

ETHICS COMMISSION

2008-2009 Instruction Manual

CAMPAIGN REPORTING

and

FINANCIAL DISCLOSURE

under the

Political Subdivisions Ethics Act

[51 O.S. 2001, §§ 301-325]

for

committees supporting or opposing candidates for
county, municipal or school board office

and

committees supporting or opposing
county or municipal ballot measures

STATE OF OKLAHOMA

Revised OCTOBER, 2007

Legal Authority, Mission, Objectives

In 1995 the Oklahoma Legislature repealed the Ethics Commission Act [74 Oklahoma Statutes 1991, § 4200 et seq.] and adopted the Political Subdivisions Ethics Act [the "PSEA"] now at 51 O.S. 2001, §§ 301-325. The PSEA is still under the jurisdiction of the constitutional Ethics Commission [the "Commission"] with enforcement of school board and municipal elections by local district attorneys. The Commission is made up of five private citizens - one appointed by the Governor, one by the President Pro Tempore of the Senate, one by the Speaker of the House, one by the Chief Justice of the Supreme Court and one by the Attorney General. It employs seven full-time staff members who administer the Constitutional Ethics Rules [the "Rules"], found at 74 O.S. Supp. 2007, Ch. 62 App., § 257:1-1-1 et seq., for state officers, employees and campaigns and the PSEA for local campaigns, county officers and employees. The agency's annual budget for fiscal year 2008 is \$602,960.

The Commission is the repository for registrations, designations of agent, campaign contributions and expenditures reports, and personal financial disclosure statements filed by state and county candidates, as well as lobbyist registrations and reports filed by registered lobbyists. It assesses and collects late fees for reports, etc. not timely filed by state and county candidates as required by the Rules and the PSEA. It receives citizen complaints alleging a violation of the PSEA by county officers, employees or candidates and, upon investigation and hearing, may refer such complaints to the appropriate prosecuting authority for action. Violations of the Rules are prosecuted by Commission staff in district court.

The Commission is charged, under Article XXIX of the Oklahoma Constitution, with promulgating rules of ethical conduct for campaigns for elective state office and for campaigns for initiatives and referenda, including civil penalties for violations of these rules. Its mandated function also includes rulemaking with respect to the ethical conduct of state officers and employees. It is further charged with investigating and prosecuting violations and recommending civil penalties for such in district court.

MISSION

The Ethics Commission promotes public confidence in and the general betterment of government by providing assistance and monitoring of:

- the financial disclosure, official conduct and political activity of public officials and employees;
- the disclosure of campaign financing; and
- the registrations of lobbyists and disclosure of lobbying expenditures.

OBJECTIVES FOR DISCLOSURE OF CAMPAIGN FINANCING

- to assist candidates, committees and party committees to organize and operate their campaigns in an orderly manner according to law;
- to promote disclosure of the financing of election campaigns; and
- to encourage broad participation in campaigns.

Instructions in this manual are provided to assist in the preparation of reports required or regulated by the PSEA. Care has been taken to make these instructions accurate, yet concise. However, these instructions cannot be substituted for the applicable provisions of the PSEA. The PSEA or other laws are controlling in the event of any conflict with or omission in the instructions.

All registrations, reports and statements filed with the Commission, except for complaints or informations, are public records and are available for inspection by the end of the next business day following their receipt. Photocopies of documents may be made upon payment of twenty-five cents [25¢] per page. Office hours are between 8:00 a.m. and 5:00 p.m. Monday through Friday, excluding official state holidays.

Checklist Of Reports And Actions

COVERED ARE: Candidates and committees supporting or opposing candidates.

WHAT TO DO	WHEN
1. <u>Get PSEA, Instructional Manual and forms.</u>	When candidate decides to run for office; When organization, committee or party organizes.
2. <u>File registration [form R-1].</u> [committees]	Within 10 days of receiving or expending more than \$500
3. <u>File designation of agent [form D-1].</u> [candidates and committees]	Within 10 days of receiving or expending more than \$500
4. <u>File financial disclosure statements [form F-1].</u> [county candidates only]	The later of the tenth day following the last day for filing declarations of candidacy ["DOC"] or contributions or expenditures exceeding \$500
5. <u>File contributions and expenditures report [form C-1] or statement of inactivity [form C-3].</u> [candidates and committees]	Between the fourteenth and tenth day before primary; between the fourteenth and tenth day before runoff; between the fourteenth and tenth day before general; between the thirty-first and fortieth day after general; between six months and six months and ten days after general election; and by January 15 of each year thereafter until final report is filed.
NOTE: No reporting is required unless and until \$500 threshold is reached.	
6. <u>FINAL contributions and expenditures report [form C-1].</u> [candidates and candidate committees]	After any election which results in win or loss of office sought; or after general election if name appears on ballot; or after last day for filing DOC's if unopposed; or after name is stricken from the ballot; or after candidacy has been statutorily withdrawn.
7. <u>FINAL contributions and expenditures report [form C-1].</u> [other committees]	Organizations, PAC's, committees -- after it no longer accepts contributions or makes expenditures. Party committees -- after political party dissolves. Status of debts or money owed committee and methods of resolution must continue to be reported until resolved.
8. <u>Financial Disclosure Statement [form F-1]</u> [elected county officials only]	A financial disclosure statement is due between the 30th and 40th day following each general election from elected county officials; if the \$500 threshold is not reached as a candidate, this statement is due from a successful candidate; if one is filed as a candidate, no further statement is required for 2008; another form is due following the general election in 2010.

What's New?

Since the 1996 State and County Elections, there have been no changes in the law. Following are changes reported for the 1996 elections. The Ethics Commission Act [74 O.S. Supp. 2001, § 4200 et seq.] was repealed. In 1995, the Political Subdivisions Ethics Act [51 O.S. 2001, §§ 301-325] was adopted. New criminal provisions affecting local office were also adopted. We urge you to review this complete instructional manual with special attention to the new requirements. Some of the 1995 law is summarized below:

1. No registrations, campaign reports or personal financial disclosure statements are required of candidates until their campaign exceeds either \$500 in contributions or expenditures; expenditures from the candidate's own fund to further the campaign apply toward the \$500 threshold;
2. County candidates in counties which exceed 250,000 in population may now receive a maximum of \$5,000 [formerly \$1,000] from an individual/family for their campaign; all other county candidates have a maximum contribution limit of \$1,000;
3. Exceeding the contribution limit by \$5,000 or more is a felony with a potential fine up to four times the amount exceeding the contribution limitation or by imprisonment in the State Penitentiary up to one year or by both; exceeding the contribution limit by less than \$5,000 is a misdemeanor with a potential fine of not more than three times the amount exceeding the contribution limitation or \$1,000, whichever is greater, or by imprisonment in the county jail for up to one year or by both;
4. A corporation which contributes an amount to a candidate's campaign or a committee supporting or opposing candidates in excess of \$5,000 is guilty of a felony with a potential fine up to four times the amount of the prohibited contribution or by imprisonment in the State Penitentiary for up to one year or by both; a corporation which contributes \$5,000 or less is guilty of a misdemeanor punishable by a fine of not more than three times the amount of the prohibited contribution or \$1,000, whichever is greater, or by imprisonment in the county jail for up to one year or by both;
5. No public officer [which includes an elected or appointed municipal, school board, county or state official] shall directly or indirectly coerce, attempt to coerce, command, advise or direct any state employee to pay, lend or contribute any part of his or her salary or compensation, time, effort or anything else of value to any party, committee, organization, agency or person for political purposes. Any person convicted of willfully violating these provisions shall be guilty of a felony and shall be punished by the imposition of a fine of not more than Ten Thousand Dollars (\$10,000.00) or by imprisonment for not longer than two (2) years, or by both said fine and imprisonment. [21:360]

Reports

EC FORM		WHAT IT CONTAINS	WHO FILES	WHEN DUE
D-1	Designation of Agent	Candidacy information and name of agent who can accept contributions, make expenditures and file reports	Candidates; Committees	Within 10 days of accepting contributions or making expenditures in excess of \$500 during the campaign (candidate committees) or calendar year (other committees)
R-1	Registration of Committees	Purpose of organization, committee or party, officers, name of agent, bank, etc.	Committees	Within 10 days of accepting contributions or making expenditures in excess of \$500 during the campaign (candidate committees) or calendar year (other committees)
C-1	Contributions and Expenditures Report	Receipts and expenses for campaign or calendar year	Candidates; Committees	Between 10th and 14th day before primary Between 10th and 14th day before runoff Between 10th and 14th day before general Between 31st and 40th day after general Between 6 mo and 1 day & 6 mo & 10 days after general election Between Jan 1 & 15 of each year thereafter
C-3	Statement of Inactivity	No receipts or expenses during reporting period	Candidates; Committees	Filed in lieu of C-1 if no activity; Same as C-1 above
F-1	Financial Disclosure Statement	Sources of income by category or industry, personal info, stock, honoraria and lobbyist doing business with	County Candidates; Other Elected County Officials	The later of the 10th day following the last day for filing declarations of candidacy or receiving or expending \$500; By the 40th day after each general election;

Reports may be filed by mail but must be received by the Commission not later than 5:00 p.m. or faxed by midnight on the final day specified for filing in order to be deemed timely. Reports and statements may be "faxed" on or before midnight of the final day to the number below. If faxed, please do not mail original. The fax alone suffices.

SEND REPORTS TO:

County Candidates and Ballot Questions: Ethics Commission, 2300 North Lincoln Blvd, Room B5
Oklahoma City, Oklahoma 73105-4812
(405) 521-3451 • FAX: (405) 521-4905

Municipal Candidates and Ballot Questions: Clerk of the Municipality

School Board Candidates: Clerk of the Board of Education

PLEASE USE FULL NAME – Last, First, Middle – ON ALL REPORTS
INCLUDE MAILING ADDRESS, CITY, STATE AND ZIP FOR IDENTIFICATION

**OKLAHOMA ETHICS COMMISSION [“OEC”]
2008 – 2009 County Election and Disclosure Due Dates**

County Election Cycle

File Declarations of Candidacy	June 2-3-4, 2008
Primary Election	July 29, 2008
Runoff Primary Election	August 26, 2008
General Election	November 4, 2008

COUNTY CAMPAIGN REPORTING DATES

All Committees Supporting or Opposing County Candidates [county commissioners, sheriffs, treasurers, assessors, clerks and court clerks]

R-1 Due* within 10 days of accepting or expending in excess of \$500 during a calendar year
D-1 Due* within 10 days of accepting or expending in excess of \$500 during the campaign
for candidates or candidate committees and during a calendar year for other committees

- *Pre-Primary Election C-1 or C-3 Due [1st contribution or expenditure-7/14/2008] July 15–21, 2008
- *Pre-Runoff Primary Election C-1 or C-3 Due [7/15/2008 to 8/11/2008] August 12–18, 2008
- *Pre-General Election C-1 or C-3 Due [8/12/2008 to 10/20/2008] October 21–27, 2008
- *Post General Election C-1 or C-3 Due [10/21/2008 to 12/4/2008] December 5–15, 2008
- *Annual Supplemental C-1 or C-3--2004 & 2006 Candidates [1/1/2007 to 12/31/2007] January 2–15, 2008
- *Six Month Supplemental C-1 or C-3 Due--2008 Candidates[12/5/2008 to 5/4/2009] May 5–14, 2009
- *Annual Supplemental C-1 or C-3 Due--2006 Candidates [5/5/2009 to 12/31/2009] January 2–15, 2010
- *Annual Supplemental C-1 or C-3--2004 & 2006 Candidates [1/1/2009 to 12/31/2009] January 2–15, 2010

*County candidates are not required to file any designation, registration or report unless and until they accept or expend in excess of \$500 during their campaigns.

FINANCIAL DISCLOSURE BY COUNTY CANDIDATES AND COUNTY OFFICERS

Financial Disclosure Statements

F-1 Due [county election board members for calendar years 2006 & 2007]	April 30, 2008
F-1 Due [no extension allowed for candidates/for calendar years 2007 & 2008]– required only if candidate accepts or expends in excess of \$500	June 16, 2008
F-1 Due [county officers for period since last F-1 was filed]	December 15, 2008
Request for Extension [if needed] Due	December 5–26, 2008
F-1 with Extension Due	January 14, 2009

**ALL PRE-ELECTION REPORTS MUST BE FILED BY ALL 2008 COUNTY
CANDIDATES WHO HAVE EXCEEDED \$500 IN CONTRIBUTIONS
OR EXPENDITURES, INCLUDING CANDIDATES WHO DO NOT
APPEAR ON THE BALLOT(S), UNTIL A FINAL REPORT IS FILED**

FOR MOST CURRENT INFORMATION SEE <www.ethics.ok.gov>

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Introduction

The purpose of campaign reporting under the Political Subdivisions Ethics Act is to inform citizens of the financing of political campaigns. The law requires reporting of all contributions and expenditures. Detailed reporting of contributions of \$200 or less is not required.

All candidates and committees subject to the Ethics Commission Act must designate an agent ["Form D-1"] once they collect or spend in excess of \$500. A county candidate must also file a financial disclosure statement ["Form F-1"] within ten days of filing a declaration of candidacy or exceeding \$500 in activity, whichever is later.

Campaign reporting is not difficult. The designated agent, who may be the candidate, must keep a detailed account of receipts and expenditures if accurate reports are to be made. Campaign reporting ["Form C-1"] does not begin until 10 to 14 days prior to any election.

THE KEYS TO CAMPAIGN REPORTING

1. Keep detailed records of each contribution and expenditure.
2. Send reports on time. Your report will be on time if it is received by mail, "faxed" or hand delivered on or before 5:00 p.m. of the final day for filing the report, or faxed by midnight of the final day.

Type or write clearly in black ink on all reports. Use 8 ½ x 11 inch plain white paper for attachments and enclosures. Place the candidate or committee name and election year at the top and number each page. Use the same headings to answer questions as used on the form(s).

Please do not use pencil, light colored ink or oversized or continuous computer paper. We cannot reproduce those reports in a timely manner to meet our many demands or requests for copies.

We welcome your suggestions for additions or changes to these instructions. Direct them to:

Ethics Commission
2300 North Lincoln Blvd, Rm B5
Oklahoma City, OK 73105-4812
(405) 521-3451 • FAX (405) 521-4905

E-mail: Marilyn.Hughes@ethics.ok.gov
Rebecca.Adams@ethics.ok.gov
Darey.Roberts@ethics.ok.gov
Patti.Bryant@ethics.ok.gov
Martin.Miller@ethics.ok.gov
Janice.Gafford@ethics.ok.gov
Merlyn.Rios@ethics.ok.gov

Website: www.ethics.ok.gov

Most Frequently Asked Questions

Question: What reporting is required of a candidate who runs for an elective office?

Answer: Designation of agent [form D-1] – must be filed once a candidate receives contributions or makes expenditures exceeding \$500. Any person can be designated as an agent, including the candidate him or herself. Any person who receives campaign contributions must be designated as an agent or subagent.

Financial disclosure statement [form F-1] – is due from county candidates only on or before the tenth day after the last date for filing declarations of candidacy from candidates who have exceeded \$500 in contributions or expenditures; if not filed as a candidate, the form is due from the winner of the office only between the 30th and 40th day following the General Election.

Registration of committee [form R-1] – is required only if the candidate is going to have a committee handle his or her campaign. It is due within 10 days of receiving or expending more than \$500.

Campaign contributions and expenditure report [form C-1] -- until a "FINAL" report is filed, is due 10 to 14 days prior to the Primary, Runoff Primary and General Election; 31 to 40 days after the General Election; six months and 10 days after the General Election and by January 15 of each year thereafter. A "FINAL" report may be submitted at any stage in the reporting process subject to when and if the candidate's name appears on a ballot; it concludes all campaign reporting requirements.

Question: Must a candidate form a candidate committee, and what reporting is required of candidate committees?

Answer: A candidate committee is not necessary; however, if one is formed, the committee should, in lieu of the candidate, file all reports listed in the answer to question number 1 except for the financial disclosure statement.

Question: What reporting is required of other committees?

Answer: Registration [form R-1] is filed within 10 days of receiving or expending more than \$500. Designation of agent [form D-1] is filed at the same time as the R-1.

Campaign contributions and expenditures reports [form C-1] are due 10 to 14 days prior to the Primary, Runoff Primary and General Election, 31 to 40 days after the General Election, six months and 10 days after the General Election and by January 15 of each year thereafter.

Question: What are agents/subagents?

Answer: Agents/subagents are responsible for receiving and expending contributions. Agents are the official recipient of all notices, forms, letters of instruction, etc. from the Ethics Commission. Each agent/subagent is required to maintain written records of all contributions and expenditures handled by him/her.

Question: Can the candidate be his or her own agent/subagent?

Answer: Yes, and if so, should be listed on the D-1 form as the designated agent or a subagent.

Question: On the designation of agent form, what is "position number"?

Most Frequently Asked Questions Cont'd

Answer: This would only pertain to candidates running for positions such as county commissioner, school board member, city council, etc. which can not be fully defined by just district/city/county.

Question: On the financial disclosure statement form, what filing status do I check if I am a candidate but I am also on a board or commission or am a current officeholder, etc.?

Answer: The filing status checked should be for the reason that you are filing at that time (e.g. if you are required to file the F-1 because you are a candidate, but you are also presently an officeholder, you should check "candidate" because that is why you are filing at that time).

Question: On the financial disclosure statement form, what do I put under "position title"?

Answer: If you are an elected official, list your title; if you are a candidate, list the office sought.

Question: On the Financial Disclosure Statement form, do I have to list the "amount" of income I receive, and if I am a state employee, do I list my state salary?

Answer: No, do not list the amount of income you receive; only the category or industry from which it is received is required. All state officials, employees, etc. who receive \$1,000 or more annually from the state should list state government as a category.

Question: On the financial disclosure statement form, do I include my spouse's income?

Answer: The statute does not specifically ask for your spouse's or your dependents' income; therefore, it is not required.

Question: What does "doing business with" the state or county mean?

Answer: "Doing business with" means contracting with the state to sell them goods or services. It does not include employment.

Question: Do any of the reporting forms have to be notarized?

Answer: The campaign contributions and expenditures report or statement of inactivity must be notarized; Forms D-1, R-1 and F-1 do not require notarization.

Question: Where do I file reports?

Answer: **County candidates and or county ballot measure committees and committees supporting or opposing them.** All reports are filed with the Ethics Commission, 2300 North Lincoln Blvd, Room B5, Oklahoma City, OK 73105-4812, FAX (405) 521-4905. When a committee also contributes to a school board or municipal candidate, a copy of the report filed with the Ethics Commission should also be filed with the clerk of the board of education or the municipal clerk, whichever is applicable.

School board candidates and committees supporting or opposing them. All reports are filed with the clerk of the board of education for the district in which they are running.

Municipal candidates and committees supporting or opposing them. All reports are filed with the local municipal clerk of the municipality for which the office is sought.

Question: What happens if a required report is not timely filed?

Most Frequently Asked Questions Cont'd

Answer: Failure to file required campaign designations, registrations or reports is a misdemeanor punishable by the imposition of a fine of not more than \$1,000 or by confinement in the county jail for not more than 6 months. Also, during this election cycle, late filing fees will be assessed county candidates and committees supporting or opposing them for campaign reports of \$25 per day up to a maximum of \$250 for each report and \$10 per day for filing a late financial disclosure statement up to a maximum of \$100 for each statement; \$100 per day will be assessed for each campaign report of committees supporting or opposing an initiative or referendum petition up to a maximum of \$1,000.

Question: After an election, what can a candidate do with unused campaign funds?

Answer: Within 48 months of the date of the general election for which campaign funds were received, a candidate must dispose of unused funds by using them for nonreimbursed officeholder expenses or political or community activity, returning them to contributors pursuant to any formula approved by the candidate, donating them to the campaign of any other political subdivision candidate or party recognized by the State Election Board, donating them to a charitable organization qualified for a tax exemption pursuant to provisions of the Internal Revenue Code, or retaining them for a future election.

Question: What are the maximum contribution limits?

Answer: \$1,000 to a local candidate for an entire campaign, except that county and municipal candidates or candidate committees of such candidates in a county or municipality with more than 250,000 population may receive \$5,000 for an entire campaign.

Corporate contributions to candidates, candidate committees, political parties, or organizations or committees supporting or opposing candidates are prohibited. However, corporations are allowed to pay the administrative expenses of their own separate segregated fund.

Question: As a candidate, if I receive contributions from a corporation, what should I do?

Answer: Return the contribution to the corporation.

Question: How does a candidate end a previous campaign and start a new one?

Answer: When a candidate's name will no longer appear on any ballot and he/she determines that no more contributions will be received nor expenditures made for the campaign, a C-1 report marked "Final" can be filed, including a list of the material assets worth \$50 or more, and detail of their disposition. If a campaign or committee owes a debt, the committee may dissolve, but must report the status of the debts on the same dates as campaign contributions and expenditures reports would be due until all debts are resolved. Methods of resolution must also be detailed. [51:314(E)(5)]

Once a previous campaign has ended and more than \$500 is received or spent toward a new campaign, a candidate must file a new designation of agent (D-1). The first C-1 report is due 10 to 14 days before the Primary Election.

Question: How do I report the filing fee for running for office?

Answer: Filing fees are reported as expenditures under "miscellaneous" even when paid by the candidate. They do not constitute "activity" which would prevent a candidate or committee from filing a "statement of inactivity" [form C-3].

Most Frequently Asked Questions Cont'd

Question: How do I file a complaint?

Answer: Complaint forms are available at the Ethics Commission office or on its website. A respondent must be named in the complaint, along with the Section(s) of the Act about which the violation is asserted and the date of the alleged violation. All complaints must be signed and verified. No complaints may be filed by a candidate or by any person in connection with a campaign for state or county office between the filing period for declarations of candidacy and certification of the election results. Complaints concerning school board or municipal candidates can only be filed with the appropriate district attorney.

Question: If a candidate or committee has not received any contributions or made any expenditures, are they still required to file reports?

Answer: No.

Question: What constitutes a candidate committee?

Answer: A candidate committee is an entity of one or more persons [it may be the candidate only] which is designated by the candidate to promote his or her candidacy; the candidate committee's agent and any subagents receive and expend all funds for the campaign.

Question: Can a candidate loan money to the campaign, then be reimbursed after contributions are received?

Answer: Yes. However, although money the candidate contributes to the campaign is not considered a contribution, the expenditures for which the money is spent are reported on the C-1 report as "Expenditures". The statute does not specifically address how to report a loan by a candidate, however the Ethics Commission recommends that an attachment be made listing the amount of the loan and its terms. Interest rates should be no greater than lending institutions would offer for similar loan amounts.

Question: What financial records should be kept by candidates or committees?

Answer: Detailed records of the date contributions are accepted, the contributor's name, address and amount should be maintained along with receipts for expenditures and bank records. Campaign funds should be kept in a separate bank account and not be commingled with other funds. Records should be kept for a minimum of three years for IRS purposes and two years for Commission purposes.

Question: Do school board candidates and municipal candidates submit financial disclosure statements?

Answer: No. Only county candidates and elective officers are required to file financial disclosure statements with the Ethics Commission. Municipal candidates should also check their own ordinances for additional requirements by municipalities.

Violations--Complaints--Penalties

Violations of the Political Subdivisions Ethics Act and the criminal provisions carry criminal penalties. These are as follows:

ASSESSMENTS FOR LATE FILINGS [51 O.S. 2001, § 317]

The Commission can assess up to \$100 for each day a campaign designation of agent, registration or report remains unfiled up to a maximum of \$1,000. For the 2006 elections, the Commission has set the following late fees:

Candidates or candidate committees	\$25 per day up to \$250 per report
[for county office only]	\$1.00 per day up to \$100 for designations or registrations
Ballot Measure committees	\$100 per day up to \$1,000 per report
[county only]	\$100 per day up to \$1,000 for designations or registrations

Late Fees May Not Be Paid From Candidate or Candidate Committee Funds

COMPLAINT PROCEDURE AND REFERRAL FOR PROSECUTION [51 O.S. 2001, § 307]

Where and how to file a complaint. A complaint alleging a violation by persons, committees, candidates, public officials or public employees of county government are filed with the Ethics Commission. Complaints alleging a violation by a candidate for other local office [municipal or school board] are filed with the district attorney of the county in which the violation is alleged to have occurred. Complaints received by the Commission must be in writing and sworn to as true. The Executive Director of the Commission is charged with assisting a complainant [person alleging a violation] with his or her complaint.

Prohibited disclosure of complaints. The contents of a complaint, the intention to file a complaint, the fact that a complaint has been filed, or knowledge of another person's intention to file a complaint may not be disclosed except by the person alleged to have committed the violation [respondent]. Once the respondent so discloses, the entire record, materials and proceedings before the Commission concerning the complaint become open to the public. The penalty for prohibited disclosure is a misdemeanor carrying up to a \$10,000 fine.

Moratorium on complaints. No complaint concerning a violation of campaign reporting can be filed with, received by or initiated by the Commission during the period from the first day for filing declarations of candidacy and ending on the day after certification of the results of the election at which the office is filled.

Hearings. Hearings held pursuant to a complaint are held in executive session and are reflected on the Commission agendas by number only. A record of the hearing may be obtained at a reasonable cost.

Potential action by Commission. The Commission may enter into a conciliation agreement at any time during the proceedings. Upon conclusion of the hearing, the Commission may dismiss the complaint, attempt a conciliation with a civil fine up to \$2500, or, if the Commission finds the alleged violation was knowingly and willfully committed, refer it to the appropriate authority for prosecution. A conciliation agreement which has been violated may also be referred for prosecution. If the prosecuting authority declines to prosecute, the record remains confidential.

PENALTIES--DEPOSITED TO GENERAL REVENUE FUND [51 O.S. 2001, § 307(Q)]

Violations of most provisions of the PSEA carry a criminal penalty with a \$1,000 fine and up to six months in the county jail or both. Penalties are deposited with the State Treasurer to the credit of the General Revenue Fund.

Contributions

WHAT IS A COMMITTEE?

A "committee" is a candidate committee, political action committee, political party, or organization.

An "organization" is a corporation, government or governmental subdivision or agency, business trust, estate, trust, partnership or association, union, education or action group or committee or entity with two or more persons *having a joint or common political interest* [EI-95-011 held italicized language to include issue or ballot measure committees].

A "political action committee" is a combination of at least two individuals, or a person other than an individual with the primary or incidental purpose of [incidental omitted in 51:304(22)]:

- supporting or opposing a candidate or political party, except those required to file with the Federal Election Commission, or
- supporting or opposing a ballot measure [omitted in 51:304(22); included in 21:187(13)], and

which accepts contributions or makes expenditures aggregating at least \$200 [\$500 in 21:187(13)] during a calendar year. [51:305(22)] **Please note that registration is not required until the threshold of \$500 is reached.**

A "political party" is any political party so recognized for the purpose of having candidates appear on the ballot.

WHAT IS A CONTRIBUTION?

Contribution includes any money, property, or in-kind services, including but not limited to, printing or engraving, radio or television time, billboards, advertising, subscription, forgiveness of indebtedness, personal or professional services or any other thing of value whatsoever which is given or loaned to be used in a campaign.

The term contribution does *NOT* include:

- a. money loaned to a candidate in connection with his own campaign by a bank, savings and loan association or credit union which is to be repaid with interest at a rate comparable to that of loans for equivalent amounts for other purposes;
- b. the value of services provided without compensation by individuals volunteering a portion or all of their time on behalf of a candidate, organization, political action committee, or political party;
- c. for purposes of the contribution limits set forth in Section 187.1 of Title 21 of the Oklahoma Statutes, the transfer of any funds by a political action committee to another political action committee, provided the committee has been established as provided by law if the transferring committee and the receiving committee have been established, directly or indirectly, and are administered or financially supported, directly or indirectly, by a common organization; or
- d. any payment or obligation incurred by a corporation, labor organization, membership organization, cooperative or corporation without capital stock for the establishment, administration, and solicitation of contributions to a separate segregated fund or political action committee to be utilized for political purposes.

Contributions other than money have a dollar value equivalent to the fair market value of the contribution. Sums paid for tickets for a political event such as a reception, rally, or a similar fundraising event are contributions; however, the amount of any such contribution may be reduced for the purpose of complying with the reporting and contribution limitation requirements [21:187] by the actual cost of consumables furnished by the committee in connection with the purchase of the tickets, and only the excess over the actual cost of the consumables will be deemed a contribution. If included as contributions, the cost of consumables should also be reported as an expenditure so as not to inflate the amount of available funds.

MAXIMUM CONTRIBUTIONS

Applicable Definitions

A **calendar year** begins January 1 and ends December 31. Maximum contributions of \$5,000 per person or family may be accepted by committees other than candidate committees during each calendar year.

A **campaign** is all activities for or against the election of a candidate to a specific local office for a specific term or the passage or defeat of a county or municipal ballot measure from the date of the first contribution, the making of the first expenditure, the filing of a declaration of candidacy or a public announcement of intent to seek such election, whichever is first.

Family means an individual, his or her spouse, if any, and all children under the age of eighteen (18) years residing in the same household.

Person means an individual, corporation, association, proprietorship, firm, partnership, limited partnership, joint venture, joint stock company, syndicate, business trust, estate, trust, company, organization, committee, or club, or a group of persons who are voluntarily acting in concert.

Maximum contributions to county and municipal candidates

Counties with over 250,000 persons

A person or family may give a maximum contribution of \$5,000 to a county or municipal candidate, or to a candidate committee authorized by such a candidate to receive contributions or make expenditures on his behalf, of a municipality or county with a population of over 250,000 persons. This amount may be given only once for each campaign.

Other counties [250,000 persons or less]

A person or family may give a maximum contribution of \$1,000 to a county or municipal candidate, or to a candidate committee authorized by such a candidate to receive contributions or make expenditures on his behalf, of a municipality or county with 250,000 or less persons. This amount may be given only once for each campaign.

Maximum contributions to school board candidates

A person or family may give a maximum contribution of \$1,000 to any school board candidate of any district. This amount may be given only once for each campaign.

Maximum contributions to other committees

A person or family may give a maximum contribution of \$5,000 to any committee, other than a candidate committee, organized to support or oppose local [county, municipal or school board] candidates. This amount may be given once each calendar year.

A person or family may give an unlimited amount to any committee organized solely to support or oppose county or municipal ballot measures.

Candidates or committees prohibited from receiving more than maximum contributions

No candidate or committee may receive more than the maximum allowable contribution from any person or family. [21:187.1(A)]

New criminal penalties

Persons other than corporations exceeding the maximum contribution limits or corporations violating the corporate prohibition on contributions by up to \$5,000, upon conviction, is a misdemeanor punishable by a fine of not more than three (3) times the amount exceeding the contribution limit or \$1,000, whichever is greater, or imprisonment in the county jail for up to one (1) year or both.

Persons other than corporations exceeding the maximum contribution limits or corporations violating the corporate prohibition on contributions by \$5,000 or more, upon conviction, is a felony punishable by a fine of not more than four (4) times the amount the excessive amount or imprisonment in the state penitentiary for up to one (1) year or both.

CASH CONTRIBUTIONS

Committees are prohibited from giving cash contributions to candidates or other committees. All contributions to other campaigns [in the form of expenditures] given by committees must be by written instrument containing:

1. the name of the donor; and
2. the name of the payee.

LOANS

Funds loaned to the candidate or candidate committee by a bank, savings and loan association or credit union, and on the candidate's own behalf [candidate's assets are the sole collateral], are not considered as contributions by the financial institution. Funds guaranteed or loaned by any other person are reported as contributions and are subject to the maximum allowable contribution limits.

CORPORATE CONTRIBUTIONS TO CANDIDATE CAMPAIGNS PROHIBITED

Corporate contributions to candidates or to committees which support or oppose candidates or to campaign funds of political parties are prohibited. Campaign loans from corporations are prohibited except from a bank, savings and loan association or credit union. Such loans must bear the usual and customary market terms of the institution for loans of equivalent amounts.

CORPORATE CONTRIBUTIONS ALLOWED

Corporations are allowed to contribute:

1. to committees formed solely to support or oppose any issue or ballot measure;
2. administrative expenses to the corporation's own separate segregated fund [political action committee].

COMMITTEE SOLICITATIONS AND FUNDS

There are no statutory provisions in the PSEA relating to committee solicitations and funds; however, if a committee also gives contributions to state candidates, see Section 257:10-1-2(d) of the Rules of the Ethics Commission, 74 O.S. Supp. 2005, Ch. 62 App. and 51 O.S. 2001, § 325(B)(2).

USE OF CAMPAIGN CONTRIBUTIONS

Contributions received by any candidate shall be used for:

1. any campaign expenditures;
2. any ordinary and necessary unreimbursed expenses incurred by the person in connection with his duties as a holder of public office;
3. use in a future campaign;
4. political activity; or
5. community activity.

Contributions and any interest income earned on contribution accounts, which are not used in the above manner within 48 months of the General Election, shall be:

1. returned to the contributors pursuant to any formula approved by the candidate; provided, any amount returned to a contributor shall not exceed the amount of the original contribution;
2. donated to the campaign of any other political candidate or to any political party officially recognized by the State Election Board;
3. donated to a charitable organization qualified for a tax exemption pursuant to the provisions of the Internal Revenue Code; or
4. retained by the candidate or candidate committee for use in a future election.

There are no statutory provisions on use of contributions by other committees; however, if a committee also supports or opposes state candidates or ballot measures, see Section 257:10-1-20 of the Rules of the Ethics Commission, 74 O.S. 2005, Ch. 62 App. and 51 O.S. 2001, § 325(B)(2).

SOLICITATIONS FOR CANDIDATE

No committee shall solicit, accept or make a contribution on behalf of any individual candidate without the expressed permission of the candidate. Once a committee or campaign has accepted or expended \$500, no person shall act as any agent or as a subagent for a candidate until his or her designation is filed in the Commission office.

FICTITIOUS NAMES PROHIBITED

No fictitious names shall be used on the reports. The reports must show the correct name of the person actually making the contribution.

CONTRIBUTIONS BY FOREIGN NATIONALS PROHIBITED UNDER FEDERAL LAW

Foreign nationals may not make contributions or expenditures in connection with any United States election either directly or through another person. [11 CFR 110.4(a)(1)].

SPECIAL RULES ON STATE EMPLOYEE CONTRIBUTIONS

Applicable definitions. A *public employee* is any person who is employed by and receives compensation from any governmental entity, but does not include independent contractors or public officials. [51:304 (24)]

A *public official* is an elected or appointed official in the executive or legislative branch of a political subdivision of the state. [51:304(25)]

A *state employee* is an elective or appointed officer or an employee of any state governmental entity, except members of the House of Representatives or State Senate, and an employee, other than an adjunct professor, in the service of an institution of higher education comprising the Oklahoma State System of Higher Education. A state employee does not include a compensated or uncompensated part-time position on a board, commission, council, authority, bureau, committee, state beneficial trust, or other establishment of the executive, legislative or judicial branch of the State of Oklahoma. [257:1-1-2 (defn. of "state employee")]

Prohibition. No public employee or public officer shall directly or indirectly coerce, attempt to coerce, command, advise or direct any state employee to pay, lend or contribute any part of his or her salary or compensation, time, effort or anything else of value to any party, committee, organization, agency or person for political purposes. No public employee or official shall retaliate against any employee for exercising his or her rights or for not participating in permitted political activities as provided in Ethics Commission Rule 10-1-4. Any person convicted of willfully violating these provisions shall be guilty of a felony and shall be punished by the imposition of a fine of not more than Ten Thousand Dollars (\$10,000.00) or by imprisonment for not longer than two (2) years, or by both said fine and imprisonment. [21:360]

Accounting

Keeping Books.

The designated agent [usually also the campaign treasurer] and any designated subagents are required to keep books showing all contributions and expenditures.

The Ethics Commission may require by subpoena the production of any books, papers, records or other items relevant to the performance of its duties or exercise of its powers.

Although the Statute of Limitations on enforcement proceedings is two years, we suggest these records be maintained for at least three years from the final report to satisfy both state and federal requirements.

Banks and Banking.

A committee must list all of its banks, safe deposit boxes or other depository.

Account name: There is no requirement of an account name specified by law. We suggest you use your committee or candidate's name and office sought.

Tax liability: The bank will report interest paid on the account to the IRS. Consult the IRS, your accountant or tax advisor regarding tax liability or requirement to file a tax return.

Designating an Agent

CANDIDATES FOR LOCAL OFFICE

A county candidate or candidate committee must designate an agent to receive contributions and make expenditures within 10 days of accepting or spending in excess of \$500. The designation of agent [“form D-1”] is filed with the Ethics Commission.

A municipal or school board candidate or candidate committee must also designate an agent within 10 days of accepting or spending in excess of \$500. The form D-1 is filed with the municipal clerk by municipal candidates and the clerk of the board of education by school board candidates. A person seeking municipal office who does not file a declaration of candidacy with a county election board is not considered a candidate and has no reporting obligations under the PSEA.

WITHDRAWAL

A person who withdraws a notification or declaration of candidacy before the statutory deadline and has not exceeded \$500 in contributions or expenditures is no longer a candidate and has no filing obligations; however, if that person has accepted or expended more than \$500, reports must be filed until any unused contributions have been disbursed according to the requirements. A FINAL C-1 report is required and may be filed at any time following your withdrawal.

COMMITTEES

A committee must designate an agent [file a form D-1] with the Ethics Commission within 10 days of accepting or expending in excess of \$500 in support or in opposition to a county candidate or county ballot measures.

Although an organization may be primarily organized for a civic or other purpose, it becomes a committee required to designate an agent and register if it accepts contributions or dues in excess of \$500 for supporting or opposing election campaigns.

A committee must designate an agent with the municipal clerk [and file a registration] once they accept contributions or make expenditures in excess of \$500 in support of or in opposition to a municipal or a municipal ballot measure and with the clerk of the board of education if in support of or opposition to a school board candidate.

A committee must also register at the same time as designating an agent by filing a form R-1 [registration: committees (see section titled Registration)].

EXEMPT FROM REPORTING

Out-of-state committees which receive contributions and which contribute to Oklahoma campaigns or committees only through an affiliated Oklahoma committee, other than a candidate committee, that already registers and files reports of contributions and expenditures with the appropriate repository is exempt from designating an agent, registering and filing campaign reports.

FORM D-1: Designation Of Agent

TYPE OR PRINT CLEARLY IN INK. REPORTS MAY BE COPIED BY THE PUBLIC. USE BLACK INK. OTHER COLORS DO NOT PHOTOCOPY WELL.

	<u>Explanation</u>
<u>Candidates.</u>	Include candidate's first, middle and last name, the business address he or she will be using during the campaign and his or her residential address.
<u>Committee or Party.</u>	List complete name of committee or party and any acronym commonly used. For example, "Politically Active School Teachers" [PAST].
<u>Filing Status.</u>	Check either candidate, candidate committee, political action committee, political party or agent. Fill in the blank to the right of the line you checked. <u>Candidate or Candidate Committees only.</u> Give the title of the office the candidate is seeking. Give the position number [e.g. Office 3 or Ward 4], if any. Give the district [e.g. Independent District 104 or House District #4], the county [if applicable] and the city [if applicable] of your candidacy. Fill in the date of your primary election [if applicable], your run-off primary election [if applicable] and your general election [applicable to all candidates].
<u>Designation of Agent.</u>	Fill in the name of the person [may be the candidate] who will receive contributions and make expenditures for your candidacy or the committee.
<u>Designation of Subagent.</u>	The chairperson or designated agent may designate as many subagents as he or she deems fit. Attach additional copies of this form for more than five subagents and continue under the same item. Fill in name and address of candidate or committee on each attached copy.
<u>Removal.</u>	Fill in name of any agent or subagent(s) being removed as such and give the beginning and ending date of their term of service.
<u>Signature.</u>	Sign your name and give the date to certify that the information given is correct. If the candidate is designating an agent or subagent, the candidate signs. If a committee is designating an agent, the chairperson signs. If an agent is designating subagents, the agent signs.

DESIGNATION OF AGENT

FORM
D-1
10/07

Please type or print clearly in ink.

NAME OF CANDIDATE OR COMMITTEE: (Do not abbreviate)

Mary Pauline Brown

Business Address (Street or Box, City, State, Zip)

100 Main Street, Anyplace, OK 73199

CHECK YOUR FILING STATUS: (mark only one box)

<input checked="" type="checkbox"/> A CANDIDATE OR CANDIDATE COMMITTEE.	Name of candidate Mary Pauline Brown
<input type="checkbox"/> A POLITICAL ACTION COMMITTEE.	Name of Corporation or Organization:
<input type="checkbox"/> A POLITICAL PARTY.	Central Committee/District/County/Club:
<input type="checkbox"/> AN AGENT.	Name of candidate or committee represented:

Candidate or Candidate Committees only: (fill in each applicable blank)

Office Title: County Commissioner	Position Number: 2	District/City/County Grassland County
Date of Primary Election: July 29, 2008	Date of Runoff Primary Election: August 26, 2008	Date of General Election: November 4, 2008

DESIGNATION OF AGENT:

NAME Tony Patrick Johnson	DAYTIME PHONE NO. (405) 555-2222
ADDRESS 400 "C" Street	CITY Anyplace
STATE OK	ZIP 73199

DESIGNATION OF SUBAGENTS:

NAME	ADDRESS	DAYTIME PHONE NUMBER

AGENT/SUBAGENTS REMOVED:

NAME	TERM OF SERVICE (from date of appointment to present)

CERTIFICATE: I certify that the above information is true, complete and correct.

Candidate, Chairman or Agent's Signature (person serving as appointing authority) x Mary Pauline Brown	Date 3/31/08
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INSTRUCTIONS

Please consult Sections 301 through 325 of Title 51 of the Oklahoma Statutes when completing this report.

WHO MUST FILE:

County, municipal and school board candidates who accept contributions or make expenditures exceeding \$500 during a campaign
 Committees (supporting or opposing county, municipal/school board or county/municipal issues) which accept contributions or make expenditures exceeding \$500 in the aggregate in a calendar year

WHERE TO FILE:

Municipal Candidates/Issues:
 Municipal Clerk
School Board Candidates:
 Clerk of the Board of Education
County Candidates/Issues: Ethics Comm.

WHEN TO FILE:

Within 10 days of receiving contributions or making expenditures in excess of \$500; and
 Immediately after any change in the information reported

WHERE TO CALL WITH QUESTIONS:

Ethics Commission
 (405) 521-3451

WHO TO DESIGNATE:

Candidates may designate any person [except county candidates cannot designate classified state employees] including the candidate. Committee may designate any person [other than a classified state employee] as its agent or subagent. A candidate or an agent may designate as many subagents as he/she deems fit.

RESPONSIBILITY OF AGENTS/SUBAGENTS:

Agents/subagents shall be responsible for receiving and expending contributions. Each agent/subagent shall maintain written records of all contributions and expenditures handled by him/her. The written records shall be the property of the candidate or committee and shall be delivered to such immediately upon demand or removal of the agent/subagent.

MAXIMUM CONTRIBUTIONS to local candidates or organizations, committees or parties supporting or opposing them:

<p>From a person or family: \$5,000 annually to an organization, committee or party \$1,000 for an entire campaign to a local candidate \$5,000 for an entire campaign to a municipal or county candidate or candidate's committee in a municipality or county with more than 250,000 population</p>	<p>From an Organization, Committee or Party: \$5,000 annually to another committee \$1,000 for an entire campaign to a local candidate \$5,000 for an entire campaign to a municipal or county candidate or candidate's committee in a municipality or county with more than 250,000 population</p>
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CONTRIBUTIONS to organizations/committees formed to support or oppose local issues or ballot measures: NO LIMIT

CORPORATE CONTRIBUTIONS:

Contributions to candidates, candidate committees or political parties	Prohibited
Contributions to organizations or committees supporting or opposing candidates	Prohibited
Contributions to organizations or committees supporting or opposing local issues/ballot measures	Allowed
Administrative expenses to its own separate segregated fund	Allowed

OTHER REPORTS REQUIRED:

R-1 (registration of organizations, committees and parties supporting or opposing local candidates or issues only)
 C-1 (campaign contributions and expenditures reports for all local candidates, organizations, committees and parties)

Registration Requirements

CANDIDATE COMMITTEE REGISTRATION

A candidate is not required to have a candidate committee. If a candidate has a candidate committee, the following applies:

1. only one candidate committee should be authorized by the candidate;
2. only the candidate committee – not the individual candidate – need file C-1 [contributions and expenditures] reports;
3. the candidate should not receive contributions for his or her candidacy unless he or she is a designated agent or subagent of the committee; and
4. a maximum contribution to a candidate's committee is considered a maximum contribution to the candidate who authorized the committee to raise and spend funds for his or her campaign.

If the candidate chooses to form a committee, a registration: committees ["form R-1"] must be filed within 10 days of accepting or expending in excess of \$500. Like the designation of agent, form R-1 is filed with the Ethics Commission by county candidates, with the municipal clerk by municipal candidates and with the clerk of the board of education by school board candidates.

REGISTRATION OF COMMITTEES OTHER THAN CANDIDATE COMMITTEES

Committees other than candidate committees, including out-of-state committees, must file a registration: committees ["form R-1"] no later than 10 days after accepting contributions or making expenditures in excess of \$500 in the aggregate in a calendar year to:

- support or oppose a candidate for local office;
- support or oppose a county ballot measure or a municipal ballot measure; or
- make contributions to other committees which are required to report.

FORM R-1: Registration

TYPE OR PRINT CLEARLY IN INK. REPORTS MAY BE COPIED BY THE PUBLIC.

USE BLACK INK. OTHER COLORS DO NOT PHOTOCOPY WELL.

ITEM	EXPLANATION
1	Name. List complete name of committee and any acronym commonly used. For example, "Politically Active School Teachers" [PAST].
2	<p>Purpose of committee. Check whether the committee was:</p> <ul style="list-style-type: none"> a. authorized by an individual to support his or her candidacy [include candidate's name, office sought, and area to be represented]; b. for a ballot committee [include description of state question, the number, and whether supporting or opposing]; c. for a special interest [include the name of the business, association, labor union, or similar organization associated with]; or d. other [include information to identify objectives or candidates supported or opposed].
3	FEC ID Number. (Federal Committees or Parties Only) - Give number assigned to you by the Federal Election Commission.
4	Officers. List the key officers for your committee and their addresses.
5	Designated Agent. List the person designated on Form D-1 to be responsible for receiving contributions and making expenditures on behalf of your committee.
6	Depositories. List bank, savings and loan or credit union where contributions will be kept.
7	Connected Organizations. List other committees working with you to accomplish your objectives. For political parties, it is not necessary to list county or state central committees or local clubs.
8	Certificate. Both the Chairperson of the committee and the Designated Agent sign the registration in order to certify that all the information given is true and correct.

FORM R-1 10/07	EC OFFICE USE	25
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REGISTRATION: Committees

Please type or print clearly in ink.

1. **NAME OF COMMITTEE:** (Full Exact Name, Do Not Abbreviate)
Citizens to Elect Larry Eugene Smith

Street Address
200 (O) Street

City
Anyplace

State
OK

Zip
73199

2. **PURPOSE OF COMMITTEE:** (Check only one, then provide additional information on line checked)

<input checked="" type="checkbox"/>	Candidate	Candidate's Name (Last, First, Middle) Smith, Larry Eugene	Office Sought County Commissioner	District/County/City Grassland	Party Affiliation Democrat
<input type="checkbox"/>	Proposition or Measure Committee	Name or Description of proposition or measure		For []	Against []
<input type="checkbox"/>	Special Interest (Associated with a business, association, labor union, or similar organization)				
<input type="checkbox"/>	Other (Explain fully on an attached sheet)		Brief Description		

3. DURATION: Will Committee continue beyond next election? [] Yes [X] No	4. DATE: General/Special Election MM/DD/YY November 4, 2008	5. FEC ID NUMBER: (Federal Committees Only) Not Applicable
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6. OFFICERS: Name (Last, First, Middle)	Address (Street, City, State, Zip)
Chairman Winner, Grace Ann	500 "A" Avenue, Anyplace, OK 73199
Vice-Chairman Smith, James Jacob	1001 "B" Street, Anyplace, OK 73199
Treasurer Green, John Paul	400 "C" Street, Anyplace, OK 73199
Staff Director	

7. DESIGNATED AGENT: Name Green, John Paul	Daytime Phone No. (405) 555-3333
Address 400 "C" Street	City Anyplace
	State OK
	Zip 73199

8. DEPOSITORIES: Please list all banks, safety boxes or other depositories used by the above-named organization, committee or party. List primary depository first; use attached sheet if necessary.		
Institution Name State Bank	City Anyplace, OK	Description (Account, Safety Deposit Box...) & Number Checking Account #123-456

9. CONNECTED ORGANIZATIONS: List all affiliated or connected organizations and indicate their relationship to this committee. List primary connected organization first; use attached sheet if necessary.		
Organization Name	Address (Street, City, State, Zip)	Relationship

10. CERTIFICATE: We certify that the above information is true, complete and correct.			
Chairman's Signature Grace Ann Winner	Date 5/7/08	Designated Agent's Signature John Paul Green	Date 5/7/08

INSTRUCTIONS

Please consult 51 O.S. 2001, §§ 301-325 when completing this registration.

WHO MUST FILE:

Committees which have accepted contributions or made expenditures in excess of \$500 in the aggregate in support of or in opposition to county, municipal or school board candidates or county or municipal issues or ballot measures.

WHEN TO FILE:

Within 10 days of accepting contributions or making expenditures in excess of \$500 in the aggregate
 Within 10 days of any change in information on R-1

WHERE TO CALL WITH QUESTIONS:

Ethics Commission
 (405) 521-3451

WHERE TO FILE:

Ethics Commission ----- county candidates and committees supporting or opposing county candidates/issues
 Municipal Clerk ----- municipal candidates and committees supporting or opposing municipal candidates/issues
 Board of Education Clerk--- school board candidates and committees supporting or opposing school board candidates

MAXIMUM CONTRIBUTIONS to local candidates or organizations or committees supporting or opposing them:

<p>From a person or family: \$5,000 annually to an organization or committee [non-candidate] or party \$1,000 for an entire campaign to a local candidate \$5,000 for an entire campaign to a county or municipal candidate or candidate's committee in a municipality or county with more than 250,000 population</p>	<p>From an Organization or Committee [non-candidate]: \$5,000 annually to another organization or committee [non-candidate] party \$1,000 for an entire campaign to a local candidate \$5,000 for an entire campaign to a county or municipal candidate or candidate's committee in a municipality or county with more than 250,000 population</p>
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Maximum limits to candidates or candidate committees are for the entire campaign (from the first contribution or expenditure to the last) while maximum limits to other committees are for calendar years. No candidate or candidate committee may receive more than the maximum allowable contribution from a contributor during an entire campaign. No non-candidate committee may receive more than the maximum allowable contribution during any calendar year.

CONTRIBUTIONS to organizations/committees formed to support or oppose local issues or ballot measures: NO LIMIT

CORPORATE CONTRIBUTIONS:

Contributions to candidates, candidate committees or political parties	Prohibited
Contributions to organizations or committees supporting or opposing candidates	Prohibited
Contributions to organizations or committees supporting or opposing local issues/ballot measures	Allowed
Administrative expenses to its own separate segregated fund	Allowed

OTHER REPORTS REQUIRED:

C-1 (campaign contributions and expenditures report for all local candidates, organizations, committees and parties)
 D-1 (designation of agent and subagents for all local candidates, organizations, committees and parties))

Reporting

Candidates. Once you file a declaration of candidacy [and a registration of committee (optional)], you are required to file campaign contributions and expenditures reports [form C-1] or statements of inactivity [form C-3] for each reporting period until a final report is filed.

Other committees. Once a committee files a declaration of candidacy and registration, a campaign contributions and expenditures report [form C-1] or a statement of inactivity [form C-3] is required for each reporting period until a final report is filed.

WHERE TO REPORT

County candidates and committees supporting or opposing them. All reports are filed with the Ethics Commission, 2300 North Lincoln Boulevard, Room B5, Oklahoma City, OK 73105-4812, (405) 521-3451 • FAX (405) 521-4905. When a committee also contributes to a school board or municipal candidate, a copy of the report filed with the Ethics Commission should also be filed with the clerk of the board of education or the municipal clerk, whichever is applicable.

School board or municipal candidates and committees supporting or opposing them. All reports are filed with the clerk of the board of education for the district in which they are running or the municipal clerk of the municipality, whichever is applicable.

"FINAL" REPORTS

Candidate or candidate committee. Upon filing a final report, your reporting obligation ends. A final report may not be filed until:

1. after a Primary Election or a Run-off Primary Election in which you are elected or defeated;
2. after the General Election in which your name appears on the ballot;
3. after the last day for filing a declaration of candidacy if you are unopposed in the Primary, Run-off Primary and General Election [an unopposed candidate does not have **any opponent** for the office sought; "unopposed" does not apply to a candidate who has no opposition in only one election];
4. after your name has been stricken from a ballot pursuant to Sections 5-127 of Title 26 of the Oklahoma Statutes; or
5. after withdrawal of your candidacy pursuant to Sections 5-115 or 5-116 of Title 26 of the Oklahoma Statutes.

A person who files a designation of agent [form D-1] who has received contributions or made expenditures in excess of \$500, but does not file a declaration of candidacy, may file a final report whenever the choice is made not to seek the office and disposition of funds according to law are made.

Other committees. A committee which supports or opposes local candidates or county or municipal ballot measures may dissolve only after it determines that it will no longer accept contributions or make expenditures and it has expended any surplus funds according to law or settled any debt.

A final report may be filed before a scheduled filing is due. To constitute a "final" report, the form C-1 must:

1. be marked "FINAL" at the top of the form C-1; and
2. include a list of the material assets worth \$50.00 or more, and detail their disposition.

Loans or debts. If a committee owes money, the committee may dissolve, but must report the status of the debts on the same dates as C-1 reports would be due until all loans or debts are resolved. Methods of resolution must also be detailed.

Restricted Political Activity

NO CAMPAIGN PARAPHERNALIA WHILE ON DUTY

State employees are prohibited from wearing campaign buttons, hats, badges or paraphernalia while officially in work status. State elective officers are excepted from this prohibition; however, their employees and staff are not.

RESTRICTIONS ON POLITICAL ACTIVITY BY CLASSIFIED STATE EMPLOYEES

Classified employees of the state may not use their official authority or influence for the purpose of interfering with an election or a nomination for office or to affect the result of either.

Classified employees may not run for public office or serve as an officer of a political party at the national, state or local level. They may not directly or indirectly solicit contributions or other funds for a candidate for public office or a political party.

Neither may classified employees directly or indirectly solicit, receive, collect, handle, disburse or account for assessments, contributions or other funds for a partisan political purpose or organize or sell tickets to promote or actively participate in a fund-raising activity for a candidate in a partisan election or for a political party.

A classified employee is not authorized to engage in political activity while on duty, or while in a uniform that identifies him as a state employee. Nor is he or she permitted to engage in political activities in the assigned work areas of a state agency in a manner that would conflict with the efficient performance of agency operations.

ADDITIONAL RESTRICTIONS ON POLITICAL ACTIVITIES BY PEACE OFFICERS

A classified employee of the Oklahoma State Bureau of Investigation [OSBI] or the Oklahoma State Bureau of Narcotics and Dangerous Drugs Control who has the power of a peace officer, in addition to the above restrictions, MAY NOT:

1. serve as an officer of a political party at the national, state or local level;
2. organize or reorganize a political party organization;
3. solicit votes in support of, or in opposition to, a candidate for public office in a partisan election or a candidate for political party office;
4. act as a watcher at the polls on behalf of a political party or a candidate for public office in a partisan election or a candidate for political party office;
5. drive voters to the polls on behalf of a political party or a candidate in a partisan election;
6. endorse or oppose a candidate for public office in a partisan election or a candidate for political party office in a political advertisement, broadcast, campaign, literature or similar material;
7. serve as a delegate, alternate or proxy to a political party convention;
8. address a convention, caucus, rally or similar gathering of a political party in support of, or in opposition to, a partisan candidate for public office or political party office; or
9. initiate or circulate a partisan nominating petition.

POLITICAL RIGHTS OF CLASSIFIED STATE EMPLOYEES

A classified employee has the right to register and vote in any election, express his opinion as an individual privately and publicly on political subjects and candidates, display a political picture,

sticker, badge or button and participate in the activities of a civic, community, social, labor or professional organization or of a similar organization.

Classified employees may be members of political parties or other political organizations and may participate in the organizations' activities subject to the above restrictions.

A classified employee may attend a political convention, rally, fund-raising function or other political gathering or sign a political petition as an individual. He or she may make a voluntary contribution to a candidate, political party, organization or political action committee. He or she may be politically active in connection with a state or municipal question including, but not limited to, approval of an amendment to the State Constitution, referendum or approval of a municipal ordinance.

A classified employee may serve as an election judge or clerk, or in a similar position perform duties as prescribed by state or local law and may otherwise participate fully in public affairs, except as prohibited by law, in a manner which does not materially compromise the neutrality, efficiency or integrity of his administration of state functions.

USE OF PUBLIC FUNDS, PROPERTY, TIME AND PERSONNEL TO INFLUENCE ELECTIONS

Public funds, public property, public time, state officers or state employees generally may not be utilized for activities which influence elections for state office or ballot measures. Public meeting rooms in a public facility generally may be used for election activities if all potential users are granted the same privileges and charged the same fee, if any, on a first-come-first-serve basis. The following uses are not prohibited (*A 1996 rule amendment clarifies that fundraisers can also be held subject to the same provisions*):

- Incidental use of public building sidewalks, common grounds, parking lots and areas within public buildings;
- handing out leaflets or political brochures on sidewalks, common grounds or parking lots and within public buildings which are not used for the conduct of state government business; and
- any other activity the exercise of which is guaranteed by the Oklahoma Constitution or the United States Constitution. [257:10-1-3]

Form C-1 --General Requirements

HOW TO PREPARE FORM C-1.

Following are examples of how to report typical contributions and expenditures.

Steps in preparing report: When you receive a contribution, record in your campaign account books:

1. date contribution(s) accepted or bill paid;
2. name, address, city, state and zip code of contributor;
3. nature of contribution, such as whether it was cash or check. If in-kind, a description of the item(s) given;
4. amount (or value) of the contribution or expenditure; and
5. total amount the person has contributed during the campaign or calendar year.

Prior to each C-1 filing date:

1. List BY CATEGORY all expenditures made during the reporting period. The total of all categories should agree with transactions shown in your bank book or checking account register.
2. List name and address of each candidate or committee to whom you contribute funds from your campaign account.

BALANCING BANK RECORDS AGAINST C-1.

To check your reports for correctness, compare each C-1 report with your bank statement, deposit slips, and check register. Subtract line 19 from line 9 of C-1 report. Subtract any expenditures made by the candidate which were not reported as contributions on form C-1 [It is not necessary to report the candidate's contributions to the campaign; however, it will help the report to balance and better reflect the available cash in the campaign]. The resulting figure should equal the balance in your checkbook or a bank statement reconciled as of *last day of the reporting period*.

Your bank statement may not cover the same period as your C-1 report. It may be easier to use your checkbook for comparisons.

CONTRIBUTIONS OF \$200 OR LESS.

Report the total amount of contributions of \$200 or less as "Total of other contributions". You need not report the names and addresses of contributors of \$200 or less. Agents or subagents of candidates or committees must maintain written records of all contributions handled by each. We recommend these be kept for three years following the final report.

When the aggregate amount given by a person or family during the campaign reaches \$200.01, the contributor must be identified by name and address on the next C-1 report.

CONTRIBUTIONS OF MORE THAN \$200.

List *date the contribution was accepted* [not date the check was written], the contributor's name and address, the amount, and the total amount the person has given during the campaign [for a candidate] or current calendar year [for a committee].

See CONTRIBUTIONS to determine maximum allowable contributions.

REPAYMENT OF LOANS

Repayments of loans, together with interest paid on loans, are reported as expenditures.

FORGIVEN LOANS

A loan from an individual is reported as a contribution. A loan forgiven should be reported by attaching a sheet with an explanation and the amount of the forgiven loan. If the amount of the loan has not already been reported, report it as a contribution with no additional explanation.

CUMULATIVE REPORTS--CONTRIBUTIONS

Candidates and candidate committees. The first C-1 report for candidates and candidate committees must include all contributions received or expenditures made since the campaign began. Subsequent C-1 reports, until a "FINAL" report is filed, cover only the period since the end of the previous reporting period. After the first C-1 report, the "Amount" column should include only funds received for the current reporting period. Funds received in prior reporting periods should be included only in the column titled "Total contribution during campaign or calendar year." The "Grand total - all contributions for campaign or cumulative period" and "Grand total - all expenditures for campaign or cumulative period" are *cumulative* totals.

Committees other than candidate committees which support or oppose candidates. Since the maximum contributions can be received annually by other committees, aggregate totals for all reporting are based on calendar year-to-date. On the other hand, transfers to candidate committees [item 16 of form C-1] are subject to campaign limitations and should be aggregated on a campaign-to-date basis.

Ballot measure committees. There are no maximum contribution limits for ballot measure committees; however contributions and expenditures are also aggregated on a calendar year basis. Corporate contributions to these committees are not prohibited; however, transfers to other committees which support or oppose candidates may not be made if corporate contributions have been accepted and commingled with contributions from individuals.

IN-KIND CONTRIBUTIONS

Report in-kind contributions of labor, services and goods on item 6 of form C-1. Describe the contribution (e.g. sign material, personal services, office space, printing). ***The amount is the fair market value or what it would have cost if you had paid for the donated items or services. In-kind contributions should simultaneously be reported as expenditures.*** In this way, your account books will balance.

A CANDIDATE'S TIME

A candidate's time spent in his or her own campaign need not be reported. However, if an employer gives a candidate ***time off with pay*** to campaign (other than vacation or similar earned leave), the ***employer*** makes a reportable in-kind contribution to the campaign. Remember again that corporate contributions to a candidate or candidate committee are prohibited.

TOTAL CONTRIBUTION DURING CAMPAIGN OR CALENDAR YEAR

This column of the report shows both cash and in-kind contributions made by the person. If the cumulative contribution from the person is the same as that shown under "amount," either enter the amount again or write "same."

EXPENDITURES

CANDIDATE'S OUT-OF-POCKET EXPENSES

The candidate may pay campaign expenses with personal funds. These need not be reported as contributions – although reporting helps the form to balance – but must reported as expenditures.

Form C-1 Cont'd

DISCOUNTS AND SERVICES

Services or discounts provided on a discriminatory basis are reportable, i.e. those available to one candidate but not equally available to other candidates. The contribution is the amount of the discount or service provided. If you paid for a portion of the goods or services, that payment is reportable as a cash expenditure. For example: the candidate bought billboard space from ABC Sign Co., a sole proprietorship. The owner of the business, a campaign supporter, gave the candidate the billboards for half price. If the discount is available to all other candidates, it is not reportable. If the discount was not available to others, the amount of the discount becomes an in-kind contribution.

PERSONAL SERVICES / VOLUNTEER SERVICES

Payment for personal services is reported as an expenditure. The value of services provided without compensation by individuals volunteering a portion or all of their time on behalf of a candidate, organization, political action committee, or political party is not a contribution; therefore, it need not be reported as an expenditure.

DONATED GOODS AND SERVICES

Report sign materials, office space, free advertising, phone banks, articles donated for resale and similar donations at their estimated value. Remember again that corporate contributions to a candidate or candidate's committee are prohibited.

BILLS FORGIVEN

Bills for goods or services which are forgiven or settled at less than fair market value are reported as an in-kind contribution from the person or company to whom the bill was owed.

POSTAL PERMIT USE

XYZ Partnership permits the candidate to use the partnership's bulk mail permit. The candidate pays the actual cost of mailing. Report as an in-kind contribution from XYZ Partnership the cost of the bulk mail permit charge. Report as an expenditure the actual amount paid to the partnership for postage.

Example: Jack Jones for County Clerk uses the bulk mail permit of XYZ Partnership for a mailing. Report the in-kind contribution from XYZ Partnership as the cost of the bulk mail permit. Report as an expenditure the actual cost of postage.

Permit	\$	160	[Report as in-kind contribution from XYZ Partnership]
Postage 10,000 pieces x \$.16 per piece =	\$	1,600	[Report as expenditure]

Note: Agent should check with U.S. Postal Service regarding fees or restrictions on use of bulk rate permits.

The general purpose of the Political Subdivisions Ethics Act is to insure full disclosure of campaign financing and enforcement of the Act rather than to regulate how campaign contributions are made or how the campaign should be conducted. One area covered by constitutional rule [Section 257:10-1-3 through 257:10-1-5 of the Rules of the Ethics Commission, 74 O.S. 2005, Ch. 62 App.] restricts the use of state property, time and personnel to influence state elections; the political activity of classified state employees; and solicitations of and contributions by state employees. Three major prohibitions in the law concern cash contributions from a committee, corporate contributions and maximum contributions.

CONTRIBUTIONS FROM OTHER CANDIDATES.

Report contributions from another candidate as ordinary campaign contributions.

OUT-OF-STATE AND FEDERAL COMMITTEE CONTRIBUTION.

Report funds received from *individuals* and *committees* outside Oklahoma or from federal candidate committees or PAC's as ordinary campaign contributions.

EXPENDITURE--DEFINITION.

Expenditure includes a payment, distribution, contribution, subscription, loan, advance, compensation, reimbursement, fee deposit or gift of money securement, or any other thing of value, or services including but not limited to postage, telephone, telegraph, printing, advertising, travel, lodging, meals or entertainment for which payment is made with private or public funds. It includes a contract, promise or agreement, whether or not legally enforceable.

WHAT EXPENDITURES DO AND DO NOT HAVE TO BE REPORTED.

Report all expenditures by the candidate or committee (including any filing fee).

Transfers between bank accounts are not reported as expenditures. Purchases of certificates of deposit or transfers to savings accounts or similar interest bearing accounts are not expenditures.

Note: Expenditures may be made or incurred only by the candidate or the designated agent.

CATEGORY OF EXPENDITURE.

Show the total expenditures made in each category. If an expenditure does not fit into any other category, it may be reported in the "miscellaneous" category.

TRANSFERS TO ANOTHER CAMPAIGN.

If an expenditure is made to support or oppose another candidate or question, candidates and candidate committees need only report the total in the category [item 16]. Committees, other than candidate committees, who make such an expenditure of over \$200 must include the name of the candidate, committee or state question benefitted or opposed and the total for the campaign or calendar year [item 16a]. Proportionate amounts are stated if a single expenditure affects more than one candidate or question.

JOINT EXPENDITURES MADE WITH OTHER CANDIDATES AND COMMITTEES.

When expenditures are made jointly with other candidates or committees, each committee reports its share of the expenditure. For example, if two candidates equally share the cost of newspaper ads, each reports one-half the expenditure.

BANK SERVICE CHARGES OR INTEREST EARNED.

Bank service charges are reported as expenditures. Interest payments are not reportable contributions; therefore, they do not constitute "activity" that would prevent the filing of a statement of inactivity [form C-3].

PAYMENTS TO THE CANDIDATE, AGENT OR OTHER INDIVIDUAL.

Contributions may be transferred to a candidate's, treasurer's, or other individual's personal account or expended for personal use only to reimburse for a campaign expenditure or other allowable uses for campaign contributions, as enumerated on page 17.

A candidate need not report expenditures made by others in his behalf if he has *no knowledge that these expenditures are to be made*. If the candidate was a party to the expenditure, the amount is reported as an in-kind contribution and expenditure. It is a violation of law for an organization or political action committee to solicit, accept or make a contribution on behalf of any individual candidate without the expressed permission of the candidate.

CUMULATIVE REPORTS--EXPENDITURES

The first C-1 report (due 10 to 14 days prior to the Primary Election) must include all expenditures since the campaign began for candidates and candidate committees or all expenditures since the first day of the calendar year for other committees. Subsequent C-1 reports, until a "FINAL" report is filed, cover only the period since the end of the previous reporting period. The "Amount" column should include only expenditures during the reporting period; however item 10 brings forward the total of all expenditures for the campaign from the previous report.

IN-KIND EXPENDITURES.

In-kind contributions and their expenditures include donated materials, office space or machines, stamps, items donated for sale, discounts on purchases, etc. which are not usually available to other purchasers purchasing in like volume and terms. Report goods and services as both contributions and expenditures when you receive them.

Goods or services contributed to another candidate or committee are reported as in-kind expenditures. For example, a candidate has some extra yard sign lumber (estimated value \$50) which he donates to another candidate. The donor candidate reports the in-kind expenditure as a transfer to another campaign, line 16a. The recipient candidate reports it as an in-kind contribution.

IN-KIND LOANS.

If another candidate or committee loans you material or equipment, report this as an in-kind contribution. Determine or estimate the value as if you had been required to rent or purchase the item loaned.

If your campaign loans equipment, materials or services to another candidate or committee, report that as an in-kind contribution to another campaign. No report or adjustment is required when the equipment or material is returned.

Form C-1: Explanation

Item	Explanation
1.	<p>Name of candidate or committee. Give the same name on this report that was filed on the designation of agent and the registration (if any). Changes in a name [i.e. "William" to "Bill"] or the wording in a name [i.e. "Oklahoma Political Party" to "Political Party of Oklahoma"] can keep the report from being credited to the appropriate candidate or committee.</p> <p>Date of report. Date the report was prepared. The date is not significant unless the report is not timely received by the Commission; it may then be used as evidence to show when the report was filled out and/or mailed.</p>
2.	<p>Address of candidate or committee. Give the same address on this report that was filed on the designation of agent and registration (if any). Address changes should be reported on an amended form D-1 and R-1 (if any).</p>
3.	<p>Office sought. Do not omit this item. There are often duplicate names in county filings. This line assists in determining whose report it is. If there is not enough room, abbreviate [i.e. "Co. Comm.3]. Report period. Reporting periods are definite and specific. Only financial activity occurring within a designated reporting period should be shown on a given report. "from: beginning of period" refers to the date of the first contribution or expenditures if this is the first report or, if other reports have previously been submitted, it refers to the date following the ending of the last reporting period. "to: end of period" refers to the final date in the current reporting period. Year of Election. Circle either "General" or "Special General" election and give the year of the election when you are running for the office.</p>
4.	<p>Carryover from previous campaign or cumulative period (new campaign or period) and 5. Grand total of contributions from previous report (after filing first report). Items 4 and 5 will be blank unless one of the following conditions exist. For a candidate committee, if this is the first report in a</p>

new campaign but the committee has funds transferred from a previous campaign, item 4 will carry the balance transferred from the previous campaign. For a committee other than a candidate committee, if this is the first report in a calendar year and funds were on hand as of the first day of the current calendar year, item 4 will carry the balance from the previous calendar year. If reports have previously been submitted in a current campaign (candidate committees) or current calendar year (non-candidate committees), item 4 will be blank and item 5 will carry the balance from line 9 of the immediate preceding report. In either case, there should not be a balance in both item 4 and 5 - show one or the other.

6. **Contributions.** Show contributions received in this reporting period from individuals who have contributed more than \$200.00 in the aggregate for the entire campaign (candidate committees) or calendar year (other committees). Identify contributor by name and address and show date contribution accepted, nature of contribution. In the "amount" column, show the current contribution. If the identified contributor has made other contributions to the current campaign (candidate committees) or in the current calendar year (other committees), in the far right column show the aggregate total of their contributions (total contribution during campaign/calendar year).
7. **Total of other contributions \$200 or less this reporting period.** In this column, enter in a lump sum the total given by all contributors who have not given more than \$200 each in the aggregate. They need not be identified in any way until their contributions exceed \$200 in the aggregate.
8. **Total contributions this reporting period.** (add line 6 to 7). Add all contributions for the current reporting period shown in lines 6 and 7.
9. **Grand total - all contributions for campaign or cumulative period.** If there are amounts on lines 4 or 5 of the current report, add that amount to the amount shown on line 8 of the current report. The amount shown on line 9 of this report will be transferred to line 5 of the next report submitted.
10. **Grand total of expenditures from previous report.** If this is the first report being submitted for the current campaign (candidate committees) or calendar year (other than candidate committees), item 10 will be blank. If a report previously has been submitted, item 10 will contain the total from line 19 of the previous report.
- 11-15 & 17 **Totals of various expenditures this reporting period.** Enter in these areas the expenditures made as best described by the headings.
- 16 & 16a. **Contributions to other campaigns.** Candidate committees record transfers to other campaigns. Committees other than candidate committees, which make such an expenditure over \$200, must identify recipients by name, address, amount and total of such contributions during the calendar year.
18. **Total expenditures this reporting period.** Enter totals of expenditures shown only on lines 11 through 17. Do not include total from line 10.
19. **Grand total - all expenditures for campaign or cumulative period.** Enter totals of line 10 and 18. The total shown on line 19 of the current report will be transferred to line 10 of the next report submitted.
20. **Ballot information.** This line is for candidate committees only. It need only be filled in for pre-election reports and the post election report. It is used to determine when a candidate is eligible to file a "final" report.
21. **Signature.** The form must be signed by the candidate, chairperson or designated agent if it is being filed for candidate and by the chairperson or designated agent if it is being filed for a committee.
22. **Notarization.** The form is incomplete if the signature on line 21 has not been properly notarized. If the form is faxed, the notarization seal should be colored with a dull pencil lead so that it shows up on the copy.

CAMPAIGN CONTRIBUTIONS AND EXPENDITURES REPORT

check if FINAL

FORM
C-1
10/07

EC OFFICE USE

Please type or print clearly in black ink.

1. NAME OF CANDIDATE OR COMMITTEE Mary Pauline Brown		DATE OF REPORT 7/15/08
2. ADDRESS OF CANDIDATE OR COMMITTEE 100 Main Street, Anyplace, OK 73199		
3. OFFICE SOUGHT Grassland County Commissioner	REPORT PERIOD	from: (beginning of period) 3/21/08
		to: (end of period) 7/14/08
Year of General or Special General Election (circle one)		

LISTED BELOW ARE THE CONTRIBUTIONS RECEIVED AND THE EXPENDITURES MADE WHICH ARE REQUIRED BY LAW TO BE REPORTED. Attach additional sheets as necessary to provide complete information.

4. CARRYOVER FROM PREVIOUS CAMPAIGN OR CUMULATIVE PERIOD (new campaign or period)		\$	0	
CONTRIBUTIONS				
5. GRAND TOTAL OF CONTRIBUTIONS FROM PREVIOUS REPORT (after filing first report)		\$	0	
6. Date accepted	Name and address of contributors of more than \$200.00	Nature of contribution: cash, check or in-kind (describe)	Amount	Total contribution during campaign or calendar year
3/21/08	A.C. Andrews, 60 "S" St. Anyplace, OK 73199	Cash	\$ 210.00	\$ 210.00
6/25/08	C.J. Johnson, 902 Sims Anyplace, OK 73199	Check	\$ 325.00	\$ 325.00
			\$	\$
			\$	\$
7. TOTAL OF OTHER CONTRIBUTIONS \$200 OR LESS THIS REPORTING PERIOD (not itemized)		\$	2275.00	
8. TOTAL CONTRIBUTIONS THIS REPORTING PERIOD (add line 6 to line 7)		\$	2810.00	
9. GRAND TOTAL-ALL CONTRIBUTIONS FOR CAMPAIGN OR CUMULATIVE PERIOD (4 or 5 + 8)		\$	2810.00	

EXPENDITURES

10. GRAND TOTAL OF EXPENDITURES FROM PREVIOUS REPORT		\$	0
11. Personal services		\$	
12. Printing		\$	120.00
13. Radio and television		\$	
14. Billboards		\$	1300.00
15. Advertising - general		\$	100.00
16. CONTRIBUTIONS TO OTHER CAMPAIGNS - Candidates and Candidate Committees		\$	
16a. Contributions to other campaigns - All committees, except for candidate committees, must identify recipients of contributions to other campaigns following verification of acceptance of amounts aggregating in excess of \$200.00 by name, address, amount of contribution and total amount of contributions during the campaign or calendar year:			
(a) Name and address of recipients of contributions of more than \$200	(b) Amount	(c) Total contribution during campaign or calendar year	
	\$	\$	
	\$	\$	
Total contributions to other campaigns of \$200 or less this reporting period (not itemized)	\$		
TOTAL CONTRIBUTIONS TO OTHER CAMPAIGNS - Other Committees. Total amounts in column (b).		\$	
17. Miscellaneous		\$	130.00
18. TOTAL EXPENDITURES THIS REPORTING PERIOD (add lines 11 through 17)		\$	1650.00
19. GRAND TOTAL-ALL EXPENDITURES FOR CAMPAIGN OR CUMULATIVE PERIOD (add line 10 to line 18)		\$	1650.00

20. BALLOT INFORMATION: candidates or candidate committees, please indicate whether the candidate's name appeared on the ballots for the following elections.	PRIMARY <input checked="" type="checkbox"/> yes <input type="checkbox"/> no	RUNOFF PRIMARY <input type="checkbox"/> yes <input type="checkbox"/> no	GENERAL <input type="checkbox"/> yes <input type="checkbox"/> no
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21. To the best of my knowledge and belief, the above is a true and correct compilation.
Candidate's, Chairperson's or Designated Agent's Signature **Mary Pauline Brown**

22. NOTARIZATION: Subscribed and sworn to before me this 15th day of July, 2008.
My commission expires 3/15/09
Notary's Signature **Jane Doe**

[SEAL]

Form C-3 -- General Requirements

Once a candidate or candidate committee has filed a designation of agent [form D-1] or a registration [form R-1], a report is due for each reporting period until a "final" report is filed. If the candidate or committee has received no contributions and made no expenditures during any reporting period, a "statement of inactivity" [form C-3] may be filed in lieu of a form C-1. The statement of inactivity must include:

1. the name and address of the candidate or candidate committee, political party or organization; and
2. a statement by the designated agent that a contribution was not received and an expenditure was not made during the reporting period.

In determining whether there has been activity,

1. interest earned on contributions received is not considered a contribution, therefore, is not reportable; and
2. a filing fee paid by the candidate is an expenditure; however, a form C-3 may be filed if that is the only expenditure, and the filing fee can be reported on the next form C-1 filed.

Item	Explanation
1.	<p>Name of candidate or committee. Give the same name on this report that was filed on the designation of agent and the registration (if any). Changes in a name [i.e. "William" to "Bill"] or the wording in a name [i.e. "Oklahoma Political Party" to "Political Party of Oklahoma"] can keep the report from being credited to the appropriate candidate or committee.</p> <p>Date of report. Date the report was prepared. The date is not significant unless the report is not timely received by the Commission; it may then be used as evidence to show when the report was filled out and/or mailed.</p>
2.	<p>Address of candidate or committee. Give the same address on this report that was filed on the designation of agent and registration (if any). Address changes should be reported on amended forms D-1 and R-1 (if any).</p>
3.	<p>Office sought. Do not omit this item. There are often duplicate names in county filings. This line assists in determining whose report it is. If there is not enough room, abbreviate [i.e. "Co. Comm.3]. Report period. Reporting periods are definite and specific. Only financial activity occurring within a designated reporting period should be shown on a given report. "from: beginning of period" refers to the date of the first contribution or expenditures if this is the first report or, if other reports have previously been submitted, it refers to the date following the ending of the last reporting period. "to: end of period" refers to the final date in the current reporting period. Year of Election. Circle either "General" or "Special General" election and give the year of the election when you are running for the office.</p>
4.	<p>No activity statement. Nothing is required in this space. By submitting this report, you are certifying to the contents of section 4 - that you have had no financial activity within this reporting period.</p>
5.	<p>Ballot information. This line is for candidate committees only. It need only be filled in for pre-election reports and the post election report. It is used to determine when a candidate is eligible to file a "final" report.</p>
6.	<p>Signature. The form must be signed by the candidate, chairperson or designated agent if it is being filed for candidate and by the chair or designated agent if it is being filed for a committee.</p>
7.	<p>Notarization. The form is incomplete if the signature has not been properly notarized. If faxed, the notarization seal should be colored with a dull pencil lead so that it shows up on the copy.</p>

STATEMENT OF INACTIVITYcheck if FINAL

FORM

EC OFFICE USE

C-3

9/06

Please type or print clearly in black ink.

1. NAME OF CANDIDATE OR COMMITTEE John Stone		DATE OF REPORT 7/15/08	
2. ADDRESS OF CANDIDATE OR COMMITTEE			
3. OFFICE SOUGHT Grassland County Sheriff	REPORT PERIOD	from: (beginning of period) 06/02/08	to: (end of period) 07/14/08
			Year of General or Special General Election (circle one) 2008

4. **The candidate or committee listed in item #1 has received no contributions and has made no expenditures during the reporting period listed in item #3.**

5. BALLOT INFORMATION: candidates or candidate committees, please indicate whether the candidate's name appeared on the ballots for the following elections.	PRIMARY <input checked="" type="checkbox"/> yes <input type="checkbox"/> no	RUNOFF PRIMARY <input type="checkbox"/> yes <input type="checkbox"/> no	GENERAL <input type="checkbox"/> yes <input type="checkbox"/> no
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6. To the best of my knowledge and belief, the above is a true and correct compilation.
Candidate's, Chairperson's or Designated Agent's Signature

John Stone

7. NOTARIZATION: Subscribed and sworn to before me this	My commission expires 3/15/09
15th day of July , 2008	Notary's Signature Jane Doe

(SEAL)

INSTRUCTIONS

Please consult 51 O.S.2001, §§ 301-325 when completing this report. If you have questions, write or telephone the Ethics Commission [see information below].

WHO MAY FILE C-3:

A statement of inactivity (form C-3) may be filed in lieu of a form C-1 for periods during which the candidate or committee has no activity (contributions or expenditures). Unopposed candidates (those with no opposition in any election), who accept no contributions and make no expenditures, other than payment of a filing fee, may terminate their filing obligations by filing a form C-3 marked "FINAL" at the top any time after the final day for filing Declarations of Candidacy.

WHERE TO REPORT:

County Candidates and Committees supporting or opposing county candidates or issues:
School Board Candidates and Committees:
Municipal Candidates and Committees supporting or opposing municipal candidates or issues:

Ethics Comm. 2300 N Lincoln Blvd B5, Oklahoma City, OK 73105-4812
(405) 521-3451 * FAX (405) 521-4905
Office of the Clerk of the Board of Education
Office of the Municipal Clerk

PENALTIES:**All Candidates and Committees:**

Failure to file each C-1 or C-3 report is a misdemeanor and may result in a fine of up to \$1,000 or six months in jail.

County Candidates and Committees only:

Late fees will be assessed at \$25 per day up to \$250 per report for county candidates and committees supporting or opposing county candidates and \$100 per day for committees supporting or opposing county issues up to \$1,000 for each report.

Fund-Raisers

GENERAL GUIDELINES

- a) All contributions are reported.
- b) Contributions, either cash or in-kind, of more than \$200 must identify the contributor.
- c) Maximum contributions to county and municipal candidates or their candidate committees in counties and municipalities of more than 250,000 population [Oklahoma and Tulsa Counties only] is \$5,000 for the entire campaign. Maximum contributions to all other local candidates [county, municipal or school board] or their committees is \$1,000 for the entire campaign. Maximum contributions to other political action committees, organizations or political parties supporting or opposing candidates is \$5,000 for each calendar year. There is no limit for issue or ballot measure committees.
- d) The reported amount of a contribution may be reduced by the cost of consumables at fundraisers; however, it is recommended that the cost be included as a contribution. Consumables include food, beverages, preparation or catering, entertainment and fair market value of items sold or given as prizes. In addition, donated consumables are reported as in-kind contributions. If purchased by the campaign, the cost of consumables is reported as an expenditure.

FAIR MARKET VALUE. Fair market value is the amount a well-informed buyer or lessee, willing but not obligated to buy or lease, would pay; and which a well-informed seller, or lessor, willing but not obligated to sell or lease, would accept.

TYPES OF FUND-RAISERS

1. Direct mail campaign

Contributions from a mail solicitation are reported at face value. Itemize contributions and report costs of solicitation as expenditures.

2. Dinner or cocktail party

Where price is greater than fair market value, report in any one of the following ways:

- a. Report all contributions at face value or the full cost of the ticket. Report all expenses as regular campaign expenditures.
- b. Divide the price of the ticket into two parts--cost of consumables at the party and amount of contributions above that cost. Report only the amount designated as the contribution part from each purchaser of a ticket. This system can often be used when a party is catered at so much per person.

3. Rummage, Bake or Garage Sales and Concession Stands

Where prices do not exceed a fair market value, no profit is realized. A contributor record must be kept of those who donate goods to be sold worth more than \$200.

Keep the name and address of purchasers from whom more than \$200 profit is realized. In the case of donated goods, profit is the amount of the price which exceeds the fair market value. It is unnecessary to record the names and addresses of other contributors or customers unless they contribute to the campaign in other ways.

After the event, prepare a financial statement showing your receipts and expenses.

4. Campaign buttons, bumper stickers and novelties

Where items are sold at a greater than fair market value, record the name of each contributor and report the names of those contributing more than \$200. The sale price may be reduced by the cost of the merchandise sold (consumables) in determining the amount of the contribution.

5. Auctions and sales

Where prices exceed fair market value, report excess as a contribution. Persons who donate articles for sale at such events are making contributions to the campaign. The contribution is the "fair market value" of the donated article. The designated agent or subagent keeps a record of each donated article, the donor and the value of the article.

NOTE: If the item is sold for less than the fair market value, the value (and the contribution attributed to the donor) is reduced to the actual sale price.

A record is kept of each item's price. The buyer need not be identified unless the buyer pays more than the fair market value. [Then the buyer is making a contribution of the amount paid in excess of the fair market value. That excess is listed as an additional contribution.]

To keep a record of an auction, we suggest you use the following as an example.

AUCTIONS

CITIZENS FOR BROWN		Auction held 8/1/200X			
Sale Item #		Fair Market Value	Sale Price	Amount over Fair Market Value	Total given by this person during campaign
Description	Name and Address				
#1	* D John Doe 200 "A" Street, Tulsa 74111	\$100			\$1000.00
Cabin use	* B Mary Smith 400 B Street, OKC 73111		\$125	\$ 25	\$ 525.00
#2	* D Sam Jones 105 Front, Lawton 73555	\$145			\$ 355.00
2 Dinners	* B Tom Mix 702 River, Owasso 74199		\$100		\$ 262.75
#3	* D Susan Clark 402 South Avenue, Enid 73777	\$ 50			\$ 250.00
Boat cruise	* B Jack Jorgenson 123 E. Norway, El Reno 73062		\$ 50		
Total revenue realized			\$275**		

NOTE: If purchase price is the fair market value or less, it isn't necessary to report the buyer's name.

* D means donor and B means buyer.

** Report \$275 total revenue on C-1 crediting Doe \$100; Smith \$25; Jones \$100; and Clark \$50.

Computer Reports

Many candidates and committees have access to home or small business computers. Campaign records may be kept on these computers and Ethics Commission reports generated from them. If you plan to use computer generated reports in lieu of Ethics Commission forms, submit a sample copy to Ethics Commission for approval. Guidelines for computer reports:

1. approximately the same format used in Ethics Commission forms;
2. clearly label all data;
3. use 8 ½" by 11" paper (do not use onion skin paper or carbon copies);
4. use only one side of the sheet of paper;
5. allow a top and bottom margin of approximately one inch; and
6. use a good quality printer with a fresh, dark ribbon. Poor or light printing cannot be copied well.

Each page should identify the candidate or committee. Items should contain the same headings as the question on the form, and each page should be numbered.

Form F-1: Financial Disclosure

HOW TO PREPARE ETHICS COMMISSION FORM F-1

Following are examples of how to complete your personal financial disclosure statement.

REPORT PERIOD Initial report -- preceding two calendar years.
Succeeding reports -- period since most recent F-1 was filed.

WHEN DUE

County Candidates From the tenth day following the candidate exceeding \$500 in contributions or expenditures or by the tenth day following the last day for filing declarations of candidacy, whichever is earlier [if elected, no additional statement is required]. If candidate does not exceed \$500 in contributions or expenditures before the General Election and is elected to office, statement is due by the 40th day following the General Election.

Elected County Officials On or before the fortieth day after each General Election [includes all successful candidates who accepted contributions or made expenditures in their campaigns aggregating \$500 or less.

ATTACHMENTS

Report additional information on plain 8½ x 11 white paper using the format for each section. Attach additional pages to the statement. Put your name and the date on all attachments.

TIMELY REPORTS

Required F-1 statements must be received in the Commission office by the tenth day following the last day for filing your declaration of candidacy with the appropriate election board or receiving or expending \$500, whichever is later. An elected official required to file a Financial Disclosure Statement following the General Election, except those who have previously filed as candidates, will be automatically granted one 30-day extension if, within 10 days before or after the due date, the person files with the Commission a declaration of his or her intent to defer the filing. Extensions are not available to candidates.

PENALTIES

Failure to file a required F-1, knowingly giving false information in the F-1 or knowingly omitting required information from the F-1 is a misdemeanor, each being a separate offense. Also, failure to file a financial disclosure statement may result in late fees being assessed up to \$100 per day for each day a statement remains unfiled up to a maximum of \$1,000. In addition, the person shall not be permitted to perform the duties conferred upon him or her by law until the statement is so filed.

ONE PER CALENDAR YEAR RULE

No person is required to file more than one financial disclosure statement per calendar year; therefore, a successful candidate who files a financial disclosure statement in July does not have to file another as an elected official in December. If you have previously filed during this calendar year as a candidate, you are not required to file a new statement as an elected official.

HEADING

1. Please type or print in ink.
2. Use your full name, not a nickname.
3. Give your birth date, business and residential addresses. If your business address is the same as your residential address, write "same" in that blank.

Form F-1: Financial Disclosure Cont'd

4. Indicate your status or the reason you are required to file [i.e. check candidate and give month and year of General Election], the title of the office you are seeking [i.e. County Commissioner, Mayor, School Board Member], the name of the governmental entity you will serve or be employed by [i.e. Stephens County, Muskogee, Independent School District #9], and the date your term begins and ends or you were appointed or employed, whichever is applicable.

EXAMPLE.

<p>CHECK YOUR FILING STATUS: (mark only one box)</p> <p><input type="checkbox"/> An elected official.</p> <p><input checked="" type="checkbox"/> A candidate running in an election: month <u>November</u> year <u>200X</u></p> <p><input type="checkbox"/> An elected official retained in office.</p> <p><input type="checkbox"/> A state agency head or first deputy.</p> <p><input type="checkbox"/> A member of a board or commission.</p> <p><input type="checkbox"/> Other state employee (with nonministerial duties).</p>	<p>POSITION YOU ARE A CANDIDATE FOR, HAVE BEEN ELECTED TO, HOLD OR HAVE BEEN APPOINTED TO: (fill in applicable blanks)</p> <p>Position title: <u>County Commissioner</u></p> <p>County or agency of the office: (give name and number if state) <u>Oklahoma County</u></p> <p>Position number: <u>District 2</u></p> <p>Term begins: <u>Jan, 200X</u> ends: <u>Jan, 200X</u></p> <p>Appointment date:</p> <p>Employment date:</p>
---	--

OCCUPATION AND INCOME

5. Show your occupation or business. [If unemployed or self-employed, list normal occupation.]
6. List prior positions held as a public official. Begin with the most recent position held and go backwards.
7. Give name, residential address, business address and occupation of spouse and adult children who are doing business with the county if applicable. "Doing business with" is not a defined term but its common meaning includes engaging in activities with the county in pursuit of gain.
8. List categories or industries from which you receive \$1,000 or more annually. It is not necessary to give the amount of the income. Some possible categories from which you may have received income include:

Your principal employment	Child support	Stock or bond dividends
Partnership income	Unemployment compensation	over \$1,000 from each
Retirement income	Rent or lease payments	source
Social Security income	received for real estate,	Trust income
Savings account interest	houses, buildings	Commissions on sales
Sale of personal property	Self-employment income	Disability compensation
Strike benefits	Welfare assistance	Honoraria
Insurance annuity	Payment for service on	Other employment
Salary or pay for government	boards or commissions	Sale of stock (list
office (do not include travel	Sale of real estate	category of each stock
reimbursed expenses even if		sold if sale price was
in excess of \$1,000 annually)		\$1,000 or more)

Some possible industries from which these categories of income may have been received are:

Trade association	Insurance
Religion	Local government

Citizen group	Petroleum, natural gas
Advertising, public relations	Manufacturing, aerospace
Construction	Self
Chamber of Commerce	Forest products
Education	Transportation
Environment	Labor Union
Agriculture	Utilities, energy
Banking and finance	Professional association
Fishing, wildlife	Public employees
Food, restaurant, liquor	Recreation, sports
Health care	Senior citizens, retirement
Housing, real estate	State government

STOCK, HONORARIA AND LOBBYISTS

9. List categories or industries in which you have owned stock which is valued at \$1,000 or more during the period for which the F-1 is due. (Some categories or industries may be listed both in this section and the income section, if applicable.)
10. List names of any entities from which you received an honorarium or honoraria valued at more than \$200 over and above actual expenses and list the value of each. An honorarium is defined as "a payment usually for services on which custom or propriety forbids a price to be set." "Honoraria" are often paid to invited speakers.
11. List any registered lobbyist with whom you have engaged in business from which income of over \$1,000 was derived. A list of registered lobbyists is available from this office if you are unsure about someone's registration. Campaign contributions from lobbyists do not constitute "engaging in business with".
12. Sign and date statement in order to certify that all the information given is true and correct.

FORM	EC OFFICE USE
F-1	
10/07	

FINANCIAL DISCLOSURE STATEMENT

ETHICS COMMISSION

B-5 State Capitol
Oklahoma City, OK 73105
(405) 521-3451
FAX (405) 521-4905

INSTRUCTIONS:

Please consult Sections 318 through 322 of Title 51 of the Oklahoma Statutes when completing this statement.

REPORT PERIOD: Initial report -- preceding two calendar years.
Succeeding reports -- period since most recent F-1 was filed.

WHO MUST REPORT: ELECTED COUNTY OFFICIALS COUNTY CANDIDATES MEMBER BOARD OR COMMISSION	WHEN DUE: on or before the fortieth day after each General Election. by tenth day following the last day for filing declarations of candidacy if activity exceeds \$500. upon initial appointment and by April 30 of each even-numbered year.
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Send Report or Fax to * Ethics Commission * 2300 N Lincoln Blvd Rm B5 * Oklahoma City, Oklahoma 73105-4812 * Fax (405) 521-4905

NAME: (Last, First, Middle) <u>Watkins, Curtis Monroe</u>	Birth Date <u>3/30/63</u>
--	-------------------------------------

Business Address (Street or Box, City, State, Zip)
500 Main Street, Anyplace, OK 73199

Residential Address (Street or Box, City, State, Zip)
8300 "Y" Street, Anyplace, OK 73199

CHECK YOUR FILING STATUS: (mark only one box) <input type="checkbox"/> An elected county official. <input checked="" type="checkbox"/> A county candidate running in an election: month <u>November</u> year <u>2008</u> <input type="checkbox"/> A member of a board or commission.	POSITION YOU ARE A CANDIDATE FOR, HAVE BEEN ELECTED TO, HOLD OR HAVE BEEN APPOINTED TO: (fill in applicable blanks) Position title: <u>County Commissioner</u> County or agency of the office: <u>Grassland County</u> Position number: <u>3</u> Term begins: _____ ends: _____ <u>January 2009</u> <u>January 2013</u> Appointment date: _____ Employment date: _____
---	---

1. **OCCUPATION OR BUSINESS:** (current or prior to this election or appointment)
Electrician – Self-Employed

2. **PRIOR POSITIONS HELD AS A PUBLIC OFFICIAL:** (List most recent positions first)
School Board Member – 2002
City Council Member – 2000

3. **SPOUSE AND ADULT CHILDREN:** Give the following information for your spouse and all living adult children (over 18 years of age) if your spouse or children are doing business with the county you are serving or seeking office in.

NAME	RESIDENTIAL ADDRESS	BUSINESS ADDRESS	OCCUPATION
<u>Sue Watkins (spouse)</u>	<u>8800 "Y" St, Anyplace, OK 73199</u>	<u>100 Main Street Anyplace, OK 73199</u>	<u>Printer</u>

Check here if continued on attached sheet

4. **INCOME:** List categories or industries from which you receive \$1,000 or more annually:

Salary

Cattle

Oil and Gas

Rental Income – Real Estate

Banking

Check here [] if continued on attached sheet

5. **STOCK:** List categories or industries in which you have owned stock which is valued at \$1,000 or more during the period for which this Financial Disclosure Statement is required:

CATEGORY OR INDUSTRY	CATEGORY OR INDUSTRY	CATEGORY OR INDUSTRY
----------------------	----------------------	----------------------

Utilities

Mutual Fund

Natural Gas

Fast Food Franchise

Check here [] if continued on attached sheet

6. **HONORARIA:** List names of any entities from which you received an honorarium or honoraria valued at more than \$200 over and above actual expenses and list the value of such honorarium or honoraria:

DATE	ENTITY	VALUE
------	--------	-------

None

Check here [] if continued on attached sheet

7. **LOBBYISTS:** List any registered lobbyists with whom you have engaged in business from which income of over \$1,000 was received:

LOBBYIST'S NAME	LOBBYIST'S NAME
-----------------	-----------------

None

Check here [] if continued on attached sheet

Report additional information on plain 8 1/2 x 11 paper using format of each question. Attach pages to this report. Put your name and the date on all attachments.

To the best of my knowledge and belief, the above is a true and correct compilation:

SIGNATURE: (Person Filing Statement)

Date

Curtis Monroe Watkins

6/2/08

OTHER GOVERNMENT AGENCIES

Contact the following agencies about questions that may arise in their areas:

QUESTIONS ABOUT	AGENCY	TELEPHONE
Federal Income Tax	Internal Revenue Service	1-800-424-1040
Employer ID number (form SS-4) (if committee has employees)	"	"
Employee withholding (W-4 form)	"	"
Social Security	Social Security Administration	1-300-772-1213
Federal Campaign Reporting	Federal Election Commission 999 E Street, N.W. Washington, D.C. 20005	1-800-424-9530
State Taxes	Oklahoma Tax Commission 2501 North Lincoln Boulevard Oklahoma City, OK 73194	405-521-4321
	OK Employment Security Comm. 2401 North Lincoln Boulevard Oklahoma City, OK 73105-4495	405-557-7200
Business Licenses	Local City Clerk or Treasurer	
Liquor and Banquet Permits	Alcoholic Beverage Law s Enf. Comm. 2501 North Stiles Oklahoma City, OK 73105	405-521-3484
Health Permits (Food Sales)	Department of Food Protection 1000 Northeast 10th Street Oklahoma City OK 73152	405-271-5243
Postal permits, Mailing Use of	Local U.S. Post Office	
Declaration of Candidacy Candidate packet	Local County Election Board OR State Election Board State Capitol Building, Room 3 P.O. Box 53156 Oklahoma City, OK	405-521-2391
Election Laws	Local District Attorney	
Political Broadcasting	Federal Communications Commission Broadcast Bureau Washington, D.C. 20554	202-632-7000
Sign Regulations	Local Police or Sheriff	

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ETHICS COMMISSION

**2300 North Lincoln Blvd, Rm B-5
Oklahoma City, OK 73105-4812
(405) 521-3451 • FAX (405) 521-4905**

E-mail: Marilyn.Hughes@ethics.ok.gov – Director
Rebecca.Adams@ethics.ok.gov – General Counsel
Darey.Roberts@ethics.ok.gov – Complaints/Audits
Patti.Bryant@ethics.ok.gov – Campaign Reporting/Assessments
Charles.Knight@ethics.ok.gov – Electronic Filing/Website
Janice.Gafford@ethics.ok.gov – Financial Disclosure/Electronic Filing
Merlin.Rios@ethics.ok.gov – Lobbyists/Copies

Website: **www.ethics.ok.gov**