessor under IC 36-6-5-1 must have attained the certification of a level two assessor-appraiser under IC 6-1.1-35.5 before taking office.

(b) A person who runs in an election after January 1, 2012, for the office of township assessor under IC 36-6-5-1 must have attained the certification of a level three assessor-appraiser under IC 6-1.1-35.5 before taking office.”

IC 3-8-1-1 provides that:

“. . . (b) A person is not qualified to run for: . . .

(2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

“Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

- (1) for which the person has been pardoned; or
- (2) that has been:
 - (A) reversed;
 - (B) vacated;
 - (C) set aside; or
 - (D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

(1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;

(2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;

(3) in a:

- (A) jury trial, a jury publicly announces a verdict against the person for a felony;
- (B) bench trial, the court publicly announces a verdict against the person for a felony; or
- (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;

(4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;

(5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or

(6) the person is subject to:

- (A) 5 U.S.C. 1502 (the Little Hatch Act); or
- (B) 5 U.S.C. 7321-7326 (the Hatch Act);

and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.

(d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

- (1) jury has announced its verdict against the person for a felony;
- (2) court has announced its verdict against the person for a felony; or
- (3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).”

IC 3-8-1-33 provides that:

“Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.

(b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

* * *

(4) A candidate for a local office..., in accordance with IC 3-8-9, except a candidate for a local office described in subdivision (3).” (*Subdivision 3 requires certain judge and prosecutor candidates to already file statements of economic interest*)

2. Township Trustee

IC 3-8-1-1 provides that:

“. . . (b) A person is not qualified to run for: . . .

(2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

“Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

(1) for which the person has been pardoned; or

(2) that has been:

(A) reversed;

(B) vacated;

(C) set aside; or

(D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

(1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;

(2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;

(3) in a:

(A) jury trial, a jury publicly announces a verdict against the person for a felony;

(B) bench trial, the court publicly announces a verdict against the person for a felony; or

(C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;

(4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;

(5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or

(6) the person is subject to:

(A) 5 U.S.C. 1502 (the Little Hatch Act); or

(B) 5 U.S.C. 7321-7326 (the Hatch Act);

and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.

(d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

(1) jury has announced its verdict against the person for a felony;

(2) court has announced its verdict against the person for a felony; or

(3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).”

IC 3-8-1-33 provides that:

“Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.

(b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

...
(4) A candidate for a local office..., in accordance with IC 3-8-9, except a candidate for a local office described in subdivision (3).” (*Subdivision 3 requires certain judge and prosecutor candidates to already file statements of economic interest*)

3. Township Board Member

In Marion County, each township board has seven members until 2017, and five members beginning January 1, 2017. In Marion County, township board members are elected only by voters of the district. These candidates must be registered voters of the township board district. (IC 36-6-6-2.2)

IC 3-8-1-1 provides that:

“... (b) A person is not qualified to run for: . . .

(2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

“Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

(1) for which the person has been pardoned; or

(2) that has been:

(A) reversed;

(B) vacated;

(C) set aside; or

(D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

(1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;

(2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;

(3) in a:

(A) jury trial, a jury publicly announces a verdict against the person for a felony;

(B) bench trial, the court publicly announces a verdict against the person for a felony; or

(C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;

(4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;

(5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or

(6) the person is subject to:

(A) 5 U.S.C. 1502 (the Little Hatch Act); or

(B) 5 U.S.C. 7321-7326 (the Hatch Act);

and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.

(d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

(1) jury has announced its verdict against the person for a felony;

(2) court has announced its verdict against the person for a felony; or

(3) person has pleaded guilty or nolo contendere to a felony; does not affect the operation of subsection (c).”

IC 3-8-1-33 provides that:

“Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.

(b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

* * *

(4) A candidate for a local office..., in accordance with IC 3-8-9, except a candidate for a local office described in subdivision (3).” (Subdivision 3 requires certain judge and prosecutor candidates to already file statements of economic interest)

Township Board “Candidate Shortage”

In some rural townships, it has become increasingly difficult to find enough candidates to run for the office of township board. If no candidate runs for this office, Article 15, Section 3 of the Constitution of the State of Indiana provides that the currently serving members of the township board automatically serve another four year term. If only one or two candidates run for these three seats, the result becomes more complicated. While each candidate who ran is automatically elected, the Board of County Commissioners must decide which currently serving township board members will serve another four year term to fill the seats for which no candidate ran. (See IC 3-13-10-6.5 and IC 3-13-11-20 for the procedures for the Commissioners to make this decision.)

4. Judge of the Marion County Small Claims Court

Statement of Economic Interest: A candidate for judge of the Marion County Small Claims Court must file a statement of economic interest with the State Court Administration. (IC 33-23-11-14 & 15)

The statement of economic interest form is available from the State Court Administration Office.

A candidate for Judge of the Marion County Small Claims Court files with the Indiana Election Division. The Election Division will require a receipt or a copy of the statement file stamped by the State Court Administration Office verifying that the statement of economic interest and other prerequisite filings have been completed. (IC 3-8-2-11) A file stamped copy of this filing with State Court Administration (or photocopy of that file-stamped document) serves as a receipt.

IC 3-8-1-30 provides that:

“A candidate for the office of judge of a small claims court must:

- (1) be a United States citizen upon taking office;
- (2) either:
 - (A) have resided in the township from which the candidate is elected for at least one (1) year upon taking office; or
 - (B) have been elected as a small claims court judge in the township before 1999;
- (3) be of high moral character and reputation; and
- (4) be admitted to the practice of law in Indiana upon filing a declaration of candidacy or petition of nomination or upon the filing of a certificate of candidate selection under IC 3-13-1-15 or IC 3-13-2-8.”

IC 3-8-1-1 provides that:

“ . . . (b) A person is not qualified to run for: . . .

(2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

“Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

(1) for which the person has been pardoned; or

(2) that has been:

(A) reversed;

(B) vacated;

(C) set aside; or

(D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

(1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;

(2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;

(3) in a:

(A) jury trial, a jury publicly announces a verdict against the person for a felony;

(B) bench trial, the court publicly announces a verdict against the person for a felony; or

(C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;

(4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;

(5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or

(6) the person is subject to:

(A) 5 U.S.C. 1502 (the Little Hatch Act); or

(B) 5 U.S.C. 7321-7326 (the Hatch Act);

and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.

(d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

(1) jury has announced its verdict against the person for a felony;

(2) court has announced its verdict against the person for a felony; or

(3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).”

5. Constable of the Marion County Small Claims Court

IC 3-8-1-31 provides that:

“A candidate for the office of constable of a small claims court must:

(1) have resided in the township for more than one (1) year upon taking office; and

(2) be at least twenty-one (21) years old upon taking office.”

IC 3-8-1-1 provides that:

“ . . . (b) A person is not qualified to run for: . . .

(2) A local office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

“Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

- (1) for which the person has been pardoned; or
- (2) that has been:
 - (A) reversed;
 - (B) vacated;
 - (C) set aside; or
 - (D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

- (1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;
 - (2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;
 - (3) in a:
 - (A) jury trial, a jury publicly announces a verdict against the person for a felony;
 - (B) bench trial, the court publicly announces a verdict against the person for a felony; or
 - (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;
 - (4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;
 - (5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or
 - (6) the person is subject to:
 - (A) 5 U.S.C. 1502 (the Little Hatch Act); or
 - (B) 5 U.S.C. 7321-7326 (the Hatch Act);and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.
- (d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

- (1) jury has announced its verdict against the person for a felony;
- (2) court has announced its verdict against the person for a felony; or
- (3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).”

A candidate for Constable of Marion County Small Claims Court files with the Marion County Election Board.

IC 3-8-1-33 provides that:

“Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.

(b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

* * *

(4) A candidate for a local office..., in accordance with IC 3-8-9, except a candidate for a local office described in subdivision (3).” (*Subdivision 3 requires certain judge and prosecutor candidates to already file statements of economic interest*)

B. Democratic and Republican Party Candidates Nominated at the Primary Election

1. Filing Requirements

Candidates for a township office from the Democratic or Republican Party will be nominated at the primary election to be held on Tuesday, May 6, 2014.

A candidate for the nomination for a township office by the Democratic or Republican Party must file a statement of economic interest and declaration of candidacy with the county election board. (IC 3-8-2-6) The county is required to reject a declaration of candidacy that does not include a statement of economic interest. (IC 3-8-9-6) (Petitions signed by registered voters are **NOT** required of Democratic or Republican Party candidates for the office of circuit court clerk and county offices.)

The **first day** to submit a declaration of candidacy to the county election board is **Wednesday, January 8, 2014**, and the **DEADLINE** to file is **12:00 noon, prevailing local time, Friday, February 7, 2014**. (IC 3-8-2-4; IC 3-8-2-5) **A statement of economic interest or declaration of candidacy presented after February 7, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The statement of economic interest (CAN-12) and declaration of candidacy form (CAN-2) are available from the Election Division’s office, on the Division’s website, and each circuit court clerk’s office. A CAN-2 and CAN-12 are included in this Guide under the *Candidate Forms* tab.

2. Political Party Affiliation

Indiana Code 3-8-2-7 sets forth the standard for determining the political party affiliation of a candidate who files a declaration of candidacy for a primary election. The political party affiliation of the candidate is deemed to be:

- (1) the political party in whose primary the candidate most recently voted in Indiana; or
- (2) the political party of the county chair of the county in which the candidate resides who certifies that the candidate is a member of that political party.

3. Candidate Withdrawal Requirements

Primary Election Candidate Withdrawal

A candidate for a township office who filed with the county election board a declaration of candidacy for the primary election, may file written notice of candidate withdrawal with the county election board certifying that the individual no longer wishes to be a candidate. The **DEADLINE** to file this notice with the county election board is **12:00 noon, prevailing local time, Monday, February 10, 2014**. (IC 3-8-2-20) Upon receipt of this notice, the county election board will **not** certify that individual’s name as a candidate for the primary election. (IC 3-8-2-21) **Notice of candidate withdrawal filed after February 10, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The primary election candidate withdrawal form (CAN-10) is available from the Election Division’s office, on the Division’s website, and each circuit court clerk’s office. A CAN-10 is included in this Guide under the *Candidate Forms* tab.

General Election Candidate Withdrawal

After the primary, if a nominee for a township office wishes to withdraw from the ticket for the general election, the nominee must file a written notice of candidate withdrawal with the county election board. The **DEADLINE** to file this notice with the county election board is **12:00 noon, prevailing local time, on Tuesday, July 15, 2014.** (IC 3-8-7-28) Upon receipt of this notice, the county election board will **not** certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and each circuit court clerk's office. A CAN-24 is included in this Guide under the *Candidate Forms* tab.

C. Libertarian Party Candidates

1. Filing Requirements

Libertarian Party candidates are not nominated in a primary election, but are nominated by political party convention. (IC 3-8-4-10)

The Libertarian Party will nominate candidates for township offices at the Party's county conventions. Candidates for these offices should contact the Libertarian Party's state committee for information concerning any candidate filing requirements.

Libertarian Party candidates for township offices are **not** required to file declarations of candidacy with the county election board. Instead, the Libertarian Party chair and secretary will certify the Party's nominees to the county election board. (CAN-22)

Indiana law now requires all Libertarian candidates for township offices to file a statement of economic interests along with the certificate of nomination. (IC 3-8-9-5) The statement of economic interests (CAN-12) is available at each circuit court clerk's office and is included in the Guide under the *Candidate Forms* tab.

2. Candidate Withdrawal Requirements

If a nominee for a township office wishes to withdraw from the Libertarian Party ticket for the general election, the nominee must file a written notice of candidate withdrawal with the county election board. The **DEADLINE** to file this notice with the county election board is **12:00 noon, prevailing local time, on Tuesday, July 15, 2014.** (IC 3-8-7-28) Upon receipt of this notice, the county election board will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and each circuit court clerk's office. A CAN-24 is included in this Guide under the *Candidate Forms* tab.

D. Minor Party and Independent Candidates

1. Filing Requirements

This section addresses the filing and petition requirements for a person who does not intend to affiliate with the Democratic, Libertarian or Republican Party, and who does not intend to be a write-in candidate.

A person who wishes to become an independent candidate or a candidate of a minor party not qualified to nominate candidates in a primary election or by political party convention, and who wishes to be a candidate for a township office at the general election, must file a statement of economic interest (CAN-12), written consent to become a candidate (CAN-20 form) and a petition of nomination (CAN-19 form) with the county election board. (IC 3-8-6-12 and IC 3-8-6-14(a)) The county is required to reject a declaration of candidacy that does not include a statement of economic interest. (IC 3-8-9-6)

Each candidate nominated by petition of nomination must satisfy all statutory eligibility requirements for the office for which the candidate is nominated. (IC 3-8-6-14)

The statement of economic interest (CAN-12), written consent form (CAN-20) and petition of nomination form (CAN-19) are available from the Election Division's office, on the Division's website, and each circuit court clerk's office. A CAN-12, CAN-19 and CAN-20 are included in this Guide under the *Candidate Forms* tab.

To be placed on the general election ballot, an independent or minor party candidate must obtain signatures of registered voters in the election district the candidate seeks to represent. A petition of nomination must be signed by the number of registered voters equal to 2% of the total votes cast for secretary of state in the 2010 general election **in the election district** the candidate seeks to represent. Any fraction in excess of a whole number is disregarded in computing this figure. (IC 3-8-6-3) Signatures on any petition of nomination must be those of registered voters of the state who reside in the district the candidate seeks to represent. (IC 3-8-6-2)

EXAMPLE: A candidate for the office of a Marion County township board member must obtain signatures of registered voters equal to 2% of the total votes cast for secretary of state in the 2010 general election in that township board election district.

Circuit court clerks should have information on the precinct votes for the office of secretary of state in the 2010 general election to help determine the number of signatures required for a candidate seeking ballot placement by petition of nomination. A chart listing the 2% ballot access requirement for each county is included under the *2010 Vote for Secretary of State* tab of this Guide.

For a petition of nomination to be accepted for filing, the county voter registration office in the county where the individual signing the petition is registered must certify whether each person who signs the petition is a registered voter in the county. This certification must accompany and be a part of the petition of nomination. (This certification is on the reverse side of the CAN-19 form.) (IC 3-8-6-10; IC 3-8-6-11)

The **first day** a candidate for a township office may submit the petition of nomination, accompanied by the written consent form (CAN-20) to the county voter registration office for certification is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, prevailing local time, Monday, June 30, 2014**. (IC 3-8-6-12)

For candidates for township offices, once the county voter registration office certifies the petitions of nomination, these certified petitions along with the candidate's consent (CAN-20 form) must be filed with the county election board. The **DEADLINE** for filing the statement of economic interest (CAN-12), petition of nomination (CAN-19), accompanied by the written consent form (CAN-20) with the county election board is **12:00 noon, prevailing local time, Tuesday, July 15, 2014**. (IC 3-8-6-10; IC 3-8-6-12) The county voter registration office must file the certified petitions of nomination with the county election board. However, the

candidate for a township office may request that the county voter registration office return the original petitions to the candidate so that the candidate may file the certified petitions (along with the CAN-20 form) with the county election board to be placed on the general election ballot. (IC 3-8-6-10)

2. Nominating Petition Requirements

Candidates or political party members may wish to contact county voter registration offices to coordinate the processing of nominating petitions. Some county offices prefer to process all petitions for a candidate at the same time, while others are willing to process partial submissions.

Sometimes a county voter registration office rejects a signature on a nominating petition because the individual who signed the petition is not a registered voter in the county.. Although a minor variation between the name or address of a petition signer and the name or address on the county voter registration records does not invalidate the signature, a substantial variation renders the signature invalid. Reasonable doubts must be resolved in favor of the signer of the petition. (IC 3-5-6)

3. Political Party Names

A candidate may not submit a petition of nomination requesting ballot placement for a political party whose name would result in voter confusion due to its similarity with another party's name. If the candidate declines to amend the petition to remove this confusion, the petition shall be denied. (IC 3-8-6-5.5) A candidate must indicate whether the candidate is affiliated with any other candidate or group of candidates filing a petition under the same political party name. (IC 3-8-6-5)

4. Candidate Withdrawal Requirements

The **DEADLINE** for a person nominated by petition for a township office who wishes to withdraw from the general election ballot to file a written notice of candidate withdrawal with the county election board is **12:00 noon, prevailing local time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the county election board will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and each circuit court clerk's office. A CAN-24 is included in this Guide under the *Candidate Forms* tab.

E. Write-in Candidates

1. Filing Requirements

Indiana law provides that only votes for declared write-in candidates are counted. (IC 3-12-1-1.7(a))

A person who desires to be a write-in candidate for a township office in the general election on Tuesday, November 4, 2014 must file a statement of economic interest (CAN-12 form) and declaration of intent to be a write-in candidate (CAN 3 form) with the county election board. (IC 3-8-1-33 and IC 3-8-2-2.5) The county is required to reject a declaration of candidacy that does not include a statement of economic interest. (IC 3-8-9-6)

The CAN-12 and CAN-3 form are available from the Election Division's office, on the Division's website, and each circuit court clerk's office. A CAN-12 and CAN-3 are included in this Guide under the *Candidate Forms* tab.

The **first day** a write-in candidate may file the CAN-12 and CAN-3 forms with the county election board is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, prevailing local time, Thursday, July 3, 2014**. (IC 3-8-2-2.5; IC 3-8-2-4; IC 3-8-2-5; IC 3-11-2-11.5)

2. Candidate Withdrawal Requirements

The **DEADLINE** for a person who files a declaration of intent to be a write-in candidate for a township office to file a written notice of candidate withdrawal with the county election board is **12:00 noon, prevailing local time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the county election board will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, on the Division's website, and each circuit court clerk's office. A CAN-24 is included in this Guide under the *Candidate Forms* tab.

3. Political Party Affiliation

A write-in candidate for township office may claim, on the candidate's declaration, affiliation with a political party other than the Democratic Party, the Libertarian Party, or the Republican Party (the parties whose nominee for Secretary of State of Indiana received at least 2% of the total votes cast in the most recent election for the office of Secretary of State (November 2010)). (IC 3-8-2-2.5)

However, if a write-in candidate claims affiliation with a political party: (1) that already has ballot access, (2) of a candidate who has previously filed a petition of nomination under IC 3-8-6, or (3) whose name would result in voter confusion due to its similarity with the name of the political party in (1) or (2), then a registered voter of the election district may question the validity of the filing under IC 3-8-1-2. The county election board shall determine the validity of the questioned filing. If the county election board determines that the candidate's stated party affiliation would result in voter confusion due to its similarity with another party's name, and the candidate declines to amend the declaration to remove this confusion, then the board shall deny the filing. (IC 3-8-2-12.5)

SCHOOL BOARD OFFICES

SCHOOL BOARD MEMBER

A. General Information

The procedures for selecting school board members are usually set forth in the “school corporation organization plan” adopted by the school corporation during the school consolidation process of the 1950s and 1960s, and as subsequently amended. (IC 20-23, IC 20-23-6 and IC 20-23-9)

In certain school corporations, all or some of the school board members are appointed rather than elected by the voters. (IC 20-23-4-28) As a result of P.L. 179-2011, in school corporations that elect school board members, all members will be elected at the same time as the general election (November 4, 2014, or in certain cases, in November 2016). Some school board members are elected “at large” for the entire school corporation, while others are elected to represent specific **districts** that are only part of the school corporation territory.

IN ALL CASES, CANDIDATES FOR SCHOOL BOARD APPEAR ON THE BALLOT WITHOUT A PARTY DESIGNATION. (IC 20-23-4-29(e))

B. Qualifications for Candidates and for Assuming Office

A few school corporations have school boards organized by state legislation. Candidates for school board in the following jurisdictions should consult the appropriate state statute for detailed information concerning candidate qualifications and election procedures:

Gary	IC 20-23-12
Hammond	IC 20-23-13 and IC 20-23-8-13
Indianapolis Public Schools	IC 20-25-3
Lake Station	IC 20-23-14
South Bend	IC 20-23-15
Mishawaka	IC 20-23-17
East Chicago	IC 20-23-17.2

IC 3-8-1-34 provides that:

“(a) A candidate for a school board office must have resided in the school corporation for at least one (1) year before the election, unless a longer period is required under IC 20.

(b) This subsection applies to a candidate for school board office seeking to represent an election district that consists of less than the entire school corporation. The candidate must have resided in the election district for at least one (1) year before the election, unless a longer period is required under IC 20.”

IC 3-8-1-1 provides that:

“. . . (b) A person is not qualified to run for: . . .

(2) A school board office; . . .

unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

- (1) for which the person has been pardoned; or
- (2) that has been:
 - (A) reversed;
 - (B) vacated;
 - (C) set aside; or
 - (D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

(1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;

(2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;

(3) in a:

- (A) jury trial, a jury publicly announces a verdict against the person for a felony;
- (B) bench trial, the court publicly announces a verdict against the person for a felony; or
- (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;

(4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;

(5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or

(6) the person is subject to:

- (A) 5 U.S.C. 1502 (the Little Hatch Act); or
- (B) 5 U.S.C. 7321-7326 (the Hatch Act);

and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.

(d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

- (1) jury has announced its verdict against the person for a felony;
- (2) court has announced its verdict against the person for a felony; or
- (3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).

IC 3-8-1-33 provides that:

"Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.

(b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

...

(4) A candidate for a...school board office, in accordance with IC 3-8-9...,

IC 20-26-4-9 provides that:

"An individual who is at least twenty-one (21) years of age and is otherwise eligible to assume office as a member of a governing body may not be disqualified on the basis of age."

IC 20-26-4-11 provides that:

“(A)n individual who is employed as a teacher or as a noncertified employee (as defined in IC 20-29-2-11) of the school corporation may not be a member of the governing body of the school corporation.”

C. Filing Requirements

A candidate for a school board office must file a statement of economic interest and petition of nomination. (IC 3-8-2-2.2) The county is required to reject a declaration of candidacy that does not include a statement of economic interest. (IC 3-8-9-6) **The statement of economic interest (CAN-12) and petition form (CAN-34) are available from the Election Division, the Division’s website, and each circuit court clerk’s office. The CAN-12 and CAN-34 are included in this Guide under the *Candidate Forms* tab.**

In a metropolitan school corporation, the petition must be signed by ten (10) registered voters residing **in the same board member district** as the nominee. (IC 20-23-7-8)

In a community school corporation, the petition must be signed by ten (10) registered voters residing within the boundaries of the school corporation. (IC 20-23-4-29)

Additional petition requirements may apply in some school corporations. School board member candidates should consult a personal attorney if necessary.

1. General Election

Candidates for school board office on the general election ballot will be elected at the general election to be held on Tuesday, November 4, 2014.

A candidate for the election of school board office at the general election must file the petition of nomination with the county election board located in the county seat of the county containing the greatest percentage of population of the school corporation. (IC 3-8-2-6)

The **first day** for a candidate for a school board office to file a petition of nomination with the county election board is **Wednesday, July 23, 2014**, and the **DEADLINE** is **12:00 noon, prevailing local time, on Friday, August 22, 2014**. (IC 3-8-2.5-4; IC 20-23-4-29; IC 20-23-7-8.1; IC 20-23-12-5; IC 20-23-14-5; IC 20-23-17-3; and IC 20-23-17.2-5)

D. Candidate Withdrawal

School board candidates may file a withdrawal of their candidacy not later than **noon, Tuesday, August 26, 2014**.

The general election candidate withdrawal form (CAN-24) is available from the Election Division’s office, the Division’s website, and each circuit court clerk’s office. A CAN-24 is included in this Guide under the *Candidate Forms* tab.

E. Write-in Candidates

Indiana law provides that only votes for declared write-in candidates are counted. (IC 3-12-1-1.7(a))

A person who desires to be a write-in candidate for a school board office at the general election on Tuesday, November 4, 2014 must file a statement of economic interest (CAN-12) and a declaration of intent to be a write-in candidate (CAN-3 form) with the county election board located in the county seat of the county

containing the greatest percentage of population of the school corporation. (IC 3-8-2-2.5; IC 3-8-2-4; IC 20-4-1-26.4)) The county is required to reject a declaration of candidacy that does not include a statement of economic interest. (IC 3-8-9-6)

The CAN-12 and CAN-3 forms are available from the Election Division's office, on the Division's website, and each circuit court clerk's office. The CAN-12 and CAN-3 forms are included in this Guide under the *Candidate Forms* tab.

The **first day** a write-in candidate for a school board office may file the CAN-12 and CAN-3 forms with the county election board for the general election is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, prevailing local time, Thursday, July 3, 2014**. (IC 3-8-2-2.5; IC 3-8-2.5-4; IC 20-4-1-26.4)

b. Candidate Withdrawal Requirements

Declared write-in candidates for school board may file a withdrawal of their candidacy not later than **noon, Monday, August 25, 2014**. (IC 3-8-2.5-4)

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office, the Division's website, and each circuit court clerk's office. A CAN-24 is included in this Guide under the Candidate's Forms tab.

“Small Town” Offices

Town Council Member Town Clerk-Treasurer Town Judge

Indiana has no elections to city offices (Mayor, Common Council, Judge of the City Court) in 2014. These offices were elected at the municipal election in 2011. Most town offices were also elected in 2011. A few towns will elect officers in 2014. In these towns that elect officers in a general election year, state law requires the county election board to conduct the elections for the town. IC 3-10-7-2.

The towns using the procedures described in this chapter will be referred to as “small towns.”

Municipal Primaries

A town with a population of less than 3,500 may adopt an ordinance to provide for a nomination of Democratic and Republican candidates for town office in a primary election (instead of by town convention). The town council must adopt the ordinance not later than January 1 of the year in which a municipal election is held (2011, for example), and the town clerk-treasurer shall file a copy of the ordinance with the circuit court clerk in the county that contains the greatest percentage of the town’s population. (IC 3-8-5-2)

If the town council adopts such an ordinance, the county election board shall conduct the primary election for the town according to the statutes governing primary elections, including the times for filing a declaration of candidacy under IC 3-8-2-4. The town may not change the method of nominating candidates for town offices more than one time in any 12 year period. (IC 3-8-5-2(e))

A. Qualifications

1. Town Council Member

Each town is required to elect a town council. (IC 36-5-2)

IC 3-8-1-1 provides that:

“... (b) A person is not qualified to run for... (2) A local office... unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-29 provides that:

“A candidate for membership of a town council must reside in the district in which seeking election, if applicable.”

IC 3-8-1-5 provides that:

Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

- (1) for which the person has been pardoned; or
- (2) that has been:
 - (A) reversed;

- (B) vacated;
 - (C) set aside; or
 - (D) not entered because the trial court did not accept the person's guilty plea.
- (c) A person is disqualified from assuming or being a candidate for an elected office if:
- (1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;
 - (2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;
 - (3) in a:
 - (A) jury trial, a jury publicly announces a verdict against the person for a felony;
 - (B) bench trial, the court publicly announces a verdict against the person for a felony; or
 - (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;
 - (4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;
 - (5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or
 - (6) the person is subject to:
 - (A) 5 U.S.C. 1502 (the Little Hatch Act); or
 - (B) 5 U.S.C. 7321-7326 (the Hatch Act);
 and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.
- (d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:
- (1) jury has announced its verdict against the person for a felony;
 - (2) court has announced its verdict against the person for a felony; or
 - (3) person has pleaded guilty or nolo contendere to a felony;
- does not affect the operation of subsection (c).

IC 3-8-1-33 provides that:

“Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.
 (b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

* * *

(4) A candidate for a local office..., in accordance with IC 3-8-9, except a candidate for a local office described in subdivision (3).” *(Subdivision 3 requires certain judge and prosecutor candidates to already file statements of economic interest)*

Number of Town Council Members

In a town, the town council consists of at least 3 members, but no more than 7 members. The number of town council members in each town was originally set by the county Commissioners when the Commissioners incorporated the town under IC 36-5-1-10.1. The number of town council members can be increased or decreased within this range only after the voters of the town approve a proposal to do so at a referendum. (IC 36-5-2-4.2)

Election Schedule

As a general rule, all town council members are elected for four year terms at each municipal election

year (2011, 2015, etc.). (IC 3-10-7-6) However, a town can alter this election schedule by adopting one of several types of ordinances permitted under state law.

A town may adopt an ordinance to provide for “staggered terms” for town council members by providing that at the next municipal election, some council members will be elected for three year terms, and the other council members will be elected for four year terms. After the first “short terms” for town council members are over, this system results in the town electing some town council members in the “non-presidential general election year” (2014, 2018), and the other town council members in the ordinary municipal election years (2011, 2015). (IC 3-10-6-2.5)

Some towns adopted similar “staggered term” ordinances under state laws that have since been repealed, or have expired (IC 18-3-1-16(b), repealed 1981; P.L. 13-1982, SECTION 3, expired 1988). These towns have the additional option of adopting an ordinance to move the election date for all town offices (including town council) to the “presidential general election year” (2012, 2016). (IC 3-10-6-3) This changeover is accomplished by electing all town officers to a “short term” of one year at the municipal election (2011, 2015), and then electing successors to a full four year term.

Consult with the town clerk-treasurer or town attorney for more information about any such ordinances.

In some “small towns” there may be no more than one nominee for each office, and no declared write-in candidates for any town office. When this occurs, a municipal election may not be held for these offices in the municipal election year (2011, 2015). (IC 3-10-6-7.6) When there are no nominees for an office, the individuals currently serving in these town offices automatically serve another four year term as “holdovers” under Article 15, Section 3 of the Constitution of the State of Indiana.

Districts

As a general rule, town council members in small towns must be elected from districts. The number and boundaries of these districts were originally set by the county Commissioners when the town was incorporated by the Commissioners.

In a town with a population of less than 3,500, the town council may adopt an ordinance to abolish town council districts. If this town has also adopted an ordinance to nominate major party candidates for town office by primary election, then all town council candidates in this town will run at large. (IC 36-5-2-4.1(h))

In other towns, the town council must adopt an ordinance to reestablish town council district boundaries in 2012 and each ten years after a U.S. census is conducted. (IC 36-5-2-4.1(g))

The town must specify by ordinance how town council members are to be elected from these districts. The ordinance may provide: (1) that all council members must reside in their districts, but are to be elected at large by all the voters of the town; (2) that all council members must reside in their districts, but to be elected only by the voters of that district; or (3) for some combination of (1) and (2) specified by the ordinance. (IC 36-5-2-5) Consult with the town clerk-treasurer or town attorney for more information about any such ordinances.

2. Town Clerk-Treasurer

Each town is required to elect a town clerk-treasurer. The town clerk-treasurer is elected by all the voters of the town. (IC 36-5-6-4)

IC 3-8-1-1 provides that:

“... (b) A person is not qualified to run for... (2) A local office... unless the person is registered to vote in the election district the person seeks to represent not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination.”

IC 3-8-1-5 provides that:

Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

- (1) for which the person has been pardoned; or
- (2) that has been:
 - (A) reversed;
 - (B) vacated;
 - (C) set aside; or
 - (D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

(1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;

(2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;

(3) in a:

- (A) jury trial, a jury publicly announces a verdict against the person for a felony;
- (B) bench trial, the court publicly announces a verdict against the person for a felony; or
- (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;

(4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;

(5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or

(6) the person is subject to:

- (A) 5 U.S.C. 1502 (the Little Hatch Act); or
- (B) 5 U.S.C. 7321-7326 (the Hatch Act);

and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.

(d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

- (1) jury has announced its verdict against the person for a felony;
- (2) court has announced its verdict against the person for a felony; or
- (3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).

IC 3-8-1-33 provides that:

"Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.

(b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

* * *

(4) A candidate for a local office..., in accordance with IC 3-8-9, except a candidate for a local office described in subdivision (3)." (*Subdivision 3 requires certain judge and prosecutor candidates to already file statements of economic interest*)

3. Town Judge

Each town is required to elect a town judge if the town has created a town court by ordinance. (IC 33-10.1-1-3) The town judge is elected by all the voters of the town. (IC 33-10.1-3-1.1)

IC 3-8-1-1 does not apply to a candidate for judge of a town court.

IC 3-8-1-1.5 provides that:

“... (b) A person is not qualified to run for [town court judge] unless not later than the deadline for filing the declaration or petition of candidacy or certificate of nomination, the person is registered to vote in a county in which the municipality is located.”

IC 3-8-1-5 provides that:

“Sec. 5. (a) This section does not apply to a candidate for federal office.

(b) As used in this section, "felony" means a conviction in any jurisdiction for which the convicted person might have been imprisoned for more than one (1) year. However, the term does not include a conviction:

- (1) for which the person has been pardoned; or
- (2) that has been:
 - (A) reversed;
 - (B) vacated;
 - (C) set aside; or
 - (D) not entered because the trial court did not accept the person's guilty plea.

(c) A person is disqualified from assuming or being a candidate for an elected office if:

- (1) the person gave or offered a bribe, threat, or reward to procure the person's election, as provided in Article 2, Section 6 of the Constitution of the State of Indiana;
 - (2) the person does not comply with IC 5-8-3 because of a conviction for a violation of the federal laws listed in that statute;
 - (3) in a:
 - (A) jury trial, a jury publicly announces a verdict against the person for a felony;
 - (B) bench trial, the court publicly announces a verdict against the person for a felony; or
 - (C) guilty plea hearing, the person pleads guilty or nolo contendere to a felony;
 - (4) the person has been removed from the office the candidate seeks under Article 7, Section 11 or Article 7, Section 13 of the Constitution of the State of Indiana;
 - (5) the person is a member of the United States armed forces on active duty and prohibited by the United States Department of Defense from being a candidate; or
 - (6) the person is subject to:
 - (A) 5 U.S.C. 1502 (the Little Hatch Act); or
 - (B) 5 U.S.C. 7321-7326 (the Hatch Act);and would violate either federal statute by becoming or remaining the candidate of a political party for nomination or election to an elected office or a political party office.
- (d) The subsequent reduction of a felony to a Class A misdemeanor under IC 35-50-2-7 or IC 35-38-1-1.5 after the:

- (1) jury has announced its verdict against the person for a felony;
- (2) court has announced its verdict against the person for a felony; or
- (3) person has pleaded guilty or nolo contendere to a felony;

does not affect the operation of subsection (c).”

IC 3-8-1-33 provides that:

“Sec. 33. (a) A candidate for an office listed in subsection (b) must file a statement of economic interests.

(b) Whenever a candidate for any of the following offices is also required to file a declaration of candidacy or is nominated by petition, the candidate shall file a statement of economic interests before filing the declaration of candidacy or declaration of intent to be a write-in candidate, before the petition of nomination is filed, before the certificate of nomination is filed, or before being appointed to fill a candidate vacancy under IC 3-13-1 or IC 3-13-2:

...

(4) A candidate for a local office..., in accordance with IC 3-8-9, except a candidate for a local office described in subdivision (3).” (*Subdivision 3 requires certain judge and prosecutor candidates to already file statements of economic interest*)

B. Democratic and Republican Candidates Nominated at Primary Elections

A small town may adopt an ordinance to elect some or all of the town’s officers in 2014. (IC 3-10-7-2.7; 3-10-7-2.9) A town may also adopt an ordinance providing for the nomination of Democratic and Republican candidates at a primary election. (IC 3-8-5-2). If major party candidates are to be nominated for election to a town office at a primary election to be held on May 6, 2014, the same filing, political party affiliation, and candidate withdrawal requirements apply that are applicable to such candidates for county offices.

C. Democratic, Libertarian, and Republican Party Candidates Nominated At Town Conventions

1. Filing Requirements

A candidate for nomination to a town office by the Democratic, Libertarian, or Republican Party must file a statement of economic interest (CAN-12 form) and a declaration of candidacy (CAN-16) with the county election board. (IC 3-8-2-6) The county is required to reject a declaration of candidacy that does not include a statement of economic interest. (IC 3-8-9-6)

Whenever the election district for a town office includes more than one county, the declaration of candidacy must be filed with the county election board located in the county seat of the county that contains the greatest percentage of population of the election district. (IC 3-8-2-6)

The CAN-12 and CAN-16 forms are available from the Election Division’s office, on the Division’s website, and each circuit court clerk’s office. The CAN-12 and CAN-16 forms are included in this Guide under the *Candidate Forms* tab.

Candidate Filing Deadlines

The **first day** to file a declaration of candidacy for office in a small town is **Wednesday, January 8, 2014**, and the **DEADLINE** to file is **12:00 noon, prevailing local time, on Friday, August 1, 2014**.

Town Convention Candidate Filing Deadlines

Thursday, August 21, 2014 is the last day for the Democratic, Libertarian, and Republican parties to conduct a town convention to choose between competing candidates in the same party for the same town office. (IC 3-8-5-10; IC 3-8-5-17)

Thursday, August 28, 2014, by 12:00 noon, prevailing local time, is the last day for the Democratic, Libertarian, and Republican party chairman and secretary of a town convention to file a certificate of candidate selection with the county election board setting forth the nominees of the Democratic, Libertarian, or Republican party town convention. (IC 3-8-5-13; IC 3-8-5-17)

2. Candidate Withdrawal Requirements

Friday, August 1, 2014, by 12:00 noon, prevailing local time is the **DEADLINE** an individual may file a notice of withdrawal of a declaration of candidacy previously filed with the county election board to be the nominee of the Democratic, Libertarian, or Republican Party for town office in a small town. (IC 3-8-5-10.5; IC 3-8-5-17) **Notice to withdraw candidacy presented after August 1, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office and each circuit court clerk's office. A CAN-24 is included in this Guide under the *Candidate's Forms* tab.

Town Convention Candidate Withdrawal

A Democrat, Republican, or Libertarian candidate who wishes to withdraw from the race following nomination at the convention must file their written notice of withdrawal no later than NOON, prevailing time, 3 days after the adjournment of the convention. (IC 3-8-5-14.5; IC 3-8-5-17) **A notice to withdraw filed after NOON, 3 days following adjournment of the convention will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

There is no state-approved town office convention candidate withdrawal form. The CAN-24 form can be adapted for this purpose. A CAN-24 is included in this Guide under the *Candidate's Forms* tab.

C. Minor Party and Independent Candidates

1. Filing Requirements

This section addresses the filing and petition requirements for a person who does not intend to affiliate with the Democratic, Libertarian or Republican Party, and who does not intend to be a write-in candidate.

A person who wishes to become an independent candidate or a candidate of a minor party not qualified to nominate candidates in a primary election or by political party convention, and who wishes be a candidate for a town office at the general election, must file a statement of economic interest (CAN-12), written consent to become a candidate for the town office (CAN-20 form) and a petition of nomination (CAN-19 form) with the county election board. (IC 3-8-6-12; IC 3-8-6-14(a)). The county is required to reject a declaration of candidacy that does not include a statement of economic interest. (IC 3-8-9-6)

More than one minor party candidate can be nominated on the same petition form if each of the candidates is seeking an office that serves the entire town (town clerk-treasurer and at large council member, for example). If offices serve different legislative districts (such as town council members elected only by voters of a specific district), then the candidates for office must use separate petition forms. More than one independent candidate for town office cannot be nominated on the same petition form. (IC 3-8-6-4)

Each candidate nominated by petition of nomination must satisfy all statutory eligibility requirements for the office for which the candidate is nominated. (IC 3-8-6-14)

The statement of economic interest (CAN-12), written consent form (CAN-20) and petition of nomination form (CAN-19) are available from the Election Division's office and each circuit court clerk's office. A CAN-12, CAN-19 and CAN-20 are included in this Guide under the *Candidate Forms* tab.

To be placed on the general election ballot, an independent or minor party candidate must obtain signatures of registered voters in the election district the candidate seeks to represent. A petition of nomination must be signed by the number of registered voters equal to 2% of the total votes cast for secretary of state in the 2010 general election **in the election district** the candidate seeks to represent. Any fraction in excess of a whole number is disregarded in computing this figure. (IC 3-8-6-3) Signatures on any petition of nomination must be those of registered voters of the state who reside in the district the candidate seeks to represent. (IC 3-8-6-2)

EXAMPLE: A candidate for the office of town council member must obtain signatures of registered voters equal to 2% of the total votes cast for all candidates for secretary of state in the 2010 general election in that town council district.

Circuit court clerks should have information on the votes by precinct for the office of secretary of state in the 2010 general election to help determine the number of signatures required for a candidate seeking ballot placement by petition of nomination. However, the candidate may be required to make an initial calculation of the number of votes cast for secretary of state within the town council district, or the town as a whole. In some cases, there may not be an exact match between town council districts and precinct boundaries, so a precise minimum number of signatures necessary for ballot access may be impossible to calculate. Candidates seeking nomination by petition may wish to use a higher figure based on the votes cast for this office in all precincts **wholly or partially** within the town or town council district to ensure that the candidate has a sufficient number of valid signatures.

For a petition of nomination to be accepted for filing, the county voter registration office in the county where the individual signing the petition is registered must certify whether each person who signs the petition is a registered voter in the county. This certification must accompany and be a part of the petition of nomination. (This certification is on the reverse side of the CAN-19 form.) (IC 3-8-6-10; IC 3-8-6-11)

The **first day** a candidate for a town office may submit the petition of nomination, accompanied by the written consent form (CAN-20) to the county voter registration office for certification is **Wednesday, January 8, 2014** and the **DEADLINE** for filing the petition is **12:00 noon, prevailing local time, Monday, June 30, 2014.** (IC 3-8-6-12)

For candidates for town offices, once the county voter registration office certifies the petitions of nomination, these certified petitions along with the candidate's consent (CAN-20 form) must be filed with the county election board. The **DEADLINE** for filing the certified petition of nomination (CAN-19), accompanied by the written consent form (CAN-20) and statement of economic interest (CAN-12) with the county election board is **12:00 noon, prevailing local time, Tuesday, July 15, 2014.** (IC 3-8-6-10; IC 3-8-6-12) The county voter registration office must file the certified petitions of nomination with the county election board. However, the candidate for a town office may request that the county voter registration office return the original petitions to the candidate so that the candidate may file the certified petitions (along with the CAN-20 form) with the county election board to be placed on the general election ballot. (IC 3-8-6-10)

2. Nominating Petition Requirements

Candidates or political party members may wish to contact county voter registration offices to coordinate the processing of nominating petitions. Some county offices prefer to process all petitions for a candidate at the same time, while others are willing to process partial submissions.

Sometimes a county voter registration office rejects a signature on a nominating petition because the individual who signed the petition is not a registered voter in the county, or has changed the individual's address without notifying the county voter registration office. Although a minor variation between the name or address of a petition signer and the name or address on the county voter registration records does not invalidate the signature, a substantial variation renders the signature invalid. Reasonable doubts must be resolved in favor of the signer of the petition. (IC 3-5-6)

3. Political Party Names

A candidate may not submit a petition of nomination requesting ballot placement for a political party whose name would result in voter confusion due to its similarity with another party's name. If the candidate declines to amend the petition to remove this confusion, the petition may be challenged, and shall be denied by the county election board if the board finds that confusion would exist. (IC 3-8-6-5.5) A candidate must indicate whether the candidate is affiliated with any other candidate or group of candidates filing a petition under the same political party name. (IC 3-8-6-5)

4. Candidate Withdrawal Requirements

The **DEADLINE** for a person nominated by petition for a town office who wishes to withdraw from the general election ballot to file a written notice of candidate withdrawal with the county election board is **12:00 noon, prevailing local time, on Tuesday, July 15, 2014.** (IC 3-8-7-28) Upon receipt of this notice, the county election board will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The municipal election candidate withdrawal form (CAN-24) is available from the Election Division's office and each circuit court clerk's office. A CAN-24 is included in this Guide under the *Candidate Forms* tab.

Filling Candidate Vacancies

Thursday, August 28, 2014, by 12:00 noon, prevailing local time, is the last day for a town chairman of a political party that submitted a petition of nomination for the election of candidates to town office to file a certificate of candidate selection to fill any candidate vacancy. The certificate must be accompanied by the candidate's written consent to the selection and the candidate's statement of economic interest. (IC 3-13-1-18)

E. Write-in Candidates

1. Filing Requirements

Indiana law provides that only votes for declared write-in candidates are counted. (IC 3-12-1-1.7(a))

A person who desires to be a write-in candidate for a town office in the general election on Tuesday, November 4, 2014 must file a statement of economic interest (CAN-12 form) and a declaration of intent to be a write-in candidate (CAN-3 form) with the county election board. (IC 3-8-2-2.5) The county is required to reject a declaration of candidacy that does not include a statement of economic interest. (IC 3-8-9-6)

The CAN-3 and CAN-12 forms are available from the Election Division's office and each circuit court clerk's office. A CAN-3 is included in this Guide under the *Candidate Forms* tab.

The **first day** a write-in candidate may file the CAN-3 and CAN-12 forms with the county election board is **Wednesday, January 8, 2014** and the **DEADLINE** for filing is **12:00 noon, prevailing local time, Thursday, July 3, 2014**. (IC 3-8-2-2.5; IC 3-8-2-4; IC 3-8-2-5; IC 3-11-2-11.5)

2. Candidate Withdrawal Requirements

The **DEADLINE** for a person who files a declaration of intent to be a write-in candidate for a town office to file a written notice of candidate withdrawal with the county election board is **12:00 noon, prevailing local time, on Tuesday, July 15, 2014**. (IC 3-8-7-28) Upon receipt of this notice, the county election board will not certify that individual's name as a candidate for the general election. **Notice to withdraw candidacy presented after July 15, 2014 at 12:00 noon will not be accepted for filing unless the candidate is disqualified under IC 3-8-1-5 or has moved from the election district the candidate sought to represent.**

The general election candidate withdrawal form (CAN-24) is available from the Election Division's office and each circuit court clerk's office. A CAN-24 is included in this Guide under the *Candidate Forms* tab.

3. Political Party Affiliation

A write-in candidate may claim affiliation with a political party.

A write-in candidate for United States Representative may claim, on the candidate's declaration, affiliation with a political party other than the Democratic Party, the Libertarian Party, or the Republican Party (the parties whose nominee for Secretary of State of Indiana received at least 2% of the total votes cast in the most recent election for the office of Secretary of State (November 2010)). (IC 3-8-2-2.5)

However, if a write-in candidate claims affiliation with a political party: (1) that already has ballot access, (2) of a candidate who has previously filed a petition of nomination under IC 3-8-6, or (3) whose name would result in voter confusion due to its similarity with the name of the political party in (1) or (2), then a registered voter in the election district may question the validity of the filing under IC 3-8-1-2. The county election board shall determine the validity of the questioned filing. If the county election board determines that the candidate's stated party affiliation would result in voter confusion due to its similarity with another party's name, and the candidate declines to amend the declaration to remove this confusion, then the board shall deny the filing. (IC 3-8-2-12.5)

PRECINCT COMMITTEEMEN AND STATE CONVENTION DELEGATES

A. Qualifications

NOTE: Precinct committeemen and state convention delegates are considered “political offices” and not “elected offices.” (IC 3-5-2-17)

Although there is no *state law* requiring that a candidate for precinct committeeman or state convention delegate reside within the precinct or delegate district, *state political party rules* may restrict the ability of a political official who does not comply with a residency requirement to participate in party functions. Contact the Democratic State Committee or the Republican State Committee for more information on this point.

IC 3-8-1-32 provides that:

“A candidate for:

- (1) Precinct committeeman; or
- (2) Delegate to a state convention;

of each political party in the state whose nominee received at least ten percent (10%) of the total vote cast for secretary of state at the last election must comply with any candidate requirement set by state party rules.”

B. Filing Requirements for Democratic Party Precinct Committeemen and Democratic and Republican State Convention Delegates Elected at the Primary Election

Candidates for Democratic Party precinct committeeman and Democratic or Republican state convention delegate will be elected at the primary election to be held on Tuesday, May 6, 2014.

The Democratic Party will elect its precinct committeemen at the May 6, 2014 primary (IC 3-10-1-4.6) The Republican Party will not elect its precinct committeemen until the May 2016 primary election.

A candidate for Democratic Party precinct committeeman or Democratic or Republican state convention delegate must file a declaration of candidacy (CAN-37 form) with the county election board. (IC 3-8-2-6)

The **first day** to submit a declaration of candidacy to the county election board is **Wednesday, January 8, 2014**, and the **DEADLINE** to file is **12:00 noon, prevailing local time, Friday, February 7, 2014**. (IC 3-8-2-4; IC 3-8-2-5) **A declaration of candidacy presented after February 10 2014 at 12:00 noon will not be accepted for filing.**

The declaration of candidacy form (CAN-37) is available from the Election Division’s office, on the Division’s website, and each circuit court clerk’s office. A CAN-37 is included in this Guide under the *Candidate Forms* tab.

C. Candidate Withdrawal Requirements

A candidate for precinct committeeman or state convention delegate may file written notice of candidate withdrawal with the county election board certifying that the individual no longer wishes to be a candidate. The **DEADLINE** to file this notice with the county election board is **12:00 noon, prevailing local time, Monday, February 10, 2014**. (IC 3-8-2-20) Upon receipt of this notice, the county election board will **not** certify that individual’s name as a candidate for the primary election (IC 3-8-2-21). **Notice of candidate withdrawal filed after February 10, 2014 at 12:00 noon will not be accepted for filing.**

Appendix Candidate Forms

CAN-1	Candidate Filing Challenge
CAN-2	Declaration of Candidacy for Primary Nomination in 2014
CAN-3	Declaration of Intent to be a Write-in Candidate in 2014
CAN-10	Primary Election Candidate Withdrawal
CAN-12	Statement of Economic Interests for Local and School Board Offices
CAN-16	Town Office Declaration of Candidacy by a Democratic, Libertarian, or Republican Party Candidate
CAN-19	Petition of Nomination for Federal, State, State Legislature or Local Office
CAN-20	Consent of Independent or Minor Political Party Candidate Nominated by Petition in 2014
CAN-24	General Election Candidate Withdrawal
CAN-26	Declaration of Intent to be a School Board Write-In Candidate in 2014
CAN-31	Declaration of Candidacy and Written Consent to Fill a Ballot Vacancy
CAN-34	Petition of Nomination for School Board Office
CAN-37	Declaration of Candidacy for Precinct Committeeman and State Convention Delegate
CAN-41	Allen County/Vanderburgh County Superior Court Judge Declaration of Candidacy

2014 Indiana Campaign Finance Manual



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Indiana Election Division
302 West Washington Street
Indiana Government Center South, Room E-204
Indianapolis, IN 46204-2743
(317) 232-3939 * (800) 622-4941 (in Indiana)
FAX: (317) 233-6793; (317) 234-2996
www.in.gov/sos/elections
<http://campaignfinance.in.gov>

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2014

Indiana Election Division Campaign Finance Manual

IMPORTANT NOTE ABOUT USING THIS MANUAL

This campaign finance manual has been revised to bring you the most recent changes in election law and to provide “nuts and bolts” guidance on how to comply with the campaign finance disclosure and filing requirements set forth in Indiana Code 3-9. If you are a candidate or the treasurer of a campaign finance committee (e.g., PAC, regular party committee, legislative caucus committee, or candidate committee), this manual should help you find your way through the myriad of election laws, while giving you the forms you need to comply with campaign finance disclosure provisions.

This manual is designed to serve as a resource for campaign finance requirements. Although the Election Division staff has taken every effort to ensure the accuracy of the information in this publication,

where your legal rights are involved, do not rely on this manual. Instead, review the law yourself or consult your attorney.

We want to emphasize the importance of your compliance with applicable campaign finance requirements. **By law, you will be fined \$50 per day (maximum of \$1,000) for reports filed past the deadline.** Failure to timely file a campaign finance report may also subject you to criminal penalties. If your report is found to be defective, you may be fined \$10 per day (maximum of \$100) for failure to correct the report in a timely manner. Penalties can also be imposed for other campaign finance violations that can result in even higher civil penalties.

Since the consequences can be dire, we want to provide you with a clear guide to campaign finance compliance. Please contact the Election Division staff for help on any question or issue that may arise. We are happy to assist you and to help you prevent mistakes from happening from the outset.

Our campaign finance coordinators are well trained and eager to assist you. Please also feel free to contact other members of the staff, most of who are trained to address campaign finance questions. Feel free to call, meet with us in person, or e-mail us through our Internet home page listed below.

Indiana Election Division Staff
(317)232-3939 or 1-(800)-622-4941 (toll-free in Indiana)
www.in.gov/sos/elections
<http://campaignfinance.in.gov>

Abbey Taylor, Campaign Finance Coordinator
Michelle Thompson, Campaign Finance Coordinator
Trent Deckard, Division Co-Director
J. Bradley King, Division Co-Director
Leslie Barnes, Co-General Counsel
Dale Simmons, Co-General Counsel
Michelle Brzycki, Voter Registration and Precinct Coordinator
Lori Clark, Precinct Mapping and Voter Registration
Kimmy Hollowell-Williams, Executive Assistant
Candy Metcalf, Administrative Assistant

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Chapter 1: Where and When to File

The following chart indicates where the various types of committees must file the required forms and reports. The Indiana Election Division of the Secretary of State's Office is located at Room E-204, Indiana Government Center South, 302 West Washington Street, Indianapolis, Indiana, 46204-2743. A county election board (CEB) is generally located in the office of the Clerk of the Circuit Court.

Type of Committee	File with Indiana Election Division	File with CEB
Regular Party Committee		
State Central Committee	X	
Congressional District Central Committee	X	
County, City, or Town Central Committee	X (Only in certain circumstances) See explanation below*	X (But not if required to file with the Election Division) See explanation below*
Candidate's Principal or Exploratory Committee		
Candidate for Statewide Office	X	
Candidate for State Legislative Office	X	
Candidate for Circuit, County, City, Town, or Township Office		X
Candidate for Federal Office **		
Political Action or Legislative Caucus Committee		
Supporting or Opposing Statewide Candidates or Public Questions	X	
Supporting or Opposing State Legislative Candidates	X	
Supporting or Opposing Circuit, County, City, Town, or Township Candidates or Public Questions		X
Supporting or Opposing More Than One of the Above*	X	
Federal** (Registered with Federal Election Commission)	Duplicate FEC Reports (if required see page 5)	

*A committee that supports only circuit, county, city or town candidates must file with the county election board. However, if a committee proposes to influence the election of any candidate for statewide or legislative office, or the outcome of a public question that is on the ballot statewide, then the committee must file with the Indiana election division. If a committee must file with the Indiana election division, then it is not also required to file a report with a county election board.

**Committees of candidates for federal office and other committees that support only candidates for federal office must file reports with the Federal Election Commission and do not file with either the Indiana election division or a county election board. Reports filed with the Federal Election Commission may be viewed online at www.fec.gov/disclosure.shtml.

NOTICE

This reporting schedule does not list all reports required from all committees. Committees who have a change in the person serving as committee treasurer, candidates filling ballot vacancies, independent and minor party candidates, some Libertarian candidates, some candidates nominated in a town convention, and write-in candidates may be required to file additional reports that are not listed in this reporting schedule. These requirements are described in other sections of this manual.

Every committee will continue to have an open committee until it files the required final/disbanding report.

Every open committee must file required reports with the Indiana election division (or the county election board) whether or not the committee made a contribution or expenditure during the preceding reporting period.

**2014-2015 STATE OF INDIANA CAMPAIGN FINANCE REPORTING SCHEDULE
FOR POLITICAL ACTION COMMITTEES, REGULAR PARTY COMMITTEES AND CANDIDATE'S
COMMITTEES (EXCEPT FOR STATEWIDE CANDIDATES)**

(All reports must be received and filed by 12:00 noon, local prevailing time. Local prevailing time means the time in the location where the filing is made)

REPORT	REPORTING PERIOD	FILING DEADLINE (whether hand delivered, mailed, or FAXed)
2013 ANNUAL REPORT	1/1/13 – 12/31/13 or Ending 12/31/2013 if a previous report was filed in 2013	1/15/14 (noon) All Candidates, PACs, and Legislative Caucus Committees 3/3/14 (noon) All Regular Party Committees
2014 PRE- PRIMARY REPORT	1/1/14-4/11/14	4/21/14 (noon) All Candidates (except candidates for statewide office) on the 2014 Primary Election Ballot or who have filed for the primary and are unopposed. All PACs, and Regular Party Committees
2014 PRIMARY ELECTION SUPPLEMENTAL REPORT	4/12/14-5/4/14	No later than 48 hours after receipt of "large contributions": All Candidates (except candidates for statewide office) on the 2012 Primary Election Ballot or who have filed for the primary and are unopposed
2014 PRE-ELECTION REPORT	4/12/14-10/10/14	10/17/14 (noon) All Candidates (except candidates for statewide office) on 2012 General Election Ballot or who are candidates at the general election and are unopposed. All PACs, and Regular Party Committees
2014 GENERAL ELECTION SUPPLEMENTAL REPORT	10/11/14-11/2/14	No later than 48 hours after receipt of "large contributions": All Candidates (except candidates for statewide office) on 2014 General Election Ballot or who are candidates at the general election and are unopposed.
2014 ANNUAL REPORT	10/13/14-12/31/14 or Ending 12/31/14 if no previous report was filed in 2013	1/21/15 (noon) All Candidates, PACs, and Legislative Caucus Committees 3/2/15 (noon) All Regular Party Committees

**2014-2015
STATE OF INDIANA
CAMPAIGN FINANCE REPORTING SCHEDULE FOR
CANDIDATE'S COMMITTEES FOR STATEWIDE OFFICE ON THE BALLOT IN 2014**

All reports must be received and filed by 12:00 noon, local prevailing time. Local prevailing time means the time in the location where the filing is made

REPORT	REPORTING PERIOD	FILING DEADLINE
2013 ANNUAL REPORT	7/1/13-12/31/13	1/15/14 (noon) Statewide Candidate's Committees
2014 STATEWIDE CANDIDATE QUARTERLY REPORT	1/1/14 – 3/31/14	4/15/14 (noon) Statewide Candidates on 2014 Election Ballot <i>(Secretary of State, Treasurer of State, Auditor of State)</i>
2014 STATEWIDE CANDIDATE SUPPLEMENTAL REPORT	4/1/14 – 4/15/14 (noon)	No later than 48 hours after receipt of "large contributions": Statewide Candidates on 2014 Election Ballot <i>(Secretary of State, Treasurer of State., Auditor of State)</i>
2014 STATEWIDE CANDIDATE QUARTERLY REPORT	4/1/14-6/30/14	7/15/14 (noon) Statewide Candidates on 2014 Election Ballot <i>(Secretary of State, Treasurer of State, Auditor of State)</i>
2014 STATEWIDE CANDIDATE SUPPLEMENTAL REPORT	7/1/14-7/15/14 (noon)	No later than 48 hours after receipt of "large contributions": Statewide Candidates on 2014 Election Ballot <i>(Secretary of State, Treasurer of State, Auditor of State)</i>
2014 STATEWIDE CANDIDATE QUARTERLY REPORT	7/1/14-9/30/14	10/15/14 (noon) Statewide Candidates on 2014 Election Ballot <i>(Secretary of State, Treasurer of State, Auditor of State)</i>
2014 STATEWIDE CANDIDATE SUPPLEMENTAL REPORT	10/1/14-10/15/14 (noon)	No later than 48 hours after receipt of "large contributions": Statewide Candidates on 2014 Election Ballot <i>(Secretary of State, Treasurer of State, Auditor of State)</i>
2014 STATEWIDE CANDIDATE QUARTERLY REPORT	10/1/14-10/20/14	10/28/14 (noon) Statewide Candidates on 2014 Election Ballot <i>(Secretary of State, Treasurer of State, Auditor of State)</i>
2014 STATEWIDE CANDIDATE SUPPLEMENTAL REPORT	10/21/14-10/28/14 (noon)	No later than 48 hours after receipt of "large contributions": Statewide Candidates on 2014 Election Ballot <i>(Secretary of State, Treasurer of State, Auditor of State)</i>
2014 STATEWIDE CANDIDATE ANNUAL REPORT	10/21/14-12/31/14	1/21/15 (noon) Statewide Candidates on 2014 Election Ballot <i>(Secretary of State, Treasurer of State, Auditor of State)</i>

**2014-2015
STATE OF INDIANA
CAMPAIGN FINANCE REPORTING SCHEDULE
CANDIDATE'S COMMITTEES FOR STATEWIDE OFFICE
NOT ON THE BALLOT IN 2014**

(All reports must be received and filed by 12:00 noon, local prevailing time)

REPORT	REPORTING PERIOD	FILING DEADLINE
2013 ANNUAL REPORT	7/1/13-12/31/13	1/15/14 (noon) Statewide Candidate's Committees <i>(Governor, Lt. Governor, Superintendent)</i>
2014 SEMI-ANNUAL REPORT	1/1/14-6/30/14	7/15/14 (noon) Statewide Candidate's Committees <i>(Governor, Lt. Governor, Superintendent)</i>
2014 ANNUAL REPORT	7/1/14-12/31/14	1/21/15 (noon) Statewide Candidate's Committees <i>(Governor, Lt. Governor, Superintendent)</i>

Chapter 2: Federal Candidates, Political Action Committees, and Regular Party Committees

Duplicate Filing at State and Federal Level

Candidates for federal office and federal political committees must file campaign finance reports with the Federal Election Commission (FEC). United States Senate candidates file with the Secretary of the U.S. Senate. Copies of Senate candidate reports are then forwarded to the FEC. (2 USC 431 et seq. 11 CFR 100 et seq.)

These federally required reports consist of:

- (1) The federal equivalent of the committee's statement of organization.
- (2) The federal campaign finance reports.
- (3) Reports of independent expenditures.

State Responsibilities

Federal filing requirements are enforced at the federal, **not the state**, level. (2 USC 453. 11 CFR 108.7)

The Indiana Election Division participates in the state waiver program by which FEC candidates and political action committees no longer have to file paper copies of their reports with this Division. Public PC terminals with Internet access to the FEC are available at the Election Division's office to provide public access to FEC campaign finance records. However, see page 8 for special Indiana reporting requirements for some PACs.

Federal Candidates' Responsibilities

An individual who wishes to become a candidate for federal office (*President of the United States, Vice-President of the United States, United States Senator, United States Representative*) **should contact the Federal Election Commission** to obtain forms and information regarding federal campaign finance filing deadlines and other requirements.

The Federal Election Commission can be reached at:

Telephone: 202-694-1100 or 800-424-9530, ext. 1
Facsimile: 202-219-3496
Internet: www.fec.gov
Address: 999 E Street, NW
Washington, DC 20463-0002

NOTE: A candidate for federal office is NOT required to file any Indiana campaign finance forms (such as the CFA-1 or CFA-4 forms) with the Indiana Election Division. However, a candidate for nomination to federal office in a primary election MUST file a primary declaration of candidacy form (CAN-2) with the Election Division no later than the deadline in 2014 set by state law.

Federal Reports by Political Action Committees

A political action committee wishing to accept contributions or make expenditures regarding candidates **FOR FEDERAL OFFICES ONLY**, such as President of the United States, Vice-

President of the United States, United States Senator, and United States Representative, (**AND NOT FOR STATE OR LOCAL OFFICES**) should contact the Federal Election Commission to obtain forms and information regarding federal campaign finance filing deadlines and other requirements. The FEC can be reached at the address and telephone number listed above.

Special Reporting Requirements for Some Federal PACs

A political action committee which accepts contributions or makes expenditures regarding elections to federal office ONLY is NOT required to file any Indiana campaign finance forms (such as the CFA-2 or CFA-4 forms, or the "supplemental report" discussed below) with the Indiana Election Division.

Federal political action committees that accept contributions and make expenditures regarding **CANDIDATES FOR BOTH FEDERAL AND STATEWIDE (OR STATE LEGISLATIVE) OFFICES IN INDIANA OR WHICH MAKE CONTRIBUTIONS TO A POLITICAL ACTION COMMITTEE REGISTERED WITH THE ELECTION DIVISION MUST register with the Indiana Election Division by filing a copy of the CFA-2 Statement of Organization form.**

These political action committees must also file the following documents with the Election Division:

- (1) A duplicate copy of its federal campaign finance report, unless the political action committee files copies of its federal campaign finance reports with both the FEC and the Indiana Election Division. If the PAC's report is available on the FEC's website, the PAC is only required to file a statement to that effect with the Indiana Election Division rather than the entire report. (IC 3-9-5-13)
- (2) A supplemental report itemizing information regarding contributions.

The supplemental report required for this type of political action committee under IC 3-9-5-13(b) lists contributions and expenditures **to the political action committee** by any person in an amount of more than \$100 and no more than \$200, **assuming that the contributions were used for state election (rather than federal election) purposes.** In practice, this means that the PAC would be reporting contributions to its "State Account" and not to its "Federal Account." The reporting of contributions to a PAC's "Federal Account" is preempted by federal law. See *FEC Advisory Opinion 1986-27*.

Indiana law permits this type of political action committee to file a duplicate copy of its federal filing (Form 3X) rather than recapitulate all of this information on the Indiana version of this form (the CFA-4). Many of these political action committees **highlight** the \$100-\$200 contribution entries on their duplicate copy of the FEC report, and file that copy with the Election Division. To reduce data entry costs, the Election Division encourages and welcomes "highlighting."

If there are no contributions in excess of \$100 during a reporting period, the political action committee treasurer must file a written statement to that effect with the Election Division. (IC 3-9-5-13)

Since the reporting of these \$100-\$200 contributions is solely a requirement imposed under Indiana law, the supplemental reports are subject to the same Indiana enforcement procedures

that apply to delinquent or defective reports filed by other Indiana political action committees.
(IC 3-9-4 and IC 3-9-5)

A political action committee accepting contributions and making expenditures regarding **BOTH FEDERAL AND LOCAL CANDIDATES** must follow the same procedure in registering and reporting with the appropriate County Election Board, rather than the Election Division.

Federal Reports by Regular Party Committees

A regular party committee which wishes to accept contributions or make expenditures regarding candidates for federal office (*President of the United States, Vice-President of the United States, United States Senator, United States Representative*) **should contact the Federal Election Commission** at the address and telephone number listed on the previous pages to obtain forms and information regarding federal campaign finance filing deadlines and other requirements.

A regular party committee that accepts contributions or makes expenditures regarding elections to federal office is NOT required to file any Indiana campaign finance forms (such as the CFA-3 or CFA-4) with the Indiana Election Division.

Likewise, although Indiana Code 3-9-5-13(a) and (b) apply to all "persons" required to file duplicate copies of federal reports, such as a regular party committee, since both federal law and Indiana law only require regular party committees to itemize contributions that are more than \$200, and expenditures to persons **other than committees** in an amount of more than \$200. **Supplemental reports are not required for these types of regular party committees under Indiana law.** (IC 3-9-5-14 (a)(1))

Federal Bipartisan Campaign Finance Reform Act (BCRA)

Public Law 107-155 (*"the Bipartisan Campaign Finance Reform Act" [BCRA]*) is federal legislation that was signed into law in 2002. BCRA is not state law, but may have significant impact on candidate committees, political action committees, and regular party committees. BCRA is administered by the Federal Election Commission. The Election Division can provide general information about BCRA, but where important legal rights or potential penalties are involved, contact the Federal Election Commission for guidance.

Chapter 3: Candidate's Committee

Definition of a Candidate: An individual may become a candidate for **other** election law purposes by acting to qualify under Indiana law for listing on the ballot at an election or to become a write-in candidate by publicly announcing or declaring candidacy for an elected office; or otherwise by seeking nomination for an election to an elected office. **These announcements do not automatically make the individual a candidate for purposes of the Indiana Campaign Finance Act. (IC 3-9)**

For campaign finance purposes, an individual becomes a "candidate" when the individual, the candidate's committee, or a person acting with the consent of the individual:

1. receives more than \$100 in contributions; or
2. makes more than \$100 in expenditures. (IC 3-5-2-6)

Each candidate, when filing a declaration of candidacy or similar document, is required to separately sign a statement indicating that the candidate is aware of requirements of the Act and agrees to comply with them. (IC 3-8-2-7)

Candidate's Committee: A candidate's committee is designated by a candidate to accept contributions and make expenditures for the purpose of promoting the candidate for election.

A candidate who has not decided whether to become a candidate for a **specific** office may organize an "**exploratory committee.**" (IC 3-5-2-7) This candidate must file an amended statement of organization when the individual decides to become a candidate for a specific office, when the individual has filed a declaration of candidacy

Every candidate must have a principal campaign finance committee (*candidate's committee*) and file a CFA-1 form designating the committee as such. The Statement of Organization form (CFA-1) must be filed by the **candidate no later than noon ten (10) days after becoming a candidate, or noon seven (7) days after the final day and hour for filing for an elected office, whichever occurs first.** (IC 3-9-1-5) If a candidate does not designate a principal campaign finance committee, the Election Division or county election board is required to designate such a committee for the candidate, naming the candidate as both the chairperson and the treasurer. (IC 3-9-1-6)

A candidate's committee cannot be the principal committee for more than one candidate. (IC 3-9-1-5 and IC 3-9-1-6)

Organizing a Candidate's Committee

Every committee must have a chairperson and a treasurer. No expenditures may be made or contributions accepted for or on behalf of a candidate's committee without the authorization of its chairperson or treasurer. (IC 3-9-1-2)

The **chairperson** is the elected or appointed head or presiding officer of the candidate's committee. Every candidate's committee must have a chairperson. A person may be chairperson of more than one committee.

A **treasurer** of a candidate's committee:

1. Must be a United States citizen;

2. May not be the chairman of a committee except in the case of a candidate (IC 3-9-1-13);
3. Must be appointed treasurer in writing as required by (IC 3-9-1-14); and
4. Must file the written instrument of appointment as required by (IC 3-9-1-15).

A candidate may be chairman, treasurer, or both of the candidate's committee. A treasurer of one committee may be the treasurer of another committee unless the treasurer is also a candidate. (IC 3-9-1-7 and IC 3-9-1-18)

The chairman of a committee shall appoint or designate the treasurer of the committee in a written instrument. *(This designation and the treasurer's written acceptance is included on the CFA-1 form.)* (IC 3-9-1-14)

Forms to File

CFA-1 Candidate's Statement of Organization and Designation of Principal Committee or Exploratory Committee

Every candidate for nomination or election to an office, for which the compensation is at least \$5,000 per year, must have a principal campaign finance committee. ***(See special exceptions below for candidates for local offices for which the compensation is less than \$5,000 per year and candidates for school board.)***

The candidate must file the CFA-1:

1. Noon ten (10) days after becoming a candidate;
2. Noon seven (7) days after the final date and hour for filing any of the following, whichever applies to the candidate: a declaration of candidacy under IC 3-8-2, a petition of nomination under IC 3-8-6, a certificate of nomination under IC 3-8-7-8, a certificate of candidate selection to fill a ballot vacancy under IC 3-13-1 or IC 3-13-2, or declaration of intent to be an write-in candidate under IC 3-8-2
3. The date a candidate is required to file the candidate's first campaign finance report under IC 3-9-5 .

LOCAL OFFICE EXCEPTION: A candidate for a local office for which the compensation for that office is less than \$5,000 per year who receives more than \$500 in contributions or makes more than \$500 in expenditures as a candidate for the local office, must have a principal committee. A candidate who meets this exception must file the CFA-1 form no later than noon **ten (10) days after the candidate exceeds the \$500 contribution or expenditure amount. (IC 3-9-1-5.5)** **If a candidate for a local office for which the compensation is less than \$5,000 per year does not receive more than \$500 in contributions or makes more than \$500 in expenditures as a candidate does not have to file any campaign finance reports.**

SCHOOL BOARD OFFICE EXCEPTION: A candidate for a school board office who receives more than \$500 in contributions or makes more than \$500 in expenditures as a candidate for a school board office must have a principal committee. A candidate who meets this exception must file the CFA-1 form no later than noon **ten (10) days after the candidate exceeds the \$500 contribution or expenditure amount. (IC 3-9-1-5.5)**

No later than noon fourteen (14) days after the applicable filing deadline, the Election Division or the appropriate county election board must determine if each candidate has filed the required CFA-1 form. (IC 3-8-1-1.6) If a required form is not filed, the candidate will then be appointed both as the chairperson and treasurer of the committee. (IC 3-9-1-6) Failing to file this statement will result in civil penalties. (See Chapter 10 of this manual for further information regarding penalties.)

Amending the CFA-1 Form: When changes occur in the information set forth in a previously filed CFA-1 form, such as a new chairperson, treasurer, mailing address, change of committee name, change from an exploratory committee, etc., an **amended** CFA-1 form must be filed no later than ten (10) days after the change. Check the box on the CFA-1 form to indicate an amendment is filed. (IC 3-9-1-10)

NOTE: When filing an amendment, **ONLY** complete the line or lines where a change has been made. However, please include the name of the committee and file number, if known. Either a candidate or a committee chairperson must sign the amendment.

CFA-4 Receipts and Expenditures Report of a State Legislative or Local Candidate Committee

In most cases, a state legislative or local candidate committee's treasurer must file **three** receipts and expenditures reports (*pre-primary, pre-election, annual*) for every calendar year in which a candidate appears on any election ballot for any office or seeks nomination for election in any caucus. The candidate's committee may also be required to file the pre-primary and pre-election "large contribution" supplemental reports (CFA-11 form), if applicable, discussed further below.

Special requirement for statewide candidates: A statewide candidate committee's treasurer must file **five (5)** receipts and expenditures reports for every calendar year in which a candidate's office sought appears on any election ballot for any statewide office or seeks nomination for a statewide office at a state convention. This requirement is discussed further below.

*At least twenty-one (21) days before the campaign finance reports are due, the Election Division mails the proper campaign finance report forms along with a notice that states the date the campaign finance reports are due. The Election Division is required to mail notices and forms only to candidates for state offices and state legislative offices. A county election board may, but is not required to, mail these forms to candidates for local office. (IC 3-9-4-14). **When filing your campaign finance reports, make sure that you are using the currently approved forms, since using old forms will make your reports defective.***

Pre-Primary Report: The financial report of a candidate's committee that covers the period beginning January 1 of the reporting year, (*or the organizational date of the committee if after January 1*), and ending 25 days before the primary election. This report must be filed with the Election Division or appropriate county election board by **noon** 7 days after the end of the reporting period. Candidates for state legislative office must file these reports with the Election Division. Reports transmitted by electronic mail must be filed with the Election Division or county election board not later than **noon** 7 days after the end of the reporting period. (IC 3-9-5-6 and IC 3-9-5-7) **Note:** special requirements apply to city and town candidates in municipal primaries. (IC 3-9-5-9(d))

Pre-Election Report: The financial report of a candidate's committee that covers the period beginning 24 days before the primary election and ending 25 days before the general election. This report must be filed with the Election Division or appropriate county election board by **noon** 7 days after the end of the reporting period. Candidates for state legislative office must file these reports with the Election Division. Reports transmitted by electronic mail must be filed with the election division or county election board not later than **noon** 7 days after the end of the reporting period. (IC 3-9-5-6 and IC 3-9-5-7) **Note:** special requirements apply to city and town candidates in municipal elections. (IC 3-9-5-9(d))

Annual Report: The financial report of a candidate's committee that covers the period beginning 24 days before the general election and ending December 31 of that year. If a candidate was not seeking election that year, the report will cover the entire calendar year. This report must be filed with the Election Division or appropriate county election board by **noon** on the third Wednesday in January of the following year. Candidates for state legislative office must file these reports with the Election Division. Reports transmitted by electronic mail must be filed with the Election Division or county election board not later than **noon** on the third Wednesday in January. (IC 3-9-5-10)

Outgoing Treasurer's Report: If a treasurer is removed, resigns or otherwise vacates the position of treasurer of a campaign finance committee, the outgoing treasurer must file a report no later than 30 days after the vacancy occurs. This report must cover the period from the most recent report up to the last day the individual was treasurer. This report is filed on a CFA-4 in the usual manner and in the same location as the other reports. (IC 3-9-5-12) The purpose of the outgoing treasurer's report is to enable the new treasurer to assume office with up-to-date records. If the outgoing treasurer is deceased, or is otherwise unable or unwilling to complete this report, the current treasurer should file this report.

Final/Disbanding Report: No later than **noon** 30 days after a candidate's committee disbands, the last treasurer must file a financial report on a CFA-4 that is complete as of the last day the campaign finance committee existed, covering the period since the most recent report. See the explanation of "Disbanding a Candidate's Committee" under this Chapter of the Manual for more information. (IC 3-9-5-11)

CFA-4 Receipts and Expenditures Report of Committees for Statewide Candidates

For a year in which an election to the statewide office is held, the candidate committee's treasurer must file the following **five (5) CFA-4** reports:

1. A report of a candidate's committee that covers the period beginning January 1 of the reporting year, (*or the organizational date of the committee if after January 1*), and ending March 31 of the year of the report. This report must be filed electronically with the Election Division not later than noon April 15 of the year covered by the report. (IC 3-9-5-6(e))
2. A report of a candidate's committee that covers the period beginning April 1 of the reporting year and ending June 30 of the year of the report. This report must be filed electronically with the Election Division not later than noon July 15 of the year covered by the report. (IC 3-9-5-6(e))

3. A report of a candidate's committee that covers the period beginning July 1 of the reporting year and ending September 30 of the year of the report. This report must be filed electronically with the Election Division not later than noon October 15 of the year covered by the report. (IC 3-9-5-6(e))
4. A report of a candidate's committee that covers the period beginning October 1 of the reporting year through the date that is fifteen (15) days before the date of the election. This report must be filed electronically with the Election Division not later than noon seven (7) days before the date of election. (IC 3-9-5-6(e))
5. A report of a candidate's committee that covers the period beginning fourteen (14) days before the date of the election through December 31 of the year of the report. This report must provide cumulative totals from January 1 through December 31 of the year of the report. This report must be filed with the Election Division not later than **noon** on the third Wednesday in January of the following year. (IC 3-9-5-6(e); 3-9-5-10)

Statewide Candidates in Year When Election for Office Not Held

In a year in which an election to the statewide office that the candidate seeks is not held, the treasurer of the candidate's committee shall file **two** CFA-4 reports:

1. A report of a candidate's committee that covers the period beginning January 1 of the reporting year and ending June 30. This report must be filed electronically with the Election Division not later than noon July 15.
2. A report of a candidate's committee that covers the period from July 1 through December 31 of the year of the report. This report must be filed electronically with the Election Division by noon on the third Wednesday in January of the following year. This report must provide cumulative totals from January 1 through December 31 of the year of the report. (IC 3-9-5-9; 3-9-5-10)

Libertarian Party Statewide Candidates: These statewide candidates are nominated by convention (IC 3-8-4-10), and are required to file the five (5) CFA-4 reports according to the schedule set forth above. However, since the Libertarian Party is not a "major political party" under Indiana law, if a person becomes a candidate for nomination less than 25 days before the date of the convention, that person is also required to file a "post-convention" report not later than noon 20 days after the date of the convention. (IC 3-5-2-30; 3-9-5-8(a)) A Libertarian Party statewide candidate who became a candidate for the nomination 25 days or more before the convention would not be subject to this additional "post-convention" reporting requirement. **See additional discussion below concerning CFA-4 reports filed by state convention candidates.**

Independent or Other Minor Party Candidates Nominated by Petition; Write-In Candidates; Candidates Selected to Fill Ballot Vacancies: These statewide candidates are required to file the five (5) CFA-4 reports according to the schedule set forth above, rather than the different schedules that apply to candidates seeking a state legislative or local office. (IC 3-9-5-6(e); 3-9-5-8.2; 3-9-5-8.4; 3-9-5-8.5)

Outgoing Treasurer's Report: If a treasurer is removed, resigns or otherwise vacates the position of treasurer of a campaign finance committee, the outgoing treasurer must file a report no later than 30 days after the vacancy occurs. This report must cover the period from the most recent report up to the last day the individual was treasurer. This report is filed on a CFA-4 in the usual manner and in the same location as the other reports. (IC 3-9-5-12) The purpose of the outgoing treasurer's report is to enable the new treasurer to assume office with up-to-date records. If the outgoing treasurer is deceased, or is otherwise unable or unwilling to complete this report, the current treasurer should file this report.

Final/Disbanding Report: No later than **noon** 30 days after a candidate's committee disbands, the last treasurer must file a financial report on a CFA-4 complete as of the last day the campaign finance committee existed, covering the period since the most recent report. See the explanation of "Disbanding a Candidate's Committee" under this Chapter of the Manual for more information. (IC 3-9-5-11)

CFA-11 Supplemental "Large Contribution" Report by a State Legislative or Local Candidate's Committee (*\$1,000 Contributions or More*)

This form is to be used by the treasurer of a candidate's committee to report aggregates of "large contributions" received after the end of a pre-primary or pre-election reporting period. This form consists of a single sheet to report "large contributions" or aggregates of at least \$1,000 or more received by a candidate, candidate's committee, or the treasurer of a candidate's committee:

1. not more than twenty-five (25) days before a convention, primary, or general election; and
2. ending 48 hours before a convention, primary or general election. (IC 3-9-5-20.1)

This form must be filed within 48 hours after a candidate or candidate's committee receives a "large contribution." The candidate does not have to file a CFA-11 form if the candidate did not receive any "large contributions" during these reporting periods. The CFA-11 form must be filed with the Election Division or the appropriate county election board. Candidates for state legislative office must file these reports with the Election Division. This report may be filed by FAX.

NOTE: Any contribution reported on the supplemental report must ALSO be reported on the CFA-4 form filed after the end of the regular reporting period.

CFA-11 Supplemental "Large Contribution" Report by a Statewide Candidate's Committee (*\$10,000 Single Contribution and \$1,000 Contributions or More*)

The committee of a candidate for statewide office must file this form if:

1. The statewide candidate's committee receives a single contribution of Ten Thousand Dollars (\$10,000) **at any time**. This report must be filed not later than noon seven (7) days after the contribution is received.
2. The statewide candidate's committee receives aggregates of contributions that total One Thousand Dollars (\$1,000) or more when the contribution is received after the end of a

campaign finance reporting period and before the deadline to file a report. This report must be filed not later than 48 hours of receiving the contribution. (IC 3-9-5-22)

The CFA-11 form must be filed if the statewide candidate on the election ballot receives a “large contribution.”

However, the statewide candidate does not have to file a CFA-11 form if the candidate did NOT receive any single contribution of \$10,000 or more at any time or did NOT receive other “large contributions” during the applicable reporting periods. The CFA-11 form must be filed electronically with the Election Division.

NOTE: Any large contribution reported on a CFA-11 form must ALSO be reported on the CFA-4 form filed after the end of the regular reporting period.

Electronic Filing of Campaign Reports and Statements Required for Statewide Candidate Committees

Committees of **all** candidates for statewide office must file their required campaign finance reports or statements of organization electronically using an online database by the Election Division, or by using another format approved by the Election Division. (IC 3-9-4-4) **See page 35 of this manual for information about free on-line filing of campaign finance reports.**

If the committee fails to file its required campaign finance report or statement electronically in accordance with this requirement, the Indiana Election Commission may impose a fine equal to the costs incurred by the Election Division for the manual entry of the data in the campaign finance database, plus any investigative costs. (IC 3-9-4-16)

State Legislative or Local Candidates Not Seeking Nomination or Election

Generally speaking, in a year in which a state legislative or local candidate does not seek election to an office to which IC 3-9 applies, or does not seek nomination at a caucus for election to an office to which IC 3-9 applies, the treasurer of the candidate’s committee shall file only one report that is complete as of December 31 of the previous year and covers the period since the last report. (IC 3-9-5-16) This report shall be filed with the Election Division or appropriate county election board office by noon of the third Wednesday in January of the following year. (IC 3-9-5-9)

EXCEPTION: A candidate who holds one office and is a candidate for a different office shall have the treasurer of the candidate’s committee for the office the candidate holds file the following report:

1. If the committee spends, transfers in, or transfers out at least \$10,000 from January 1 until 25 days before the primary election, the treasurer shall file a pre-primary report.
2. If the committee spends, transfers in, or transfers out at least \$10,000 from 25 days before the primary election until 25 days before the general election, the treasurer shall file a pre-election report.
3. The treasurer shall file a report that is complete as of December 31 of the previous year and covers the period from the last report. This annual report is due by noon of the third Wednesday in January. (IC 3-9-5-9)

Candidates for City and Town Offices when Election Not Held

A candidate for a city office or a town office who is otherwise required to file a pre-primary report must file a pre-primary report **even if a municipal primary is not conducted** in the city or town by one or both of the major political parties. (IC 3-9-5-9(d))

A candidate for a city or town office who is otherwise required to file a pre-election report must file a pre-election report **even if a municipal election is not conducted** in the city or town. (IC 3-9-5-9(d))

County, City or Town Convention Candidates

***NOTE:** Libertarian Party candidates may be nominated by county, city, or town conventions. Except for certain statewide candidates, Democratic Party and Republican Party candidates are only nominated by town conventions when there is a contest in the town for that major party's nomination and the town is less than 3,500 in population. If the town council has adopted an ordinance to conduct a primary, then the filing requirements above apply.*

CFA-1 Candidate's Statement of Organization and Designation of Principal Committee or Exploratory Committee

A candidate nominated by convention must file the CFA-1 form not later than the earliest of the following:

1. Noon ten (10) days after becoming a candidate; or
2. The date a candidate is required to file the candidate's first campaign finance report under IC 3-9-5. (IC 3-9-1-5)

CFA-4 Receipts and Expenditures Report of a Political Committee

Pre-Convention Report: This report is used by candidates for offices nominated at a Democratic, Libertarian or Republican political party convention. Convention candidates file this report instead of the pre-primary report. This report covers the period beginning January 1, of the reporting year, (*or the date the individual becomes a candidate pursuant to IC 3-5-2-6 if after January 1*), and ending 25 days before the convention. This report must be filed with the county election board by **noon** 18 days before the convention. (IC 3-9-5-6 and IC 3-9-5-7)

Post-Convention Report: This report is used by candidates for offices nominated at a Democratic, Libertarian or Republican political party convention and who become candidates after the pre-convention reporting period deadline. The reporting period for this report begins on the date the individual becomes a candidate pursuant to IC 3-5-2-6 and ends on the day following the adjournment of the convention. This report is due no later than **noon** 20 calendar days after the convention convenes. (IC 3-9-5-8)

***Note:** Convention candidates who filed pre or post convention reports will use the day following that reporting period as the beginning of the pre-election reporting period.*

Thereafter, they will follow the normal reporting requirements of a candidate's committee.

State Convention Candidates

CFA-1 Candidate's Statement of Organization and Designation of Principal Committee or Exploratory Committee

A candidate nominated by state convention must file the CFA-1 form not later than the earliest of the following:

1. Noon ten (10) days after becoming a candidate; or
2. The date a candidate is required to file the candidate's first campaign finance report under IC 3-9-5. (IC 3-9-1-5)

CFA-4 Receipts and Expenditures Report of a Political Committee

A candidate nominated by state convention must file the following reports for a year in which a statewide office election is held:

1. A financial report of a candidate's committee that covers the period beginning January 1 of the reporting year, *(or the organizational date of the committee if after January 1)* and ending March 31 of the year of the report. This report must be filed with the Election Division not later than noon April 15 of the year covered by the report. Reports filed electronically must be filed with the Election Division not later than **noon** 7 days after the end of the reporting period. (IC 3-9-5-6 and IC 3-9-5-7)
2. A financial report of a candidate's committee that covers the period beginning April 1 of the reporting year and ending June 30 of the year of the report. This report must be filed with the Election Division not later than noon July 15 of the year covered by the report. Reports filed electronically must be filed with the Election Division not later than **noon** 7 days after the end of the reporting period. (IC 3-9-5-6 and IC 3-9-5-7)
3. A financial report of a candidate's committee that covers the period beginning July 1 of the reporting year and ending September 30 of the year of the report. This report must be filed with the Election Division not later than noon October 15 of the year covered by the report. Reports filed electronically must be filed with the Election Division not later than **noon** 7 days after the end of the reporting period. (IC 3-9-5-6 and IC 3-9-5-7)
4. A financial report of a candidate's committee that covers the period beginning October 1 of the reporting year through the date that is fifteen (15) days before the date of the election. This report must be filed with the Election Division not later than noon seven (7) days before the date of election. Reports filed electronically must be filed with the Election Division not later than **noon** 7 days before the date of the election. (IC 3-9-5-6 and IC 3-9-5-7)
5. A financial report of a candidate's committee that covers the period beginning from fourteen (14) days before the date of the election through December 31 of the year of

the report. This report must provide cumulative totals from January 1 through December 31 of the year of the report. This report must be filed with the Election Division or by noon on the third Wednesday in January of the following year. Reports filed electronically must be filed with the Election Division not later than **noon** on the third Wednesday in January. (IC 3-9-5-10)

Outgoing Treasurer’s Report: If a treasurer is removed, resigns or otherwise vacates the position of treasurer of a campaign finance committee, the outgoing treasurer must file a report no later than 30 days after the vacancy occurs. This report must cover the period from the most recent report up to the last day the individual was treasurer. This report is filed on a CFA-4 in the usual manner and in the same location as the other reports. (IC 3-9-5-12) The purpose of the outgoing treasurer’s report is to enable the new treasurer to assume office with up-to-date records. If the outgoing treasurer is deceased, or is otherwise unable or unwilling to complete this report, the current treasurer should file this report.

Final/Disbanding Report: No later than **noon** 30 days after a candidate’s committee disbands, the last treasurer must file a financial report complete as of the last day the campaign finance committee existed, covering the period since the most recent report. (CFA-4) See the explanation of “Disbanding a Candidate’s Committee” under this Chapter of the Manual for more information. (IC 3-9-5-11)

Candidates Defeated at the Primary Election or Political Party Convention

The treasurer of a candidate who is required to file a pre-primary or pre-convention report and who is defeated at the primary or convention, is disqualified, or withdraws before the general election **IS NOT** required to file the pre-general election report. Instead, the treasurer must file an annual report the following January covering the period since the previous pre-primary or pre-convention report. (IC 3-9-5-9(c))

Minor Party or Independent Candidates Nominated by Petition

CFA-1 Candidate’s Statement of Organization and Designation of Principal Committee or Exploratory Committee

A candidate nominated by petition must file the CFA–1 form not later than the earliest of the following:

1. Noon ten (10) days after becoming a candidate.
2. Noon seven (7) days after the final date and hour for filing a petition of nomination under IC 3-8-6.
3. The date a candidate is required to file the candidate’s first campaign finance report under IC 3-9-5.

(IC 3-9-1-5)

CFA-4 Receipts and Expenditures Report of a Political Committee

Independent and minor political party candidates nominated by petition are not required to file a campaign finance report before the “nomination date.” The “nomination date” for these candidates is the final date a candidate may file the candidate’s certified petition of nomination with the Election Division or appropriate county election board. (IC 3-5-2-32.7)

The reporting period for the first report (*filed on the CFA-4 form*) required for a candidate nominated by petition begins on the date that the individual became a candidate and ends fourteen (14) days after the nomination date (*the deadline for filing certified petitions*). (IC 3-9-5-8.2)

This report must be filed with the Election Division or appropriate county election board by noon 7 days after the end of the reporting period. Reports filed electronically must be filed with the Election Division or county election board not later than noon 7 days after the end of the reporting period. (IC 3-9-5-6 and IC 3-9-5-7)

Statewide Candidates Nominated by Petition: These statewide candidates are required to file the five (5) CFA-4 reports according to the schedule set forth above rather than the schedule that applies to these candidates when seeking a state legislative or local office. (IC 3-9-5-6(e); 3-9-5-8.2)

Write-In Candidates

CFA-1 Candidate’s Statement of Organization and Designation of Principal Committee or Exploratory Committee

A write-in candidate must file the CFA–1 form not later than the earliest of the following:

1. Noon ten (10) days after becoming a candidate.
2. Noon seven (7) days after the final date and hour for filing a declaration of intent to be a write-in candidate under IC 3-8-2.
3. The date a candidate is required to file the candidate’s first campaign finance report under IC 3-9-5.

(IC 3-9-1-5)

CFA-4 Receipts and Expenditures Report of a Political Committee

Write-in candidates are not required to file campaign finance reports before the “nomination date.” The “nomination date” for these candidates is the final date the candidate may file a declaration of intent to be a write-in candidate with the Election Division or appropriate county election board. (IC 3-5-2-32.7)

The reporting period for the first report (*filed on the CFA-4 form*) required for a write-in candidate begins on the date that the individual became a candidate and ends fourteen (14) days after the nomination date (*the deadline for filing a declaration of intent to be a write-in candidate*). (IC 3-9-5-8.4)

This report must be filed with the Election Division or appropriate county election board by noon 7 days after the end of the reporting period. Reports filed electronically must be

filed with the Election Division or county election board not later than noon 7 days after the end of the reporting period. (IC 3-9-5-6 and IC 3-9-5-7)

Write-In Candidates for Statewide Office: These candidates are required to file the five (5) CFA-4 reports according to the schedule set forth above rather than the schedule that applies to these candidates when seeking a state legislative or local office. (IC 3-9-5-6(e); 3-9-5-8.4)

Candidates Selected to Fill Ballot Vacancies

CFA-1 Candidate's Statement of Organization and Designation of Principal Committee or Exploratory Committee

A candidate selected to fill a ballot vacancy must file the CFA-1 form not later than the earliest of the following:

1. Noon ten (10) days after becoming a candidate;
2. Noon seven (7) days after the final date and hour for filing a certificate of candidate selection under IC 3-13-1 or IC 3-13-2.
3. The date a candidate is required to file the candidate's first campaign finance report under IC 3-9-5.
(IC 3-9-1-5)

CFA-4 Receipts and Expenditures Report of a Political Committee

Candidates selected to fill ballot vacancies are not required to file campaign finance reports before the "nomination date." The "nomination date" for these candidates is the date the certificate of selection of the candidate is filed with the Election Division or appropriate county election board. (IC 3-5-2-32.7)

Candidates selected to fill an "early" ballot vacancy (occurring more than 30 days before the general or municipal election): The reporting period for the first report (*filed on the CFA-4 form*) required for a candidate selected to fill an "early" ballot vacancy begins on the date that the individual became a candidate and ends fourteen (14) days after the nomination date (*the date the certificate of selection is filed*). (IC 3-9-5-8.5(c)) This report must be filed with the Election Division or appropriate county election board by noon 7 days after the end of the reporting period. Reports filed electronically must be filed with the Election Division or county election board not later than noon 7 days after the end of the reporting period. (IC 3-9-5-6 and IC 3-9-5-7)

Candidates selected to fill a "late" ballot vacancy (occurring 30 days or less before the general or municipal election): The reporting period for the first report (*filed on the CFA-4 form*) required for a candidate selected to fill a "late" ballot vacancy begins on the date that the individual became a candidate and ends December 31 following the election. (IC 3-9-5-8.5(d)) This report must be filed with the Election Division or county election board by noon on the third Wednesday in January of the following year.

Candidates Selected to Fill Ballot Vacancies for Statewide Office: These candidates are required to file the five (5) CFA-4 reports according to the schedule set forth above rather than

the schedule that applies to these candidates when seeking a state legislative or local office. (IC 3-9-5-6(e); 3-9-5-8.5)

Candidate for Local Office with Compensation of Less than \$5,000 per Year

If a candidate is seeking an office for which the compensation is less than \$5,000 per year, this candidate **IS NOT REQUIRED TO FILE ANY CAMPAIGN FINANCE STATEMENT OR REPORT WITH A COUNTY ELECTION BOARD UNLESS THE CANDIDATE RECEIVES MORE THAN \$500 IN CONTRIBUTIONS OR MAKES MORE THAN \$500 IN EXPENDITURES.** (IC 3-9-1-5.5) Once the candidate crosses the \$500 threshold in contributions or expenditures, the candidate must file a Statement of Organization (*CFA-1 form*) to establish a principal candidate's committee no later than noon, ten (10) days after crossing this threshold. The candidate will then file campaign finance reports (*CFA-4 forms*) in the same manner as other candidates until the committee disbands. (IC 3-9-5-6 and IC 3-9-5-7)

To determine whether an office receives more than \$5,000 in compensation per year, the total salary that an individual receives must be computed, even if the funds come from different local government accounts. For example, if a town budget ordinance provides for the town clerk-treasurer to receive \$4,000 as a base salary for the office and also allots \$6,000 to the town clerk-treasurer for work performed for a town utility, the total compensation to the town clerk-treasurer is \$10,000 for campaign finance reporting purposes, and candidates for that office must file reports with the county election board regardless of whether the candidate has raised more than \$500 in contributions or spent more than \$500 in expenditures. The same result occurs in some small townships where a township trustee receives additional compensation from another township account for serving as township assessor.

Candidates for School Board Offices

A candidate for school board office is **NOT REQUIRED TO FILE ANY CAMPAIGN FINANCE REPORT OR STATEMENT WITH A COUNTY ELECTION BOARD UNLESS THE CANDIDATE'S COMMITTEE RECEIVES MORE THAN \$500 IN CONTRIBUTIONS OR MAKES MORE THAN \$500 IN EXPENDITURES.** (IC 3-9-1-5.5) Once the candidate crosses the \$500 threshold in contributions or expenditures, the candidate must file a Statement of Organization (*CFA-1 form*) to establish a principal candidate's committee no later than **noon, ten (10) days** after crossing this threshold. The candidate will then file campaign finance reports (*CFA-4 forms*) in the same manner as other candidates until the committee disbands. (IC 3-9-5-6 and IC 3-9-5-7)

Notice from Organization or Other Campaign Finance Committee To Candidate's Committee

CFA-5 Notice to Candidate's Committee

This form is used by any organization or other campaign finance committee (*including another candidate's committee*) to notify a candidate's committee of either:

1. receipt of a contribution on behalf of the candidate's committee, or
2. the expenditure of funds by the committee on behalf of a candidate's committee, if the expenditure is made in support of the candidate who is specifically identifiable, or the expenditure is made in opposition to an opponent of the candidate who is specifically identifiable. (IC 3-9-5-15)

An expenditure is not considered to be made on behalf of a candidate if the expenditure is made to inform the members of the organization or the development of the committee's political party.

When any of the above listed events occur, this notice must be transmitted immediately to the candidate's committee. Failure to do so may create discrepancies in the Receipts and Expenditures Reports of the candidate's committee.

The CFA-5 notice must contain **ALL** information required for the candidate's committee to properly report the contribution on the CFA-4 or CFA-11 report. This form is not to be filed with the Election Division or any county election board, but must be maintained as part of the records of the candidate's committee for the same period of time as required for all other records. (IC 3-9-5-15)

Contributions

A **contribution** is any donation accepted by a candidate's committee and made for the purpose of influencing an Indiana election. A "contribution" includes cash, checks, gifts of property or services, loans, in-kind contributions, or any other things received by the committee that have value. Contributions may be made by an individual, business, profit or non-profit corporation, trade association, labor organization, regular party committee, candidate's committee, or any other type of organization. (IC 3-5-2-15)

A contribution is considered to be received and accepted by a committee when any member of the committee:

- (1) has physical possession of the contribution; and
 - (2) manifests an intent to keep the contribution by depositing the contribution, subject to IC 3-9-5-14(c).
- (IC 3-9-1-25)

A person makes a contribution during the calendar year in which the person relinquishes control over the contribution by:

- (1) depositing the contribution in the United States mail; or
- (2) transferring the contribution to any other person who has been directed to convey the contribution to the person intended to be the recipient of the contribution. (IC 3-9-1-25.5)

Returning or Refunding Contributions: On occasion, a committee may decide not to accept all or part of a contribution. This may occur because the contributor is prohibited under state law from making any contribution (*a foreign national, for example*), or because the contributor has made a contribution that exceeds the total amount allowed in that calendar year (*a corporation or labor union, for example*). A committee may also decide not to accept all or part of a contribution for purely political reasons.

If a committee has not “received and accepted” the contribution by depositing the contribution in an account, or otherwise using this money (see IC 3-9-1-25), then the committee may **simply return** the contribution to the contributor. In this case, the committee is **not** required to report that the contribution was received or returned or to otherwise refer to this contribution on the committee’s report.

If the committee has received and accepted the contribution by depositing the contribution in an account, or otherwise using this money (see IC 3-9-1-25), then the committee **must refund** the contribution (*typically by sending a check in that amount to the contributor*). The committee must both report the contribution on the appropriate contributor schedule (*CFA-4 Schedule A-1, for example*), and must report the refund of the contribution on CFA-4 Schedule B.

Candidate’s Contribution: A candidate may make contributions to the candidate’s own committee or to another campaign finance committee. Candidate contributions include expenditures made by the candidate from the candidate’s personal funds to further the candidate’s candidacy. Thus, if a candidate gives money to the candidate’s committee, this money must be treated as a contribution or a loan and so designated on the report. If a candidate makes a direct expenditure from the candidate’s own funds for a political purpose, this money must be reported as a contribution and then as an expenditure; in other words, as an in-kind contribution.

In-Kind Contribution: In-kind contributions are generally those contributions of things or services (*such as posters, billboards, use of automobile, free lodging or any other type of property or services*), that are paid for by another person or entity and then given to the committee or distributed by another for the benefit of the reporting committee. An in-kind contribution **does not** include a donation of cash, checks, or promissory notes. (IC 3-5-2-15)

Example: A private individual or a committee printed and distributed 1,000 posters using the reporting candidate’s picture and name, with the candidate’s approval. The posters would be an in-kind contribution to the candidate’s committee. If the posters have a fair market value of \$250, this amount should be listed on Schedule A **and also** on Schedule B of the CFA-4 form. The reason for the double entry of the value of an in-kind contribution (on the contribution schedule and the expenditure schedule of the CFA-4) is that the receipt by a committee of a non-cash item (*posters, lodging, transportation, etc.*) is considered the same as receiving the value of the goods or services in money and then spending that money to obtain the goods or services. In-kind contributions are itemized generally under the same guidelines as itemized contributions, except when between campaign finance committees. (*In that situation, the contribution would be considered a “Transfer-In.”*)

Transfer-In: When a candidate’s committee receives money or things of value from another campaign finance committee (*which would otherwise be considered a contribution from a candidate’s, political action or regular party committee*) the exchange is designated as a transfer-in. The receiving committee is required to **itemize** each transfer-in from a particular campaign finance committee **regardless of the amount** during any reporting period and also report the cumulative (*aggregate*) amount received during the calendar year. Transfers-in must be itemized on Schedule A of the CFA-4 form. The total of all transfers-in per reporting period must be entered in Column A line 15(a) of the CFA-4 Summary Sheet. (IC 3-5-2-15)

Itemized Contribution: Itemized contributions are those contributions received by a candidate’s committee from a contributor whose individual contributions or cumulative (*aggregate*) contributions exceed \$100 during any calendar year or reporting period. Thus, if a donor makes one contribution over \$100 for a year, then the name and address of the donor

and the amounts and dates of this and each subsequent contributions must be itemized (*listed*) on Schedule A of the CFA-4 form. The total of all itemized contributions per reporting period must be entered in Column A on line 15(a) of the CFA-4 Summary Sheet. It is not necessary to amend previously filed reports to itemize contributions of less than \$100 given during the year **before** the individual crossed the threshold for itemization. (IC 3-9-5-14)

Contributions from Joint Accounts: If a committee receives an itemized contribution from an account held by more than one person (*the most common example being a husband and wife whose names are both on a checking account*), the contribution should be listed on the CFA-4 schedules as having been made by the person who signed the check. If the check is signed by both persons, or the check is accompanied by a written statement specifying that each person is a contributor and the amount of the contribution to be attributed to each, then the contribution should be listed on the CFA-4 schedules accordingly. If it is impossible to assign the contribution to one individual using these rules, then let both individuals be the contributor.

Unitemized Contributions: Unitemized contributions are those contributions received by a candidate's committee from contributors whose total contributions for a calendar year do not exceed \$100. Thus, if a donor makes one contribution per year of under \$100 or several contributions whose total is less than \$100 for the year, then the total the donor gave is not itemized but is totaled with all other similar unitemized contributions. The total of all unitemized contributions per reporting period must be entered in Column A on line 15(b) of the CFA-4 Summary Sheet. (IC 3-9-5-14)

Note: *If during the calendar year the cumulative contributions from any individual total \$100.01 or more, then this individual must be identified on the appropriate Schedule A of the CFA-4 Report.*

Example: Mr. Smith gives \$10 to primary candidate Jones in March, \$101 in June and another \$10 in September. The June and September contributions must be itemized on the October report. The April report does not need to be amended to itemize the March contribution.

Limitations on Contributions: The most significant limitations on contributions contained in the Campaign Finance Act apply to corporations, labor organizations, candidates for statewide office, state legislative candidates, certain judges and certain state employees.

A. Statewide Candidates: An individual who holds a state office (a "statewide" office) or who is a candidate for state office, or the candidate's committee of a candidate for state office, may not solicit contributions, accept campaign contributions, or conduct other fundraising activities during the period beginning on the day in January in each odd-numbered year when the general assembly reconvenes and ending on the day in the odd-numbered year when the general assembly adjourns sine die. This restriction does not prohibit a state officeholder or a candidate for state office from participating in party activities conducted by a regular party committee.

B. State Legislative Candidates: A candidate for a state legislative office (*whether an incumbent state legislator, or not*) and the candidate's committee may not solicit or accept campaign contributions or conduct other fundraising activity during the "long session" (*odd-numbered years*). The "long session" begins for the purpose of the prohibition when the General Assembly reconvenes in January. This prohibition ends when the General Assembly adjourns sine die in an odd-numbered year.

This prohibition **does not** apply to legislative candidates participating in regular party committee activities. This prohibition **does not** apply in even-numbered years (*such as 2014, for example*), although the House, Senate, or legislative caucus committees may have adopted rules restricting activity by the committee or its members. Contact the respective legislative caucus for information on this issue. (IC 3-9-2-12)

- C. **Judicial Candidates:** Candidates for election to (*or retention in*) judicial office are governed by *The Code of Judicial Conduct*, which restricts political activity including the acceptance of contributions, by these candidates. Contact State Court Administration at 317/232-2542 for more information regarding these restrictions.
- D. **Allen County Superior Court Judge Candidates:** A special statute (IC 33-33-2-11) limits the amount of contributions that may be accepted by candidates for this office to a total of \$10,000 from all sources, and prohibits contributions from political parties and political action committees to their candidates.
- E. **Lake County Superior Court Judge Candidates:** A special statute which only applies to Lake County superior court judges (IC 33-33-45-44(c)) provides that a political party shall not directly or indirectly campaign for or against a judge who is subject to a retention vote under IC 33-33-45.
- F. **State Employees:** Although most state officers and employees have the right to make contributions to candidates and participate fully in the political process (IC 4-15-10-2), some officers and employees may not solicit or receive contributions. Refer to the statute listed below for detailed information.

IC 7.1-2-1-12 Alcohol and Tobacco Commission

(See Chapter 6 regarding Corporations and Labor Organizations for further information on contribution limitations.)

Prohibited Contributions: No contribution may be lawfully made unless it is made to a candidate's committee or to a person authorized by law to accept contributions.

All funds of a candidate's committee that accept contributions or makes expenditures in an aggregate amount of more than two hundred dollars (\$200) in a year must be segregated from and not commingled with any personal funds of officers, members, or associates of the committee. (IC 3-9-2-9)

Other prohibitions in state law apply to foreign nationals and individuals and other entities involved in the regulated gaming industries. (*See Chapter 8 for detailed information.*)

Joint Fundraisers by Candidates: On occasion, two or more candidates may wish to conduct a campaign fundraising event and to share in the proceeds. If a contribution to participate in the fundraiser is made to one candidate's committee, and a percentage of the funds is then transferred to one or more other candidates, a question may arise whether the transaction has violated IC 3-14-1-11, which prohibits making or accepting a contribution in the name of another person, since the contributor would not be identified in the report of the committee receiving the transferred funds, although the contributor clearly intended to make a contribution to both candidates. The safest solution to this problem may be to have the event

hosted by a political action committee, which would report contributions on its report, and then report the transfer of funds to each candidate committee. A political action committee may be specially created for this purpose and then dissolved following the fundraising event. (See Chapter 4 for detailed information concerning political action committees.)

Expenditures

An **expenditure** is any payment, transfer or disbursements of money or things of value to another for political purposes. All expenditures made by a campaign finance committee must be reported on the Report of Receipts and Expenditures of a Candidate's Committee (CFA-4) for the period in which the expenditure was made. (IC 3-5-2-23)

Double Entry Method for Candidate Expenditures: If a candidate expends the candidate's own personal funds for political purposes, the amounts must be reported as a contribution to the candidate's principal committee and then as an expenditure by the candidate's committee.

Itemized Expenditure: Expenditures made by a campaign finance committee to an individual, business, group or others when the total (*aggregate or cumulative*) of the individual payments exceed \$100 during any calendar year or reporting period must be itemized. **Example:** if a committee makes a payment that totals more than \$100 for the year, then the individual receiving the payment from the committee must be itemized (*listed*) on Schedule B of the CFA-4. The total of all itemized expenditures per reporting period must be entered in Column A on line 17(a) of the CFA-4 Summary Sheet. (IC 3-9-5-14)

Reporting In-Kind Expenditures for Joint Fundraisers: On occasion, more than one candidate may join together for a fundraising event, with one candidate agreeing to make expenditures before the event ("Candidate A") to pay for the fundraising costs, with the understanding that the other candidate participating in the fundraiser ("Candidate B") will reimburse the Candidate A for a portion of the total costs. If this occurs, Candidate B who reimburses the Candidate A should report this reimbursement as an expenditure occurring when funds are transferred to the Candidate A, not occurring on the date of the joint fundraiser.

Unitemized Expenditure: Expenditures made by a campaign finance committee to an individual, business, group or others, the total of which does not exceed \$100 during any calendar year may be reported as unitemized expenditures. The total of all unitemized expenditures per reporting period must be entered on line 17b of the Summary Sheet on the CFA-4. (IC 3-9-5-14)

Transfer-Out: When a candidate's committee transfers money or things of value to another campaign finance committee (*otherwise considered an expenditure by a campaign finance committee*), the committee reports this as a "transfer-out." The campaign finance committee transferring money or things of value to another campaign finance committee must itemize each transfer to a particular campaign finance committee **regardless of amount**. The receiving committee must also disclose the (*aggregate or cumulative*) amount transferred to that campaign finance committee during the calendar year. Transfers-out must be itemized on Schedule B of the CFA-4. The total of all transfers-out per reporting period must be entered in Column A line 17(a) of the CFA-4 Summary Sheet. (IC 3-5-2-23(b))

Note: Money received by a candidate or any committee as a contribution may not be used for primarily personal purposes by the candidate, the committee or by any other person except as described below. (IC 3-9-3-4)

Prohibited Expenditures: It is unlawful for any person, other than a treasurer, to pay any of the expenses of any committee, except as provided by law. A candidate's committee or any person may not collect, receive, keep or disburse money or other things of value, for political purposes, unless a treasurer has been appointed **and unless such money or things so received, disbursed or expended have passed through the hands of the treasurer. (IC 3-9-4-16(a)(3) and IC 3-9-4-17(a)(3))**

Money received by a candidate or committee as a contribution may be used only:

1. To defray any expenses reasonably related to the person's or committee's:
 - a. Campaign for federal, statewide, state legislative, or local offices;
 - b. Continuing political activity; or
 - c. Activity related to service in an elected office;
2. To make an expenditure to any national, state, or local committee of any political party or another candidate's committee; or
3. Upon dissolution of a committee, in a manner permitted under IC 3-9-1-12.

Money received by a candidate or committee as a contribution may not be used for primarily personal purposes by the candidate or by any other person except as described above. (IC 3-9-3-4) **A person who knowingly or intentionally violates IC 3-9-3-4 commits a Class A infraction and may be subject to a judgment of up to \$10,000 or a civil penalty of up to \$1,000 assessed by the Commission or the appropriate county election board. (IC 3-14-1-16, IC 3-9-4-16 and IC 3-9-4-17)**

Expenditure Codes

All campaign finance committees MUST enter an expenditure code for each itemized expenditure made by the committee. (IC 3-9-4-4) The committee must enter one of the four (4) codes listed below in the box at the upper left corner of the "Recipient's Name and Mailing Address" section on Schedule B of the CFA-4 form. The reverse side of the form contains instructions regarding these codes. The expenditure codes committees must use are as follows:

Code: C
Expenditure Type: Contributions

Expenditure Definition: Direct and in-kind contributions the campaign can legally make to other campaigns, political action committees, community and charitable organizations. In the description column, the filer is directed to specify who benefited and, if in-kind, what was purchased.

Code: F
Expenditure Type: Fundraising

Expenditure Definition: Expenditures, direct or in-kind, associated with holding a fundraiser, including payments to restaurants, hotels and caterers, other food and refreshment vendors, entertainers, and speakers.

**Filers are directed to use an "A" for expenditures for printed matter produced in connection with fundraising events.*

Code: A
Expenditure Type: Advertising

Expenditure Definition: Expenditures associated with the production, design, photography, copy, layout, printing, reproduction and purchase of advertising and campaign communications including:

- Radio and television advertising
- Advertising in newspapers, periodicals, and other publications
- Advertisements on billboards and yard signs
- Campaign paraphernalia such as buttons, bumper stickers, T-shirts, hats, etc.
- Websites
- Campaign literature
- Printed solicitations
- Fundraising letters
- Mailing lists

Code: O
Expenditure Type: Operations

Expenditure Definition: General campaign operating expenses and overhead including:

- Wages, salaries and benefits associated with hiring campaign employees and other paid workers who provide miscellaneous services
- Contracts, fees, and commissions paid to campaign management companies and contract consultants including law firms
- Headquarters purchase or rental
- Utilities
- Purchase or rental of office equipment and furniture for the campaign
- Surveys and Polls – Including expenditures associated with the design and production of polls, election trend reports, voter surveys, telemarketing, telephone banks, Get Out The Vote drives, etc.
- Postage – Including stamps, or metered postage, direct mail services and delivery services like United Parcel Services and Federal Express
- Travel – Including fares accommodations and meals from campaign trips

Penalty: A report without the required expenditure codes is considered a defective report. The committee may be subject to a possible civil penalty of \$10 a day up to \$100 plus any investigative costs if the defect is not timely corrected. *(See Chapter 10 for more information about the penalty for defective reports.)*

Debts

Debts (Loans): Debts (*loans*) include all money or things of value that must be repaid or returned. Debts include, but are not limited to, amount of monies or items borrowed, credit purchases, credit card accounts, or other unpaid debts.

Debts **owed by** a committee (*Schedule D, CFA-4*) are those items borrowed by the reporting committee from an individual, business, lending institution, credit card company or another committee.

Debts **owed to** a committee (*Schedule E, CFA-4*) are those items that the reporting committee has loaned to another committee or other entity with the requirement that the item or money be returned. (IC 3-9-5-14)

If a committee pays a debt owed by the committee, and does so by mailing a check to the creditor, the committee should indicate that the debt has been paid as of the date the check was mailed or otherwise delivered to the creditor.

If the creditor does not deposit the committee's check, or for any other reason the check does not clear the committee's account before the end of the reporting period, the committee's report should nonetheless show the debt as paid by the committee. However, if the check remains outstanding at the end of the following reporting period, it may be necessary for the committee to amend its earlier report to reconcile the balances shown on the summary sheet of the CFA-4.

Credit Purchases: Credit cards, credit accounts, etc., must be listed on the Debts Owed By the Committee, CFA-4 Schedule D, to the extent that there is still an outstanding balance (*amount still owing*). However, any payment made to pay off a credit purchase is considered an expenditure and the vendor or individual must be itemized as such.

Investments: Money received as a contribution may be invested by a committee in an account with a financial institution, savings and loan association, or credit union, or in any equity account. Any loss resulting from an investment may be reported as a committee expenditure. Any gain resulting from an investment must be reported as income.

Indiana Election Commission Advisory Opinion 2001-01 Concerning Expenditures Permitted under IC 3-9-3-4 Regarding the Payment of Salaries or Reimbursement of Lost Wages and Expenses to Candidates by a Candidate's Committee

The Indiana Election Commission has adopted Advisory Opinion 2001-01 allowing for a candidate and a candidate's committee to execute a written contract providing that the committee will pay a salary to the candidate or a member of a candidate's household or reimburse the candidate for lost wages. This written contract must contain certain elements set forth in the Advisory Opinion included in this Manual under the Appendix. This contract must be filed with the office in which the committee is required to file the CFA-4 form before any payment is made under the contract.

Facsimile Filing of Campaign Finance Reports

The Election Division or county election board is not required to accept a campaign finance report sent by facsimile transmission unless the Indiana Election Commission or county election

board has approved a policy permitting a campaign finance report or statement to be submitted by facsimile transmission. The Commission has approved the filing of reports or statements by FAX with the Election Division.(IC 3-9-5-7) IEC Order 1999-87. However, statewide candidates are required to file electronically with the Election Division, and not by FAX (IC 3-9-4-4). Check with the appropriate county election board for more information regarding the county's FAX policy.

E-Mail Filing of Campaign Finance Reports

The Indiana Election Division is required to notify each candidate's committee that the Election Division will provide *(at the candidate's request, and at no cost)* a standardized online database to permit the committee to generate an electronic version of the campaign finance reports and statements required to be filed with the Election Division. However, the Election Division is not required to provide or alter the database to make the program compatible for installation or operation on a specific computer. (IC 3-9-4-4)

For further information regarding filing by e-mail, committees may contact the Election Division at (800) 622-4941, (317)232-3939 or at the e-mail address campaignfinance@iec.IN.gov.

On-Line Filing of Campaign Finance Reports

The Indiana Election Division permits a candidate's committee which files with the Election Division to complete and file committee reports at a secure on-line location on the Election Division's web site.

For further information regarding on-line filing, contact the Election Division at (800) 622-4941, (317)232-3939, or by e-mail at campaignfinance@iec.IN.gov.

Internet Publishing of Campaign Finance Reports

The Indiana Election Division has a Campaign Finance Database that makes the information contained in the campaign finance reports filed with the Division available in a searchable, digital form on the Internet.

All reports filed with the Division are published on the Election Division's Internet homepage at: **www.in.gov/sos/elections** and **<http://campaignfinance.in.gov>**

The Election Division strives to ensure that all entries on this homepage concerning a committee's campaign finance reports are accurate and complete. However, due to large volumes of data entry and short deadlines for publishing reports before elections, some errors can be expected to occur. If you discover an error or have a question regarding the Internet publication of a report, please contact the Election Division as soon as possible. We will work to resolve any problem quickly and efficiently.

Audits & Inquiries

The Election Division campaign finance staff or the county election board may contact your committee advising that a report or statement of organization is delinquent or defective, asking for clarification of a report or statement, or requesting information promptly.

Defective & Delinquent Reports

The Election Division and each county election board shall:

1. Ascertain whether candidates, committees or other persons have failed to file statements of organization or reports or have filed defective statements of organization or defective reports.
2. Give notice to **delinquents** to file a statement of organization or a report immediately upon receipt of notice.
3. Give notice to a committee filing a **defective** report to file a report to correct the defective report no later than noon five (5) calendar days after receiving the notice.
4. Make available for public inspection a list of delinquent reports and persons who fail to file the required statements and reports. The Election Division and each county election board shall post a list of delinquents in a public place at or near the entrance of the Commission's or board's respective offices. (IC 3-9-4-14 (a)(3))

A person who fails to file a required statement or report is subject to a civil penalty of up to \$1,000 to be assessed by the Commission, county election board, or both, for the delinquent report. The penalty is \$50 per day with the afternoon of the deadline day counting as the first day. The Commission or county election board may add investigative costs to the penalty. (IC 3-9-4-16(c) & IC 3-9-4-17(c))

A person who fails to file a correction to a defective report after being notified to do so is subject to a civil penalty up to \$100 to be assessed by the Commission, county election board, or both. The penalty is \$10 per day, with the afternoon of the fifth (5th) day after receipt of the notice counting as the first day. The Commission or county election board may add investigative costs to the penalty. (IC 3-9-4-16(b) & IC 3-9-4-17(b))

State legislative candidate's committees that violate the prohibition against fundraising during a "long session" are also subject to a civil penalty to be assessed by the Commission. This penalty is equal to the greater of \$1,000 or two times the amount of the contribution received. (IC 3-9-4-16(f))

A person who fails to file a report required by the Campaign Finance Act with the appropriate office commits a Class B misdemeanor and is subject to a \$1,000 fine, 180 days imprisonment, or both. (IC 3-14-1-14)

A candidate for Allen County Superior Court Judge who exceeds the special limits applicable to those candidates is also subject to a Class B misdemeanor penalty along with a civil penalty to be assessed by the Allen county election board of no more than three times the amount of the excess contribution. (IC 3-14-1-10.5)

A person who knowingly files a fraudulent report commits a Class D felony and is subject to a \$10,000 fine, three years imprisonment, or both. Beginning July 1, 2014, this violation is a Level 6 felony, and is subject to a \$10,000 fine, two and one-half years imprisonment, or both. (IC 3-14-1-13)

Disbanding a Candidate's Committee

A candidate's committee may disband at any time by giving written notification and filing a final report (*CFA-4 form*) with the Election Division or appropriate county election board.

NOTE: Be certain to CHECK THE BOX on this form indicating that the committee is disbanding. Otherwise, the committee will remain open and the candidate's committee will be required to file an annual report the third Wednesday of each January that the committee remains open.

If there are surplus funds, the committee may transfer the funds before disbanding to one or any combination of the following:

1. one or more regular party committees.
2. one or more candidate's committees.
3. the Election Division.
4. an organization exempt from Federal income taxation under section 501 of the Internal Revenue Code.
5. contributors to the committee (*on a pro rata basis*). (IC 3-9-1-12)

The funds may also be used to:

1. defray any expense reasonably related to the candidate or committee's campaign for office,
2. continuing political activity, or activity related to service in an elected office,
3. to make an expenditure to any political party committee or another candidate's committee. (IC 3-9-3-4)

A dissolution and transfer of funds does not relieve the committee or its members from civil or criminal liability. (IC 3-9-1-12(g)).

Chapter 4: Political Action Committee and Legislative Caucus Committee

Political Action Committee: An organization located within or outside Indiana that:

(1) proposes to influence the election or defeat of a candidate for statewide, state legislative, local or school board office or the outcome of a public question that will appear on the ballot in Indiana, **and**

(2) accepts contributions or makes expenditures during a calendar year that in the aggregate exceed one hundred dollars (\$100).

“Political Action Committee” also refers to all campaign finance committees that **are not** candidate’s committees, regular party committees, legislative caucus committees, or an auxiliary party organization. (IC 3-5-2-37)

A corporation or labor organization that makes a contribution authorized by state law or makes an expenditure is not considered a PAC.

Legislative Caucus Committee: An organization that is (1) organized by members of the general assembly who belong to the same state political party; (2) proposes to influence only the election of candidates for state legislative office; and (3) accepts contributions or makes expenditures that exceed \$100 during a calendar year to influence only the election of candidates for state legislative office. (IC 3-5-2-27.3)

As used in this Chapter “PAC” refers to political action committees and legislative caucus committees unless otherwise indicated.

Organizing a Political Action Committee

Every political action committee must have a chairperson and a treasurer. No expenditures may be made or contributions accepted for or on behalf of a political action committee without the authorization of its chairperson or treasurer. Within ten (10) days after an organization becomes a political action committee, the committee must file a statement of organization (*CFA-2 form*). This form contains a line for a committee to indicate if it is a “legislative caucus committee” rather than a political action committee. (IC 3-9-1-3)

The **chairperson** is the elected or appointed head or presiding officer of the political action committee. Every political action committee must have a chairperson. A person may be the chairperson of more than one committee.

A **treasurer** of the political action committee:

1. Must be a United States citizen;
2. May not be the chairman of a committee (IC 3-9-1-13);
3. Must be appointed treasurer in writing as required by IC 3-9-1-14; and
4. Must file the written instrument of appointment as required by IC 3-9-1-15.

A treasurer of a political action committee may be the treasurer of another campaign finance committee unless the treasurer is also a candidate. (IC 3-9-1-18)

The chairman of a committee shall appoint or designate the treasurer of the committee in a written instrument. (*This is included on the CFA-2 form.*) (IC 3-9-1-14)

Forms to File

CFA-2 Political Action Committee Statement of Organization

All political action committees must file a statement of organization (*CFA-2 form*) to disclose the committee's organization and purpose.

The political action committee must file the CFA-2 form no later than ten (10) days after the committee becomes a PAC. Both the chairperson and the treasurer must sign this form. (IC 3-9-1-3 and 3-9-1-4)

Amending the CFA-2 Form: When changes occur in the information set forth in a previously filed CFA-2 form, such as a new chairperson, treasurer, mailing address, change of committee name, etc., an amended CFA-2 form must be filed no later than ten (10) days after the change. Check the box on the CFA-2 form to indicate an amendment is filed. (IC 3-9-1-10)

NOTE: When filing an amendment, **ONLY** complete the line or lines where a change has been made. However, please include the name of the committee and the file number, if known. The chairperson must sign the amendment.

CFA-4 Receipts and Expenditures Report of a Political Committee

Generally speaking, a political action committee treasurer must file **three (3)** receipts and expenditures reports (*pre-primary, pre-election, and annual*) for every calendar year in which the political action committee makes a contribution or expenditure to influence an Indiana election.

NOTE: If a political action committee has not received or made contributions or expenditures before a primary, general or municipal election, the political action committee must file a report stating that none have been made. (IC 3-9-5-16) When filing your campaign finance reports, please make sure that you are using currently approved forms, since using old forms cannot be accepted for filing under a policy adopted by the Indiana Election Commission.

Pre-Primary Report: The financial report of a political action committee that covers the period beginning January 1 of the reporting year, (*or the organizational date of the committee if after January 1*), and ending 25 days before the primary election. This report must be filed with the Election Division or appropriate county election board by **noon** 7 days after the end of the reporting period. Reports filed electronically must be filed with the Election Division or county election board not later than **noon** 7 days after the end of the reporting period. (IC 3-9-5-6 and IC 3-9-5-7)

Pre-Election Report: The financial report of a political action committee that covers the period beginning 24 days before the primary election and ending 25 days before the general election. This report must be filed with the Election Division or appropriate county election

board by **noon** 7 days after the end of the reporting period. Reports filed electronically must be filed with the Election Division or county election board not later than **noon** 7 days after the end of the reporting period. (IC 3-9-5-6 and IC 3-9-5-7)

Annual Report: The financial report of a political action committee that covers the period beginning 24 days before the general election and ending December 31 of that year. This report must be filed with the Election Division or appropriate county election board by **noon** on the third Wednesday in January of the following year. Reports filed electronically must be filed with the Election Division or county election board not later than **noon** on the third Wednesday in January. (IC 3-9-5-10)

Note: Although a legislative caucus committee is required to file a pre-primary, pre-election and annual report for its activity in a general election year, the committee is not required to file a pre-primary or pre-election report during municipal election years (2013 or 2015, for example). (IC 3-9-5-6(c))

Outgoing Treasurer's Report: If a treasurer is removed, resigns or otherwise vacates the position of treasurer of a political action committee, the outgoing treasurer must file a report no later than 30 days after the vacancy occurs. This report must cover the period from the most recent report up to the last day the individual was treasurer. This report is filed in the usual manner and in the same location as the other reports. (IC 3-9-5-12) The purpose of the outgoing treasurer's report is to enable the new treasurer to assume office with up-to-date records. If the outgoing treasurer is deceased, or is otherwise unable or unwilling to complete this report, the current treasurer should file this report.

Final/Disbanding Report: No later than **noon** 30 days after a political action committee disbands, the last person to be treasurer must file a financial report complete as of the last day the political action committee existed, covering the period since the most recent report. See the explanation of "Disbanding of a Political Action Committee" under this Chapter of the Manual for more information. (IC 3-9-5-11)

Contributions

A **contribution** is any donation accepted by a political action committee governed by Indiana's election laws. A "contribution" includes cash, checks, gifts of property or services, loans, in-kind contributions, or any other things received by the committee that have value. Contributions may be made by an individual, business, profit or non-profit corporation, trade association, labor organization, regular party committee, candidate's committee, or any other type of organization. However, whenever a PAC accepts a donation of rent, office expenses, management fees, costs of solicitation of contributions, or other administrative costs, the PAC is not considered to be receiving a contribution. (IC 3-5-2-15)

A contribution is considered to be received and accepted by a committee when any member of the committee:

- (1) has physical possession of the contribution; and
- (2) manifests an intent to keep the contribution by depositing the contribution, subject to IC 3-9-5-14(c). (IC 3-9-1-25)

A person makes a contribution during the calendar year in which the person relinquishes control over the contribution by:

- (1) depositing the contribution in the United States mail; or
- (2) transferring the contribution to any other person who has been directed to convey the contribution to the person intended to be the recipient of the contribution. (IC 3-9-1-25.5)

Returning or Refunding Contributions: On occasion, a committee may decide not to accept all or part of a contribution. This may occur because the contributor is prohibited under state law from making any contribution (*a foreign national, for example*), or because the contributor has made a contribution that exceeds the total amount allowed in that calendar year (*a corporation or labor union, for example*). A committee may also decide not to accept all or part of a contribution for purely political reasons.

If a committee has not “received and accepted” the contribution by depositing the contribution in an account, or otherwise using this money (see IC 3-9-1-25), then the committee may **simply return** the contribution to the contributor. In this case, the committee is **not** required to report that the contribution was received or returned or otherwise refer to this contribution on the committee’s report.

If the committee has received and accepted the contribution by depositing the contribution in an account, or otherwise using this money (see IC 3-9-1-25), then the committee **must refund** the contribution (*typically by sending a check in that amount to the contributor*). The committee must both report the contribution on the appropriate contributor schedule (*CFA-4 Schedule A-1, for example*), and must report the refund of the contribution on CFA-4 Schedule B.

In-Kind Contribution: In-kind contributions are generally those contributions of things or services (*such as posters, billboards, use of automobile, free lodging or any other types of property or services*), that are paid for by another person or entity and then given to the committee or distributed by another for the benefit of the reporting committee. An in-kind contribution **does not** include a donation of cash, checks, or promissory notes. (IC 3-5-2-15)

Example: A private individual printed and distributed 1,000 posters using the reporting PAC’s name, with the PAC’s approval. The posters would be an in-kind contribution to the PAC. If the posters have a fair market value of \$250, this amount should be listed on Schedule A **and also** on Schedule B of the CFA-4 form. The reason for the double entry of the value of an in-kind contribution (*on the contribution schedule and the expenditure schedule of the CFA-4*) is that the receipt by a committee of a non-cash item (*posters, lodging, transportation, etc.*) is considered the same as receiving the value of the goods or services in money and then spending that money to obtain the goods or services. In-kind contributions are itemized generally under the same guidelines as itemized contributions, except when between campaign finance committees. (*In that situation, the contribution would be considered a “Transfer-In.”*)

Transfer-In: When a political action committee receives money or things of value from another campaign finance committee (*which would otherwise be considered a contribution from a candidate’s, political action or regular party committee*) the exchange is designated as a transfer-in. The receiving political action committee is required to **itemize** each transfer-in from a particular campaign finance committee **regardless of the amount** during any reporting period and also report the cumulative (*aggregate*) amount received during the calendar year. Transfers-in must be itemized on Schedule A-4 (*PACS*) or A-5 (*other organizations*) of the CFA-4. The total of all transfers-in per reporting period must be entered in Column A line 15(a) of the CFA-4 Summary Sheet. (IC 3-5-2-15)

Itemized Contribution: Itemized contributions are those contributions received by a political action committee from a contributor whose individual contributions or cumulative (*aggregate*) contributions exceed \$100 during any calendar year or reporting period. Thus, if a donor makes one contribution over \$100 for a year, then the name and address of the donor and the amounts and dates of this and each subsequent contribution must be itemized (*listed*) on Schedule A of the CFA-4 form. The total of all itemized contributions per reporting period must be entered in Column A on line 15(a) of the CFA-4 Summary Sheet. It is not necessary to amend previously filed reports to itemize contributions of less than \$100 given during the year **before** the individual crossed the threshold for itemization. (IC 3-9-5-14)

Contributions from Joint Accounts: If a committee receives an itemized contribution from an account held by more than one person (*the most common example being a husband and wife whose names are both on a checking account*), the contribution should be listed on the CFA-4 schedules as having been made by the person who signed the check. If the check is signed by both persons, or the check is accompanied by a written statement specifying that each person is a contributor and the amount of the contribution to be attributed to each, then the contribution should be listed on the CFA-4 schedules accordingly. If it is impossible to assign a contribution to one individual using these rules, then let both individuals be the contributor.

Unitemized Contribution: Unitemized contributions are those contributions received by a political action committee from contributors whose total contributions for a calendar year do not exceed \$100. Thus, if a donor makes one contribution per year of under \$100 or several contributions whose total is less than \$100 for the year, then the total the donor gave is not itemized but must be totaled with all other similar unitemized contributions. The total of all unitemized contributions per reporting period must be entered in Column A on line 15(b) of the CFA-4 Summary Sheet (IC 3-9-5-14).

Note: *If during the calendar year the cumulative contributions from any individual total \$100.01 or more, then this individual must be identified on the appropriate Schedule A of the CFA-4 Report.*

Example: Mr. Smith gives \$10 to Good Government PAC in March, \$101 in June and another \$10 in September. The June and September contributions must be itemized on the October report. The April pre-primary report does not need to be amended to itemize the March contribution.

Limitations on Contributions: The most significant limitations on contributions contained in the Campaign Finance Act apply to corporations, labor organizations, state legislative candidates, certain judges and certain state employees.

A. Statewide Candidates: An individual who holds a state office (a “statewide” office) or who is a

candidate for state office, or the candidate’s committee of a candidate for state office, may not solicit contributions, accept campaign contributions, or conduct other fundraising activities during the period beginning on the day in January in each odd-numbered year when the general assembly reconvenes and ending on the day in the odd-numbered year when the general assembly adjourns sine die. This restriction does not prohibit a state officeholder or a candidate for state office from participating in party activities conducted by a regular party committee.

B. State Legislative Candidates: A candidate for a state legislative office (*whether an incumbent state legislator or not*) and the candidate's committee may not solicit or accept campaign contributions or conduct other fundraising activity during the "long session" (*odd-numbered years*). The "long session" begins for the purpose of the prohibition, when the General Assembly reconvenes in January. This prohibition ends when the General Assembly adjourns sine die in an odd-numbered year.

This prohibition **does not** apply to legislative candidates participating in regular party committee activities. This prohibition **does not** apply in even-numbered years (*such as 2014, for example*), although legislative caucus committees may have adopted rules restricting activity by the committee or its members. Contact the respective legislative caucus for information on this issue. (IC 3-9-2-12)

C. Judicial Candidates: Candidates for election to (*or retention in*) judicial office are governed by *The Code of Judicial Conduct*, which restricts political activity including the acceptance of contributions, by these candidates. Contact State Court Administration at 317/232-2542 for more information regarding these restrictions.

D. Allen County Superior Court Judge Candidates: A special statute (IC 33-33-2-11) limits the amount of contributions that may be accepted by candidates for this office to a total of \$10,000 from all sources, and prohibits contributions from political parties and political action committees to their candidates.

E. Lake County Superior Court Judge Candidates: A special statute which only applies to Lake County superior court judges (IC 33-33-45-44(c)) provides that a political party shall not directly or indirectly campaign for or against a judge who is subject to a retention vote under IC 33-33-45.

F. State Employees: Although most state officers and employees have the right to make contribution to candidates and participate fully in the political process (IC 4-15-10-2), some officers and employees may not solicit or receive contributions. Refer to the statute listed below for detailed information.

IC 7.1-2-1-12 Alcohol and Tobacco Commission

(See Chapter 6 regarding Corporations and Labor Organizations for further information on contribution limitations.)

Prohibited Contributions: No contribution may be lawfully made unless it is made to a political action committee or to a person authorized by law to accept contributions.

All funds of a political action committee that accept contributions or makes expenditures in an aggregate amount of more than two hundred dollars (\$200) in a year must be segregated from and not commingled with any personal funds of officers, members, or associates of the committee. (IC 3-9-2-9)

Other prohibitions in state law apply to foreign nationals and individuals and other entities involved in the regulated gaming industries. (*See Chapter 8 for detailed information.*)

Expenditures

An **expenditure** is any payment, transfer or disbursements of money or things of value to another for political purposes. All expenditures made by a campaign finance committee must be reported on the Report of Receipts and Expenditures of a political action committee (CFA-4) for the period in which the expenditure was made. (IC 3-5-2-23)

Itemized Expenditure: Expenditures made by a campaign finance committee to an individual, business, group or others when the total (*aggregate or cumulative*) of the individual payments exceed \$100 during any calendar year or reporting period must be itemized.

Example: If a committee makes a payment that totals more than \$100 for the year, then the individual receiving the payment from the committee must be itemized (*listed*) on Schedule B of the CFA-4. The total of all itemized expenditures per reporting period must be entered in Column A on line 17(a) of the CFA-4 Summary Sheet. (IC 3-9-5-14)

Unitemized Expenditure: Expenditures made by a political action committee to an individual, business, group or others, the total of which does not exceed \$100 during any calendar year may be reported as unitemized expenditures. The total of all unitemized expenditures per reporting period must be entered on line 17b of the Summary Sheet on the CFA-4. (IC 3-9-5-14)

Transfer-Out: When a political action committee transfers money or things of value to another campaign finance committee (*otherwise considered an expenditure by a campaign finance committee*) the committee reports this as a “transfer-out.” The campaign finance committee transferring money or things of value to another campaign finance committee must itemize each transfer to a particular campaign finance committee **regardless of amount**. The receiving committee must also disclose the (*aggregate or cumulative*) amount transferred to that campaign finance committee during the calendar year. Transfers-out must be itemized on Schedule B of the CFA-4. The total of all transfers-out per reporting period must be entered in Column A line 17(a) of the CFA-4 Summary Sheet. (IC 3-5-2-23(b))

Note: *Money received by a committee as a contribution may not be used for primarily personal purposes by the political action committee or by any other person except as described above. (IC 3-9-3-4)*

Prohibited Expenditures: It is unlawful for any person, other than a treasurer, to pay any of the expenses of any committee, except as provided by law. A political action committee or any person may not collect, receive, keep or disburse money or other things of value, for political purposes, unless a treasurer has been appointed **and unless such money or things so received, disbursed or expended have passed through the hands of the treasurer.** (IC 3-9-4-16 (a)(3) and IC 3-9-4-17(a)(3))

Money received by a political action committee as a contribution may be used only:

1. To defray any expenses reasonably related to the political action committee’s continuing political activity;
2. To make an expenditure to any national, state, or local committee of any political party or a candidate’s committee; or
3. Upon dissolution of a political action committee, in a manner permitted under IC 3-9-1-12.

Money received by a political action committee as a contribution may not be used for primarily personal purposes by the committee or by any other person except as described above. (IC 3-

9-3-4) **A person who knowingly or intentionally violates IC 3-9-3-4 commits a Class A infraction and may be subject to a judgment of up to \$10,000 or a civil penalty of up to \$1,000 assessed by the Indiana Election Commission or the appropriate county election board.** (IC 3-14-1-16, IC 3-9-4-16 and IC 3-9-4-17)

Expenditure Codes

All campaign finance committees MUST enter an expenditure code for each itemized expenditure made by the committee. (IC 3-9-4-4) The committee must enter one of the four (4) codes listed below in the box at the upper left corner of the “Recipient’s Name and Mailing Address” section on Schedule B of the CFA-4 form. The reverse side of the form contains instructions regarding these codes. The expenditure codes committees must use are as follows:

Code: C
Expenditure Type: Contributions

Expenditure Definition: Direct and in-kind contributions the campaign can legally make to other campaigns, political action committees, community and charitable organizations. In the description column, the filer is directed to specify who benefited and, if in-kind, what was purchased.

Code: F
Expenditure Type: Fundraising

Expenditure Definition: Expenditures, direct or in-kind, associated with holding a fundraiser, including payments to restaurants, hotels and caterers, other food and refreshment vendors, entertainers, and speakers.

**Filers are directed to use an “A” for expenditures for printed matter produced in connection with fundraising events.*

Code: A
Expenditure Type: Advertising

Expenditure Definition: Expenditures associated with the production, design, photography, copy, layout, printing, reproduction and purchase of advertising and campaign communications including:

- Radio and television advertising
- Advertising in newspapers, periodicals, and other publications
- Advertisements on billboards and yard signs
- Campaign paraphernalia such as buttons, bumper stickers, T-shirts, hats, etc.
- Websites
- Campaign literature
- Printed solicitations
- Fundraising letters
- Mailing lists

Code: O
Expenditure Type: Operations

Expenditure Definition: General campaign operating expenses and overhead including:

- Wages, salaries and benefits associated with hiring campaign employees and other paid workers who provide miscellaneous services
- Contracts, fees, and commissions paid to campaign management companies and contract consultants including law firms
- Headquarters purchase or rental
- Utilities
- Purchase or rental of office equipment and furniture for the campaign
- Surveys and Polls – Including expenditures associated with the design and production of polls, election trend reports, voter surveys, telemarketing, telephone banks, Get Out The Vote drives, etc.
- Postage – Including stamps, or metered postage, direct mail services and delivery services like United Parcel Services and Federal Express
- Travel – Including fares accommodations and meals from campaign

Penalty: A report without the required expenditure codes is considered a defective report. The committee may be subject to a possible civil penalty of \$10 a day up to \$100 plus any investigative costs if the defect is not timely corrected. *(See Chapter 10 for more information about the penalty for defective reports.)*

Debts

Debts (Loans): Debts (*loans*) include all money or things of value that must be repaid or returned. Debts include, but are not limited to, amount of monies or items borrowed, credit purchases, credit card accounts, or other unpaid debts.

Debts **owed by** a committee (*Schedule D, CFA-4*) are those items borrowed by the reporting committee from an individual, business, lending institution, credit card company or another committee.

Debts **owed to** a committee (*Schedule E, CFA-4*) are those items that the reporting committee has loaned to another committee or other entity with the requirement that the item or money be returned. (IC 3-9-5-14)

If a committee pays a debt owed by the committee, and does so by mailing a check to the creditor, the committee should indicate that the debt has been paid as of the date the check was mailed or otherwise delivered to the creditor.

If the creditor does not deposit the committee's check, or for any other reason the check does not clear the committee's account before the end of the reporting period, the committee's report should nonetheless show the debt as paid by the committee. However, if the check remains outstanding at the end of the following reporting period, it may be necessary for the committee to amend its earlier report to reconcile the balances shown on the summary sheet of the CFA-4.

Credit Purchases: Credit cards, credit accounts, etc., must be listed on the Debts Owed By the Committee, CFA-4 Schedule D, to the extent that there is still an outstanding balance (*amount still owing*). However, any payment made to pay off a credit purchase is considered an expenditure and the vendor or individual must be itemized as such.

Investments: Money received as a contribution may be invested by a committee in an account with a financial institution, savings and loan association, or credit union, or in any equity account. Any loss resulting from an investment may be reported as a committee expenditure. Any gain resulting from an investment must be reported as income.

Electronic Filing of Campaign Reports and Statements Required for Certain Political Action Committees

Political action committees that have received more than fifty thousand dollars (\$50,000) in contributions since the close of the previous reporting period must file their required campaign finance reports or statements electronically using a standardized online database provided by the Election Division, or by using another format approved by the Election Division. (IC 3-9-4-4)

If the committee fails to file its required campaign finance report or statement electronically in accordance with this requirement, the Indiana Election Commission may impose a fine equal to the costs incurred by the Election Division for the manual entry of the data in the campaign finance database, plus any investigative costs. (IC 3-9-4-16)

Facsimile Filing of Campaign Finance Reports

The Election Division or county election board is not required to accept a campaign finance report sent by facsimile transmission unless the Indiana Election Commission or county election board has approved a policy permitting a campaign finance report or statement to be submitted by facsimile transmission. (IC 3-9-5-7) The Commission has approved the filing of reports or statements by FAX with the Election Division. However, certain political action committees are required to file electronically with the Election Commission, and not by FAX. (IC 3-9-4-4) Check with the appropriate county election board for more information regarding the county's FAX policy.

E-Mail Filing of Campaign Finance Reports

The Indiana Election Division can provide a political action committee or legislative caucus committee with a free online database to permit the committee to install the software on a computer and generate an electronic version of the campaign finance reports and statements required to be filed with the Election Division. However, the Election Division is not required to provide or alter the database to make the program compatible for installation or operation on a specific computer. (IC 3-9-4-4)

For further information regarding filing by e-mail, committees may contact the Election Division at (800) 622-4941, (317)232-3939, or at the e-mail address campaignfinance@iec.IN.gov.

On-Line Filing of Campaign Finance Reports

The Indiana Election Division permits a political action committee or legislative caucus committee, which files with the Election Division, to complete and file committee reports at a secure on-line location on the Election Division's web site.

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Internet Publishing of Campaign Finance Reports

The Indiana Election Division has a Campaign Finance Database that makes the information contained in the campaign finance reports filed with the Division available in a searchable, digital form on the Internet.

All reports filed with the Division are published on the Election Division's Internet homepage:

www.in.gov/sos/elections and **<http://campaignfinance.in.gov>**

The Election Division strives to ensure that all entries on this homepage concerning a committee's campaign finance reports are accurate and complete. However, due to large volumes of data entry and short deadlines for publishing reports before elections, some errors can be expected to occur. If you discover an error or have a question regarding the Internet publication of a report, please contact the Election Division as soon as possible. We will work to resolve any problem quickly and efficiently.

Audits & Inquiries

The Election Division campaign finance staff or the county election board may contact your committee advising that a report or statement of organization is delinquent or defective, asking for clarification of a report or statement, or requesting information promptly.

Defective & Delinquent Reports

The Election Division and each county election board shall:

1. Ascertain whether the political action committee or other persons have failed to file statements of organization or reports or have filed defective statements of organizations or defective reports.
2. Give notice to **delinquents** to file a statement of organization or a report immediately upon receipt of notice.
3. Give notice to a committee filing a **defective** report to file a report to correct the defective report no later than noon 5 calendar days after receiving the notice.
4. Make available for public inspection a list of delinquent reports and persons who fail to file the required supplemental statement and reports. The Election Division and each county election board shall post a list of delinquents in a public place at or near the entrance of the Commission's or board's respective offices. (IC 3-9-4-14 (2)(a))

A person who fails to file a required statement or report is subject to a civil penalty of up to \$1,000 to be assessed by the Commission, county election board, or both, for the delinquent report. The penalty is \$50 per day with the afternoon of the deadline day counting as the first day. The Commission or county election may add investigative costs to the penalty. (IC 3-9-4-16(c) & IC 3-9-4-17(c))

A person who fails to file a correction to the defective report after being notified to do so is subject to a civil penalty up to \$100 to be assessed by the Commission, county election board, or both. The penalty is \$10 per day, with the afternoon of the fifth (5th) day after receipt of the notice counting as the first day. The Commission or county election board may add investigative costs to the penalty. (IC 3-9-4-16(b) & IC 3-9-4-17(b))

A person who fails to file a report required by the Campaign Finance Act with the appropriate office commits a Class B misdemeanor and is subject to a \$1,000 fine, 180 days imprisonment, or both. (IC 3-14-1-14)

A person who knowingly files a fraudulent report commits a Class D felony and is subject to a \$10,000 fine, three years imprisonment, or both. Beginning July 1, 2014, this violation is a Level 6 felony, and is subject to a \$10,000 fine, two and one-half years imprisonment, or both. (IC 3-14-1-13)

Disbanding a Political Action Committee

A political action committee may disband at any time by giving written notification and filing a final report (*CFA-4 form*) with the Election Division or appropriate county election board.

Be certain to CHECK THE BOX on this form indicating that the PAC is disbanding. Otherwise, the committee will remain open and the political action committee will be required to file an annual report the third Wednesday of each January that the committee remains open.

If there are surplus funds, the committee may transfer the funds before disbanding to one or any combination of the following:

1. one or more regular party committees,
2. one or more candidate's committees,
3. the Election Division,
4. an organization exempt from federal income taxation under Section 501 of the Internal Revenue Code,
5. contributors to the committee (*on a pro rata basis*). (IC 3-9-1-12)

The funds may also be used to make an expenditure to any political party committee or a candidate's committee. (IC 3-9-3-4)

A dissolution and transfer of funds does not relieve the committee or its members from civil or criminal liability. (IC 3-9-1-12)

Chapter 5: Regular Party Committee

Regular Party Committee: A central committee or a national committee of a political party. A regular party committee includes a state committee, congressional district committee, county committee, city committee or town committee of a political party. It is the official organization for a party. (IC 3-5-2-42 and IC 3-5-2-8) Other committees affiliated with a political party may be classified as an “auxiliary party organization” (IC 3-5-2-2.5) or a political action committee. (See *Chapter 9 for more information.*)

Organizing a Regular Party Committee

Every regular party committee must have a chairperson and a treasurer. No expenditures may be made or contributions accepted for or on behalf of a regular party committee without the authorization of its chairperson or treasurer. Not later than ten (10) days after the organization becomes a campaign finance committee, the committee must file a statement of organization (*CFA-3 form*). (IC 3-9-1-1.5; 3-9-1-3)

For purposes of determining when this ten day deadline occurs, a committee becomes a regular party committee when the committee accepts contributions or makes expenditures during a calendar year to: (1) influence the election of a candidate for statewide, state legislative, or local office; and (2) that total more than one hundred dollars (\$100). This method for determining the filing deadline for a CFA-3 does not apply to a national committee of a political party. (IC 3-9-1-1.5).

The **chairperson** is the elected or appointed head or presiding officer of the regular party committee. Every regular party committee must have a chairperson. A person may serve as the chairperson for more than one committee.

A **treasurer** of a regular party committee:

1. Must be a United States citizen;
2. May not be the chairman of a committee (IC 3-9-1-13);
3. Must be appointed treasurer in writing as required by IC 3-9-1-14; and
4. Must file the written instrument of appointment as required by IC 3-9-1-15.

A treasurer of a regular party committee may be the treasurer of another committee unless the treasurer is also a candidate. (IC 3-9-1-18)

The chairman of a regular party committee shall appoint or designate the treasurer of the committee in a written instrument. (*This is included on the CFA-3 form.*) (IC 3-9-1-14)

Forms to File

CFA-3 Regular Party Committee Statement of Organization

Regular party committees must file a statement of organization (*CFA-3 form*) when organizing a committee to disclose the committee’s organization. This form must be signed by the chairperson and treasurer. (IC 3-9-1-3 and IC 3-9-1-4)

The regular party committee must file a CFA-3 form no later than ten (10) days after the committee becomes a regular party committee. Both the chairperson and the treasurer must sign this form.

Amending the CFA-3 Form: When changes occur in the CFA-3 form, such as a new chairperson, treasurer, mailing address, change of committee name, etc., an amended CFA-3 form must be filed no later than ten (10) days after the change. Check the box on the CFA-3 form to indicate an amendment. (IC 3-9-1-10)

NOTE: When filing an amendment, **ONLY** complete the line or lines where a change has been made. However, please include the name of the committee and file number, if known. The chairperson must sign the amendment.

CFA-4 Receipts and Expenditures Report of a Political Committee

Generally speaking, a treasurer of a regular party committee must file **three (3)** receipts and expenditures reports (*pre-primary, pre-election, and annual*) for every calendar year.

NOTE: When filing your campaign finance reports, please make sure that you are using the currently approved forms, since using old forms cannot be accepted for filing under a policy adopted by the Indiana Election Commission.

Pre-Primary Report: The financial report of a regular party committee that covers the period beginning January 1 of the reporting year, (*or the organizational date of the committee if after January 1*), and ending 25 days before the primary election. This report must be filed with the Election Division or appropriate county election board by **noon** 7 days after the end of the reporting period. Reports filed electronically must be filed with the Election Division or county election board by **noon** 7 days after the end of the reporting period. (IC 3-9-5-6 and IC 3-9-5-7)

Pre-Election Report: The financial report of a regular party committee that covers the period beginning 24 days before the primary election and ending 25 days before the general election. This report must be filed with the Election Division or appropriate county election board by **noon** 7 days after the end of the reporting period. Reports filed electronically must be filed with the Election Division or county election board by **noon** 7 days after the end of the reporting period. (IC 3-9-5-6 & IC 3-9-5-7)

Annual Report: The financial report of a regular party committee that covers the period beginning 24 days before the general election and ending December 31 of that year. This report must be filed with the Election Division or appropriate county election board by **noon** on March 1. Reports filed electronically must be filed with the Election Division or county election board by **noon** on March 1. (IC 3-9-5-10)

Outgoing Treasurer's Report: If a treasurer is removed, resigns or otherwise vacates the position of treasurer of a regular party committee, the outgoing treasurer must file a report no later than 30 days after the vacancy occurs. This report must cover the period from the most recent report up to the last day the individual was treasurer. This report is filed in the usual manner and in the same location as the other reports. (IC 3-9-5-12) The purpose of the outgoing treasurer's report is to enable the new treasurer to assume office with up-to-date records.

Final/Disbanding Report: No later than **noon** 30 days after a regular party committee disbands, the last person to be treasurer must file a financial report complete as of the last day the regular party committee existed, covering the period since the most recent report. See the explanation of “Disbanding a Regular Party Committee” under this Chapter of the Manual for more information. (IC 3-9-5-11)

Contributions

A **contribution** is any donation accepted by a regular party committee governed by Indiana’s election laws. A “contribution” includes cash, checks, gifts of property or services, loans, in-kind contributions, or any other things received by the committee that have value. Contributions may be made by an individual, business, profit or non-profit corporation, trade association, labor organization, regular party committee, candidate’s committee, or any other type of organization. (IC 3-5-2-15)

A contribution is considered to be received and accepted by a committee when any member of the committee:

- (1) has physical possession of the contribution; and
- (2) manifests an intent to keep the contribution by depositing the contribution, subject to IC 3-9-5-14(c). (IC 3-9-1-25)

A person makes a contribution during the calendar year in which the person relinquishes control over the contribution by:

- (1) depositing the contribution in the United States mail; or
- (2) transferring the contribution to any other person who has been directed to convey the contribution to the person intended to be the recipient of the contribution. (IC 3-9-1-25.5)

Returning or Refunding Contributions: On occasion, a committee may decide not to accept all or part of a contribution. This may occur because the contributor is prohibited under state law from making any contribution (*a foreign national, for example*), or because the contributor has made a contribution that exceeds the total amount allowed in that calendar year (*a corporation or labor union, for example*). A committee may also decide not to accept all or part of a contribution for purely political reasons.

If a committee has not “received and accepted” the contribution by depositing the contribution in an account, or otherwise using this money (see IC 3-9-1-25), then the committee may **simply return** the contribution to the contributor. In this case, the committee is **not** required to report that the contribution was received or returned or to otherwise refer to this contribution on the committee’s report.

If the committee has received and accepted the contribution by depositing the contribution in an account, or otherwise using this money (see IC 3-9-1-25), then the committee **must refund** the contribution (*typically by sending a check in that amount to the contributor*). The committee must both report the contribution on the appropriate contributor schedule (*CFA-4 Schedule A-1, for example*), and must report the refund of the contribution on CFA-4 Schedule B.

In-Kind Contribution: In-kind contributions are generally those contributions of things or services (*such as posters, billboards, use of automobile, free lodging or any other types of property or services*), that are paid for by another person or entity and then given to the committee or distributed by another for the benefit of the reporting committee. An in-kind contribution **does not** include a donation of cash, checks, or promissory notes. (IC 3-5-2-15)

Example: A private individual printed and distributed 1,000 posters using the reporting regular party committee's name, with the regular party committee's approval. The posters would be an in-kind contribution to the regular party committee. If the posters have a fair market value of \$250, this amount should be listed on Schedule A **and also** on Schedule B of the CFA-4 form. The reason for the double entry of the value of an in-kind contribution (*on the contribution schedule and the expenditure schedule of the CFA-4*) is that the receipt by a committee of a non-cash item (*posters, lodging, transportation, etc.*) is considered the same as receiving the value of the goods or services in money and then spending that money to obtain the goods or services. In-kind contributions are itemized generally under the same guidelines as itemized contributions, except when between campaign finance committees. (*In that situation, the contribution would be considered a "Transfer-In."*)

Transfer-In: When a regular party committee receives money or things of value from another campaign finance committee (*which would otherwise be considered a contribution from a candidate's, political action or regular party committee*) the exchange is designated as a transfer-in. The receiving regular party committee is required to **itemize** each transfer-in from a particular campaign finance committee **regardless of the amount** during any reporting period and also report the cumulative (*aggregate*) amount received during the calendar year. Transfers-in must be itemized on Schedule A-4 (*PACS*) or A-5 (*other organizations*) of the CFA-4. The total of all transfers-in per reporting period must be entered in Column A line 15(a) of the CFA-4 Summary Sheet. (IC 3-5-2-15)

Itemized Contribution: Itemized contributions are those contributions received by a regular party committee from a contributor whose individual contributions or cumulative (*aggregate*) contributions exceed \$200 during any calendar year or reporting period. Thus, if a donor makes one contribution over \$200 for a year, then the name and address of the donor and the amounts and dates of this and each subsequent contribution must be itemized (*listed*) on Schedule A of the CFA-4 form. The total of all itemized contributions per reporting period must be entered in column A on line 15(a) of the CFA-4 Summary Sheet. It is not necessary to amend previously filed reports to itemize contributions of less than \$200 given during the year **before** the individual crossed the threshold for itemization. (IC 3-9-5-14)

Contributions from Joint Accounts: If a committee receives an itemized contribution from an account held by more than one person (*the most common example being a husband and wife whose names are both on a checking account*), the contribution should be listed on the CFA-4 schedules as having been made by the person who signed the check. If the check is signed by both persons, or the check is accompanied by a written statement specifying that each person is a contributor and the amount of the contribution to be attributed to each, then the contribution should be listed on the CFA-4 schedules accordingly. If it is impossible to assign a contribution to one individual using these rules then let both individual be the contributor.

Unitemized Contribution: Unitemized contributions are those contributions received by a regular party committee from contributors whose total contributions for a calendar year do not exceed \$200. Thus, if a donor makes one contribution per year of under \$200 or several contributions whose total is less than \$200 for the year, then the total the donor gave is not itemized but must be totaled with all other similar unitemized contributions. The total of all unitemized contributions per reporting period must be entered in Column A on line 15(b) of the CFA-4 Summary Sheet. (IC 3-9-5-14)

Note: If during the calendar year the cumulative contributions from any individual total \$200.01 or more to the regular party committee, then this individual must be identified on the appropriate Schedule A of the CFA-4 Report.

Example: Mr. Smith gives \$10 to the Sixth District Federalist Party Central Committee in March, \$201 in June and another \$10 in September. The June and September contributions must be itemized on the October report. The April report does not need to be amended to itemize the March contribution.

Limitations on Contributions: The most significant limitations on contributions contained in the Campaign Finance Act apply to corporations, labor organizations, state legislative candidates, certain judges and certain state employees.

A. Statewide Candidates: An individual who holds a state office (a “statewide” office) or who is a

candidate for state office, or the candidate’s committee of a candidate for state office, may not solicit contributions, accept campaign contributions, or conduct other fundraising activities during the period beginning on the day in January in each odd-numbered year when the general assembly reconvenes and ending on the day in the odd-numbered year when the general assembly adjourns sine die. This restriction does not prohibit a state officeholder or a candidate for state office from participating in party activities conducted by a regular party committee.

B. State Legislative Candidates: A candidate for a state legislative office (*whether an incumbent state legislator or not*) and the candidate’s committee may not solicit or accept campaign contributions or conduct other fundraising activity during the “long session” (*odd-numbered years*). The “long session” begins for the purpose of the prohibition, when the General Assembly reconvenes in January. This prohibition ends when the General Assembly adjourns sine die in odd-numbered years.

This prohibition **does not** apply in legislative candidates participating in regular party committee activities. This prohibition **does not** apply to even-numbered years (*such as 2014, for example*), although legislative caucus committees may have adopted rules restricting activity by the committee or its members. Contact the respective caucus for information on this point. (IC 3-9-2-12)

C. Judicial Candidates: Candidates for election to (*or retention in*) judicial office are governed by *The Code of Judicial Conduct*, which restricts political activity including the acceptance of contributions, by these candidates. Contact State Court Administration at 317/232-2543 for more information regarding these restrictions.

D. Allen County Superior Court Judge Candidates: A special statute (IC 33-33-2-11) limits the amount of contributions that may be accepted by candidates for this office to a total of \$10,000 from all sources, and prohibits contributions from political parties and political action committees to their candidates.

E. Lake County Superior Court Judge Candidates: A special statute which only applies to Lake County superior court judges (IC 33-33-45-44(c)) provides that a political party shall not directly or indirectly campaign for or against a judge who is subject to a retention vote under IC 33-33-45.

F. **State Employees:** Although most state officers and employees have the right to make contributions to candidates and participate fully in the political process (IC 4-15-10-2), some officers and employees may not solicit or receive contributions. Refer to the statute listed below for detailed information.

IC 7.1-2-1-12 Alcohol and Tobacco Commission

(See Chapter 6 regarding Corporations and Labor Organizations for further information on contribution limitations.)

Prohibited Contributions: No contribution may be lawfully made unless it is made to a regular party committee or to a person authorized by law to accept contributions.

All funds of a regular party committee that accept contributions or makes expenditures in an aggregate amount of more than two hundred dollars (\$200) in a year must be segregated from and not commingled with any personal funds of officers, members, or associates of the committee. (IC 3-9-2-9)

Other prohibitions in state law apply to foreign nationals and individuals and other entities involved in the regulated gaming industries. *(See Chapter 8 for detailed information.)*

Expenditures

An **expenditure** is any payment, transfer or disbursements of money or things of value to another for political purposes. All expenditures made by a regular party committee must be reported on the Report of Receipts and Expenditures of a Political Committee (CFA-4) for the period in which the expenditure was made. (IC 3-5-2-23)

Itemized Expenditure: Expenditures made by a regular party committee to an individual, business, group or others when the total (*aggregate or cumulative*) of the individual payments exceed \$200 during any calendar year or reporting period must be itemized. **Example:** If a committee makes a payment that totals more than \$200 for the year, then the individual receiving the payment from the committee must be itemized (*listed*) on Schedule B of the CFA-4. The total of all itemized expenditures per reporting period must be entered in Column A on line 17(a) of the CFA-4 Summary Sheet. (IC 3-9-5-14)

Unitemized Expenditure: Expenditures made by a regular party committee to an individual, business, group or others, the total of which does not exceed \$200 during any calendar year may be reported as unitemized expenditures. The total of all unitemized expenditures per reporting period must be entered on line 17b of the Summary Sheet on the CFA-4. (IC 3-9-5-14)

Transfer-Out: When a regular party committee transfers money or things of value to another campaign finance committee (*otherwise considered an expenditure by a campaign finance committee*) the committee reports this as a “transfer-out.” The regular party committee transferring money or things of value to another campaign finance committee must itemize each transfer to a particular campaign finance committee **regardless of amount**. The receiving committee must also disclose the (*aggregate or cumulative*) amount transferred to that campaign finance committee during the calendar year. Transfers-out must be itemized on

Schedule B of the CFA-4. The total of all transfers-out per reporting period must be entered in Column A line 17(a) of the CFA-4 Summary Sheet. (IC 3-5-2-23(b))

Note: Money received by a regular party committee as a contribution may not be used for primarily personal purposes by the committee or by any other person except as described above. (IC 3-9-3-4)

Prohibited Expenditures: It is unlawful for any person, other than a treasurer, to pay any of the expenses of any committee, except as provided by law. A regular party committee or any person may not collect, receive, keep or disburse money or other things of value, for political purposes, unless a treasurer has been appointed **and unless such money or things so received, disbursed or expended have passed through the hands of the treasurer.** (IC 3-9-4-16 (a)(3) and IC 3-9-4-17(a)(3))

Money received by a regular party committee as a contribution may be used only:

1. To defray any expenses reasonably related to the regular party committee's continuing political activity;
2. To make an expenditure to any national, state, or local committee of any political party or a candidate's committee; or
3. Upon dissolution of a regular party committee, in a manner permitted under IC 3-9-1-12.

Money received by a regular party committee as a contribution may not be used for primarily personal purposes by the committee or by any other person except as described above. (IC 3-9-3-4) **A person who knowingly or intentionally violates IC 3-9-3-4 commits a Class A infraction and may be subject to a judgment of up to \$10,000 or a civil penalty of up to \$1000 assessed by the Indiana Election Commission or the appropriate county election board.** (IC 3-14-1-16, IC 3-9-4-16 and IC 3-9-4-17)

Expenditure Codes

All campaign finance committees MUST enter an expenditure code for each itemized expenditure made by the committee. (IC 3-9-4-4) The committee must enter one of the four (4) codes listed below in the box at the upper left corner of the "Recipient's Name and Mailing Address" section on Schedule B of the CFA-4 form. The reverse side of the form contains instructions regarding these codes. The expenditure codes committees must use are as follows:

Code: C
Expenditure Type: Contributions

Expenditure Definition: Direct and in-kind contributions the campaign can legally make to other campaigns, political action committees, community and charitable organizations. In the description column, the filer is directed to specify who benefited and, if in-kind, what was purchased.

Code: F
Expenditure Type: Fundraising

Expenditure Definition: Expenditures, direct or in-kind, associated with holding a fundraiser, including payments to restaurants, hotels and caterers, other food and refreshment vendors, entertainers, and speakers.

**Filers are directed to use an “A” for expenditures for printed matter produced in connection with fundraising events.*

Code: A
Expenditure Type: Advertising

Expenditure Definition: Expenditures associated with the production, design, photography, copy, layout, printing, reproduction and purchase of advertising and campaign communications including:

- Radio and television advertising
- Advertising in newspapers, periodicals, and other publications
- Advertisements on billboards and yard signs
- Campaign paraphernalia such as buttons, bumper stickers, T-shirts, hats, etc.
- Websites
- Campaign literature
- Printed solicitations
- Fundraising letters
- Mailing lists

Code: O
Expenditure Type: Operations

Expenditure Definition: General campaign operating expenses and overhead including:

- Wages, salaries and benefits associated with hiring campaign employees and other paid workers who provide miscellaneous services
- Contracts, fees, and commissions paid to campaign management companies and contract consultants including law firms
- Headquarters purchase or rental
- Utilities
- Purchase or rental of office equipment and furniture for the campaign
- Surveys and Polls – Including expenditures associated with the design and production of polls, election trend reports, voter surveys, telemarketing, telephone banks, Get Out The Vote drives, etc.
- Postage – Including stamps, or metered postage, direct mail services and delivery services like United Parcel Services and Federal Express
- Travel – Including fares accommodations and meals from campaign

Penalty: A report without the required expenditure codes is considered a defective report. The committee may be subject to a possible civil penalty of \$10 a day up to \$100 plus any investigative costs if the defect is not timely corrected. *(See Chapter 10 for more information about the penalty for defective reports.)*

Debts

Debts (Loans): Debts (*loans*) include all money or things of value that must be repaid or returned. Debts include, but are not limited to, amount of monies or items borrowed, credit purchases, credit card accounts, or other unpaid debts.

Debts **owed by** a committee (*Schedule D, CFA-4*) are those items borrowed by the reporting committee from an individual, business, lending institution, credit card company or another committee.

Debts **owed to** a committee (*Schedule E, CFA-4*) are those items that the reporting committee has loaned to another committee or other entity with the requirement that the item or money be returned. (IC 3-9-5-14)

If a committee pays a debt owed by the committee, and does so by mailing a check to the creditor, the committee should indicate that the debt has been paid as of the date the check was mailed or otherwise delivered to the creditor.

If the creditor does not deposit the committee's check, or for any other reason the check does not clear the committee's account before the end of the reporting period, the committee's report should nonetheless show the debt as paid by the committee. However, if the check remains outstanding at the end of the following reporting period, it may be necessary for the committee to amend its earlier report to reconcile the balances shown on the summary sheet of the CFA-4.

Credit Purchases: Credit cards, credit accounts, etc., must be listed on the Debts Owed By the Committee, CFA-4 Schedule D, to the extent that there is still an outstanding balance (*amount still owing*). However, any payment made to pay off a credit purchase is considered an expenditure and the vendor or individual must be itemized as such.

Investments: Money received as a contribution may be invested by a committee in an account with a financial institution, savings and loan association, or credit union, or in any equity account. Any loss resulting from an investment may be reported as a committee expenditure. Any gain resulting from an investment must be reported as income.

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2. Give notice to **delinquents** to file a statement of organization or a report immediately upon receipt of notice.
3. Give notice to a committee filing a **defective** report to file a report to correct the defective report no later than noon 5 calendar days after receiving the notice.
4. Make available for public inspection a list of delinquent reports and persons who fail to file the required supplemental statement and reports. The Election Division and each county

election board shall post a list of delinquents in a public place at or near the entrance of the Commission's or board's respective offices. (IC 3-9-4-14 (2)(a))

A person who fails to file a required statement or report is subject to a civil penalty of up to \$1,000 to be assessed by the Commission, county election board, or both, for the delinquent report. The penalty is \$50 per day with the afternoon of the deadline day counting as the first day. The Commission or county election board may add investigative costs to the penalty. (IC 3-9-4-16(c) & IC 3-9-4-17(c))

A person who fails to file a correction to the defective report after being notified to do so is subject to a civil penalty up to \$100 to be assessed by the Commission, county election board, or both. The penalty is \$10 per day, with the afternoon of the fifth (5th) day after receipt of the notice counting as the first day. The Commission or county election board may add investigative costs to the penalty. (IC 3-9-4-16(b) & IC 3-9-4-17(b))

A person who fails to file a report required by the Campaign Finance Act with the appropriate office commits a Class B misdemeanor and is subject to a \$1,000 fine, 180 days imprisonment, or both. (IC 3-14-1-14)

A person who knowingly files a fraudulent report commits a Class D felony and is subject to a \$10,000 fine, three years imprisonment, or both. Beginning July 1, 2014, this violation is a Level 6 felony, and is subject to a \$10,000 fine, two and one-half years imprisonment, or both. (IC 3-14-1-13)

Disbanding a Regular Party Committee

A regular party committee may disband at any time by giving written notification and filing a final report (*CFA-4 form*) with the Election Division or appropriate county election board.

Be sure to CHECK THE BOX on the form indicating that the committee is disbanding. Otherwise, the committee will remain open and the regular party committee will be required to file an annual report on March 1 of each year that the committee remains open.

If there are surplus funds, the committee may transfer the funds before disbanding to one or any combination of the following:

1. one or more regular party committees.
2. one or more candidate's committees.
3. the Election Division.
4. an organization exempt from federal income taxation under Section 501 of the Internal Revenue Code.
5. contributors to the committee (on a pro rata basis). (IC 3-9-1-12)

The funds may also be used to make an expenditure to any political party committee or a candidate's committee. (IC 3-9-3-4)

A dissolution and transfer of funds does not relieve the committee or its members from civil or criminal liability. (IC 3-9-1-12).

Chapter 6: Corporations and Labor Organizations

Corporation and Labor Organization Contributions

Subject to the restrictions discussed in this chapter, **corporations** and **labor organizations** may make a contribution to aid in the:

1. Election or defeat of a candidate;
2. The success or defeat of:
 - a. a political party; or
 - b. a public question submitted to a vote in an election. (IC 3-9-2-3)

Corporations and **labor organizations** are not required to file campaign finance forms with the Indiana Election Division or any county election boards.

What is a Corporation?

A corporation is an entity required under Title 23 of the Indiana Code to file articles of incorporation with the Corporations Division of the Secretary of State of Indiana (*or an entity which files articles of incorporation in another state, which may or may not file a certificate of authorization to do business as a "foreign corporation" with the Corporations Division of the Secretary of State of Indiana.*)

A "corporation" does **not** include other types of business entities, such as a limited liability company, a limited liability partnership, a partnership, a sole proprietorship, an unincorporated association, and similar entities. (*See Chapter 7 for more information about these organizations.*)

Although narrowly applicable state laws limit or prohibit contributions by certain corporations (*See Chapter 8*), generally speaking, any corporation may make a contribution subject to the limitations discussed in this chapter.

In general, if a corporation owns all or part of another corporation, this ownership interest does not affect the ability of the subsidiary or partially controlled corporation to make contributions, subject to the limits imposed under this chapter.

EXAMPLE: Big John Doe Corporation owns 100% of Little Doe, Inc. Big John Doe Co. and Little Doe, Inc. may each make an aggregate of \$22,000 in contributions, subject to the subcategory limits under IC 3-9-2-4. The result does not change if Big John Doe Corporation owns 100%, 51%, or only 1% of Little Doe, Inc.

In discussing contributions by corporations, it is also important to distinguish between a corporation and the corporation's political action committee.

The contribution limits that apply to contributions by the corporation do not apply to the corporation's political action committee. For this reason, it is **critically important** for the entity making the contribution to inform the treasurer of any committee receiving a contribution **whether the contribution is from the corporation or the corporation's PAC**. In many cases, the name of the entity as printed on a check may not provide enough information by itself to prevent confusion on this point.

Subchapter S corporations are considered the same as other corporations for campaign finance purposes. Subchapter S status has no effect on the corporation's ability to make limited contributions under the Campaign Finance Act.

Professional corporations are considered the same as other corporations for campaign finance purposes.

If a political action committee chooses to become incorporated, the committee is subject to the same restrictions applicable to other corporations under the Campaign Finance Act.

To determine if an entity has registered as a corporation in Indiana, contact the Business Services Information Line at (317)232-6576.

Nonprofit Corporations

Under Indiana law, nonprofit corporations are subject to the same limitations concerning contributions as business corporations. Questions regarding the tax exempt status of a nonprofit corporation which makes a political contribution are determined by the Internal Revenue Service, not the Election Commission, the Election Division or county election board. Contact the Internal Revenue Service at (317)232-2240 for additional information.

What is a Labor Organization?

In discussing contributions by labor organizations, it is important to distinguish between a labor organization (*commonly called a labor union*) and the union's political action committee.

The contribution limits that apply to contributions by the union do not apply to the union's political action committee. For this reason, it is **critically important** for the entity making the contribution to inform the treasurer of any committee receiving a contribution **whether the contribution is from the labor union or the labor union's PAC**. In many cases, the name of the entity as printed on a check may not provide enough information by itself to prevent confusion on this point.

Corporate and Labor Contribution Limitations

Although **corporations and labor organizations** are permitted to make direct contributions to candidate committees, regular party committees, legislative caucus committees and political action committees, they must comply with the maximum amounts for contributions (*set forth below*). A corporation or labor organization may not exceed these total contributions during any calendar year. (IC 3-9-2-4)

Contribution Limitations For Corporations & Labor Organizations

- ✓ \$5,000 ~ apportioned in any manner among all **statewide candidates** *(not legislative, but including a judge of the court of appeals whose retention in office is voted on by a district that does not include all of Indiana); NOTE: This subcategory does not apply to state legislative candidates.*
- ✓ \$5,000 ~ apportioned in any manner among all **state central committees** of political parties;
- ✓ \$2,000 ~ apportioned in any manner among all candidates for **state senate**;
- ✓ \$2,000 ~ apportioned in any manner among all candidates for **state house of representatives**;
- ✓ \$2,000 ~ apportioned in any manner among all **state senate legislative caucuses**;
- ✓ \$2,000 ~ apportioned in any manner among all **state house of representatives legislative caucuses**;
- ✓ \$2,000 ~ apportioned in any manner among all **candidates for county, local and school board offices**; and
- ✓ \$2,000 ~ apportioned in any manner among all **political party committees** other than state central committees.

Direct **corporation** and **labor organization** contributions to political action committees must be “**earmarked**”, meaning designated by the corporation or labor organization to go to one or more of the above categories and are subject to the limitations of each category. (IC 3-9-2-5)

However, a corporation or labor organization is not required to designate a *specific* candidate or party when making its contribution. The reference to "specific" in IC 3-9-2-5(c) refers to a specific **subcategory** listed in IC 3-9-2-4.

EXAMPLE: Widget Corporation wishes to make a \$5,000 contribution to the Little Committee for Good Government, a political action committee. In making the contribution, Widget Corporation must designate which subcategory limit (*or combination of subcategories*) this contribution is to be credited towards.

Widget Corporation designates \$2,000 of the contribution towards its state party committee subcategory limit, \$2,000 of the contribution towards its statewide candidate limit, and \$1,000 towards its state house legislative caucus limit, all in compliance with IC 3-9-2-4.

Widget Corporation is **not** required to designate these contributions for disbursement by Little Committee for Good Government PAC **specifically** to the Federalist Party State Committee; John Adams, the Federalist Party candidate for Attorney General; or to the Federalist Party Legislative Caucus of the Indiana House of Representatives.

A corporation or labor organization may contribute a total of **\$22,000** per calendar year to campaign finance committees, including contributions made to a political action committee sponsored by the corporation or labor organization. (IC 3-9-2-5) No other contributions from a corporation or labor organization to a campaign finance committee are authorized by statute. (IC 3-9-2-3(b))

Where the Limitations Do Not Apply

The limitations **do not** apply to nonpartisan registration and get-out-the-vote campaigns by a corporation aimed at its stockholders and employees. The limitations also do not apply to a labor organization’s nonpartisan registration and get-out-the-vote campaigns that are aimed at its membership.

The limitations **do not** apply to a contribution or transfers by an incorporated nonpartisan political action committee to any other committee. It also does not apply when the contribution is supporting or opposing the approval of a public question submitted to the electorate of the entire state or a local public question. (IC 3-9-2-6)

Sponsoring a Political Action Committee

A corporation or labor organization may establish and control a political action committee and pay the administrative costs of that committee. The donations of these administrative costs **are not** considered contributions. (IC 3-9-2-5(b))

Administrative costs include items such as rent, office expenses, management fees, and the cost of solicitations of contributions, etc. (IC 3-5-2-15(e))

Financing Procedures for Corporations And Labor Organizations

Civil Penalties

A corporation or labor organization that exceeds the maximum contributions permitted under the Campaign Finance Act is subject to a civil penalty. The maximum amount of the civil penalty is three times the amount the contribution exceeds the limits prescribed by IC 3-9-2-4. All the investigative costs incurred and documented by the Election Division or a county election board may be added to the total. (IC 3-9-4-16(e) and IC 3-9-4-17(e))

EXAMPLE: If a corporation or a labor union gave a total of \$3,000 in contributions to candidates for the Indiana House of Representatives, the total excess amount of contributions is \$1,000. The Commission or county election board can impose a penalty of up to \$3,000 (3 x \$1,000). If the administrative costs were \$15, the total fine for this corporation or labor organization can be up to \$3,015.

A corporation or labor organization that fails to designate a contribution to a political action committee to go to one or more of the subcategories under IC 3-9-2-4 is subject to a civil penalty of up to two times the amount of the undesignated contributions or \$1,000, whichever is greater. All the investigative costs incurred and documented by the Election Division or a county election board may be added to the total. (IC 3-9-4-16(g) and IC 3-9-4-17(f))

Criminal Penalties

A corporation or labor union that recklessly exceeds the contribution limits under IC 3-9-2-4 commits a Class B misdemeanor. (IC 3-14-1-10)

Chapter 7: Auxiliary Party Organizations, Individuals and Partnerships

Auxiliary Party Organizations

This class of political party committee is exempt from the organizational and reporting requirements of the Campaign Finance Act. This category includes many township political clubs, women's and men's auxiliaries, college groups and similar organizations. To qualify, an organization must meet all of the following standards:

Any organization affiliated with a political party and is located within or outside Indiana that:

1. proposes to influence the election of a candidate for state, state legislative, local office, or school board, or the outcome of a public question; and
2. has either had an annual budget of less than \$5,000 in at least one of the last two years; or
3. has NOT made a contribution of more than \$1,000 to another committee or candidate. (IC 3-5-2-2.5)

If an organization meets these standards, the organization is **not** required to file campaign finance forms or reports. If the organization has previously filed reports, it should notify the Election Division or appropriate county election board before noon the third Wednesday of January of each year that it is claiming the exemption under IC 3-9-4-1 and IC 3-9-5-1. (IC 3-5-2-2.5)

Even though auxiliary party organizations may not be required to file campaign finance reports, all **auxiliary party organizations** must include a “**disclaimer**” on all literature and advertisements that is circulated or is published in support of or in opposition to a candidate or public question. (*See Chapter 9: General Committee Information for more information on “Disclaimers.”*)

The treasurer of an auxiliary party organization that accepts contributions or makes expenditures exceeding \$200 in a year must keep organization funds in a separate account. Money received by an auxiliary party committee may not be used for primarily personal purposes. (IC 3-9-2-1, IC 3-9-2-9, IC 3-9-2-10, IC 3-9-3-2.5 and IC 3-9-3-4)

Individuals

Under Indiana law, individuals may make an unlimited amount of contributions to candidates, political parties, and other campaign finance committees during each calendar year.

Some restrictions regarding contributions by individuals apply to federal candidates. Contact the Federal Election Commission at www.fec.gov or at 800-424-9530, extension 1, for additional information.

Partnerships, Limited Liability Companies, and other Business Entities

Under Indiana law, business organizations (**other than corporations - See Chapter 6 of this Manual**) may make an unlimited amount of contributions to candidates, political parties, and other campaign finance committees during each calendar year. A partnership, limited liability company, limited liability partnership, sole proprietorship, a trustee or receiver of an unincorporated entity, or an unincorporated firm are **not** subject to the limits on corporate contributions prescribed under IC 3-9-2-4.

Not-for-Profit Entities

Under Indiana law, not-for-profit organizations (**other than nonprofit corporations or labor unions - See Chapter 6 of this Manual**) may make an unlimited amount of contributions to candidates, political parties, and other campaign finance committees during each calendar year. Any unincorporated association such as a club, religious organization, partnership, limited liability company, limited partnership, sole proprietorship, or unincorporated firm is **not** subject to the limits on corporate contributions prescribed under IC 3-9-2-4.

The tax exempt status of an entity which makes a political contribution is determined by the Internal Revenue Service, not the Election Commission, the Election Division, or a county election board. Contact the Internal Revenue Service at (317)685-7500 (Indianapolis office) if there are questions concerning the effect of a contribution by a not-for-profit entity or the entity's tax exempt status, or for additional information.

Chapter 8: Prohibited Contributors

Although some organizations are subject to contribution amount limits (See **Chapter 6, Corporate & Labor Organizations**), some groups and individuals are prohibited from making **any** contributions in Indiana elections.

Individuals Who Seek to Contribute in the Name of Another

Hypothetical: Your good friend, Buddy Solicitor, invites you to a fundraiser for his friend, Larry Luck, who is running for a state legislative office. You work for a nonpartisan organization, Hoosiers Against Misfortune (HAM), which requests that employees not hold themselves out as supporting one party over another. You advise Buddy that, out of respect for HAM, you cannot attend the fundraiser. However, not wanting to disappoint Buddy, you give Buddy some money and tell him to give it to Mr. Luck in Buddy's name. Not only have you violated the campaign finance laws, but so has Buddy.

Indiana Code 3-9-4-16 prescribes a civil penalty of up to \$1,000 against a person who "makes a contribution in the name of another person," or "accepts a contribution made by one person in the name of another person." This penalty may be enforced by the Indiana Election Commission or a county election board. (IC 3-9-4-17) Persons who recklessly make contributions in the name of another and persons who knowingly accept such contributions commit a Class B misdemeanor. (IC 3-14-1-11)

Another hypothetical: Charlie CEO, on behalf of Charles Industries, Inc. ("CII") is invited to a golf fund raiser for his favorite gubernatorial candidate, Gary Gov. His company has already contributed \$5,000, the corporate legal limit, to Gary Gov's campaign. An avid golfer, Charlie wonders if he can get around this troublesome obstacle by asking his assistant, Secretary Sandy, to write a check for the fundraiser. He will then reimburse Sandy from the corporate account for the check amount. Fortunately, Charlie's legal adviser, Caring Counsel is consulted in time. Caring Counsel advises him that such an action would subject him to civil and criminal penalties under IC 3-9-4-16 and IC 3-14-1-11. Caring Counsel is able to appease Charlie, however, by suggesting that Charlie write the check for the golf outing from his personal account, since there are no limitations on individual contributions. Happily, Charlie can now participate in the golf outing, but his game will still be lousy.

Foreign Nationals

Under Indiana law, foreign nationals are prohibited from making contributions in connection with any (1) election (including a public question), (2) convention or (3) caucus in which a candidate is selected. (IC 3-9-2-11)

(Note: Elections activity by foreign nationals is further restricted by the Federal Election Campaign Act, which is administered by the Federal Election Commission. If you are confronting this issue, contact the FEC for further information on foreign nationals: (800) 424-9530 extension 1.)

Who is a foreign national? Generally speaking, a foreign national is a **foreign principal** or a **non-U.S. citizen** who is not lawfully admitted for permanent residence in the United States. (2 U.S.C. Sec. 441(e), 22 U.S.C. Sec. 611(b), 8 U.S.C. Sec. 1101(a)(20))

Foreign principals and non-U.S. citizens include:

- (1) Foreign governments
- (2) Foreign political parties
- (3) Foreign corporations
- (4) Foreign associations
- (5) Foreign partnerships
- (6) Individuals with foreign citizenship, and
- (7) Immigrants not possessing a green card. (See, FEC publication, "Foreign Nationals," May 1994)

Example: Imagine you are a candidate for state legislative office. You receive a check in the mail from "Do Good Industries, Inc." Upon further research about this company, you find this corporation is organized under the laws of France. This corporation has violated Indiana Code 3-9-2-11 by contributing to your campaign. If you accept the contribution, you may be in violation of federal laws prohibiting acceptance of campaign contributions from foreign nationals. You should promptly return the check, or if the check has been deposited, send a refund and file an amended report, if necessary.

If you have any question about a contributor's nationality, you would be prudent to contact the contributor or conduct some research on the entity's nationality. You may also contact the Corporations Division of the Indiana Secretary of State's Office to determine if an entity is organized under the laws of Indiana or authorized to conduct business in Indiana: (317) 232-6576.

National Banks and Federally Chartered Corporations

Federal law imposes prohibitions against contributions by a national bank or a federally chartered corporation in Indiana elections. (2 U.S.C. 441b; IC 3-9-2-3(c)). Contact the Federal Election Commission at www.fec.gov or 800-424-9530, extension 1, for additional information concerning this issue.

Regulated Gaming Industry

Several Indiana statutes prohibit certain individuals or organizations affiliated with the regulated gaming industry from making contributions in Indiana elections. Generally speaking, these statutes are enforced by the state agency regulating the particular area of gaming, with criminal violations of the statutes coming under the jurisdiction of the appropriate prosecuting attorney.

The statutes governing these contributions provide that:

A. Certain contractors with the state lottery commission or its director (*or a corporate officer or political action committee of the contractor*) may not make a contribution to: (1) a candidate for statewide office, state legislative office or a local office; or (2) a candidate's committee, a regular party committee, or a state legislative caucus committee; after March 28, 1996, while a contract is in effect and during the three (3) years following the expiration of the contract. The person may not enter into these contracts if the person made a contribution to a candidate or committee within three (3) years preceding the award of the contract. A person who knowingly or intentionally violates this provision commits a Class D felony. Beginning July 1, 2014, this violation is a Level 6 felony, and is subject to a \$10,000 fine, two and one-half years imprisonment, or both. (IC 4-30-3-19 and IC 4-30-3-19.5)

B. A person holding a permit from the Indiana horse racing commission or a person with an interest in the permit holder may not make a contribution to: (1) a candidate for statewide office, state legislative office, or a local office; or (2) a candidate's committee, a regular party

committee, or a state legislative caucus committee after June 30, 1996, while the permit holder holds the permit or during the three (3) years after the final expiration or termination of the permit. A person who knowingly or intentionally violates this provision commits a Class D felony. Beginning July 1, 2014, this violation is a Level 6 felony, and is subject to a \$10,000 fine, two and one-half years imprisonment, or both. (IC 4-31-13-3.5)

C. A person holding an owner's license or certain types of a supplier's license under the riverboat gambling law or a person with an interest in the licensee may not make a contribution to: (1) a candidate for statewide office, state legislative office, or a local office; or (2) a candidate's committee, a regular party committee, or a state legislative caucus committee after June 30, 1996, while the permit holder holds the license or during the three (3) years after the final expiration or termination of the license. A person who knowingly or intentionally violates this provision commits a Class D felony. Beginning July 1, 2014, this violation is a Level 6 felony, and is subject to a \$10,000 fine, two and one-half years imprisonment, or both. (IC 4-33-2-12 and IC 4-33-10-2.1)

D. A person holding a permit from the Indiana horse racing commission or a person with an interest in the permit holder may not give any property to a member of a precinct committee to induce the member of the precinct committee to do any act or refrain from doing any act with respect to the approval of a local public question concerning pari-mutuel horse racing or the operation of satellite facilities in the county.

E. A person holding an owner's or supplier's license for a riverboat from the Indiana gaming commission (*or a person with an interest in the licensee*) may not give any property to a member of a precinct committee to induce the member of the precinct committee to do any act or refrain from doing any act with respect to the approval of a local public question concerning riverboat gaming in the county. A person who knowingly or intentionally violates these restrictions commits a Class D felony. Beginning July 1, 2014, this violation is a Level 6 felony, and is subject to a \$10,000 fine, two and one-half years imprisonment, or both. (IC 4-31-13-19 and IC 4-33-10-2.5)

The applicable statutes also define which "persons," whether individual or an organization, are considered to have an "interest" in a permit holder.

By administrative rule, the Indiana gaming commission requires that all riverboat licensees, riverboat license applicants, and supplier licensees file a quarterly report with both the Gaming Commission and the Indiana Election Commission listing the persons who hold an interest in a license or certificate of suitability. The Gaming Commission or its executive director may initiate an investigation or disciplinary action against a licensee who fails to file the quarterly report. See 68 IAC 1-13.

Spending by Certain Persons to Promote Position on a “Controlled Project” Public Question

A "controlled project" means any project financed by bonds or a lease, except for the following:

- (1) A project for which the political subdivision reasonably expects to pay:
 - (A) debt service; or
 - (B) lease rentals;

from funds other than property taxes that are exempt from the levy limitations of IC 6-1.1-18.5 or (before January 1, 2009) IC 20-45-3. A project is not a controlled project even

though the political subdivision has pledged to levy property taxes to pay the debt service or lease rentals if those other funds are insufficient.

- (2) A project that will not cost the political subdivision more than the lesser of the following:
 - (A) Two million dollars (\$2,000,000).
 - (B) An amount equal to one percent (1%) of the total gross assessed value of property within the political subdivision on the last assessment date, if that amount is at least one million dollars (\$1,000,000).
- (3) A project that is being refinanced for the purpose of providing gross or net present value savings to taxpayers.
- (4) A project for which bonds were issued or leases were entered into before January 1, 1996, or where the state board of tax commissioners has approved the issuance of bonds or the execution of leases before January 1, 1996.
- (5) A project that is required by a court order holding that a federal law mandates the project.
- (6) A project that:
 - (A) is in response to:
 - (i) a natural disaster;
 - (ii) an accident; or
 - (iii) an emergency;

in the political subdivision that makes a building or facility unavailable for its intended use; and

(B) is approved by the county council of each county in which the political subdivision is located.

(7) A project that was not a controlled project under this section as in effect on June 30, 2008, and for which:

(A) the bonds or lease for the project were issued or entered into before July 1, 2008; or

(B) the issuance of the bonds or the execution of the lease for the project was approved by the department of local government finance before July 1, 2008.

(8) A project of the Little Calumet River basin development commission for which bonds are payable from special assessments collected under IC 14-13-2-18.6.” (IC 6-1.1-20-1.1)

If a referendum is held regarding the approval of a “controlled project”, then an attorney, an architect, a registered professional engineer, a construction manager, or a financial adviser for professional services provided with respect to a controlled project may not spend any money to promote a position on the public question. A person who violates this law commits a Class A infraction; and is barred from performing any services with respect to the controlled project. (IC 6-1.1-20-10.1(e))

Activities by Certain Persons to Promote Position on a School Tax Levy Referendum

“ (a) Except as otherwise provided in this section, during the period beginning with the adoption of a resolution by the governing body of a school corporation to place a referendum under this chapter on the ballot and continuing through the day on which the referendum is submitted to the voters, the school corporation may not promote a position on the referendum by doing any of the following:

- (1) Using facilities or equipment, including mail and messaging systems, owned by the school corporation to promote a position on the referendum, unless equal access to the facilities or equipment is given to persons with a position opposite to that of the school corporation.
- (2) Making an expenditure of money from a fund controlled by the school corporation to promote a position on the referendum.
- (3) Using an employee to promote a position on the referendum during the employee's normal working hours or paid overtime, or otherwise compelling an employee to promote a position on the referendum at any time. However, if a person described in subsection (d) is advocating for or against a position on the referendum or discussing the referendum as authorized under subsection (d), an employee of the school corporation may assist the person in presenting information on the referendum, if requested to do so by the person described in subsection (d).
- (4) Promoting a position on the referendum by:
 - (A) using students to transport written materials to their residences or in any way involving students in a school organized promotion of a position;
 - (B) including a statement within another communication sent to the students' residences; or
 - (C) initiating discussion of the referendum at a meeting between a teacher and parents of a student regarding the student's performance or behavior at school. However, if the parents initiate a discussion of the referendum at the meeting, the teacher may acknowledge the issue and direct the parents to a source of factual information on the referendum. However, this section does not prohibit an official or employee of the school corporation from carrying out duties with respect to a referendum that are part of the normal and regular conduct of the official's or employee's office or agency, including the furnishing of factual information regarding the referendum in response to inquiries from any person.
- (b) The staff and employees of a school corporation may not personally identify a student as the child of a parent or guardian who supports or opposes the referendum.
- (c) This subsection does not apply to:
 - (1) a personal expenditure to promote a position on a local public question by an employee of a school corporation whose employment is governed by a collective bargaining contract or an employment contract; or
 - (2) an expenditure to promote a position on a local public question by a person or an organization that has a contract or an arrangement (whether formal or informal) with the school corporation solely for the use of the school corporation's facilities. A person or an organization that has a contract or arrangement (whether formal or informal) with a school corporation to provide goods or services to the school corporation may not spend any money to promote a position on the petition or remonstrance. A person or an organization that violates this subsection commits a Class A infraction.
- (d) Notwithstanding any other law, an elected or appointed school board member or a school corporation superintendent, school corporation assistant superintendent, or chief school business official of a school corporation may at any time:
 - (1) personally advocate for or against a position on a referendum; or
 - (2) discuss the referendum with any individual, group, or organization or personally advocate for or against a position on a referendum before any individual, group, or organization; so long as it is not done by using public funds. Advocacy or discussion allowed under this subsection is not considered a use of public funds. However, this subsection does not authorize or apply to advocacy or discussion by a school board member, superintendent, assistant superintendent, or school business official to or with students that occurs during the regular school day.
- (e) A student may use school equipment or facilities to report or editorialize about a local public question as part of the news coverage of the referendum by a student newspaper or broadcast.”

(IC 20-46-1-10)

Activities by Certain Persons to Promote Position on a Local Government Reorganization Referendum

“Sec. 46. (a) Except as otherwise provided in this section, during the period beginning with the date the final plan of reorganization is approved by the legislative body or considered to be approved under section 23.5 of this chapter, and continuing through the day on which the public question is submitted to the voters, a political subdivision may not promote a position on the public question by doing any of the following:

(1) Using facilities or equipment, including mail and messaging systems, owned by the political subdivision to promote a position on the public question, unless equal access to the facilities or equipment is given to persons with a position opposite to that of the political subdivision.

(2) Making an expenditure of money from a fund controlled by the political subdivision to promote a position on the public question.

(3) Using an employee to promote a position on the public question during the employee's normal working hours or paid overtime, or otherwise compelling an employee to promote a position on the public question at any time. However, if a person described in subsection (c) is advocating for or against a position on the public question or discussing the public question as authorized under subsection (c), an employee of the political subdivision may assist the person in presenting information on the public question if requested to do so by the person described in subsection (c). However, this section does not prohibit an official or employee of the political subdivision from carrying out duties with respect to a public question that are part of the normal and regular conduct of the official's or employee's office or agency, including the furnishing of factual information regarding the public question in response to inquiries from any person.

(b) This subsection does not apply to:

(1) a personal expenditure to promote a position on a local public question by an employee of the political subdivision whose employment is governed by a collective bargaining contract or an employment contract; or

(2) an expenditure to promote a position on a local public question by a person or an organization that has a contract or an arrangement (whether formal or informal) with the political subdivision solely for the use of the political subdivision's facilities.

A person or an organization that has a contract or arrangement (whether formal or informal) with a political subdivision to provide goods or services to the political subdivision may not spend any money to promote a position on the public question. A person or an organization that violates this subsection commits a Class A infraction.

(c) Notwithstanding any other law, an elected or appointed official of a political subdivision may: or appointed official of a political subdivision may:

(1) personally advocate for or against a position on a public question; or

(2) discuss the public question with any individual, group, or organization or personally advocate for or against a position on a public question before any individual, group, or organization; so long as it is not done by using public funds. Advocacy or discussion allowed under this subsection is not considered a use of public funds.” IC 36-1.5-4-46)

Chapter 9: General Committee Information

Treasurer Information

All campaign finance committees must have a treasurer. Even if a candidate decides to act as the candidate's own treasurer, the candidate/treasurer has the same duties and responsibilities as any other person acting as a treasurer. If a candidate does not establish a campaign finance committee and fails to file a Statement of Organization (*CFA-1*), then the Campaign Finance Act provides that the candidate is considered to be the campaign finance committee and serves as both chairperson and treasurer for the purposes of the Campaign Finance reporting laws. (IC 3-9-1-2, IC 3-9-1-6 and IC 3-9-1-7) Election Division Campaign Finance staff will automatically open a file for this committee, assign a file number, and advise the committee that a complete Statement of Organization must be filed.

Qualifications

Every treasurer of a campaign finance committee must comply with the following requirements:

1. The treasurer must be a citizen of the United States. (IC 3-9-1-13)
2. The treasurer may NOT be the chairman of the committee. However, a candidate may serve as both chairperson and treasurer of the candidate's own committee. (IC 3-9-1-13)
3. The treasurer must be appointed in writing by the chairperson (*see Form CFA-1, 2 or 3*). The written appointment must be filed with the Election Division or the appropriate county election board. (IC 3-9-1-13 & IC 3-9-1-14)
4. The treasurer must accept the appointment (*See Form CFA-1, 2 or 3*). This written acceptance must be filed with the Election Division or the appropriate county election board. (IC 3-9-1-13 & IC 3-9-1-15)
5. Except for a candidate, an individual may be a treasurer for more than one campaign finance committee. (IC 3-9-1-18)

General Responsibilities

A good treasurer is critical for compliance with the Campaign Finance Act. The treasurer is responsible for all financial activity of a campaign finance committee; all monies and things of value collected or received must be paid over to the treasurer and expended or otherwise disbursed by the treasurer. It is unlawful for a campaign finance committee, a chairperson, a candidate or any other committee member to disburse or expend money or things for any political purpose until the money or thing of value has passed through the hands of the treasurer. (IC 3-9-1-20)

However, a treasurer may not disburse the funds of the committee or incur any liability for the committee without the authority and with the direction of the campaign finance committee. The committee may establish a voucher system whereby disbursement may be made from a voucher drawn by the chairperson and presented to the treasurer for payment. The vouchers must show the specific purpose for which the money is being expended. (IC 3-9-1-20, 21 and 22)

Note: *The Indiana Court of Appeals held that an individual serving as treasurer of a candidate's committee may be held personally liable (along with the candidate) for the debts of the committee. Victory Comm. v. Genesis Convention Center, 597 N.E.2d 361 (Ind. App. 1992).*

On occasion, a committee may wish to designate a prominent individual to serve as its treasurer, while most of the recordkeeping and reporting tasks are performed by an "assistant treasurer" or a "custodian of records."

This procedure is permitted under the Campaign Finance Act, but the treasurer remains responsible for performing all the duties imposed on a treasurer by state law. For example, the treasurer **must sign the CFA-4 reports required by the Act**, even if the forms were actually prepared by another individual on behalf of the treasurer.

Another procedure exists which can facilitate service to a committee by a prominent treasurer, with routine tasks being performed by another committee member. Under Indiana Code 30-5-5-14(a)(6), an individual holding a **power of attorney** may execute any document under the election code, except a voter registration application, a ballot or an absentee ballot. A committee may wish to have the treasurer execute a power of attorney to permit an assistant treasurer to sign CFA-4 reports and other campaign finance documents. An executed copy of this power of attorney should then be filed with the Election Division or a county election board to prevent confusion regarding this individual's authority to act for the committee.

Federal Tax Information

If a committee treasurer wants to open a bank account, the bank will require an employer identification number. For more information on obtaining this number, call the IRS at 606-292-5467.

In addition, Federal law may impose a variety of reporting obligations on "Section 527 organizations" (*tax-exempt political organizations*). For example, although contributions to a political organization are generally tax exempt, **investment** of these funds and resulting interest income may result in tax liability. As a consequence, a political organization may be required to file IRS Form 1120 POL. In addition, some political committees may be required to file IRS Form 8871, Form 8872 and Form 990 (or 990EZ). Check with the IRS regarding the current version of these forms. These forms are accessible on the IRS's website at www.irs.gov/formspubs.

Please note, however, that Federal legislation adopted in 2002 altered filing requirements for certain political organizations. Of significance, the new law exempts, retroactive to July 1, 2000, *state and local candidate and party committees* from filing Form 8871 Form 8872 and Form 990 (or 990-EZ). To help explain this new Federal legislation, the IRS issued Fact Sheet 2002-13 in November 2002. This IRS publication describes the effect of this new Federal legislation and summarizes the filing requirements for different types of political committees. A copy of this publication may be viewed on the IRS's website at <http://www.irs.gov/charities/political/index.html>. If you have additional questions you may also call the Internal Revenue Service at 202-622-6494 or 202-622-7352 or consult your tax advisor regarding the tax liability of your political committee.

Raffle and Charity Gaming Information

In Indiana, only a "bona fide political organization" may conduct a raffle or other charity gaming activity for fundraising purposes. A "bona fide political organization" is defined as a party, committee, association, fund, or other organization organized and operated for directly or indirectly accepting contributions and making expenditures for an exempt *purpose (as defined in Section 527 of the Internal Revenue Code)*. These organizations are the Democratic Party, the Republican Party, etc. A candidate's committee can qualify as a "bona fide political organization" for the limited purposes of IC 4-32.2-4-8 and IC 4-32.2-4-18. (See IC 4-32.2-2-8)

Please note that if the committee does qualify as an organization that may conduct a gaming event, there may be licensing requirements. The Indiana Gaming Commission regulates charity gaming activities. To learn more about the qualifications and licensing requirements contact the Indiana Gaming Commission at 317-233-0046 or check the website at <http://www.in.gov/igc/>.

Record Keeping Responsibilities

The treasurer of a committee shall keep a detailed and exact account of all information required to be reported on the CFA-4 and CFA-11 reports.

NOTE: State law no longer requires the treasurer to keep itemized records concerning contributions of more than \$25 and not more than \$100, although this may be critical in determining when a contributor has exceeded the \$100 aggregate amount.

The treasurer of a committee shall obtain and keep receipted bills, canceled checks, or other proof of payment, stating the particulars for each expenditure made by or on behalf of a committee:

1. of more than \$25; and
2. for a small amount, if the aggregate amount of the expenditures to the same person during a year exceeds \$25. (IC 3-9-1-24)

The treasurer shall preserve all receipted bills and accounts required to be kept by this section for:

1. three years; or
2. one year after the date of dissolution of the committee; whichever occurs first. (IC 3-9-1-24)

Any person who solicits or receives contributions, other than the treasurer, must turn them over to the treasurer, without reduction, within thirty (30) days after receipt. (IC 3-9-2-9)

Reporting Responsibilities

The treasurer of every campaign finance committee is responsible for filing the campaign finance committee's reports of receipts and expenditures on forms prescribed by the Election Commission.

See Chapter 2 for special reporting requirements applicable to certain federal political action committees.

If a campaign finance committee, other than the candidate's committee, receives contributions or makes expenditures on behalf of a candidate, a notice must be given to the candidate's committee of the amount of such contributions and expenditures (*CFA-5 form*) and the candidate must report those amounts on the CFA-4 form or CFA-11 form. (IC 3-9-5-15)

Removal and Replacement

A committee may remove a person appointed or designated treasurer by the committee without assigning a cause. The committee may also appoint or designate the successor of the removed treasurer. Upon removal, the treasurer shall immediately account for and turn over to the treasurer's successor in office the value then in the treasurer's possession. No later than noon thirty (30) days after the removal, the treasurer shall file a full, true and detailed account and statement of receipts and expenditures (*Outgoing Treasurer's Report*) with the Election Division or appropriate county election board office. (IC 3-9-1-19 and IC 3-9-5-12)

Change of Treasurer

Within ten (10) days following a change of treasurer, the committee must file an amended Statement of Organization (CFA-1, 2 or 3) with the Election Division or appropriate county election board office. (IC 3-9-1-10)

Record Keeping

A complete and accurate record is the most essential element in fulfilling the campaign finance reporting requirements. There are various forms that must be completed to keep an accurate and daily account of contributions and expenditures received or disbursed by a campaign finance committee. It is very important to keep a record of everything in order to have an up-to-date and complete report when filling out the necessary campaign finance reports. All this can be accomplished with little difficulty by keeping the following forms and procedures daily and accurately.

Recording Contributions And Other Receipts

1. **Receipts:** A pre-numbered cash receipt form with a duplicate copy should be used. The original receipt should be given to every person, business, labor organization or other person who makes a contribution to a campaign finance committee. The duplicate copy should be kept on file as the committee's copy to assist in filling out the ledger sheet at the end of the day.

2. **Contributor Cards:** A file card or equivalent file in a computer software program should be completed and retained on each contributor who makes a donation regardless of amount and whether it is cash or a non-cash item. It is very important to note if the contributor is a corporation or labor organization. Contributions from these entities are limited and must not exceed the amounts established by IC 3-9-2-4. This card or file will contain a running balance so that when the amount of total contributions from any person or group exceeds \$100, this information can be readily pulled and the information listed on the CFA-4 report as an "Itemized Contribution" on Schedule A. Every entry on this card or file should also be entered on the ledger sheet or software program.

Recording Expenditures and Other Disbursements

1. **Checks:** All expenditures and other disbursements should be made by check and a bill of sale, paid invoice or a receipt for a disbursement should be received and retained. Checks with detachable stubs or with duplicates should be used so that an accurate accounting of the money disbursed can be made. All amounts expended or disbursed should be recorded on the Expenditure Card.

2. **Expenditure Card:** An expenditure card or computerized file should be completed and retained on each expenditure and disbursement made, regardless of the amount. This card, like the contribution card, will contain a running balance for when the amount of total expenditures to any person, vendor or other group (*other than campaign finance committee*) exceeds \$100. This information can be readily pulled and listed on the CFA-4 report as an "Itemized Expenditure" on Schedule B. All transfer amounts given or paid to another campaign finance committee should be listed on an expenditure card and on Schedule B. Every entry on this card should also be entered on the ledger sheet or program.

Ledger Sheet, Cash Receipts and Disbursements Record

This record is designed to provide a simplified method of record keeping and may be used by campaign finance committees having a minimum amount of transactions as well as those having multi-column ledger sheets, obtainable at most office supply stores. Computer software programs are also available which contain an adequate ledger program.

The columns on the far left of the form are headed to show the following:

Date
Receipt or Check Number
To Whom Paid or From Whom Received

The column numbers 1 through 3 should be headed:

#1 Cash Received
#2 Cash Disbursed
#3 Balance on Hand

These columns will indicate a running cash balance and should be totaled daily and reconciled each month with the bank account.

Receipts – Columns 4 through 8 are to be used to classify the contributions as follows:

#4 Cash Contributions
#5 Transfers-In
6-#8 (to be used for classifying specific types of receipts, if desired)

Cash receipts columns (No 4-8) should be totaled each day and such totals should agree with the daily total shown in Column #1. This total would represent the daily bank deposit.

Disbursements

Columns 9 through 21 are to be used to classify all expenditures such as advertising, office supplies, rent, utilities, etc., for which payments are made. The cash disbursement column should be totaled each day and should agree with the daily total shown in Column #2.

Note: The treasurer of the campaign finance committee shall preserve all receipted bills, records and accounts required to be kept for **three (3)** years or for **one (1)** year from the date when the committee disbands, whichever occurs first. (IC 3-9-1-24)

Disclaimers

An individual, organization or a committee who expends money or solicits a contribution to finance a communication that expressly advocates the election or defeat of a clearly identified candidate must include a “disclaimer” in the communication. (IC 3-9-3-2.5)

However, the Indiana disclaimer law does not apply to:

- (1) Communications concerning election to a federal office (*these are governed by federal law and regulations*).
- (2) Communications about a public question.
- (3) Political messages on radio, television, or the Internet. (*These media are regulated by federal law. For more information concerning any disclaimer requirements for these messages, contact the Federal Communications Commission.*)
- (4) Items where a disclaimer cannot be conveniently printed or would be impractical such as bumper stickers, pins, buttons, pens, wearing apparel, water towers, skywriting, etc.
- (5) Committee checks and receipts only used for administrative purposes.
- (6) Certain communications (*direct mailings of 100 or less, similar pieces of mail, or communications by the PAC of a corporation or labor union requesting contributions from stockholders or labor union members*).
- (7) Disclaimer requirements do not apply to candidates for precinct committeeman or state convention delegate.

Some examples of political materials and literature requiring disclaimers are newspaper advertisements, billboards, signs, posters, **yard signs**, (*whether homemade or commercially printed*), portable billboards, brochures, leaflets, circulars, letterheads and direct mail pieces sent to **more** than 100 persons. Type size and color contrast requirements are established as minimum standards for disclaimers. A 12 point type size satisfies the size requirement for these types of disclaimers. The color contrast requirement is met if the disclaimer is printed in black text on a white background or the degree of color contrast between the background and the text of the disclaimer is not less than the color contrast between the background and the largest text used in the communication.

Notwithstanding the above type size and contrast requirements, a disclaimer satisfies the requirements of law if the minimum type size of the disclaimer is 7 point type and the color of the disclaimer contrasts with the background color.

There is no specific location for the disclaimer to be printed, as long as it is legible. In mailings, the disclaimer should appear in a prominent location, but is not required to be placed on **each** page of a document.

A disclaimer is not required to appear on the front or cover page of a communication if the disclaimer appears within the communication.

The individual, organization or committee must include in the advertisement or material one of the following statements:

1. If both authorized and paid for by the candidate or candidate's committee or an agent of the committee:

"Paid for by Smith for State Senate Committee."

2. If authorized by the candidate but paid for by someone OTHER than the candidate, or the candidate's committee or agents:

"Paid for by ABC PAC, or (ABC Political Party, or ABC Corporation, or ABC Labor Union, or ABC Association, or Mary Smith, concerned citizen) and authorized by John Doe for County Sheriff Committee."

3. If NOT authorized or paid for by the candidate, the candidate's committee or agents:

"Paid for by John Doe, Mary Parker and Bill Jones, and not authorized by any candidate or candidate's committee."

All committees having gross receipts over \$100,000 in a taxable year must also state on all literature and advertisement (including radio and television ads) soliciting funds:

"Contributions or gifts to the _____ (insert the name of the committee) are not deductible as charitable contributions for federal income tax purposes." (Section 6113 of the Internal Revenue Code)

EXCEPTION: If a communication is made by a regular party committee consisting of:

- (1) printed slate card, sample ballot, or other printed listing of three or more candidates for public office at an election;
- (2) campaign materials, such as handbills, posters, yard signs, or newspapers in connection with political party volunteer activities; or
- (3) materials distributed by volunteers as part of the party's voter registration or get-out-the-vote efforts;

the communication must clearly state the name of the person who paid for the communication, but is not required to state that the communication was authorized by a candidate or committee. (For example: *"Paid for by the Garden Party State Committee."*) (IC 3-9-3-2.5(h))

EXCEPTION: A political action committee soliciting funds to pay administrative costs is not required to include the disclaimer required by *state law* since these "administrative costs" are not "contributions" under Indiana law. (IC 3-5-2-15(e))

Penalties

Circulating or publishing material concerning a candidate without the required disclaimer is a Class A misdemeanor and can be punishable by up to a \$5,000 fine and not more than one year imprisonment, or possibly both. (IC 3-14-1-3 and IC 35-50-3-2)

Political signs may NOT be posted or placed on any other person's property, including a highway right-of-way and on utility poles, **without the property owner's permission**. Placing political signs **with** the approval of the property owner may also be subject to local zoning regulations as well as neighborhood covenants and restrictions. Ask your local planning commission for more information or check the county recorder's office for neighborhood covenants or restrictions.

An unauthorized sign placed in a highway right-of-way is a public nuisance. If placed in a highway right-of-way, the sign may be removed, but ONLY by the authority having jurisdiction over the highway. (IC 9-21-4-6) Contact the appropriate office (*the city or town street department, the county highway department or the state department of transportation*) for assistance.

Removing signs without the authority to do so may be criminal conversion, a Class A misdemeanor. (IC 35-43-4-3) Consult your personal attorney if you need more information.

False Statements Regarding Status as Officeholder

A person who knowingly, or intentionally, authorizes, finances, sponsors, or participates in the preparation, distribution, or broadcast of paid political advertisements or campaign material that falsely represents that a candidate in any election holds or has held an elected office is subject to civil penalties.

This prohibition does not apply to either a communication relating to an election for federal office, or to a person whose sole act is, in the normal course of business, participating in the preparation, printing, distribution, or broadcast of the advertising or material that contains the false representation. (IC 3-9-3-5)

If the Indiana Election Commission or a county election board determines, by unanimous vote of the entire membership of the Commission or board, that a person has violated this prohibition, the person may be assessed a civil penalty of not more than \$500, plus any investigative costs incurred and documented by the Election Division or a county election board. (IC 3-9-4-16(h) and IC 3-9-4-17(g))

“No Call” Lists and Soliciting Campaign Contributions

For information concerning the application of the Indiana “no call” list law (IC 24-4.7) to telephone calls soliciting campaign contributions to candidate committees, political action committees, or regular party committees, or urging a voter to cast a ballot for a party or candidate, contact the Telephone Privacy Division of the Attorney General’s office at 317-234-2301.

Chapter 10: Enforcement & Penalties

Enforcement Procedures

The Election Division and each county election board are responsible for administering the Campaign Finance Act. As part of this administrative responsibility, the Election Division or board must ascertain whether candidates, committees, or other persons have failed to file statements of organization or reports, or have filed defective statements of organization or reports.

The Election Division or a county election board is required to conduct audits and field investigations from time to time with respect to reports and statements filed under the Act, and with respect to an alleged failure to file a report or statement. (IC 3-6-4.2-10 and IC 3-9-4-13)

Delinquent Reports

After determining that a delinquency has occurred, the Election Division or board must give notice to the delinquent candidate, committee, or person to file a statement of organization or report. The candidate, committee, or person must file the delinquent statement or report immediately following receipt of notice. The Election Division or board must make a list of delinquent filers available for public inspection and post a list of delinquent filers in a public place near the entrance to the office. (IC 3-9-4-14)

Defective Reports

The Election Division and each county election board shall ascertain whether candidates, committees or other persons have filed defective statements of organizations or defective reports and give notice to a committee filing a **defective** report to correct the report no later than noon 5 calendar days after receiving the notice. The Election Division or board shall make available for public inspection a list of persons who fail to file the required statements and reports to correct a defective filing.

Waiver of Commission Hearing Concerning Proposed Penalty

If a person is notified by the Election Division that the Commission may assess a proposed campaign finance civil penalty against the person, the person may enter into an agreement with the Election Division to pay the proposed civil penalty and waive any hearing before the Election Commission. (IC 3-9-4-20)

Before a Commission hearing is conducted, the Election Division Campaign Finance staff will mail the person notice of the proposed civil penalty and a copy of this agreement. This letter will indicate the deadline for the person to sign and return this agreement to waive a hearing before the Commission. The agreement must provide for the payment of the entire proposed civil penalty no later than the date the person executes the agreement.

If the agreement is signed and returned by the person, and the person pays the proposed penalty, the Election Division will not assign a cause number to this enforcement action, and will not request the Commission to schedule a hearing. Instead, the Election Division will present the signed agreement to the Commission at the Commission's next regularly scheduled meeting for ratification.

Penalties

A person who fails to file a required statement or report is subject to a civil penalty of up to \$1,000 to be assessed by the Commission, county election board, or both, for the delinquent report. The penalty is \$50 per day with the afternoon of the deadline day counting as the first day. The Commission or county election board may add investigative costs to the penalty. (IC 3-9-4-16(c) and IC 3-9-4-17(c))

A person who fails to file a correction to the defective report after notified to do so is subject to a civil penalty up to \$100 to be assessed by the Commission, county election board, or both. The penalty is \$10 per day, with the afternoon of the fifth (5th) day after receipt of the notice counting as the first day. The Commission or county election board may add investigative costs to the penalty. (IC 3-9-4-16(b) and IC 3-9-4-17(b))

A person who fails to file a report required by the Campaign Finance Act with the appropriate office commits a Class B misdemeanor and is subject to a \$1000 fine, 180 days imprisonment, or both. (IC 3-14-1-14)

A person who knowingly files a fraudulent report commits a Class D felony and is subject to a \$10,000 fine, three years imprisonment, or both. **Beginning July 1, 2014, this violation is a Level 6 felony, and is subject to a \$10,000 fine, two and one-half years imprisonment, or both.** (IC 3-14-1-13)

A member of the Commission, the co-directors of the Election Division (*with the authorization of the Commission*), or a member of a county election board may conduct a hearing or investigation, take evidence, and report back to the Commission or board for its consideration and action. (IC 3-9-4-15) Election Commission hearings are subject to the procedural requirements set forth in the Administrative Orders and Procedures Act. (IC 4-21.5) The Commission or board may subpoena persons and papers for this hearing. (IC 3-6-4.1-19 and IC 3-6-5-27)

If the Commission or board determines that a felony or misdemeanor violation of the Campaign Finance Act may have occurred, the violation must be reported to the appropriate prosecuting attorney. The Commission or board may have the report transmitted to the grand jury of the county in which the violation was committed and present evidence concerning the violation to the grand jury. (IC 3-14-5-3) A prosecuting attorney is responsible for prosecuting criminal violations of the Act, and may file criminal charges following referral by a county election board. (IC 3-14-5-4 and IC 3-6-5-32) The attorney general is authorized to bring a civil action such as a permanent or temporary injunction to prevent or stop violations of the Act. (IC 3-6-4.1-22 & 3-6-5-32)

Civil Penalties

The Election Commission or a county election board is **required** to impose a civil penalty for certain violations of the Campaign Finance Act, including delinquent reports and statements of organization, unless the Commission or county election board members agree **unanimously** to reduce or waive the civil penalty because imposing the penalty would be “unjust under the circumstances.” (IC 3-9-4-19)

The Commission or board may impose a civil penalty upon a person for the following:

1. Failing to file a report required under the Act with the Election Division or county election board. (IC 3-9-4-16(c) & IC 3-9-4-17(c))
2. Failing to file a statement of organization required under the Act. (IC 3-9-4-16(c) & IC 3-9-4-17(c))

3. If a committee or a member of the committee disburses or expends money or other property for any political purpose before the money or other property has passed through the hands of the treasurer of the committee. (IC 3-9-1-20)
4. Making a contribution other than to a committee subject to the Act, or to a person authorized by law or to a committee to receive contributions on the committee's behalf. (IC 3-9-4-16(a)(4) & IC 3-9-4-17(a)(4))
5. Against a corporation or labor organization, for exceeding the limits on contributions under the Act. (IC 3-9-4-16(e) & IC 3-9-4-17(e))
6. Against a corporation or labor organization that fails to designate a contribution to a political action committee to go to one or more of the subcategories under IC 3-9-2-4. (IC 3-9-4-16(g) & IC 3-9-4-17(f))
7. Making a contribution in the name of another person. (IC 3-9-4-16(a)(6) & IC 3-9-4-17(a)(6))
8. Accepting a contribution made by one person in the name of another person. (IC 3-9-4-16(a)(7) & IC 3-9-4-17(a)(7))
9. When not the treasurer of a committee subject to the Act, paying any expenses of an election or a caucus unless authorized to do so by the Act. (IC 3-9-4-16(a)(8) & IC 3-9-4-17(a)(8))
10. Commingling committee funds with personal funds of an officer, a member, or an associate of the committee. (IC 3-9-4-16(a)(9) & IC 3-9-4-17(a)(9))
11. Wrongfully using campaign contributions in violation of the Act. (IC 3-9-4-16(a)(10) & IC 3-9-4-17(a)(10))
12. Against a state legislative candidate or committee, for engaging in fundraising activities during a prohibited period. (IC 3-9-4-16(a)(11))
13. Against a person who falsely represents in paid political advertising or campaign material that a candidate is or has been an officeholder. (IC 3-9-4-16(a)(13); IC 3-9-4-17(a)(12)).
14. Against a person who serves as treasurer of a committee in violation of a requirement set forth in any of the following state laws (IC 3-9-1-13(1) – a treasurer must be a US citizen; IC 3-9-1-13(2) – a treasurer may not be the chairman of a committee, except when authorized as a candidate under IC 3-9-1-7; IC 3-9-1-18 – a treasurer who is a candidate and serves as treasurer of another committee) (IC 3-9-4-16(a)(14); IC 3-9-4-17(a)(13)).
15. Against a statewide candidate or certain political action committees which fail to comply with a requirement to file a campaign finance report or statement with the Election Division electronically. (IC 3-9-4-16(a)(15))

In addition to the penalties of delinquent or defective reports discussed earlier, the Commission or county election board may assess civil penalties in the following instances:

- (1) A corporation or labor organization that exceeds the maximum contributions permitted under the Act is subject to a civil penalty of not more than three times the amount of the contribution in excess of the limit prescribed by IC 3-9-2-4, plus any investigative costs incurred and documented by the Election Division or county election board. (IC 3-9-4-16(e) & IC 3-9-4-17(e))

- (2) A corporation or labor organization that fails to designate a contribution to a political action committee to go to one or more of the subcategories under IC 3-9-2-4 is subject to a civil penalty of up to two times the amount of the undesignated contributions or \$1,000, whichever is greater. All the investigative costs incurred and documented by the Election Division or a county election board may be added to the total. (IC 3-9-4-16(g) and IC 3-9-4-17(f))
- (3) A state legislative candidate or the candidate's committee that engages in fundraising activity during a prohibited period is subject to a civil penalty of \$1,000 or two times the amount of any contribution received, whichever is greater. (IC 3-9-4-16(f))
- (4) A person who falsely represents in paid political advertising or campaign material that a candidate is or has been an officeholder is subject to a civil penalty of not more than \$500 upon unanimous vote of the entire membership of the Election Division or a county election board. All the investigative costs incurred and documented by the Election Division or a county election board may be added to the total. (IC 3-9-4-16(h) & IC 3-9-4-17(g))
- (5) A person who serves as treasurer of a committee in violation of a requirement set forth in the state laws discussed above is subject to a civil penalty of not more than \$500 upon unanimous vote of the entire membership of the Election Commission or a county election board. All the investigative costs incurred and documented by the Election Division or a county election board may be added to the total. (IC 3-9-4-16(i) & IC 3-9-4-17(h))
- (6) A statewide candidate's committee or political action committee subject to the electronic filing requirement with the Election Division is subject to a civil penalty equal to the costs incurred by the Election Division for the manual entry of data contained in the report or statement. All the investigative costs incurred and documented by the Election Division may be added to the total. (IC 3-9-4-16(j))

All other violations listed above are subject to a civil penalty of not more than one thousand dollars (\$1,000), plus any investigative costs incurred and documented by the Election Division or county election board. Certain officeholders who have not satisfied previous civil penalties may also be subject to additional penalties under the Act. (IC 3-9-4-18)

All civil penalties collected are deposited in the state (*or county*) campaign finance enforcement account. The funds in these accounts may be available to supplement funds otherwise appropriated to administer the Campaign Finance Act.

Criminal Penalties

Certain violations are also subject to criminal penalties:

1. Failure to include a required disclaimer
Class A misdemeanor (IC 3-14-1-3)
2. Failure of committee to appoint treasurer
Class B misdemeanor (IC 3-14-1-7)
3. A corporation or labor organization exceeding contribution limits
Class B misdemeanor (IC 3-14-1-10)
4. A candidate for Allen County Superior Court Judge accepting excess contributions
Class B misdemeanor (IC 3-14-1-10.5)

5. Recklessly making a contribution in the name of another person or knowingly accepting a contribution made by one person in the name of another person
Class B misdemeanor (IC 3-14-1-11)
6. Knowingly filing a fraudulent report
Class D felony Beginning July 1, 2014, this violation is a Level 6 felony. (IC 3-14-1-13)
7. Failing to file a report with the Election Division or county election board
Class B misdemeanor (IC 3-14-1-14)
8. Recklessly commingling committee funds
Class B misdemeanor (IC 3-14-1-14.5)
9. Knowingly or intentionally engaging in wrongful use of campaign funds
Class A infraction (A civil judgment, not a criminal penalty) (IC 3-14-1-6)

Chapter 11: Indiana Campaign Finance Statutes

NOTE: These statutes are current as of September 1, 2013. Changes to these laws may be made during the 2014 session of the Indiana General Assembly.

TITLE 3 ELECTIONS

IC 3-5 Article 5. General Provisions

IC 3-5-2 Chapter 2. Definitions

IC 3-5-2-1. Application of definitions. The definitions in this chapter apply throughout this title.

IC 3-5-2-2.5. Auxiliary party organization. “Auxiliary party organization” means an organization located within or outside Indiana that:

- (1) is affiliated with a political party;
- (2) proposes to influence the election of a candidate for state, legislative, local, or school board office, or the outcome of a public question; and
- (3) has not:
 - (A) had an annual budget of five thousand dollars (\$5,000) or more in at least one (1) of the last two (2) years; or
 - (B) made a contribution of more than one thousand dollars (\$1,000) to another committee or to a candidate.

IC 3-5-2-6. Candidate. (a) Except as provided in subsection (b), “candidate” means a person who:

- (1) has taken the action necessary to qualify under Indiana law for listing on the ballot at an election or to become a write-in candidate;
- (2) has publicly announced or declared candidacy for an elected office; or
- (3) otherwise seeks nomination for or election to an elected office, regardless of whether the individual wins election to the office.

(b) As used in IC 3-9, an individual becomes a “candidate” when the individual, the candidate’s committee, or a person acting with the consent of the individual:

- (1) receives more than one hundred dollars (\$100) in contributions; or
- (2) makes more than one hundred dollars (\$100) in expenditures.

IC 3-5-2-7. Candidate’s committee. “Candidate’s committee” means:

- (1) The principal campaign finance committee that each candidate is required to have under IC 3-9-1; or
- (2) An exploratory committee established by a candidate who has not decided whether to become a candidate for a specific office.

IC 3-5-2-8. Central committee. “Central committee” means a state committee, congressional district committee, county committee, city committee, or town committee of a political party.

IC 3-5-2-9. Chairman. “Chairman” refers to the chairman of a central committee as follows:

- (1) State chairman, chairman of a state committee.
- (2) District chairman, chairman of a congressional district committee.
- (3) County chairman, chairman of a county committee.
- (4) City chairman, chairman of a city committee.
- (5) Town chairman, chairman of a town committee.

IC 3-5-2-15. Contribution. (a) "Contribution" means a donation (whether characterized as an advance, a deposit, a gift, a loan, a subscription, or a contract or promise to make a donation) of property (as defined in IC 35-41-1) that satisfies both of the following:

- (1) The donation is made for the purpose of influencing any of the following:
 - (A) The nomination or election to office of a candidate.
 - (B) The election of delegates to a state constitutional convention.
 - (C) The outcome of a public question.
- (2) The donation is accepted by any of the following:
 - (A) A candidate.
 - (B) A candidate's committee.
 - (C) A regular party committee.
 - (D) A political action committee.
 - (E) A legislative caucus committee.

(b) Whenever funds are transferred from one (1) committee to another, the accepting committee is considered to be receiving a contribution in the amount of the funds transferred.

(c) Whenever a candidate or a committee accepts the personal services of a person whose compensation is being paid by a third person, the candidate or committee is considered to be receiving a contribution from the third person in the amount of the compensation paid.

(d) Notwithstanding subsection (a), whenever a candidate or a committee accepts the personal services of a volunteer who is not being compensated, the candidate or committee is not considered to be receiving a contribution.

(e) Notwithstanding subsection (a), whenever a political action committee accepts a donation of:

- (1) rent;
- (2) office expenses;
- (3) management fees;
- (4) costs of solicitations of contributions; or
- (5) other administrative costs;

the committee is not considered to be receiving a contribution.

IC 3-5-2-16. Convention. "Convention" means an organized body of delegates assembled for the purpose of selecting their political party's nominees for elected offices.

IC 3-5-2-17. Elected office. "Elected office" means a federal office, state office, legislative office, school board office, or local office. Political party offices (such as precinct committeeman and state convention delegate) are not considered to be elected offices.

IC 3-5-2-18. Election day. "Election day" refers to the calendar day on which an election is held.

IC 3-5-2-19. Election district. "Election district" means the area comprised by precincts where voters reside whose votes a candidate or committee proposes to influence.

IC 3-5-2-23. Expenditure. (a) "Expenditure" means a disbursement (whether characterized as an advance, a deposit, a distribution, a gift, a loan, a payment, a purchase, or a contract or promise to make a disbursement) of property (as defined in IC 35-41-1) that:

- (1) Is made for the purpose of influencing:
 - (A) The nomination or election to office of a candidate;
 - (B) The election of delegates to a state constitutional convention; or
 - (C) The outcome of a public question; and

(2) Is made by:

- (A) An individual, except that a contribution made by an individual is not considered to be an expenditure;
- (B) A candidate's committee;

- (C) A regular party committee; or
- (D) A political action committee.

(b) Whenever funds are transferred from one committee to another, the disbursing committee is considered to be making an expenditure in the amount of the funds transferred.

IC 3-5-2-24. Federal office. “Federal office” refers to President of the United States, Vice President of the United States, and Senator and Representative in the Congress of the United States.

IC 3-5-2-24.5. Filing. “Filing” means the following:

- (1) For purposes of filing an electronic report under IC 3-9-4-4 or IC 3-9-5-7, when the requirements of IC 3-9-4-4 or IC 3-9-5-7 have been met.
- (2) For all other purposes, when all of the following have occurred:
 - (A) The presentation of a document to an individual required to receive the document under this title.
 - (B) The receipt of the document by the individual.
 - (C) The recording of the date and time the document was received by the individual.

IC 3-5-2-26.6. Independent. “Independent” means a candidate, or a ticket of candidates for President and Vice President of the United States or for governor and lieutenant governor, who states that the candidate or ticket is not affiliated with any political party.

IC 3-5-2-27. Legislative body. “Legislative body” means the body having the power to adopt county, city, or town ordinances under IC 36-1-3-6.

IC 3-5-2-27.3. Legislative caucus committee. “Legislative caucus committee” means an organization that satisfies all of the following:

- (1) The organization is organized by members of the general assembly who belong to the same state political party.
- (2) The organization proposes to influence only the election of candidates for legislative office.
- (3) The organization accepts contributions or makes expenditures that in the aggregate exceed one hundred dollars (\$100) during a calendar year to influence only the election of candidates for legislative office.

IC 3-5-2-28. Legislative office. “Legislative office” refers to senator and representative in the general assembly.

IC 3-5-2-29. Local office. “Local office” means a circuit office, county office, city office, town office, township office, or other civil office for which the electorate of a political subdivision votes. The term includes all elected offices other than federal, state, legislative, and school board offices.

IC 3-5-2-32.5. *(Repealed by P.L.176-1999, SEC.132.)*

IC 3-5-2-32.7. Nomination date. “Nomination date” refers to the following:

- (1) For candidates nominated in a primary election, the date of the primary election.
- (2) For candidates nominated in a convention, the date the convention is scheduled to be called to order, according to the call of the convention issued by the political party.
- (3) For candidates selected to fill a ballot vacancy, the date the certificate of selection of the candidate is filed under IC 3-13-1-15 or IC 3-13-2-8.
- (4) For candidates nominated by petition, the final date the petition of nomination is permitted to be filed under IC 3-8-6-10(c).
- (5) For write-in candidates, the final date the candidate’s declaration of intent to be a write-in candidate is permitted to be filed under IC 3-8-2-4.

IC 3-5-2-33. Nominee. “Nominee” means a candidate:

- (1) nominated by a political party at a primary election or convention under this title as the party’s candidate for an elected office in a general, municipal, or special election; or
- (2) nominated by petition for an elected office.

IC 3-5-2-34. Organization. “Organization” means a person that is not an individual. The term includes a business firm or corporation, a limited liability company, a labor organization, a religious organization, a political club, a trustee, a receiver, or any other type of association or group of individuals.

IC 3-5-2-36. Person. “Person” means an individual or an organization.

IC 3-5-2-37. Political action committee. (a) Except as provided in subsection (b), “political action committee” means an organization located within or outside Indiana that satisfies all of the following:

- (1) The organization proposes to influence:
 - (A) the election of a candidate for state, legislative, local, or school board office; or
 - (B) the outcome of a public question.
- (2) The organization accepts contributions or makes expenditures during a calendar year:
 - (A) to influence the election of a candidate for state, legislative, local, or school board office or the outcome of a public question that will appear on the ballot in Indiana; and
 - (B) that in the aggregate exceed one hundred dollars (\$100).
- (3) The organization is not any of the following:
 - (A) An auxiliary party organization.
 - (B) A legislative caucus committee.
 - (C) A regular party committee.
 - (D) A candidate’s committee.

(b) A corporation or labor organization that makes a contribution in accordance with IC 3-9-2 or makes an expenditure is not considered a political action committee.

IC 3-5-2-41. Public question. “Public question” means a constitutional amendment, proposition, or other issue submitted to the electorate at an election.

IC 3-5-2-42. Regular party committee. “Regular party committee” means:

- (1) A central committee; or
- (2) A national committee of a political party.

IC 3-5-2-45. School board office. “School board office” refers to an elected position on the school board of a school corporation.

IC 3-5-2-48. State office. “State office” refers to governor, lieutenant governor, secretary of state, auditor of state, treasurer of state, superintendent of public instruction, attorney general, justice of the supreme court, judge of the court of appeals, and judge of the tax court.

IC 3-5-2-54. Write-in candidate. “Write-in candidate” means a candidate:

- (1) who has filed a declaration of intent to be a write-in candidate; and
- (2) whose declaration of intent to be a write-in candidate has been accepted by the appropriate authority under IC 3-8-2-5 and IC 3-8-2-6.

IC 3-9 Article 9. Political Campaigns
IC 3-9-1 Chapter 1. Campaign Committees

IC 3-9-1-1. Application of chapter. (a) Except as provided in subsection (b), this chapter applies to candidates in all elections and caucuses and to the following types of committees:

- (1) Candidate's committees.
- (2) Regular party committees.
- (3) Political action committees.
- (4) Legislative caucus committees.

(b) This chapter does not apply to the following:

- (1) A candidate for a local office for which the compensation is less than five thousand dollars (\$5,000) per year unless the candidate is required to file a written instrument designating a principal committee under section 5.5 of this chapter.
- (2) A candidate for school board office unless the candidate is required to file a written instrument designating a principal committee under section 5.5 of this chapter.
- (3) Elections for precinct committeeman or delegate to a state convention.
- (4) An auxiliary party organization.

IC 3-9-1-1.5. Statement of organization. (a) This section does not apply to a national committee of a political party.

(b) For purposes of determining the deadline for filing a statement of organization under section 3 of this chapter, a committee becomes a regular party committee when the committee accepts contributions or makes expenditures during a calendar year:

- (1) to influence the election of a candidate for state, legislative, or local office; and
- (2) that total more than one hundred dollars (\$100).

IC 3-9-1-2. Chairman and treasurer. Each committee must have a chairman and a treasurer who are ex officio members of the committee. A person may not make an expenditure or accept a contribution for or on behalf of a committee without the authorization of its chairman or treasurer.

IC 3-9-1-3. Statement of committee organization; Filing. Each committee must file a statement of organization not later than noon ten (10) days after it becomes a committee.

IC 3-9-1-4. Statement of committee organization; Contents. A committee must include in its statement of organization the following:

- (1) The name and address of the committee.
- (2) The purpose for which the committee is formed, unless the committee is a candidate's committee that identifies a specific office sought by the candidate.
- (3) The name and address of the chairman and treasurer.
- (4) If applicable, the name, address, office sought, and political party affiliation or independent status of each candidate whom the committee is supporting.
- (5) If the committee is a legislative caucus committee, political action committee, or regular party committee and is supporting the entire ticket of a political party, the name of the party.
- (6) If the committee is a political action committee supporting or opposing a public question, a brief statement of the question supported or opposed.
- (7) A listing of all banks, safety deposit boxes, and other depositories used.
- (8) Other information prescribed by the commission under IC 3-6-4.1-14(a)(3).

IC 3-9-1-5. Principal committee; designation by written instrument. (a) This section does not apply to the following candidates:

- (1) A candidate for a local office for which the compensation is less than five thousand dollars (\$5,000) per year.
- (2) A candidate for a school board office.
- (b) Each candidate shall have a principal committee.
- (c) A candidate shall file a written instrument designating the name of the principal committee and the names of the chairman and treasurer of the committee. The written instrument must be filed not later than the earliest of the following:
 - (1) Noon ten (10) days after becoming a candidate.
 - (2) Noon seven (7) days after the final date and hour for filing any of the following, whichever applies to the candidate:
 - (A) A declaration of candidacy under IC 3-8-2.
 - (B) A petition of nomination under IC 3-8-6.
 - (C) A certificate of nomination under IC 3-8-7-8.
 - (D) A certificate of candidate selection under IC 3-13-1 or IC 3-13-2.
 - (E) A declaration of intent to be a write-in candidate under IC 3-8-2.
 - (3) The date a candidate is required to file the candidate's first campaign finance report under IC 3-9-5.
- (d) This designation may be made on the same instrument as the statement of organization required from the principal committee.

IC 3-9-1-5.5. Principal committee; candidates for school board or certain local offices; designation by written instrument. (a) This section applies to the following candidates:

- (1) A candidate for a local office for which the compensation is less than five thousand dollars (\$5,000) per year.
- (2) A candidate for a school board office.
- (b) A candidate shall have a principal committee.
- (c) Not later than noon ten (10) days after either:
 - (1) the candidate receives more than five hundred dollars (\$500) in contributions; or
 - (2) the candidate makes more than five hundred dollars (\$500) in expenditures;
 whichever occurs first, the candidate shall file a written instrument designating the name of the principal committee and the names of the chairman and treasurer of the committee.
- (d) This designation may be made on the same instrument as the statement of organization required from the principal committee.

IC 3-9-1-6. Failure to file written instrument; designation of committee. If a candidate fails to file the instrument required by section 5 or 5.5 of this chapter, the candidate's principal committee is designated as "the (insert the name of the candidate) for . . . (insert the title of the office sought by the candidate) committee." The candidate is then both chairman and treasurer of the committee.

IC 3-9-1-7. Candidate as chairman or treasurer. A candidate may be chairman, treasurer, or both chairman and treasurer of the candidate's committee.

IC 3-9-1-8. Candidate as ex officio member. A candidate is an ex officio member of the candidate's committee.

IC 3-9-1-9 *(Repealed by P.L.3-1993, SEC. 281.)*

IC 3-9-1-10. Report of change in information. A committee shall report any change in information previously submitted in a statement of organization within ten (10) days following the change.

IC 3-9-1-11 *(Repealed by P.L.4-1991, SEC.147.)*

- IC 3-9-1-12. Dissolution of committee.** (a) A committee may disband at any time in the manner prescribed by this section.
- (b) The commission or a county election board may administratively disband a committee in the manner prescribed by this section.
- (c) The commission has exclusive jurisdiction to disband any of the following:
- (1) A candidate's committee for state office.
 - (2) A candidate's committee for legislative office.
 - (3) A legislative caucus committee.
 - (4) A political action committee that has filed a statement or report with the election division.
 - (5) A regular party committee that has filed a statement or report with the election division.
- (d) A county election board has exclusive jurisdiction to disband any of the following:
- (1) A candidate's committee for a local office.
 - (2) A candidate's committee for a school board office.
 - (3) A political action committee that has filed a statement or report with the election board, unless the political action committee has also filed a report with the election division.
 - (4) A regular party committee that has filed a statement or report with the election board, unless the regular party committee has also filed a report with the election division.
- (e) The commission or a county election board may administratively disband a committee in the following manner:
- (1) Not later than the last Friday of January of each year, the election division or county election board shall review the list of the committees that have filed statements of organization with the division or board under this article.
 - (2) If the election division or county election board determines both of the following, the election division or county election board may begin a proceeding before the commission or board to administratively disband the committee:
 - (A) The committee has not filed any report of expenditures during the previous three (3) calendar years;
 - (B) The committee last reported cash on hand in an amount that does not exceed one thousand dollars (\$1,000), if the committee filed a report under this article.
 - (3) The election division or county election board shall provide notice of the proceeding by certified mail to the last known address of the chairman and treasurer of the committee.
 - (4) The commission or board may issue an order administratively dissolving the committee if the commission or board makes the following findings:
 - (A) There is no evidence that the committee continues to receive contributions, make expenditures, or otherwise function as a committee.
 - (B) According to the best evidence available to the commission or board, the dissolution of the committee will not impair any contract or impede the collection of a debt or judgment by any person.
 - (5) If the commission or board:
 - (A) administratively dissolves a committee under subdivision (4); and
 - (B) finds that the prudent use of public resources makes further efforts to collect any outstanding civil penalty wasteful or unjust;the commission or board may also waive the outstanding civil penalty previously imposed by the commission or board against the committee.
 - (6) The election division shall arrange for the publication in the Indiana Register of an order administratively disbanding a committee. A county election board shall publish a notice under IC 5-3-1 stating that the board has disbanded a committee under this subsection. The notice must state the date of the order and the name of the committee, but the board is not required to publish the text of the order.
 - (7) An order issued under this subsection takes effect immediately upon its adoption, unless otherwise specified in the order.

(f) If the chairman or treasurer of a committee wishes to disband the committee, the committee must do either of the following:

(1) Give written notification of the dissolution and transfer a surplus of contributions less expenditures to any one (1) or a combination of the following:

(A) One (1) or more regular party committees.

(B) One (1) or more candidate's committees.

(C) The election division.

(D) An organization exempt from federal income taxation under Section 501 of the Internal Revenue Code.

(E) Contributions to the committee, on a pro rata basis.

(2) Use the surplus in any other manner permitted under IC 3-9-3-4.

(g) Except as provided in subsection (e) concerning the waiver of civil penalties, a dissolution or transfer of funds does not relieve the committee or the committee's members from any:

(1) civil liability, including the liability of the committee's chairman or treasurer for the payment of any debts incurred by or on behalf of the committee; or

(2) criminal liability.

IC 3-9-1-13. Treasurer of committee; qualifications. A treasurer of a committee:

(1) Must be a United States citizen;

(2) May not be the chairman of a committee except in the case of a candidate under section 7 [IC 3-9-1-7] of this chapter;

(3) Must be appointed treasurer in writing as required by section 14 [IC 3-9-1-14] of this chapter; and

(4) Must file the written instrument of appointment as required by section 15 [IC 3-9-1-15] of this chapter.

IC 3-9-1-14. Appointment or designation of treasurer. The chairman of a committee shall appoint or designate the treasurer of the committee in a written instrument.

IC 3-9-1-15. Filing of appointment or designation. The treasurer of a committee shall file a notice of the treasurer's written appointment or designation with the election division or the county election board, as required by IC 3-9-5-2, IC 3-9-5-3, or IC 3-9-5-4.

IC 3-9-1-16 *(Repealed by P.L.8-1992, SEC.43.)*

IC 3-9-1-17 *(Repealed by P.L.8-1992, SEC. 43.)*

IC 3-9-1-18. Treasurer serving on more than one committee. A treasurer of one committee may be the treasurer of another committee unless the treasurer is a candidate.

IC 3-9-1-19. Removal of chairman or treasurer. (a) A committee may remove a person appointed or designated chairman or treasurer by the committee without assigning a cause. The committee may also appoint or designate the successor of the removed chairman or treasurer.

(b) Upon removal, the treasurer shall immediately account for and turn over to the treasurer's successor in office the value then in the treasurer's possession.

IC 3-9-1-20. All money or property to be handled by treasurer. All money or other property collected or received by a committee or by a member of it for a political purpose shall be paid over to and made to pass through the hands of the treasurer of the committee. Similarly, all money or other property must be disbursed by the treasurer.

IC 3-9-1-21. Expenditure or disbursement of money; approval of committee. The treasurer of a committee may not expend or disburse money or other property or incur any liability except by the authority and subject to the direction of the committee for which the treasurer is acting.

IC 3-9-1-22. Vouchers for disbursements. Disbursements may be made by a voucher drawn by the chairman of a committee on the treasurer and presented to the treasurer for payment. The voucher must show the specific purpose for which the money is being expended.

IC 3-9-1-23. Accounts and records. The treasurer of a committee shall keep a detailed and exact account of the information required to be reported under this article.

IC 3-9-1-24. Preservation of receipted bills and checks. (a) The treasurer of a committee shall obtain and keep receipted bills, cancelled checks, or other proof of payment, stating the particulars for each expenditure made by or on behalf of a committee:

- (1) Of more than twenty-five dollars (\$25); and
- (2) For a smaller amount, if the aggregate amount of the expenditures to the same person during a year exceed twenty-five dollars (\$25).

(b) The treasurer shall preserve all receipted bills and accounts required to be kept by this section for:

- (1) Three (3) years; or
- (2) One (1) year after the date of dissolution of the committee;

whichever occurs first.

IC 3-9-1-25. Solicitation and receipt of contributions by member. (a) A member of a committee that has appointed a treasurer in accordance with this chapter may solicit or receive contributions as long as the member immediately turns over the contributions without diminution to the treasurer of the committee, to be disbursed and accounted for by the treasurer as provided by this article. The treasurer shall show, in the treasurer's account and statement and in addition to the requirements of IC 3-9-5, through what member of the committee any contributions were received.

(b) A contribution is considered to be received and accepted by a committee when any member of the committee:

- (1) has physical possession of the contribution; and
- (2) manifests an intent to keep the contribution by depositing the contribution, subject to IC 3-9-5-14(c).

IC 3-9-1-25.5 Calendar year in which contribution made. For purposes of this article, a person makes a contribution during the calendar year in which the person relinquishes control over the contribution by:

- (1) depositing the contribution in the United States mail; or
- (2) transferring the contribution to any other person who has been directed to convey the contribution to the person intended to be the recipient of the contribution.

IC 3-9-1-26. Other persons receiving or disbursing funds; requirements and obligations. A person, except a person authorized by the treasurer of a committee and a member of a committee, who receives or disburses money for a political purpose is subject to all the requirements, obligations, and penalties to which the treasurer of a committee is subject.

IC 3-9-2 Chapter 2. Campaign Contributions

IC 3-9-2-1. Application of chapter. (a) Except as provided in subsections (b) and (c), this chapter applies to candidates in all elections and caucuses and to the following types of committees:

- (1) Candidate's committees.
- (2) Regular party committees.

(3) Political action committees.

(4) A legislative caucus committee.

(b) Sections 2 through 10 [IC 3-9-2-2 through IC 3-9-2-10] of this chapter do not apply to elections for precinct committeeman or delegate to a state convention.

(c) Section 9 [IC 3-9-2-9] of this chapter applies to a candidate only if the candidate is required to file a written instrument designating a principal committee under IC 3-9-1-5 or IC 3-9-1-5.5.

(d) Sections 9 and 10 [IC 3-9-2-9 and IC 3-9-2-10] of this chapter apply to an auxiliary party organization.

IC 3-9-2-2. Candidates. Except as otherwise provided in this article, a candidate may make a voluntary payment of money to a treasurer of a committee for a purpose permitted by this article.

IC 3-9-2-3. Corporations, labor organizations, and national banks. (a) Notwithstanding IC 23-15-5 or any other statute, a corporation or labor organization may make a contribution to aid in the:

(1) election or defeat of a candidate; or

(2) the success or defeat of:

(A) a political party; or

(B) a public question submitted to a vote in an election.

(b) Contributions by a corporation or labor organization are limited to those authorized by sections 4, 5, and 6 [IC 3-9-2-4, IC 3-9-2-5 and IC 3-9-2-6] of this chapter.

(c) A national bank or a corporation organized by authority of any law of Congress must comply with contribution restrictions applicable to Indiana elections under 2 U.S.C. 441b.

IC 3-9-2-4. Corporations or labor organizations; limitations on contributions. During a year a corporation or labor organization may not make total contributions in excess of:

(1) An aggregate of five thousand dollars (\$5,000) apportioned in any manner among all candidates for state offices (including a judge of the court of appeals whose retention in office is voted on by a district that does not include all of Indiana);

(2) An aggregate of five thousand dollars (\$5,000) apportioned in any manner among all state committees of political parties;

(3) An aggregate of two thousand dollars (\$2,000) apportioned in any manner among all candidates for the senate of the general assembly;

(4) An aggregate of two thousand dollars (\$2,000) apportioned in any manner among all candidates for the house of representatives of the general assembly;

(5) An aggregate of two thousand dollars (\$2,000) apportioned in any manner among regular party committees organized by a legislative caucus of the senate of the general assembly;

(6) An aggregate of two thousand dollars (\$2,000) apportioned in any manner among regular party committees organized by a legislative caucus of the house of representatives of the general assembly;

(7) An aggregate of two thousand dollars (\$2,000) apportioned in any manner among all candidates for school board offices and local offices; and

(8) An aggregate of two thousand dollars (\$2,000) apportioned in any manner among all central committees other than state committees.

IC 3-9-2-5. Contributions or donations to specific candidate or committee. (a) A contribution:

(1) authorized under subsection (c) or section 4 [IC 3-9-2-4] of this chapter;

(2) to a committee by a corporation or labor organization; and

(3) designated by that corporation or labor organization for disbursement to a specific candidate, central committee, or other regular party committee;

is subject to the limitations in section 4 of this chapter.

(b) A corporation or labor organization may make a donation to cover any amount of administrative costs (as described in IC 3-5-2-15(e)) to a political action committee established and controlled by the

corporation or labor organization. A donation made under this subsection is not considered a contribution or an expenditure by the corporation or labor organization.

(c) A corporation or labor organization may make a contribution to a political action committee if the contribution:

(1) does not exceed any of the limits prescribed under section 4 of this chapter; and

(2) is designated for disbursement to a specific candidate or committee listed under section 4 of this chapter.

IC 3-9-2-6. Exceptions.

Sections 4 and 5 [IC 3-9-2-4 and IC 3-9-2-5] of this chapter do not apply to the following:

(1) Nonpartisan registration and get-out-the-vote campaigns:

(A) By a corporation aimed at its stockholders and employees; or

(B) By a trade association or labor organization aimed at its members.

(2) A contribution or transfer by an incorporated nonpartisan political action committee to any other committee.

(3) A contribution supporting or opposing the approval of a public question submitted to the electorate of the entire state or a local public question.

IC 3-9-2-7. Election contest expenses. This article does not limit or affect the right of a person to expend money for proper legal expenses in maintaining or contesting the result of an election.

IC 3-9-2-8. Contributions from national committee. A central committee may accept contributions from the national committee or the national congressional committee of a political party to be expended for purposes authorized by this article.

IC 3-9-2-9. Transfer of contributions to treasurer; segregation of funds. (a) Each person who accepts a contribution for a committee shall, on demand of the treasurer of the committee, and in any case within thirty (30) days after receipt of the contribution, transfer to the treasurer the actual contribution if it is money or a detailed account if it is other than money.

(b) The transfer must include the actual monetary value and the information about the contribution required to be reported by the treasurer under IC 3-9-5-14.

(c) This subsection applies to a committee that accepts contributions or makes expenditures in an aggregate amount of more than two hundred dollars (\$200) in a year. All funds of a committee must be segregated from, and may not be commingled with, the personal funds of officers, members, or associates of the committee.

IC 3-9-2-10. Solicitation of funds; notice. An individual, an organization, or a committee shall include in all literature and advertisements soliciting contributions:

(1) the notice required under IC 3-9-3-2.5; and

(2) any notice required under Section 6113 of the Internal Revenue Code (26 U.S.C. 6113).

IC 3-9-2-11. Foreign nationals. A foreign national (as defined in 2 U.S.C. 441e(b)) may not make a contribution in connection with:

(1) An election;

(2) A convention; or

(3) A caucus in which a candidate is selected; under this title.

IC 3-9-2-12. Prohibited period; legislative candidates. (a) This section does not apply to:

(1) a member of the general assembly; or

(2) a candidate's committee of a member of the general assembly;

with respect to an office other than a legislative office to which the member seeks election.

- (b) As used in this section, “affected person” refers to any of the following:
 - (1) An individual who holds a legislative office.
 - (2) A candidate for a legislative office.
 - (3) An individual who holds a state office.
 - (4) A candidate for a state office.
- (c) As used in this section, “prohibited period” means the period:
 - (1) beginning on the day in January in each odd-numbered year the general assembly reconvenes under IC 2-2.1-1-2; and
 - (2) through the day the general assembly adjourns sine die in an odd-numbered year under IC 2-2.1-1-2.
- (d) During the prohibited period, an affected person, an affected person’s candidate’s committee, and a legislative caucus committee may not do any of the following:
 - (1) Solicit campaign contributions.
 - (2) Accept campaign contributions.
 - (3) Conduct other fundraising activities. This subdivision does not prohibit an affected person from participating in party activities conducted by a regular party committee.

IC 3-9-2-13. *(Repealed by P.L. 100-2012, SEC. 1)*

IC 3-9-3 Chapter 3. Campaign Expenses

IC 3-9-3-1. Application of chapter. (a) Except as provided in subsections (b) and (c), this chapter applies to candidates in all elections and caucuses and to the following types of committees:

- (1) Candidate’s committees.
 - (2) Regular party committees.
 - (3) Political action committees.
 - (4) An auxiliary party organization.
 - (5) A legislative caucus committee.
- (b) Section 4 [IC 3-9-3-4] of this chapter does not apply to candidates for federal office.
- (c) Section 2.5 of this chapter does not apply to candidates of the following:
- (1) Precinct committeemen.
 - (2) State convention delegate.

IC 3-9-3-2 *(Repealed by P.L.3-1997, SEC. 475.)*

IC 3-9-3-2.5

Communications regarding clearly identified candidates; soliciting contributions; disclaimers

Sec. 2.5. (a) This section does not apply to any of the following:

- (1) A communication relating to an election to a federal office.
- (2) A communication relating to the outcome of a public question.
- (3) A communication described by this section in a medium regulated by federal law to the extent that federal law regulates the appearance, content, or placement of the communication in the medium.
- (4) Bumper stickers, pins, buttons, pens, and similar small items upon which the disclaimer required by this section cannot be conveniently printed.
- (5) Skywriting, water towers, wearing apparel, or other means of displaying an advertisement on which the inclusion of a disclaimer would be impracticable.
- (6) Checks, receipts, and similar items of minimal value that do not contain a political message and are used for purely administrative purposes.

(7) A communication by a political action committee organized and controlled by a corporation soliciting contributions to the political action committee by the stockholders, executives, or

employees of the corporation and the families of those individuals.

(8) A communication by a political action committee organized and controlled by a labor organization soliciting contributions to the political action committee by the members or executive personnel of the labor organization and the families of those individuals.

(9) A direct mailing of one hundred (100) or less substantially similar pieces of mail.

(b) This section applies whenever a person:

(1) makes an expenditure for the purpose of financing communications expressly advocating the election or defeat of a clearly identified candidate; or

(2) solicits a contribution;

through a newspaper, a magazine, an outdoor advertising facility, a poster, a yard sign, a direct mailing, or any other type of general public political advertising.

(c) For purposes of this section, a candidate is clearly identified if any of the following apply:

(1) The name of the candidate involved appears.

(2) A photograph or drawing of the candidate appears.

(3) The identity of the candidate is apparent by unambiguous reference.

(d) A communication described in subsection (b) must contain a disclaimer that appears and is presented in a clear and conspicuous manner to give the reader or observer adequate notice of the identity of persons who paid for and, when required, who authorized the communication. A disclaimer does not comply with this section if the disclaimer is difficult to read or if the placement of the disclaimer is easily overlooked.

(e) In addition to meeting the requirements of subsection (d), a disclaimer that appears on a printed communication described in subsection (b) must comply with the following:

(1) The disclaimer must be of sufficient type size to be clearly readable by the recipient of the communication. A disclaimer in 12 point type size satisfies the size requirement of this subdivision when the disclaimer is used for a yard sign, a poster, a flyer, a newspaper, a magazine, or a direct mailing.

(2) The disclaimer must be printed with a reasonable degree of color contrast between the background and the printed statement. A disclaimer satisfies the color contrast requirement of this subdivision if:

(A) the disclaimer is printed in black text on a white background; or

(B) the degree of color contrast between the background and the text of the disclaimer is not less than the color contrast between the background and the largest text used in the communication.

Notwithstanding subdivisions (1) and (2), a disclaimer satisfies the requirements of this subsection if the minimum type size of the disclaimer is 7 point and the type color of the disclaimer contrasts with the background color.

(f) A communication that would require a disclaimer if distributed separately must contain the required disclaimer if included in a package of materials.

(g) This subsection does not apply to a communication, such as a billboard, that contains only a front face. The disclaimer need not appear on the front or cover page of the communication if the disclaimer appears within the communication.

(h) Except as provided in subsection (i), a communication described in subsection (b) must satisfy one (1) of the following:

(1) If the communication is paid for and authorized by:

(A) a candidate;

(B) an authorized political committee of a candidate; or

(C) the committee's agents;

the communication must clearly state that the communication has been paid for by the authorized political committee.

(2) If the communication is paid for by other persons but authorized by:

(A) a candidate;

- (B) an authorized political committee of a candidate; or
- (C) the committee's agents;

the communication must clearly state that the communication is paid for by the other persons and authorized by the authorized political committee.

(3) If the communication is not authorized by:

- (A) a candidate;
- (B) an authorized political committee of a candidate; or
- (C) the committee's agents;

the communication must clearly state the name of the person who paid for the communication and state that the communication is not authorized by any candidate or candidate's committee.

(4) If the communication is a solicitation directed to the general public on behalf of a political committee that is not a candidate's committee, the solicitation must clearly state the full name of the person who paid for the communication.

(i) A communication by a regular party committee consisting of:

- (1) a printed slate card, a sample ballot, or other printed listing of three (3) or more candidates for public office at an election;
- (2) campaign materials such as handbills, brochures, posters, party tabloids or newsletters, and yard signs distributed by volunteers and used by the regular party committee in connection with volunteer activities on behalf of any nominee of the party; or
- (3) materials distributed by volunteers as part of the regular party's voter registration or get-out-the-vote efforts;

must clearly state the name of the person who paid for the communication but is not required to state that the communication is authorized by any candidate or committee.

IC 3-9-3-3 (Repealed by P.L.3-1997, SEC. 475.)

IC 3-9-3-4. Permitted uses. (a) Money received by a candidate or committee as a contribution may be used only:

- (1) To defray any expense reasonably related to the person's or committee's:
 - (A) Campaign for federal, state, legislative, or local office;
 - (B) Continuing political activity; or
 - (C) Activity related to service in an elected office;

(2) To make an expenditure to any national, state, or local committee of any political party or another candidate's committee; or

(3) Upon dissolution of a committee, in a manner permitted under IC 3-9-1-12.

(b) Money received by a candidate or committee as a contribution may not be used for primarily personal purposes by the candidate or by any other person except as described in subsection (a).

(c) Money received as a contribution may be invested by a committee in an account with a financial institution, savings and loan association, or credit union, or in any equity account. Any loss resulting from an investment under this subsection must be reported as a committee expenditure. Any gain resulting from an investment under this subsection must be reported as income.

IC 3-9-3-5. Advertising or campaign material falsely representing officeholder status of candidate. (a) This section does not apply to the following:

- (1) A communication relating to an election to a federal office.
- (2) A person whose sole act is, in the normal course of business, participating in the preparation, printing, distribution, or broadcast of the advertising or material containing the false representation.

(b) As used in this section, "officeholder" refers to a person who holds an elected office.

(c) A person may not knowingly or intentionally authorize, finance, sponsor, or participate in the preparation, distribution, or broadcast of paid political advertising or campaign material that falsely represents that a candidate in any election is or has been an officeholder.

IC 3-9-4 Chapter 4. Administration by Election Division and County Election Boards

IC 3-9-4-1. Application of chapter. (a) Except as provided in subsection (b), this chapter applies to candidates in all elections and caucuses and to the following types of committees:

- (1) Candidate's committees.
- (2) Regular party committees.
- (3) Political action committees.
- (4) A legislative caucus committee.

(b) This chapter does not apply to the following:

- (1) A candidate for a local office for which the compensation is less than five thousand dollars (\$5,000) per year unless the candidate is required to file a written instrument designating a principal committee under IC 3-9-1-5.5.
- (2) Elections for precinct committeeman or delegate to a state convention.
- (3) A candidate for a school board office unless the candidate is required to file a written instrument designating a principal committee under IC 3-9-1-5.5.
- (4) An auxiliary party organization.

IC 3-9-4-2. Forms. The election division shall furnish forms prescribed by the commission for making the reports and statements required to be filed under this article.

IC 3-9-4-3. Information manual. The commission shall prepare, publish, and furnish to candidates and all interested persons on request a manual setting forth recommended uniform methods of bookkeeping and reporting and shall summarize all the requirements of this article.

IC 3-9-4-4. Filing and coding system; computer system; provision of software; electronic submission. (a) The election division shall develop a filing and coding system consistent with the purposes of this article. The election division and each county election board shall use the filing and coding system. The coding system must provide:

- (1) not more than ten (10) codes to account for various campaign expenditure items; and
- (2) a clear explanation of the kinds of expenditure items that must be accounted for under each code.

(b) The election division shall develop and use a computer system to store campaign finance reports required to be filed under IC 3-9-5-6, IC 3-9-5-10, and IC 3-9-5-20.1. The computer system must enable the election division to do the following:

- (1) Identify all candidates or committees that received contributions from a contributor over the past three (3) years.
- (2) Identify all contributors to a candidate or committee over the past three (3) years.
- (3) Provide for electronic submission, retrieval, storage, and disclosure of campaign finance reports of candidates for the following:
 - (A) Legislative office.
 - (B) State office.

The election division shall provide training at no cost to candidates to enable candidates described in this subdivision to file campaign finance reports electronically.

(c) The election division shall notify each candidate's committee that the election division will provide at the committee's request at no cost a standardized software program to permit the committee to install the software on a computer and generate an electronic version of the reports and statements required to be filed with the election division under this article. However, the election division is not required to provide or alter the software program to make the program compatible for installation or operation on a specific computer.

(d) This subsection applies, to the following committees:

(1) A committee for a candidate seeking election to a state office.

(2) A political action committee that has received more than fifty thousand dollars (\$50,000) in contributions since the close of the previous reporting period.

The committee must file electronically the report or statement required under this article with the election division using a standardized software program supplied to the committee without charge under subsection (c) or another format approved by the election division. An electronic filing approved by the election division under this subsection may not require manual reentry into a computer system of the data contained in the report or statement in order to make the data available to the general public under subsection (g).

(e) This subsection applies to an electronic submission under subsection (b)(3). An electronic submission must be in a format previously approved by the commission that permits the election division to print out a hard copy of the report after the receipt of the electronic submission from the candidate. Filing of a report occurs under IC 3-5-2-24.5 on the date and at the time electronically recorded by the election division's computer system. If a discrepancy exists between the text of the electronic submission and the printed report, the text of the printed report prevails until an amendment is filed under this article to correct the discrepancy.

(f) The election division is not required to accept an electronic submission unless the submission complies with subsection (b)(3). Upon receiving approval from the commission, the election division may accept an electronic submission from candidates, committees, or persons described in subsection (b)(3).

(g) The election division shall make campaign finance reports stored on the computer system under subsection (b) available to the general public through an on-line service.

IC 3-9-4-5. Reports and statements; public inspection and copying; sale of information copied.

(a) The election division and each county election board shall make the reports and statements filed with them available for public inspection and copying, commencing as soon as practicable but not later than the end of the second business day following the day during which they were received.

(b) The election division and the county election boards shall also permit copying of a report or statement by hand or by duplicating machine, as requested, at the expense of the person and subject to IC 5-14-3-8. Inspection and copying of records contained on the computer system described in section 4(b) [IC 3-9-4-4(b)] of this chapter are subject to IC 5-14-3.

(c) A person may not sell information copies from reports and statements under this section or use it for a commercial purpose. However, this restriction does not apply to a newspaper, magazine, book, or other communication with a principal purpose other than communicating contributor information:

(1) to solicit contributions; or

(2) for other commercial purposes.

IC 3-9-4-6. Preservation of reports and statements. (a) Except as provided in subsections (b) and (c), the election division and each county election board shall preserve reports and statements for four (4) years from December 1 following the election to which they pertain, unless the records are in litigation.

(b) This subsection applies to reports and statements filed by a person that seeks to influence the election or retention of an individual to an office with a term of more than four (4) years. The election division and each county election board shall preserve the reports and statements subject to this subsection until the final December 1 before the expiration of the term for the office, unless the records are in litigation.

(c) If a report is a duplicate of a report required to be filed under the Federal Election Campaign Act (2 U.S.C. 431 et seq.), the report may be discarded on January 1 of the second year after the report was filed.

IC 3-9-4-7. List of statements. The election division and each county election board shall compile and maintain a current list of all statements or parts of statements pertaining to each candidate, committee, and public question.

IC 3-9-4-8. Annual report. (a) The election division shall prepare and make available to the public an annual report including compilations of total reported contributions and expenditures for all candidates, committees, and other persons during the year.

(b) Each county election board may prepare an annual report that includes compilations of total reported contributions and expenditures for all candidates, committees, and other persons within the county during the year.

IC 3-9-4-9. Annual compilations. The election division and each county election board may prepare and publish annual compilations of:

(1) total amounts expended according to categories it determines and broken down into:

- (A) candidate;
- (B) party;
- (C) legislative caucus committee; and
- (D) political action committee;

expenditures on the state, legislative, and local levels;

(2) total amounts expended for influencing nominations and elections stated separately; and

(3) total amounts contributed according to categories of amounts it determines and broken down into contributions on the state, legislative, and local levels for candidates and committees.

IC 3-9-4-10. Special reports. The election division and each county election board may prepare and publish special reports from time to time comparing the various totals and categories of contributions and expenditures made with respect to previous elections.

IC 3-9-4-11. Miscellaneous reports. The election division and each county election board may prepare and publish other reports they consider appropriate.

IC 3-9-4-12 *(Repealed by P.L.3-1995, SEC.157.)*

IC 3-9-4-13. Audits; investigations. The election division and each county election board shall make audits and field investigations from time to time with respect to reports and statements filed under this article and with respect to an alleged failure to file a report or statement required under this article. The election division may request the state board of accounts to assist in the performance of audits the election division considers necessary, and the state board of accounts may perform the audits that are requested.

IC 3-9-4-14. Examination of statements of organization or reports; campaign finance reports.

(a) The election division and each county election board shall do all of the following:

(1) Ascertain whether candidates, committees, or other persons have:

- (A) failed to file statements of organization or reports; or
- (B) filed defective statements of organization or reports.

(2) Give the following notices:

(A) To delinquents to file a statement of organization or a report immediately upon receipt of the notice. A delinquency notice for a report must be given no later than thirty (30) days after the date the report was required to be filed. The election division or a county election board may, but is not required to, give delinquency notices at other times.

(B) To persons filing defective reports to make a supplemental statement or report correcting all defects not later than noon five (5) calendar days after receipt of the notice.

(3) Make available for public inspection a list of delinquents and person who have failed to file the required supplemental statement or report. The election division and each county election board shall post a list of delinquents in a public place at or near the entrance of the commission's or board's respective offices.

(b) The election division shall mail:

- (1) to each candidate required to file a campaign finance report with the election division; and
- (2) twenty-one (21) days before the campaign finance reports are due;

the proper campaign finance report forms and a notice that states the date the campaign finance reports are due. The election division is required to mail notices and forms only to candidates for state offices and legislative offices. A county election board may, but is not required to, implement this subsection for candidates for local offices.

(c) Notwithstanding any notice given to a delinquent under subsection (a) or (b), the delinquent remains liable for a civil penalty in the full amount permitted under this chapter for failing to file a campaign finance report or statement of organization not later than the date and time prescribed under this article.

IC 3-9-4-15. Hearings. A member of the commission, the co-directors, with the authorization of the commission, or a member of a county election board may conduct a hearing or an investigation, take evidence, and report back to the commission or board for its consideration and action.

IC 3-9-4-16. Civil penalties; election commission

Sec. 16. (a) In addition to any other penalty imposed, a person who does any of the following is subject to a civil penalty under this section:

- (1) Fails to file with the election division a report in the manner required under IC 3-9-5. (2) Fails to file a statement of organization required under IC 3-9-1.
- (3) Is a committee or a member of a committee who disburses or expends money or other property for any political purpose before the money or other property has passed through the hands of the treasurer of the committee.
- (4) Makes a contribution other than to a committee subject to this article or to a person authorized by law or a committee to receive contributions on the committee's behalf.
- (5) Is a corporation or labor organization that exceeds any of the limitations on contributions prescribed by IC 3-9-2-4.
- (6) Makes a contribution in the name of another person.
- (7) Accepts a contribution made by one (1) person in the name of another person.
- (8) Is not the treasurer of a committee subject to this article, and pays any expenses of an election or a caucus except as authorized by this article.
- (9) Commingles the funds of a committee with the personal funds of an officer, a member, or an associate of the committee.
- (10) Wrongfully uses campaign contributions in violation of IC 3-9-3-4.
- (11) Violates IC 3-9-2-12.
- (12) Fails to designate a contribution as required by IC 3-9-2-5(c).
- (13) Violates IC 3-9-3-5.
- (14) Serves as a treasurer of a committee in violation of any of the following:
 - (A) IC 3-9-1-13(1).
 - (B) IC 3-9-1-13(2).
 - (C) IC 3-9-1-18.

(15) Fails to comply with section 4(d) of this chapter.

(16) Violates IC 3-9-3-2.5 by making a communication that contains a disclaimer that is not presented in a clear and conspicuous manner required by IC 3-9-3-2.5(d) and IC 3-9-3-2.5(e). This subdivision does not apply to a person whose sole act is, in the normal course of business, participating in the preparation, printing, distribution, or broadcast of the communication containing the disclaimer.

(b) This subsection applies to a person who is subject to a civil penalty under subsection (a)(1) or (a)(2) for filing a defective report or statement. If the commission determines that a person failed to file the amended report or statement of organization not later than noon five (5) days after being given notice under section 14 of this chapter, the commission may assess a civil penalty. The penalty is ten dollars (\$10) for each day the report is late after the expiration of the five (5) day period, not to exceed one

hundred dollars (\$100) plus any investigative costs incurred and documented by the election division. The civil penalty limit under this subsection applies to each report separately.

(c) This subsection applies to a person who is subject to a civil penalty under subsection (a)(1) or (a)(2) for a delinquent report or statement. If the commission determines that a person failed to file the report or statement of organization by the deadline prescribed under this article, the commission shall assess a civil penalty. The penalty is fifty dollars (\$50) for each day the report or statement is late, with the afternoon of the final date for filing the report or statement being calculated as the first day. The civil penalty under this subsection may not exceed one thousand dollars (\$1,000) plus any investigative costs incurred and documented by the election division. The civil penalty limit under this subsection applies to each report separately.

(d) This subsection applies to a person who is subject to a civil penalty under subsection (a)(3), (a)(4), (a)(6), (a)(7), (a)(8), (a)(9), or (a)(10). If the commission determines that a person is subject to a civil penalty under subsection (a), the commission may assess a civil penalty of not more than one thousand dollars (\$1,000), plus any investigative costs incurred and documented by the election division.

(e) This subsection applies to a person who is subject to a civil penalty under subsection (a)(5). If the commission determines that a person is subject to a civil penalty under subsection (a)(5), the commission may assess a civil penalty of not more than three (3) times the amount of the contribution in excess of the limit prescribed by IC 3-9-2-4, plus any investigative costs incurred and documented by the election division.

(f) This subsection applies to a person who is subject to a civil penalty under subsection (a)(11). If the commission determines that a candidate or the candidate's committee has violated IC 3-9-2-12, the commission shall assess a civil penalty equal to the greater of the following, plus any investigative costs incurred and documented by the election division:

- (1) Two (2) times the amount of any contributions received.
- (2) One thousand dollars (\$1,000).

(g) This subsection applies to a person who is subject to a civil penalty under subsection (a)(12). If the commission determines that a corporation or a labor organization has failed to designate a contribution in violation of IC 3-9-2-5(c), the commission shall assess a civil penalty equal to the greater of the following, plus any investigative costs incurred and documented by the election division:

- (1) Two (2) times the amount of the contributions undesignated.
- (2) One thousand dollars (\$1,000).

(h) This subsection applies to a person who is subject to a civil penalty under subsection (a)(13). If the commission determines, by unanimous vote of the entire membership of the commission, that a person has violated IC 3-9-3-5, the commission may assess a civil penalty of not more than five hundred dollars (\$500), plus any investigative costs incurred and documented by the election division.

(i) This subsection applies to a person who is subject to a civil penalty under subsection (a)(14). If the commission determines, by unanimous vote of the entire membership of the commission, that a person has served as the treasurer of a committee in violation of any of the statutes listed in subsection (a)(14), the commission may assess a civil penalty of not more than five hundred dollars (\$500), plus any investigative costs incurred and documented by the election division.

(j) This subsection applies to a person who is subject to a civil penalty under subsection (a)(15). The commission may assess a civil penalty equal to the costs incurred by the election division for the manual entry of the data contained in the report or statement, plus any investigative costs incurred and documented by the election division.

(k) This subsection applies to a person who is subject to a civil penalty under subsection (a)(16). If the commission determines that a person is subject to a civil penalty under subsection (a)(16), the commission may assess a civil penalty of not more than one thousand dollars (\$1,000) for each communication circulated or published (but not for each of the copies of the communication actually circulated or published), plus any investigative costs incurred and documented by the election division.

(l) All civil penalties collected under this section shall be deposited with the treasurer of state in the campaign finance enforcement account.

(m) Proceedings of the commission under this section are subject to IC 4-21.5.

IC 3-9-4-17

Civil penalties; county election board

Sec. 17. (a) In addition to any other penalty imposed, a person who does any of the following is subject to a civil penalty under this section:

- (1) Fails to file with a county election board a report in the manner required under IC 3-9-5.
 - (2) Fails to file a statement of organization required under IC 3-9-1.
 - (3) Is a committee or a member of a committee who disburses or expends money or other property for any political purpose before the money or other property has passed through the hands of the treasurer of the committee.
 - (4) Makes a contribution other than to a committee subject to this article or to a person authorized by law or a committee to receive contributions in the committee's behalf.
 - (5) Is a corporation or labor organization that exceeds any of the limitations on contributions prescribed by IC 3-9-2-4.
 - (6) Makes a contribution in the name of another person.
 - (7) Accepts a contribution made by one (1) person in the name of another person.
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(8) Is not the treasurer of a committee subject to this article, and pays any expenses of an election or a caucus except as authorized by this article.

(9) Commingles the funds of a committee with the personal funds of an officer, a member, or an associate of the committee.

(10) Wrongfully uses campaign contributions in violation of IC 3-9-3-4.

(11) Fails to designate a contribution as required by IC 3-9-2-5(c).

(12) Violates IC 3-9-3-5.

(13) Serves as a treasurer of a committee in violation of any of the following:

(A) IC 3-9-1-13(1).

(B) IC 3-9-1-13(2).

(C) IC 3-9-1-18.

(14) Violates IC 3-9-3-2.5 by making a communication that contains a disclaimer that is not presented in a clear and conspicuous manner, as required by IC 3-9-3-2.5(d) and IC 3-9-3-2.5(e). This subdivision does not apply to a person whose sole act is, in the normal course of business, participating in the preparation, printing, distribution, or broadcast of the communication containing the disclaimer.

(b) This subsection applies to a person who is subject to a civil penalty under subsection (a)(1) or (a)(2) for filing a defective report or statement. If the county election board determines that a person failed to file the report or a statement of organization not later than noon five (5) days after being given notice under section 14 of this chapter, the county election board may assess a civil penalty. The penalty is ten dollars (\$10) for each day the report is late after the expiration of the five (5) day period, not to exceed one hundred dollars (\$100) plus any investigative costs incurred and documented by the board. The civil penalty limit under this subsection applies to each report separately.

(c) This subsection applies to a person who is subject to a civil penalty under subsection (a)(1) or (a)(2) for a delinquent report or statement. If the county election board determines that a person failed to file the report or statement of organization by the deadline prescribed under this article, the board shall assess a civil penalty. The penalty is fifty dollars (\$50) for each day the report is late, with the afternoon of the final date for filing the report or statement being calculated as the first day. The civil penalty under this subsection may not exceed one thousand dollars (\$1,000) plus any investigative costs incurred and documented by the board. The civil penalty limit under this subsection applies to each report separately.

(d) This subsection applies to a person who is subject to a civil penalty under subsection (a)(3), (a)(4), (a)(6), (a)(7), (a)(8), (a)(9), or (a)(10). If the county election board determines that a person is subject to a

civil penalty under subsection (a), the board may assess a civil penalty of not more than one thousand dollars (\$1,000), plus any investigative costs incurred and documented by the board. (e) This subsection applies to a person who is subject to a civil penalty under subsection (a)(5). If the county election board determines that a person is subject to a civil penalty under subsection (a)(5), the board may assess a civil penalty of not more than three (3) times the amount of the contribution in excess of the limit prescribed by IC 3-9-2-4, plus any investigative costs incurred and documented by the board.

(f) This subsection applies to a person who is subject to a civil penalty under subsection (a)(11). If the county election board determines that a corporation or a labor organization has failed to designate a contribution in violation of IC 3-9-2-5(c), the board shall assess a civil penalty equal to the greater of the following, plus any investigative costs incurred and documented by the board:

- (1) Two (2) times the amount of the contributions undesignated.
- (2) One thousand dollars (\$1,000).

(g) This subsection applies to a person who is subject to a civil penalty under subsection (a)(12). If the county election board determines, by unanimous vote of the entire membership of the board, that a person has violated IC 3-9-3-5, the board may assess a civil penalty of not more than five hundred dollars (\$500), plus any investigative costs incurred and documented by the board.

(h) This subsection applies to a person who is subject to a civil penalty under subsection (a)(13). If the county election board determines, by unanimous vote of the entire membership of the board, that a person has served as the treasurer of a committee in violation of any of the statutes listed in subsection (a)(13), the board may assess a civil penalty of not more than five hundred dollars (\$500), plus any investigative costs incurred and documented by the board.

(i) This subsection applies to a person who is subject to a civil penalty under subsection (a)(14). If the board determines that a person is subject to a civil penalty under subsection (a)(14), the board may assess a civil penalty of not more than one thousand dollars (\$1,000) for each communication circulated or published (but not for each of the copies of the communication actually circulated or published), plus any investigative costs incurred and documented by the election division.

(j) All civil penalties collected under this section shall be deposited with the county treasurer to be deposited by the county treasurer in a separate account to be known as the campaign finance enforcement account. The funds in the account are available, with the approval of the county fiscal body, to augment and supplement the funds appropriated for the administration of this article.

(k) Money in the campaign finance enforcement account does not revert to the county general fund at the end of a county fiscal year.

(l) Proceedings of the county election board under this section are subject to IC 4-21.5.

IC 3-9-4-18. Delinquent or defective report. (a) As used in this section, “delinquent or defective report” refers to a campaign finance report or statement of organization:

- (1) that was required to be filed under IC 3-9-5 but was not filed in the manner required under IC 3-9-5; and
- (2) for which a person was assessed a civil penalty under section 16 or 17 of this chapter.

(b) As used in this section, “election board” refers to the following:

- (1) The commission if a civil penalty was assessed under section 16 of this chapter.
- (2) The county election board if a civil penalty was assessed under section 17 of this chapter.

(c) As used in this section, “person” refers to a person who:

- (1) has been assessed a civil penalty under section 16 or 17 of this chapter; and
- (2) has filed a declaration of candidacy, a petition of nomination, or a declaration of intent to be a write-in candidate in a subsequent election or for whom a certificate of nomination has been filed.

(d) A person who does both of the following is relieved from further civil liability under this chapter for the delinquent or defective report:

- (1) Files the delinquent report or amends the defective report from the previous candidacy:
 - (A) before filing a report required under IC 3-9-5-6; or

(B) at the same time the person files the report required under IC 3-9-5-6;
for a subsequent candidacy.

(2) Pays all civil penalties assessed under section 16 or 17 of this chapter for the delinquent report.

- (e) This subsection applies to a person who:
 - (1) is assessed a civil penalty under this chapter; and
 - (2) is elected to office in the subsequent election.

The election board may order the auditor of state or the fiscal officer of the political subdivision responsible for issuing the person's payment for serving in office to withhold from the person's paycheck the amount of the civil penalty assessed under this chapter. If the amount of the paycheck is less than the amount of the civil penalty, the auditor or fiscal officer shall continue withholding money from the person's paycheck until an amount equal to the amount of the civil penalty has been withheld.

(f) The auditor of state or fiscal officer shall deposit an amount paid, recovered, or withheld under this section in the election board's campaign finance enforcement account.

(g) Proceedings of the election board under this section are subject to IC 4-21.5.

IC 3-9-4-19. Waiver or reduction of civil penalty. Notwithstanding section 16 or 17 [IC 3-9-4-16 and IC 3-9-4-17] of this chapter, if upon the unanimous vote of its entire membership, the commission or a county election board finds that imposition of a civil penalty required to be imposed would be unjust under the circumstances, the commission or board may do either of the following:

- (1) Waive the penalty.
- (2) Reduce the penalty to an amount specified by the commission or the board.

IC 3-9-4-20. Agreement to pay civil penalty; waiver of hearing. (a) Notwithstanding section 16 of this chapter, if a person is notified by the election division that the commission may assess a proposed civil penalty under this article against the person, the person may enter into an agreement with the election division to pay the proposed penalty and waive a hearing before the commission otherwise required under section 16 of this chapter.

(b) An agreement entered into under this section must:

- (1) provide for the payment of the entire proposed civil penalty not later than the date of the execution of the agreement; and
- (2) be presented to the commission by the election division for ratification at the commission's next regularly scheduled meeting.

IC 3-9-5 Chapter 5. Reports Required of Candidates and Committees

IC 3-9-5-1. Application of chapter. (a) Except as provide in subsection (b), this chapter applies to candidates in all elections and caucuses and to the following types of committees:

- (1) Candidate's committees.
- (2) Regular party committees.
- (3) Political action committees.
- (4) A legislative caucus committee.

(b) This chapter does not apply to the following:

- (1) A candidate for a local office for which the compensation is less than five thousand dollars (\$5,000) per year unless the candidate is required to file a written instrument designating a principal committee under IC 3-9-1-5.5
- (2) A candidate for a school board office unless the candidate is required to file a written instrument designating a principal committee under IC 3-9-1-5.5.
- (3) Elections for precinct committeeman or delegate to a state convention.
- (4) An auxiliary party organization.

IC 3-9-5-2. Persons required to file with election division. The following persons, whenever required to file a report, notice, or other instrument by this article, shall file it with the election division:

- (1) Candidates for state office and their candidate's committees.
- (2) The following central committees:
 - (A) State committees.
 - (B) Congressional district committees.

(3) Other regular party committees that propose to influence the election of a candidate for state or legislative office or the outcome of a public question for or against which the electorate of the whole state may vote.

(4) Political action committees that propose to influence the election of a candidate for state or legislative office or the outcome of a public question for or against which the electorate of the whole state may vote.

(5) Legislative caucus committees.

IC 3-9-5-3. Candidates for legislative office; duplicate reports. (a) A candidate for legislative office and the candidate's committee shall file each report, notice, or other instrument required by this article with the election division.

(b) A circuit court clerk shall, at the request of any person, furnish the person a copy of a report, notice, or other instrument required by this article for a candidate for legislative office from electronic records maintained on the secretary of state's or election division's web site. The circuit court clerk shall charge for a copy of records furnished under this subsection as provided in IC 5-14-3.

IC 3-9-5-4. Persons required to file with county election board. The following persons, whenever required to file a report, notice, or other instrument by this article, shall file it with the county election board of each county comprising part of the affected election district:

(1) Candidates for local office and their candidate's committees.

(2) Regular party committees that are not required to file with the election division.

(3) Political action committees that are not required to file with the election division.

IC 3-9-5-5. Receipts and expenditures; forms. The treasurer of each committee shall file reports of receipts and expenditures on forms prescribed or approved by the commission.

IC 3-9-5-6. Time for completion of reports. (a) This subsection applies to a candidate's committee other than a candidate's committee of a candidate for a state office. Except as otherwise provided in this chapter, each committee, the committee's treasurer, and each candidate shall complete a report required by this chapter current and dated as of the following dates:

(1) Twenty-five (25) days before the nomination date.

(2) Twenty-five (25) days before the general, municipal, or special election.

(3) The annual report filed and dated as required by section 10 of this chapter.

(b) This subsection applies to a regular party committee. Except as otherwise provided in this chapter, each committee and the committee's treasurer shall complete a report required by this chapter current and dated as of the following dates:

(1) Twenty-five (25) days before a primary election.

(2) Twenty-five (25) days before a general, municipal, or special election.

(3) The date of the annual report filed and dated as required under section 10 of this chapter.

(c) This subsection applies to a legislative caucus committee. Except as otherwise provided in this chapter, each committee and the committee's treasurer shall complete a report required under this chapter current and dated as of the following dates:

(1) Twenty-five (25) days before a primary election conducted in an even-numbered year.

(2) Twenty-five (25) days before a general election conducted in an even-numbered year.

(3) The date of the annual report filed and dated as required under section 10 of this chapter.

A legislative caucus committee is not required to file any report concerning the committee's activity during an odd-numbered year other than the annual report filed and dated under section 10 of this chapter.

(d) This subsection applies to a political action committee. Except as otherwise provided in this chapter, each committee and the committee's treasurer shall complete a report required by this chapter current and dated as of the following dates:

(1) Twenty-five (25) days before a primary election.

(2) Twenty-five (25) days before a general, municipal, or special election.

(3) The date of the annual report filed and dated as required under section 10 of this chapter.

(e) This subsection applies to a candidate's committee of a candidate for a state office. A candidate's committee is not required to file a report under section 8.2, 8.4, or 8.5 of this chapter. For a year in which an election to the state office is held, the treasurer of a candidate's committee shall file the following reports:

(1) A report covering the period from January 1 through March 31 of the year of the report. A report required by this subdivision must be filed not later than noon April 15 of the year covered by the report.

(2) A report covering the period from April 1 through June 30 of the year of the report. A report required by this subdivision must be filed not later than noon July 15 of the year covered by the report.

(3) A report covering the period from July 1 through September 30 of the year of the report. A report required by this subdivision must be filed not later than noon October 15 of the year covered by the report.

(4) A report covering the period from October 1 of the year of the report through the date that is fifteen (15) days before the date of the election. A report required by this subdivision must be filed not later than noon seven (7) days before the date of the election.

(5) A report covering the period from the date that is fourteen (14) days before the date of the election through December 31 of the year of the report. A report required by this subdivision must:

(A) provide cumulative totals from January 1 through December 31 of the year of the report; and

(B) be filed not later than the deadline specified in section 10 of this chapter.

IC 3-9-5-7. Hand delivery or mailing of reports; filing deadline. (a) A person may deliver reports to the appropriate office as follows:

(1) By hand.

(2) By mail.

(3) By electronic mail, if the appropriate office has the capacity to do all of the following:

(A) Receive electronic mail; and

(B) Electronically record the date and time that electronic mail is received by the office.

(C) Print out a hard copy of the report after the receipt of the electronic mail by the office.

(b) Reports must be filed as follows:

(1) Hand delivered reports or reports transmitted by mail must be filed with the appropriate office during regular office hours not later than noon seven (7) days after the date of the report.

(2) Reports delivered by electronic mail must be filed with the appropriate office not later than noon seven (7) days after the date of the report.

(c) This subsection applies to a report delivered by electronic mail. Filing of a report occurs under IC 3-5-2-24.5 on the date and at the time electronically recorded by the office's computer system. If a discrepancy exists between the text of the electronic mail and the printed report, the text of the printed report prevails until an amendment is filed under this article to correct the discrepancy.

(d) An office is not required to accept a report or statement required under this article by facsimile transmission. Upon approval of a policy by the commission or a county election board to receive reports or statements by facsimile transmission, the election division or the county election board may accept the facsimile transmission of a report or statement.

IC 3-9-5-8. Candidate nominated less than twenty-five days before convention. (a) This section:

(1) applies to a candidate for nomination to an office in a convention who becomes a candidate less than twenty-five (25) days before the nomination date for a candidate chosen at a convention; and

(2) does not apply to a candidate for nomination to a state office by a political party at a convention conducted under IC 3-8-4.

(b) A candidate is not required to file a report in accordance with section 6(a)(1) of this chapter. The candidate shall file the candidate's first report not later than noon twenty (20) days after the nomination date for a candidate chosen at a convention.

(c) The reporting period for the first report required for a candidate begins on the date that the individual became a candidate and ends on the day following the adjournment of the convention.

IC 3-9-5-8.2. Candidates nominated by petition. (a) This section applies to a candidate who is nominated by petition under IC 3-8-6.

(b) A candidate is not required to prepare or file a report before the nomination date.

(c) The period for the first report required for a candidate begins on the date that the individual became a candidate and ends fourteen (14) days after the nomination date.

IC 3-9-5-8.4. Candidate who files declaration of intent to be a write-in candidate. (a) This section applies to a candidate who files a declaration of intent to be a write-in candidate under IC 3-8-2.

(b) A candidate is not required to prepare or file a report before the nomination date.

(c) The period for the first report required for a candidate begins on the date that the individual became a candidate and ends fourteen (14) days after the nomination date.

IC 3-9-5-8.5. Candidate selected to fill vacancy. (a) This section applies to a candidate who is selected to fill a vacancy on the ballot under IC 3-13-1 or IC 3-13-2.

(b) A candidate is not required to prepare or file a report before the nomination date.

(c) Except as provided in subsection (d), the period for the first report required for a candidate begins on the date that the individual became a candidate and ends fourteen (14) days after the nomination date.

(d) This subsection applies to a candidate selected under IC 3-13-2 to fill a vacancy on the ballot. A candidate is not required to prepare or file a report before or after the nomination date. The period for the first report required for a candidate begins on the date that the individual became a candidate and ends December 31 following the election.

IC 3-9-5-9. Off-year reports; pre-election reports. (a) Except as provided in subsections (b) and

(c), in a year in which a candidate is not a candidate for election to an office to which this article applies or does not seek nomination at a caucus or state convention for election to an office to which this article applies, the treasurer of the candidate's committee shall file only the report required by section 10 of this chapter.

(b) This subsection applies to a candidate who holds one (1) office and is a candidate for a different office (or has filed a statement of organization for an exploratory committee without indicating that the individual is a candidate for a specific office). The treasurer of the candidate's committee for the office the candidate holds shall file the following reports:

(1) If the committee spends, transfers in, or transfers out at least ten thousand dollars (\$10,000) from January 1 until twenty-five (25) days before the primary election, the treasurer shall file a preprimary report under section 6 of this chapter.

(2) If the committee spends, transfers in, or transfers out at least ten thousand dollars (\$10,000) from twenty-five (25) days before the primary election until twenty-five (25) days before the general election, the treasurer shall file a pregeneral election report under section 6 of this chapter.

(3) The report required under section 10 of this chapter.

(c) This subsection applies to a candidate who is required to file a preprimary report or pre-convention report under section 6 of this chapter and who:

(1) is defeated at the primary election or convention; or

(2) withdraws or is disqualified as a candidate before the general election.

The treasurer of a candidate's committee described by this subsection is not required to file a pregeneral election report under section 6 of this chapter but shall file the report required by section 10 of this chapter.

(d) This subsection applies to a candidate for election to a city office or a town office. If a municipal primary is not conducted in the municipality by one (1) or more parties authorized to conduct a primary, the candidate must file a report in accordance with the schedule set forth in section 6 of this chapter as if the primary were conducted. If a municipal election is not conducted in the municipality, the candidate must file a report in accordance with section 6 of this chapter as if the municipal election were conducted.

(e) This subsection applies to a candidate's committee of a candidate for a state office. For a year in which an election to the state office is not held, the treasurer of a candidate's committee shall file the following reports in addition to any other report required by this article:

- (1) A report covering the period from January 1 through June 30 of the year of the report. A report required by this subdivision must be filed not later than noon July 15 of the year covered by the report.
- (2) A report covering the period from July 1 through December 31 of the year of the report. A report required by this subdivision must:
 - (A) provide cumulative totals from January 1 through December 31 of the year of the report; and
 - (B) be filed by the deadline specified in section 10 of this chapter.

IC 3-9-5-10. Annual report of treasurer. (a) The treasurer of each committee shall file a report each year that is complete as of December 31 of the previous year and covers the period since the last report. This annual report is due by noon:

- (1) the third Wednesday in January, in the case of:
 - (A) a candidate's committee;
 - (B) a legislative caucus committee; or
 - (C) a political action committee; or
 - (2) March 1, in the case of a regular party committee.
- (b) A candidate's committee of a candidate for a state office that files a report:
- (1) under section 6(e)(5) or 9(e)(2) of this chapter; and
 - (2) by the deadline specified under subsection (a) for filing a candidate's committee report;
- is not required to file an additional report under this section..

IC 3-9-5-11. Disbandment of committee; final report. No later than noon thirty (30) days after the date a committee disbands, the last person to be treasurer of the committee shall file a final report that is complete as of the last day the committee existed and covers the period since the last report.

IC 3-9-5-12. Outgoing treasurer; final report. No later than noon thirty (30) days after the date a treasurer of a continuing committee leaves office, the outgoing treasurer shall file a final report that is complete as of the last day the person was treasurer and covers the period since the last report.

IC 3-9-5-13. Filing duplicate federal reports. (a) A person may file duplicates of the reports required to be filed under the Federal Election Campaign Act (2 U.S.C. 431 et seq.) To comply with this chapter.

(b) The duplicate must cover all activity of the committee, and the committee shall file a supplementary report as directed by the election division to provide information required by this article but not included in the federal report.

(c) Each candidate for United States Senator or United States Representative and the treasurer of the candidate's committee may file with the election division duplicates of the reports required by federal law.

(d) If a report is available on the Federal Election Commission's website, a statement to that effect is all the person is required to file.

IC 3-9-5-14. Committee treasurer's reports. (a) As used in this section, "threshold contribution amount" refers to the following:

- (1) For contributions made to a candidate's committee, a legislative caucus committee, or a political action committee, one hundred dollars (\$100).
 - (2) For contributions made to a regular party committee, two hundred dollars (\$200).
- (b) The report of each committee's treasurer must disclose the following:
- (1) The amount of cash on hand and the value of any investments made by the committee at the beginning of the reporting period.
 - (2) The total sum of individual contributions including transfers-in, accepted by the committee during its reporting period.
 - (3) The following information regarding each person who has made one (1) or more contributions within the year, in an aggregate amount that exceeds the threshold contribution amount in actual

value to or for the committee, including the purchase of tickets for events such as dinners, luncheons, rallies, and similar fundraising events:

- (A) The full name of the person.
- (B) The full mailing address of the person making the contribution.
- (C) The person's occupation, if the person is an individual who has made contributions to the committee of at least one thousand dollars (\$1,000) during the calendar year.
- (D) The date and amount of each contribution.

(4) The name and address of each committee from which the reporting committee received, or to which that committee made, a transfer of funds, together with the amounts and dates of all transfers.

(5) If the reporting committee is a candidate's committee, the following information about each other committee that has reported expenditures to the reporting candidate's committee under section 15 of this chapter:

- (A) The name and address of the other committee.
- (B) The amount of expenditures reported by the other committee.
- (C) The date of the expenditures reported by the other committee.
- (D) The purpose of the expenditures reported by the other committee.

(6) Each loan to or from a person within the reporting period together with the following information:

- (A) The full names and mailing addresses of the lender and endorsers, if any.
- (B) The person's occupation, if the person is an individual who has made loans of at least one thousand dollars (\$1,000) to the committee during the calendar year.
- (C) The date and amount of the loans.

(7) The total sum of all receipts of the committee during the reporting period.

(8) The full name, mailing address, occupation, and principal place of business, if any, of each person other than a committee to whom an expenditure was made by the committee or on behalf of the committee within the year in an aggregate amount that:

- (A) exceeds one hundred dollars (\$100), in the case of a candidate's committee, legislative caucus committee, or political action committee; or
- (B) exceeds two hundred dollars (\$200), in the case of a regular party committee.

(9) The name, address, and office sought by each candidate for whom any expenditure was made or a statement identifying the public question for which any expenditure was made, including the amount, date, and purpose of each expenditure.

(10) The full name, mailing address, occupation, and principal place of business, if any, of each person to whom an expenditure for personal services, salaries, or reimbursed expenses was made within the year in an aggregate amount that:

- (A) exceeds one hundred dollars (\$100), in the case of a candidate's committee, legislative caucus committee, or political action committee; or
- (B) exceeds two hundred dollars (\$200), in the case of a regular party committee; and that is not otherwise reported, including the amount, date, and purpose of the expenditure.

(11) The total sum of expenditures made by the committee during the reporting period.

(12) The amount and nature of debts owed by or to the committee, and a continuous reporting of the debts after the election at the times required under this article until the debts are extinguished.

(c) If a committee:

- (1) obtains a contribution;
- (2) determines that the contribution should not be accepted by the committee; and
- (3) does not receive and accept the contribution under IC 3-9-1-25(b);

the committee must return the contribution to the person who made the contribution. A returned contribution is not required to be listed on the report of the committee's treasurer. However, if the committee receives and deposits the contribution under IC 3-9-1-25(b) and subsequently determines that the contribution should be refunded, the receipt and refund of the contribution must be listed on the report of the committee's treasurer.

IC 3-9-5-15. Contributions and expenditures made on behalf of candidates; reports. (a) This section applies to an organization or a committee, other than the candidate's committee, that receives a contribution or makes an expenditure on behalf of a candidate.

(b) For purposes of this section, an expenditure is considered to be on behalf of a candidate if either of the following applies:

- (1) The expenditure is made in support of the candidate who is specifically identifiable.
- (2) The expenditure is made in opposition to an opponent:
 - (A) of the candidate; and
 - (B) who is specifically identifiable.

An expenditure is not considered to be made on behalf of a candidate if the expenditure is made to inform the members of the organization or for the development of the committee's political party.

(c) The treasurer of the committee shall report to the candidate's committee all information about a contribution received or an expenditure made on behalf of the candidate that the treasurer of the candidate's committee is required to report about the contribution or the expenditure if it had been received or made by the candidate's committee.

IC 3-9-5-16. Cumulative reports. (a) This subsection applies to a candidate's committee of a candidate whose name does not appear on the ballot at any time during a year and who is not a write-in candidate during that year. The reports required to be filed by this chapter are cumulative during the year. If no contributions or expenditures have been accepted or made during a year, the treasurer of the candidate's committee shall file a statement to that effect.

(b) This subsection applies to a political action committee or a regular party committee. If a committee has not received or made contributions or expenditures, the committee shall file a report under section 6 of this chapter stating that no contributions or expenditures have been received or made.

IC 3-9-5-17 *(Repealed by P.L.3-1993, SEC. 282.)*

IC 3-9-5-18. Candidate's statement. Each candidate shall file a statement that the candidate has turned over all contributions received by the candidate to the treasurer of the candidate's principal committee and that to the best of the candidate's knowledge and belief the reports of the candidate's committee are complete and accurate.

IC 3-9-5-19 *(Repealed by P.L.3-1995, SEC.157.)*

IC 3-9-5-20 *(Repealed by P.L.176-1999,SEC.134.)*

IC 3-9-5-20.1. Supplemental large contribution report. (a) This section:

- (1) applies only to a large contribution that is received by a candidate, the candidate's committee, or the treasurer of the candidate's committee; and
- (2) does not apply to a candidate for a state office, the candidate's committee, or the treasurer of the candidate's committee.

(b) As used in this section, "election" refers to any of the following:

- (1) A primary election.
- (2) A general election.
- (3) A municipal election.
- (4) A special election.
- (5) For candidates nominated at a state convention, the state convention.

(c) As used in this section, "large contribution" means contributions:

- (1) that total at least one thousand dollars (\$1,000); and
- (2) that are received:
 - (A) not more than twenty-five (25) days before an election; and
 - (B) not less than forty-eight (48) hours before an election.

(d) The treasurer of a candidate's committee shall file a supplemental large contribution report with the election division or a county election board not later than forty-eight (48) hours after the contribution is received. A candidate for a legislative office shall file a report required by this section with the election

division and the county election board as required by section 3 of this chapter. A report filed under this section may be filed by facsimile (fax) transmission.

- (e) A report required by subsection (d) must contain the following information for each large contribution:
- (1) The name of the person making the contribution.
 - (2) The address of the person making the contribution.
 - (3) If the person making the contribution is an individual, the individual's occupation.
 - (4) The total amount of the contribution.
 - (5) The dates and times the contributions making up the large contribution were received by the treasurer, the candidate, or the candidate's committee.
- (f) The commission shall prescribe the form for the report required by this section.

IC 3-9-5-21. *(Repealed by P.L.176-1999,SEC.134.)*

IC 3-9-5-22. Supplemental large contribution; candidate for state office. (a) This section applies only to a large contribution that is received by a candidate for a state office, the candidate's committee, or the treasurer of the candidate's committee.

- (b) As used in this section, "election" refers to any of the following:
- (1) For a candidate nominated at a primary election, the primary election.
 - (2) For a candidate nominated at a state convention, the state convention.
 - (3) A general election.
- (c) As used in this section, "large contribution" means either of the following:
- (1) Contributions:
 - (A) that total at least one thousand dollars (\$1,000); and
 - (B) that are received:
 - (i) after the end of a reporting period and before the deadline for the candidate's committee to file a report under section 6 of this chapter; and
 - (ii) not less than forty-eight (48) hours before an election.
 - (2) A single contribution that is at least ten thousand dollars (\$10,000) that is received at any time.
- (d) The treasurer of a candidate's committee shall file a supplemental large contribution report with the election division not later than:
- (1) forty-eight (48) hours after a contribution described by subsection (c)(1) is received; or
 - (2) noon seven (7) days after a contribution described by subsection (c)(2) is received.
- (e) A report filed under this section may be filed by facsimile transmission or as an electronic report when the requirements of IC 3-9-4 or this chapter have been met. A report required by subsection (d) must contain the following information for each large contribution:
- (1) The name of the person making the contribution.
 - (2) The address of the person making the contribution.
 - (3) If the person making the contribution is an individual, the individual's occupation.
 - (4) The total amount of the contribution.
 - (5) The dates and times the contributions making up the large contribution described in subsection (c)(1) or a large contribution described in subsection (c)(2) were received by the treasurer, the candidate, or the candidate's committee.
- (f) The commission shall prescribe the form for the report required by this section.

IC 3-9-6 (Repealed by P.L.3-1995, SEC. 157.)

IC 3-9-7 Chapter 7. Miscellaneous Provisions

IC 3-9-7-1 *(Repealed by P.L.3-1995, SEC.157.)*

IC 3-9-7-2 *(Repealed by P.L.3-1997, SEC.476.)*

IC 3-9-7-3 *(Repealed by P.L.3-1997, SEC.476.)*

IC 3-14 Article 14. Offenses
IC 3-14-1 Chapter 1. Campaign Violations

IC 3-14-1-1. Defacing, falsifying, or destroying declarations, requests, petitions, or certificates.

A person who knowingly:

- (1) Falsely makes or fraudulently defaces or destroys a declaration of candidacy, request for ballot placement under IC 3-8-3, certificate or petition of nomination, recount petition or cross-petition, contest petition, or certificate of candidate selection, or a part of the declaration, request, petition, or certificate;
- (2) Files a declaration of candidacy, request for ballot placement under IC 3-8-3, certificate or petition of nomination, recount petition or cross-petition, contest petition, or certificate of candidate selection, knowing any part thereof to be falsely made;
- (3) Refuses to execute a certificate of nomination or candidate selection when required by this title to do so and knowing that the candidate has been nominated or selected;
- (4) If the document is listed in subdivision (1), refuses to:
 - (A) Receive the document; or
 - (B) Record the date and time the document was received; when presented in accordance with this title; or
- (5) Suppresses a declaration of candidacy, request for ballot placement under IC 3-8-3, petition or certificate of nomination, recount petition or cross-petition, contest petition, or certificate of candidate selection, that has been duly filed, or any part of the declaration, request, petition, or certificate;

commits a Class D felony *[beginning July 1, 2014, a Level 6 felony]*.

IC 3-14-1-2. Printing, publishing or distribution of slate during primary campaign without authority. (a) A person who:

- (1) prints, publishes, or distributes a slate during a primary election campaign without authority from and:
 - (A) over the name of an organization of voters, including the name of the organization and its officers; or
 - (B) if it is not an organized group of voters, over the names of at least ten (10) voters in the political subdivision in which the primary election is being held together with the name of the printer who printed the slate;
- (2) prints on a slate during a primary election campaign the name or number of a candidate without the candidate's written consent; or
- (3) prints, publishes, or distributes a slate during a primary election campaign unless at least five (5) days before it is printed and published the written consent of the voters over whose names it is published and the written consent of the candidates in whose behalf it is distributed are filed in the office of the county election board in each county where the election is held;

commits a Class A misdemeanor.

(b) As used in this section, "slate" means a sample ballot, reproduction of an official ballot, or a listing of candidates:

- (1) having the names or numbers of more than one (1) candidate for nomination at a primary election; and
- (2) that expresses support for more than one (1) of the candidates set forth on the ballot or list.

IC 3-14-1-3. Circulation or publication of anonymous campaign material. An individual, an organization, or a committee that circulates or publishes material in an election without the statement required under IC 3-9-3-2.5 commits a Class A misdemeanor.

IC 3-14-1-4 *(Repealed by P.L.3-1997, SEC.475.)*

IC 3-14-1-5 *(Repealed by P.L.5-1989, SEC.120.)*

IC 3-14-1-6. Solicitation, challenge, or performance of election function by state police department civilian employee, police officer or firefighter. (a) A state police department employee or

a police officer or firefighter (including a special duty, auxiliary, or volunteer police officer or firefighter) of a political subdivision who recklessly:

- (1) solicits votes or campaign funds;
- (2) challenges voters; or
- (3) performs any other election related function;

while wearing any identifying insignia or article of clothing that is part of an official uniform or while on duty commits a Class A misdemeanor.

(b) This section does not prohibit any of the following:

- (1) a state police department civilian employee from voting while on duty.
- (2) a police officer or firefighter from voting while wearing any part of an official uniform or while

on duty.

(3) an individual described in subsection (a) from consenting to a photograph (or other visual depiction) of the individual wearing any part of the individual's official uniform appearing in an advertisement in support of a candidate or political party.

(4) an individual from serving as a pollbook holder under IC 3-6-6-36.

(5) A police officer wearing any identifying insignia or article of clothing that is part of an official uniform or while on duty from serving as an absentee ballot courier appointed under IC 3-11.5-4-22.

IC 3-14-1-7. Collection, receipt or disbursement of money or property by committee without appointment of treasurer. A committee subject to IC 3-9 or any of its members that recklessly collects, receives, keeps, or disburses money or other property to promote any activity to which IC 3-9 applies without appointing and maintaining a treasurer as required by IC 3-9-1 commits a Class B misdemeanor.

IC 3-14-1-8 *(Repealed by P.L.3-1995, SEC.157.)*

IC 3-14-1-9 *(Repealed by P.L.3-1995, SEC.157.)*

IC 3-14-1-10. Excess contributions by corporation or labor organization. A corporation or labor organization that recklessly exceeds any of the limitations on contributions prescribed by IC 3-9-2-4 commits a Class B misdemeanor.

IC 3-14-1-10.5. Acceptance of contributions in excess of permitted amounts by certain judges. (a) A person who recklessly violates IC 33-33-2-11 by accepting contributions that exceed the amount permitted under that section commits a Class B misdemeanor.

(b) A person described by subsection (a) is also subject to a civil penalty under IC 3-9-4-17. The county election board may assess a penalty of not more than three (3) times the amount of the contribution that exceeds the limit prescribed by IC 33-33-2-11, plus any investigative costs incurred and documented by the board.

IC 3-14-1-11. Contributions in the name of another person. A person who:

- (1) Recklessly makes a contribution in the name of another person; or
 - (2) Knowingly accepts a contribution made by one person in the name of another person;
- commits a Class B misdemeanor.

IC 3-14-1-12 *Repealed by P.L.3-1995, SEC.157.)*

IC 3-14-1-13. Filing fraudulent reports. A person who knowingly files a report required by IC 3-9 that is fraudulent commits a Class D felony *[beginning July 1, 2014, a Level 6 felony]*.

IC 3-14-1-14. Failure to file required report. A person who fails to file a report with the proper office as required by IC 3-9 commits a Class B misdemeanor.

IC 3-14-1-14.5. Commingling committee funds with personal funds. A person who recklessly violates IC 3-9-2-9(c) by commingling the funds of a committee with the personal funds of an officer, a member, or an associate of the committee commits a Class B misdemeanor.

IC 3-14-1-15 *(Repealed by P.L.3-1995, SEC.157.)*

IC 3-14-1-16. Personal use of committee funds. A person who knowingly or intentionally violates IC 3-9-3-4 commits a Class A infraction.

IC 3-14-5 Chapter 5. Enforcement Provisions

IC 3-14-5-3. Duty to report violations to prosecuting attorney and violator; presentation to grand jury. (a) This section does not apply to a violation of NVRA or IC 3-7.

(b) The commission and each county election board shall report a violation of this title as a felony or misdemeanor to the appropriate prosecuting attorney and the alleged violator.

(c) The commission and boards may have the report transmitted and presented to the grand jury of the county in which the violation was committed at its first session after making the report and at subsequent sessions that may be required. The commission and boards shall furnish the grand jury any evidence at their command necessary in the investigation and prosecution of the violation.

IC 3-14-5-4. Prosecutions of violators. In addition to the duties prescribed by IC 33-39, the prosecuting attorney of each circuit shall prosecute each resident of the circuit who the prosecutor believes has violated IC 3-14-1-7, IC 3-14-1-10, IC 3-14-1-13, IC 3-14-1-14, or IC 3-14-1-14.5 in any circuit of the state.

IC 3-14-5-6. Criminal prosecutions; self-incrimination defense not available to witness. In a criminal prosecution for violation of IC 3-14-1-7, IC 3-14-1-10, IC 3-14-1-13, IC 3-14-1-14, or IC 3-14-1-14.5, a witness, except the person who is accused and on trial, may not be excused from answering a question or producing a book, paper, or other thing on the ground that the witness' answer or the thing to be produced may tend to incriminate the witness or render the witness liable to a penalty. However, the witness' answer or the thing produced by the witness may not be used in a proceeding against the witness, except in a prosecution for perjury in so testifying.

TITLE 4 STATE OFFICES AND ADMINISTRATION

IC 4-30 Article 30. Indiana State Lottery

IC 4-30-3 Chapter 3. Creation, Powers, and Duties of the Commission

- IC 4-30-3-19.5. Contributions to candidates or committees; state offices.** (a) This section applies only to contributions made after March 28, 1996.
- (b) The definitions set forth in IC 3-5-2 apply to this section.
- (c) As used in this section, “candidate” refers only to a candidate for a state office.
- (d) As used in this section, “committee” refers to any of the following:
- (1) A candidate’s committee.
 - (2) A regular party committee.
 - (3) A committee organized by a legislative caucus of the house of the general assembly.
 - (4) A committee organized by a legislative caucus of the senate of the general assembly.
- (e) As used in this section, “contract” refers only to a contract with the commission or the director for any of the following:
- (1) A major procurement.
 - (2) Auditing services to the commission.
- (f) As used in this section, “contractor” means a person who has a contract with the commission or the director.
- (g) As used in this section, “officer” refers only to either of the following:
- (1) An individual listed as an officer of a corporation in the corporation’s most recent annual report.
 - (2) An individual who is a successor to an individual described in subdivision (1).
- (h) A person is considered to have made a contribution under this section if a contribution is made by any of the following:
- (1) The person.
 - (2) An officer of the person.
 - (3) A political action committee of the person.
 - (i) A person may not enter into a contract if the person has made a contribution to a candidate or a committee within the three (3) years preceding the award of the contract.
- (j) A contractor, an officer of a contractor, or a political action committee of a contractor may not make a contribution to a candidate or a committee while the contract is in effect and during the three (3) years following the final expiration or termination of the contract.
- (k) A person who knowingly or intentionally violates this section commits a Class D felony *[beginning July 1, 2014, a Level 6 felony]*.

IC 4-31 Article 31. Pari-Mutuel Wagering on Horse Races

IC 4-31-13 Chapter 13. Offenses and Enforcement

- IC 4-31-13-3.5. Permit holders or persons with an interest in a permit holder.** (a) The definitions in IC 3-5-2 apply to this section to the extent they do not conflict with the definitions in this article.
- (b) This section applies only to contributions made after June 30, 1996.
- (c) As used in this section, “candidate” refers to any of the following:
- (1) A candidate for a state office.
 - (2) A candidate for a legislative office.
 - (3) A candidate for a local office.
- (d) As used in this section, “committee” refers to any of the following:
- (1) A candidate’s committee.
 - (2) A regular party committee.
 - (3) A committee organized by a legislative caucus of the house of the general assembly.
 - (4) A committee organized by a legislative caucus of the senate of the general assembly.
- (e) As used in this section, “officer” refers only to either of the following:
- (1) An individual listed as an officer of a corporation in the corporation’s most recent annual report.
 - (2) An individual who is a successor to an individual described in subdivision (1).
- (f) For purposes of this section, a person is considered to have an interest in a permit holder if the person satisfies any of the following:
- (1) The person holds at least a one percent (1%) interest in the permit holder.
 - (2) The person is an officer of the permit holder.
 - (3) The person is an officer of a person that holds at least a one percent (1%) interest in the permit holder.
 - (4) The person is a political action committee of the permit holder.
- (g) For purposes of this section, a permit holder is considered to have made a contribution if a contribution is made by a person who has an interest in the permit holder.
- (h) A permit holder or a person with an interest in a permit holder may not make a contribution to a candidate or a committee during the following periods:
- (1) The term during which the permit holder holds a permit.
 - (2) The three (3) years following the final expiration or termination of the permit holder’s permit.
- (i) A person who knowingly or intentionally violates this section commits a Class D felony [*beginning July 1, 2014, a Level 6 felony*].

IC 4-32.2 Article 32.2 Charity Gaming

IC 4-32.2-2 Chapter 2. Definitions

- IC 4-32.2-2-8. “Bona fide political organization”.** (a) “Bona fide political organization” means a party committee, association, fund, or other organization, whether incorporated or not, organized and operated primarily for the purpose of directly or indirectly accepting contributions or making expenditures, or both, for an exempt function (as defined in Section 527 of the Internal Revenue Code).
- (b) Except as provided in subsection (c), the term does not include a candidate's committee (as defined in IC 3-5-2-7).
- (c) For purposes of IC 4-32.2-4-8 and IC 4-32.2-4-18, the term includes a candidate's committee (as defined in IC 3-5-2-7).

IC 4-32.2-4 Chapter 4. Charity Gaming Licenses

IC 4-32.2-4-8. Raffle license. Sec. 8. The commission may issue a raffle license to a qualified organization upon the organization's submission of an application and payment of a fee determined under IC 4-32.2-6. The license must:

- (1) authorize the qualified organization to conduct a raffle event at only one (1) time and location; and
- (2) state the date, beginning and ending times, and location of the raffle event.

IC 4-32.3-4-18 Candidates' committees authorized to obtain raffle licenses and conduct door prize drawings at raffle events. Sec. 18. (a) With respect to any action authorized by this section, a candidate's committee (as defined in IC 3-5-2-7) is considered a bona fide political organization.

(b) A candidate's committee may apply for a license under section 8 of this chapter to conduct a raffle event. A candidate's committee may also conduct a door prize drawing at the raffle event but is prohibited from conducting any other kind of allowable event.

(c) The following are subject to this chapter and IC 4-32.2-6:

- (1) A candidate's committee that applies for a license under section 8 of this chapter.
- (2) A raffle event or door prize drawing conducted by a candidate's committee.

(d) The members of a candidate's committee may conduct an event under this section without meeting the requirements of this article concerning the membership of a qualified organization. A candidate's committee licensed under this section must remain in good standing with the election division or the county election board having jurisdiction over the committee.

IC 4-33 Article 33. Riverboat Gambling

IC 4-33-2 Chapter 2. Definitions

IC 4-33-2-12. Licensee. Except as provided in IC 4-33-10-2.1, "licensee" means a person holding a license issued under this article.

IC 4-33-10 Chapter 10. Crimes and Penalties

IC 4-33-10-2.1. Licensees or persons who have an interest in a licensee; operating contract considered a license; operating agent considered a licensee. (a) This section applies only to contributions made after June 30, 1996.

(b) The definitions in IC 3-5-2 apply to this section to the extent they do not conflict with the definitions in this article.

(c) As used in this section, "candidate" refers to any of the following:

- (1) A candidate for a state office.
- (2) A candidate for a legislative office.
- (3) a candidate for a local office.

(d) As used in this section, "committee" refers to any of the following:

- (1) A candidate's committee.
- (2) A regular party committee.
- (3) A committee organized by a legislative caucus of the house of the general assembly.
- (4) A committee organized by a legislative caucus of the senate of the general assembly.

(e) As used in this section, "license" means:

- (1) an owner's license issued under this article; or

- (2) a supplier's license issued under this article to a supplier of gaming supplies or equipment, including electronic gaming equipment; or
- (3) An operating agent contract issued under this article.
- (f) As used in this section, "licensee" means a person who holds a license.
- (g) As used in this section, "officer" refers only to either of the following:
 - (1) An individual listed as an officer of a corporation in the corporation's most recent annual report.
 - (2) An individual who is a successor to an individual described in subdivision (1).
- (h) For purposes of this section, a person is considered to have an interest in a licensee if the person satisfies any of the following:
 - (1) The person holds at least a one percent (1%) interest in the licensee.
 - (2) The person is an officer of the licensee.
 - (3) The person is an officer of a person that holds at least a one percent (1%) interest in the licensee.
 - (4) The person is a political action committee of the licensee.
- (i) A licensee is considered to have made a contribution if a contribution is made by a person who has an interest in the licensee.
- (j) A licensee or a person who has an interest in a licensee may not make a contribution to a candidate or a committee during the following periods:
 - (1) The term during which the licensee holds a license.
 - (2) The three (3) years following the final expiration or termination of the licensee's license.
- (k) A person who knowingly or intentionally violates this section commits a Class D felony *[beginning July 1, 2014, a Level 6 felony]*.

TITLE 6. TAXATION

IC 6-1.1-20 Chapter 20. Property Taxes

IC 6-1.1-20-1.1. "Controlled project" Sec. 1.1. A "controlled project" means any project financed by bonds or a lease, except for the following:

- (1) A project for which the political subdivision reasonably expects to pay:
 - (A) debt service; or
 - (B) lease rentals;
 from funds other than property taxes that are exempt from the levy limitations of IC 6-1.1-18.5 or (before January 1, 2009) IC 20-45-3. A project is not a controlled project even though the political subdivision has pledged to levy property taxes to pay the debt service or lease rentals if those other funds are insufficient.
- (2) A project that will not cost the political subdivision more than the lesser of the following:
 - (A) Two million dollars (\$2,000,000).
 - (B) An amount equal to one percent (1%) of the total gross assessed value of property within the political subdivision on the last assessment date, if that amount is at least one million dollars (\$1,000,000).
- (3) A project that is being refinanced for the purpose of providing gross or net present value savings to taxpayers.
- (4) A project for which bonds were issued or leases were entered into before January 1, 1996, or where the state board of tax commissioners has approved the issuance of bonds or the execution of leases before January 1, 1996.
- (5) A project that is required by a court order holding that a federal law mandates the project.
- (6) A project that:
 - (A) is in response to:
 - (i) a natural disaster;
 - (ii) an accident; or
 - (iii) an emergency;
 in the political subdivision that makes a building or facility unavailable for its intended use; and

(B) is approved by the county council of each county in which the political subdivision is located.

(7) A project that was not a controlled project under this section as in effect on June 30, 2008, and for which:

(A) the bonds or lease for the project were issued or entered into before July 1, 2008; or

(B) the issuance of the bonds or the execution of the lease for the project was approved by the department of local government finance before July 1, 2008.

(8) A project of the Little Calumet River basin development commission for which bonds are payable from special assessments collected under IC 14-13-2-18.6.

IC 6-1.1-20-10.1. Restrictions on promoting a position on a referendum Sec. 10.1....(e) An attorney, an architect, a registered professional engineer, a construction manager, or a financial adviser for professional services provided with respect to a controlled project may not spend any money to promote a position on a local public question. A person who violates this subsection:

(1) commits a Class A infraction; and

(2) is barred from performing any services with respect to the controlled project.

TITLE 7.1. ALCOHOL AND TOBACCO

IC 7.1-2-1 Chapter 1. Alcohol and Tobacco Commission; General Provisions

IC 7.1-2-1-12. Restriction on solicitation or acceptance of political contributions Sec. 12. A commissioner may not solicit or accept a political contribution from any person or entity that has a permit or has applied for a permit issued by the commission. However, the right of a commissioner to vote as the commissioner chooses and to express the commissioner's opinions on political subjects and candidates may not be impaired.

TITLE 8. UTILITIES AND TRANSPORTATION

IC 8-1-2 Chapter 2. Regulation of Carriers Generally

IC 8-1-2-102. Political influence or activities; free or reduced rates or charges for products or services; violations; offense. (a) The definitions set forth in IC 3-5-2 apply to this section.

(b) No public utility, or any agent or officer thereof, or any agent or officer of a political subdivision constituting a public utility, as defined in this chapter, may offer or give, for any purpose, to any campaign finance committee or any member or employee thereof, candidate for, or incumbent of, any office or position under the constitution or laws of Indiana, or under any political subdivision or to any person, at the request, or for the advantage of, any of them, any frank, privilege, or property withheld from any person for any product or service produced, transmitted, delivered, furnished, or rendered, or to be produced, transmitted, delivered, furnished, or rendered by a public utility or any free product or service.

(c) No campaign finance committee, or member or employee thereof, or candidate for or incumbent of any office or position under the constitution or laws of Indiana or under any political subdivision may ask for or accept from any public utility, or any agent or officer thereof, or any agent or officer of any political subdivision constituting a public utility, as defined in this chapter, or use, in any matter or for any purpose, any frank or privilege withheld from any person for any product or service produced, transmitted, delivered, furnished, or rendered, or to be produced, transmitted, delivered, furnished, or rendered by any public utility.

(d) A person who knowingly violates this section commits a Class D felony *[beginning July 1, 2014, a Level 6 felony]*.

(e) This chapter does not:

(1) prevent any public utility, carrier, or agent or officer thereof, from furnishing free or reduced service or transportation to any bona fide employee or officer thereof;

(2) prohibit any carrier from carrying free, or at reduced rates, agricultural experiment and demonstration cars or trains and the lecturers and necessary demonstrators accompanying such trains or cars; or

(3) prohibit any carrier from carrying free, or at reduced rates, its furloughed, pensioned, or superannuated employees, persons who have become disabled or infirm in its service, the remains of any person killed in its service, or the unmarried surviving spouses and dependent children under eighteen (18) years of age of person who died in its service.

TITLE 20. EDUCATION

IC 20-1-46 Chapter 46. Referendum Tax Levy

IC 20-46-1-20. Restrictions on promoting a position in a referendum. Sec. 20. (a) Except as otherwise provided in this section, during the period beginning with the adoption of a resolution by the governing body of a school corporation to place a referendum under this chapter on the ballot and continuing through the day on which the referendum is submitted to the voters, the school corporation may not promote a position on the referendum by doing any of the following:

(1) Using facilities or equipment, including mail and messaging systems, owned by the school corporation to promote a position on the referendum, unless equal access to the facilities or equipment is given to persons with a position opposite to that of the school corporation.

(2) Making an expenditure of money from a fund controlled by the school corporation to promote a position on the referendum.

(3) Using an employee to promote a position on the referendum during the employee's normal working hours or paid overtime, or otherwise compelling an employee to promote a position on the referendum at any time. However, if a person described in subsection (d) is advocating for or against a position on the referendum or discussing the referendum as authorized under subsection (d), an employee of the school corporation may assist the person in presenting information on the referendum, if requested to do so by the person described in subsection (d).

(4) Promoting a position on the referendum by:

(A) using students to transport written materials to their residences or in any way involving students in a school organized promotion of a position;

(B) including a statement within another communication sent to the students' residences; or

(C) initiating discussion of the referendum at a meeting between a teacher and parents of a student regarding the student's performance or behavior at school. However, if the parents initiate a discussion of the referendum at the meeting, the teacher may acknowledge the issue and direct the parents to a source of factual information on the referendum. However, this section does not prohibit an official or employee of the school corporation from carrying out duties with respect to a referendum that are part of the normal and regular conduct of the official's or employee's office or agency, including the furnishing of factual information regarding the referendum in response to inquiries from any person.

(b) The staff and employees of a school corporation may not personally identify a student as the child of a parent or guardian who supports or opposes the referendum.

(c) This subsection does not apply to:

(1) a personal expenditure to promote a position on a local public question by an employee of a school corporation whose employment is governed by a collective bargaining contract or an employment contract; or

(2) an expenditure to promote a position on a local public question by a person or an organization that has a contract or an arrangement (whether formal or informal) with the school corporation solely for the use of the school corporation's facilities. A person or an organization that has a contract or arrangement (whether formal or informal) with a school corporation to provide goods or services to the school corporation may not spend any money to promote a position on the petition or remonstrance. A person or an organization that violates this subsection commits a Class A infraction.

(d) Notwithstanding any other law, an elected or appointed school board member or a school corporation superintendent, school corporation assistant superintendent, or chief school business official of a school corporation may at any time:

(1) personally advocate for or against a position on a referendum; or

(2) discuss the referendum with any individual, group, or organization or personally advocate for or against a position on a referendum before any individual, group, or organization;

so long as it is not done by using public funds. Advocacy or discussion allowed under this subsection is not considered a use of public funds. However, this subsection does not authorize or apply to advocacy or discussion by a school board member, superintendent, assistant superintendent, or school business official to or with students that occurs during the regular school day.

(e) A student may use school equipment or facilities to report or editorialize about a local public question as part of the news coverage of the referendum by a student newspaper or broadcast.

TITLE 33. COURTS AND COURT OFFICERS

IC 33-33 Article 33. Court System Organization in Each County

IC 33-33-2 Chapter 2 Allen County

IC 33-33-2-11. Limits on acceptance of contributions. A judge or candidate for judge of the Allen superior court may not:

(1) accept a contribution (as defined in IC 3-5-2-15) from any political party, political action committee (as defined in IC 3-5-2-37), or regular party committee (as defined in IC 3-5-2-42); or

(2) accept more than a total of ten thousand dollars (\$10,000) in contributions from all sources to pay expenses connected with the candidate's candidacy.

IC 33-33-45 Chapter 45. Lake County

IC 33-33-45-44(c). Conditions of office; censure or removal; political party campaigning for or against removal. (c) A political party may not directly or indirectly campaign for or against a judge subject to retention or rejection under this chapter.

TITLE 36. LOCAL GOVERNMENT

IC 36-1.5-4 Chapter 4. Reorganization by Referendum

IC 36-1.5-4-46. Promoting position on public question prohibited. Sec. 46. (a) Except as otherwise provided in this section, during the period beginning with the date the final plan of reorganization is approved by the legislative body or considered to be approved under section 23.5 of this chapter, and continuing through the day on which the public question is submitted to the voters, a political subdivision may not promote a position on the public question by doing any of the following:

(1) Using facilities or equipment, including mail and messaging systems, owned by the political subdivision to promote a position on the public question, unless equal access to the facilities or equipment is given to persons with a position opposite to that of the political subdivision.

(2) Making an expenditure of money from a fund controlled by the political subdivision to promote a position on the public question.

(3) Using an employee to promote a position on the public question during the employee's normal working hours or paid overtime, or otherwise compelling an employee to promote a position on the public question at any time. However, if a person described in subsection (c) is advocating for or against a position on the public question or discussing the public question as authorized under subsection (c), an employee of the political subdivision may assist the person in presenting information on the public question if requested to do so by the person described in subsection (c).

However, this section does not prohibit an official or employee of the political subdivision from carrying out duties with respect to a public question that are part of the normal and regular conduct of the official's or employee's office or agency, including the furnishing of factual information regarding the public question in response to inquiries from any person.

(b) This subsection does not apply to:

(1) a personal expenditure to promote a position on a local public question by an employee of the political subdivision whose employment is governed by a collective bargaining contract or an employment contract; or

(2) an expenditure to promote a position on a local public question by a person or an organization that has a contract or an arrangement (whether formal or informal) with the political subdivision solely for the use of the political subdivision's facilities.

A person or an organization that has a contract or arrangement (whether formal or informal) with a political subdivision to provide goods or services to the political subdivision may not spend any money to promote a position on the public question. A person or an organization that violates this subsection commits a Class A infraction.

(c) Notwithstanding any other law, an elected or appointed official of a political subdivision may:

(1) personally advocate for or against a position on a public question; or

(2) discuss the public question with any individual, group, or organization or personally advocate for or against a position on a public question before any individual, group, or organization, so long as it is not done by using public funds. Advocacy or discussion allowed under this subsection is not considered a use of public funds.

Appendix

Indiana Campaign Finance Forms

- CFA-1** Candidate's Statement of Organization and Designation of Principal Committee or Exploratory Committee
- CFA-2** Political Action Committee or Legislative Caucus Committee Statement of Organization
- CFA-3** Regular Party Committee Statement of Organization
- CFA-4** Report of Receipts and Expenditures
- CFA-5** Notice to Candidate's Committee (of Contributions and Expenditures from Political Committee)
- CFA-11** Supplemental "Large Contribution" Report by a Candidate's Committee (\$1,000 Contribution or More)

Indiana Election Commission Opinions and Policies

Indiana Election Commission Advisory Opinion 2001-01 (Candidate Salaries)

Indiana Election Commission Order 1999-87: Policy Regarding Filing Reports with Election Division by FAX