Citizens' Election Program Qualifying Contribution Certification Form

(Maximum donation amount - \$290/person; maximum donation for age 12 to 17 - \$30/person)

HWANG4SENATE

For Campaign Use Only - Solicitor's Initials

15 Lovers Lane, Fairfield CT 06824 www.TonyHwang.org

Contribution ID#

Donors must complete the entire certification form. Participating candidates may not accept contributions from an individual who is a principal of a state contractor or prospective state contractor or from a minor who is under 12 years of age. Participating candidates may accept qualifying contributions of up to \$100 from individuals who are communicator lobbyists or their immediate family but their lobbyist status must be disclosed.

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NAME OF IND	NAME OF INDIVIDUAL CONTRIBUTOR (Last Name, First Name, Middle In					CONTRIBUTION AM	OUNT
METHOD	OF CONTRIBU		☐ Cash		Order	☐ Debit Card/Credit	Card
	ntribution being made from the unt of a sole proprietorship? If yes, and name is different than individual list NAME OF SOLE PROPRIETOR						
Yes No							
RESIDENTIAL	red information; P.O. Bo	used)		PHONE NUMBER			
CITY (required information)			STATE	ZIP CODE	IP CODE Please mark if you are UNDER 18:		18:
					☐ Age under 12 ☐ Age 12 − 17 Please see restrictions regarding Contributions from Minors		
	l information) If multiple em	PRINCIPAL OCCUPATION (required information)					
is a state contractor, list the state contractor. If self-employed, provide Name of Business. Example: Dave's Painting; Other Examples: Retired, Unemployed, Student, Homemaker				If self-employed, provide Job Description. Example: Painter; Other Examples: Retired, Unemployed, Student, Homemaker			
Please review th	e definitions on the	reverse of this form and	answer each o	of the following	: (required	l information)	
Yes No	or branch	principal of a state contractes of government the contracted in the contracted at th	act(s) is with:	Legislative	☐ Exe	ecutive	ınch
Yes No	Are you a	communicator lobbyist, or	r the spouse or	dependent child	or a comm	unication lobbyist?	
CERTIFICATION	ON						
to the best of my certify that I am this contribution	y knowledge and bo a either a United St	f the information disclose elief. I certify that I am A ates citizen or a foreign n m my personal funds, is roution.	<i>OT</i> a principa ational with p	l of a state cont ermanent resid	tractor or j ent status i	prospective state contraction the United States. I ce	tor. I rtify that
SIGNATURE OF CONTRIBUTOR				DATE (mm/dd/yyyy)			
							_
IF DO	NATION IS TO B	E MADE USING A DEBI	T OR CREDI	T CARD:			
Credit	Card Info:						
		Credit card #		Exp Date	Security	code Billing Zip Code	
Type o	of Card: AmEx	MasterCard Visa D	iscover	Amount (not to	exceed \$27	70.00) \$	
pay fro		on is made on my personal funds; payment on this car					
Signatu	are of Card Holder:		E-mail:				

State Contractor and Investment Services Firm Contribution Bans

Connecticut General Statutes § 9-704 (c) provides in part that contributions from principals of state contractors or prospective state contractors shall not be deemed to be qualifying contributions and shall be returned by the campaign treasurer of the candidate committee to the contributor or transmitted to the State Elections Enforcement Commission for deposit in the Citizens' Election Fund. Connecticut General Statutes § 9-612 (f) (2) (A) provides in part that no *state contractor, prospective state contractor, principal of a state contractor*, with regard to a state contract or a state contract solicitation with or from a state agency in the *executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate*, shall make a contribution to an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer.

Connecticut General Statutes § 9-612 (e) (2) and (4) provide that no principal of an investment services firm or member of the Investment Advisory Council shall make a contribution to an exploratory committee or candidate committee established by a candidate for nomination or election to the office of **State Treasurer** during the term of office of the State Treasurer who pays compensation, expenses or fees or issues a contract to such firm. General Statutes § 1-84 (n) (2) provides that the State Treasurer shall not pay any compensation, expenses or fees or issue any contract to any firm which provides investment services when a principal of the investment services firm has made a contribution to **any exploratory committee** or **candidate committee** established by the **State Treasurer** as a candidate for nomination or election to the office of State Treasurer. The **State Treasurer** shall not pay any compensation, expenses or fees or issue any contract to such firms or principals during the term of office as State Treasurer, including, for an incumbent State Treasurer seeking reelection, any remainder of the current term of office.

\$100 Lobbyist Contribution Limit

Connecticut General Statutes § 9-610 (g) provides in part that no *communicator lobbyist* or *member of the immediate family of a communicator lobbyist* shall make a contribution or contributions to, or for the benefit of an exploratory committee or a candidate committee established by a candidate for nomination or election to the office of **Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State** or **State Treasurer in excess of one hundred dollars**.

Contributions from Minors

Connecticut General Statutes § 9-704 (c) provides in part that contributions from minors who are less than twelve years of age shall not be deemed to be qualifying contributions and shall be returned by the campaign treasurer of the candidate committee to the contributor or transmitted to the State Elections Enforcement Commission for deposit in the Citizens' Election Fund. Individuals who are twelve to seventeen years of age are permitted to contribute up to thirty dollars. *See* General Statutes § 9-611 (e).

Definition of Terms

- "Individual contributor": a human being, a sole proprietorship, or a professional service corporation organized under chapter 594a and owned by a single human being. General Statutes § 9-704 provides that only human beings and sole proprietorships may make qualifying contributions. A sole proprietorship is a business in which one human being owns all the assets, owes all the liabilities, and operates in his or her personal capacity. Any other type of business is not permitted to make a contribution, including LLCs. See General Statutes §§ 9-601 (9), 9-704.
- "State contract": an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan, a loan to an individual for other than commercial purposes or any agreement or contract between the state or any state agency and the United States Department of the Navy or the United States Department of Defense. See General Statutes § 9-612 (f) (1) (C).
- "State contractor": a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee. See General Statutes § 9-612 (f) (1) (D).
- "Prospective state contractor": a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee. See General Statutes § 9-612 (f) (1) (E).
- "Principal of a state contractor or prospective state contractor": (i) an individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, or (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in (i), (ii), or (iv). See General Statutes § 9-612 (f) (1) (F).
- "Communicator lobbyist": a lobbyist who communicates directly or solicits others to communicate with an official or his staff in the legislative or executive branch of government or in a quasi-public agency for the purpose of influencing legislative or administrative action. A lobbyist, in turn, is generally defined as a person who, in lobbying and in furtherance of lobbying, makes or agrees to make expenditures, or receives or agrees to receive compensation, reimbursement, or both, and such compensation, reimbursement or expenditures are \$3,000 or more in any calendar year or the combined amount thereof is \$3,000 or more in any such calendar year. See General Statutes § 1-91 (12) & (22) (as amended by Public Act 15-15).
- "Immediate family": the spouse or a dependent child of an individual. See General Statutes § 9-601 (24).
- "Dependent child": a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax return of such individual. See General Statutes § 9-612 (f) (1) (G).
- "Investment services": investment legal services, investment banking services, investment advisory services, underwriting services, financial advisory services or brokerage firm services. See General Statutes § 9-612 (e) (1).
- "Principal of an investment services firm": (i) an individual who is a director of or has an ownership interest in an investment services firm, except for an individual who owns less than five per cent of the shares of an investment services firm which is a publicly traded corporation; (ii) an individual who is employed by an investment services firm as president, treasurer, or executive or senior vice president; (iii) an employee of such an investment services firm who has managerial or discretionary responsibilities with respect to any investment services; or (iv) the spouse or dependent child of an individual described in (i), (ii), or (iii). See General Statutes § 9-612 (e) (1).