RULES AND PROCEDURES FOR RUNNING FOR DISTRICT/CIRCUIT JUDGE

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Friday, June 21, 2013
12:00 p.m. - 1:00 p.m.
Combs-Chandler Room
Galt House Hotel
Louisville, Kentucky
A NOTE CONCERNING THE PROGRAM MATERIALS

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THE PRESENTERS

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REPRESENTATIVE JULIE R. ADAMS represents House District 32 in the Kentucky Legislature and is Vice President of Adams & Call, Inc. in Louisville. She received her B.A. from Saint Mary’s College and M.A. from The George Washington University. Prior to her election to the Legislature, Ms. Adams served as Councilwoman for the Louisville Metro Council.

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JUDGE JERRY D. CROSBY serves as a District Court Judge for the 12th Judicial District. He received his bachelor’s degree from Furman University and J.D. from the University of Kentucky College of Law. Judge Crosby currently serves as the Vice-Chief Regional District Court Judge for Northern Kentucky and Vice-President of the District Judges Association. He is also a member of the Continuing Judicial Education Commission, Court Technology Governance Committee, and the 12th Judicial District, Kentucky, and American Bar Associations.
CRAIG C. DILGER is a member in the Louisville office of Stoll Keenon Ogden, PLLC, where he practices in the areas of commercial litigation, education law, sports law, and complex white collar criminal defense law. Prior to joining the firm, Mr. Dilger served as an Assistant Commonwealth's Attorney. He is a graduate of Bellarmine University and received his J.D. from Salmon P. Chase College of Law. Mr. Dilger is admitted to practice before the United States Bankruptcy Court for the Eastern and Western Districts of Kentucky, the United States District Court for the Eastern and Western Districts of Kentucky, the United States Court of Appeals for the Sixth Circuit and the United States Supreme Court. He is a member of the Louisville, Kentucky, and American Bar Associations and the National Association of College and University Attorneys. Mr. Dilger serves as the Chair of the Kentucky Registry of Election Finance and as the coordinator and director of training for the Jefferson County Teen Court. In addition, he coaches the Mock Trial Team at Saint Xavier High School and is part of the Project Safe Neighborhoods Task Force.

SECRETARY OF STATE ALISON LUNDERGAN GRIMES serves as Kentucky's 76th Secretary of State. Prior to her election, she was employed by the National Kidney Foundation and maintained a private practice. Secretary Grimes received her B.A. from Rhodes College and her J.D., with honors, from American University, Washington College of Law. She serves on the Board of Directors of God's Pantry Food Bank and has served as President of the Fayette County Bar Association's Women Lawyers Association and as a member of the 2008 Democratic National Convention Rules Committee. Secretary Grimes was the recipient of the Fayette County Bar Association's 2010 Outstanding Young Lawyer.
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JUSTICE MARTIN E. JOHNSTONE is a retired Kentucky Supreme Court Justice who served from November 1996 until his retirement in 2006. He was the first judge in Kentucky to be elected to all levels of the Court of Justice, having served as a Judge in the Third Magisterial District, a District Judge in Jefferson County, a Circuit Judge of Jefferson County Circuit Court, a Judge of the Kentucky Court of Appeals, and lastly a Kentucky Supreme Court Justice. Justice Johnstone has received numerous awards for his professional service and is also actively involved in several professional organizations. He received his B.A. from Western Kentucky University and his J.D. from the University of Louisville Louis D. Brandeis School of Law.
KENTUCKY CODE OF JUDICIAL CONDUCT

Below is a brief overview of the preamble and Canons of Judicial Conduct. For the full text and commentary see SCR 4.300.

The Code of Judicial Conduct is intended to establish standards for ethical conduct of judges. It consists of broad statements called Canons and specific rules set forth in SCR 4.300.

The Canons and Sections are rules of reason. They should be applied consistently with constitutional requirements, statutes, other court rules and decisional law and in the context of all relevant circumstances, including the varying degrees of responsibility and administrative functions of different levels of courts. The Code is to be construed so as not to impinge on the essential discretion of judges in making judicial decisions.

The Code is designed to provide guidance to judges and candidates for judicial office and to provide a structure for regulating conduct through disciplinary agencies. It is not designed or intended as a basis for civil liability or criminal prosecution. Furthermore, the purpose of the Code would be subverted if the Code were invoked by lawyers for mere tactical advantage in a proceeding.

The Code of Judicial Conduct is not intended as an exhaustive guide for the conduct of judges. They should also be governed in their judicial and personal conduct by general ethical standards.

CANON 1: A JUDGE SHALL UPHOLD THE INTEGRITY AND INDEPENDENCE OF THE JUDICIARY

CANON 2: A JUDGE SHALL AVOID IMPROPRIETY AND THE APPEARANCE OF IMPROPRIETY IN ALL OF THE JUDGE’S ACTIVITIES

A. A judge shall respect and comply with the law and shall act at all times in a manner that promotes public confidence in the integrity and impartiality of the judiciary.

   (The test for appearance of impropriety is whether the conduct would create in reasonable minds a perception that the judge's ability to carry out judicial responsibilities with integrity, impartiality and competence is impaired.)

B. A judge may properly lend the prestige of the judge's office to advance the public interest in the administration of justice.

C. A judge may actively support public agencies or interests or testify voluntarily on public matters concerning the law.
D. A judge shall not allow family, social, political or other relationships to impair the judge’s objectivity. A judge shall not lend the prestige of judicial office to advance the private interests of the judge or others.

E. A judge shall not hold membership in any organization that practices invidious discrimination on the basis of race, sex, religion or national origin.

CANON 3: A JUDGE SHALL PERFORM THE DUTIES OF JUDICIAL OFFICE IMPARTIALLY AND DILIGENTLY

A. The judicial duties of a judge take precedence over all the judge’s other activities.

B. Adjudicative Responsibilities.

(1) A judge shall hear and decide matters assigned to the judge except those in which disqualification is required.

(2) A judge shall be faithful to the law and maintain professional competence in it. A judge shall not be swayed by partisan interests, public clamor or fear of criticism.

(3) A judge shall require order and decorum in proceedings before the judge.

(4) A judge shall be patient, dignified and courteous to litigants, jurors, witnesses, lawyers and others with whom the judge deals in an official capacity.

(5) A judge shall perform judicial duties without bias or prejudice.

(6) A judge shall require lawyers in proceedings before the judge to refrain from manifesting by words or conduct bias or prejudice based upon race, sex, religion, national origin, disability, age, sexual orientation or socio-economic status, against parties, witnesses, counsel or others.

(7) A judge shall accord to every person who has a legal interest in a proceeding the right to be heard according to law. A judge shall not initiate, permit, or consider ex parte communications with attorneys and shall not initiate, encourage or consider ex parte communications with parties.

1 Except that:

(a) Where circumstances require, ex parte communications for scheduling, initial fixing of bail, administrative purposes or emergencies that do not deal with substantive matters or issues on the merits are authorized; provided:

(i) the judge reasonably believes that no party will gain a procedural or tactical advantage as a result of the ex parte communication, and

(ii) the judge makes provision promptly to notify all other parties of the substance of the ex parte communication and allows an opportunity to respond.
(8) A judge shall dispose of all judicial matters promptly, efficiently and fairly.

(9) A judge shall not make any public comment that might reasonably be expected to affect its outcome or impair its fairness or make any non-public comment that might substantially interfere with a fair trial or hearing.  

(10) A judge shall not commend or criticize jurors for their verdict other than in a court order or opinion in a proceeding, but may express appreciation to jurors for their service to the judicial system and the community.

(11) A judge shall not disclose or use, for any purpose unrelated to judicial duties, nonpublic information acquired in a judicial capacity.

C. Administrative Responsibilities.

(1) A judge shall diligently discharge the judge's administrative responsibilities without bias or prejudice and maintain professional competence in judicial administration, and should cooperate with other judges and court officials in the administration of court business.

(2) A judge shall require a judge's staff and those subject to the judge's direction and control and should encourage other court officials to observe the standards of fidelity and diligence that apply to the judge and to refrain from manifesting bias or prejudice in the performance of their official duties.

(3) A judge with supervisory authority for the judicial performance of other judges shall take reasonable measures to assure the prompt disposition of matters before them and the proper performance of their other judicial responsibilities.

(4) A judge shall not make unnecessary appointments. A judge shall exercise the power of appointment impartially and on the basis of merit.

(b) As a part of legal research, a judge may obtain the advice of a disinterested expert on the law applicable to a proceeding before the judge.

(c) A judge may consult with court personnel whose function is to aid the judge in carrying out the judge’s adjudicative responsibilities or with other judges.

(d) A judge may, with the consent of the parties, confer separately with the parties and their lawyers in an effort to mediate or settle matters pending before the judge.

(e) A judge may initiate or consider any ex parte communications when expressly authorized by law to do so.

2 This Section does not prohibit judges from making public statements in the course of their official duties or from explaining for public information the procedures of the court. This Section does not apply to proceedings in which the judge is a litigant in a personal capacity.
D. Disciplinary Responsibilities.

(1) A judge who receives information indicating a substantial likelihood that another judge has committed a violation of this Code should take appropriate action.

(2) A judge who receives information indicating a substantial likelihood that a lawyer has committed a violation of the Kentucky Rules of Professional Conduct should take appropriate action.

(3) A judge acting in good faith in the discharge of disciplinary responsibilities required or permitted by Sections 3D(1) and 3D(2) shall be immune from any action, civil or criminal.

E. Disqualification.

(1) A judge shall disqualify himself or herself in a proceeding in which the judge’s impartiality might reasonably be questioned, including but not limited to instances where:

(a) the judge has a personal bias or prejudice concerning a party or a party's lawyer, or personal knowledge of disputed evidentiary facts concerning the proceeding;

(b) the judge served as a lawyer in the matter in controversy, or a lawyer with whom the judge previously practiced law served during such association as a lawyer concerning the matter, or the judge has been a material witness concerning it;

(c) the judge knows that he or she, individually or as a fiduciary, or the judge's spouse, parent or minor child residing in the judge’s household, has any interest, more than a de minimis interest, in the subject matter in controversy or in a party to the proceeding that could be substantially affected by the proceeding;

(d) the judge or the judge's spouse, or a person within the third degree of relationship to either of them, or the spouse of such a person:

(i) is a party to the proceeding, or an officer, director or trustee of a party;

(ii) is acting as a lawyer in the proceeding;

(iii) is known by the judge to have a more than de minimis interest that could be substantially affected by the proceeding;

(iv) is to the judge's knowledge likely to be a material witness in the proceeding.
(2) A judge shall keep informed about the judge’s personal and fiduciary economic interests, and make a reasonable effort to keep informed about the personal economic interests of the judge’s spouse and minor children residing in the judge’s household.

**CANON 4: A JUDGE SHALL SO CONDUCT THE JUDGE’S EXTRA-JUDICIAL ACTIVITIES AS TO MINIMIZE THE RISK OF CONFLICT WITH JUDICIAL OBLIGATIONS**

A. Extra-judicial Activities in General. A judge shall conduct all of the judge’s extra-judicial activities so that they do not:

(1) cast reasonable doubt on the judge’s capacity to act impartially as a judge;

(2) demean the judicial office; or

(3) interfere with the proper performance of judicial duties.

B. Vocational Activities. A judge may speak, write, lecture, teach and participate in other extrajudicial activities concerning the law, the legal system, the administration of justice and non-legal subjects, subject to the requirements of this Code.

C. Governmental, Civic or Charitable Activities.

(1) A judge shall not appear at a public hearing before, or otherwise consult with, an executive or legislative body or official except on matters concerning the law.

(2) A judge shall not accept appointment to a governmental committee or commission or other governmental position that is concerned with issues of fact or policy on matters other than the improvement of the law.

(3) A judge may serve as an officer, director, trustee or non-legal advisor of an organization or governmental agency devoted to the improvement of the law or of an educational, religious, charitable, fraternal or civic organization not conducted for profit.\(^3\)

D. Financial Activities.

(1) A judge shall not engage in financial and business dealings that:

(a) may reasonably be perceived to exploit the judge’s judicial position, or

(b) involve the judge in frequent transactions or continuing business relationships with those lawyers or other persons likely to come before the court on which the judge serves.

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\(^3\) Subject to limitations.
(2) A judge may, subject to the requirements of this Code, hold and manage investments of the judge and members of the judge's family, including real estate, and engage in other remunerative activity.

(3) A judge may serve as an officer, director, manager, general partner, advisor or employee of any business entity subject to the following limitations and the other requirements of this Code:

(a) A judge shall not be involved with any business entity

(i) generally held in disrepute in the community, or

(ii) likely to be engaged in proceedings that would ordinarily come before the judge, or

(iii) likely to be engaged frequently in adversary proceedings in the court of which the judge is a member or in any court subject to the appellate jurisdiction of the court of which the judge is a member.

(b) A judge shall not personally participate in the solicitation of funds, the raising of capital or the selling of stock in such a manner as to use or permit the use of the prestige of judicial office for promotion of the business entity.

(4) A judge shall manage the judge's investments and other financial interests to minimize the number of cases in which the judge is disqualified as soon as the judge can do so without serious financial detriment.

(5) A judge shall not accept, and shall urge members of the judge's family residing in the judge's household, not to accept, a gift, bequest, favor or loan from anyone.4

F. Fiduciary Activities.

(1) A judge shall not serve as executor, administrator or other personal representative, trustee, guardian, attorney in fact or other fiduciary, except for the estate, trust or person of a member of the judge's family, and then only if such service will not interfere with the proper performance of judicial duties.

(2) A judge shall not serve as a fiduciary if it is likely that the judge as a fiduciary will be engaged in proceedings that would ordinarily come before the judge.

(3) The same restrictions on financial activities that apply to a judge personally also apply to the judge while acting in a fiduciary capacity.

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4 Exceptions apply.
G. Service as Arbitrator or Mediator. A judge shall not act as an arbitrator or mediator or otherwise perform judicial functions in a private capacity unless expressly authorized by law.

H. Practice of Law. A judge shall not practice law. Notwithstanding this prohibition, a judge may act pro se and may, without compensation, give legal advice to and draft or review documents for a member of the judge's family.

I. Compensation, Reimbursement and Reporting.

(1) Compensation and Reimbursement. A judge may receive compensation and reimbursement of expenses for the extra-judicial activities permitted by this Code, if the source of such payments does not give the appearance of influencing the judge's performance of judicial duties or otherwise give the appearance of impropriety.

(2) All candidates for judicial office and judges shall comply with KRS 61.710 et seq.

CANON 5: A JUDGE OR JUDICIAL CANDIDATE SHALL REFRAIN FROM INAPPROPRIATE POLITICAL ACTIVITY

A. Political Conduct in General.

(1) A judge or a candidate for election to judicial office shall not:

(a) act as a leader or hold any office in a political organization;

(b) make speeches for or against a political organization or candidate or publicly endorse or oppose a candidate for public office;

(c) solicit funds for or pay an assessment or make a contribution to a political organization or candidate, except as authorized in subsection A(2);

(2) A judge or a candidate for election to judicial office may purchase tickets to political gatherings for the judge or candidate and one guest, may attend political gatherings and may speak to such gatherings on the judge's or candidate's own behalf. A judge or candidate shall not identify himself or herself as a member of a political party in any form of advertising, or when speaking to a gathering. If not initiated by the judge or candidate for such office, and only in answer to a direct question, the judge or candidate may identify himself or herself as a member of a particular political party.

(3) A judge shall resign office when the judge becomes a candidate either in a party primary or in a general election for a non-judicial office.

(4) A judge shall not engage in any other political activity except on behalf of measures to improve the law.
B. Campaign Conduct.

(1) A judge or candidate for election to judicial office:

(a) shall maintain the dignity appropriate to judicial office, and shall encourage members of the candidate's family to adhere to the same standards of political conduct.

(b) shall prohibit public officials or employees subject to the candidate's direction and control from doing for the candidate what the candidate is prohibited from doing under this Canon.

(c) shall not, in connection with cases, controversies, or issues that are likely to come before the court, make pledges, promises or commitments that are inconsistent with the impartial performance of the adjudicative duties of judicial office.

(d) shall file the report referred to in Canon 4H(2).

(2) A judge or a candidate for judicial office shall not solicit campaign funds, but may establish committees of responsible persons to secure and manage the expenditure of funds for the campaign and to obtain public statements of support for the candidacy. A candidate's committees may solicit funds for the campaign no earlier than 180 days before a primary election. A candidate's committees may not solicit funds after a general election (See KRS 121.150). A candidate shall not use or permit the use of campaign contributions for the private benefit of the candidate or a member of the candidate's family.
January

1/28 – 4:00 p.m.; Candidate filing deadline: last day to file nomination papers for candidates who must run in primary (last Tuesday in January).

1/30 – Public drawing for ballot position in offices of Secretary of State and county clerks (Thursday following last Tuesday in January).

February

2/10 – Secretary of State to certify candidates' names to county clerks (second Monday after filing deadline).

March

3/31 – Deadline for printing of regular and absentee ballots for primary (fifty days before primary).

April

4/1 – 4:00 p.m.; Last day for independent, political organization and political group candidates, except candidates for federal office and candidates for mayor or legislative body in cities of the second to sixth class participating in partisan elections, to file a statement-of-candidacy form with the same office at which nomination papers are filed (not later than April 1 preceding the day fixed by law for holding of general elections for the offices sought. If filing offices is closed on April 1, form may be filed on next business day).

4/3 – Last day for county clerks to mail absentee ballots to voters who request absentee ballots prior to the printing of the ballots (within three days of the receipt of the printed ballots. Absentee ballots which are requested subsequent to the receipt of the ballots by the county clerks shall be mailed to the voter within three days of the receipt of the application.)

4/21 – Last day to register to vote for the primary.

May

5/2-5/19 – Voter may make application to vote absentee in clerk's office at least twelve working days before primary.

5/7-5/20 – Voter and his/her spouse may request paper absentee ballot because of medical emergency within fourteen days or less of an election.

5/9 – Last day to apply for mail-in absentee ballot (not later than close of business seven days before primary).
5/9-5/19 – Members of the Armed Forces confined to a military base on election day who learn of that confinement within seven days or less of an election may make application to vote absentee in the clerk’s office.

5/15 – Last day for county clerks to publish copy of ballot (not less than three days before primary).

5/20-5/30 – Voting machines to be locked (ten days following primary).

5/23 – 12:00 p.m.; County boards of elections shall certify the total number of votes to the Secretary of State’s office (not later than 12:00 p.m. prevailing time, on the Friday following the election).

5/23 – Last day for precinct sheriffs to file report (within three days after primary).

5/27 – 4:00 p.m.; Deadline to request recanvass (before 4:00 p.m. on Tuesday after primary).

5/29 – 9:00 a.m.; County boards of elections shall conduct any requested recanvass at 9:00 a.m. on Thursday after deadline to request a recanvass, and not sooner.

5/30 – Last day for county boards of elections to file post-election reports with the state board of elections and county grand jury (within ten days after primary).

June

6/2 – Last day for county boards of elections to issue certificate of nomination (not later than the second Monday after election).

6/9 – Last day for state board of elections to meet to tabulate votes and make out certificates of nomination (not later than the third Monday after election).

6/19 – Last day for county clerks to send precinct rosters and recapitulation sheets to state board of elections (within thirty days after any primary or general election).

August

8/12 – 4:00 p.m.; Candidate filing deadline: last day to file any petition, certificate or statement that must be filed by second Tuesday in August.

8/14 – 2:00 p.m.; Public drawing for ballot position in offices of Secretary of State and county clerks (Thursday following second Tuesday in August).

8/25 – Secretary of State to certify candidates' names to county clerks (second Monday after filing deadline).

September

9/15 – Deadline for printing of regular and absentee ballots (at least fifty days before election).
9/18 – Last day for county clerks to mail absentee ballots to voters who request absentee ballots prior to the printing of the ballots.

9/20 – Last day for county boards of elections to establish voting places.

October

10/6 – Last day to register to vote for the general election.

10/17-11/3 – Voter may make application to vote absentee in clerk's office at least twelve working days preceding election.

10/22-11/4 – Voter and his/her spouse may request paper absentee ballot because of medical emergency within fourteen days of election.

10/24 – Last day to file a declaration of intent to be a write-in-candidate.

10/24 – Last day to apply for mail-in absentee ballot. Applications must be received by this day.

10/24-11/3 – Members of the Armed Forces confined to military base on election day who learn of that confinement within seven days or less of an election may make application to vote absentee in the clerk's office.

10/30 – Last day for county clerks to publish copy of ballot.

November

11/4 – General Election Day.
KRS 61.730 Date for filing reports

Each person subject to KRS 61.710 to 61.780, while holding office or employment, shall file with the Kentucky Registry of Election Finance, by March 15 of each year, the written report required by KRS 61.740. Each person who is a candidate for any of the subject offices shall file with the Registry of Election Finance, by March 15 of the year in which he becomes a candidate, the report required by KRS 61.740. Nothing in KRS 61.710 to 61.780 shall be construed to require the filing of more than one (1) complete report for each subject individual each year, except that each individual shall, in writing, notify the Registry of Election Finance of the acquisition or termination of any interests subject to the requirements of KRS 61.710 to 61.780 by January 1 of each year.

61.740 Information required to be filed.

(1) Persons required to file information under KRS 61.710 to 61.780 shall file with the Registry of Election Finance the following:

(a) A description of each financial interest, direct or indirect, of a value of $1,000 or greater of himself, his spouse and his dependents, and his principal employer. Exempted from this disclosure are interests in the form of accounts in banks, savings and loan associations, and credit unions and equity interests valued at less than $1,000.

(b) A list of every office, directorship or employment held by the subject individual and by his spouse and dependents and his principal employer in any entity regardless of the income received or equity held, excepting such activities in political, religious or charitable entities if compensation of less than $1,000 per year is received.

(c) A list of all entities to whom the subject individual and his principal employer furnished compensated services valued at more than $1,000 during the period covered by the report.

(2) The values of the interests required to be reported under this section need not be disclosed. Any entity required to be reported under this section need not be identified by name. Such entity may instead be identified by the principal types of economic activities in which it engages, together with such additional detail, to be prescribed by the registry, as will fairly indicate its interests. Where disclosure is required because of legal services rendered to it, such entity may also be described by the type of legal services rendered to it.

KRS 61.750 Reports are public records

Publication of names of persons failing to file reports required by KRS 61.710 to 61.780 shall be filed with the Kentucky Registry of Election Finance and shall be public record, subject to inspection by any citizen of the Commonwealth. Within thirty (30) days after reports are due, the Registry of Election Finance shall publish a list of those persons
who have filed reports, and shall notify any person required to file, who has failed to file such report, by certified mail, return receipt requested of his failure to comply with KRS 61.710 to 61.780.

**KRS 61.770 Registry may institute action to declare vacancy upon determination violation occurred.**

Registry may institute action to declare vacancy upon determination violation occurred. The office or candidacy of any person required by KRS 61.710 to 61.780 to file a report who fails to file the report required by KRS 61.710 to 61.780 within thirty (30) days after receipt of the registry's notice of noncompliance provided in KRS 61.750 or willfully files fraudulent information shall be void, and the office or candidacy shall be filled as provided by law for the filling of the vacancy. An action to declare a vacancy under KRS 61.710 to 61.780 may be brought by the registry upon its determination, after investigation and hearing, that a violation of KRS 61.710 to 61.780 has occurred.

Since 1912 Minnesota judicial elections have been non-partisan. The announce clause, adopted by Minnesota, prohibits a "candidate for judicial office from announcing his or her views on specific nonfanciful legal question within the province of the court for which he is running, except in the context of discussing past decision and in the latter context as well, if he expresses the view that he is not bound by stare decisis. Incumbent judges who violate it are subject to discipline, including removal, censure, civil penalties, and suspension without pay and others who violate it are subject to, inter alia, disbarment." Minn. Rule of Professional Conduct 8.2(b) (2002)

While running for associate justice Gregory Wersal distributed literature criticizing several Minnesota Supreme Court decisions on issues such as crime, welfare, and abortion. A complaint was filed with the Office of Lawyers Professional Responsibility. Fearing that further ethical complaints would jeopardize his ability to practice law, Wersal withdrew from the election. The Judicial Board issued an opinion stating that judicial candidates may criticize past decisions, and the Lawyers Board refused to discipline Wersal for the foregoing statements because, in part, it thought they did not violate the announce clause.

In 1998, Wersal ran again for the same office. Early in that race, he sought an advisory opinion from the Lawyers Board with regard to whether it planned to enforce the announce clause. The Lawyers Board responded equivocally, stating that, although it had significant doubts about the constitutionality of the provision, it was unable to answer his question because he had not submitted a list of the announcements he wished to make. Wersal then filed suit in federal district court seeking a declaration that the announce clause violates the First Amendment. The District Court granted summary judgment to respondent and the Eighth Circuit affirmed. The Eighth Circuit ruled that interests were sufficiently compelling to justify the announce clause, preserving the state judiciary's impartiality and preserving the appearance of that impartiality.

On appeal, the Supreme Court of the United States applied the test from Eu v. San Francisco County Democratic Central Committee, 489 U.S. 214, 222 (1989) to determine the constitutionality of such a restriction on speech. The test applies strict scrutiny, under which respondents have the burden to prove that the clause is (1) narrowly tailored, to serve (2) a compelling state interest.

The Court ruled that the announce clause both prohibits speech based on its content and burdens a category of speech that is at the core of First Amendment freedoms, i.e., speech about the qualifications of candidates for public office. Further, the clause was not sufficiently tailored to serve the state interest, inasmuch as it does not restrict speech for or against particular parties, but rather speech for or against particular issues and pursuing this objective was not a compelling state interest, since it is virtually impossible, and hardly desirable, to find a judge who does not have preconceptions about the law. Respondents
contended that the announce clause left plenty of topics for discussion on the campaign trail. These included a candidate's "character," "education," "work habits," and "how [he] would handle administrative duties if elected." However, the Supreme Court did not believe these topics were enough and stated that the First Amendment does not permit Minnesota to leave the principle of elections in place while preventing candidates from discussing what the elections are about. See, e.g., Renne v. Geary, 501 U.S. 312, 349 (1991).


The Circuit Court, Boone County, entered a $50 million dollar judgment against a coal company and its affiliates. The coal company and its affiliates appealed. Knowing the State Supreme Court of Appeals would consider the appeal, Don Blankenship, Massey's chairman and principal officer, supported Brent Benjamin rather than the incumbent justice seeking reelection. His $3 million in contributions exceeded the total amount spent by all other Benjamin supporters and by Benjamin's own committee. Benjamin won by fewer than 50,000 votes. Caperton moved to disqualify now-Justice Benjamin under the Due Process Clause and the State's Code of Judicial Conduct, based on the conflict caused by Blankenship's campaign involvement. Justice Benjamin denied the motion, indicating that he found nothing showing bias for or against any litigant. The court then reversed the $50 million verdict. In his recusal memorandum Justice Starcher urged Justice Benjamin to recuse himself as well. He noted that "Blankenship's bestowal of his personal wealth, political tactics, and 'friendship' have created a cancer in the affairs of this Court."

The court granted rehearing. Justice Benjamin was chief justice when Caperton moved a third time for disqualification, arguing that Justice Benjamin had failed to apply the correct standard under West Virginia law – i.e., whether "a reasonable and prudent person, knowing these objective facts, would harbor doubts about Justice Benjamin's ability to be fair and impartial." Caperton also included the results of a public opinion poll, which indicated that over 67 percent of West Virginians doubted Justice Benjamin would be fair and impartial. Justice Benjamin again refused to withdraw, noting that the "push poll" was "neither credible nor sufficiently reliable to serve as the basis for an elected judge's disqualification."

Four months later Justice Benjamin filed a concurring opinion. He defended the merits of the majority opinion as well as his decision not to recuse. He rejected Caperton's challenge to his participation in the case under both the Due Process Clause and West Virginia law. Justice Benjamin reiterated that he had no "'direct, personal, substantial, pecuniary interest' in this case. Adopting "a standard merely of 'appearances,'" he concluded, "seems little more than an invitation to subject West Virginia's justice system to the vagaries of the day – a framework in which predictability and stability yield to supposition, innuendo, half-truths, and partisan manipulations."

The Due Process Clause incorporated the common-law rule requiring recusal when a judge has "a direct, personal, substantial, pecuniary interest" in a case, Tumey v. State of Ohio, 273 U.S. 510, 523 (1927), but the Supreme Court also identified additional instances which, as an objective matter, require recusal
where "the probability of actual bias on the part of the judge or decision maker is too high to be constitutionally tolerable," Withrow v. Larkin, 421 U.S. 35, 47 (1975).

III. **CITIZENS UNITED V. FEDERAL ELECTION COM‘N, 558 U.S. 310 (2010)**

As amended by §203 of the Bipartisan Campaign Reform Act of 2002 (BCRA), federal law prohibited corporations and unions from using their general treasury funds to make independent expenditures for speech that is an "electioneering communication" or for speech that expressly advocates the election or defeat of a candidate. An electioneering communication is "any broadcast, cable, or satellite communication" that "refers to a clearly identified candidate for Federal office" and is made within thirty days of a primary election, and that is "publicly distributed." The Supreme Court upheld limits on electioneering communications in a facial challenge, relying on the holding in Austin v. Michigan Chamber of Commerce, 494 U.S. 652 (1990), that political speech may be banned based on the speaker's corporate identity.

In January 2008, Citizens United, a nonprofit corporation, released a documentary critical of then-Senator Hillary Clinton, a candidate for her party's Presidential nomination. Anticipating that it would make Hillary available on cable television through video on-demand within thirty days of the primary elections, Citizens United produced television ads to run on broadcast and cable television.

The First Amendment prohibits Congress from fining or jailing citizens, or associations of citizens, for engaging in political speech. The Court ruled in the current case that Austin's anti-distortion rationale would permit the Government to ban political speech because the speaker is an association with a corporate form. However, political speech is "indispensable to decision making in a democracy, and this is no less true because the speech comes from a corporation."

All speakers, including individuals and the media, use money amassed from the economic marketplace to fund their speech, and the First Amendment protects the resulting speech. Under the antidistortion rationale, Congress could also ban political speech of media corporations. Austin interferes with the "open marketplace" of ideas protected by the First Amendment.

The Government asserted that there is an interest in protecting shareholders from being compelled to fund corporate speech but the Court ruled that this rationale would allow the Government to ban political speech even of media corporations. The statute was ruled to be under inclusive; it only protected a dissenting shareholder's interests in certain media for thirty or sixty days before an election when such interests would be implicated in any media at any time. It is also over inclusive because it covers all corporations, including those with one shareholder. The Court held that the government may not, under the First Amendment, suppress political speech on the basis of the speaker's corporate identity, overruling Austin and thus providing no basis for allowing the Government to limit corporate independent expenditures.
IV. SPEECHNOW.ORG V. FEDERAL ELECTION COM’N, 599 F.3D 686 (2010)

In January 2008, the Federal Election Committee (FEC) issued a draft advisory opinion concluding that under the Federal Election Campaign Act (FECA), SpeechNow would be required to organize as a "political committee" as defined by 2 U.S.C. §431(4) and would be subject to all the requirements and restrictions concomitant with that designation. SpeechNow brought a declaratory judgment action, alleging that the Federal Election Campaign Act (FECA) provision limiting contributions by individuals to political committees violated the First Amendment, and that the organizational, administrative, and continuous reporting requirements set forth in the FECA, as applied to associations, violated the First Amendment.

The Supreme Court ruled that provision-limiting contributions by individuals to political committees that make only independent expenditures violated the First Amendment, and organizational and continuous reporting provisions of FECA did not violate the First Amendment. When the government attempts to regulate the financing of political campaigns and express advocacy through contribution limits, it must have a countervailing interest that outweighs the limits' burden on the exercise of First Amendment rights. Equalization of differing viewpoints is not a legitimate government objective sufficiently important to outweigh First Amendment interests implicated by political campaign contribution limits.

V. CAREY V. WOLNITZEK, 614 F.3D 189 (6TH CIR. 2010)

Carey, a candidate for election to the Kentucky Supreme Court for the Sixth Appellate District of the Commonwealth of Kentucky, stated that he wanted to post on his website answers to certain specific questions which he had formulated and post those questions to other judicial candidates. Carey also stated that he wanted to state his political party affiliation, seek endorsements from other political officials and personally solicit individuals for contributions during his campaign.

Under the Commit Clause (Canon 5(B)(1)(c)) "a judge or candidate for election to judicial office ... shall not intentionally or recklessly make a statement that a reasonable person would perceive as committing the judge or candidate to rule a certain way on a case, controversy, or issue that is likely to come before the court; and shall not misrepresent any candidate's identity, qualifications, present position or other facts." Canon 3(E)(1) of the Code provides that judges must recuse themselves when their "impartiality might reasonably be questioned." SCR 4.300, Canon 3(E)(1)

Canon 5(A)(1)(b) of the Code (the "Endorsement Clause") provides that "A judge or candidate for election to judicial office shall not ... make speeches for or against a political organization or candidate or publicly endorse or oppose a candidate for public office...." Canon 5(B)(2) of the Code (the "Solicitation Clause") provides in pertinent part "A judge or a candidate for judicial office shall not solicit campaign funds, but may establish committees of responsible persons to secure and manage the expenditure of funds for the campaign and to obtain public statements of support for the candidacy." Canon 5A(2) of the Code
provides, in pertinent part, that "A judge or candidate shall not identify himself or herself as a member of a political party in any form of advertising or when speaking to a gathering. If not initiated by the judge or candidate for such office, and only in answer to a direct question, the judge or candidate may identify himself or herself as a member of a particular political party."

Carey challenged the Constitutionality of all of the aforementioned canons. Citing White the Court granted the Plaintiff's Motion for Summary Judgment as to his challenges to the Solicitation Clause and the Partisan Activities Clause; and the Court declared that those clauses violate the First Amendment of the U.S. Constitution.

The Sixth Circuit Court of Appeals first examined whether the case was ripe for adjudication. The court determined that although Carey has previously lost the election, which would render the case moot, the wrong was nonetheless "capable of repetition, yet evading review" because Carey may want to run for office again, as could others.

The court cited to White in examining the goal of judicial partiality and addressed that in order to survive, the three canons must narrowly subscribe to advancing a "compelling state interest."

Party Affiliation clause: the court held that while the Commonwealth's interests in not allowing candidates to announce a party may be laudable, the methods are undesirable. Ultimately, censoring speech should be a last resort, rather than the first method used. Because the Commonwealth is banning relevant information from voters, the court affirmed the district court's holding that this clause facially violated the First Amendment. However, the court made it clear that while this speech is protected, it may not be desirable.

Solicitation Clause: The court concluded that while the solicitation clause's purpose may be compelling, its scope is too broad for enforcement. Prohibiting candidates from asking for money suppresses speech in the most conspicuous of ways and, in the process, favors some candidates over others – incumbent judges (who benefit from their current status) over non-judicial candidates, the well-to-do (who may not need to raise any money at all) over lower-income candidates, and the well-connected (who have an army of potential fundraisers) over outsiders. Ultimately, the solicitation clause is overbroad and thus facially invalid.

Commits Clause: The Court found that while many of the restrictions covered by the commits clause may be legitimate, not all of them are, and the uncertainty makes the matter difficult to adjudicate. For that reason, the court remanded the case for further consideration and clarification as to the clause's meaning.
I. REGISTRY’S DISCLOSURE FUNCTION/ELECTRONIC FILING AND ONLINE SEARCHABLE DATABASE

A. KRS 121.005
B. KRS 121.015
C. KRS 121.120
D. KRS 121.180

II. BECOMING A CANDIDATE

A. KRS 121.015(8)
B. 32 KAR 1:020 (KREF-001 Form, Rev. 05/2005)

III. CANDIDATE CAMPAIGN COMMITTEE REGISTRATION

A. KRS 121.015(3)(a)
B. KRS 121.170
C. KRS 121.210(1)
D. KRS 121.180(9)
E. 32 KAR 1:050 (KREF 010 Form, Rev. 06/2011)
F. 32 KAR 1:070 (KREF 011 Form, Rev. 05/2005)

IV. REPORTING REQUIREMENTS

A. KRS 121.180
B. 32 KAR 1:030 (KREF 006 Form, Rev. 10/2010)
C. KRS 61.740
D. 32 KAR 1:090 (KREF 025 Form, Reprinted 02/2006)

V. CONTRIBUTION LIMITS

- KRS 121.150

VI. PROHIBITION ON CORPORATE CONTRIBUTIONS TO CANDIDATES

A. KRS 121.025
B. KRS 121.035
C. KRS 121.150(20)
D. Kentucky Constitution, §150

VII. ADVERTISING DISCLAIMERS

- KRS 121.190
VIII. MANDATORY & RANDOM AUDIT FUNCTIONS

A. KRS 121.120
B. KRS 121.230

IX. INDEPENDENT EXPENDITURES

A. KRS 121.015(12)
B. KRS 121.150(1)
C. KRS 121.035(3)
E. SpeechNow.org v. Federal Election Com’n, 599 F.3d 686 (D.C. Cir. 2010)

X. ADVISORY OPINION PROCESS

A. KRS 121.135
B. 32 KAR 2:060

XI. COMPLAINT PROCESS

A. KRS 121.140
B. 32 KAR 2:030

XII. REGISTRY WEBSITE TOOLS YOU CAN USE

A. www.kref.ky.gov
B. Online Searchable Database (OSD)
C. Candidate Welcome Packet
D. Candidate Guidebook
E. KREF Forms and Brochures
F. Listing of Registered PACs
G. Campaign Finance Statutes & Regulations
H. Advisory Opinions
I. Filing Deadlines
J. Frequently Asked Questions (FAQs)
K. Online Election Finance Training Seminar
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| **Within 60 days of a city boundary enlargement or reduction** | On or before 1/1/2011 each city clerk was to provide to the county clerk in which the city is located a list of all properties within the city and a map of the city boundaries to be used by the county clerk to maintain a roster of voters eligible to vote in city elections.  
  Documented of subsequent change to the boundaries of a city shall be reported to the county clerk in accordance with KRS 81A.470 and 81A.475. | KRS 116.200(1)(a)  
  KRS 116.200(1)(b) |
| **Within 60 days of change or immediately if the change is within 60 days of the 8/1 deadline** | On or before 1/1/2011 each school board district was to provide to the county clerk maps and written descriptions of the boundaries of each school board district located in the county for the county clerk to maintain a roster of voters who are eligible to vote in school board elections.  
  Documented of subsequent change to a school district’s boundaries shall be reported to the county clerk within 60 days of the change or immediately if the change is within 60 days of the August 1 deadline in KRS 160.210(4)(d). | KRS 116.200(2)(a)  
  KRS 116.200(2)(b) |
| **JANUARY**                                                                 |                                                                                                |
| 1/28    | Candidate filing deadline: last day to file nomination papers for candidates who must run in primary (last Tuesday in January). | KRS 118.165(1)  
  KRS 83A.045  
  KRS 118A.060(2) |
| 1/29    | When city boundaries extend beyond single county, county clerk shall certify names as required by KRS 83A.047 on the day following candidate filing deadline. | KRS 83A.047 |
| 1/30    | Public drawing for ballot position in offices of Secretary of State and county clerks (Thursday following last Tuesday in January). | KRS 118.225(2),(3)  
  KRS 118A.060(4) |
| **FEBRUARY**                                                                 |                                                                                                |
| 2/10    | Secretary of State to certify candidates’ names to county clerks (second Monday after filing deadline). | KRS 118.215(1)(a)  
  KRS 118A.060(5) |
| 2/25    | Last day for county clerks to notify state board of elections if there are too many certified candidates to be accommodated on the voting machines (last Tuesday in February). | KRS 118.215(5) |
| **MARCH**                                                                 |                                                                                                |
| 3/15    | Last day for Republican and Democratic county executive committees to submit names for appointment of precinct officers to county boards of elections (March 15 each year). | KRS 117.045(2) |
| 3/20    | Last day for county boards of elections to appoint precinct officers (March 20 each year). | KRS 117.045(1) |
| 3/31    | Deadline for printing of regular and absentee ballots for primary (50 days before primary). | KRS 117.085(5)  
  KRS 117.145(1) |
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<tbody>
<tr>
<td>4/1</td>
<td>Last day for independent, political organization and political group candidates, except candidates for federal office and candidates for mayor or legislative body in cities of the second to sixth class participating in partisan elections, to file a statement-of-candidacy form with the same office at which nomination papers are filed (not later than April 1 preceding the day fixed by law for holding of general elections for the offices sought. If filing office is closed on April 1, form may be filed on next business day).</td>
<td>KRS 118.367(1)</td>
</tr>
<tr>
<td>4/3</td>
<td>Last day for county clerks to mail absentee ballots to voters who request absentee ballots prior to the printing of the ballots (within 3 days of the receipt of the printed ballots. Absentee ballots which are requested subsequent to the receipt of the ballots by the county clerks shall be mailed to the voter within 3 days of the receipt of the application.).</td>
<td>KRS 117.085(4)</td>
</tr>
<tr>
<td>4/21 to 5/13</td>
<td>County clerks to test automatic tabulating equipment (not more than 30 nor less than 5 days prior to election day).</td>
<td>KRS 117.389</td>
</tr>
<tr>
<td>4/22-5/26</td>
<td>Registration books are closed (fourth Tuesday preceding through first Monday following primary).</td>
<td>KRS 116.045(2)</td>
</tr>
</tbody>
</table>
| 4/28     | Last day for county clerks to notify county boards of elections that machines are ready for use (not later than 4 business days preceding the date set by the county board of elections to conduct absentee voting).  
  * [This date may vary depending on whether the county clerk intends to conduct absentee voting on Saturdays and whether the clerk intends to conduct absentee voting in the office for more than 12 working days before an election.] | KRS 117.165(2) |
| 4/28     | Last day for county boards of elections to publish notice of time when the absentee voting machines are to be examined by the board (not less than 24 hours before examination).  
  * [This date may vary depending on whether the county clerk intends to conduct absentee voting on Saturdays and whether the clerk intends to conduct absentee voting in the office for more than 12 working days before an election.] | KRS 117.165(2) |
| 4/29     | Last day for county boards of elections to examine machines (not later than 3 business days preceding the date set by the county board of elections to conduct absentee voting).  
  * [This date may vary depending on whether the county clerk intends to conduct absentee voting on Saturdays and whether the clerk intends to conduct absentee voting in the office for more than 12 working days before an election.] | KRS 117.165(2) |
| 4/30     | Last day for list of challengers to be submitted to county clerks (at least 20 days before primary). | KRS 117.315(1) |
### 2014 KENTUCKY ELECTION CALENDAR

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<tr>
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<tbody>
<tr>
<td>5/2 - 5/19</td>
<td>Voter may make application to vote absentee in clerk’s office at least 12 working days before primary. [This time period may vary depending on whether the county clerk intends to conduct absentee voting on Saturdays and whether the clerk intends to conduct absentee voting in the office for more than 12 working days before an election.]</td>
<td>KRS 117.085(1)(c)</td>
</tr>
<tr>
<td>5/7-5/20</td>
<td>Voter and his/her spouse may request paper absentee ballot because of medical emergency within 14 days or less of an election.</td>
<td>KRS 117.077</td>
</tr>
<tr>
<td>5/9</td>
<td>Last day to apply for mail-in absentee ballot (not later than close of business 7 days before primary). Applications must be received by this day.</td>
<td>KRS 117.075 KRS 117.085</td>
</tr>
<tr>
<td>5/9-5/19</td>
<td>Members of the Armed Forces confined to a military base on election day who learn of that confinement within 7 days or less of an election may make application to vote absentee in the clerk’s office.</td>
<td>KRS 117.085(1)(m)</td>
</tr>
<tr>
<td>5/9</td>
<td>Last day for county boards of election to give precinct officers written notice of appointment (not less than 10 days before primary).</td>
<td>KRS 117.045(7)</td>
</tr>
<tr>
<td>5/13</td>
<td>Last day for state board of elections to furnish county clerks with lists of registered voters (at least 5 days before primary).</td>
<td>KRS 117.025(3)(b)</td>
</tr>
<tr>
<td>5/15</td>
<td>Last day for clerks to notify county boards of elections that machines are ready for use (not later than Thursday before election).</td>
<td>KRS 117.165(1)</td>
</tr>
<tr>
<td>5/15</td>
<td>Last day for county clerks to publish copy of ballot (not less than 3 days before primary).</td>
<td>KRS 424.290(1)</td>
</tr>
<tr>
<td>5/15</td>
<td>Last day for county boards of elections to publish notice of time when voting machines are to be examined by the board (not less than 24 hours before examination).</td>
<td>KRS 117.165(1)</td>
</tr>
<tr>
<td>5/16</td>
<td>Last day for county boards of elections to examine machines (not later than the Friday before primary).</td>
<td>KRS 117.165(1)</td>
</tr>
<tr>
<td>5/20</td>
<td>Primary Election Day (first Tuesday after third Monday in May) Polls open 6 a.m. to 6 p.m. County boards of elections to be in session all day. Mail-in absentee ballots must be received by clerk before 6 p.m. County boards of elections to meet at clerk’s office at 10 a.m. to count absentee ballots</td>
<td>KRS 118.025(3) KRS 118.035(1) KRS 117.035(4) KRS 117.086(1) KRS 117.087(3)</td>
</tr>
<tr>
<td>5/20-5/30</td>
<td>Voting machines to be locked (10 days following primary).</td>
<td>KRS 117.295(1)</td>
</tr>
<tr>
<td>5/23 12:00 PM</td>
<td>County boards of elections shall certify the total number of votes to the Secretary of State’s office (not later than 12 p.m., prevailing time, on the Friday following the election).</td>
<td>KRS 118.425(4)</td>
</tr>
<tr>
<td>5/23</td>
<td>Last day for precinct sheriffs to file report (within 3 days after primary).</td>
<td>KRS 117.355(1)</td>
</tr>
<tr>
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<tr>
<td>5/27</td>
<td>Deadline to request recanvass (before 4 p.m. on Tuesday after primary).</td>
<td>KRS 117.305(1)</td>
</tr>
<tr>
<td>5/29</td>
<td>County boards of elections shall conduct any requested recanvass at 9 a.m. on Thursday after deadline to request a recanvass, and not sooner.</td>
<td>KRS 117.305(1)</td>
</tr>
<tr>
<td>5/30</td>
<td>Last day for county boards of elections to file post-election reports with the state board of elections and county grand jury (within 10 days after primary).</td>
<td>KRS 117.355(2)</td>
</tr>
<tr>
<td>JUNE</td>
<td></td>
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<tr>
<td>6/2</td>
<td>Last day for county boards of elections to issue certificates of nomination (not later than the second Monday after election).</td>
<td>KRS 118.425(2)</td>
</tr>
<tr>
<td>6/9</td>
<td>Last day for state board of elections to meet to tabulate votes and make out certificates of nomination (not later than the third Monday after election).</td>
<td>KRS 118.425(5)</td>
</tr>
<tr>
<td>6/19</td>
<td>Last day for county clerks to send precinct rosters and recapitulation sheets to state board of elections (within 30 days after any primary or general election).</td>
<td>KRS 117.275(4) KRS 117.355(3)</td>
</tr>
<tr>
<td>AUGUST</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8/12</td>
<td>Candidate filing deadline: last day to file any petition, certificate or statement that must be filed by second Tuesday in August.</td>
<td>KRS 118.365 KRS 118.375 KRS 83A.045</td>
</tr>
<tr>
<td>8/13</td>
<td>When city boundaries extend beyond single county, county clerk shall certify names as required by KRS 83A.047 (on the day following candidate filing deadline).</td>
<td>KRS 83A.047</td>
</tr>
<tr>
<td>8/14</td>
<td>Public drawing for ballot position in offices of Secretary of State and county clerks (Thursday following second Tuesday in August).</td>
<td>KRS 118.225(2),(3) KRS 118A.090 (1)</td>
</tr>
<tr>
<td>8/25</td>
<td>Secretary of State to certify candidates’ names to county clerks (second Monday after filing deadline).</td>
<td>KRS 118.215(1) KRS 118A.090(2)</td>
</tr>
<tr>
<td>8/26</td>
<td>Last day for county clerks to notify state board of elections if there are too many certified candidates to be accommodated on the voting machine (last Tuesday in August).</td>
<td>KRS 118.215(5)</td>
</tr>
<tr>
<td>SEPTEMBER</td>
<td></td>
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</tr>
<tr>
<td>9/15</td>
<td>Deadline for printing of regular and absentee ballots (at least 50 days before election).</td>
<td>KRS 117.085(5) KRS 117.145(1)</td>
</tr>
<tr>
<td>9/18</td>
<td>Last day for county clerks to mail absentee ballots to voters who request absentee ballots prior to the printing of the ballots (within 3 days of the receipt of the printed ballots). Absentee ballots which are requested subsequent to the receipt of the ballots by the county clerk shall be mailed to the voter within 3 days of the receipt of the application.</td>
<td>KRS 117.085(4)</td>
</tr>
<tr>
<td>9/20</td>
<td>Last day for county boards of elections to establish voting places (September 20 of each year).</td>
<td>KRS 117.065(1)</td>
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<tr>
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<tr>
<td><strong>OCTOBER</strong></td>
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</tr>
<tr>
<td>10/6-10/28</td>
<td>County clerks to test automatic tabulating equipment (not more than 30 nor less than 5 days prior to election day).</td>
<td>KRS 117.389</td>
</tr>
<tr>
<td>10/6</td>
<td>Last day to register to vote for the general election.</td>
<td>KRS 116.045(2)</td>
</tr>
<tr>
<td>10/7-11/10</td>
<td>Registration books are closed (fourth Tuesday preceding through first Monday following election).</td>
<td>KRS 116.045(2)</td>
</tr>
</tbody>
</table>
| 10/10      | Last day for county clerks to notify county boards of elections that machines are ready for use (not later than 4 business days preceding the date set by the county board of elections to conduct absentee voting). [Monday, October 13, 2014, is a legal holiday (Columbus Day). See KRS 446.030(1)(a).]  
  * This date may vary depending on whether the county clerk intends to conduct absentee voting on Saturdays and whether the clerk intends to conduct absentee voting in the office for more than 12 working days before an election. | KRS 117.165(2)             |
| 10/14      | Last day for county boards of elections to examine machines (not later than 3 business days preceding the date set by the county board of elections to conduct absentee voting).  
  * This date may vary depending on whether the county clerk intends to conduct absentee voting on Saturdays and whether the clerk intends to conduct absentee voting in the office for more than 12 working days before an election. | KRS 117.165(2)             |
| 10/15      | Last day for list of challengers to be submitted to county clerks (at least 20 days before election). | KRS 117.315(2),(3) & (5)    |
| 10/17-11/3 | Voter may make application to vote absentee in clerk’s office at least 12 working days preceding election.  
  [This time period may vary depending on whether the county clerk intends to conduct absentee voting on Saturdays and whether the clerk intends to conduct absentee voting in the office for more than 12 working days before an election.] | KRS 117.085(1)(c)          |
| 10/22-11/4 | Voter and his/her spouse may request paper absentee ballot because of medical emergency within 14 days of election. | KRS 117.077                |
| 10/24 4:00 PM | Last day to file a declaration of intent to be a write-in candidate (on or before fourth Friday in October). | KRS 117.265(2)             |
| 10/24      | Last day for county boards of elections to send precinct officers written notice of appointment (not less than 10 days before election). | KRS 117.045(7)             |
| 10/24      | Last day to apply for mail-in absentee ballot (not later than close of business 7 days before election). Applications must be received by this day. | KRS 117.075  
  KRS 117.085 |
<p>| 10/24-11/3 | Members of the Armed Forces confined to a military base on election day who learn of that confinement within 7 days or less | KRS 117.085(1)(e)(5)       |</p>
<table>
<thead>
<tr>
<th>DATE</th>
<th>EVENT</th>
<th>AUTHORITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/28</td>
<td>Last day for state boards of elections to furnish county clerks with lists of registered voters (at least 5 days before election).</td>
<td>KRS 117.025(3)(c)</td>
</tr>
<tr>
<td>10/30</td>
<td>Last day for county clerks to notify county boards of elections that machines are ready for use (Thursday before election).</td>
<td>KRS 117.165(1)</td>
</tr>
<tr>
<td>10/30</td>
<td>Last day for county clerks to publish copy of ballot (not less than 3 days before election).</td>
<td>KRS 424.290(1)</td>
</tr>
<tr>
<td>10/30</td>
<td>Last day for county boards of elections to publish notice of time when voting machines are to be examined by the board (not less than 24 hours before examination).</td>
<td>KRS 117.165(1)</td>
</tr>
<tr>
<td>10/31</td>
<td>Last day for county clerks to equip machines with supplies for write-in votes (not later than Friday before election).</td>
<td>KRS 117.145(3)</td>
</tr>
<tr>
<td>10/31</td>
<td>Last day for county boards of elections to examine machines (not later than Friday before election).</td>
<td>KRS 117.165(1)</td>
</tr>
</tbody>
</table>

**NOVEMBER**

<table>
<thead>
<tr>
<th>DATE</th>
<th>EVENT</th>
<th>AUTHORITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>11/4</td>
<td>General Election Day (first Tuesday after first Monday in November). Polls open 6 a.m. to 6 p.m. County boards of elections to be in session all day. Mail-in absentee ballots must be received by clerk before 6 p.m. County boards of elections to meet at clerk’s office at 10 a.m. to count absentee ballots.</td>
<td>Ky. Const. § 148 KRS 118.025(4) KRS 118.035(1) KRS 117.035(4) KRS 117.086(1) KRS 117.087(3)</td>
</tr>
<tr>
<td>11/4-12/4</td>
<td>Voting machines and ballot boxes to be locked 30 days following election.</td>
<td>KRS 117.295(1)</td>
</tr>
<tr>
<td>11/5</td>
<td>Earliest date for the affixing of signatures on candidate filing forms for an office of the ballot in 2015 (not prior to the first Wednesday after the first Monday in November of the year preceding the year the office will appear on the ballot).</td>
<td>KRS 118.125(2) KRS 118.165(1) KRS 118.315(2) KRS 118A.060(2) KRS 83A.045</td>
</tr>
<tr>
<td>11/5</td>
<td>Earliest date for candidates to file for an office on the ballot in 2015 (not earlier than the first Wednesday after the first Monday in November of the year preceding the year in which the office will appear on the ballot).</td>
<td>KRS 117.265(2),(4) KRS 118.165(1) KRS 118.365 KRS 118.367 KRS 118A.060(2) KRS 83A.045 KRS 83A.170 KRS 83A.175</td>
</tr>
<tr>
<td>11/7</td>
<td>County boards of elections shall certify the total number of votes to the Secretary of State’s office not later than 12 p.m., prevailing time, on the Friday following the election.</td>
<td>KRS 118.425(4)</td>
</tr>
<tr>
<td>11/7</td>
<td>Last day for precinct sheriffs to file report (within 3 days after election).</td>
<td>KRS 117.355(1)</td>
</tr>
</tbody>
</table>
### 2014 KENTUCKY ELECTION CALENDAR

<table>
<thead>
<tr>
<th>DATE</th>
<th>EVENT</th>
<th>AUTHORITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>11/12</td>
<td>Deadline to request recanvass (before 4 p.m. on Tuesday after election). [Tuesday, November 11, 2014, is a legal holiday (Veterans' Day). See KRS 446.030(2).]</td>
<td>KRS 117.305(1)</td>
</tr>
<tr>
<td>11/13</td>
<td>County boards of elections shall conduct any requested recanvass at 9 a.m. on Thursday after deadline to request recanvass, and not sooner.</td>
<td>KRS 117.305(1)</td>
</tr>
<tr>
<td>11/14</td>
<td>Last day for county boards of elections to file post-election reports with the state board of elections and county grand jury (within 10 days after election).</td>
<td>KRS 117.355(2)</td>
</tr>
<tr>
<td>11/17</td>
<td>County boards of elections (except counties containing cities of the first class; see KRS 118.425(3)) shall issue certificates of election (not later than second Monday after the election).</td>
<td>KRS 118.425(2)</td>
</tr>
<tr>
<td>11/24</td>
<td>Last day for state board of elections to meet to tabulate votes and make out certificates of election (not later than third Monday after election).</td>
<td>KRS 118.425(5)</td>
</tr>
</tbody>
</table>

### DECEMBER

<table>
<thead>
<tr>
<th>DATE</th>
<th>EVENT</th>
<th>AUTHORITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>12/4</td>
<td>Last day for county clerks to send precinct rosters and recapitulation sheets to state board of elections (within 30 days after any primary or general election).</td>
<td>KRS 117.275(7) KRS 117.355(3)</td>
</tr>
<tr>
<td>12/31</td>
<td>Last day to change political party affiliation and be eligible to vote in that political party affiliation’s upcoming primary election (on December 31 immediately preceding primary election).</td>
<td>KRS 116.055</td>
</tr>
</tbody>
</table>
TO: Potential Candidates
FROM: Alison Lundergan Grimes, Secretary of State

To avoid any delays in the filing of candidate documents to attain ballot access required to file with the county clerk, candidates should directly contact the county clerk in their county of residence for filing procedures and requirements.

To avoid any delays in the filing of candidate documents to attain ballot access required to file with the Office of the Secretary of State, the following is provided:

1. Complete all applicable blanks on the filing form. The Office of the Secretary of State will make the necessary copies for distribution.
2. Candidates and signers must have their signatures acknowledged by a Notary Public, if applicable, and the expiration date of the notary’s commission must be stated.
3. All copies of the Appointment of Campaign Treasurer and Optional Request for Reporting Exemption (not applicable to Federal Candidates who must register with the Federal Election Commission) should accompany the filing form. The Office of the Secretary of State provides a duplicate copy to the Registry of Election Finance.
4. Checks should be payable to the Kentucky State Treasurer.

Questions relating to campaign finance procedures and requirements should be directed to the Registry of Election Finance at 502-573-2226. In addition, the Registry’s website, http://www.kref.ky.gov, provides for the downloading of required reporting forms and a book titled Guide to Campaign Finance. Questions relating to campaign finance matters for federal candidates should be directed to the Federal Election Commission at 1-800-424-9530.

Candidate filing forms may be filed in person or by mail at the following address:
Office of the Secretary of State
Election Division
Room 148, State Capitol
700 Capital Avenue
Frankfort, KY 40601-3493

If our office may be of further assistance to you, please contact our election staff at 502-564-3490 or by email at sos.elections@ky.gov.
The Office of Justice of the Supreme Court: District 7 will appear on the 2012 ballot.

<table>
<thead>
<tr>
<th>Notarized Signatures Required:</th>
<th>Candidate's signature and two (2) registered voters from the district from which candidate seeks nomination.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Earliest date to affix signatures</td>
<td>November 9, 2011</td>
</tr>
<tr>
<td>Earliest date to file</td>
<td>November 9, 2011</td>
</tr>
<tr>
<td>Latest date to file (4:00 p.m., local time)</td>
<td>January 31, 2012</td>
</tr>
</tbody>
</table>

Filing Form SBE 68 | Court of Justice Petition for Nomination  
Filing Form KREF-001 | Appointment of Campaign Treasurer and Optional Request for Reporting Exemption  
Filing Fee | $200.00  
Filing Official | Secretary of State

The petition shall be sworn to before an officer authorized to administer an oath by the candidate and by no less than two (2) registered voters from the district from which the candidate seeks nomination. The petition shall include a declaration sworn to by the candidate that he or she possesses all the constitutional and statutory requirements of the office for which the candidate has filed.

If more than two (2) judicial candidates file for the same office, the names of the candidates are placed on the primary ballot and the two (2) candidates who receive the highest number of votes in the primary are certified for placement on the general election ballot. If two (2) or less candidates file for the same office, candidates are issued a certificate of nomination by the Secretary of State subsequent to the filing deadline and the name of the candidates will appear only on the general election ballot.

For filing requirements relating to Political Committee Registration for judicial candidates and Waiver From Filing Candidate Election Finance Statement forms for judicial candidates (KREF 010 and KREF 011), please contact the Registry of Election Finance at (502) 573-2226.

Establishing Campaign Account: For information regarding campaign contribution and expenditure reporting requirements received or expended in the year before the year the candidate appears on the ballot, contact the Registry of Election Finance at (502) 573-2226.

Please Note: All information contained in this packet is subject to change per Kentucky Revised Statutes.
JUDGE OF THE COURT OF APPEALS
WRITE-IN CANDIDATES
GENERAL ELECTION

The Office of Judge of the Court of Appeals will appear on the 2014 general election ballot.

<table>
<thead>
<tr>
<th>Signatures Required:</th>
<th>Candidate's signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>Latest date to file (4:00 p.m., local time)</td>
<td>October 24, 2014</td>
</tr>
<tr>
<td>(On or before the fourth Friday in October preceding the date of the regular election)</td>
<td></td>
</tr>
</tbody>
</table>

Filing Form SBE/SOS/01
Filing Form KREF-001

- Declaration of intent to be Write-In Candidates
- Appointment of Campaign Treasurer and Optional Request for Reporting Exemption
- $50.00 Filing Fee
- Secretary of State Filing Official

Candidates (defeated primary city candidate ineligible as a candidate for the same office in general election) may seek office in a general election by filing a Declaration of Intent to be Write-In Candidates form with the Secretary of State. Write-in votes shall be counted ONLY for candidates for election to office who have filed a Declaration of Intent to be Write-In Candidates form.

A person shall be ineligible as a write-in candidate:
(a) For more than one (1) office in a general election; or
(b) If his or her name appears upon the ballot label as a candidate for any office, except that the candidate may file a notice of withdrawal prior to filing an intent to be a write-in candidate for office when a vacancy in a different office occurs because of:
1. Death;
2. Disqualification to hold the office sought;
3. Severe disabling condition which arose after the nomination; or
4. The nomination of an unopposed candidate.

Establishing Campaign Account: For information regarding campaign contribution and expenditure reporting requirements received or expended in the year before the year the candidate appears on the ballot, contact the Registry of Election Finance at (502) 573-2226.
CIRCUIT JUDGE
WRITE-IN CANDIDATES
GENERAL ELECTION

The Office of Circuit Judge will appear on the 2014 general election ballot.

Signatures Required: Candidate's signature
Latest date to file (4:00 p.m., local time) October 24, 2014
(On or before the fourth Friday in October preceding the date of the regular election)

Filing Form SBE/SOS/01 Declaration of Intent to be Write-In Candidates
Filing Form KREF-001 Appointment of Campaign Treasurer and Optional Request for Reporting Exemption
Filing Fee $50.00
Filing Official Secretary of State

Candidates (defeated primary city candidate ineligible as a candidate for the same office in general election) may seek office in a general election by filing a Declaration of Intent to be Write-In Candidates form with the Secretary of State. Write-in votes shall be counted ONLY for candidates for election to office who have filed a Declaration of Intent to be Write-In Candidates form.

A person shall be ineligible as a write-in candidate:
(a) For more than one (1) office in a general election; or
(b) If his or her name appears upon the ballot label as a candidate for any office, except that the candidate may file a notice of withdrawal prior to filing an intent to be a write-in candidate for office when a vacancy in a different office occurs because of:
   1. Death;
   2. Disqualification to hold the office sought;
   3. Severe disabling condition which arose after the nomination; or
   4. The nomination of an unopposed candidate.

Establishing Campaign Account: For information regarding campaign contribution and expenditure reporting requirements received or expended in the year before the year the candidate appears on the ballot, contact the Registry of Election Finance at (502) 573-2226.
The Nonpartisan Office of District Judge will appear on the 2014 ballot.

<table>
<thead>
<tr>
<th>Notarized Signatures Required:</th>
<th>Candidate's signature and two (2) registered voters from the district from which candidate seeks nomination.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Earliest date to affix signatures</td>
<td>November 6, 2013</td>
</tr>
<tr>
<td>Earliest date to file</td>
<td>November 6, 2003</td>
</tr>
<tr>
<td>Latest date to file (4:00 p.m., local time)</td>
<td>January 28, 2014</td>
</tr>
</tbody>
</table>

Filing Form SBE 68  
Filing Form KREF-001  
Filing Fee  
Filing Official  

Court of Justice Petition for Nomination  
Appointment of Campaign Treasurer and Optional Request for Reporting Exemption  
$200.00  
Secretary of State  

The petition shall be sworn to before an officer authorized to administer an oath by the candidate and by no less than two (2) registered voters from the district from which the candidate seeks nomination. The petition shall include a declaration sworn to by the candidate that he or she possesses all the constitutional and statutory requirements of the office for which the candidate has filed.

If more than two (2) judicial candidates file for the same office, the names of the candidates are placed on the primary ballot and the two (2) candidates who receive the highest number of votes in the primary are certified for placement on the general election ballot. If two (2) or less candidates file for the same office, candidates are issued a certificate of nomination by the Secretary of State subsequent to the filing deadline and the name of the candidates will appear only on the general election ballot.

For filing requirements relating to Political Committee Registration for judicial candidates and Waiver From Filing Candidate Election Finance Statement forms for judicial candidates (KREF 010 and KREF 011), please contact the Registry of Election Finance at (502) 573-2226.

Establishing Campaign Account: For information regarding campaign contribution and expenditure reporting requirements received or expended in the year before the year the candidate appears on the ballot, contact the Registry of Election Finance at (502) 573-2226.
COURT OF JUSTICE PETITION FOR NOMINATION

for filing with:

THE SECRETARY OF STATE, COMMONWEALTH OF KENTUCKY

For the purpose of having my name placed on the Judicial Ballot for nomination to the office of:
(Caseck only the office sought)

☐ Justice of the Supreme Court ☐ Circuit Judge ☐ District Judge
☐ Judge of the Court of Appeals ☐ Family Circuit Judge

(Name of Court) District/Circuit Number (Division Number if applicable)

I, ________________________________ (Name of candidate in full as desired on the ballot as provided in KRS 118.129)

state that I reside at ________________________________ (Residential Address)

City of ________________________________ KY, County of ________________________________;

(Zip)

that my residence is in the district from which I seek nomination; and that I possess all the constitutional and statutory requirements of the office for which I have filed hereby.

(Signature of Candidate)

Subscribed and sworn to before me by ________________________________ (Name of Candidate)

this ______ day of ______, 20 ______.

(Signature of Notary/Office) (Title of Office) (Commission Expiration)

We, ________________________________ and ________________________________

state that we are registered voters of the judicial district/circuit above listed for which

(seeks nomination)

(Name of Candidate)

(Signature of Voter) (County of Residence) KY

(Residential Address) (City) (Zip)

(Signature of Voter) (County of Residence) KY

(Residential Address) (City) (Zip)

Subscribed and sworn to before me by ________________________________ (Name of Voter) and

(Name of Voter) this ______ day of ______, 20 ______.

(Signature of Notary/Office) (Title of Office) (Commission Expiration)

White copy: Filing officer
Canvass copy: State Board of Elections
Pink copy: Candidate

SBE 68 (04/05)
KENTUCKY REGISTRY
OF ELECTION FINANCE
140 Walnut Street
Frankfort, Kentucky 40621
(502) 573-2226 / Fax (502) 573-5622
www.knet.ky.gov

APPOINTMENT OF
CAMPAIGN TREASURER
AND OPTIONAL
REQUEST FOR
REPORTING EXEMPTION

SECTION 1. CANDIDATE INFORMATION
(Please type or print)

Name of Candidate (as will appear on ballot) ____________________________
County of Candidate’s Residence ____________________________

Candidate’s Mailing Address: Street, P.O. Box, Rural Route ____________________________
City ____________________________ State ____________________________ Zip Code

Candidate’s Telephone Number ____________________________ Candidate’s Alternate Telephone Number ____________________________

Candidate’s Date of Birth ____________________________
Optional: Additional Method of Contact (Example: e-mail address, fax number, other telephone number)

SECTION 2. ELECTION INFORMATION

Date of Election ____________________________
Type of Election (Check One)
Primary Nomination Special Election or Election to Fill Unexpired Term
General Election

Is Candidate the Incumbent for This Office? Yes __ No __
Is Candidate Filing as a Write-In Candidate? Yes __ No __

Office Sought ____________________________
Jurisdiction of Office Sought, Including District, Circuit, or Division Number, if Applicable

This Race is (Check One)
Partisan __ Non-Partisan __
If Partisan Race, Indicate Candidate’s Designation on the Ballot: (Check One)
Democrat __ Republican __ Independent __ Other (Specify) ____________________________

SECTION 3. TREASURER AND DEPOSITORY INFORMATION

Name of Treasurer - Required Designation Even If Candidate is Serving as Own Treasurer

Treasurer’s Mailing Address: Street, P.O. Box, Rural Route ____________________________
City ____________________________ State ____________________________ Zip Code

Treasurer’s Telephone Number ____________________________ Treasurer’s Alternate Telephone Number ____________________________

Name of Financial Institution Intended for Use as Campaign Depository ____________________________
Address of Financial Institution Intended for Use as Campaign Depository ____________________________

SECTION 4. OPTIONAL REQUEST FOR REPORTING EXEMPTION PURSUANT TO KRS 121.180(1)

I am not requesting a reporting exemption. I intend to file all campaign finance reports. I understand that I will have campaign finance reports due 32 and 30 days after the election(s) and 30 days after the election(s). This is my intent for the: (Check One)

Primary and General Elections __ Primary Election Only __ General Election Only

EXEMPTION OPTION A. I expect to raise and spend $3,000 or less during each election as indicated below which entitles me to request an exemption from all pre-election reporting. I understand that I will have one campaign finance report due no later than 30 days after the election indicated unless my campaign exceeds the $3,000 threshold at which time I will immediately begin filing the required campaign finance reports. This is my intent for the: (Check One)

Primary and General Elections __ Primary Election Only __ General Election Only

EXEMPTION OPTION B. I expect to raise and spend $1,000 or less during each election as indicated below which entitles me to request a reporting exemption. I understand that I will have no campaign finance reports due for the election(s) indicated unless my campaign exceeds the $1,000 threshold at which time I will immediately begin filing the required campaign finance reports. This is my intent for the: (Check One)

Primary and General Elections __ Primary Election Only __ General Election Only

SECTION 5. AMENDED INFORMATION, REVOCATION OR CHANGE OF REPORTING EXEMPTION

If using this form to amend candidate, election, treasurer, or dispository information, check this box ____________

If using this form to revoke a prior request for exemption and/or to exercise a different option, check this box ____________

Briefly describe reason for amendment, revocation, or change:

SECTION 6. VERIFICATION

I certify that I have examined this Appointment of Campaign Treasurer and Optional Request for Reporting Exemption form and to the best of my knowledge and belief it is true, correct, and complete. I understand that submission of false, erroneous, or incomplete information may subject me to the penalties of KRS 121.990.

Candidate’s Signature ____________________________ Date ____________________________

Filing Officer: [Signature] ____________________________ Date: 05/2023

KREF-01 REVISED 05/2023
Filing Officer: Original (white) copy - Attach to Filing Papers
Canary Copy - Send to Registry
Pink Copy - To Candidate
APPOINTMENT OF CAMPAIGN TREASURER AND OPTIONAL REQUEST FOR REPORTING EXEMPTION: INSTRUCTIONS

FILE OFFICER INSTRUCTIONS - Filing Officer should data-stamp the form in the space provided in the center of the heading on the front of the form. If data-stamping device is not used, Filing Officer must complete the information requested by hand in the spaces provided. State the name of the office for which form was filed, including the name of the candidate, and indicate the date on which the filing was accepted. The Filing Officer should distribute the copies of the form as follows: Original (White) - Retained by Filing Officer to be filed with candidate’s filing papers; Caution - To be sent to the Registry immediately. Pink - Candidate copy.

REGISTRY USE ONLY - This space is reserved for use by the Registry of Election Finance. Do not make any marks or enter any information in this space.

GENERAL INSTRUCTIONS - Type or print all entries and provide all information requested. Check all entries that apply. If the form differs from that, with very limited exceptions, they may not file this form directly with the Registry. It must be filed with the Secretary of State or County Clerk only, who will forward the appropriate copy to the Registry. This form does not constitute the registration of a campaign committee. To register a campaign committee, obtain Form KRSF-010 from the Registry and file it with the Registry.

SECTION 1. CANDIDATE INFORMATION - This section contains information relating to the candidate. All fields are required unless designated “Optional.” Do not leave any required fields blank.

NAME OF CANDIDATE - Enter the name of the candidate as it appears on the ballot.

COUNTY OF CANDIDATE’S RESIDENCE - Enter the county of the candidate’s county of residence.

CANDIDATE’S MAILING ADDRESS - Enter the complete address of the location where all correspondence with the candidate will be mailed. Include street number and name, suite number, apartment number, street, city, state, zip code, as applicable.

CANDIDATE’S TELEPHONE NUMBER - Enter the telephone number where the candidate can be reached during the daytime hours.

CANDIDATE’S ALTERNATE TELEPHONE NUMBER - Enter an alternate telephone number where the candidate can be reached, either in person, or by voice mail or other answering device.

CANDIDATE’S DATE OF BIRTH - Enter the candidate’s date of birth. Include month, day, and year.

OPTIONAL METHODS OF CONTACT - The candidate may select another method of contact in addition to the two telephone numbers requested. Optional methods of contact include, but are not limited to, cellular telephone number, pager, fax machine, email address, and candidate’s web page.

SECTION 2. ELECTION INFORMATION - This section contains information relating to the election. An entry in each field is required. Do not leave any fields blank.

DATE OF ELECTION - Enter the date of the election for which the candidate is filing this form.

TYPE OF ELECTION - Choose the appropriate type of election: primary, general, special, or unaffiliated.

IS CANDIDATE THE INCUMBENT? - If a candidate presently holds the office for which he or she is seeking re-election, check “Yes,” otherwise, check “No.”

IS CANDIDATE FILING AS A WRITE-IN? - If filing as a write-in candidate, check “Yes,” otherwise, check “No.”

IS CANDIDATE SORORITY - Enter the name of the sorority, if any, that is affiliated with the candidate.

IS CANDIDATE’S DESIGNATION ON BALLOT LIST? - If name is on the ballot, check “Yes,” otherwise, check “No.”

SECTION 3. TREASURER AND DEPOSITORY INFORMATION - This section of the form contains information relating to the campaign treasurer and campaign depository bank account. An entry in each field is required. Note that a candidate is required to notify the Registry of the election, designation, or removal of a treasurer and appoint a successor by using this form or be accountable as his or her own treasurer.

NAME OF TREASURER - Enter the full name of the individual the candidate is appointing to serve as campaign treasurer. If the candidate is serving as his or her own treasurer, “Self” may be entered in this field. A judicial candidate is advised to consult the Judicial Conduct Commission of the Kentucky Judiciary before designating himself or herself as campaign treasurer.

TREASURER’S MAILING ADDRESS - CITY, STATE, ZIP - Enter the complete address of the location where all correspondence with the treasurer will be mailed. Include street number, rural route, post office box, and apartment number, as applicable.

TREASURER’S TELEPHONE NUMBER - Enter the telephone number where the treasurer can be reached during the daytime hours.

TREASURER’S ALTERNATE TELEPHONE NUMBER - Enter an alternate telephone number where the treasurer can be reached, either in person, or by voice mail or other answering device.

NAME OF FINANCIAL INSTITUTION - Enter the name of the bank where the campaign depository is to be maintained. It is necessary to designate a depository even if the candidate is serving as his or her own treasurer.

ADDRESS OF FINANCIAL INSTITUTION - Enter the complete mailing address of the bank designated as the campaign depository above.

SECTION 4. OPTIONAL REQUEST FOR REPORTING EXEMPTION - Pursuant to KRS 121.160(1) - This section of the form contains options for requesting reporting exemptions based on the amount of money the candidate plans to raise or spend in each election. This section of the instructions contains important information regarding deadlines for filing reporting exemptions and possible penalties for exceeding the thresholds for the exemption chosen.

Deadlines

For candidates with a January filing deadline - The request for exemption for the primary nomination must be filed with the filing officer who receives the candidate’s filing papers no later than the filing deadline for the primary. To revoke or change the request for exemption for the primary, the candidate must file an amended Form KRSF-001 no later than 15 days after the filing deadline for the primary.

For candidates with a February filing deadline - If the candidate has not already filed a request for exemption for the general election, it must be filed with the Filing Officer who receives the candidate’s filing papers no later than 25 days after the date of the primary. To revoke the request for exemption, the candidate must file an amended Form KRSF-001 no later than 20 days after the date of the primary.

For candidates with an August filing deadline - The request for exemption must be filed with the TFC officer who receives the candidate’s filing papers no later than the filing deadline for the general election. To revoke or change the request for reporting exemption, the candidate must file an amended Form KRSF-001 no later than 15 days after the filing deadline for the general election.

Exceeding the Threshold for Exemption

Candidates for county offices, city offices, or school board races - May exceed the threshold chosen without filing an amended Form KRSF-001. However, the candidate must begin filing financial reports due, or be subject to civil penalties for late reporting.

For all other candidates - A candidate who fails to revoke or change the reporting exemption chosen, and then exceeds the threshold, may be subject to penalties, including civil penalties for late reporting or possible criminal penalties for knowing violations.

NO EXEMPTION OPTION - A candidate may choose to indicate that he or she is not requesting a reporting exemption, and is therefore required to file all reports for the primary election only, for the general election, or for both elections, as indicated by checking the appropriate box. If a candidate chooses this option, all reports are required, even if no campaign activity has taken place during the reporting period.

EXEMPTION OPTION A - A candidate who intends to raise or spend $3,000 or less (excluding the candidate’s own money) during each election may request an exemption from all pre-election reporting. To choose this exemption option, check one box to indicate whether the exemption is being requested for the primary election only, or the general election only, or both the primary and general elections.

EXEMPTION OPTION B - A candidate who intends to raise or spend $1,000 or less (excluding the candidate’s own money) during each election may request an exemption from all post-election reporting. To choose this exemption option, check one box to indicate whether the exemption is being requested for the primary election only, or the general election only, or both the primary and general elections.

SECTION 5. AMENDED INFORMATION, REVOCATION OR CHANGE IN REPORTING EXEMPTION - This section of the form is used to indicate that information previously provided on a Form KRSF-001 has changed.

IF USING THIS FORM TO AMEND - If using this form to amend candidate, election, treasurer, or depository information, complete a new Form KRSF-001 in its entirety. In Section 6, check the appropriate box to indicate that the form contains information which is different from that which was originally filed. Briefly describe the reason for the amendment. For this type of change on the campaign form, an amended Form KRSF-001 may be filed by checking the appropriate box in Section 6. For example, to name a new campaign treasurer in the event of the resignation of the former treasurer, complete the entire form, include the new treasurer’s name, address, and telephone numbers in the appropriate fields. Check the box in Section 6 to indicate that the form contains amended information, and in the space provided for a description of the amendment, indicate “due to resignation of treasurer, new treasurer appointed.”

IF USING THIS FORM TO REVOCATE - Prior to the deadline, this form may be used to revoke a prior exemption option and/or to exercise a different option by completing a new Form KRSF-001 in its entirety. In Section 6, check the appropriate box to indicate that the form contains a new campaign form, and briefly describe the reason for the revocation and/or new selection, and briefly describe the reason for the revocation and/or new selection. For example, if the candidate did not exercise an exemption option, and planned to file all campaign finance reports, but prior to the deadline to revoke determination the candidate would not raise or spend $1,000, the candidate could file a revocation of his or her original option and then exercise an option of his or her choosing.

CANDIDATE’S SIGNATURE - After reading the verification statement, the candidate should sign and date the form. By signing the form the candidate certifies that he or she has read and understands the verification statement.

38
Committee Name - Do not include candidate's name in committee name unless authorized by candidate. (KRS 121.210(4)). Acronyms are permitted but full title from which derived must be shown. (KRS 121.170).

_____________________________(______)________ - Daytime Telephone Number

Mailing address (including city, state and zip)  

State the name of sponsor, the specific source of funds and the purpose for which this committee is being registered. (Permanent committees must list the major business, social, or political interest represented.)

This committee is being organized as a: (check one)

☐ CAMPAIGN COMMITTEE (for candidate(s) during an election campaign) - KRS 121.015(3)(a).
☐ CANDIDATE AUTHORIZED ☐ UNAUTHORIZED

☐ CAUCUS CAMPAIGN COMMITTEE - KRS 121.015(3)(b).

☐ POLITICAL ISSUES COMMITTEE (for an issue which will appear on the ballot) - KRS 121.015(3)(c).

☐ PERMANENT COMMITTEE (a permanent organization which functions on a regular basis) - KRS 121.015(3)(d).

☐ INAGURAL COMMITTEE - KRS 121.015(3)(f).

NOTE: The chairperson and the treasurer of a committee shall be separate persons. The official contact person of a permanent committee shall not be a legislative agent or an executive agency lobbyist. See KRS 121.170(4).

CHAIRPERSON INFORMATION:

Daytime Telephone Number: (______)______-______

Home Telephone Number: (______)______-______

Name

E-mail Address:

Mailing address (including city, state and zip)

TREASURER INFORMATION:

Daytime Telephone Number: (______)______-______

Home Telephone Number: (______)______-______

E-mail Address:

Name

Mailing address (including city, state and zip)

OFFICIAL CONTACT PERSON:

Daytime Telephone Number: (______)______-______

Home Telephone Number: (______)______-______

E-mail Address:

Name

Mailing address (including city, state and zip)
This Section to be completed by Campaign Committees Only

Candidate to be supported by committee, if applicable:

__________________________________________  ____/____/___  ________________________
Name of candidate                Date of Birth   Party Affiliation
_______________________________________________________________________________________________

Mailing Address (Including city, state and zip)          Office Sought

For unauthorized campaign committees, if candidate is unknown or several candidates will be supported by independent expenditures, check here: ☐

Does the candidate’s name appear in the name of the committee? _____YES   _____NO (Required if unauthorized)

Has the candidate approved use of his/her name? _____YES (See Candidate’s Authorization Box at bottom)  _____NO (If unauthorized)

This Section to be completed by Political Issues Committees ONLY

Constitutional amendment or public question to be advocated or opposed - KRS 121.015(3)(c)

_______________________________________________________________________________________________
_______________________________________________________________________________________________

This committee Supports or Opposes the above listed constitutional amendment or public question.

This Section to be completed by ALL Committees

Primary Depository - Designate depository bank or financial institution in which the committee will maintain its funds.

_______________________________________________________________________________________________
Name of bank or institution

_______________________________________________________________________________________________
Mailing Address (Including city, state and zip)

VERIFICATION BY OATH OR AFFIRMATION

We, the undersigned, state we are the Chairperson and Treasurer of the above described committee and this Political Committee Registration is true, correct and complete.

_____________________________________________  ____________________________________________
Signature of Chairperson   Date   Signature of Treasurer   Date

CANDIDATE’S AUTHORIZATION - (If Applicable) I have read and understand the conditions of KRS 121.180(9); and further understand that I am personally relieved from filing the CANDIDATE ELECTION FINANCE STATEMENT, as long as I comply with these conditions. I will immediately notify the Registry of Election Finance if I can no longer comply with these conditions and I will file any and all reports required by KRS Chapter 121.

I, ________________________________, hereby agree to the above statement and authorize the use of my name by this committee.

_________________________________________________
Signature of Candidate   Date
KENTUCKY REGISTRY OF ELECTION FINANCE
140 Walnut Street, Frankfort, KY 40601-3240
(502) 573-2228 / FAX (502) 573-5822
www.kref.ky.gov

WAIVER FROM FILING CANDIDATE ELECTION FINANCE STATEMENT
Please type or print

NOTE: This form to be filed only by candidates who have an authorized campaign committee registered on their behalf.

Candidate Name

Date of Birth

Mailing Address (including city, state and zip)

Date Approved

Daytime Telephone Number

State the name of the authorized committee registered on behalf of candidate

KRS 121.180(9) relieves a candidate of the personal responsibility for filing a CANDIDATE ELECTION FINANCE STATEMENT provided all of the following conditions are met:

1. The candidate has an authorized campaign committee.

2. The candidate shall surrender possession of any contribution to the treasurer of the principal campaign committee within five (5) business days.

3. Contributions received by check, money order or other written instrument shall be endorsed directly to the committee and shall not be cashed, deposited or used in any way by the candidate.

4. No contribution shall be commingled with the candidate’s personal funds or accounts.

5. The candidate shall not make any unreimbursed expenditure for his or her campaign. However, this does not preclude a candidate from making an expenditure from his or her personal funds to the authorized campaign committee, which shall be reported by the committee as a contribution received from the candidate.

6. This waiver shall continue in force only as long as the candidate complies with the conditions set forth above.

I understand the above stated conditions. I further understand that as long as I comply with these conditions, I am personally relieved from filing the CANDIDATE ELECTION FINANCE STATEMENT. I will immediately notify the Registry if I can no longer comply with these conditions and I will file any reports required by KRS Chapter 121.

Date signed
Signature of Candidate

Distribution: White copy to Registry - Canary copy to Candidate

KREF 011 Revised 05/2006
ELECTION FINANCE STATEMENT - COVER PAGE
(Please type or print)

1. Candidate/Slate of Candidates:___________________________________
   Committee Name:______________________________________________
   Date of Birth: ___/___/_____ KREF Filer # _________________________
   Office Sought:_________________________________________________
   District/Division Number: ________________________________________
   County of Residence: ___________________________________________
   Political Party: _________________________________________________

2. Candidate/Slate of Candidates/Committee Mailing Address:
   Daytime Phone Number: (_____)_____-_________

3. Treasurer’s Name and Mailing Address:
   Daytime Phone Number: (_____)_____-_________

4. This Statement Covers:
   From:   _________________
          Month - Day - Year
   To:   _________________
          Month - Day - Year

5. Date of Election: ___________________________ This Statement relates to:
   Primary                      General                      Special
   Run-off Primary

6. Type of Statement
   a. □ Quarterly               f. □ Annual Supplemental
   b. □ 32-day Pre-Election     g. □ Termination______________________
   c. □ 15-day Pre-Election     h. □ AMENDMENT - Check one of the items above
   d. □ 30-day Post-Election    to indicate which statement is being amended.
   e. □ 60-day Post-Election Supplemental

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this statement to the penalties of KRS 121.990.

7. Verification: I certify that I have examined this Election Finance Statement and to the best of my knowledge and belief it is true, correct, and complete.

Candidate or Treasurer:_______________________________________________________________   Date: ____________________
   Type or Print Name                                             Authorized Signature
   Month-Day-Year

Logged _________   Keyed _________

Election Status:   W    L

Candidate Status:                          Reporting Status:
   INELG                      S Only
   WD                        Debt Only
   DD                        S/D
   T    Ø Continue to G
   TFC

INCLUDE INFORMATION FOR THIS ELECTION ONLY

Page 1 of ______

(Please type or print)

KREF 006 (REVISED 10/2010)
**RECEIPTS**

<table>
<thead>
<tr>
<th></th>
<th>COLUMN 1</th>
<th>COLUMN 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>CONTRIBUTIONS: (including all receipts from Fundraisers)</td>
<td>(This Period)</td>
</tr>
<tr>
<td>a.</td>
<td>Itemized by check or written instrument (Schedule 1A, Item 4a)</td>
<td>$ ________________</td>
</tr>
<tr>
<td>b.</td>
<td>Other receipts (Schedule 1A, Item 4c)</td>
<td>+$ ________________</td>
</tr>
<tr>
<td>c.</td>
<td>Receipts in currency (Number of people ________________)</td>
<td>+$ ________________</td>
</tr>
<tr>
<td>d.</td>
<td>Anonymous (Number of people ________________)</td>
<td>+$ ________________</td>
</tr>
<tr>
<td>e.</td>
<td>Unitemized contributions (Number of people ______________)</td>
<td>+$ ________________</td>
</tr>
<tr>
<td>f.</td>
<td>Political Action Committee (PAC) contributions (Schedule 1B, Item 4a)</td>
<td>+$ ________________</td>
</tr>
<tr>
<td>g.</td>
<td>Executive Committee contributions (Schedule 1C, Item 3a)</td>
<td>+$ ________________</td>
</tr>
<tr>
<td>h.</td>
<td>Caucus Campaign Committee contributions (Schedule 1D, Item 3a)</td>
<td>+$ ________________</td>
</tr>
<tr>
<td>2.</td>
<td>TOTAL RECEIPTS</td>
<td>=$ ________________</td>
</tr>
</tbody>
</table>

**DISBURSEMENTS**

<table>
<thead>
<tr>
<th></th>
<th>COLUMN 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.</td>
<td>TOTAL DISBURSEMENTS (Schedule 2, Item 4)</td>
</tr>
</tbody>
</table>

**IN-KIND CONTRIBUTIONS**

<table>
<thead>
<tr>
<th></th>
<th>COLUMN 1</th>
<th>COLUMN 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>4. a.</td>
<td>In-kind Contributions Received (Schedule 1A, Item 4b)</td>
<td>$ ________________</td>
</tr>
<tr>
<td>b.</td>
<td>In-kind Contributions Received (PAC) (Schedule 1B, Item 4b)</td>
<td>$ ________________</td>
</tr>
<tr>
<td>c.</td>
<td>In-kind Contributions Received (Executive Com.) (Schedule 1C, Item 3b)</td>
<td>$ ________________</td>
</tr>
<tr>
<td>d.</td>
<td>In-kind Contributions Received (Caucus Campaign Com.) (Schedule 1D, Item 3b)</td>
<td>$ ________________</td>
</tr>
</tbody>
</table>

**DEBTS AND OBLIGATIONS**

<table>
<thead>
<tr>
<th></th>
<th>COLUMN 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.</td>
<td>TOTAL DEBTS AND OBLIGATIONS (Schedule 4, Item 7)</td>
</tr>
</tbody>
</table>

**BALANCE STATEMENT**

<table>
<thead>
<tr>
<th></th>
<th>COLUMN 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.</td>
<td>Ending balance of previous report (Enter -0- if no previous report)</td>
</tr>
<tr>
<td>7.</td>
<td>Add total receipts during reporting period (Line 2, Column 1)</td>
</tr>
<tr>
<td>8.</td>
<td>Sub-Total (Add lines 6 and 7)</td>
</tr>
<tr>
<td>9.</td>
<td>Subtract total disbursements during reporting period (Line 3, Column 1)</td>
</tr>
<tr>
<td>10.</td>
<td>ENDING BALANCE (Subtract Line 9 from Line 8)</td>
</tr>
</tbody>
</table>
RECEIPTS SCHEDULE 1A
Receipts in Excess of $100 Must be Itemized

Candidate/Slate of Candidates/Committee: __________________________________________________________

KREF Filer #: ___________________________ Period From: _____/_____/______ To: _____/_____/______

<table>
<thead>
<tr>
<th>1. Contributor Name and Address</th>
<th>2. Date of Receipt</th>
<th>3. Type of Contribution</th>
<th>4a. Contribution by Check or Written Instrument</th>
<th>4b. Description and Value of In-Kind</th>
<th>4c. Other Receipts</th>
<th>5. Cumulative for Election (per Contributor)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contributor Occupation and Employer</td>
<td>1b. Marital Status</td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>Spouse’s Name, Occupation and Employer</td>
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</tr>
<tr>
<td>Direct from Candidate</td>
<td>Date of Receipt</td>
<td>Date of Receipt</td>
<td>Date of Receipt</td>
<td>Date of Receipt</td>
<td>Date of Receipt</td>
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<tr>
<td>Direct from a person or authorized entity</td>
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<tr>
<td>Direct from a person or authorized entity</td>
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<tr>
<td>Fundraising Event</td>
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<tr>
<td>Fundraiser (person)</td>
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<tr>
<td>In-kind</td>
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<tr>
<td>Other: ______________</td>
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</tbody>
</table>

SUBTOTAL THIS PAGE
TOTAL THIS PERIOD
(Only on last page of Schedule)

Enter this total on Col. 1, line 1a of Summary Page
Enter this total on Col. 1, line 4a of Summary Page
Enter this total on Col. 1, line 1b of Summary Page
## PAC RECEIPTS SCHEDULE 1B

Receipts from PACs must be itemized regardless of amount

<table>
<thead>
<tr>
<th>KREF Filer #:</th>
<th>Period From: / / To: / /</th>
</tr>
</thead>
</table>

### 1. Permanent Committee Name and Address

<table>
<thead>
<tr>
<th>2. Major business, social, or political interest represented by committee</th>
</tr>
</thead>
</table>

### 3. Date of Receipt

<table>
<thead>
<tr>
<th>4a. Contribution by Check or Written Instrument</th>
</tr>
</thead>
</table>

### 4b. Description and Value of In-Kind

<table>
<thead>
<tr>
<th>5. Cumulative for Election (per Contributor)</th>
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</thead>
</table>

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**SUBTOTAL THIS PAGE**

**TOTAL THIS PERIOD**

(Only on last page of Schedule)

Enter this total on Col. 1, line 1f of Summary Page

Enter this total on Col. 1, line 4b of Summary Page
## Executive Committee Receipts Schedule 1C

Receipts in Excess of $100 Must be Itemized

### Candidate/Slate of Candidates/Committee:

KREF Filer #: ________________________________  Period From: _____/_____/______   To: _____/_____/______

<table>
<thead>
<tr>
<th>1. Executive Committee Name and Address</th>
<th>2. Date of Receipt</th>
<th>3a. Contribution by Check or Written Instrument</th>
<th>3b. Description and Value of In-Kind</th>
<th>4. Cumulative for Election (per Contributor)</th>
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</tbody>
</table>

**SUBTOTAL THIS PAGE**

5. Total Cash and Unitemized Executive Committee Contributions

Cash _______________ + Unitemized _______________ =

Number of Cash Receipts ______ Number of Unitemized Receipts _____

**TOTAL THIS PERIOD**

(Only on last page of Schedule)

$ ____________ $ ____________

Enter this total on Col. 1, line 1g of Summary Page

Enter this total on Col. 1, line 4c of Summary Page
CAUCUS CAMPAIGN COMMITTEE RECEIPTS SCHEDULE 1D

Receipts in Excess of $100 Must be Itemized

Candidate/Slate of Candidates/Committee: ____________________________________________________________

KREF Filer #: ____________________________ Period From: _____/_____/______ To: _____/______/______

<table>
<thead>
<tr>
<th>1. Caucus Campaign Committee Name and Address</th>
<th>2. Date of Receipt</th>
<th>3a. Contribution by Check or Written Instrument</th>
<th>3b. Description and Value of In-Kind</th>
<th>4. Cumulative for Election (per Contributor)</th>
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</tbody>
</table>


**SUBTOTAL THIS PAGE**

5. Total Cash and Unitemized Caucus Campaign Committee Contributions

Cash _________________ + Unitemized _________________ =

Number of Cash Receipts ______ Number of Unitemized Receipts _____

**TOTAL THIS PERIOD**

(Only on last page of Schedule)

$___________ Enter this total on Col. 1, line 1h of Summary Page

$___________ Enter this total on Col. 1, line 4d of Summary Page

KENTUCKY REGISTRY OF ELECTION FINANCE

KREF 006

REVISED 10/2010
### Itemized Disbursements Schedule 2

<table>
<thead>
<tr>
<th>1. Name and Address of Person or Business Paid</th>
<th>2. Purpose of Disbursement (Be specific)</th>
<th>3. Date of Disbursement</th>
<th>4. Amount Disbursed</th>
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<tbody>
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</table>

**Candidate/Slate of Candidates/Committee:** 
_____________________________________________________________________

**KREF Filer #:** ___________________________________________

**Period From:** _____/_____/______ **To:** _____/______/______

**Subtotal this page**

**Total this period**
(Only on last page of Schedule)

Enter this total on Col. 1, line 3 of Summary Page

---

**KENTUCKY REGISTRY OF ELECTION FINANCE**

**KREF 006**

**REVISED 10/2010**
EVENTS SCHEDULE 3

Candidate/Slate of Candidates/Committee: ____________________________________________________________

KREF Filer #: _____________________________ Period From: _____/_____/______ To: _____/______/______

<table>
<thead>
<tr>
<th>1. Sponsor of Event and Address where the Event was Held</th>
<th>2. Type of Fundraising Activity or Event</th>
<th>3. Date Event was Held</th>
<th>4. Total Amount Received</th>
<th>5. Cost of Event</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

NOTE: Each fundraising activity or event must be listed separately. This schedule must be filed with the Election Finance Statement covering the period in which the fundraising activity or event took place, and is for informational purposes only. All receipts must be itemized on Schedule 1A, Schedule 1B, Schedule 1C, Schedule 1D or be included in unitemized, cash, or anonymous totals on the Summary Page. All costs incurred in connection with fundraising activities or events must be included on Schedule 2, or as in-kind contributions on Schedule 1A.
### DEBTS & OBLIGATIONS SCHEDULE 4

**Candidate/Slate of Candidates/Committee:**

- **KREF Filer #:** ____________________________________________________________________________________
- **Period From:** __/__/____  **To:** __/__/____

<table>
<thead>
<tr>
<th>1. Name and Mailing Address of Party to Whom Debt is Owed</th>
<th>2. Type of Obligation</th>
<th>3. Date Incurred</th>
<th>4. Original Amount</th>
<th>5. Prior Payment</th>
<th>6. Payment made this reporting period</th>
<th>7. Outstanding Balance at close of this period</th>
</tr>
</thead>
<tbody>
<tr>
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</tr>
</tbody>
</table>

**NOTE:** If you have debts or obligations, this schedule must be filed with every Election Finance Statement with reportable activity (contributions and/or expenditures) up to and including the period in which all debts are paid or assumed.

The candidate/slate of candidates may convert outstanding obligations or debt to candidate contribution by personally assuming the debt. If you wish to assume debt outstanding from your campaign, please execute the Certificate of Debt Assumption below.

#### CERTIFICATE OF DEBT ASSUMPTION

I hereby assume personal responsibility for payment of all outstanding campaign debts for this election.

**signature** ___________________________  **date** __________

**Amount Assumed by Candidate**

- (Only when closing campaign account)

$ __________

---

** SUBTOTAL THIS PAGE **

| $ __________ |

** TOTAL THIS PERIOD **

(Only on last page of Schedule)

| $ __________ |

Enter this total on line 5 "Total Debts and Obligations" on the Summary Page
BOX 1 Candidate/Slate: Enter the name of the candidate. For a slate of candidates, enter only the last names of the two slate members.

Committee: Enter the name of the campaign committee, if applicable.

Date of Birth: Enter the Month/Day/Year the candidate was born. For a slate of candidates, list only the date of birth of the candidate for Governor.

KREF Filer #: Enter the KREF filer number assigned by the Registry.

Office Sought: Enter the name of the office sought as shown on the campaign filing papers.

District/Division: Enter the district or division number, if applicable.

County of Residence: Enter the county name of the candidate’s main residence. For a slate of candidates, enter only the county of residence of the candidate for Governor.

Political Party: Enter the name of the political party affiliated with the campaign. If non-partisan, list N/A.

BOX 2 Enter the complete mailing address for the campaign and a daytime telephone number.

BOX 3 Enter the name and complete mailing address for the treasurer and a daytime telephone number.

BOX 4 Enter the beginning and ending date for this statement. These dates should be consecutive from one report to the next.

BOX 5 Date of Election: Enter the Month/Day/Year of the election covered by this statement.

Statement relates to: Check one of the four boxes to identify the election pertained to by this report.

BOX 6 Type of statement: Check one of the boxes to identify the type of statement being filed.

For the final campaign finance report, also check box “g” and fill in the Month/Day/Year the campaign account was closed and all campaign activity ceased.

For an amended report, check the appropriate box for the reporting period being amended and also check amendment box “h.”

BOX 7 The election finance statement must be signed and dated by either the candidate or the campaign treasurer. The name of the person signing the report must be printed or typed and that person must provide his/her authorized signature and indicate the Month/Day/Year the signature was applied.

Note that the election finance statement should only include information for the reporting period shown on the cover page.

If the candidate or committee had no activity (contributions and/or expenditures) during the reporting period, complete the Cover Page and check the box marked “No change since last report” in the Balance Statement portion of the Summary Page.

Use only those pages that apply to your campaign during this reporting period.

You may duplicate these schedules as needed.
SUMMARY PAGE

TOP OF EVERY PAGE
• Enter the name of the candidate, slate of candidates, or campaign committee.
• Enter the KREF filer number assigned by the Registry.
• Enter the time period this statement covers.

RECEIPTS  – these Summary Page instructions refer to Column 1
• Line 1a: Transfer the total itemized receipts from Schedule 1A, Item 4a.
• Line 1b: Transfer the total other receipts from Schedule 1A, Item 4c.
• Line 1c: Enter the total cash receipts. Record the number of cash contributions this period on the Line 1c space provided. (Note that any cash contribution which campaign records cannot attribute to a specific contributor by name and address must be classified as anonymous cash and must be reported as part of the total on Line 1d.)
• Line 1d: Enter the total of all anonymous cash receipts. Record the number of anonymous cash contribution transactions this period on the Line 1d space provided.
• Line 1e: Enter the total of all unitemized monetary receipts. Record the number of unitemized contribution transactions this period on the Line 1e space provided.
• Line 1f: Transfer the total PAC receipts from Schedule 1B, Item 4a.
• Line 1g: Transfer the total Executive Committee receipts from Schedule 1C, Item 3a.
• Line 1h: Transfer the total Caucus Campaign Committee receipts from Schedule 1D, Item 3a.
• Line 2: Enter the total of all the amounts in Column 1. This figure is the total receipts for the period.

DISBURSEMENTS  – these Summary Page instructions refer to Column 1
• Line 3: Enter the total from Schedule 2, Item 4. This figure is the total disbursements for the period.

IN-KIND CONTRIBUTIONS  – these Summary Page instructions refer to Column 1
• Line 4a: Transfer the total itemized in-kind receipts from Schedule 1A, Item 4b.
• Line 4b: Transfer the total PAC in-kind receipts from Schedule 1B, Item 4b.
• Line 4c: Transfer the total Executive Committee in-kind receipts from Schedule 1C, Item 3b.
• Line 4d: Transfer the total Caucus Campaign Committee in-kind receipts from Schedule 1D, Item 3b.

DEBTS AND OBLIGATIONS
• Line 5: Transfer the total debts owed by the campaign from Schedule 4, Item 7.

BALANCE STATEMENT
• Line 6: Transfer the ending balance from the last finance statement Summary Page Line 10.
• Line 7: Transfer the total monetary receipts from Line 2, Column 1 of the Summary Page.
• Line 8: Enter the total of Line 6 and Line 7.
• Line 9: Transfer the total disbursement amount from Line 3, Column 1 of the Summary Page.
• Line 10: Enter the total of Line 8 minus Line 9. This is the ending balance for this reporting period.

If this is the first election finance statement filed, copy the figures in Column 1 to Column 2.

For each subsequent election finance statement with activity, add the Column 2 figures of the prior statement with activity to the Column 1 figures of the current statement. The result is the total of Column 2 for the current statement. If no activity (contributions and/or expenditures) occurred during the reporting period, complete the Cover Page and Summary Page only, checking the box “No change since last report” on the Balance Statement portion of the Summary Page.
ITEMIZED RECEIPTS
SCHEDULE 1A

TOP OF EVERY PAGE
• Enter the name of the candidate, slate of candidates, or campaign committee.
• Enter the KREF filer number assigned by the Registry.
• Enter the time period this statement covers.

Contributions are required to be itemized when the cumulative contribution from an individual has exceeded $100 during the course of an election.

Refunds of contributions are recorded as “receipts adjustments” here on Schedule 1A and not as expenditures on Disbursement Schedule 2.

Refunds of amounts disbursed by the campaign are recorded as “disbursement adjustments” on Disbursement Schedule 2, not as receipts on Schedule 1A.

BOX 1
• Enter the name and complete address of each contributor along with the contributor’s occupation and the name of the contributor’s employer.
• The contributor’s occupation must be specific. If the contributor is self-employed, list the name under which the contributor is doing business. The term “businessman” is not acceptable.

ADDITIONAL REQUIREMENTS ONLY FOR SLATES AND STATEWIDE CANDIDATES
Box 1b must list the marital status of the contributor (enter S for single or M for married). If the contributor is married, list the contributor’s spouse’s name, occupation and employer.

BOX 2 Enter the date of receipt (Month/Day/Year) of each itemized contribution or other receipt.

BOX 3 Check one of the boxes to disclose which type of itemized receipt the campaign is reporting:
• Direct from Candidate for a contribution from the candidate to the campaign account.
• Loan from Candidate for a loan from the candidate to the campaign account.
• Direct from a person or authorized entity for a contribution received directly from an individual or contributing organization.
• From Fundraising Event for a contribution received in conjunction with a campaign event.
• From Fundraiser Person for a contribution raised by a registered fundraiser person.
• In-kind Contribution for a non-monetary contribution received by the campaign.
• Other for a type of receipt other than those listed above along with a description of the “other” receipt.

BOX 4a Enter the amount of each monetary contribution.

BOX 4b Enter the fair market value of each in-kind contribution of goods, services, or discounts along with a detailed explanation of what was given in-kind.

BOX 4c Enter the amount of each “other” receipt (such as interest on a checking account).

BOX 5 Enter the cumulative contribution total (which includes both monetary and in-kind contributions) from each itemized contributor as of the current contribution.

Subtotal each page of the schedule at the bottom of the page. Total all pages of Schedule 1A on the last page of the schedule. Transfer the totals from the last page of Schedule 1A to the appropriate lines in Column 1 of the Summary Page.
TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

BOX 1 Enter the full name and complete address of the permanent committee. (Enter the official name of the PAC and not an acronym the PAC may be known to use.)

BOX 2 Enter the major business, social, or political interest represented by the PAC.

BOX 3 Enter the date of receipt (Month/Day/Year) of the monetary or in-kind PAC contribution.

BOX 4a Enter the amount of each PAC monetary contribution.

BOX 4b Enter the fair market value of each in-kind PAC contribution of goods, services, or discounts along with a description of what was given in-kind by the PAC.

BOX 5 Enter the cumulative contribution total (which includes both monetary and in-kind contributions) from each PAC as of the current contribution.

Subtotal each page of the schedule at the bottom of the page. Total all pages of Schedule 1B on the last page of the schedule. Transfer the totals from the last page of Schedule 1B to the appropriate lines in Column 1 of the Summary Page.

Campaigns must be aware that permanent committees affiliated by by-law structure or by registration are considered as one (1) committee for the purposes of applying contribution limits.

Campaigns cannot accept contributions from permanent committees which, in the aggregate, exceed fifty percent (50%) of the total contributions accepted by the campaign in any one election or ten thousand dollars ($10,000) in any one election, whichever is the greater amount. The percentage of the total contributions or dollar amounts of contributions accepted by a candidate from permanent committees shall be calculated as of the day of each election. If a campaign has accepted more than ten thousand dollars ($10,000) from PACs, refer to the candidate guide for the method used to calculate the PAC contributions percentage. The candidate guide details the procedures that must be used by the campaign if the PAC percentage is found to be in excess of the fifty percent (50%) limitation.
EXECUTIVE COMMITTEE RECEIPTS
SCHEDULE 1C

TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

BOX 1
Enter the full name and complete address of the executive committee.

BOX 2
Enter the date of receipt (Month/Day/Year) of the itemized monetary or in-kind executive committee contribution.

BOX 3a
Enter the amount of the itemized executive committee monetary contribution.

BOX 3b
Enter the fair market value of each in-kind executive committee contribution of goods, services, or discounts along with a detailed explanation of what was given in-kind by the executive committee.

BOX 4
Enter the cumulative contribution total (which includes both monetary and in-kind contributions) from each executive committee as of the current contribution.

BOX 5
- Enter the total of all cash receipts from executive committees and record the number of executive committee cash contributions this period on the spaces provided.
- Enter the total of all unitemized monetary receipts from executive committees and record the number of unitemized contributions this period on the spaces provided.
- Enter the total of all executive committee cash and unitemized receipts in Item 3a.

Subtotal each page of the schedule at the bottom of the page. Total all pages of Schedule 1C on the last page of the schedule. Transfer the totals from the last page of Schedule 1C to the appropriate lines in Column 1 of the Summary Page.

Campaigns cannot accept contributions from executive committees which, in the aggregate, exceed fifty percent (50%) of the total contributions accepted by the campaign in any one election or ten thousand dollars ($10,000) in any one election, whichever is the greater amount. The percentage of the total contributions or dollar amounts of contributions accepted by a candidate from executive committees shall be calculated as of the day of each election. If a campaign has accepted more than ten thousand dollars ($10,000) from executive committees, refer to the candidate guide for the method used to calculate the executive committee contributions percentage. The candidate guide details the procedures that must be used by the campaign if the executive committee percentage is found to be in excess of the fifty percent (50%) limitation.
TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

BOX 1 Enter the full name and complete address of the caucus campaign committee.

BOX 2 Enter the date of receipt (Month/Day/Year) of the itemized monetary or in-kind caucus campaign committee contribution.

BOX 3a Enter the amount of the itemized caucus campaign committee monetary contribution.

BOX 3b Enter the fair market value of each in-kind caucus campaign committee contribution of goods, services, or discounts along with a description of what was given in-kind by the caucus campaign committee.

BOX 4 Enter the cumulative contribution total (which includes both monetary and in-kind contributions) from each caucus campaign committee as of the current contribution.

BOX 5

- Enter the total of all cash receipts from caucus campaign committees and record the number of caucus campaign committee cash contributions this period on the spaces provided.
- Enter the total of all unitemized monetary receipts from caucus campaign committees and the number of unitemized contributions this period on the spaces provided.
- Enter the total of all caucus campaign committee cash and unitemized receipts in Item 3a.

Subtotal each page of the schedule at the bottom of the page. Total all pages of Schedule 1D on the last page of the schedule. Transfer the totals from the last page of Schedule 1D to the appropriate lines in Column 1 of the Summary Page.

Campaigns cannot accept contributions from caucus campaign committees which, in the aggregate, exceed fifty percent (50%) of the total contributions accepted by the campaign in any one election or ten thousand dollars ($10,000) in any one election, whichever is the greater amount. The percentage of the total contributions or dollar amounts of contributions accepted by a candidate from caucus campaign committees shall be calculated as of the day of each election. If a campaign has accepted more than ten thousand dollars ($10,000) from caucus campaign committees, refer to the candidate guide for the method used to calculate the caucus campaign committee contributions percentage. The candidate guide details the procedures that must be used by the campaign if the caucus campaign committee percentage is found to be in excess of the fifty percent (50%) limitation.
DISBURSEMENTS
SCHEDULE 2

TOP OF EVERY PAGE

• Enter the name of the candidate, slate of candidates, or campaign committee.
• Enter the KREF filer number assigned by the Registry.
• Enter the time period this statement covers.

BOX 1 Enter the name and complete address of any person or business that receives a payment of more than $25. If the payment is to an individual, Box 1 must also list the occupation of this person.

Payment of any amount to a person for hauling voters must be made by check and detailed on this schedule.

BOX 2 Enter the purpose of the disbursement. The purpose of a disbursement must be disclosed regardless of the amount.

The purpose must be specific.

When a single payment is made for various types of expenses or reimbursements, each item of the total expense must be described individually.

BOX 3 Enter the date of the disbursement check. The date a disbursement is made must be disclosed regardless of the amount.

BOX 4 Enter the amount of the disbursement. The amount of a disbursement must always be disclosed and any disbursement in excess of $25 must be made by check.

Subtotal each page of the schedule at the bottom of the page. Total all pages of Schedule 2 on the last page of the schedule. Transfer the totals from the last page of Schedule 2 to Line 3 on Column 1 of the Summary Page.

When the campaign receives a refund, it should be shown on this statement as a “disbursements adjustment” and not on Schedule 1A as an “other receipt.” The amount of the refund is subtracted from disbursements so the campaign’s cumulative disbursements are not overstated on the Summary Page.

The repayment of a candidate loan is reported as a “receipts adjustment” on Schedule 1A, and is not reported as a disbursement on Schedule 2.
TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

BOX 1 Enter the name of the person(s) sponsoring the event and the address where the activity was held.

BOX 2 Enter a description of the event or fundraising activity that took place.

BOX 3 Enter the date the event was held. For events held over multiple dates, such as the sale of campaign paraphernalia, enter the beginning and ending dates.

BOX 4 Enter the total receipts for the event. All event receipts must also be itemized on Schedule 1 or be included in unitemized, cash, or anonymous cash totals on the Summary Page.

BOX 5 Enter the total cost of the event. The costs associated with each event should also be included as disbursements on Schedule 2 or as in-kind contributions on Schedule 1.

Each fundraising activity or event must be listed separately. This schedule must be filed with the Election Finance Statement covering the period in which the fundraising activity or event took place, and is for informational purposes only. All receipts in excess of $100 must be itemized on Schedule 1, and all other fundraiser receipts must be included in either unitemized, cash, anonymous, or in-kind receipts on the Summary Page. All costs incurred in connection with the fundraising activities or events must be included on Schedule 2, or as in-kind contributions on Schedule 1A.

An Event is a testimonial affair, dinner, luncheon, rally, or similar events, mass collections and the sale of items such as buttons, hats, ties, literature and similar materials. For sale of items, list the date the sales began through the date the sales ended in Box 3.
DEBTS AND OBLIGATIONS
SCHEDULE 4

TOP OF EVERY PAGE

- Enter the name of the candidate, slate of candidates, or campaign committee.
- Enter the KREF filer number assigned by the Registry.
- Enter the time period this statement covers.

BOX 1 Enter the name and address of the party to whom debt is owed. List each debt or obligation on a separate line.

BOX 2 Enter the type of debt or obligation. This could be something such as “candidate loan” or “prepaid advertising.” Unpaid bills and written contracts or agreements to make expenditures are also considered debts and must be reported here.

BOX 3 Enter the date the debt was incurred or the loan was made.

BOX 4 Enter the original amount loaned to or unpaid by the campaign.

BOX 5 Enter the total of the debt repaid during prior reporting periods.

BOX 6 Enter the total of the debt or loan repaid during this period. For a debt owed, this amount would also be recorded on Schedule 2 as a disbursement. For a loan repayment, this amount would also be recorded on Schedule 1A as a “receipts adjustment.”

BOX 7 Enter the original amount less prior payments and payments this reporting period (Box 4 minus Box 5 minus Box 6 equals Box 7). This is the outstanding amount owed on each debt or obligation. Continue reporting each debt or obligation on Schedule 4 until it has been retired.

Subtotal each page of the schedule at the bottom of the page. Total all pages of Schedule 4 on the last page of the schedule. Transfer the total from the last page of Schedule 4 to Line 5 of the Summary Page.

Each debt and obligation must be listed separately and this schedule must be filed with the Election Finance Statement.
<table>
<thead>
<tr>
<th>From an Individual</th>
<th>From a Permanent Committee (PAC)</th>
<th>From a Contributing Organization</th>
<th>From a Corporation</th>
<th>From an Executive Committee</th>
<th>From a Caucus Campaign Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>To a Candidate or Slate of Candidates</strong></td>
<td><strong>$1,000 per election 121.150(6)</strong></td>
<td><strong>$1,000 per election 121.150(6)</strong></td>
<td><strong>Prohibited 121.025 &amp; 121.035</strong></td>
<td><strong>Unlimited 4, 6 121.150(23)</strong></td>
<td><strong>Unlimited 5, 6 121.150(23)</strong></td>
</tr>
<tr>
<td><strong>To a Permanent Committee (PAC)</strong></td>
<td><strong>$1,500 per year aggregate 121.150(10)</strong></td>
<td><strong>$1,500 per year aggregate 121.150(10)</strong></td>
<td><strong>Prohibited 121.025 &amp; 121.035</strong></td>
<td><strong>$1,500 per year aggregate 121.150(10)</strong></td>
<td><strong>$1,500 per year aggregate 121.150(10)</strong></td>
</tr>
<tr>
<td><strong>To a Political Issues Committee</strong></td>
<td><strong>Unlimited</strong></td>
<td><strong>Unlimited</strong></td>
<td><strong>Unlimited 121.035</strong></td>
<td><strong>Unlimited</strong></td>
<td><strong>Unlimited</strong></td>
</tr>
<tr>
<td><strong>To an Executive Committee</strong></td>
<td><strong>$2,500 per year aggregate 121.150(11)</strong></td>
<td><strong>$2,500 per year aggregate 121.150(11)</strong></td>
<td><strong>Prohibited 121.025 &amp; 121.035</strong></td>
<td><strong>Unlimited Transfer of Funds</strong></td>
<td><strong>$2,500 per year aggregate 121.150(11)</strong></td>
</tr>
<tr>
<td><strong>To a Caucus Campaign Committee</strong></td>
<td><strong>$2,500 per year aggregate 121.150(11)</strong></td>
<td><strong>$2,500 per year aggregate 121.150(11)</strong></td>
<td><strong>Prohibited 121.025 &amp; 121.035</strong></td>
<td><strong>$2,500 per year 121.150(11)</strong></td>
<td><strong>$2,500 per year 121.150(11)</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>To a Candidate or Slate</th>
<th>To a School Board Candidate</th>
<th>To a Permanent Committee (PAC)</th>
<th>To an Issues Committee</th>
<th>To an Executive Committee</th>
<th>To a Caucus Campaign Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Cash Contributions</strong></td>
<td><strong>$50 per election 121.150(4)</strong></td>
<td><strong>$50 per election 121.150(4)</strong></td>
<td><strong>$50 per election 121.150(4)</strong></td>
<td><strong>$50 per election 121.150(4)</strong></td>
<td><strong>$50 per election 121.150(4)</strong></td>
</tr>
<tr>
<td><strong>Anonymous Contributions</strong></td>
<td><strong>$50 per election (Maximum aggregate $1,000 per election) 121.150(3)</strong></td>
<td><strong>$50 per election (Maximum aggregate $1,000 per election) 121.150(3)</strong></td>
<td><strong>$50 per election (Maximum aggregate $1,000 per election) 121.150(3)</strong></td>
<td><strong>$50 per election (Maximum aggregate $1,000 per election) 121.150(3)</strong></td>
<td><strong>$50 per election (Maximum aggregate $1,000 per election) 121.150(3)</strong></td>
</tr>
</tbody>
</table>
Contribution Limits

1 In-kind and monetary contributions jointly count toward both the “per election” and the “per year” contribution limits.

2 Contributing Organizations or PACs affiliated by bylaw structure or by registration shall be considered as one (1) committee for purposes of applying contribution limits. KRS 121.150(7)

3 The amount the candidate accepts in the aggregate from PACs per election cannot be more than fifty percent (50%) of the candidate’s total contributions, or ten thousand dollars ($10,000), whichever is greater. KRS 121.150(23)(a)

4 The contributions given by Executive Committees are unlimited. Party rules and or by-laws may prohibit Executive Committees and Caucus Campaign Committees from making contributions to candidates in non-partisan races. For more information, you may contact these committees. The contributions that a candidate or slate of candidates may accept in the aggregate from an Executive Committee are limited. The limit is based on the total contributions received by the candidate per election. The amount the candidate accepts from Executive Committees per election cannot be more than fifty percent (50%) of the candidate’s total contributions, or ten thousand dollars ($10,000), whichever is greater. KRS 121.150(23)(a)-(c)

5 The contributions given by Caucus Campaign Committees are unlimited. Party rules and or by-laws may prohibit Executive Committees and Caucus Campaign Committees from making contributions to candidates in non-partisan races. For more information, you may contact these committees. The contributions that a candidate or slate of candidates may accept in the aggregate from Caucus Campaign Committees are limited. The limit is based on the total contributions received by the candidate per election. The amount the candidate accepts from Caucus Campaign Committees per election cannot be more than fifty percent (50%) of the candidate’s total contributions, or ten thousand dollars ($10,000), whichever is greater. KRS 121.150(23)(a)-(c)

6 Party rules and or by-laws may prohibit Executive Committees and Caucus Campaign Committees from making contributions to candidates in non-partisan races. For more information, you may contact these committees.

7 Contributions by cashier's check or money order are limited to fifty dollars ($50) per election unless the instrument identifies both the payor and the payee. If the cashier's check or money order does identify both the payor and the payee, the instrument is considered a contribution by check. KRS 121.150(4)
Reporting Dates for Candidates, Permanent Committees (PACs), Caucus Campaign Committees, Executive Committees and Inaugural Committees

**2014 Elections**

Primary Election Filing Deadline: January 28, 2014  
Deadline to Designate or Rescind Statement of Intent for the 2014 Primary Election: February 12, 2014

<table>
<thead>
<tr>
<th>Due From</th>
<th>Due From</th>
<th>Due From</th>
</tr>
</thead>
<tbody>
<tr>
<td>05/20/2014 Primary Election</td>
<td>Report Due</td>
<td>Grace Period Ends</td>
</tr>
<tr>
<td>32-day pre-Primary Report</td>
<td>04/18/2014</td>
<td>04/23/2014</td>
</tr>
<tr>
<td>15-day pre-Primary Report</td>
<td>05/05/2014</td>
<td>05/12/2014</td>
</tr>
<tr>
<td>30-day post-Primary Report</td>
<td>06/19/2014</td>
<td>06/24/2014</td>
</tr>
<tr>
<td>60-day post-Primary Report</td>
<td>07/19/2014</td>
<td>07/24/2014</td>
</tr>
</tbody>
</table>

General Election Filing Deadline for Independents and minor-party candidates: April 1, 2014  
Primary Election Winners - Deadline to Designate or Rescind Statement of Intent for 2014 General Election: June 16, 2014  
General Election Filing Deadline for candidates with no Primary Election per KRS 118.365: August 12, 2014  
Deadline to Designate or Rescind Statement of Intent for the 2014 General Election for candidates who were exempted from the Primary Election by KRS 118.365: August 27, 2014

<table>
<thead>
<tr>
<th>Due From</th>
<th>Due From</th>
<th>Due From</th>
</tr>
</thead>
<tbody>
<tr>
<td>11/04/2014 General Election</td>
<td>Report Due</td>
<td>Grace Period Ends</td>
</tr>
<tr>
<td>32-day pre-General Report</td>
<td>10/03/2014</td>
<td>10/08/2014</td>
</tr>
<tr>
<td>15-day pre-General Report</td>
<td>10/20/2014</td>
<td>10/27/2014</td>
</tr>
<tr>
<td>30-day post-General Report</td>
<td>12/04/2014</td>
<td>12/09/2014</td>
</tr>
<tr>
<td>60-day post-General Report</td>
<td>01/03/2015</td>
<td>01/08/2015</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Due From</th>
<th>Due From</th>
<th>Due From</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Quarter report</td>
<td>03/31/2014</td>
<td>04/07/2014</td>
</tr>
<tr>
<td>2nd Quarter report</td>
<td>06/30/2014</td>
<td>07/07/2014</td>
</tr>
<tr>
<td>3rd Quarter report</td>
<td>09/30/2014</td>
<td>10/06/2014</td>
</tr>
<tr>
<td>4th Quarter report</td>
<td>12/31/2014</td>
<td>01/05/2015</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Due From</th>
<th>Due From</th>
<th>Due From</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Report</td>
<td>11/11/2014</td>
<td>11/11/2014</td>
</tr>
</tbody>
</table>
## Calendar for year 2014 (United States)

### January
Su Mo Tu We Th Fr Sa  
1 2 3 4  
5 6 7 8 9 10 11  
12 13 14 15 16 17 18  
19 20 21 22 23 24 25  
26 27 28 29 30 31

### February
Su Mo Tu We Th Fr Sa  
1 2 3 4 5 6 7 8  
9 10 11 12 13 14 15  
16 17 18 19 20 21 22  
23 24 25 26 27 28  

### March
Su Mo Tu We Th Fr Sa  
1 2 3 4 5 6 7 8  
9 10 11 12 13 14 15  
16 17 18 19 20 21 22  
23 24 25 26 27 28 29  
30 31

### April
Su Mo Tu We Th Fr Sa  
1 2 3 4 5  
6 7 8 9 10 11 12  
13 14 15 16 17 18 19  
20 21 22 23 24 25 26  
27 28 29 30

### May
Su Mo Tu We Th Fr Sa  
1 2 3 4 5 6 7  
8 9 10 11 12 13 14  
15 16 17 18 19 20 21  
22 23 24 25 26 27 28  
29 30

### June
Su Mo Tu We Th Fr Sa  
1 2 3 4 5 6 7  
8 9 10 11 12 13 14  
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### December
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14 15 16 17 18 19 20  
21 22 23 24 25 26 27  
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### Holidays and Observances:

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
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<tbody>
<tr>
<td>Jan 1</td>
<td>New Year's Day</td>
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<tr>
<td>Jan 20</td>
<td>Martin Luther King Day</td>
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<tr>
<td>Feb 14</td>
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<tr>
<td>Feb 17</td>
<td>Presidents' Day</td>
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<td>Apr 20</td>
<td>Easter Sunday</td>
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<td>May 11</td>
<td>Mother's Day</td>
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<td>May 25</td>
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<td>Jun 15</td>
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<td>Jul 4</td>
<td>Independence Day</td>
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<tr>
<td>Sep 1</td>
<td>Labor Day</td>
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<tr>
<td>Oct 13</td>
<td>Columbus Day (Most regions)</td>
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<tr>
<td>Oct 31</td>
<td>Halloween</td>
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<tr>
<td>Nov 11</td>
<td>Veterans Day</td>
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<tr>
<td>Nov 27</td>
<td>Thanksgiving Day</td>
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<tr>
<td>Dec 24</td>
<td>Christmas Eve</td>
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<tr>
<td>Dec 25</td>
<td>Christmas Day</td>
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<tr>
<td>Dec 31</td>
<td>New Year's Eve</td>
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</tbody>
</table>

Calendar generated on www.timeanddate.com/calendar
NOTICE OF ADMINISTRATIVE FINES FOR LATE FILING OF REPORTS AND PUBLIC POSTING OF DELINQUENT FILERS

TO: Candidates/Candidate Committees/Treasurers

FROM: Emily Dennis, General Counsel

RE: 2012 Election Cycle

This memo is sent to provide notice of the penalty schedule for late filing of Election Finance Statements by all reporting entities, including candidates and candidate committees, with the Kentucky Registry of Election Finance ("Registry"). To encourage timely filing of reports, the Registry has approved the following administrative fine schedule for late filing of reports:

<table>
<thead>
<tr>
<th>Days Late</th>
<th>Fine Schedule</th>
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<tbody>
<tr>
<td>1-5 days late</td>
<td>$50 minimum (1 day late) plus $10 for each additional day</td>
</tr>
<tr>
<td>6-10 days late</td>
<td>$100 minimum (6 days late) plus $10 for each additional day</td>
</tr>
<tr>
<td>11-15 days late</td>
<td>$150 minimum (11 days late) plus $10 for each additional day</td>
</tr>
<tr>
<td>16+ days late</td>
<td>$200 minimum (16 days late) plus $10 for each additional day</td>
</tr>
</tbody>
</table>

In addition, please be advised that the Registry shall, no later than four (4) days preceding each primary and general election, publish the names of all candidates appearing on the ballot who have failed to timely file any report required by KRS 121.180(3)(a) for any reporting period since the date of the last election. See KRS 121.120(4)(i) and 32 KAR 2:030 § 5(3).

These changes relating to candidates and candidate committees took effect on January 1, 2010. For a list of reporting deadlines, please visit the Registry’s website at www.kref.ky.gov. Under the link to Reporting Dates on the Registry’s website, you will find a list of candidate reporting deadlines. The Registry encourages you to calendar these deadlines and to further notify the Registry of your electronic mail address should you wish to receive electronic notice of upcoming report deadlines during the 2012 election cycle. Please note – DUE TO BUDGETARY CONSTRAINTS, NO POSTCARD REMINDERS WILL BE SENT TO CANDIDATES IN 2012.

These procedures underscore the Registry’s concern that Election Finance Statements are timely filed, so the public may access up-to-date information concerning the financing of elections in Kentucky. If you have any questions regarding the administrative fines or public posting of delinquent filers, please contact me at the Registry at 502-573-2226.
Don't Miss Another Reporting Deadline!!

You are invited to participate in the Registry's E-mail Reminder Project.

A courtesy reminder that a report is due will be sent to the e-mail address provided on the candidate's KREF Form 001 five (5) days prior to the report due date.

If you did not provide an e-mail address on the KREF Form 001, it's not too late.

Go to [http://www.kref.ky.gov/candidate/e-mail](http://www.kref.ky.gov/candidate/e-mail) and fill out the e-mail update form, or cut and detach the below.

Name of Candidate: _____________________________

Filer Number: ________________________________

Election Date: ________________________________

E-Mail Address: ______________________________

Mail to:

Kentucky Registry of Election Finance
140 Walnut Street
Frankfort, KY 40601
A. The Registry’s Website
www.kref.ky.gov
➢ Contains candidate and committee guides
➢ Includes all KREF forms and brochures
➢ Maintains a “Frequently Asked Questions” section
➢ Lists reporting date information
➢ Links to KY campaign statutes and regulations
➢ Houses past KREF Advisory Opinions
➢ Is searchable by key terms or words

B. The Registry’s Online Election Finance Training Seminar
www.kref.ky.gov/OnlineTrainingSeminar.htm
➢ Helps first-time candidates and treasurers become familiar with campaign finance terms and procedures
➢ Brings veteran candidates and their campaign staffs up-to-date on campaign finance laws
➢ Teaches candidates how to accurately report campaign contributions, disbursements and other activities
➢ Makes candidates aware of common pitfalls to avoid
➢ Shows candidates how to maintain records and how to close out a campaign

C. The Registry’s Online Searchable Database (OSD)
www.kref.state.ky.us/krefsearch/
➢ Contains contribution information for all reports filed with KREF since 1998
➢ Offers the opportunity for the public to search the OSD by election date, candidate name, contributor name, office, committee or by organization
➢ Facilitates downloading to a campaign finance data text file or a spreadsheet program for more detailed analysis

D. The Registry’s Electronic Filing Program
www.kref.ky.gov/efile/
➢ Provides a choice of approved vendors for software for the filing of campaign finance reports
➢ Allows campaigns to maintain information and submit reports in a more orderly manner
➢ Permits the purchase of campaign finance software as an approved campaign expense

For More Information, contact Tom Messinger, (502) 573-2226, ext. 235 or Tom.Messinger@ky.gov
KENTUCKY REGISTRY OF ELECTION FINANCE
RECORDKEEPING SUGGESTIONS

How to Organize Contribution Records

• Have each contributor complete a contribution card.

• Photocopy each contribution check.

• Attach the contribution card to the check photocopy.

• Group check copies and contribution cards by deposit and attach a copy of the deposit slip.

How to Examine a Contributor's Check

• Always examine the check prior to deposit.

• Make sure the check is from an allowable contributor.

• Make sure the check is made payable to the campaign.

• Make sure the check amount is within the legal cumulative contribution limit for that contributor.

• Unless there is other documentation, attribute the contribution to the person who signed the check.

If you are not certain whether the contribution check is from a corporation, access the Online Business Database on the Secretary of State’s web page (www.sos.ky.gov) for more information. If you do not have Internet access, contact the Secretary of State’s office (Phone: 502-564-3490) or the Registry (Phone: 502-573-2226) for assistance.

How to Organize Disbursement Records

• Obtain an invoice from every business and individual to which payment is made or obligated.

• Directly on each invoice, write the number of the campaign check used to make payment.

• Organize invoices by the check number written on them.
Sample Campaign Contribution Card

Thank you for supporting my candidacy for Senate. In order for me to comply with Campaign Finance Laws, I must supply the following information to the Registry of Election Finance. **Make checks payable to Joe Candidate Campaign Fund.**

Please return this card with your contribution.

Maximum contribution allowable is $1,000
Maximum cash contribution is $50
Corporate contributions are prohibited

Contributor’s Name:

Address:

Occupation:    Employer:

Amount of Contribution: $    Have you made other contributions this election?  __Yes  __No

____ I am looking forward to attending the upcoming fundraiser to support your candidacy.
____ people will be attending with my party.

____ I am unable to attend, but wish to help the campaign with a $___________ contribution. The required information is listed above for my contribution.

____ I am unable to attend.

Name:                         Address:

City                                                                    State                     Zip

Each Candidate should create a form with the above listed information.
KENTUCKY REGISTRY OF ELECTION FINANCE
TEN IMPORTANT CAMPAIGN FINANCE QUESTIONS

1. **When is a disclaimer required?**
   KRS 121.190(1); 32KAR 2:110
   
   All newspaper or magazine advertising, posters, circulars, billboards, handbills, sample ballots, and paid-for television or radio advertisements which expressly advocate the election or defeat of a clearly identified candidate or group of candidates is required to have a disclaimer.

   For television and radio broadcasts, compliance with Federal Communication Commission regulations regarding sponsored programs and broadcasts by candidates for public office shall be considered compliance with Kentucky law.

2. **What is the proper wording of the disclaimer?**
   KRS 121.190(1)
   
   The phrase "paid for by candidate" is **NEVER** a correct disclaimer!

   If paid for by the candidate or the campaign committee, the disclaimer must state “paid for by” and the candidate’s first and last name or the committee’s name. If paid for by an individual or other entity, the disclaimer must list the name and complete address of the individual or other entity.

3. **Is the money a candidate spends out of his/her own pocket during the campaign considered a contribution?**
   KRS 121.180(9)(b); KRS 121.220
   
   The personal funds of a candidate used in connection with seeking elective office should be deposited directly into the campaign account. Any money spent “out of pocket” by the candidate must be reimbursed to the candidate from the campaign account or reported as a debt owed by the campaign to the candidate. **Take caution**, as expenditures using personal funds outside the campaign account may subject the candidate’s personal accounts to an audit if the campaign cannot adequately document the source of funds expended.
4. **Same example as #3, but the candidate does not want to be reimbursed. Can the candidate’s “out of pocket expenses” be an in-kind contribution to the campaign?**

KRS 121.015(6); KRS 121.180(9)(b); KRS 121.220

The candidate’s “out of pocket expenses” should be reimbursed or reported as debt owed by the campaign to the candidate. A candidate may make unlimited contributions to his/her own campaign by depositing funds in the candidate’s campaign account. A candidate may provide goods, advertising, or services (e.g. the use of a personal computer) privately owned prior to the campaign, which would constitute an in-kind contribution. However, the payment of funds by a candidate for gas, lodging, meals, printing or other such expenses, constitutes an expenditure, which should be made or subsequently reimbursed from the candidate campaign account’s primary depository or otherwise reported as a debt owed by the campaign.

5. **What determines if and/or when a candidate files a report?**

KRS 121.180

The exemption chosen on the Statement of Intent is the most important factor in determining if and/or when a candidate files a report. If a candidate indicated on the Statement of Intent that he/she intended to raise and spend over $3,000 but actually spent under $1,000, the candidate is still required to file reports as if the campaign spent over $3,000. If a candidate indicated on the Statement of Intent that he/she intended to raise and spend under $1,000 but actually exceeds $1,000, the candidate must notify the Registry as soon as he/she has exceeded the amount elected in the Statement of Intent and then begin filing all subsequent pre-election and post-election finance statements.

6. **What if the intent is not checked on the Statement of Intent?**

KRS 121.180

If the amount intended to be raised/spent is not indicated on the Statement of Intent, the candidate is required to file all pre-election and post-election finance statements.

7. **When does a person become a candidate?**

KRS 121.015(8)

A person is considered a candidate when he/she has received contributions or made expenditures with a view to bringing about his/her nomination or election to public office.
8. A contributor is self-employed. On the campaign finance report why is “self-employed” not an allowable description for the contributor’s occupation and/or place of employment? 
KRS 121.160 (2)(b) 

The statute specifically requires the name under which the contributor is doing business to be listed on the campaign finance statement.

9. What may a candidate purchase using the funds in the campaign account? 
KRS 121.175; KRS 121.180(10); 32 KAR 2:200 

Allowable campaign expenses are only those expenditures which directly benefit the campaign. The statutes prohibit the purchase of items which provide a personal benefit to the candidate or another but do not directly benefit the campaign.

10. How should candidate loans be reported? 
KRS 121.180(3), (4) & (7); 32 KAR 2:100 

Candidate loans should be reflected on both the Schedule 1A and Schedule 4. Since the candidate is putting money into the campaign account, the transaction must be indicated on Schedule 1A. Since a candidate loan is considered a debt until repaid or assumed, it should also be listed on Schedule 4. The repayment of candidate loans will also be documented on Schedule 1A and Schedule 4.

Need additional help? Have more questions? Contact Registry Staff at (502) 573-2226 or visit our website at www.kref.ky.gov.
FOR MORE INFORMATION

For more information on how to request an advisory opinion, please contact the Registry at (502) 573-2226 or visit our website at www.kref.ky.gov

BROCHURE DISCLAIMER

This brochure is intended as a general reference tool and in no way supersedes statutory law or administrative regulations promulgated by the Registry. The Registry recommends a complete reading of the campaign finance laws contained in KRS Chapter 121 and the rules contained in Kentucky Administrative Regulations Title 32.

KREF018/C
Rev. 9/2006

HOW TO REQUEST AN ADVISORY OPINION

Kentucky Registry of Election Finance
Frankfort, KY 40601-2240

Kentucky Registry of Election Finance
140 Walnut Street / Frankfort, KY 40601
(502) 573-2226 / Fax: (502) 573-9622
www.kref.ky.gov
INTRODUCTION

This brochure answers questions about how individuals may seek guidance from the Kentucky Registry of Election Finance ("Registry") by requesting advisory opinions. An advisory opinion is an official Registry response to a question relating to the application of the campaign finance laws under KRS Chapter 121.

Who may request an advisory opinion?

Any person may request an advisory opinion from the Registry concerning the application of campaign finance laws to a specific transaction or activity by that individual.

Must an advisory opinion request follow a certain format?

Yes. Advisory opinion requests must be in writing and must clearly identify the person(s) involved in the specific activity. General questions of interpretation or questions posing a hypothetical situation or regarding actions by a third party will not be considered for an advisory opinion. Advisory opinion requests should be addressed to the Office of the General Counsel, Kentucky Registry of Election Finance, 140 Walnut Street, Frankfort, KY 40601.

Is there a statutory deadline for issuing an advisory opinion?

Yes. The Registry is required to issue an advisory opinion within thirty (30) days of receipt of the request. If a candidate, slate of candidates, or either of their campaign committees request an opinion not more than thirty (30) days before an election in which they are to appear on the ballot, the advisory opinion must be issued within twenty (20) days after the Registry receives the request. KRS 121.135(2).

Who may rely on guidance provided by an advisory opinion?

An advisory opinion issued by the Registry is binding only as to the person involved in the specific transaction or activity with respect to which the advisory opinion is rendered. If a person or committee to whom an advisory opinion has been issued acts in good faith in accordance with the terms of the advisory opinion, it shall be a defense against any sanction provided by law or administrative regulation.

Once issued, are advisory opinions made available to the public?

Yes. A searchable version of advisory opinions is available on the Registry's website at www.kref.ky.gov. Advisory opinions are listed by topic and by year. Advisory opinions may also be ordered by writing to the Kentucky Registry of Election Finance, 140 Walnut Street, Frankfort, KY 40601, or by phone at (502) 573-2226.
RIGHT TO APPEAL

Any person directly involved or affected by a final action of the Registry, other than a determination to refer a violation to the Attorney General or appropriate Commonwealth's or county attorney for prosecution, may appeal the action within thirty (30) days after the date of the Registry's order. Appeals may be brought in Franklin Circuit Court. KRS 121.140(6).

PENALTIES

Substantial civil penalties may be assessed for nonknowing violations of KRS Chapter 121. In the case of a knowing violation by an individual, a Class D felony conviction may result.

Corporations convicted of knowingly violating the campaign finance laws stand to have their corporate charters revoked or lose their ability to do business in Kentucky, and face substantial fines.

For specific penalty provisions, see KRS 121.140, 121.175(3) and 121.990.

FOR MORE INFORMATION

For more information on how to file a complaint, please contact the Registry at (502) 573-2226 or visit our website at www.kref.ky.gov

BROCHURE DISCLAIMER

This brochure is intended as a general reference tool and in no way supersedes statutory law or administrative regulations promulgated by the Registry. The Registry recommends a complete reading of the campaign finance laws contained in KRS Chapter 121 and the rules contained in Kentucky Administrative Regulations Title 32.
INTRODUCTION

The Kentucky Registry of Election Finance ("Registry") frequently receives questions on how to file a complaint concerning possible violations of the campaign finance laws under KRS Chapter 121. This brochure explains how to file a complaint with the Registry and describes how complaints are processed.

FILING A COMPLAINT

Any person may file a complaint if he or she believes a violation of the campaign finance laws under KRS Chapter 121 has occurred or is about to occur. The complaint must be made in writing and sent to the Office of the General Counsel, Kentucky Registry of Election Finance, 140 Walnut Street, Frankfort, KY 40601. Faxes are not acceptable.

According to 32 KAR 2:030(3), a complaint filed with the General Counsel shall comply with the following requirements:

- The complaint shall provide the full name and address of the person who files the complaint ("Complainant").
- The complaint shall clearly identify each person or entity that is alleged to have committed a violation or is about to commit a violation ("Respondent").
- The contents of the complaint shall be sworn to and signed in the presence of a notary public and shall be duly notarized.
- Statements contained in the complaint shall be made under penalty of perjury.
- The complaint shall differentiate between statements based upon personal knowledge and statements based upon information and belief.
- Statements which are not based upon personal knowledge shall be accompanied by an identification of the source of information which gives rise to the Complainant's belief in the truth of the statements contained in the complaint.
- The complaint shall contain a clear and concise recital of the facts which support the allegation of a violation of a campaign finance statute or administrative regulation.
- The complaint shall be accompanied by documentation supporting the allegations if the documentation is known by and available to the Complainant.

COMPLAINT PROCESS

Notification

Upon receipt of a sworn, written complaint that meets the above requirements, the General Counsel will notify each Respondent that a complaint has been filed. The Respondent then has fifteen (15) days to provide a written response to the Registry.

Investigation

The General Counsel will conduct an investigation to determine if there is reason to believe that a violation may have occurred or is about to occur.

Upon completion of the investigation, the General Counsel will report the findings and make a recommendation to the Registry for further action. The Respondent will be notified in writing of the legal basis for and the alleged facts which support the recommendations of the General Counsel.

Registry Action

If the Registry concludes that there is probable cause to believe that a civil violation has occurred, the matter is then referred to the General Counsel and Executive Director to enter into conciliation negotiations with the Respondent.

Conciliation Agreement

A conciliation agreement may require the Respondent to comply with one (1) or more of the following:

- To cease and desist violations of the law;
- To file required reports or other documents or information;
- To pay a penalty not to exceed $100 a day, up to a maximum total fine of $5,000, for failure to file any report, payment of an administrative fee, or other document or information required by law until the report, fee payment, document or information is filed; except there shall be no maximum fine for candidates for statewide office; or
- To pay a penalty not to exceed $5,000 per violation for acts of noncompliance with provisions contained in KRS Chapter 121.

Upon compliance with the conciliation agreement by Respondent and final approval by the Registry, no further action will be taken in this matter. However, if no conciliation agreement is reached, a hearing will be conducted before a retired or former judge or Justice appointed by the Chief Justice of the Kentucky Supreme Court. The judge shall render a decision which, upon approval by the Registry, may order the Respondent to comply with the same provisions discussed above. Conciliation agreements and final orders of the Registry may be enforced in Franklin Circuit Court or other court of competent jurisdiction.

REFERRALS FOR PROSECUTION

If the Registry determines that there is probable cause to believe that a knowing violation has occurred, the Registry will refer the violation to the Attorney General for prosecution pursuant to KRS 121.140(5). A knowing violation may constitute a Class D felony under KRS 121.990. The Attorney General may request the General Counsel for the Registry or the appropriate Commonwealth's or county attorney to prosecute the matter.
Due to space limitations, KRS Chapter 121 cannot be reproduced in this handbook. KRS Chapter 121 can be found at http://www.lrc.ky.gov/KRS/121-00/CHAPTER.HTM

KENTUCKY ADMINISTRATIVE REGULATIONS, TITLE 32

Due to space limitations, KAR Title 32 cannot be reproduced in this handbook. KAR Title 32 can be found at http://www.lrc.ky.gov/kar/TITLE032.HTM.
Types of Judicial Misconduct

The following types of judicial misconduct may lead to disciplinary actions. This list is not all-inclusive.

Improper Influence
- Allowing family, social or political relationships to influence judicial decision-making
- Conflicts of interest
- Giving or receiving gifts, bribes, loans or favors

Improper Courtroom Decorum
- Improper conduct while on the bench
- Expressions of bias based on race, gender or ethnicity
- Rude, abusive and otherwise improper treatment of parties, counsel, witnesses, jurors, court staff and others

Improper or Illegal Activities On or Off the Bench
- Failing or refusing to dispose promptly of judicial business
- Abusing the contempt power
- Interfering with the attorney-client relationship
- Communicating improperly with only one side to a proceeding
- Commenting on or interfering with a pending or impending case
- Engaging in improper political campaign activities
- Misappropriating or misusing public property, funds or resources
- Violating rules relating to court administration
- Obstruction of justice, perjury or filing a false document
- Criminal conduct
The Judicial Conduct Commission

The Judicial Conduct Commission is the only entity authorized under the Kentucky Constitution to take disciplinary action against a sitting Kentucky judge. The Commission investigates and reviews complaints against judges and, when warranted, conducts hearings regarding the alleged misconduct where evidence is presented.

Possible sanctions for misconduct range from confidential reprimands for minor technical violations to removal from office for major misconduct.

While the great majority of Kentucky’s judges are committed to maintaining the high standards expected of the judiciary, an effective method of imposing sanctions on judges who engage in misconduct or wrongdoing is essential to the efficient operation of our judicial system. Commission proceedings provide a fair and objective means to preserve the integrity of the judicial process.

Since its inception, the Commission’s actions have resulted in numerous judges being removed from the bench, being involuntarily retired or being publicly disciplined. The Commission has privately disciplined many more.

The Commission is composed of six voting members who serve four-year terms. The members include one representative and one alternate from District Court, Circuit Court, the Kentucky Court of Appeals and the Kentucky Bar Association, and two citizen representatives appointed by the Governor who are neither judges nor attorneys.

The Commission functions under rules established by the Supreme Court of Kentucky and has authority over judges, trial commissioners, domestic relations commissioners, master commissioners and attorneys who are candidates for judicial office.

Frequently Asked Questions

Who may file a complaint with the Commission?

Any individual or group with knowledge of possible judicial misconduct or wrongdoing may file a complaint. The Commission has received complaints from litigants, attorneys, judges, jurors, citizens, court personnel and prisoners.

How do I file a complaint?

Complaints must be submitted in writing. To request a complaint form, write or call the Commission at the address below and provide your name, mailing address and telephone number. The Commission will mail a complaint form to you.

Judicial Conduct Commission
P.O. Box 22208, Louisville, Kentucky 40252-0208
Phone 502-327-3013, Fax 502-327-3014

You can also find more information and download a complaint form at www.courts.ky.gov.

Are complaints treated confidentially?

The rules governing the Commission require confidentiality during the investigation process. If the matter is sufficiently serious to warrant a hearing, the Commission provides the judge under review with the information compiled during the Commission’s investigation, including the name of the complainant if relevant.

After the Commission files formal charges against a judge and receives the judge’s response to the charges, the Commission makes public the charges and the judge’s response. All subsequent proceedings regarding the formal charges will be public. However, the Commission’s deliberations in reaching any decision regarding the charges are not public.

The complainant will be notified as to what action is taken regarding the complaint unless the disposition is a private admonishment or private reprimand. Final disposition of some complaints takes several months or longer.

How will the Commission handle my complaint?

The Commission will carefully review your complaint to determine if it is within its jurisdiction. If a complaint is not within the Commission’s jurisdiction, it will be dismissed without further action.

When the Commission finds sufficient cause, it will initiate a preliminary investigation that includes a meeting with the judge in question. If the complaint is not resolved at this stage, the Commission will file formal charges against the judge and hold a fact-finding hearing. The Commission’s attorney presents the case at the hearing and the judge has the right to defend against the charges and to be represented by an attorney. The complainant may be subpoenaed as a witness if he or she has personal knowledge of wrongdoing.

If no violation is found as a result of the hearing, the complaint will be dismissed. If the Commission finds improper conduct on the part of the judge or a disability that is seriously interfering with the judge’s ability to perform judicial duties, the Commission may take the following actions:

- Privately admonish or privately reprimand the judge
- Publicly reprimand, censure or suspend the judge
- Remove the judge from office or, in the case of disability, order the judge’s retirement from the bench

The action taken by the Commission is final unless the judge appeals to the Supreme Court of Kentucky. The Supreme Court can affirm, modify or set aside the Commission’s action.

I am unhappy with the outcome of my case. Can the Commission help me?

No. The Commission does not have the authority to review a case for judicial error or to direct a different result in the case. These functions are to be handled through the appeals process available through the state’s appellate courts. If you want to change the outcome of your case, discuss this with an attorney without delay.

In addition, allegations stemming from a judge’s rulings or the exercise of judicial discretion do not provide a basis for action by the Commission. Personal dissatisfaction alone cannot be grounds for a judicial investigation.

For a summary of judicial conduct that may warrant an investigation by the Commission, see the Judicial Misconduct section on this brochure.
COMPLAINT FORM

The Commission’s preliminary investigation shall be confidential under Rule 4.130 of the Rules of the Kentucky Supreme Court.

Please be advised that the Commission only has authority over Commonwealth of Kentucky judges, trial commissioners, domestic relations commissioners, master commissioners and attorneys who are candidates for judicial office.

The Commission does not have authority to review a case for judicial error or to direct a different result in the case. Those functions are to be handled through the appeals process available through the state’s appellate courts. If you seek to change the outcome of your case, discuss this with an attorney without delay.

In addition, allegations stemming from a judge’s rulings or exercise of judicial discretion do not provide a basis for action by the Commission. Personal dissatisfaction alone cannot be grounds for an investigation.

Please type or print legibly. NOTE: This form can be filled in online then printed OR printed and then filled out.

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<tr>
<th>I. COMPLAINANT INFORMATION:</th>
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<td>Mr. ☐ Mrs. ☐ Ms. ☐</td>
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<tr>
<td>Name: ________________________</td>
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<td>Address: ____________________</td>
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<th>II. COMPLAINT AGAINST:</th>
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<td>Please check the box next to the appropriate judicial office:</td>
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<td>District Judge ☐</td>
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<tr>
<td>Circuit Judge ☐</td>
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<td>Family Court Judge ☐</td>
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<td>(Street, No., Route) (City, State) (Zip)</td>
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<th>III. ADDITIONAL INFORMATION:</th>
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<tbody>
<tr>
<td>a) If your complaint arises out of a court case, please answer the following:</td>
</tr>
<tr>
<td>1. Case Name: ____________________</td>
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<tr>
<td>Case County: ____________________ Case No: ____________________</td>
</tr>
</tbody>
</table>
2. What kind of case is it?
   Criminal ______  Civil ______  Family ______  Juvenile ______  Other ______
   (Please specify)

3. What is your relationship to the case?
   Plaintiff/Petitioner ______  Defendant/Respondent ______  Attorney ______  Witness ______
   Other ________________________________

b) When and where did the alleged judicial misconduct occur?
   Date: ____________  Time: ________  Location: ________________________________
   Date: ____________  Time: ________  Location: ________________________________

c) If you were represented by an attorney in this case, please identify the attorney:
   Name: ______________________________
   Address: ___________________________________________ (City, State) (Zip)
   Phone: ( _______ ) ________________________________

d) Identify any other attorney(s) who represented any party in the case:
   Name: ______________________________
   Represented: __________________________
   Name: ______________________________
   Represented: __________________________

IV. ALLEGATIONS AND STATEMENT OF FACTS:

Please state the facts and circumstances you believe constitute judicial misconduct or disability. Include any details, names, dates, places, addresses, and telephone numbers to assist the Commission in its evaluation and investigation of this complaint. Attach any documents or recordings of court proceedings pertaining to this complaint.

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
IV. ALLEGATIONS AND STATEMENT OF FACTS (continued):

V. I certify that the allegations and statements of facts set forth above are true and correct to the best of my knowledge, information, and belief and are made of my own free will.

(Date)    (Complainant’s Signature)