



# OKLAHOMA ETHICS COMMISSION

PHONE: (405) 521-3451 • FAX: (405) 521-4905 • WEBSITE: [WWW.ETHICS.OK.GOV](http://WWW.ETHICS.OK.GOV)

## 2022 ELECTIONS COUNTY CANDIDATE CAMPAIGN

Thank you for your interest in serving. This document is part of a more thorough packet of information available at [www.ethics.ok.gov](http://www.ethics.ok.gov).

1. **Review the information** provided on the County Candidates page of the Ethics website under “Local Campaigns.” This page includes reporting calendars, a Guide for County Candidates, laws, a contribution chart, checklists, and much more.

2. **Registration and Reporting with the County Election Board:**

All committees must register within 10 days of either:

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- **receiving** over \$1,000 worth of funds, loans, goods, services, transfers from prior committees; or
- **spending** over \$1,000 for your 2022 campaign, including funds expended by the Candidate.

The screenshot shows the Oklahoma Ethics Commission website. At the top, there are navigation tabs for Campaigns, State Officers & Employees, Resources, and Commission. Below this is the 'ETHICS COMMISSION OFFICE SCHEDULE' section, which lists regular office hours and provides email and phone contact information. A 'Sign up for e-updates' button is also present. Below the schedule is a 'DUE DATES' section for the 2022 1st Quarter Report and Lobbyist/Liaison March Reports. The main content area is a grid of four columns: Campaigns, State Officers & Employees, Resources, and Commission. Each column contains a list of sub-items. At the bottom, there are buttons for 'View & File Reports The Guardian System' and 'Contact Us', along with a 'Next Commission Meeting' announcement for April 8, 2022.

The forms may be found on the “County Campaigns” page under “Local Campaigns.” The \$50 registration fee may be paid to the County Election Board when submitting your Statement of Organization.

All committees that are required to register **must** file periodic reports with the County Election Board. The 2022 Election Cycle Reporting Calendar is on the “County Campaigns” page at [www.ethics.ok.gov](http://www.ethics.ok.gov)

- **Next Report is Due April 1-30, 2022.** This 1<sup>st</sup> Quarter Contributions and Expenditure Report includes all committee activity through March 31, 2022, not reported previously.

**Ethics Commission Compliance Officers:** Compliance Officers assist committees with registration and filing reports. Compliance Officers will not interpret the rules or how the Rules apply to specific or hypothetical situations. Questions may be emailed to [ethics@ethics.ok.gov](mailto:ethics@ethics.ok.gov) after the Candidate Guide has been reviewed.



# OKLAHOMA ETHICS COMMISSION

## REGISTRATION CHECKLIST FOR A NEW COUNTY CAMPAIGN COMMITTEE

Read through the checklist before completing any items and use it with the Candidate Guide (County Office) and Ethics Rules.

ITEM	DESCRIPTION
<input type="checkbox"/>	<p>Read the Guide for Candidates (County Office)</p> <ul style="list-style-type: none"> <li>• The Guide for Candidates (County Office) summarizes the Ethics Rules that apply to county candidates.</li> <li>• Available at <a href="http://www.ethics.ok.gov">www.ethics.ok.gov</a> on the “<u>County</u>” page under the “Campaigns” tab, “Local Campaigns” link.</li> </ul>
<input type="checkbox"/>	<p>Prior Committee Information</p> <p>Does this candidate have an <u>active county level</u> campaign committee for a prior election?</p> <p><b>YES:</b> Discontinue with this Checklist and use the “<a href="#">Transitioning to a New County Campaign Committee Checklist</a>” available at <a href="http://www.ethics.ok.gov">www.ethics.ok.gov</a> under the “Campaigns” tab, “Local Campaigns” link.</p> <p><b>NO:</b> Continue to the next step.</p>
<input type="checkbox"/>	<p>Name the Campaign Committee</p> <p>Campaign committee name must include the following:</p> <ol style="list-style-type: none"> <li>1. Name of the candidate (i.e., full name, first name, middle name or last name of candidate); <b>and</b></li> <li>2. Year of the election</li> </ol> <p>Example: “Doe for County Commissioner 2022” or “John Doe for Sheriff 2022”</p>
<input type="checkbox"/>	<p>Identify Officers for the Committee</p> <ul style="list-style-type: none"> <li>• Chair and Treasurer are required officers (the same person may be both; the candidate may be Chair, Treasurer or both).</li> <li>• The Deputy Treasurer is optional but recommended.</li> <li>• The campaign may have other officers and personnel; however, none of these officers can relieve the Chair or Treasurer of their legal obligations under the Ethics Rules.</li> <li>• <b>NOTE:</b> The Treasurer is legally responsible for the filing of timely and accurate reports for the county campaign and maintaining all associated records for four years.</li> </ul>
<input type="checkbox"/>	<p>Open a Campaign Committee Depository (bank, credit union, or other financial institution)</p> <ul style="list-style-type: none"> <li>• The depository (i.e. bank account) account name must have the full name of the campaign committee, which includes the name of the candidate and year of the election.</li> <li>• The financial institution (bank) must ordinarily do business in Oklahoma.</li> <li>• If the financial institution requires the Statement of Organization (“SO”) to open the campaign bank account, bring the notarized SO for the bank to review prior to filing it with the County Election Board.</li> <li>• Employer ID Number (EIN) may be required by the financial institution. See <a href="http://www.irs.gov">www.irs.gov</a> to obtain one.</li> </ul> <p><b>NOTE:</b> All campaign funds expended and received are required to run through the committee’s bank account. This includes a candidate’s personal funds spent for a campaign.</p> <p>If a candidate spent personal funds that were not first deposited into the campaign bank account for his or her campaign, the candidate may be reimbursed with campaign committee funds within 90 days of expense. After the 90 days, non-reimbursed expenses are considered contributions to the campaign from the candidate, must be reported accordingly, and are not able to be refunded.</p>

<input type="checkbox"/>	<p>Register with the <b>County Election Board</b></p>	<ul style="list-style-type: none"> <li>• Have you received in excess of \$1,000 for your campaign?</li> <li>• Have you spent in excess of \$1,000 on your campaign?</li> </ul> <p><b>NOTE:</b> The \$1,000 threshold includes candidate’s personal funds spent on his/her own campaign.</p> <p><b>YES:</b> If you answered “yes” to <u>either</u> of these questions, then you are <u>required</u> to file a Statement of Organization with the <b>County Election Board</b> within 10 calendar days of exceeding \$1,000 of activity for the campaign. Go to next section.</p> <p><b>NO:</b> If you answered “no” to <u>both</u> questions, you can, but are <u>not</u> required, to file a Statement of Organization at this time. A Statement of Organization must be filed within 10 calendar days of spending or receiving over \$1,000. Campaign committees with \$1,000 or less of activity are not required to register or file reports.</p>
<input type="checkbox"/>	<p>File a <i>Statement of Organization</i> with the <b>County Election Board</b> (if required to register)</p>	<p>File a <b>Notarized</b> Statement of Organization “SO” and <b>pay the \$50 registration fee</b> from the Committee’s depository. SO’s are available on the Ethics Commission website at <a href="http://www.ethics.ok.gov">www.ethics.ok.gov</a> under the “Campaigns” tab, “Local Campaigns” link.</p> <ul style="list-style-type: none"> <li>• Save the form to your computer to type on the form or print the form and fill out by hand.</li> <li>• After the form is complete, have the Statement of Organization notarized.</li> <li>• File the notarized Statement of Organization with the <b>County Election Board</b>, along with a check from the campaign bank account in the amount of <b>\$50</b> (payable to the County Election Board).</li> </ul>
<input type="checkbox"/>	<p>File <i>Contributions and Expenditures Reports</i> as Required by the Ethics Rules (If required to register)</p>	<ul style="list-style-type: none"> <li>• The county reporting calendar is at <a href="http://www.ethics.ok.gov">www.ethics.ok.gov</a>. <b>Required reports:</b> Pre-election reports are required <i>prior to elections</i>, post-general election reports are required to close out the election year, and quarterly reports are required at all other times.</li> <li>• For each required filing period, file the Contributions and Expenditures Summary Report and any schedules (A-J) that apply. Do not include blank schedules.</li> <li>• The fillable report forms are available on the Ethics Commission website (<a href="http://www.ethics.ok.gov">www.ethics.ok.gov</a>) on the “<a href="#">County Page</a>” under the “Local Campaigns” link in the “Campaigns” tab, along with reporting schedules.</li> <li>• File reports until the campaign committee is properly dissolved in accordance with the Ethics Rules, see “Dissolving a <u>County</u> Campaign Committee Checklist.”</li> </ul>
<input type="checkbox"/>	<p>File <i>Continuing Report of Contributions (CRC)</i> as Required by the Ethics Rules</p>	<ul style="list-style-type: none"> <li>• Continuing Report of Contributions (CRC) reports are only due during the two weeks before an election in which the candidate’s name is on the ballot (i.e., primary, runoff, or general).</li> <li>• These reports must be filed within 24 hours of receiving contributions totaling more than \$1,000 from a single source, and also with each subsequent contribution from that source regardless of value.</li> <li>• Loans, campaign expenses using personal funds, monetary contributions, and in-kind contributions from a single source are all contributions aggregated (totaled) to determine if a CRC (24-hour) report is required.</li> </ul>
<input type="checkbox"/>	<p>File Personal Financial Disclosure Statement (PFD)</p>	<ul style="list-style-type: none"> <li>• Newly elected county officers will file the PFD <u>within 30 days of assuming office</u>. PFD’s will then be filed annually between January 1<sup>st</sup> and May 15<sup>th</sup> of each year. This report will cover the previous calendar year.</li> </ul>
<input type="checkbox"/>	<p>Maintain All Records for 4 Years</p>	<ul style="list-style-type: none"> <li>• The committee must retain all receipts, bank statements and other documentation supporting the Contributions and Expenditures Reports for <b>FOUR (4) years</b>. The Committee is required to provide these documents to the Ethics Commission upon request.</li> </ul>

**Questions about the Ethics Commission Rules or Filing Requirements?**

Call the Ethics Commission staff at (405) 521-3451 or email the staff at [ethics@ethics.ok.gov](mailto:ethics@ethics.ok.gov)



# Oklahoma Ethics Commission

## 2022 Elections: County Campaign Committees formed for the 2022 Regular Election Cycle

Campaign committees are required to register with the County Election Board within 10 calendar days of spending or receiving in excess of \$1,000 by filing a Statement of Organization (“SO”). Once registered, the committee is required to file reports until the committee is dissolved in accordance with the Ethics Rules and a final report is filed.

**Contributions and Expenditures Reports:** The first report is due during the “Reports Due Between” dates corresponding to the “Period Covered” column that includes the date the SO was or should have been filed. Contributions and Expenditures Reports are required every pre-election reporting period *regardless* of whether the candidate is participating in the election.

**24-Hour Continuing Reports of Contributions (“CRC”)** are required during the two weeks before an election *if* the candidate’s name appears on the ballot. CRCs are due within 24 hours from the deposit date of a contribution that brings a single contributor’s total to over \$1,000 and within 24-hours of each additional contribution by that contributor—regardless of amount. Candidate funds, including loans, are contributions and may require CRC reports.

Call the Oklahoma Ethics Commission with any questions at (405) 521-3451 or email [ethics@ethics.ok.gov](mailto:ethics@ethics.ok.gov).

REPORTS DUE BETWEEN	PERIOD COVERED	TYPE OF REPORT DUE
January 1 – January 31, 2022	October 1 – December 31, 2021	4th Quarter Contributions and Expenditures
April 1 – April 30, 2022	January 1 – March 31, 2022	1st Quarter Contributions and Expenditures
<b>PRE-PRIMARY ELECTION REPORTING</b>		
June 14 – June 20, 2022	April 1 – June 13, 2022	Pre-Primary Contributions and Expenditures Report Required of <b>all 2022</b> candidates
Within 24 hours of accepting in excess of \$1,000 in the aggregate from a contributor	June 14 – June 26, 2022	Continuing Report of Contributions (CRC) Required only by candidates in the primary election.
<b>JUNE 28, 2022 - PRIMARY ELECTION</b>		
<b>PRE-RUNOFF PRIMARY ELECTION REPORTING</b>		
August 9 – August 15, 2022	June 14 – August 8, 2022	Pre-Runoff Primary Contributions and Expenditures Report Required of <b>all 2022</b> candidates
Within 24 hours of accepting in excess of \$1,000 in the aggregate from a contributor	August 9 – August 21, 2022	Continuing Report of Contributions (CRC) Required only by candidates in the runoff election.
<b>AUGUST 23, 2022 - RUNOFF PRIMARY ELECTION</b>		
<b>PRE-GENERAL ELECTION REPORTING</b>		
October 25 – October 31, 2022	August 9 – October 24, 2022	Pre-General Contributions and Expenditures Report Required of <b>all 2022</b> candidates
Within 24 hours of accepting in excess of \$1,000 in the aggregate from a contributor	October 25 – November 6, 2022	Continuing Report of Contributions (CRC) Required only by candidates in the general election.
<b>NOVEMBER 8, 2022 - GENERAL ELECTION</b>		
January 1 – January 31, 2023	October 25 – December 31, 2022	Post-General Partial Quarter Contributions and Expenditures
<b>QUARTERLY REPORTING UNTIL DISSOLVED</b>		
<i>Quarterly reports are required until the committee is dissolved in accordance with the Ethics Rules and a final report is filed.</i>		
REPORTS DUE BETWEEN	PERIOD COVERED	TYPE OF REPORT DUE
April 1 – April 30, 20XX	January 1 – March 31, 20XX	1st Quarter Contributions and Expenditures
July 1 – July 31, 20XX	April 1 – June 30, 20XX	2nd Quarter Contributions and Expenditures
October 1 – October 31, 20XX	July 1 – September 30, 20XX	3rd Quarter Contributions and Expenditures
January 1 – January 31, 20XX	October 1 – December 31, 20XX	4th Quarter Contributions and Expenditures

## MANDATORY DISSOLUTION DATES

Does not take office	2 year term	4 year term	6 year term
November 8, 2024	November 8, 2024	November 8, 2026	November 8, 2028

Any funds remaining in the Committee 90 days after the required dissolution date are forfeited to the General Revenue Fund of the State of Oklahoma.

## 2022 State Elections: Contribution Chart

CONTRIBUTORS	RECEIVING COMMITTEES				
	State Candidate Committee	Limited Committee	1/25 Committee	Party Committee	Unlimited Committee
Individuals** (candidates may give unlimited contributions to their own campaign)	Per Election Limit*: \$2,900	\$5,000 per year	\$5,000 per year	\$10,000 per year (may be split between multiple party committees)	No Limits
	Unopposed Candidates: \$2,900 per campaign				
Limited Committee (other than 1/25 committees)	Per Election Limit*: \$5,000	\$5,000 per year***	Nothing	\$10,000 per year (may be split between multiple party committees)	Nothing
	Unopposed Candidates: \$5,000 per campaign				
1/25 Limited Committee	Per Election Limit*: \$2,500	Nothing	Nothing	\$5,000 per year (may be split between multiple party committees)	Nothing
	Unopposed Candidates: \$2,500 per campaign				
State Candidate Committee	\$2,900 per campaign (from 2022 committee to 2022 committee)	Nothing	Nothing	Up to \$25,000, only after the race is decided for that candidate	Nothing
Political Party	Statewide Office: \$25,000 prior to general election	Nothing	Nothing	Unlimited transfers between committees in same party	Nothing
	All Other State Offices: \$10,000 prior to general election				
Unlimited Committee	Nothing	Nothing	Nothing	Nothing	Unlimited***
Corporations	Nothing	Nothing	Nothing	Nothing	Unlimited

### \*PER ELECTION LIMITS

Contribution limits are election specific with limits resetting after each election *only if* the candidate's name will appear on another ballot during the election cycle. A contributor may not provide one contribution to be allocated for multiple elections. After the general election, contributors may make additional contributions so long as the overall total given by the contributor does not exceed the amount of a single election limit for that contributor type.

\*\***CASH & ANONYMOUS CONTRIBUTIONS:** No more than \$50 of a contributor's contribution may be in cash or from an anonymous source. Cash or anonymous contributions received in excess of \$50 must either be returned to the contributor (if known) or given to the State Treasurer's office to the general revenue fund of the state of Oklahoma.

\*\***TRIBES:** Contributions from tribes are acceptable, as long as the tribe is not incorporated; tribes follow the individual contribution limit of \$2,900 per election.

\*\*\***COMMITTEE TYPE & PURPOSE:** A PAC may only contribute to another PAC of the same type and with the same purpose.

# CANDIDATE COMMITTEES

## REQUIRED DISCLOSURE LANGUAGE: SIGNS, ADS, MAILINGS, ETC.

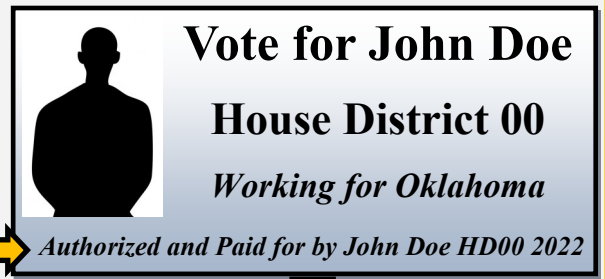
Campaign advertisements and communications—broadcast or printed—may require a disclosure statement. The following chart shows some, but not all, common items involved with candidate committees and whether a disclosure is required.

### PRINTED/ELECTRONIC ADVERTISEMENT DISCLOSURE

The *exact* following language must be included in a Candidate Committee advertisement made via electronic or other printed medium either orally or in writing:

**“Authorized and Paid for by [Insert Committee Name\*]”**

**\*Election year is part of the Committee name.**



Disclosures must be of **sufficient size** and **contrast** to be clearly readable by the intended recipient

**This:**



Authorized and Paid for by  
John Doe for Senate 2022

**NOT this:**



Authorized and Paid for by John Doe for  
Senate 2022



Paid for and Authorized by John  
Doe for Senate 2022



Paid for by John Doe for Senate 2022












**Reusable Materials: Only** printed advertisements that are capable of re-use in another campaign are not required to include the election year in the disclosure.

### Advertisements as Contributions









When a contributor is coordinating an ad buy for/with a candidate committee, this is an ad requiring the disclosure language and candidate approval. In these instances the contributor should make a **direct monetary** contribution to the committee.

- The committee must issue a check to the advertiser, and ensure the disclosure is included.
- The candidate committee will report this as a monetary contribution from the contributor and an expenditure by the candidate committee.

### REQUIRES THE DISCLOSURE:

	Newspaper, Magazine & Internet Ads	
	Video Ads	
	Mailings	
	Website	
	Banners & Signs (Larger than 18"x24")	
	Handbills/Flyers	
	Door Hangers	

### DOES NOT REQUIRE THE DISCLOSURE:

	T-shirts & Hats	
	Yard Signs (18"x24" or smaller)	
	Bumper Stickers	
	Campaign Buttons	

## CANDIDATE COMMITTEES: CAMPAIGN EXPENSES

Contributions accepted by a candidate and a candidate committee may be used for the following types of expenditures:

- **Ordinary & necessary campaign expenses:** expenses that would not exist but for the campaign.
- **Officeholder expenses:** (apply only to elected officials) and are limited to the amount transferred forward from the committee for the **term of office they are currently serving**, not the term they are seeking re-election to. These expenses are expenses required because of the office held and are unique to the *office* not the *office holder*.
- **Surplus funds:** funds remaining in a campaign after the race for the candidate is decided.
- **Contributions to other State level candidates:** Per campaign limits apply (*dependent on original committee limits*).

Contributions shall **not** be spent for “personal use” which is “any use of funds to fulfill a commitment, obligation, or expense of any person that would exist irrespective of a committee’s activities or holder of elective state office.”

### EXAMPLES OF PERMISSIBLE ORDINARY AND NECESSARY CAMPAIGN EXPENSES

<b>Political Party Event Entry or Services Only.</b> Example: Party X hosts a dinner event and charges \$100 per ticket although Party X’s cost is \$25/person. The candidate committee may pay \$25 but not \$100. No contribution may be made to a Political Party Committee until the candidate’s race is decided.	<b>Vehicle Travel:</b> include dates, # of miles traveled, purpose and reimbursement rate for 2022 (\$0.585 or less). Example: 1,320 miles @ \$0.585 for Jan. and Feb. for campaign travel. <i>*Note: The reimbursement rate changes in accordance with the State Travel Reimbursement Act rates.</i>
<b>Campaign Consulting Fees:</b> report with description of type of consulting. <u>Example:</u> Strategic, Fundraising or Media consulting.	<b>Online Merchant Processing Fees</b>
<b>Office Supplies and Equipment</b> (Assets must be sold at the close of committee)	<b>Campaign Office Rent</b>
<b>Advertising</b>	<b>Legal Fees for the campaign</b>
<b>Staff Salaries:</b> Report such expense by staff member’s name	<b>Individual Memberships in Civic or Charitable Organizations:</b> <i>does not include lifetime memberships.</i>
<b>Modestly Valued Campaign Related Goods for Contributors and Volunteers.</b> <u>Examples:</u> shirts, hats, bumper stickers or goods with campaign logo/slogan	<b>Food and Beverages Related to Campaigning:</b> door knocking, watch party, envelope stuffing, etc.
<b>Bookkeeping or Accounting Services</b>	<b>Loan Payments: Only for properly executed loans.</b> For candidates, this requires loan documents signed by lender and committee contemporaneously with the loan, and for the funds to <u>actually be deposited</u> in the campaign depository.
<b>Reimbursement to Candidate for Campaign Purchases made with personal funds <u>within 90 days of the original expenditure</u></b> (initial purchase recorded as an in-kind expense to the vendor)	

### EXAMPLES OF PROHIBITED “PERSONAL USE” EXPENSES

<b>Personal residence mortgage, rent, utilities, food &amp; supplies:</b> even when the house is used for campaign purposes	<b>Gifts:</b> other than modestly valued campaign related goods to contributors or volunteers
<b>Concert, theater, or sports tickets</b>	<b>Vacations or other trips not campaign related</b>
<b>Recreational clubs or memberships/dues:</b> Hunting clubs, country clubs, fitness clubs, golf memberships, etc.	<b>Loan Interest:</b> On loan(s) made by the candidate or the joint funds of the candidate and candidate’s spouse
<b>Personal items:</b> including, but not limited to, apparel (other than modestly valued clothing with campaign logo), footwear, grooming, accessories & dry cleaning	<b>Vehicle maintenance and gasoline:</b> Only permissible if vehicle is wholly owned/leased by the candidate committee, used exclusively for campaign or officeholder purposes, and purchased from a licensed car dealer.

# CANDIDATE COMMITTEE CAMPAIGN RECORDS & POLICIES

Committees must report & maintain records for all funds, goods and services given to & leaving the committee.

## Best Practice: Create Written Committee Policies

*The following are some recommended written policies to consider:*

- **Notice to Treasurer of Responsibilities under the Ethics Rules & Acceptance by Treasurer**
- **Signatory Authority:**
  - Who can sign checks/debit cards?
  - Are there restrictions on amount?
  - Contact Treasurer for approval?
- **Determine how to maintain information:**
  - Contributor Statements?
  - Contribution log (monetary and in-kind)?
  - Copies of checks and record of cash?
- **Candidate Reimbursement (90 days to reimburse):**
  - Receipts provided to Treasurer in time for report filing.
  - Name of ultimate vendor to whom payment was made: including Time/Date/Reason.

## Depository Records and Statements:

- Verify depository has location doing business in Oklahoma
- Account Opening Records
- Signatory Cards
- Deposit Records
- Copies of Checks
- All Statements

### Before Closing Account:

- Print Off or Save All Bank Records

## KEEP RECORDS FOR

# 4

## YEARS

## Required Contributor Records for Contributions:

*Must use best efforts to obtain contributor information regardless of the amount or value of the contribution.*

- **From Individual Contributors and Tribes:**
  - Name and Address
  - Occupation and Employer (N/A for Tribes)
- **Limited Liability Company/Limited Partnership (LLC/LP)**
  - Report through Members & Partners as individuals (see required info. above)
  - NEED:** Member/Partner Name and % of ownership for each member / partner to allocate and report contributions on reports.
  - No contributions if any Members/Partners are incorporated
- **From Committee Contributors—Committee cannot accept Corporate Funds:**
  - Committee #** (OK/Ethics ID, FEC, or number assigned by another state)
  - Committee Address
  - Out of State (Non-FEC) PACs:** required to submit notice of registration to the Ethics Commission before contributing to Oklahoma candidates.
- **In-kind Contributions** - fair market value and description of goods or services

## Expenditure Records:

- **Mileage Log:** Date, Amount Miles, Rate, Reason for travel.
- Contracts
- Check Register
- Debit Card Records
- Loan Payments
- Records of Purchased Assets/ Services
- Invoices
- Receipts
- Any other information used to substantiate committee expenditure activity.

## Record Keeping for Loans

- **Written Documentation of Loan**
  - Made close in time to funds deposit date
  - Lender information
  - Recipient Committee information
  - Signed by Lender and Treasurer
  - Terms: interest rate and payments, such as “repay through contributions”, “repay as able,” etc.
- **Deposit in Campaign Depository**
  - Deposit slip or other records of deposit

**Limits From Candidate or Joint Funds of Candidate and Spouse:** No Limits

**2022 Election Limits From Other Individual:** \$2,900/election a candidate’s name is on the ballot. (Contribution limits).

**Limit From Banks or Financial Institutions:** Not a contribution so long as it is on same terms available to the public.



*If there is a conflict between information on this form and the Ethics Rules, the Ethics Rules control.*



# COMPLIANCE & COMPLAINTS

Ethics Commission Rules have the full force and effect of statutes and the Commission is required to enforce its rules. The process is summarized below. For more information, see the *Enforcement and Compliance Guide* at [www.ethics.ok.gov](http://www.ethics.ok.gov).

## PAST DUE REPORTS, FORMAL COMPLAINTS & INVESTIGATIONS

The Complaints process arises via (1) complaints filed with Commission by a member of the public or (2) internal complaint filed by the Commission staff.

**Investigations and Complaints.** A written complaint will be filed and considered by the Commissioners of the Ethics Commission. At Commission meetings, the Commission will decide whether to open investigations for alleged violations of the Ethics Rules. Once an investigation is opened, the Commission has the power to issue subpoenas to further its investigation. A formal investigation may be resolved through dismissal, a Settlement Agreement or may be prosecuted as a civil case in District Court. The Commission will not take action, other than dismissal, until the Respondents have been notified of the alleged Rule violations and provided 20 days to respond to the allegations.

**Compliance Orders.** Due to a recent statutory change regarding the Commission's revolving fund, the Commission is currently unable to continue the Compliance Order process. However, this process is an enforcement mechanism of the Commission to resolve reporting issues, such as late fees, to avoid opening formal investigations for alleged Rule violations that appear due to be simple reporting issues, or failure to timely file reports. The Executive Director may issue compliance orders and assess fees not to exceed \$1,000. Anyone receiving a Compliance Order is provided 30 days to respond to the Order and an opportunity for an administrative hearing before an administrative law judge who may confirm the order or, for good cause shown by the recipient of the Order, the ALJ may modify or set aside the Order.

## COMPLAINTS WILL NOT BE ACCEPTED DURING THE "BLACKOUT PERIOD"

The Commission will not accept complaints that allege a candidate or a candidate committee violated the Ethics Rules during an election cycle. This complaint "blackout period" begins April 13, 2022 and ends November 8, 2022. The Commission will begin accepting complaints for 2022 candidate committees on November 9, 2022. **This provision is intended to prevent the complaint process from being used for political purposes during a campaign.**

The blackout period does not prevent the Commission from engaging in investigations during the complaints blackout period. Rule 6.4.

*If there is a conflict between information on this form and the Ethics Rules, the Ethics Rules control.*