

**DRAFT**

# **ARKANSAS ETHICS COMMISSION**

## **RULES OF PRACTICE AND PROCEDURE**

**Post Office Box 1917  
Little Rock, Arkansas 72203-1917  
(501) 324-9600 or (800) 422-7773  
Facsimile (501) 324-9606**

---

## **TABLE OF CONTENTS**

<b>I.</b>	<b>DESCRIPTION .....</b>	<b>1</b>
<b>II.</b>	<b>COMMISSION &amp; STAFF .....</b>	<b>1</b>
<b>III.</b>	<b>GENERAL ADMINISTRATION .....</b>	<b>7</b>
<b>IV.</b>	<b>MATTERS BEFORE THE COMMISSION .....</b>	<b>8</b>
<b>V.</b>	<b>FILING OF COMPLAINT .....</b>	<b>11</b>
<b>VI.</b>	<b>INVESTIGATION PROCEDURE .....</b>	<b>16</b>
<b>VII.</b>	<b>PUBLIC HEARING .....</b>	<b>21</b>
<b>VIII.</b>	<b>RENDERING OF DECISION .....</b>	<b>24</b>
<b>IX.</b>	<b>DEFINITIONS OF PUBLIC LETTERS .....</b>	<b>27</b>
<b>X.</b>	<b>JUDICIAL REVIEW .....</b>	<b>28</b>
<b>XI.</b>	<b>FORMS AND INSTRUCTIONS .....</b>	<b>28</b>

### **APPENDIX – Forms Listing**



## I. DESCRIPTION

The Arkansas Ethics Commission ("Commission") is composed of five appointed Commissioners who enforce certain ethics, conflicts of interest, lobbying, campaign, campaign finance, and ballot question laws within the State of Arkansas. In accordance with these rules of practice and procedure, the Commission issues advisory opinions and legal interpretations of law, and acts as fact-finder and sanctioning body with respect to allegations of violations of laws under its jurisdiction. Information may be obtained from the Commission by written request. The Commission staff, which may consist of a director, staff attorney(s), director(s) of compliance and others, acts as the administrator and operating entity of the Commission. This staff, or members thereof, may make office administrative procedure, act as spokesman for the Commission, receive correspondence and correspond on behalf of the Commission, provide legal and other research to the Commission, investigate allegations of violations of laws under the Commission's jurisdiction, and perform such other functions as the Commission deems appropriate. These rules of practice and procedure shall govern all proceedings before the Commission and shall be applicable to any complaints filed or initiated after the effective date hereof. In accordance with Ark. Code Ann. § 25-15-204(d), any person may petition the Commission for the issuance, amendment, or repeal of any rule.

## II. COMMISSION & STAFF

### A. Commission Organization

(1) The Commission shall consist of five (5) Commissioners who shall be appointed as follows:

- one member by the Governor of the State of Arkansas
- one member by the Lieutenant Governor of the State of Arkansas
- one member by the Attorney General of the State of Arkansas
- one member by the Speaker of the Arkansas House of Representatives
- one member by the President Pro Tempore of the Arkansas Senate

(2) Pursuant to Ark. Code Ann. § 7-6-217(b)(1), the Commission shall, at all times, have among its members:

- one member of a minority race
- one woman
- one member of a minority political party

(3) Each Commissioner has a responsibility to attend all regular and special meetings of the Commission. Any Commissioner who fails to attend three (3) consecutive regular meetings shall be subject to removal from the Commission pursuant to Ark. Code Ann. § 25-17-211.

(4) In accordance with Ark. Code Ann. § 7-6-217, Commissioners shall be appointed for terms of five (5) years and they shall continue to serve until their successors have been appointed and taken the official oath. No person may be appointed to serve consecutive terms on the Commission; provided, however, that any Commissioner who has been appointed to serve two (2) years or less of an unexpired term shall be eligible for an appointment to a subsequent five (5) year term.

(5) The Commission shall annually elect one of its members to serve as chairman for a term of one (1) year. The Commission may elect a vice-chairman and such other officers as a majority of the Commissioners choose. The vice-chairman shall serve as chairman in the absence, disqualification, or disability of the chairman.

(6) The election of officers shall be conducted at the first regular meeting of the Commission following January 1 of each year. The Commission may form such committees or subcommittees as it deems necessary and/or appropriate to accomplish its legal aims and purposes. The Commission may appoint one or more of its members to an unofficial committee or subcommittee and may invite non-Commissioners to participate as unofficial committee or subcommittee members.

(7) At each meeting of the Commission, three (3) members shall constitute a quorum whether in person or by electronic or telephonic means. However, an affirmative vote of at least three (3) Commissioners physically present at a meeting is required before any sanction(s) can be imposed. The vote of each member voting on any action shall be a public record.

(8) A majority of the members of the Commission present shall vote on any matter before the Commission for any decision of the Commission to become effective. The following matters shall be by motion, followed by a second, in order for a vote of the Commission to be valid:

- a. all matters requiring affirmative action by the full Commission or one of its members;
- b. all decisions on public positions taken by the full Commission;
- c. all decisions on advisory opinions and declaratory orders; and
- d. all decisions regarding findings of fact and conclusions of law or other actions regarding a person accused of violating any laws under the Commission's jurisdiction.

(9) The Commission may, by majority vote, delegate the execution of any official duty or action to its chairman, one of its members, or the director.

(10) A vacancy on the Commission shall not impair the right of the Commission to exercise its statutory powers and authority, subject to the requirement that a quorum be present and participating before any action of the Commission shall be considered valid.

(11) No Commissioner shall be a federal, state or local government official or employee, an elected public official, a candidate for public office, a lobbyist as defined in Ark. Code Ann. § 21-8-402(11), or an officer or paid employee of an organized political party as defined in Ark. Code Ann. § 7-1-101(26).

(12) Each Commissioner, during the entire term of his or her service on the Commission, shall be prohibited from participating in, raising funds for, making contributions to, providing services to, or lending his or her name in support of any candidate for election to a state, district, county, municipal, or school board office or in support of a ballot issue or issues submitted or intended to be submitted to voters of the State of Arkansas, excluding the exercise of the right to vote or the mere signing of an initiative or referendum petition. This prohibition shall not extend to the spouse or family members of a Commissioner nor to his or her business partners or professional associates.

(13) Unless required for the disposition of *ex parte* matters authorized by law, the Commissioners shall not communicate, directly or indirectly, in connection with any issue of fact with any person, including the complainant and the respondent nor, in connection with any issue of law, with either the complainant or respondent, or their representatives, except upon notice and opportunity for the complainant and respondent to participate.

**B. Staff Organization**

(1) The Commission shall employ a director who shall serve at the will and pleasure of the Commission.

(2) The director shall employ a staff, with the consent of the Commission, to assist in the administration of the Commission office.

(3) The director shall be responsible to the full Commission and shall not be answerable to any member thereof. The director shall ensure, however, that the chairman of the Commission is advised of the progress and conduct of the employees and operation of the Commission office.

(4) Though the director's hiring of staff shall be with the consent of the Commission, such employees, once approved for employment, shall be the responsibility of the director in matters

common to an employer/employee relationship, and the director shall be responsible to the Commission for the actions of employees on the staff.

(5) Each member of the Commission staff, during the entire term of his or her service on the Commission, shall be prohibited from participating in, raising funds for, making contributions to, providing services to, or lending his or her name in support of any candidate for election to a state, district, county, municipal or school board office or in support of a ballot issue or issues submitted or intended to be submitted to the voters of the State of Arkansas, excluding the exercise of the right to vote or the mere signing of an initiative or referendum petition. This prohibition shall not extend to the spouse or family members of the employee.

**C. Meeting Times and Sites**

(1) Meetings shall be regularly scheduled and held, subject to cancellation or re-scheduling by majority vote of the members. The date, time and place of each regular meeting shall be furnished to anyone who requests the information. Should there fail to be a quorum at a scheduled meeting, then such meeting may be rescheduled by the chairman provided all members are given reasonable notice of the date, time, and place of the rescheduled meeting. Special meetings of the Commission may be called by the chairman, provided that the majority of the members of the Commission so consent. Commissioners may call a meeting by written request to the chairman of any three Commissioners. In the event of a special meeting, notification of the date, time and place of the meeting shall be given, at least two (2) hours before the meeting takes place, to the news media located in the county in which the meeting is to be held and those located elsewhere that cover regular meetings of the Commission and have requested to be so notified.

(2) The Commission may vary its meeting site to accommodate its needs and accomplish its purposes.

(3) The director shall prepare a proposed agenda for each regular meeting, and the proposed agenda shall be distributed to the Commission members prior to any such meeting. Any

Commissioner may add items to the agenda by notification to the director twenty-four (24) hours before the scheduled meeting date. Any item may be added to the agenda at any time with the unanimous consent of the Commission.

**D. Meeting Procedure**

(1) All meetings of the Commission shall be governed by Robert's Rules of Order, except as may be modified by a majority of the Commission members and by these rules of practice and procedure.

(2) Any Commissioner who has an actual conflict of interest in any proceeding before the Commission shall recuse voluntarily from any involvement in the matter. If a majority of the Commissioners determines that one of its members has such a conflict, they may, by affirmative vote, disqualify said member from participation in the matter.

(3) All meetings of the Commission, except as provided in subparagraph (D)(4) of this section or Ark. Code Ann. § 25-19-106(c), shall be open to the public.

(4) Any portion of a Commission meeting at which citizen complaints, including those filed by the Commission, are considered shall be in confidential session and not open to the public. Following any such confidential session, the Commission shall reconvene in public to vote on any matters constituting final action.

(5) All records generated or accepted by the Commission and its staff shall be open to public inspection, except for: (a) matters which are parts of confidential investigations or inquiries, and (b) the advice and opinions of the director or staff attorney(s) when acting as the Commission's counsel on matters which may be considered to have occurred in an attorney-client relationship.

(6) All proceedings, records, and transcripts of any investigations or inquiries shall remain confidential and not subject to disclosure, unless: (a) the respondent requests disclosure of the documents; (b) there is a public hearing before the Commission; or (c) there is judicial review of a Commission decision. Provided, however, that the Commission may, through its members or staff, disclose confidential information to proper law enforcement officials, agencies, and bodies or as may be required to conduct its investigation. Moreover, thirty (30) days after any final adjudication in which the Commission makes a finding of a violation, all records relevant to the investigation and upon which the Commission based its decision, except working papers of the Commission and its staff, shall be open to public inspection.

### III. GENERAL ADMINISTRATION

(1) The Commission shall delegate to the director the authority to operate the Commission office, with his or her duties enumerated by the Commission. Such duties shall include, but not be limited to, the following:

- a. Conducting general administration of the Commission office and its staff in a business-like and efficient manner. The director shall periodically report to the Commission concerning the conduct and operation of the office;
- b. Managing the appropriated budget of the Commission, and ensuring that all expenditures from budgeted money are made within the law and general purposes of the Commission. The director shall periodically report to the Commission concerning the financial status of the office;
- c. Preparing and maintaining files and records on the activities, matters, and persons coming under the authority and responsibility of the Commission. The Director shall be the "custodian" of the Commission's records as that term is defined in Ark. Code Ann. § 25-19-103;

- d. Preparing reports, studies, opinions, policy statements, legal interpretations, and other matters as required by the Commission;
- e. Receiving and responding to correspondence on behalf of the Commission on matters relating to official Commission business;
- f. Managing travel, logistics, expenses, and reimbursement for Commissioners and staff and scheduling seminars and training by or for the Commission; and
- g. Ensuring that the Commission office and its employees reflect good character, comply with the law, and carry out other duties as may, from time to time, be enumerated by the Commission.

#### **IV. MATTERS BEFORE THE COMMISSION**

##### **A. Advisory Opinions**

(1) Advisory opinions, except those issued by the Commission on its own initiative, shall be issued only in response to a written request setting forth an inquiry into matters falling under the jurisdiction of the Commission.

(2) The Commission may, on its own initiative, direct the staff to prepare a draft opinion, or it may accept a draft advisory opinion from the staff without first receiving a request when the Commission determines the subject of the draft opinion is of such public concern that an advisory opinion would benefit the public.

(3) No advisory opinion shall be valid, official, or have any effect unless same has been approved by a vote of a majority of a quorum of the Commission.



(4) Any citizen shall be entitled to request an advisory opinion from the Commission. Any request which meets these procedural guidelines shall be responded to within ninety (90) days, unless good cause be shown.

(5) The response to opinion requests shall be prepared by the Commission staff and shall be presented by staff to the full Commission for its consideration within the time limit set forth above, unless good cause be shown.

(6) The Commission is not bound by or obligated to release the conclusions or language of the staff's draft opinion but may alter, amend, add to, or strike any portion of the draft opinion, or may order that said draft opinion be tabled for future consideration or that it be rewritten to comply with the Commission's directives, as the Commission shall so decide.

(7) No draft opinion prepared by the Commission staff shall be considered an official opinion until it has received an affirmative vote of a majority of a quorum of the Commission.

(8) The Commission may reconsider, withdraw, or amend prior opinions upon request of a citizen, or on its own motion, on a majority vote of a quorum of the Commission. In such event, written notice shall be mailed to the citizen who originally requested the opinion at the last address which that citizen provided to the Commission.

(9) All advisory opinions issued by the Commission shall be made available for public inspection.

#### **B. Declaratory Orders**

(1) The Commission shall, upon the filing of a petition for declaratory order by any person subject to the Commission's jurisdiction, promptly issue a declaratory order as to the applicability of any rule, statute, or order enforced by it. Said petition shall contain the name, mailing address, telephone number, and signature of the person requesting the order and a full and

complete statement of the facts or circumstances applicable to that person. Such declaratory orders shall have the same status as final orders of the Commission in cases of adjudication.

(2) No declaratory order shall be valid, official, or have any effect unless same has been approved by a vote of a majority of a quorum of the Commission.

(3) The Commission is not bound by or obligated to release the conclusions or language of the staff's draft order but may alter, amend, add to, or strike any portion of the draft order, or may table said draft order for future consideration or request that it be rewritten to comply with the Commission's directives, as the Commission shall so decide.

(4) No draft order prepared by the Commission staff shall be considered an official order until it has received an affirmative vote of a majority of a quorum of the Commission.

(5) The Commission may reconsider, withdraw, or amend prior orders upon request of a citizen, or on its own motion, on a majority vote of a quorum of the Commission.

(6) All declaratory orders issued by the Commission shall be made available for public inspection.

**C. Monitoring Compliance with Ethics and Disclosure Laws-Corrective Action Letters**

(1) The Commission, through its staff, shall periodically review documents required to be filed under the laws enforced by the Commission.

(2) Persons who have failed to file, filed late, or filed incomplete, false, or materially misleading documents may be contacted in writing by the Commission or its staff and advised to take corrective action. The contact and advice may be in lieu of, or in addition to, other action(s) by the Commission under Ark. Code Ann. § 7-6-218(b)(4).

(3) If the Commission or its staff determines from a review of documents or is notified by the Secretary of State, a county clerk, or city clerk or recorder that a person required to file documents under the Commission's jurisdiction has failed to file, filed late, or filed incomplete, false, or materially misleading documents, the Commission may contact the person and advise him or her to take corrective action as to the document(s) required to be filed. The contact and advice may be in lieu of, or in addition to, other action(s) by the Commission under Ark. Code Ann. § 7-6-218(b)(4).

(4) Corrective action letters shall be public records. However, the sending of a corrective action letter is not tantamount to the finding of a violation by the Commission. Instead, such letters are a means of seeking public disclosure. The taking of corrective action is not an admission of a violation and is a factor to be considered by the Commission in determining whether to take other action(s) under Ark. Code Ann. § 7-6-218(b)(4).

## V. FILING OF COMPLAINT

### A. Citizen Complaint

(1) Any citizen may file a complaint with the Commission against a person alleged to have violated one or more of the laws over which the Commission has jurisdiction. The Commission staff has prepared a citizen complaint form which may be furnished free of cost to any citizen.

(2) A complaint must be filed within four (4) years after the alleged violation occurred. If the alleged violation is the failure to file a report or the filing of an incorrect report, the complaint must be filed within four (4) years after the date the report was due.

(3) A valid complaint to the Commission must:

a. Clearly set forth the name(s) of the person(s) alleged to have violated laws under the Commission's jurisdiction;

b. Clearly set forth the facts the complainant believes constitute a violation of laws under the Commission's jurisdiction; and

c. Be signed under penalty of perjury.

(4) A complaint meeting the foregoing requirements shall be accepted by the staff of the Commission provided it is written on a Commission complaint form or is otherwise reduced to writing.

(5) Any Commissioner who shall receive a written complaint or evidence relevant to an on-going complaint investigation shall immediately transfer same to the director of the Commission for proper handling. If, however, the written complaint is against the director or other staff member, the Commissioner shall not release same to the director, except as provided in these rules.

**B. Complaints Against Staff or Commissioners**

(1) Complaints against the director or any staff member of the Commission shall be filed with the chairman of the Commission.

(2) Complaints against any Commissioner shall be filed with the director of the Commission, or with any of the remaining Commissioners.

**C. Filing of Complaint by Commission**

(1) For purposes of filing a citizen complaint, the Commission shall be considered a citizen.

(2) The director, a staff attorney, or a director of compliance may, in his or her official capacity, sign a citizen complaint on behalf of the Commission after:

a. Notifying the chairman of the name of the individual alleged to have committed a violation and the nature of the alleged violation; and

b. Receiving the consent of the chairman to proceed with an investigation.

(3) Once filed, a complaint will be handled in the same manner as any other complaint received from a citizen.

**D. Affirmative Defense Concerning Discovery of Unintentional Error in Report Required Under Subchapter 2 of Chapter 6, Title 7 of the Arkansas Code**

(1) It is an affirmative defense to prosecution or disciplinary action if a person who is required to file a report under Subchapter 2 of Chapter 6, Title 7 of the Arkansas Code amends the report within thirty (30) days of discovering or learning of an unintentional error in the report. If a complaint alleges a person committed a reporting error, the director shall notify the person who is the subject of the complaint of the existence of this affirmative defense. In addition, the director shall notify the person who is the subject of the complaint of the date, time, and place of the meeting at which the allegation will be considered for a determination of whether or not the alleged error in the report was unintentional and whether or not the filing of an applicable amendment occurred within the required thirty (30) day time period.

(2) In the event the Commission determines that the reporting error was unintentional and the filing of an applicable amendment occurred within the required thirty (30) day time period, the Commission shall not proceed with an investigation of an alleged unintentional error in a report filed under Subchapter 2 of Chapter 6, Title 7 of the Arkansas Code. If the Commission does not proceed with an investigation of an alleged unintentional error in a report, the person shall not be considered to have committed a violation of the applicable statute under Subchapter 2 of Chapter 6, Title 7 of the Arkansas Code. However, assertion of the affirmative defense provision contained herein shall not be construed to (i) remove the duty to file a report required

by Subchapter 2 of Chapter 6, Title 7 of the Arkansas Code, or (ii) authorize a person to knowingly fail to file a report required by Subchapter 2 of Chapter 6, Title 7 of the Arkansas Code.

(3) Upon a determination by the Commission that an assertion of the above-described affirmative defense is not valid, the director shall cause an investigation to be commenced concerning the allegation in accordance with the procedure set forth in section VI of these rules.

**E. Affirmative Defense Concerning Discovery of Unintentional Error in Statement of Financial Interest Required Under Subchapter 7 of Chapter 8, Title 21 of the Arkansas Code**

(1) It is an affirmative defense to prosecution or disciplinary action if a person who is required to file a Statement of Financial Interest ("SFI") under Subchapter 7 of Chapter 8, Title 21 of the Arkansas Code amends the SFI within thirty (30) days of discovering or learning of an unintentional error in the SFI. If a complaint alleges a person committed a reporting error, the director shall notify the person who is the subject of the complaint of the existence of this affirmative defense. In addition, the director shall notify the person who is the subject of the complaint of the date, time, and place of the meeting at which the allegation will be considered for a determination of whether or not the alleged error in the SFI was unintentional and whether or not the filing of an applicable amendment occurred within the required thirty (30) day time period.

(2) In the event the Commission determines that the reporting error was unintentional and the filing of an applicable amendment occurred within the thirty (30) day time period, the Commission shall not proceed with an investigation of an alleged unintentional error in a SFI filed under Subchapter 7 of Chapter 8, Title 21 of the Arkansas Code. If the Commission does not proceed with an investigation of an alleged unintentional error in a SFI, the person shall not be considered to have committed a violation of the applicable statute under Subchapter 7 of Chapter 8, Title 21 of the Arkansas Code. However, assertion of the affirmative defense provision contained herein shall not be construed to (i) remove the duty to file a SFI required by

Subchapter 7 of Chapter 8, Title 21 of the Arkansas Code, or (ii) authorize a person to knowingly fail to file a SFI required by Subchapter 7 of Chapter 8, Title 21 of the Arkansas Code.

(3) Upon a determination by the Commission that an assertion of the above-described affirmative defense is not valid, the director shall cause an investigation to be commenced concerning the allegation in accordance with the procedure set forth in section VI of these rules.

**F. Affirmative Defense Concerning Discovery of Unintentional Violation of Gift Prohibition Set Forth in Ark. Const. Art. 19, § 30**

(1) It is an affirmative defense to prosecution or disciplinary action if a person elected or appointed to an office under Ark. Const. Art. 19, § 30(a) takes one (1) of the following actions within thirty (30) days of discovering or learning of an unintentional violation of the gift prohibition set forth in Ark. Const. Art. 19, § 30: (i) Returns the gift to the donor; or (ii) If the gift is not returnable, pays the donor consideration that is equal to or greater than the value of the gift. If a complaint alleges a person committed a violation of Ark. Const. Art. 19, § 30, the director shall notify the person who is the subject of the complaint of the existence of this affirmative defense. In addition, the director shall notify the person who is the subject of the complaint of the date, time, and place of the meeting at which the allegation will be considered for a determination of whether or not the alleged violation was unintentional and whether or not the applicable action occurred within the required thirty (30) day time period.

(2) In the event the Commission determines that the violation of Ark. Const. Art. 19, § 30 was unintentional and the aforementioned action is taken within the required thirty (30) day time period, the Commission shall not proceed with an investigation of an alleged violation of the gift prohibition set forth in Ark. Const. Art. 19, § 30. If the Commission does not proceed with an investigation of an alleged unintentional violation, the person shall not be considered to have committed a violation of the gift prohibition set forth in Ark. Const. Art. 19, § 30. However, assertion of the affirmative defense provision contained herein shall not be construed

to authorize a person to knowingly or willfully solicit or accept a gift in violation of Ark. Const. Art. 19, § 30.

(3) Upon a determination by the Commission that an assertion of the above-described affirmative defense is not valid, the director shall cause an investigation to be commenced concerning the allegation in accordance with the procedure set forth in section VI of these rules.

## VI. INVESTIGATION PROCEDURE

(1) Every document the Commission receives which purports to be a complaint, whether sworn or unsworn, shall, upon receipt, be stamped with the current date, then forwarded to the director.

(2) The director shall determine if the document meets the requirements of a valid complaint set forth in subparagraph A(3) of section V. If the director determines that the document does not constitute a valid complaint, he or she shall advise the complainant in writing specifically why the document fails to meet the requirements of a valid complaint.

(3) Upon a determination that a valid complaint has been received, the director shall cause an investigation to be commenced concerning the allegations of the complaint. As part of that investigation, the director shall request that the complainant submit any and all evidence he or she may have concerning the matter(s) alleged. The Commission's staff (and not the complainant) shall be responsible for conducting the investigation.

(4) Each such investigation must be assigned a case number and, thereafter, all records, documents, and other evidence collected must be maintained in the file to which such case number is assigned.

(5) The director shall notify the person accused that he or she is under investigation, and the nature of the investigation pursuant to Ark. Code Ann. § 7-6-218(b)(1)(B). If during the process of



the investigation, evidence of other potential violations is discovered, the director shall notify the respondent of same in writing if an investigation of said potential violations is pursued. When notifying the respondent of an investigation, the director shall inform the respondent that he or she has a right to submit any and all evidence which may serve to rebut or mitigate the alleged violation(s).

(6) The Commission's staff shall present a preliminary report of its investigation, including a recommendation that the investigation either be continued or that the complaint be dismissed, to the Commission within sixty (60) days of the filing of the complaint, unless good cause be shown. After being presented the preliminary report, the Commission shall decide whether to dismiss the complaint or direct the staff to complete the investigation. If the Commission directs staff to complete the investigation, the director shall notify the respondent in writing of this decision.

(7) If, during the course of the investigation, the Commission has reason to believe that any person filed or caused to be filed a complaint against another which he or she knows or should know contains a false material allegation, the Commission may forward all documents and other evidence of same to the appropriate law enforcement authority with such recommendations as it deems appropriate.

(8) In any case in which the Commission has dismissed a complaint, the respondent may request in writing that the Commission make a finding as to whether or not the complaint filed was frivolous (*i.e.*, clearly lacking any basis in fact or law). Upon receipt of such a request, a copy shall be furnished to the complainant and he or she shall have ten (10) calendar days to submit a written response. As part of that response, the complainant may request a hearing on the issue of whether or not the complaint was frivolous. At such a hearing, both the respondent and the complainant shall have the right to be represented by counsel. If no hearing is requested, the question of whether or not the complaint filed was frivolous shall be decided on the written submission(s). In the event the Commission finds that the complaint was frivolous, the respondent may file a complaint seeking sanctions as provided in Ark. Code Ann. § 7-6-218(b)(4).

(9) The director, a staff attorney, or a director of compliance of the Commission may issue subpoenas for documents, persons, books, or other records relevant to complaint investigations and may take sworn statements and administer oaths in connection therewith. The director shall also be empowered to issue subpoenas on behalf of the respondent so as to ensure all relevant evidence may be obtained in any investigation. Any decision by the director to deny the respondent a requested subpoena shall be in consultation with the chairman of the Commission.

(10) When in the course of an investigation the Commission issues subpoenas to financial institutions for records or information regarding a person who is the subject of the investigation, the Commission shall provide the subject of the investigation with reasonable notice of the subpoenas and an opportunity to respond.

(11) All proceedings, records, and transcripts of any investigations or inquiries shall be kept confidential by the Commission, unless: (i) the respondent requests disclosure of documents relating to investigation of the case; or (ii) the respondent requests a public hearing, see subparagraph (1) of section VII; or (iii) there is judicial review of a Commission decision pursuant to Ark. Code Ann. § 25-15-212, see subparagraph (3) of section X. Provided, however, that the Commission may, through its members or staff, disclose confidential information to proper law enforcement officials, agencies and bodies or as may be required to conduct its investigation. Moreover, thirty (30) days after any final adjudication in which the Commission makes a finding of a violation, all records relevant to the investigation and upon which the Commission based its decision, except working papers of the Commission and its staff, shall be open to public inspection.

(12) The Commission's staff shall not detail evidence of an ongoing investigation to the Commissioners after being directed to complete an investigation pursuant to subparagraph 6 of this section.

(13) After completing its investigation, staff shall prepare a final report of the investigation to be submitted to the Commission in connection with determining whether or not probable cause exists for a finding of a violation.

(14) The respondent and the complainant, if applicable, shall be notified in writing by the director, a staff attorney, or a director of compliance of the date, time and place of the meeting at which the complaint will be considered for a probable cause determination. The respondent and the complainant may choose to attend and/or be represented by counsel. The respondent may offer testimony and other evidence at the meeting at which the complaint is considered for a probable cause determination. The complainant may address the Commission but shall not be responsible for presenting any evidence. Such responsibility rests with the Commission's staff. When the matter comes before the Commission for a probable cause determination, it will be handled in confidential session and not be open to the public. At the meeting at which the complaint is considered for a probable cause determination, staff shall present a final report of its investigation to the Commissioners together with any other information staff deems appropriate.

(15) If the Commission finds that probable cause exists for a finding of a violation, the Commission shall issue a written Offer of Settlement to the respondent stating the finding(s) of the Commission and the proposed sanction(s). The issuance of an Offer of Settlement shall not mean that the Commission has found that the respondent has committed a violation but, rather, that probable cause has been found to exist. If the Commission does not find probable cause, it shall dismiss the complaint.

(16) Any person who wishes to accept the Commission's Offer of Settlement shall do so in writing within ten (10) calendar days from the issuance of the offer. The acceptance of an Offer of Settlement shall be the equivalent of a final adjudication in which the Commission made a finding of a violation and shall constitute final action for purposes of appeal under the Administrative Procedure Act. If accepted, the Offer of Settlement shall be deemed a public record.

(17) If the respondent neither accepts the Offer of Settlement nor requests a public hearing (in accordance with subparagraph (1) of section VII) within ten (10) calendar days from the issuance of the Offer of Settlement, then the Commission shall set the complaint for final adjudication hearing. Said hearing shall be conducted in the same manner as provided for in

subparagraphs (4) through (12) of section VII, except that the final adjudication hearing shall be held in confidential session. The respondent and the complainant, if applicable, shall be given written notice of the date, time, and place of the hearing pursuant to Ark. Code Ann. § 25-15-208(a)(2). Once a matter has been scheduled for a final adjudication hearing, the respondent, upon written request, shall be permitted to review the entire investigative file with the exception of working papers of the Commission and its staff. Following the final adjudication hearing, the Commission shall prepare a final order setting forth its findings of fact and conclusions of law based upon the evidence presented at the final adjudication hearing. The Commission shall not be bound by the terms of the Offer of Settlement in issuing the final order.

(18) All investigations commenced as a result of any complaint must be completed within two hundred ten (210) days from the date of receipt of the complaint upon which the investigation is based, except that, if a public hearing or other hearing of adjudication is conducted, all action on the complaint by the Commission shall be completed within two hundred forty (240) days. Provided, however, that such time shall be tolled during the pendency of any civil action, civil appeal, or other judicial proceedings, involving those particular Commission proceedings.

(19) The Commission, in a document, shall advise the complainant and the respondent of the final action taken together with the reasons for the action. Said document shall be a public record.

(20) Nothing herein shall prohibit the Commission from informally disposing of a complaint by stipulation, settlement, consent order, or default pursuant to Ark. Code Ann. § 25-15-208(b). Any settlement agreement entered into between the Commission and a respondent shall be deemed a public record.

## VII. PUBLIC HEARING

(1) Any respondent who has received an Offer of Settlement from the Commission shall have the right to request a public hearing pursuant to Ark. Code Ann. § 7-6-218(b)(2). The request must be in writing and received by the Commission no later than ten (10) calendar days from the issuance of the Commission's Offer of Settlement.

(2) In the event the respondent requests a public hearing, the confidentiality requirements of Ark. Code Ann. § 7-6-218(b)(3)(B) shall not prohibit documents and other evidence gathered in the investigation from being made a part of the record at the hearing.

(3) Upon receiving a request for a public hearing, the director shall set a date, time and place for the hearing, and written notice shall be given to the respondent and complainant, if applicable, pursuant to Ark. Code Ann. § 25-15-208(a)(2). A written notice of public hearing is a public document. Once a matter has been scheduled for a public hearing, the respondent, upon written request, shall be permitted to review the entire investigative file with the exception of working papers of the Commission and its staff.

(4) The respondent shall have the right to appear in person before the Commission at the public hearing, to be represented by counsel, to present such documentary, oral or other evidence as he or she may have in support of his or her position, to cross-examine witnesses, and to present argument on all issues involved. The complainant shall have the right to appear in person before the Commission at the public hearing, to be represented by counsel, and to address the Commission. The complainant shall not be responsible for presenting any evidence. Such responsibility rests with the Commission's staff.

(5) The director, a staff attorney, or a director of compliance shall appear at the public hearing for purposes of presenting evidence concerning the alleged violation(s) of the respondent. Whichever of these individuals presents such evidence shall not be present while the

Commissioners conduct their deliberations, nor shall said individual assist the Commission in preparation of the final order. In addition, a staff member who, in his or her official capacity, has signed a citizen complaint form on behalf of the Commission, shall not be present while the Commissioners conduct their deliberations, nor shall said individual assist the Commission in the preparation of the final order.

(6) The chairman of the Commission or, at his or her request, one of the other Commissioners, shall preside at the public hearing and, as the presiding officer, rule on motions and objections, and admit or deny evidence into the record. The presiding officer is charged with maintaining the decorum of the public hearing and may refuse to admit, or may expel, anyone whose conduct is disorderly. The presiding officer shall conduct the public hearing in the following manner:

a. Order of Proceedings.

1. The presiding officer will give an opening statement, briefly describing the nature of the proceedings.

2. The parties are to be given the opportunity to present opening statements.

3. The parties will be allowed to present their cases in the sequence determined by the presiding officer.

4. Each witness shall be sworn or affirmed by the presiding officer and be subject to examination and cross-examination as well as questioning by the Commission. The presiding officer may limit questioning in a manner consistent with law.

5. When all parties and witnesses have been heard, the parties may be given the opportunity to present final arguments.

b. Evidence.

1. The presiding officer shall rule on the admissibility of evidence and may, when appropriate, take official notice of facts in accordance with all applicable requirements of law.

2. Stipulation of facts between the parties is encouraged. The Commission may make a decision based upon stipulated facts.

3. A party seeking admission of an exhibit must provide a copy of each exhibit at the public hearing. The presiding officer must provide the opposing parties with an opportunity to examine the exhibit prior to the ruling on its admissibility. All exhibits admitted into evidence must be appropriately marked and be made part of the record.

4. Any party may object to specific evidence or to request limits on the scope of the examination or cross-examination. A brief statement of the grounds upon which the action is based shall accompany such an objection. The objection, the ruling on the objection, and the reasons for the ruling will be noted in the record. The presiding officer may rule on the objection at the time it is made or may reserve the ruling until the written decision.

5. Whenever evidence is ruled inadmissible, the party offering that evidence may submit an offer of proof on the record. The party making the offer of proof for excluded oral testimony will briefly summarize the testimony or, with permission of the presiding officer, present the testimony. If the excluded evidence consists of a document or exhibit, it shall be marked as part of an offer of proof and inserted in the record.

6. Irrelevant, immaterial, and unduly repetitive evidence will be excluded. Any other oral or documentary evidence, not privileged, may be received if it is of a type commonly relied upon by reasonably prudent men and women in the conduct of their affairs.

(7) If a party fails to appear or participate in an adjudication after proper service of notice, the Commission may proceed with the public hearing and render a decision in the absence of the party.

(8) The hearing will be recorded and a record maintained in accordance with Ark. Code Ann. § 25-15-208(a)(5) in the event judicial review is sought under Ark. Code Ann. § 25-15-212.

Following the presentation of all evidence, the Commission may convene to executive session for the purpose of conducting its deliberations, provided that, upon completion of the executive session, the Commission shall convene in public to vote upon the final action.

(9) The decision of the Commission, after a public hearing, shall be reduced to a final order signed by the chairman of the Commission, containing written findings of fact and conclusions of law, separately stated, in accordance with Ark. Code Ann. § 25-15-210(b)(2). Findings of fact shall be based exclusively on the evidence and on matters officially noticed. All such decisions of the Commission shall be made available for public inspection.

(10) The respondent shall be served either personally or by mail with a copy of any decision or order.

(11) Any final order of the Commission shall constitute an adjudication for purposes of judicial review under Ark. Code Ann. § 25-15-212.

### **VIII. RENDERING OF DECISION**

(1) The Commission will review the evidence, testimony, documents and any other matters presented at the public hearing and thereafter render a decision. In rendering its decision, the Commission will not be bound by the terms of its Offer of Settlement.

(2) If the Commission finds that the respondent did not commit a violation, it shall issue a final order in which the Commission finds that the respondent did not violate any laws under the jurisdiction of the Commission and that the complaint shall be dismissed.

(3) If the Commission finds that the respondent did commit a violation, it shall do one or more of the following unless good cause be shown for the violation:



- a. Issue a final order in which the Commission finds that there is sufficient evidence to show that a violation of law under the jurisdiction of the Commission occurred and that the respondent shall be issued a public LETTER OF CAUTION;
- b. Issue a final order in which the Commission finds that there is sufficient evidence to show that a violation of law under the jurisdiction of the Commission occurred and that the respondent shall be issued a public LETTER OF WARNING;
- c. Issue a final order in which the Commission finds that there is sufficient evidence to show that a violation of law under the jurisdiction of the Commission occurred and that the respondent shall be issued a public LETTER OF REPRIMAND;
- d. In a final order in which the Commission finds that there is sufficient evidence to show that a violation of Ark. Code Ann. § 19-11-718 has occurred, the Commission may also declare that the special state employee has been removed from the covered board and a vacancy exists.
- e. Report its findings and other evidence to the proper law enforcement authorities along with recommendations on criminal prosecution (in exercising this power, the Commission is not required to make a finding of a violation of the laws under its jurisdiction);
- f. Impose a fine of not less than fifty dollars (\$50.00) nor more than two thousand dollars (\$2,000.00) for negligent or intentional violation of a law or laws under the Commission's jurisdiction;
- g. The Commission may impose single or multiple sanctions against a respondent found to have committed multiple violations;

- h. Impose a late filing fee not exceeding fifty dollars (\$50.00) for each day a statement of organization or financial report remains unfiled by a ballot question committee or legislative question committee;
- i. Impose a late filing fee not exceeding twenty-five dollars (\$25.00) for each day a required amendment of the information contained in a statement of organization remains unfiled by a ballot question committee or legislative question committee; and
- j. Order the respondent to file or amend a statutorily required disclosure form.

(4) In determining the type(s) of sanction(s) to impose, if any, after making a finding of a violation, the Commission may consider all of the surrounding circumstances including, but not limited to, the following:

- a. The seriousness of the violation;
- b. The presence or absence of any intention to conceal, deceive or mislead;
- c. Whether the violation was negligent or intentional;
- d. Whether the respondent demonstrated good faith by consulting the Commission staff or any other government agency;
- e. Whether the violation was isolated or part of a pattern;
- f. Whether the respondent has previously been found to have violated a law under the Commission's jurisdiction;
- g. Whether the respondent, upon learning of a reporting violation, voluntarily took corrective action to provide full disclosure; and

h. Whether the respondent has shown good cause for the violation.

(5) In the event a fine is not paid in a timely fashion, the Commission shall be authorized to file suit in accordance with Ark. Code Ann. § 7-6-217(g)(8)(A) to obtain a judgment for the amount of said fine. The Commission shall also be authorized to file suit in accordance with Ark. Code Ann. § 7-6-217(g)(8)(A) to enforce an order of the Commission requiring the filing or amendment of a statutorily required disclosure form.

## IX. DEFINITIONS OF PUBLIC LETTERS

(1) **Caution** is defined as: a written disposition of an allegation against any person which is advisory in nature, clearly giving notice to the respondent that his or her action or lack of action is a violation of law, and further advising the respondent not to engage in the same activity again. A caution may include a requirement that the respondent take corrective action as to the improper activity.

(2) **Warning** is defined as: a written disposition of an allegation against any person which is condemnatory in nature, expressing strong disapproval for the respondent's misconduct and expressing the view that the misconduct undermines public confidence in the integrity of the governmental process. A warning may include a requirement that the respondent take corrective action as to his or her misconduct, and may also include notice to any public official, public agency, professional association or other entity to which the respondent is a member or is employed.

(3) **Reprimand** is defined as: a written disposition of an allegation against any person which is condemnatory in nature, clearly giving notice to the respondent that his or her action or lack of action is a violation of the law and constitutes activity which is below the standard of conduct expected of persons under the jurisdiction of the Commission. The reprimand will require the respondent to refrain from engaging in the same activity again. A reprimand may include a requirement that the respondent take corrective action as to his or her misconduct and may also

include notice to any public official, public agency, professional association or other entity to which the respondent is a member or is employed. A **reprimand** shall be considered more severe than a **caution or warning**.

## **X. JUDICIAL REVIEW**

(1) Any person who has been sanctioned, fined and/or found to have violated a law under the Commission's jurisdiction shall have the right to file a petition for review, within thirty (30) days of service of the Commission's final order, with an appropriate Circuit Court pursuant to Ark. Code Ann. § 25-15-212.

(2) A person filing a petition for review must serve the Commission with a copy of same in accordance with the Arkansas Rules of Civil Procedure.

(3) Upon receipt of a petition for review, the Commission staff shall prepare and transmit the entire record of the proceeding to the reviewing court within thirty (30) days, or within such further time as the court may allow, but not exceeding an aggregate of ninety (90) days. By stipulation of the parties, the record may be shortened. Once prepared, the record shall be subject to public disclosure.

## **XI. FORMS AND INSTRUCTIONS**

The Commission has prepared or utilizes the following forms and instructions: Ballot Question Financial Report of Individual or Elected Official, Ballot Question Committee Financial Report, Ballot Question Committee (BQC) Statement of Organization, Ballot Question Committee (BQC) Notice of Dissolution, Campaign Contribution and Expenditure Report for County, Municipal and School Board Candidates (form and instructions), Campaign Contribution and Expenditure Report for State and District Candidates (form and instructions), Final Campaign Contribution and Expenditure Report for State and District Candidates (form and instructions), Campaign Contribution and Expenditure Report for Debt Retirement,

Carryover Fund Reporting Form (and instructions), Citizen Complaint Form, County Political Party Committee Registration Form, County Political Party Committee Quarterly Reporting Form, County Political Party Committee Notice of Termination, Disclosure by Legislator Pursuant to Ark. Code Ann. § 21-8-803, Disclosure by Member (or Member-Elect) of the Arkansas General Assembly Pursuant to Ark. Code Ann. § 21-8-901, Disclosure by Board Member Pursuant to Ark. Code Ann. § 19-11-718, Exploratory Committee Registration Form, Exploratory Committee Contribution and Expenditure Report, Independent Expenditure Committee Registration, Independent Expenditure Report for Committees, Individuals, and Other Entities, Legislative Question Financial Report of Individual or Elected Official, Legislative Question Committee Financial Report, Legislative Question Committee (LQC) Statement of Organization, Legislative Question Committee (LQC) Notice of Dissolution, Lobbyist Activity Report, Lobbyist Registration Form, Lobbyist Notice of Termination, Local-Option Ballot Question Financial Report of Individual or Elected Official, Local-Option Ballot Question Committee Financial Report, Local-Option Ballot Question Committee (L-OBQC) Statement of Organization, Local-Option Ballot Question Committee (L-OBQC) Notice of Dissolution, Political Action Committee (PAC) Registration Form, Political Action Committee (PAC) Quarterly Reporting Form, Political Action Committee Notice of Termination, Political Party Quarterly Reporting Form, Quarterly Disclosure Form (certain designated officials), and Statement of Financial Interest (form and instructions). Copies of same are set forth in the appendix hereto. Moreover, the Commission has participated in the publication of the following document(s) prepared by the State Board of Election Commissioners: Running for Office, A "Plain English" Handbook for Candidates.

## APPENDIX - Forms Listing

1. Ballot Question Financial Report of Individual or Elected Official – **See attached**
2. Ballot Question Committee Financial Report of Person Meeting the Definition of BQC Set Forth in § 7-9-402(2)(A) - **See attached**
3. Ballot Question Committee Financial Report of Person Meeting the 2%/\$10,000 Test in § 7-9-402(2)(B) – **See attached (new)**
4. Ballot Question Committee (BQC) Statement of Organization – **See attached**
5. Ballot Question Committee (BQC) Notice of Dissolution – No changes
6. Campaign Contribution and Expenditure Report County, Municipal and School Board Candidates (form and instructions) – No changes
7. Campaign Contribution and Expenditure Report - Only for Candidates for State and District Candidates Office (Including District Judge) (form and instructions) –**See attached**
8. Final Campaign Contribution and Expenditure Report Only for Candidates for State and District Candidates Office (Including District Judge) (form and instructions) – **See attached**
9. Campaign Contribution and Expenditure Report for Debt Retirement – No changes
10. Carryover Fund Reporting Form (and instructions) – No changes
11. Citizen Complaint Form – No changes
12. County Political Party Committee Registration Form – No changes
13. County Political Party Committee Quarterly Reporting Form – No changes
14. County Political Party Committee Notice of Termination – No changes
15. Disclosure by Legislator Pursuant to Ark. Code Ann. § 21-8-803 – No changes
16. Disclosure by Member (or Member-Elect) of the Arkansas General Assembly Pursuant to Ark. Code Ann. § 21-8-901 – No changes
17. Exploratory Committee Registration Form – No changes
18. Exploratory Committee Contribution and Expenditure Report – No changes
19. Independent Expenditure Committee Registration – No changes
20. Independent Expenditure Report for Committees, Individuals, and Other Entities – No changes
21. Legislative Question Financial Report of Individual or Elected Official – **See attached**
22. Legislative Question Committee Financial Report of Person Meeting the Definition of LQC Set Forth in § 7-9-402(10)(A) – **See attached**
23. Legislative Question Committee (“LQC”) Financial Report of Person Meeting the 2%/\$10,000 Test in § 7-9-402(10)(B) – **See attached (new)**
24. Legislative Question Committee (LQC) Statement of Organization – **See attached**
25. Legislative Question Committee (LQC) Notice of Dissolution – No changes
26. Lobbyist Activity Report – No changes
27. Lobbyist Registration Form – No changes
28. Lobbyist Notice of Termination – No changes
29. Local-Option Ballot Question Financial Report of Public Servant or Governmental Body Spending Public Funds- **See attached**
30. Local-Option Ballot Question Committee (L-OBQC) Financial Report of Person Meeting the Definition of L-OBQC Set Forth in § 3-8-702(7)(A)– **See attached**
31. Local-Option Ballot Question Committee (L-OBQC) Financial Report of Person Meeting the 2%/\$10,000 Test in § 3-8-702(7)(B) – **See attached (new)**

#### **APPENDIX - Forms Listing Continued**

- 32. Local-Option Ballot Question Committee (L-OBQC) Statement of Organization – **See attached**
- 33. Local-Option Ballot Question Committee (L-OBQC) Notice of Dissolution – No changes
- 34. Political Action Committee (PAC) Registration Form – No changes
- 35. Political Action Committee (PAC) Quarterly Reporting Form – No changes
- 36. Political Action Committee Notice of Termination – No changes
- 37. Political Party Quarterly Reporting Form – No changes
- 38. Quarterly Disclosure Form (certain designated officials) – No changes
- 39. Statement of Financial Interest (form and instructions) – **See attached**

(Arkansas Ethics Commission File Stamp)

☐ Check if this report is an amendment to a previously filed report

1. NAME OF INDIVIDUAL OR ELECTED OFFICIAL		2. TYPE OF REPORT  <input type="checkbox"/> Monthly Report (due 15 days after end of month) <input type="checkbox"/> Preelection Report (due 7 days before election) <input type="checkbox"/> Final Report (due 30 days after election)
ADDRESS		
CITY, STATE AND ZIP CODE		
TELEPHONE NUMBER		

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTALS
3. TOTAL EXPENDITURES MADE DURING REPORTING PERIOD		

4. ( ) **NO ACTIVITY** Check if you have not received or made any contributions during this reporting period.  
If you have no activity, file the first page of this report only.

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true, and accurate financial statement.

Signature of Individual or Elected Official

State of Arkansas } ss  
County of \_\_\_\_\_

County of \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

(Legible Notary Seal)

Signature of Notary Public

My Commission Expires \_\_\_\_\_



**5. ITEMIZED EXPENDITURES OF \$100 OR MORE**  
(NOTE: This includes not only expenditures made by the individual or elected official, but also expenditures made on their behalf by an advertising agency, public relations firm, or political consultant.)  
Please Type or Print  
Use Additional Copies of this Page if Necessary

(NOTE: This includes not only expenditures made by the individual or elected official, but also expenditures made on their behalf by an advertising agency, public relations firm, or political consultant.)

Please Type or Print  
Use Additional Copies of this Page if Necessary

[illegible]

**ITEMIZED EXPENDITURES OF \$100 OR MORE**  
(NOTE: This includes not only expenditures made by the individual or elected official, but also expenditures made on their behalf by an advertising agency, public relations firm, or political consultant.)  
Please Type or Print

Please Type or Print

6. TOTAL ITEMIZED EXPENDITURES	
7. TOTAL UNITEMIZED EXPENDITURES	
8. TOTAL EXPENDITURES (to be entered on line #3)	

Please Type or Print

10. TOTAL EXPENDITURES BY CATEGORY

41. PAID CANVASSERS, OFFICERS, AND DIRECTORS	AMOUNT

42. TOTAL AMOUNT PAID CANVASSERS, OFFICERS, AND DIRECTORS	\$
---	----

# BALLOT QUESTION COMMITTEE ("BQC") FINANCIAL REPORT OF PERSON MEETING THE DEFINITION OF BQC SET FORTH IN § 7-9-402(2)(A)\*

(Arkansas Ethics Commission File Stamp)

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

☐ Check if this report is an amendment to a previously filed report

DRAFT

1. NAME OF COMMITTEE (IN FULL)	<b>2. TYPE OF REPORT</b> <input type="checkbox"/> Monthly Report (due 15 days after end of month) <input type="checkbox"/> Preelection Report (due 7 days before election)* <input type="checkbox"/> Final Report (due 30 days after election)  <small>*NOTE: Preelection report must be received by the Ethics Commission on or before due date.</small>
ADDRESS	
CITY, STATE AND ZIP CODE	
TELEPHONE NUMBER	

This report covers period: (     -     -     ) through (     -     -     )

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTALS
3. BALANCE OF FUNDS AT BEGINNING OF REPORTING PERIOD		
4. TOTAL MONETARY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD		
5. TOTAL EXPENDITURES MADE DURING REPORTING PERIOD		
6. BALANCE OF FUNDS AT CLOSE OF REPORTING PERIOD		

7. (     ) **NO ACTIVITY** Check if you have not received or made any contributions during this reporting period. If you have no activity, file the first page of this report only.

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true, and accurate financial statement.

\_\_\_\_\_  
Signature of Ballot Question Committee Officer

State of Arkansas                      } ss  
County of \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

(Legible Notary Seal)

\_\_\_\_\_  
Signature of Notary Public

My Commission Expires \_\_\_\_\_

\* Ark. Code Ann. § 7-9-402(2)(A) provides as follows: "ballot question committee" means any person, located within or outside Arkansas, that receives contributions for the purpose of expressly advocating the qualification, disqualification, passage, or defeat of any ballot question, or any person, other than an elected official expending public funds, or an individual, located within or outside Arkansas, who makes expenditures for the purpose of expressly advocating the qualification, disqualification, passage, or defeat of any ballot question.

Revised 12/2013

**8. LOAN INFORMATION**  
Please Type or Print  
Do Not List Loans Previously Reported

Do Not List Loans Previously Reported

Do Not List Loans Previously Reported

9. TOTAL LOANS THIS REPORT

10. ITEMIZED MONETARY CONTRIBUTIONS OF \$50 OR MORE RECEIVED BY COMMITTEE

Please Type or Print  
Use Additional Copies of this Page if Necessary

[illegible]

Please Type or Print

11. TOTAL ITEMIZED MONETARY CONTRIBUTIONS OF \$50 OR MORE	
12. TOTAL UNITEMIZED MONETARY CONTRIBUTIONS	
13. TOTAL MONETARY CONTRIBUTIONS THIS REPORT (Includes totals from lines 9, 11, and 12)	

**14. NONMONEY CONTRIBUTIONS RECEIVED BY COMMITTEE**  
(Does not include volunteer services by individuals)

Date of Receipt	Name of Contributor	Street Address of Contributor	Description and Value of Nonmoney Item	Cumulative Total from this Contributor
<b>15. TOTAL NONMONEY CONTRIBUTIONS THIS REPORT</b>				

**IMPORTANT**

In addition to monetary contributions, committees should report the receipt of any nonmoney ("in-kind") contributions. A committee receives an in-kind contribution whenever a person provides the committee with an item or service without charge or for a charge that is less than the fair market value of the item or service in question.



Please Type or Print

Use Additional Copies of this Page if Necessary

[illegible]

Please Type or Print

Revised 12/2013

## Please Type or Print

Please Type or Print

## 21. TOTAL EXPENDITURES BY CATEGORY

~~22. PAID CANVASSERS, OFFICERS, AND DIRECTORS~~

23. TOTAL AMOUNT PAID CANVASSERS, OFFICERS, AND DIRECTORS	\$
---	----

# BALLOT QUESTION COMMITTEE FINANCIAL REPORT OF PERSON MEETING THE 2%/\$10,000 TEST IN § 7-9-402(2)(B)\*

To be filed with:

(Arkansas Ethics Commission File Stamp)

Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

☐ Check if this report is an amendment to a previously filed report

DRAFT

1. NAME OF INDIVIDUAL OR ELECTED OFFICIAL

ADDRESS

2. TYPE OF REPORT

☐ Monthly Report (due 15 days after end of month)

☐ Preelection Report (due 7 days before election)

☐ Final Report (due 30 days after election)

CITY, STATE AND ZIP CODE

TELEPHONE NUMBER

This report covers period: (   -   -   ) through (   -   -   )

<u>SUMMARY</u>	<u>FOR REPORTING PERIOD</u>	<u>CUMULATIVE TOTALS</u>
<u>3. TOTAL MONETARY CONTRIBUTIONS MADE DURING REPORTING PERIOD (enter amount from line 8)</u>		

4. (   ) NO ACTIVITY Check if you have not made any contributions during this reporting period.  
If you have no activity, file the first page of this report only.

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true, and accurate financial statement.

Signature of Person Filing the Report

State of Arkansas

} ss

County of

Subscribed and sworn before me this                      day of                      , 20                      .

(Legible Notary Seal)

Signature of Notary Public

My Commission Expires

\* Ark. Code Ann. § 7-9-402(2)(B) provides, in pertinent part, as follows: a person other than an individual or an approved political action committee as defined in § 7-6-201, located within or outside Arkansas ... qualifies as a ballot question committee if two percent (2%) or more of its annual revenues, operating expenses, or funds are used to make a contribution or contributions to another ballot question committee and if the contribution or contributions exceed ten thousand dollars (\$10,000) in value.

Revised 12/2013

(NOTE: This includes not only contributions made by the person, but also contributions made on such person's behalf by an advertising agency, public relations firm, or political consultant.)  
Please Type or Print  
Use Additional Copies of this Page if Necessary

contributions made on such person's behalf by an advertising agency, public relations firm, or political consultant.)

Use Additional Copies of this Page if Necessary

Revised 12/2013

(NOTE: This includes not only contributions made by the person, but also contributions made on such person's behalf by an advertising agency, public relations firm, or political consultant.)

Please Type or Print

contributions made on such person's behalf by an advertising agency, public relations firm, or political consultant.)

Please Type or Print

[illegible]

# BALLOT QUESTION COMMITTEE (BQC)\* STATEMENT OF ORGANIZATION

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

(Arkansas Ethics Commission File Stamp)

☐ Check if this is an amendment to a previously filed statement of organization

# DRAFT

## Section One: BQC Name

Name of BQC (in full): \_\_\_\_\_

## Section Two: BQC Address & Phone Number

If BQC has no office address, use the address of the BQC officer authorized to receive notices on behalf of the BQC.

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

## Section Three: BQC Officers and Directors

Provide the name, title, address, and telephone number of the treasurer and other principal officers and directors of the BQC.

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

\* The term "ballot question committee" is defined in Ark. Code Ann. § 7-9-402(2)(A) and (B) and § 600(c)(1) and (2) of the Ethics Commission's Rules on Ballot and Legislative Question Committees.

Telephone Number: \_\_\_\_\_

**Section Four: Financial Information**

Provide the name and address of each financial institution in which the BQC deposits money or anything else of monetary value.

Name of Financial Institution: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Name of Financial Institution: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**Section Five: Members**

Provide the name of each person who is a member of the committee. A person that is not an individual may be listed by its name without also listing its own members, if any.

---

---

---

---

**Section Six: Brief Statement**

Provide a brief statement identifying the substance of each ballot question as to which the BQC will expressly advocate the qualification, disqualification, passage, or defeat, and, if known, the date each ballot question shall be presented to a popular vote at an election.

---

---

---

---

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of BQC Officer



**BALLOT QUESTION COMMITTEE (BQC)  
NOTICE OF DISSOLUTION**

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

(Arkansas Ethics Commission File Stamp)

1. NAME OF BQC (IN FULL): \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY, STATE AND ZIP CODE: \_\_\_\_\_

2. REMAINING FUNDS ON HAND AT TIME OF DISSOLUTION      \$ \_\_\_\_\_

3. METHOD BY WHICH REMAINING FUNDS WERE DISPOSED OF:

- ☐ Treasurer of State (for benefit of General Revenue Fund Account of the State Apportionment Fund)
- ☐ An organized political party or a political party caucus of the Arkansas General Assembly, the Senate, or the House of Representatives
- ☐ A nonprofit organization that is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code
- ☐ Cities of the first class, cities of the second class, or incorporated towns
- ☐ Contributors to the BQC

\_\_\_\_\_  
DATE

\_\_\_\_\_  
SIGNATURE OF BQC OFFICER

# CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT

For County, Municipal and School Board Candidates

☐ Check if this report is an amendment

This report should be filed with the County Clerk of the county in which the election is held

## 1. Name of Candidate

Address

City, State and Zip

Phone Number:

Office Sought

District Number

(Clerk's File Stamp)

Does the candidate have a campaign committee? ( ) Yes ( ) No

If yes, complete the following:

Name of Chairperson/Treasurer:

Mailing Address

Phone Number:

2. Type of Election: (check only one) Year of Election \_\_\_\_\_

- ☐ Primary ☐ Primary Runoff ☐ General ☐ General Runoff  
☐ Special ☐ Annual School ☐ Annual School Runoff

3. Type of Report: (check one)

This report covers what period? ( / / ) through ( / / )

☐ Preelection report

☐ Final report (check method by which surplus campaign funds were disposed)\*

- ☐ Treasurer of State (for benefit of General Revenue Fund Account of the State Apportionment Fund)  
☐ A political party as defined in Ark. Code Ann. § 7-1-101 or a political party caucus of the Arkansas General Assembly, the Senate, or the House of Representatives  
☐ Contributors to the candidate's campaign  
☐ A nonprofit organization that is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code  
☐ Cities of the first class, cities of the second class, or incorporated towns

☐ Supplemental Report

\*If the campaign has not ended, disposal of campaign funds is not required and the candidate may carry forward any remaining campaign funds to the next election in the cycle for that same office.

### SUMMARY

### FOR REPORTING PERIOD

### CUMULATIVE TOTAL

4. Balance of campaign funds at beginning of reporting period

5. Interest (if any) earned on campaign account

6. Total Loans (enter total from line 12)

7. Total Monetary Contributions (enter total from line 19)

8. Total Expenditures (enter total from line 28)

9. Balance of campaign funds at close of reporting period

10. If this is candidate's final report for an election, amount of carryover funds or outstanding indebtedness (use brackets to indicate debt)

11. ( ) NO ACTIVITY (check if you have not received contributions, loans, or made expenditures during this reporting period)

I certify to the best of my knowledge and belief that the information disclosed in this report is a complete, true, and accurate financial statement of my (the candidate's) campaign contributions and expenditures.

Signature of Candidate or Candidate's Representative

Sworn to and subscribed before me, a Notary Public, in and for \_\_\_\_\_, County, Arkansas, on this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

(Legible Notary Seal)

Notary Signature \_\_\_\_\_

My Commission Expires: \_\_\_\_\_

**Note: If faxed, notary seal must be legible (i.e., either stamped or raised and inked) and the original must follow within ten (10) days.**

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISED 08/2015

## 12. LOAN INFORMATION

Please Type or Print  
Do not list loans previously reported

DATE	NAME AND ADDRESS OF LENDING INSTITUTION	GUARANTOR(S) IF ANY	AMOUNT
13. TOTAL LOANS DURING REPORTING PERIOD			\$

### IMPORTANT

The limits on campaign contributions do not apply to loans or contributions made by a candidate from his or her own personal funds to the campaign or to personal loans made by financial institutions to the candidate and applied to his or her campaign. Any loans made by a candidate to his or her campaign and any loans made by a financial institution to a candidate and applied to his or her campaign shall be reported in Section 12.

If a candidate desires to use or raise campaign funds to repay himself or herself for personal funds which he or she contributed to the campaign, then he or she would need to report those personal funds as a loan in Section 12.

If a candidate does not desire to use or raise campaign funds to repay himself or herself for personal funds which he or she contributed to the campaign, then those personal funds would not be reported in Section 12. Instead, they would be reported as a campaign contribution either in Section 16 or on line 18, depending upon the amount.

If a candidate has unpaid loans at the end of the primary, runoff, special, or general election, the source, description and amount of each such loan should be itemized in Section 29. Candidates ending their campaign in debt are permitted to raise funds to retire the debt subject to the restrictions contained in Ark. Code Ann. § 7-6-219.

#### 14. NONMONEY CONTRIBUTIONS

Does not include volunteer services by individuals

Date of receipt	Full Name and Address of Contributor	Description of nonmoney item	Value of nonmoney item	Cumulative Total From This Contributor
15. TOTAL NONMONEY CONTRIBUTIONS				

#### **IMPORTANT**

In addition to monetary contributions, candidates are required to report the receipt of any nonmonetary ("in-kind") contributions. A candidate receives an in-kind contribution whenever a contributor provides him with an item or service without charge or for a charge that is less than the fair market value of the item or service in question.

The value of an in-kind contribution is the difference between the fair market value and the amount charged. In-kind contributions are addressed in greater detail in Sections 205 and 206 of the Commission's Rules on Campaign Finance & Disclosure.

## 16. ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

*Please Type or Print  
(Use copies of this page as needed)*

Date	Full Name and Mailing Address of Contributor	Place Of Business Employer/Occupation	Amount of Contribution	Cumulative Total From This Contributor
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
<b>Subtotal of Contributions This Page</b>				

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISED 08/2015

## ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please Type or Print

Date	Full Name and Mailing Address of Contributor	Place Of Business Employer/Occupation	Amount of Contribution	Cumulative Total From This Contributor
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
<b>17. TOTAL ITEMIZED MONETARY CONTRIBUTIONS OVER \$50</b>				
<b>18. TOTAL NONITEMIZED MONETARY CONTRIBUTIONS</b>				
<b>19. TOTAL MONETARY CONTRIBUTIONS THIS REPORT</b> (includes totals from lines 17 and 18)				

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISED 08/2015

*Please Type or Print*

## 21. TOTAL CAMPAIGN EXPENDITURES

(Includes any person you paid to work on your campaign, does not have to be full-time worker)

### 23. TOTAL PAID CAMPAIGN WORKERS

## 24. ITEMIZED CAMPAIGN EXPENDITURES OVER \$100

Please Type or Print  
(Use copies of this page as needed)

[illegible]

**NOTE: Expenditures Reflected on Lines 25, 26 and 27 Should Be Totaled by Category in Section 20**



Please Type or Print  
Use additional pages if necessary

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

**INSTRUCTIONS FOR COMPLETING THE  
CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT  
COUNTY, MUNICIPAL AND SCHOOL BOARD CANDIDATES**

**SECTION 1** - Indicate general candidate information and title of office sought. If applicable, include information concerning the candidate's campaign committee. Also, if you are amending a report, the appropriate box at the top of the page should be checked. The law requires that the report be signed under penalty of perjury. The place for the notarized signature is at the bottom of the front page of the report.

<p><b>NOTE:</b> County, Municipal and School Board candidates are required to file a copy of this report with the County Clerk of the county in which the election is held.</p>
---

**SECTION 2** - Check the box for the type of election and write in the year in which the election will be held.

**SECTION 3** - Check the appropriate box to indicate which type of report you are completing. Please note each type of report included here. Also, please complete the blanks indicating the dates covered by this report. It is noted that, when filing a final report, a candidate must indicate the method in which surplus funds are disposed. When a candidate's campaign has ended, the final report is required to indicate which option under Ark. Code Ann. § 7-6-203(h) was used to dispose of any surplus funds and the amount of such funds disposed of by the candidate. In addition, the amount of funds retained by the candidate as carryover funds is also required to be disclosed. However, if the candidate's campaign has not ended, disposal of campaign funds is not required and the candidate may carry forward any remaining campaign funds to the general primary election, general election, or general runoff election for that same office.

**LINE 4** - This line, along with lines 5-10, contains SUMMARY information regarding campaign finance activity during the reporting period and cumulatively for the election. Line 4 reflects the balance of campaign funds as of the beginning of the reporting period which should be the same as the ending balance on your last report (found on line 9 of your last report). Your report will normally reflect a positive balance indicating the amount of funds on hand. However, a report may reflect a debt if prior expenditures have exceeded the amount of contributions received.

**LINE 5** - This line reflects the amount of interest earned by your campaign account. Interest earned is not treated as a contribution for reporting purposes, but is considered in calculating the balance of campaign funds at the close of the reporting period. In the first column ("For Reporting Period") you list the amount of interest earned since the last reporting period. In the second column ("Cumulative Total"), you list the cumulative total of all interest earned by your campaign account for the election thus far.

**LINE 6** - This line reflects the total amount of loans made by you from your own personal funds to your campaign, or personal loans made by financial institutions to you and applied to your campaign. In the first column ("For Reporting Period") you list the amount of loans which you received during the reporting period. This figure can be found on line 13 and should be entered

on line 6. In the second column ("Cumulative Total") you should enter the total amount of all loans to your campaign to date, which should be calculated by adding the figure reported in the first column of this report to the figure reported in the second column of the last report.

**LINE 7** - This line reflects the total amount of monetary contributions for your campaign. In the first column ("For Reporting Period") you list the amount of contributions, itemized and nonitemized, you received during this reporting period.<sup>1</sup> This figure can be found on line 19 and should be entered on line 7. In the second column ("Cumulative Total") you should enter the total amount of all contributions to your campaign to date, which should be calculated by adding the figure reported in the first column of this report to the figure reported in the second column of the last report. Non-money or "in-kind" contributions, as reflected on line 15, are not included in the figure for line 7.

**LINE 8** - This line reflects the total amount of expenditures made by your campaign. In the first column ("For Reporting Period") you list the amount of expenditures, itemized and nonitemized, you made during this reporting period. This figure can be found on line 28 and should be entered on line 8. In the second column ("Cumulative Total") you should list the total amount of all expenditures to your campaign to date, which should be calculated by adding the figure reported in the first column of this report to the figure reported in the second column in the last report.

**LINE 9** - This line should reflect the balance of your campaign funds or "cash on hand" at the close of the reporting period. This figure is calculated by adding the amounts on lines 4, 5, 6 and 7 and subtracting from that total the figure listed on line 8.

**LINE 10** - When filing a final report for a particular election, the candidate should indicate either the balance of funds remaining after the payment of all debts or the amount of all debts (including loans) which remain unpaid. Line 10 of a candidate's final report should either reflect "cash on hand" or debts (but not both).

**LINE 11** - This line should be checked only if you have not received any contributions, made any expenditures, or otherwise had any campaign financial activity during this particular reporting period. If this is true, you should check this box, and complete only the items on page 1 of the Contribution and Expenditure Report. When filing a "no activity" report, the candidate should only sign and file the front page of the report.

**SECTION 12** - The limit on campaign contributions does not apply to loans or contributions made by a candidate from his or her own personal funds to the campaign or to personal loans made by financial institutions to the candidate and applied to his campaign. Any personal loan made by a financial institution to a candidate and applied to his campaign should be reported in Section 12.

If a candidate desires to use or raise campaign funds to repay himself for personal funds which he contributed to the campaign, then he would need to report those personal funds as a loan in Section 12.

---

<sup>1</sup> If contributions for a general election are received during the reporting period for the primary election, those contributions should be reported in a separate but concurrent report designated for the general election. For more information on this subject, please see Ethics Commission Advisory Opinion No. 97-EC-015.

If a candidate does not desire to use or raise campaign funds to repay himself for personal funds which he contributed to the campaign, then those personal funds would not be reported in Section 12. Instead, they would be reported as a campaign contribution either in Section 16 or on line 18, depending upon the amount.

If a candidate has unpaid loans at the end of a primary, runoff, special, or general election, the source, description and amount of each such loan should be itemized in Section 29. Candidates ending their campaign in debt are permitted to raise funds to retire the debt subject to the restrictions contained in Ark. Code Ann. § 7-6-219.

**LINE 13** - This line reflects the total amount of loans you received during this reporting period.

**SECTION 14** - This section is for itemization of non-money or "in-kind" contributions. Contributions to candidates may not exceed the maximum amount per election from a contributor. The campaign contribution limit applies to "in-kind" contributions as well. Examples of non-money or "in-kind" contributions are donations of equipment, furniture, office space, advertising or some other item of value. The fair market value should be listed. Noncompensated, nonreimbursed, volunteer personal services or travel are **not** considered "in-kind" contributions.

**LINE 15** - This line reflects the total amount of non-money or "in-kind" contributions listed in Section 14.

**SECTION 16** - This section is for itemization of money or cash contributions over \$50. Contributions to candidates for county, municipal, or school board office may not exceed the maximum amount per election from any contributor. The limit applies to all contributions. The law requires the candidate to list each **contributor**, his/her **address**, **place of business**, **employer**, **occupation** and the **date** and **amount** of each contribution during this reporting period. The candidate must also designate for **which election** the contribution was received by checking the applicable box in column 4. If additional pages are necessary to report all of the contributions received, this page of the Contribution and Expenditure Report may be photocopied and attached to the report when the report is filed. (NOTE: When a person having carryover funds from a prior campaign files as a candidate for public office, such carryover funds must be transferred to the person's active campaign fund. Although technically not a contribution, the transfer of such funds should be reported in this section.)

**LINE 17** - This line should reflect the total of the itemized contributions listed in Section 16.

**LINE 18** - Disclose the total amount of monetary contributions of \$50 or less received during this reporting period. A monetary contribution of \$50 or less from any contributor need not be itemized, but is considered a contribution for the particular contributor and is credited against the maximum amount the contributor may contribute to the campaign. Once a contributor exceeds the \$50 threshold for a particular election, all subsequent contributions must be itemized.

**LINE 19** - This line reflects the totals from lines 17 (itemized contributions) and 18 (nonitemized contributions). While a non-money contribution is considered as a contribution from the contributor and applies toward that contributor's maximum limit, non-money

contributions are not included in the amount entered on this line. Line 19 reflects the total amount of monetary contributions and is used in computing the balance of campaign funds at the close of the reporting period. This figure should also be entered on line 7 on the front page of the report.

**SECTION 20** - This section requires disclosure by category of all expenditures made during the reporting period. The expenditures disclosed here include both the itemized expenditures, listed in Section 24, and the non-itemized expenditures which comprise the total found on line 26. The total amount for each category should be included. If an expenditure is made which does not fall within one of the listed categories, the candidate should include and list the expenditure as "Other" and provide a description in the appropriate space. Expenditures for salaries and wages of campaign workers should be totaled and listed in the applicable category here. Additionally, expenditures for any paid campaign workers must be itemized in Section 22.

**LINE 21** - This line should reflect the total of the expenditures as categorized in Section 20. The total should reflect the combination of the figures on lines 25, 26 and 27 and should be the same as the figure on line 28.

**SECTION 22** - The law also requires each candidate to list **any person paid to work on a candidate's campaign**. This is true whether the person is a full-time employee or a part-time employee and whether the amount paid exceeds \$100 or not. The candidate should list the name of each person paid to work on the campaign along with the amount paid. Payments to campaign workers reported in this section should not be repeated in section 24 or on line 26.

**LINE 23** - This line should reflect the total amount paid during the reporting period for all campaign workers. This figure should also be entered on line 27.

**SECTION 24** - This section is for itemization of expenditures over \$100 made during the reporting period. For each expenditure over \$100, the candidate must disclose the **date**, the **amount**, and the **description** of the expenditure made during this reporting period, and the name and address of any person, including the candidate, to whom the expenditure was made. If additional pages are necessary to report all of the expenditures made, this page of the Contribution and Expenditure Report may be photocopied and attached to the report when the report is filed.

**LINE 25** - This line should reflect the total of the itemized expenditures listed in Section 24.

**LINE 26** - Disclose the total amount of expenditures of \$100 or less made during this reporting period. An expenditure of \$100 or less need not be itemized, but must be included in the total amount of expenditures made during the reporting period.

**LINE 27** - This line should reflect the total amount paid during the reporting period for all campaign workers. This figure should be the same as the one entered on line 23.

**LINE 28** - This line reflects the totals from lines 25 (itemized expenditures), 26 (nonitemized expenditures) and 27 (paid campaign workers). This figure should also be the same as the one entered on line 8 on the front page of the report and on line 21.

**SECTION 29** - This section should only be completed if the candidate has outstanding debts (including unpaid loans) after an election. The amount entered on line 30 should also be entered on line 10 of the report. If the campaign has ended with a debt, the candidate must detail each item which constitutes a part of the total campaign debt. For each creditor, the candidate should list the name and address of the creditor, the description of the debt (e.g. "consultant services"), and the balance of the debt as of the time of filing the final report. If additional pages are necessary to report all of the campaign debt, this page of the Contribution and Expenditure Report may be photocopied and attached to the report when the report is filed.

**LINE 30** - This line reflects the total of all debt reflected in Section 29. This figure should also be the same as the one entered on line 9 of the front page of the report.



# CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT

Only for Candidates for State and District Candidates-Only Office (Including District Judge)

To be filed with:  
Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

## DRAFT

☐ Check if this report is an amendment

For assistance in completing  
this form contact:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203-1917  
Phone (501) 324-9600  
Toll Free (800) 422-7773

THIS FORM CANNOT BE USED FOR THE FINAL REPORT - ALL INFORMATION MUST BE COMPLETE  
THIS REPORT MUST BE FILED WITH THE SECRETARY OF STATE

1. Name of Candidate

Address

City, State and Zip

Phone Number:

Office Sought

District Number:

Does the candidate have a campaign committee? ( ) Yes ( ) No  
If yes, complete the following:

(Secretary of State File Stamp)

Name of Chairperson/Treasurer:

Mailing Address:

Phone Number:

2. Type of Election: (check one only) Year of Election: \_\_\_\_\_  
☐ Primary ☐ Primary Runoff ☐ General ☐ General Runoff ☐ Special

3. Type of Report: (check one only) This report covers what period? ( / / ) through ( / / )

<input type="checkbox"/> 10 Day Preelection	<input type="checkbox"/> January Monthly	<input type="checkbox"/> June Monthly	<input type="checkbox"/> November Monthly
<input type="checkbox"/> First Quarter (due April 15)	<input type="checkbox"/> February Monthly	<input type="checkbox"/> July Monthly	<input type="checkbox"/> December Monthly
<input type="checkbox"/> Second Quarter (due July 15)	<input type="checkbox"/> March Monthly	<input type="checkbox"/> August Monthly	
<input type="checkbox"/> Third Quarter (due October 15)	<input type="checkbox"/> April Monthly	<input type="checkbox"/> September Monthly	
<input type="checkbox"/> Fourth Quarter (due January 15)	<input type="checkbox"/> May Monthly	<input type="checkbox"/> October Monthly	

### SUMMARY

### FOR REPORTING PERIOD

### CUMULATIVE TOTAL

4. Balance of campaign funds at beginning of reporting period		
5. Interest (if any) earned on campaign account		
6. Total Loans (enter total from line 12)		
7. Total Monetary Contributions (enter total from line 18)		
8. Total Expenditures (enter total from line 27)		
9. Balance of campaign funds at close of reporting period		

10. ( ) NO ACTIVITY (check if you have not received contributions, loans, or made expenditures during this reporting period)

I certify to the best of my knowledge and belief that the information disclosed in this report is a complete, true, and accurate financial statement of my (the candidate's) campaign contributions and expenditures.

Signature of Candidate or Candidate's Representative

Sworn to and subscribed before me, a Notary Public, in and for \_\_\_\_\_, County, Arkansas, on this \_\_\_\_\_ day of \_\_\_\_\_.

(Legible Notary Seal)

Notary Signature

My Commission Expires: \_\_\_\_\_

Note: If faxed, notary seal must be legible (i.e., either stamped or raised and inked) and the original must follow within ten (10) days.

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISED 08/2015

## 11. LOAN INFORMATION

Please Type or Print  
Do not list loans previously reported

DATE	NAME AND ADDRESS OF LENDING INSTITUTION	GUARANTOR(S) IF ANY	AMOUNT
12. TOTAL LOANS DURING REPORTING PERIOD			\$

### IMPORTANT

The limits on campaign contributions do not apply to loans or contributions made by a candidate from his or her own personal funds to the campaign, or to personal loans made by financial institutions to the candidate and applied to his or her campaign. Any loans made by a candidate to his or her campaign and any loans made by a financial institution to a candidate and applied to his or her campaign shall be reported in Section 11.

If a candidate desires to use or raise campaign funds to repay himself or herself for personal funds that he or she contributed to the campaign, then he or she would need to report those personal funds as a loan in Section 11.

If a candidate does not desire to use or raise campaign funds to repay himself or herself for personal funds that he or she contributed to the campaign, then those personal funds would not be reported in Section 11. Instead, they would be reported as a campaign contribution either in Section 15 or on line 17, depending upon the amount.



### 13. NONMONEY CONTRIBUTIONS

(Does not include volunteer services by individuals)

Date of receipt	Full Name and Address of Contributor	Description of nonmoney item	Value of nonmoney item	Cumulative Total From This Contributor
14. TOTAL NONMONEY CONTRIBUTIONS				

### IMPORTANT

In addition to monetary contributions, candidates are required to report the receipt of any nonmonetary ("in-kind") contributions. A candidate receives an in-kind contribution whenever a contributor provides him with an item or service without charge or for a charge which is less than the fair market value of the item or service in question.

The value of an in-kind contribution is the difference between the fair market value and the amount charged. In-kind contributions are addressed in greater detail in Sections 205 and 206 of the Commission's Rules on Campaign Finance & Disclosure.

# 15. ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please Type or Print  
(Use Additional Copies Of This Page If Necessary)

Date	Full Name And Mailing Address Of Contributor	Place Of Business/ Employer/Occupation	Amount Of Contribution	Cumulative Total From This Contributor
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
Subtotal of Contributions This Page				

## ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please Type or Print

Date	Full Name And Mailing Address Of Contributor	Place Of Business/ Employer/Occupation	Amount Of Contribution	Cumulative Total From This Contributor
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
<b>16. TOTAL ITEMIZED MONETARY CONTRIBUTIONS OVER \$50</b>				
<b>17. TOTAL NONITEMIZED MONETARY CONTRIBUTIONS</b>				
<b>18. TOTAL MONETARY CONTRIBUTIONS THIS REPORT</b> (includes totals from lines 16 and 17)				

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISED 08/2015

## Please Type or Print

20. TOTAL CAMPAIGN EXPENDITURES

(Include any person you paid to work on your campaign, does not have to be full-time worker)

22. TOTAL AMOUNT PAID CAMPAIGN WORKERS

Please Type or Print  
(Use additional copies of this page if necessary)

**Note: All Expenditures Reflected on Lines 24, 25, and 26 Should Be Totaled by Category In Section 19**

**INSTRUCTIONS FOR COMPLETING THE  
CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT**

**ONLY FOR CANDIDATES FOR STATE AND DISTRICT CANDIDATES OFFICE  
(INCLUDING DISTRICT JUDGE)**

**SECTION 1** - Indicate general candidate information and title of office sought. Include, if applicable, information concerning the candidate's campaign committee. Also, if you are amending a report, the appropriate box at the top of the page should be checked. The law requires that the report be signed under penalty of perjury. The place for the notarized signature is at the bottom of the front page of the report.

**NOTE:** Candidates for State and District candidates office (including District Judge) are required to file this report with the Secretary of State.

**SECTION 2** - Check the box for the type of election and write in the year in which the election will be held.

**SECTION 3** - Check the appropriate box to indicate which report you are completing and fill in the dates covered by the report. Please note the various types of reports included. If you are completing a quarterly report, you should check the appropriate box in the first column. If it is a monthly report, columns 2-4 list each month. In addition, there is a box for the Preelection report. Check this box if it is appropriate.

**LINE 4** - This line, along with lines 5-10, contains SUMMARY information regarding campaign finance activity during the reporting period and cumulatively for the election. Line 4 reflects the balance of campaign funds as of the beginning of the reporting period which should be the same as the ending balance on your last report (found on line 9 of your last report). Your report will normally reflect a positive balance indicating the amount of funds on hand. However, a report may reflect a debt if the prior expenditures have exceeded the amount of contributions received.

**LINE 5** - This line reflects the amount of interest earned by your campaign account. Interest earned is not treated as a contribution for reporting purposes, but is considered in calculating the balance of campaign funds at the close of the reporting period. In the first column ("For Reporting Period") you list the amount of interest earned since the last reporting period. In the second column ("Cumulative Total"), you list the cumulative total of all interest earned by your campaign account for the election thus far.

**LINE 6** - This line reflects the amount of loans made by you from your own personal funds to your campaign, or personal loans made by financial institutions to you and applied to your campaign. In the first column ("For Reporting Period") you list the amount of loans which you received during the reporting period. This figure can be found on line 12 and should be entered on line 6. In the second column ("Cumulative Total") you should enter the total amount of all loans to your campaign to date, which should be calculated by adding the figure reported in the first column of this report to the figure reported in the second column of the last report.

**LINE 7** - This line reflects the total amount of monetary contributions to your campaign. In the first column ("For Reporting Period") you list the amount of contributions, itemized and nonitemized, which you received during this reporting period. This figure can be found on line 18 and should be entered on line 7.<sup>1</sup> In the second column ("Cumulative Total") you should enter the total amount of all contributions to your campaign to date, which should be calculated by adding the figure reported in the first column of this report to the figure reported in the second column of the last report. Non-money or "in-kind" contributions, as reflected on line 14, are not included in the figure for line 7.

**LINE 8** - This line reflects the total amount of expenditures made by your campaign. In the first column ("For Reporting Period") you list the amount of expenditures, itemized and nonitemized, you made during this reporting period. This figure can be found on line 27 and should be entered on line 8. In the second column ("Cumulative Total") you should list the total amount of all expenditures made by your campaign to date, which should be calculated by adding the figure reported in the first column of this report to the figure reported in the second column in the last report.

**LINE 9** - This line should reflect the balance of your campaign funds or "cash on hand" at the close of the reporting period. This figure is calculated by adding the amounts on lines 4, 5, 6, and 7 and subtracting from that total the figure entered on line 8.

**LINE 10** - This line should be checked only if you have not received any contributions or loans, made any expenditures, or otherwise had any campaign financial activity during this particular reporting period. If this is true, you should check this box, and complete only the items on page 1 of the Contribution and Expenditure Report. When filing a "no activity" report, the candidate should only sign and file the front page of the report.

**SECTION 11** - The limit on campaign contributions does not apply to loans or contributions made by a candidate from his or her own personal funds to the campaign or to personal loans made by financial institutions to the candidate and applied to his or her campaign. Any personal loan made by a financial institution to a candidate and applied to his or her campaign shall be reported in Section 11 and reported on line 6.

If a candidate desires to use or raise campaign funds to repay himself for personal funds which he contributed to the campaign, then he would need to report those personal funds as a loan in this section (Section 11).

If a candidate does not desire to use or raise campaign funds to repay himself for personal funds which he contributed to the campaign, then those personal funds would not be reported in Section 11. Instead, they would be reported as a campaign contribution either in Section 15 or on line 17, depending upon the amount.

---

<sup>1</sup> If contributions for a general election are received during the reporting period for the primary election, those contributions should be reported in a separate but concurrent report designated for the general election. For more information on this subject, please see Ethics Commission Advisory Opinion No. 97-EC-015.



**LINE 12** - This line reflects the total amount of loans you received during this reporting period.

**SECTION 13** - This section is for itemization of non-money or "in-kind" contributions. Contributions to candidates may not exceed the maximum amount per election from any contributor. The campaign contribution limit applies to "in-kind" contributions as well. Examples of non-money or "in-kind" contributions are donations of equipment, furniture, office space, advertising or some other item of value. The fair market value should be listed. Noncompensated, nonreimbursed, volunteer personal services or travel are **not** considered "in-kind" contributions.

**LINE 14** - This line reflects the total amount of non-money or "in-kind" contributions listed in Section 13.

**SECTION 15** - This section is for itemization of money or cash contributions over \$50. Contributions to candidates for state or district office may not exceed the maximum amount per election from any contributor. The limit applies to all contributions. The law requires the candidate to list each **contributor, his or her address, place of business, employer, occupation** and the **date and amount** of each contribution during this reporting period. The candidate must also designate for **which election** the contribution was received by checking the applicable box in column 4. If additional pages are necessary to report all of the contributions received, this page of the Contribution and Expenditure Report may be photocopied and attached to the report when the report is filed. (NOTE: When a person having carryover funds from a prior campaign files as a candidate for public office, such carryover funds must be transferred to the person's active campaign fund. Although technically not a contribution, the transfer of such funds should be reported in this section.)

**LINE 16** - This line should reflect the total of the itemized contributions listed in Section 15.

**LINE 17** - Disclose the total amount of monetary contributions of \$50 or less received during this reporting period. A monetary contribution of \$50 or less from any contributor need not be itemized, but is considered a contribution for the particular contributor and is credited against the maximum amount the contributor may contribute to the campaign. Once a contributor exceeds the \$50 threshold, for a particular election, all subsequent contributions must be itemized.

**LINE 18** - This line represents the totals from lines 16 (itemized monetary contributions) and 17 (nonitemized monetary contributions). While a non-money contribution is considered as a contribution from the contributor and applies toward that contributor's maximum limit, non-money contributions need not be included in this line. Line 18 reflects the total amount of monetary contributions and is used in computing the balance of campaign funds at the close of the reporting period. This figure should also be entered on line 7 on the front page of the report.

**SECTION 19** - This section requires disclosure by category of all expenditures made during the reporting period. The expenditures disclosed here include both the itemized expenditures totaled on line 24 and the non-itemized expenditures totaled on line 25. The total amount for each



category should be included. If an expenditure is made which does not fall within one of the listed categories, the candidate should include and list the expenditure as "Other" and provide a description in the appropriate space. Expenditures for salaries and wages of campaign workers should be totaled and listed in the applicable category here. Additionally, expenditures for any paid campaign workers must be itemized in Section 21.

**LINE 20** - This line should reflect the total of the expenditures categorized in Section 19. The total should reflect the sum of the amounts entered on lines 24, 25 and 26 and should be the same as the amount entered on line 27.

**SECTION 21** - The law also requires each candidate to list **any person paid to work on a candidate's campaign**. This is true whether the person is a full-time employee or a part-time employee and whether the amount paid exceeds \$100 or not. The candidate should list the name of each person paid to work on the campaign during the reporting period along with the amount paid. Payments to campaign workers reported in this section should not be repeated in Section 23 or on line 25.

**LINE 22** - This line should reflect the total amount paid during the reporting period for all campaign workers. This figure should also be entered on line 26.

**SECTION 23** - This section is for itemization of expenditures over \$100 made during the reporting period. For each expenditure over \$100, the candidate must disclose the **date**, the **amount** and a **description** of the expenditure made during this reporting period and the name and address of any person, including the candidate, to whom the expenditure was made. If additional pages are necessary to report all of the expenditures made, this page of the Contribution and Expenditure Report may be photocopied and attached to the report when the report is filed.

**LINE 24** - This line should reflect the total of the itemized expenditures listed in Section 23.

**LINE 25** - Disclose the total amount of expenditures of \$100 or less made during this reporting period. An expenditure of \$100 or less need not be itemized, but must be included in the total amount of expenditures made during the reporting period.

**LINE 26** - This line reflects the total amount paid during the reporting period for all campaign workers. This figure should be the same as the one entered on line 22.

**LINE 27** - This line reflects the sum of the amounts entered on lines 24 (itemized expenditures), 25 (nonitemized expenditures) and 26 (paid campaign workers). This figure should be the same as the one entered on line 8 on the front page of the report and on line 20.

**FINAL CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT**  
**Only for Candidates for State and District Candidates Office (Including District Judge) Only**

To be filed with:  
**Mark Martin, Secretary of State**  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

Year of Election \_\_\_\_\_

☐ Check if this report is an amendment

**DRAFT**

For assistance in completing  
this form contact:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203-1917  
Phone (501) 324-9600  
Toll Free (800) 422-7773

**ALL INFORMATION IN THIS REPORT MUST BE COMPLETE  
THIS REPORT MUST BE FILED WITH THE SECRETARY OF STATE**

**1. Name of Candidate**

Address \_\_\_\_\_

City, State and Zip \_\_\_\_\_

Phone Number \_\_\_\_\_

Office Sought \_\_\_\_\_

District Number: \_\_\_\_\_

Does the candidate have a campaign committee? ☐ Yes ☐ No  
If yes, complete the following:

(Secretary of State File Stamp)

Name of Chairperson/Treasurer: \_\_\_\_\_

Mailing Address \_\_\_\_\_

Phone Number \_\_\_\_\_

**2. Type of Election:** (check one only)

☐ Primary ☐ Primary Runoff ☐ General ☐ General Runoff ☐ Special  
This report covers what period? ( / / ) through ( / / )

**3. Method by which surplus campaign funds were disposed:\***

- ☐ Treasurer of State (for benefit of General Revenue Fund Account of the State Apportionment Fund)  
☐ A political party as defined in Ark. Code Ann. § 7-1-101 or a political party caucus of the Arkansas General Assembly, the Senate, or the House of Representatives\*\*  
☐ Contributors to the candidate's campaign  
☐ A nonprofit organization that is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code\*\*  
☐ Cities of the first class, cities of the second class, or incorporated towns\*\*

\*If the campaign has not ended, disposal of campaign funds is not required and the candidate may carry forward any remaining campaign funds to the next election in the cycle for that same office.

\*\* Pursuant to Rule 4.4(c) of the Code of Judicial Conduct, this method is not available to a judicial candidate's campaign committee.

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTAL
4. Balance of campaign funds at beginning of reporting period		
5. Interest (if any) earned on campaign account		
6. Total Loans (enter total from line 12)		
7. Total Monetary Contributions (enter total from line 18)		
8. Total Expenditures (enter total from line 27)		
9. Carryover Funds or Debt at close of election (use brackets to indicate debt)		

**10. ( ) NO ACTIVITY** (check if you have not received contributions, loans, or made expenditures during this reporting period)

I certify to the best of my knowledge and belief that the information disclosed in this report is a complete, true, and accurate financial statement of my (the candidate's) campaign contributions and expenditures.

Signature of Candidate or Candidate's Representative \_\_\_\_\_

Sworn to and subscribed before me, a Notary Public, in and for \_\_\_\_\_, County, Arkansas, on this \_\_\_\_\_ day of \_\_\_\_\_.

(Legible Notary Seal)

Notary Signature \_\_\_\_\_  
My Commission Expires: \_\_\_\_\_

**Note: If faxed, notary seal must be legible (i.e., either stamped or raised and inked) and the original must follow within ten (10) days.**

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISED 08/2015

## 11. LOAN INFORMATION

Please Type or Print  
Do not list loans previously reported

DATE	NAME AND ADDRESS OF LENDING INSTITUTION	GUARANTOR(S), IF ANY	AMOUNT OF LOAN
12. TOTAL LOANS DURING REPORTING PERIOD			\$

### IMPORTANT

The limits on campaign contributions do not apply to loans or contributions made by a candidate from his or her own personal funds to the campaign or to personal loans made by financial institutions to the candidate and applied to his or her campaign. Any loans made by a candidate to his or her campaign and any loans made by a financial institution to a candidate and applied to his or her campaign shall be reported in Section 11.

If a candidate desires to use or raise campaign funds to repay himself or herself for personal funds that he or she contributed to the campaign, then he or she would need to report those personal funds as a loan in Section 11.

If a candidate does not desire to use or raise campaign funds to repay himself or herself for personal funds that he or she contributed to the campaign, then those personal funds would not be reported in Section 11. Instead, they would be reported as a campaign contribution either in Section 15 or on line 17, depending upon the amount.

If a candidate has unpaid loans at the time of the primary, runoff or general election, the source, description and amount of each such loan should be itemized in Section 28. A candidate ending his or her campaign in debt is permitted to raise funds to retire the debt subject to the restrictions contained in Ark. Code Ann. § 7-6-219.

### 13. NONMONEY CONTRIBUTIONS

(Does not include volunteer services by individuals)

Date of Receipt	Full Name and Address of Contributor	Description of nonmoney item	Value of nonmoney item	Cumulative Total From This Contributor
14. TOTAL NONMONEY CONTRIBUTIONS				

### IMPORTANT

In addition to monetary contributions, candidates are required to report the receipt of any nonmonetary ("in-kind") contributions. A candidate receives an in-kind contribution whenever a contributor provides him with an item or service without charge or for a charge which is less than the fair market value of the item or service in question.

The value of an in-kind contribution is the difference between the fair market value and the amount charged. In-kind contributions are addressed in greater detail in Sections 205 and 206 of the Commission's Rules on Campaign Finance & Disclosure.

# 15. ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please Type or Print  
(Use copies of this page as needed)

Date	Full Name and Mailing Address of Contributor	Place of Business/ Employer/Occupation	Amount of Contribution	Cumulative Total From This Contributor
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
Subtotal of Contributions This Page				

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISED 08/2015

## ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please Type or Print

Date	Full Name and Mailing Address of Contributor	Place of Business/ Employer/Occupation	Amount of Contribution	Cumulative Total From This Contributor
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
16. TOTAL ITEMIZED MONETARY CONTRIBUTIONS OVER \$50				
17. TOTAL NONITEMIZED MONETARY CONTRIBUTIONS				
18. TOTAL MONETARY CONTRIBUTIONS THIS REPORT (includes lines 16 and 17)				

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISED 08/2015

## Please Type or Print

## 21. PAID CAMPAIGN WORKERS

NAME OF WORKER

NAME OF WORKER

**AMOUNT  
PAID**

<b>22. TOTAL AMOUNT PAID CAMPAIGN WORKERS</b>	<b>\$</b>
---	-----------

REVISÉD 08/2015

### 23. ITEMIZED CAMPAIGN EXPENDITURES OVER \$100

*Please Type or Print*

(Use copies of this page as needed)

[illegible]

**NOTE: Expenditures Reflected on Lines 24, 25 and 26 Should Be Totaled by Category in Section 19**



**(INCLUDING UNPAID LOANS)**

**Please Type or Print**  
*Use additional pages if necessary*

## 29. TOTAL DEBT

**DRAFT**

**INSTRUCTIONS FOR COMPLETING THE  
FINAL CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT**

**ONLY FOR CANDIDATES FOR STATE AND DISTRICT CANDIDATES OFFICE  
(INCLUDING DISTRICT JUDGE)**

**SECTION 1** - Indicate general candidate information and title of office sought. If applicable, include information concerning the candidate's campaign committee. The candidate should indicate the year of the election on the top of the report. Also, if you are completing an amended final report, the appropriate box at the top of the page should be checked. The law requires that the report be signed under penalty of perjury. The place for the notarized signature is at the bottom of the front page of the report.

**NOTE:** Candidates for State and District candidates office (including District Judge) are required to file this report with the Secretary of State.

**SECTION 2** - Check the box for the election to which this final report applies (*i.e.*, primary, primary runoff, general, general runoff, or special election) and indicate the time period covered by this final report.

**SECTION 3** - This section only applies to candidates whose campaigns have ended with surplus funds remaining. For example, candidates advancing from the primary election to the general election are not required to dispose of surplus funds until after the general election.

This section discloses the method used to dispose surplus campaign funds. "Surplus campaign funds" are defined as the balance of campaign funds over expenses incurred as of the day of the election except for carryover funds and any funds required to repay loans made by the candidate from his or her personal funds to the campaign or to repay loans made by financial institutions to the candidate and applied to his or her campaign.

"Carryover funds" refers to the amount of campaign funds retained from the last election by the candidate for future use but not to exceed the annual salary for the office sought. The amount of carryover funds retained, if any, are to be reflected on line 9 of this report.

"Surplus campaign funds" and "carryover funds" do not include campaign signs, campaign literature, and other printed materials that were: (i) purchased by the campaign; (ii) reported on the appropriate contribution and expenditure report for the campaign at the time of the purchase; and (iii) retained for use in a future campaign by the same candidate.

The law requires candidates to dispose of surplus campaign funds within thirty (30) days following the end of the month in which the election is held and to disclose how the surplus campaign funds were disbursed. The funds may be disbursed in any one or more of the five (5) methods listed on this report. The candidate should check each box which is applicable. Pursuant to Rule 4.4(c) of the Code of Judicial Conduct, a judicial candidate's campaign

committee may only dispose of surplus funds by returning them to contributors or turning them over to the State Treasurer as provided by law.

**LINE 4** - This line, along with lines 5-10, contains SUMMARY information regarding campaign finance activity during the reporting period and cumulatively for the election. Line 4 reflects the balance of campaign funds as of the beginning of the reporting period which should be the same as the ending balance on your last report (found on line 9 of your last report). Your report will normally reflect a positive balance indicating the amount of funds on hand. However, a report may reflect a debt if the prior expenditures have exceeded the amount of contributions received.

**LINE 5** - This line reflects the amount of interest earned by your campaign account. Interest earned is not treated as a contribution for reporting purposes, but is considered in calculating the balance of campaign funds at the close of the reporting period. In the first column ("For Reporting Period") you list the amount of interest earned since the last reporting period. In the second column ("Cumulative Total"), you list the cumulative total of all interest earned by your campaign account for the election thus far.

**LINE 6** - This line reflects the total amount of loans made by you from your own personal funds to your campaign, or personal loans made by financial institutions to you and applied to your campaign. In the first column ("For Reporting Period") you list the amount of loans which you received during the reporting period. This figure can be found on line 12 and should be entered on line 6. In the second column ("Cumulative Total") you should enter the total amount of all loans to your campaign to date, which should be calculated by adding the figure reported in the first column of this report to the figure reported in the second column of the last report.

**LINE 7** - This line reflects the total amount of monetary contributions to your campaign. In the first column ("For Reporting Period") you list the amount of contributions, itemized and nonitemized, which you received during this reporting period. This figure can be found on line 18 of the final report and should be entered on line 7. In the second column ("Cumulative Total") you should enter the total amount of all contributions to your campaign to date, which should be calculated by adding the figure reported in the first column of this report to the figure reported in the second column of the last report. Non-money or "in-kind" contributions, as reflected on line 14, are not included in the figure for line 7.

**LINE 8** - This line reflects the total amount of expenditures made by your campaign. In the first column ("For Reporting Period") you list the amount of expenditures, itemized and nonitemized, you made during this reporting period. This figure can be found on line 27 and should be entered on line 8. In the second column ("Cumulative Total") you should list the total amount of all expenditures made by your campaign to date, which should be calculated by adding the figure reported in the first column of this report to the figure reported in the second column in the last report.

**LINE 9** - This line reflects the status of the campaign account after all contributions and expenditures, including the disbursement of any surplus funds. If a candidate has carryover

funds remaining in his or her campaign account<sup>1</sup> for use as officeholder expenses or for future campaign purposes, the amount of the carryover funds should be indicated in the second column on line 9. If, instead of a surplus, the campaign has ended with a debt, the candidate must enter the amount of the debt in the second column on line 9. The amount noted as debt should be in brackets, *i.e.* "\$1,200". The amount of debt entered on line 9 should be the same amount reflected on line 29 and the outstanding items which make up this debt figure should be listed in Section 28.

**LINE 10** - This line should be checked only if you have not received any contributions, made any expenditures, or otherwise had any campaign financial activity during this particular reporting period. If this is true, you should check this box, and complete only the items on page 1 of the Contribution and Expenditure Report. When filing a "no activity" report, the candidate should only sign and file the front page of the report.

**SECTION 11** - The limit on campaign contributions does not apply to loans or contributions made by a candidate from his or her own personal funds to the campaign or to personal loans made by financial institutions to a candidate and applied to his or her campaign. Any personal loan made by a financial institution to a candidate and applied to his or her campaign shall be reported in Section 11.

If a candidate desires to use or raise campaign funds to repay himself for personal funds which he contributed to the campaign, then he would need to report those personal funds as a loan in this section (Section 11).

If a candidate does not desire to use or raise campaign funds to repay himself for personal funds which he contributed to the campaign, then those personal funds would not be reported in Section 11. Instead, they would be reported as a campaign contribution either in Section 15 or on line 17, depending on the amount.

If a candidate has unpaid loans at the time of the primary, runoff, special or general election, the source, description and amount of each such loan should be itemized in Section 28. A candidate ending his or her campaign in debt is permitted to raise funds to retire the debt subject to the restrictions contained in Ark. Code Ann. § 7-6-219.

**LINE 12** -- This line reflects the total amount of loans you received during this reporting period.

**SECTION 13** - This section is for itemization of non-money or "in-kind" contributions. Contributions to candidates may not exceed the maximum amount per election from any contributor. The limit applies to "in-kind" contributions as well. Examples of non-money or "in-kind" contributions are donations of equipment, furniture, office space, advertising or some other item of value. The fair market value should be listed. Noncompensated, nonreimbursed, volunteer personal services or travel are **not** considered "in-kind" contributions.

**LINE 14** -- This line reflects the total amount of non-money or "in-kind" contributions listed in

---

<sup>1</sup> See the instructions for Section 3, herein, for a definition of "carryover funds."

Section 13.

**SECTION 15** - This section is for itemization of money or cash contributions over \$50. Contributions for candidates for state or district office may not exceed the maximum amount per election from any contributor. The limit applies to all contributions. The law requires the candidate to list each **contributor, his or her address, place of business, employer, occupation** and the **date and amount** of each contribution during this reporting period. The candidate must also designate for **which election** the contribution was received by checking the applicable box in column 4. If additional pages are necessary to report all of the contributions received, this page of the Contribution and Expenditure Report may be photocopied and attached to the report when the report is filed. (NOTE: When a person having carryover funds from a prior campaign files as a candidate for public office, such carryover funds must be transferred to the person's active campaign fund. Although technically not a contribution, the transfer of such funds should be reported in this section.)

**LINE 16** - This line should reflect the total of the itemized contributions listed in Section 15.

**LINE 17** - Disclose the total amount of monetary contributions of \$50 or less received during this reporting period. A monetary contribution of \$50 or less from any contributor need not be itemized, but is considered a contribution for the particular contributor and is credited against the maximum amount the contributor may contribute to the campaign. Once a contributor exceeds the \$50 threshold for a particular election, all subsequent contributions must be itemized.

**LINE 18** - This line reflects the totals from lines 16 (itemized monetary contributions) and 17 (nonitemized monetary contributions). While a non-money contribution is considered as a contribution from the contributor and applies toward that contributor's maximum limit, non-money contributions are not entered on this line. Line 18 reflects the total amount of monetary contributions and is used in computing the balance of the amount of carryover funds or debt at the close of the reporting period. This figure should also be entered on line 7 on the front page of the report.

**SECTION 19** - This section requires disclosure by category of all expenditures made during the reporting period. The expenditures disclosed here include both the itemized expenditures totaled on line 24 and the non-itemized expenditures totaled on line 25. The total amount for each category should be included. If an expenditure is made which does not fall within one of the listed categories, the candidate should include and list the expenditure as "Other" and provide a description in the appropriate space. Expenditures for salaries and wages of campaign workers should be totaled and listed in the applicable category here. Additionally, expenditures for any paid campaign workers must be itemized in Section 21.

**LINE 20** - This line should reflect the total of the expenditures categorized in Section 19. The total should reflect the sum of the amounts entered on lines 24, 25 and 26 and should be the same as the amount entered on line 27.

**SECTION 21** - The law also requires each candidate to list **any person paid to work on a**

**candidate's campaign.** This is true whether the person is a full-time employee or a part-time employee and whether the amount paid exceeds \$100 or not. The candidate should list the name of each person paid to work on the campaign during the reporting period along with the amount paid. Payments to campaign workers reported in this section should not be repeated in Section 23 or on line 25.

**LINE 22** - This line should reflect the total amount paid during the reporting period for all campaign workers. This figure should also be entered on line 26.

**SECTION 23** - This section is for itemization of expenditures over \$100 made during the reporting period. For each expenditure over \$100, the candidate must disclose the **date**, the **amount** and a **description** of the expenditure made during this reporting period and the name and address of any person, including the candidate, to whom the expenditure was made. If additional pages are necessary to report all of the expenditures made, this page of the Contribution and Expenditure Report may be photocopied and attached to the report when the report is filed.

**LINE 24** - This line should reflect the total of the itemized expenditures listed in Section 23.

**LINE 25** - Disclose the total amount of expenditures of \$100 or less made during this reporting period. An expenditure of \$100 or less need not be itemized, but must be included in the total amount of expenditures made during the reporting period.

**LINE 26** - This line reflects the total amount paid during the reporting period for all campaign workers. This figure should be the same as the one entered on line 22.

**LINE 27** - This line reflects the sum of the amounts entered on lines 24 (itemized expenditures), 25 (nonitemized expenditures) and 26 (paid campaign workers). This figure should be the same as the one entered on line 8 on the front page of the report and on line 20.

**SECTION 28** - This section should only be completed if the candidate has outstanding debts (including unpaid loans) after an election. The amount entered on line 29 should also be entered on line 9 of the report. If the campaign has ended in debt, the candidate must detail each item which constitutes a part of the total campaign debt. For each creditor, the candidate should list the **name and address of the creditor**, a **description of the debt** (e.g., "consulting services") and the **balance of the debt** as of the time of filing the final report. If additional pages are necessary to report all of the campaign debt, this page of the Contribution and Expenditure Report may be photocopied and attached to the report when the report is filed.

**LINE 29** - This line reflects the total amount of all debts listed in Section 28. This figure should also be the same as the one entered on line 9 on the front page of the report.



# CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT FOR DEBT RETIREMENT

Year of Election: \_\_\_\_\_  
(Note: This is the year of the election for  
which you are seeking to retire campaign debt)

NOTE: The campaign contribution and expenditure reports for debt retirement of a person who ran for school district, township, municipal, or county office are required to be filed with the **county clerk** of the county in which the election was held. The campaign contribution and expenditure reports for debt retirement of a person who ran for state or district office are required to be filed with:

Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

For assistance in completing  
this form contact:  
Arkansas Ethics Commission  
Phone (501) 324-9600  
Toll Free (800) 422-7773

☐ Check if this report is an amendment

Officeholder/Candidate Information	(file stamp)
1. Name of Officeholder/Candidate	
Address	
City, State, and Zip	
Phone Number	
Office Held/Office Sought	District Number
2. Type of Report: (check only one)      This report covers what period? (____/____/____) through (____/____/____) <input type="checkbox"/> <b>First Quarter</b> (due April 15) <input type="checkbox"/> <b>Third Quarter</b> (due October 15) <input type="checkbox"/> <b>Second Quarter</b> (due July 15) <input type="checkbox"/> <b>Fourth Quarter</b> (due January 15) A quarterly report is due if you have received in excess of \$500 since your last report concerning campaign debt. No report is required for any calendar quarter in which you have not exceeded the cumulative contribution limit of \$500 since your last report. For example, if you receive contributions in the amounts of \$250 and \$300, respectively, in the first and second quarters, then you trigger the reporting requirement in the second quarter because you crossed the \$500 threshold in that quarter. Note, however, that you are required to disclose the \$250 in contributions you received in the first quarter.	

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTAL
3. Amount of Campaign Debt to be Retired		
4. Total Loans (enter amount from line 10)		
5. Total Monetary Contributions (enter amount from line 14)		
6. Total Expenditures (enter amount from line 18)		
7. Total Amount of Debt Retired During Reporting Period (enter amount from line 19)		
8. Balance of Campaign Debt at Close of Reporting Period (add lines 3 and 4 and then reduce that amount by line 7)		

I certify that I have examined this Report, and that to the best of my knowledge and belief it is true, correct, and complete.

\_\_\_\_\_  
Signature of Officeholder/Candidate

Sworn to and subscribed before me, a Notary Public, in and for \_\_\_\_\_ County, Arkansas, on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

My Commission Expires: \_\_\_\_\_

\_\_\_\_\_  
Signature of Notary

**Note: If faxed, notary seal must be legible (i.e., either stamped or raised and inked) and the original must follow within ten (10) days.**

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

Revised 08/2015

## 9. LOAN INFORMATION

Please Type or Print

Do not list loans previously reported

DATE	NAME AND ADDRESS OF LENDING INSTITUTION	GUARANTOR(S) IF ANY	AMOUNT
<b>10. TOTAL LOANS DURING REPORTING PERIOD</b>			<b>\$</b>

### IMPORTANT

If it is necessary for the candidate to loan the campaign money in order to conduct debt retirement activities, those loans should be reported here.



## 11. ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please type or print  
(Use additional copies of this page if necessary)

Date	Full Name And Mailing Address Of Contributor	Place of Business/ Employer/Occupation	Amount Of Contribution	Cumulative Total from this Contributor
Subtotal of Contributions This Page				

## 11. ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please type or print  
(Use additional copies of this page if necessary)

Date	Full Name And Mailing Address Of Contributor	Place of Business/ Employer/Occupation	Amount Of Contribution	Cumulative Total from this Contributor
12. TOTAL ITEMIZED MONETARY CONTRIBUTIONS OVER \$50				
13. TOTAL NONITEMIZED MONETARY CONTRIBUTIONS				
14. TOTAL MONETARY CONTRIBUTIONS THIS REPORT (includes totals from lines 12 and 13)				

## 15. ITEMIZED EXPENDITURES OVER \$100

Please type or print  
(Use additional copies of this page if necessary)

Name and Address of Supplier/Payee	Description of Expenditure	Date of Expenditure	Amount of Expenditure
<b>16. TOTAL ITEMIZED EXPENDITURES THIS REPORT</b>			
<b>17. TOTAL NONITEMIZED EXPENDITURES THIS REPORT</b>			
<b>18. TOTAL EXPENDITURES THIS REPORT (includes lines 16 and 17)</b>			
<b>19. TOTAL AMOUNT OF DEBT RETIRED DURING REPORTING PERIOD*</b>			
<b>*This amount includes payments on (i) the balance of campaign debt at the beginning of the reporting period and (ii) loans made during the reporting period.</b>			

# CARRYOVER FUND REPORTING FORM

Year of Election: \_\_\_\_\_

NOTE: The carryover fund reports of a person who ran for school district, township, municipal, or county office are required to be filed with the **county clerk** of the county in which the election was held. The carryover fund reports of a person who ran for state or district office are required to be filed with:

Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

For assistance in completing this form contact:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203-1917  
Phone (501) 324-9600  
Toll Free (800) 422-7773

☐ Check if this report is an amendment

Officeholder/Candidate Information		(file stamp)
1. Name of Officeholder/Candidate		
Address		
City, State, and Zip	Phone Number	
Office	District Number	
2. Type of Report: (check only one)      This report covers what period? (___/___/___) through (___/___/___) <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%;"> <input type="checkbox"/> <b>First Quarter</b> (due April 15)  <input type="checkbox"/> <b>Second Quarter</b> (due July 15)  <input type="checkbox"/> <b>Third Quarter</b> (due October 15)                 </div> <div style="width: 45%;"> <input type="checkbox"/> <b>Fourth Quarter</b> (due January 15)  <input type="checkbox"/> <b>Annual Report for Calendar Year</b> _____ (due January 31)  <input type="checkbox"/> <b>Closing Out of Carryover Account</b> </div> </div> <p style="font-size: small;">A quarterly report is due if you have expended in excess of \$500 since your last report concerning carryover funds. No report is required in any calendar quarter in which you have not exceeded the cumulative expenditure limit of \$500 since your last report. An annual report is not required if you have filed at least one quarterly report during the calendar year. A person is required to file a report for the calendar quarter in which he or she transfers carryover funds to his or her active campaign fund.</p>		

SUMMARY	FOR REPORTING PERIOD	YEAR-TO-DATE
3. Balance of carryover funds at beginning of reporting period		
4. Interest (if any) earned on carryover account		
5. Total expenditures (enter amount from line 10)		
6. Balance of carryover funds at close of reporting period		

I certify that I have examined this Report, and that to the best of my knowledge and belief it is true, correct, and complete.

\_\_\_\_\_  
Signature of Officeholder/Candidate

Sworn to and subscribed before me, a Notary Public, in and for \_\_\_\_\_ County, Arkansas, on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

My Commission Expires: \_\_\_\_\_

\_\_\_\_\_  
Signature of Notary

**Note: If faxed, notary seal must be legible (i.e., either stamped or raised and inked) and the original must follow within ten (10) days.**

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISED 08/2015

## 7. ITEMIZED EXPENDITURES OVER \$100

Please Type or Print  
(Use copies of this page as needed)

[illegible]

## **INSTRUCTIONS FOR COMPLETING THE CARRYOVER FUND REPORTING FORM**

**Section 1** – Provide the general information sought, including the name, address, and telephone number of the officeholder or candidate filing the report and the public office for which he or she sought election. In addition, the year of the election should be indicated at the top of the report. Also, if an amended report is being filed, the appropriate box at the top of the report should be checked. The law requires that the report be signed under penalty of perjury. The place for the notarized signature is at the bottom of the front page of the report.

**Section 2** – Check the box for the type of report. If the report is an annual report, provide the year. (NOTE: A person who retains carryover funds from a general election held in November or a runoff election held in November is not required to file an annual report for the year of the general election or runoff election from which carryover funds were retained.)

**Line 3** – This line, along with lines 4-6, contains SUMMARY information concerning the person's carryover funds during the reporting period and cumulatively for the year. Line 3 reflects the balance of carryover funds as of the beginning of the reporting period which should be the same as the ending balance of the previous report (found on line 6 of the last report).

**Line 4** – This line reflects the amount of interest, if any, earned by the carryover fund account. In the first column ("For Reporting Period"), list the amount of interest earned since the last report. In the second column ("Year to Date"), list the cumulative total of all interest earned during the calendar year.

**Line 5** – This line reflects the total amount of carryover funds which have been expended. In the first column ("For Reporting Period"), list the amount of expenditures, itemized and nonitemized, made since the last report. This figure can be found on line 10 and should be entered on line 5. In the second column ("Year to Date"), list the total amount of all expenditures made during the calendar year, which should be calculated by adding the figure reported in the first column to the figure reported in the second column of the last report.

**Line 6** – This line should reflect the balance of carryover funds at the close of the reporting period. This figure can be calculated by adding the amounts on lines 3 and 4 and subtracting from that total the figure entered on line 5.

**Section 7** – This section requires disclosure of each expenditure in excess of \$100 which has been made since the last report. For each expenditure over \$100, provide the name and address of the supplier or payee, the date of the expenditure, the amount of the expenditure, and a description of the expenditure.

**Line 8** – This line should reflect the total of the itemized expenditures listed in section 7.

**Line 9** – Disclose the total amount of expenditures of \$100 or less made since the last report. An expenditure of \$100 or less need not be itemized, but must be included in the total amount of expenditures made since the last report.

**Line 10** – This line reflects the sum of the amounts entered on lines 8 (“Itemized Expenditures”) and 9 (“Nonitemized Expenditures”). This figure should be the same as the one entered on line 5 on the front page of the report.

## FREQUENTLY ASKED QUESTIONS

### Question No. 1: *What are carryover funds?*

- A person who was a candidate and has campaign funds remaining from an election that has ended may retain as “carryover funds” an amount not exceeding the annual salary, excluding expense allowances, set by Arkansas law for the office sought. “Carryover funds” do not include campaign signs, campaign literature, and other printed materials that were: (i) purchased by the campaign; (ii) reported on the appropriate contribution and expenditure report for the campaign at the time of the purchase; and (iii) retained for use in a future campaign by the same candidate.<sup>1</sup>
- The use of carryover funds is only available for those candidates or officeholders who ended their campaigns with funds remaining. Candidates or officeholders who end their campaigns either with no carryover or in debt may not use or raise campaign funds for travel associated with attending conferences or seminars on general political issues.<sup>2</sup>

### Question No. 2: *Where are carryover funds kept?*

- If carryover funds are retained, a candidate must establish an office account, separate from any personal or other account. Any carryover funds transferred to this account shall be used only for future campaigns involving the candidate in a non-federal office and/or legitimate expenses in connection with the candidate’s public office.<sup>3</sup>
- Carryover funds may be deposited in an interest-bearing account. At no time, however, may the total amount in the carryover account exceed the annual salary, excluding expense allowances, for the office sought or held.<sup>4</sup>

---

<sup>1</sup> Ark. Code Ann. § 7-6-201(3).

<sup>2</sup> § 215(c) of the Commission’s Rules on Campaign Finance & Disclosure.

<sup>3</sup> § 227(b) of the Commission’s Rules on Campaign Finance & Disclosure.

<sup>4</sup> § 227(d) of the Commission’s Rules on Campaign Finance & Disclosure.

**Question No. 3: *What are the permissible uses for carryover funds?***

- Generally, officeholders are free to expend carryover funds on any purpose designed to further their office as long as it is not for personal income or otherwise prohibited by law.<sup>5</sup>
- Legitimate office expenses include transportation incurred by the officeholder or a member of his or her staff incurred in the operation of the office.<sup>6</sup>
- Carryover funds may be used to purchase office supplies and/or equipment for use in the office or in future campaigns.<sup>7</sup>
- Carryover funds may be used to reimburse the officeholder or his or her staff for meals or lodging in connection with the operation of the office or future campaigns.<sup>8</sup>
- Carryover funds may be used to purchase invitations or notices to political events, as well as to purchase gifts or commemorative items for staff members or their families in times of sickness or death, or family emergency.<sup>9</sup>
- Carryover funds may be used to offset any reasonable and legitimate office expense which is otherwise not reimbursable from public funding.<sup>10</sup>
- Officeholders may use carryover funds to purchase advertisements in publications of charitable, civic and educational organizations.<sup>11</sup>
- Carryover funds may be used to buy items such as ads in school yearbooks as these purchases serve to increase public visibility for the officeholders.<sup>12</sup>
- Carryover funds may be used to purchase items given as awards in recognition of accomplishments where they are presented by a current officeholder in person. Such items include the purchase of American and State flags flown at the State Capitol and given to schools in subsequent ceremonies.<sup>13</sup>
- Officeholders may use carryover funds to purchase tickets from charities, civic organizations and political parties for banquets or other similar special social events. The presence of officeholders increases the public visibility of officeholders and, for that reason, officeholders who purchase tickets should make

---

<sup>5</sup> § 223(a) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>6</sup> § 227(c) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>7</sup> § 227(c) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>8</sup> § 227(c) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>9</sup> § 227(c) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>10</sup> § 227(c) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>11</sup> § 220(a) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>12</sup> § 220(a) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>13</sup> § 220(b) of the Commission's Rules on Campaign Finance & Disclosure.



all reasonable efforts to attend the banquet. Officeholders may use carryover funds to purchase a ticket for a spouse but carryover funds should not be used to purchase tickets for State Capitol staff, current staff or former campaign workers.<sup>14</sup>

- Officeholders may use carryover funds for lease, rental or use charges of any ordinary and necessary office equipment such as copy machines, telephones, postage meters, facsimile machines, computer hardware and software, printers and video equipment for use in the office or in future campaigns.<sup>15</sup>
- Carryover funds may be used by an officeholder to pay for an inaugural event.<sup>16</sup>
- Examples of other miscellaneous expenses on which officeholders may lawfully expend carryover funds include, but are not limited to:
  - (a) Flowers, sympathy gifts or other nominal memorial items to a constituent's funeral or family;
  - (b) Hiring public halls and music for political meetings, furnishing music, uniforms, banners or fireworks for political clubs or parades or like events and for related advertising of same;
  - (c) Printing and circulating political communications, sample ballots or ballot labels; and
  - (d) Sponsorship of a sports team.<sup>17</sup>
- A person with carryover funds may, at any time, dispose of such funds in the same manner as surplus campaign funds.<sup>18</sup> In that regard, Ark. Code Ann. § 7-6-203(h)(1) provides that surplus funds may be turned over to either:
  - (a) The Treasurer of State for the benefit of the General Revenue Fund Account of the State Apportionment Fund;
  - (b) A political party as defined in Ark. Code Ann. § 7-1-101 or a political party caucus of the General Assembly, the Senate, or the House of Representatives;
  - (c) A nonprofit organization which is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code;

---

<sup>14</sup> § 221(b) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>15</sup> § 222(a) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>16</sup> Advisory Opinion No. 98-EC-020.

<sup>17</sup> § 223(a) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>18</sup> § 227(a) of the Commission's Rules on Campaign Finance & Disclosure.

- (d) Cities of the first class, cities of the second class, or incorporated towns; or
- (e) The contributors to the candidate's campaign.

**Question No. 4: *What are the prohibited uses of carryover funds?***

- A candidate may not take carryover funds as personal income or as income for his or her spouse or dependent children.<sup>19</sup>
- Carryover funds may not be used to reimburse campaign workers, staff or spouses of either the candidate or the workers for attendance at conferences or seminars. Officeholders are permitted to use carryover funds to reimburse only themselves for travel associated with attending conferences or seminars on general political issues.<sup>20</sup>
- Carryover funds may not be used to purchase tickets for State Capitol staff, current staff or former campaign workers to attend banquets or social events held by charities, civic organizations or political parties.<sup>21</sup>

**Question No. 5: *How long may carryover funds be retained?***

- Carryover funds may be retained by a person for not more than ten (10) years after the last election at which he or she was a candidate or, if applicable, not more than ten (10) years after the last day that the person held office, and any remaining carryover funds shall be disposed of in the same manner as for surplus campaign funds.<sup>22</sup>
- When a person having carryover funds from an election held after July 1, 1997, files as a candidate for public office, his or her carryover funds shall be transferred to the person's active campaign fund. Once transferred, the funds will no longer be treated as carryover funds.<sup>23</sup>

---

<sup>19</sup> Ark. Code Ann. § 7-6-203(h)(4)(A).

<sup>20</sup> § 215(a) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>21</sup> § 221(b) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>22</sup> Ark. Code Ann. § 7-6-203(h)(4)(D).

<sup>23</sup> Ark. Code Ann. § 7-6-203(h)(4)(B).

**Question No. 6: *What are the record keeping and reporting requirements concerning carryover funds?***

- If a candidate ends a campaign with carryover funds, he or she must maintain records of such carryover fund for no less than ten (10) years or until such time as the funds are expended completely or disposed of, whichever occurs first.<sup>24</sup>
- A person shall file an expenditure report concerning carryover funds if since the last report concerning the carryover funds, the person has expended in excess of five hundred dollars (\$500). The report shall be filed at the office in which the candidate was required to file his or her campaign contribution and expenditure reports for the previous campaign not later than fifteen (15) days after a calendar quarter in which a report becomes required. No report is required in any calendar quarter in which the cumulative expenditure limit has not been exceeded since the person's last report.<sup>25</sup>
- A person who retains carryover funds is required to file an annual report outlining the status of the carryover fund account as of December 31<sup>st</sup> unless the person has made a quarterly report during the calendar year pursuant to Ark. Code Ann. § 7-6-203(h)(4)(C)(i) and (ii). The annual report for a particular year shall be due by January 31<sup>st</sup> of the following year. A person who retains carryover funds from a general election held in November or a runoff election held in November is not required to file an annual report for the year of the general election or runoff election from which carryover funds were retained.<sup>26</sup> The carryover fund reports of a person who ran for school district, township, municipal, or county office must be filed with the **county clerk** of the county in which the election was held.<sup>27</sup> The carryover fund reports of a candidate for state or district office must be filed with the **Secretary of State**.<sup>28</sup>
- A person shall also file an expenditure report for the calendar quarter in which he or she transfers the carryover funds to an active campaign fund.<sup>29</sup>
- There is a separate carryover fund reporting form.<sup>30</sup>

---

<sup>24</sup> § 233(c) of the Commission's Rules on Campaign Finance & Disclosure.

<sup>25</sup> Ark. Code Ann. § 7-6-203(h)(4)(C)(i).

<sup>26</sup> Ark. Code Ann. § 7-6-203(h)(4)(C)(iii).

<sup>27</sup> Ark. Code Ann. § 7-6-203(h)(4)(C)(iv).

<sup>28</sup> Ark. Code Ann. § 7-6-203(h)(4)(C)(v).

<sup>29</sup> Ark. Code Ann. § 7-6-203(h)(4)(C)(ii).

<sup>30</sup> § 228 of the Commission's Rules on Campaign Finance & Disclosure.

## CITIZEN COMPLAINT FORM

The undersigned person files this complaint and requests that the Arkansas Ethics Commission conduct an investigation concerning the facts and actions detailed below for the purpose of determining whether or not there has been a violation of laws under the Commission's jurisdiction.

1. Identify the person you are complaining about:

Name: \_\_\_\_\_ Position or Title: \_\_\_\_\_  
Address: \_\_\_\_\_ Phone: (Home) \_\_\_\_\_  
\_\_\_\_\_ (Work) \_\_\_\_\_

2. State in your own words the *detailed* facts and the actions of the person named in section 1 which prompted you to make this complaint. The brief space provided below is not intended to limit your statement of facts. Please use the back of this form or additional sheets if necessary. Include relevant dates, times, and the names, and addresses of other persons whom you believe have knowledge of the facts.

---

---

---

---

---

3. Attach or make reference to any documents, materials, minutes, resolutions or other evidence which support your allegations.

State of Arkansas  
County of \_\_\_\_\_

I swear or affirm, under penalty of perjury, that the facts set forth in this complaint are true and correct to the best of my knowledge, information, and belief.

Subscribed and sworn before me this  
\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

Signature: \_\_\_\_\_

Print your name: \_\_\_\_\_

Notary Signature:

Mailing address: \_\_\_\_\_

My Commission Expires: \_\_\_\_\_

Phone: (Home) \_\_\_\_\_ (Work) \_\_\_\_\_

# COUNTY POLITICAL PARTY COMMITTEE REGISTRATION FORM

To be filed with:  
**Mark Martin, Secretary of State**  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

Registration for calendar year \_\_\_\_\_

*For assistance in completing  
this form contact:*  
**Arkansas Ethics Commission**  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Toll Free (800) 422-7773

Is this report an amendment? ☐ Yes ☐ No

## **Section One: Committee Name and Political Party Affiliation**

If the name of the committee is an acronym, the full name of the committee and the acronym should be disclosed.

Name of Committee (in full): \_\_\_\_\_

Acronym (if applicable): \_\_\_\_\_

Name of Political Party With Which Committee is Affiliated: \_\_\_\_\_

## **Section Two: Committee Address & Phone Number**

If the committee has no office address, use the address of the committee officer authorized to receive notices on behalf of the committee.

Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_ Telephone Number \_\_\_\_\_

## **Section Three: Committee Officers**

Provide the name, address, telephone number, and place of employment for each officer of the committee.

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

**Section Four: Financial Institution**

Provide the financial institution in this state that the committee designates as its official depository for the purposes of depositing all money contributions that it receives in this state and makes all expenditures in this state.

Full Name of Financial Institution: \_\_\_\_\_

Street Address: \_\_\_\_\_ City: \_\_\_\_\_ State: Arkansas Zip: \_\_\_\_\_

**Section Five: Written Acceptance of Appointment by Treasurer**

I hereby accept the appointment as Treasurer.

\_\_\_\_\_  
Signature of Treasurer

\_\_\_\_\_  
Name of Treasurer

**Affidavit**

I certify under oath that the above information is true and correct. In addition, I certify that the committee shall maintain for a period of four (4) years records evidencing (1) the name, address, and place of employment of each person who contributed to the committee, along with the amount contributed and (2) the name and address of each candidate or committee which received a contribution from the committee, along with the amount contributed.

\_\_\_\_\_  
Signature of Committee Officer

State of Arkansas } ss.

County of \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Signature of Notary Public

(Legible Notary Seal)

My Commission Expires: \_\_\_\_\_

# COUNTY POLITICAL PARTY COMMITTEE QUARTERLY REPORTING FORM

To be filed with:

Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

Calendar Year \_\_\_\_\_

For assistance in completing  
this form contact:

Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Toll Free (800) 422-7773

<b>1. NAME OF COMMITTEE (IN FULL)</b>  <b>ADDRESS</b>  <b>CITY, STATE AND ZIP CODE</b>	<b>2. TYPE OF REPORT</b>  <input type="checkbox"/> <b>First Quarter—due April 15</b> <small>covers January 1 through March 31</small> <input type="checkbox"/> <b>Second Quarter—due July 15</b> <small>covers April 1 through June 30</small> <input type="checkbox"/> <b>Third Quarter—due Oct 15</b> <small>covers July 1 through September 30</small> <input type="checkbox"/> <b>Fourth Quarter—due Jan 15</b> <small>covers October 1 through December 31</small>  <b>3. IS THIS REPORT AN AMENDMENT?</b>  <input type="checkbox"/> YES <input type="checkbox"/> NO
--	--

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTALS
4. BALANCE OF FUNDS AT BEGINNING OF REPORTING PERIOD		
5. INTEREST EARNED ON COMMITTEE FUNDS (IF ANY)		
6. TOTAL MONETARY CONTRIBUTIONS RECEIVED		
7. TOTAL CONTRIBUTIONS MADE TO CANDIDATES / COMMITTEES		
8. ADMINISTRATIVE EXPENSES		
9. BALANCE OF FUNDS AT CLOSE OF REPORTING PERIOD		
10. (    ) <b>NO ACTIVITY</b> (check if you have not received or made any contributions during this reporting period)		

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true, and accurate financial statement.

\_\_\_\_\_  
Signature of Committee Officer

State of Arkansas <div style="text-align: right;">} ss</div> County of _____  Subscribed and sworn before me this _____ day of _____, 20_____.  <div style="text-align: right;">_____ Signature of Notary Public</div> <div style="text-align: center;">(Legible Notary Seal)</div> My Commission Expires: _____	
---	--

**Note: If faxed, notary seal must be legible (i.e., either stamped or raised and inked) and the original must follow within ten (10) days.**

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISED 08/2015

Please Type or Print  
Use Additional Copies of this Page if Necessary

Use Additional Copies of this Page if Necessary

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.



**ITEMIZED MONETARY CONTRIBUTIONS RECEIVED  
BY COMMITTEE OVER \$500**

Please Type or Print

Date	Name of Contributor	Address of Contributor	Employer/ Place Of Business	Amount Of Contribution	Cumulative Total for Year
12. TOTAL ITEMIZED MONETARY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD					
13. TOTAL UNITEMIZED MONETARY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD					
14. <b>TOTAL MONETARY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD</b> (to be entered on line #6)					

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

# **15. ITEMIZED NONMONEY CONTRIBUTIONS RECEIVED BY COMMITTEE OVER \$500**

Please Type or Print  
Use Additional Copies of this Page if Necessary

Date of Receipt	Full Name and Address of Contributor	Description of Nonmoney Item	Value of Nonmoney Item	Cumulative Total From This Contributor
16. TOTAL ITEMIZED NONMONEY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD				
17. TOTAL NONITEMIZED NONMONEY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD				
18. TOTAL NONMONEY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD				

## **IMPORTANT**

**In addition to monetary contributions, committees are required to report the receipt of any nonmoney ("in-kind") contributions. A committee receives an in-kind contribution whenever a person provides it with an item or service without charge or for a charge that is less than the fair market value of the item or service in question. The value of an in-kind contribution is the difference between the fair market value and the amount charged.**

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISED 08/2015

## AND COMMITTEES OVER \$50

Use Additional Copies of this Page if Necessary

[illegible]

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISÉD 08/2015

# ITEMIZED MONETARY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES OVER \$50

Please Type or Print

Date	Name of Candidate/Committee To Whom Contribution Made	Address of Candidate/Committee	Election for Which Contribution was Made	Amount Of Contribution
20. TOTAL ITEMIZED MONETARY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES DURING REPORTING PERIOD				
21. TOTAL UNITEMIZED MONETARY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES DURING REPORTING PERIOD				
22. TOTAL MONETARY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES DURING REPORTING PERIOD (to be entered on line #7)				

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

## 23. ITEMIZED NONMONEY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES OVER \$50

Please Type or Print

Date	Name and Address of Candidate/Committee To Whom Contribution Made	Election (if applicable) for which contribution was made	Description of Nonmoney Item	Value of Nonmoney Item
24. TOTAL ITEMIZED NONMONEY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES DURING REPORTING PERIOD				
25. TOTAL UNITEMIZED NONMONEY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES DURING REPORTING PERIOD				
26. TOTAL NONMONEY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES DURING REPORTING PERIOD				

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

## Please Type or Print

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

## COUNTY POLITICAL PARTY COMMITTEE NOTICE OF TERMINATION

To be filed with:  
Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

For assistance in completing  
this form contact:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600

1. NAME OF COMMITTEE (IN FULL): \_\_\_\_\_  
ADDRESS: \_\_\_\_\_  
CITY, STATE AND ZIP CODE: \_\_\_\_\_
2. DATE COMMITTEE CEASED TO EXIST: \_\_\_\_\_
3. CONTRIBUTIONS AND EXPENDITURES:

☐ **NO ACTIVITY TO BE REPORTED** (Check if the committee has already reported all financial activity during the period its registration was in effect; file this page only)

☐ **REMAINING ACTIVITY DISCLOSED ON ATTACHED REPORT** (Check if the committee has financial activity which has not already been reported; attach report disclosing all unreported financial activity during period the committee's registration was in effect)

### Affidavit

I certify under oath that the above information is true and correct. In addition, I certify that the committee shall maintain for a period of four (4) years records evidencing (1) the name, address, and place of employment of each person who contributed to the above-named committee, along with the amount contributed and (2) the name and address of each candidate or committee which received a contribution from the above-named committee, along with the amount contributed.

\_\_\_\_\_  
Signature of Committee Officer

State of Arkansas                    )  
  ) ss.  
County of \_\_\_\_\_ )

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Signature of Notary Public

My Commission Expires: \_\_\_\_\_

Approved June 2005

# DISCLOSURE BY LEGISLATOR PURSUANT TO ARK. CODE ANN. § 21-8-803

Please print or type

WHERE TO FILE:

- Members of General Assembly file with  
Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

For assistance in completing  
this form contact:

Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Toll Free (800) 422-7773

- Members of a quorum court file with the county clerk
- Members of a city council or board of directors of a municipality file with the city clerk or recorder

NAME OF LEGISLATOR: \_\_\_\_\_  
(Last) (First) (Middle)

DATE LEGISLATOR BECAME AWARE OF POTENTIAL CONFLICT: \_\_\_\_\_

DESCRIPTION OF MATTER REQUIRING ACTION: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

STATEMENT OF POTENTIAL CONFLICT: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

State of Arkansas } ss  
County of \_\_\_\_\_

\_\_\_\_\_  
Signature

SUBSCRIBED and SWORN to before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

My commission expires:

\_\_\_\_\_  
Notary Public

Pursuant to Ark. Code Ann. § 21-8-803:

- (a) A legislator who is required to take an action in the discharge of his or her official duties that may affect his or her financial interest or cause financial benefit or detriment to him or her, or a business in which he or she is an officer, director, stockholder owning more than ten percent (10%) of the stock of the company, owner, trustee, partner, or employee, which is distinguishable from the effects of the action on the public generally or a broad segment of the public shall:
  - (1) Prepare a written statement describing the matter requiring action and stating the potential conflict; and
  - (2) (A) Deliver a copy of the statement to the appropriate official to be filed with the statement of financial interest.  
(B) The copy of the statement may be delivered in person by the public official, by mail, or by a person authorized by the public official to deliver the copy.
- (b) The obligation to report a potential conflict of interest under Ark. Code Ann. § 21-8-803 arises as soon as the legislator is aware of the conflict.
- (c) If the statement of financial interest filed by the legislator makes the conflict readily apparent, then no report need be filed.



**DISCLOSURE BY MEMBER (OR MEMBER-ELECT)  
OF THE ARKANSAS GENERAL ASSEMBLY  
PURSUANT TO ARK. CODE ANN. § 21-8-901**

*Please print or type*

**WHERE TO FILE:**

Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

CALENDAR YEAR COVERED \_\_\_\_\_  
(NOTE: filing covers previous calendar year)

**For assistance in completing  
this form contact:**

Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Toll Free (800) 422-7773

**NAME OF MEMBER (or MEMBER-ELECT)  
OF ARKANSAS GENERAL ASSEMBLY:**

\_\_\_\_\_  
(Last)

\_\_\_\_\_  
(First)

\_\_\_\_\_  
(Middle)

**ADDRESS:**

\_\_\_\_\_  
(Street or P.O. Box Number)

\_\_\_\_\_  
(City)

\_\_\_\_\_  
(State)

\_\_\_\_\_  
(Zip Code)

**1. DESCRIPTION OF GOODS OR SERVICES:** List any goods or services sold by the Member (or Member-elect) of the Arkansas General Assembly, his or her spouse, or any business in which such person or his or her spouse is an officer, director, or stockholder owning more than ten percent (10%) of the stock, during the previous calendar year having a total annual value in excess of one thousand (\$1,000) dollars to an office, department, commission, council, board, bureau, committee, legislative body, agency, or other establishment of the State of Arkansas.

**2. GOVERNMENTAL ENTITY TO WHICH GOODS OR SERVICES WERE SOLD:** List the name of the office, department, commission, council, board, bureau, committee, legislative body, agency, or other establishment of the State of Arkansas to which goods or services were sold.

**3. NAME OF SELLER:** List the name of the seller (i.e., Member (or Member-elect) of the Arkansas General Assembly, his or her spouse, or any business in which such person or his or her spouse is an officer, director, or stockholder owning more than ten percent (10%) of the stock).

**4. RELATIONSHIP OF SELLER TO MEMBER (OR MEMBER-ELECT):**

I certify under penalty of perjury that the above information is true and correct.

State of Arkansas } ss  
County of \_\_\_\_\_

\_\_\_\_\_  
Signature of Member (or Member-Elect)

SUBSCRIBED and SWORN to before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

My commission expires:

\_\_\_\_\_  
Notary Public

**DISCLOSURE BY MEMBER (OR MEMBER-ELECT)  
OF THE ARKANSAS GENERAL ASSEMBLY  
PURSUANT TO ARK. CODE ANN. § 21-8-901**

**Subchapter 9, Chapter 8, of Title 21 of the Arkansas Code  
Disclosure by Legislators – Sales to the State**

**Ark. Code Ann. § 21-8-901. Disclosure Required.**

In addition to the required filings under § 21-8-701, a member or a member-elect of the General Assembly shall report any goods or services sold during the previous calendar year having a total annual value in excess of one thousand dollars (\$1,000) to an office, department, commission, council, board, bureau, committee, legislative body, agency, or other establishment of the State of Arkansas by the member, his or her spouse, or by any business in which such person or his or her spouse is an officer, director, or stockholder owning more than ten percent (10%) of the stock.

**Ark. Code Ann. § 21-8-902. Place of Filing – Form.**

(a) The disclosure required by § 21-8-901 shall be filed with the Secretary of State at the same time as the filing of the statement of financial interest required under § 21-8-701 et seq.

(b) The disclosure shall be on a form requiring the signature of the member, under penalty of perjury, with respect to the truth and accuracy of the statements made on the form.

**Ark. Code Ann. § 21-8-903. Penalty.**

Any person who purposely violates the provisions of this subchapter shall be deemed guilty of a Class A misdemeanor.

# EXPLORATORY COMMITTEE REGISTRATION FORM

NOTE: The exploratory committee registration form of a committee for an individual person who, upon becoming a candidate will seek a school district, township, municipal, or county office, is required to be filed with the county clerk of the county in which the election will be held. The exploratory committee registration form of a committee for an individual person who, upon becoming a candidate will seek a state or district office, is required to be filed with:

Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

For assistance in completing  
this form contact:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203-1917  
Phone (501) 324-9600  
Toll Free (800) 422-7773

**1. Provide the name, telephone number, and address for the committee:**

Name of Committee: \_\_\_\_\_ Telephone: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

**2. Provide the name, title, address, and telephone number for each officer:**

a. Name: \_\_\_\_\_ Title: \_\_\_\_\_ Telephone: \_\_\_\_\_  
Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
b. Name: \_\_\_\_\_ Title: \_\_\_\_\_ Telephone: \_\_\_\_\_  
Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
c. Name: \_\_\_\_\_ Title: \_\_\_\_\_ Telephone: \_\_\_\_\_  
Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
d. Name: \_\_\_\_\_ Title: \_\_\_\_\_ Telephone: \_\_\_\_\_  
Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

**3. Provide the name, public office sought, telephone number, and address of the individual person who, upon becoming a candidate, is intended to receive campaign contributions from the committee:**

Name of Candidate: \_\_\_\_\_ Telephone: \_\_\_\_\_  
Public Office Sought: \_\_\_\_\_  
Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

An exploratory committee is required to register within fifteen (15) days after receiving contributions during a calendar year which, in the aggregate, exceed five hundred dollars (\$500).

**Affidavit**

I certify under oath that the above information is true and correct.

State of Arkansas  
County of \_\_\_\_\_ } ss.

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

(Legible Notary Seal)

My Commission Expires: \_\_\_\_\_

\_\_\_\_\_  
Signature of Committee Officer

\_\_\_\_\_  
Signature of Notary Public

# EXPLORATORY COMMITTEE CONTRIBUTION AND EXPENDITURE REPORT

NOTE: The exploratory committee reporting form of a committee for an individual person who, upon becoming a candidate will seek a school district, township, municipal, or county office, is required to be filed with the **county clerk** of the county in which the election will be held. The exploratory committee reporting form of a committee for an individual person who, upon becoming a candidate will seek a state or district office, is required to be filed with:

**Mark Martin, Secretary of State**  
**State Capitol, Room 026**  
**Little Rock, AR 72201**  
**Phone (501) 682-5070**  
**Fax (501) 682-3408**

For assistance in completing this form contact:  
 Arkansas Ethics Commission  
 Post Office Box 1917  
 Little Rock, AR 72203-1917  
 Phone (501) 324-9600  
 Toll Free (800) 422-7773

☐ Check if this report is an amendment

(File Stamp)

1. Name of Committee: \_\_\_\_\_

Date: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code \_\_\_\_\_

2. Type of Report: (check one only)

This report covers what period? (\_\_\_\_/\_\_\_\_/\_\_\_\_) through (\_\_\_\_/\_\_\_\_/\_\_\_\_)

- ☐ January Monthly (due March 2<sup>nd</sup>)    ☐ May Monthly (due June 30<sup>th</sup>)    ☐ September Monthly (due Oct 30<sup>th</sup>)  
☐ February Monthly (due March 30<sup>th</sup>)    ☐ June Monthly (due July 30<sup>th</sup>)    ☐ October Monthly (due Nov 30<sup>th</sup>)  
☐ March Monthly (due April 30<sup>th</sup>)    ☐ July Monthly (due August 30<sup>th</sup>)    ☐ November Monthly (due December 30<sup>th</sup>)  
☐ April Monthly (due May 30<sup>th</sup>)    ☐ August Monthly (due Sept 30<sup>th</sup>)    ☐ December Monthly (due January 30<sup>th</sup>)  
☐ FINAL REPORT\*

\* A FINAL REPORT must be filed within thirty (30) days after the end of the month in which the committee either transfers its contributions to a candidate's campaign or no longer accepts contributions.

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTAL
3. Balance of Committee's Funds at Beginning of Reporting Period		
4. Interest (if any) Earned on Committee's Account		
5. Total Contributions (enter total from line 16)		
6. Total Expenditures (enter total from line 20)		
7. Balance of Committee's Funds at Close of Reporting Period		
8. ( ) NO ACTIVITY (check if the committee has not received or spent money this reporting period)		

I certify to the best of my knowledge and belief that the information disclosed in this report is a complete, true, and accurate financial statement of the committee's contributions and expenditures.

Signature of Committee's Representative \_\_\_\_\_

Sworn to and subscribed before me, a Notary Public, in and for \_\_\_\_\_ County, Arkansas, on this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

(Legible Notary Seal)

Notary Signature \_\_\_\_\_  
 My Commission Expires \_\_\_\_\_

Note: If faxed, notary seal must be legible (i.e., either stamped or raised and inked) and the original must follow within ten (10) days.

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

Revised 08/2015

**Itemize if Fair Market Value Exceeds \$50**  
(Does not include volunteer services by individuals)

**IMPORTANT**

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

## Please Type or Print

(Use Additional Copies Of This Page If Necessary)

# ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please Type or Print

Date	Full Name And Mailing Address Of Contributor	Place Of Business/ Employer/Occupation	Amount Of Contribution	Cumulative Total From This Contributor
<b>14. TOTAL ITEMIZED MONETARY CONTRIBUTIONS OVER \$50</b>				
<b>15. TOTAL NONITEMIZED MONETARY CONTRIBUTIONS</b>				
<b>16. TOTAL MONETARY CONTRIBUTIONS THIS REPORT</b> (totals from lines 14 and 15)				

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

Revised 08/2015

Please Type or Print  
(Use additional copies of this page if necessary)

(Use additional copies of this page if necessary)

**20. TOTAL EXPENDITURES THIS REPORT (includes lines 18 and 19)**



# INDEPENDENT EXPENDITURE COMMITTEE REGISTRATION FORM

To be filed with:  
**Mark Martin, Secretary of State**  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

*For assistance in completing  
this form contact:*  
**Arkansas Ethics Commission**  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Toll Free (800) 422-7773

Is this report an amendment? ☐ Yes ☐ No

## **Section One: Independent Expenditure Committee Name**

If the name of the committee is an acronym, the full name of the committee and the acronym should be disclosed.

Name of Committee (in full): \_\_\_\_\_

Acronym (if applicable): \_\_\_\_\_

## **Section Two: Independent Expenditure Committee Address & Phone Number**

If the committee has no office address, use the address of the officer authorized to receive notices on behalf of the committee.

Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_ Telephone Number \_\_\_\_\_

## **Section Three: Independent Expenditure Committee Officers**

Provide the name, address, telephone number, and place of employment for each officer of the committee.

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

**Section Four: Financial Institution**

Provide the financial institution that the committee designates as its official depository for purposes of receiving contributions or making expenditures within the State of Arkansas.

Full Name of Financial Institution: \_\_\_\_\_

Street Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**Section Five: Written Acceptance of Designation as Resident Agent**

I hereby accept the designation as Resident Agent.

\_\_\_\_\_  
Signature of Resident Agent

\_\_\_\_\_  
Name of Resident Agent

\_\_\_\_\_  
Address of Resident Agent

**Affidavit**

I certify under oath that the above information is true and correct. In addition, I certify that the committee shall maintain for a period of four (4) years records evidencing (1) the name, address, and place of employment of each person who contributed to the committee, along with the amount contributed, and (2) each independent expenditure made by the committee, along with the amount of each expenditure. By filing this registration form, the committee hereby submits itself to the jurisdiction of the State of Arkansas for all purposes related to compliance with subchapter 2 of chapter 6, Title 7 of the Arkansas Code.

State of Arkansas  
County of \_\_\_\_\_ } ss.

\_\_\_\_\_  
Signature of Committee Officer

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

(Legible Notary Seal)

\_\_\_\_\_  
Signature of Notary Public

My Commission Expires: \_\_\_\_\_

## INDEPENDENT EXPENDITURE REPORT FOR COMMITTEES, INDIVIDUALS, AND OTHER ENTITIES

**To be filed with:**  
**Mark Martin, Secretary of State**  
**State Capitol, Room 026**  
**Little Rock, AR 72201**  
**Phone (501) 682-5070**  
**Fax (501) 682-3408**

For assistance in completing  
this form contact:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203-1917  
Phone (501) 324-9600  
Toll Free (800) 422-7773

☐ Check if this report is an amendment

Please Type or Print

1. Name of independent expenditure committee, individual or other entity making independent expenditures:	
Address:	
City, State, and Zip	Telephone Number

2. Type of Report (check appropriate box) Covers period (     /     /     ) through (     /     /     )  
month/date/year month/date/year

- ☐ 35 Day Pre-Election Report (must be filed no later than 30 days prior to election)
- ☐ 10 Day Pre-Election Report (must be filed no later than 7 days prior to election)
- ☐ Final Report (must be filed no later than 30 days after the end of the month in which the election is held)

**3. Type of Election:** (check only one) Date of Election: \_\_\_\_\_

☐ Preferential Primary    ☐ General    ☐ Run-off    ☐ Special

Summary	For Reporting Period	Cumulative
<b>4. Balance of Funds at Beginning of Reporting Period (Committees only)</b>		
<b>5. Interest (if any) earned on account (Committees only)</b>		
<b>6. Total Loans, enter amount from line 12 (Committees only)</b>		
<b>7. Total Monetary Contributions, enter amount from line 16 (Committees only)</b>		
<b>8. Total Expenditures, enter amount from line 22</b>		
<b>9. Balance of Funds at Close of Reporting Period (Committees only)</b>		

I certify that I have examined this report and to the best of my knowledge and belief it is true, correct, and complete.

(Signature of Individual or of Authorized Representative of Committee or Entity)

Sworn to and subscribed before me, a Notary Public, in and for \_\_\_\_\_ County, Arkansas,  
on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

My Commission Expires: \_\_\_\_\_ (Notary Signature) \_\_\_\_\_

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISÉD 08/2015

**10. INFORMATION CONCERNING COMMITTEE, INDIVIDUAL, OR OTHER ENTITY  
MAKING INDEPENDENT EXPENDITURES**

IF FILING AS AN INDEPENDENT EXPENDITURE COMMITTEE, PROVIDE THE  
FOLLOWING INFORMATION FOR EACH OF THE COMMITTEE'S OFFICERS

Name of officer:
Address:
Employer:
Occupation:
Name of officer:
Address:
Employer:
Occupation:
Name of officer:
Address:
Employer:
Occupation:

IF FILING AS AN INDIVIDUAL, PROVIDE THE FOLLOWING INFORMATION

Principal Place of Business:
Employer:
Occupation:

IF FILING AS AN ENTITY OTHER THAN AN INDIVIDUAL OR INDEPENDENT  
EXPENDITURE COMMITTEE, PROVIDE THE FOLLOWING INFORMATION  
WITH RESPECT TO THE ENTITY AND ITS OFFICERS

Name of Entity:
Address:
Name of Officer:
Address:
Employer:
Occupation:
Name of Officer:
Address:
Employer:
Occupation:
Name of Officer:
Address:
Employer:
Occupation:

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

**11. LOAN INFORMATION – COMMITTEES ONLY***Please Type or Print**Do not list loans previously reported*

DATE	NAME AND ADDRESS OF LENDING INSTITUTION	GUARANTOR(S) IF ANY	AMOUNT
<b>12. TOTAL LOANS DURING REPORTING PERIOD</b>			<b>\$</b>

**[This space intentionally blank]**

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

**REVISED 08/2015**

**13. ITEMIZED MONETARY CONTRIBUTIONS OVER \$50 – COMMITTEES ONLY**

*Please Type or Print*  
*(Use copies of this page as needed)*

Date	Name and Address of Contributor	Employer/Occupation And Place of Business	Total Contributions for filing period	Cumulative Total
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-off <input type="checkbox"/> General <input type="checkbox"/> Special	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-off <input type="checkbox"/> General <input type="checkbox"/> Special	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-off <input type="checkbox"/> General <input type="checkbox"/> Special	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-off <input type="checkbox"/> General <input type="checkbox"/> Special	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-off <input type="checkbox"/> General <input type="checkbox"/> Special	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-off <input type="checkbox"/> General <input type="checkbox"/> Special	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-off <input type="checkbox"/> General <input type="checkbox"/> Special	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-off <input type="checkbox"/> General <input type="checkbox"/> Special	
<b>14. Total Itemized Monetary Contributions</b>				
<b>15. Total Nonitemized Monetary Contributions</b>				
<b>16. Total Monetary Contributions This Report (includes lines 14 and 15)</b>				

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

### 17. NONMONEY CONTRIBUTIONS – COMMITTEES ONLY

Date	Full Name, Mailing Address and Zip Code of Contributor	Employer/Occupation	Description of Nonmoney Item	Value of Nonmoney Item
<b>18. Total Nonmoney Contributions This Report</b>				

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

**19. ITEMIZED EXPENDITURES OVER \$100 – COMMITTEE, INDIVIDUAL, OR OTHER ENTITY**

*Please Type or Print*  
(Use copies of this page as needed)

Name and Address of Supplier/Payee	Description of Expenditure	Date of Disbursement	Amount of Disbursement
<b>20. Total Itemized Expenditures This Report</b>			
<b>21. Total Nonitemized Expenditures This Report</b>			
<b>22. Total Expenditures This Report (includes lines 20 and 21)</b>			

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.



(include any person paid to work, does not have to be a full-time worker)

[illegible]

## 24. EXPENDITURES BY CATEGORY

CATEGORY	TOTAL AMOUNT
Television Advertising	
Radio Advertising	
Newspaper Advertising	
Other Advertising	
Office Supplies	
Rent	
Utilities	
Telephone	
Postage	
Direct Mail	
Travel Expenses	
Entertainment	
Fundraising	
Repayment of Loans	
Returned Contributions	
Consultant Fees	
Polls	
Paid Workers	
Other (list)	
<b>25. TOTAL EXPENDITURES</b>	

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

# LEGISLATIVE QUESTION FINANCIAL REPORT OF INDIVIDUAL OR ELECTED OFFICIAL

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

(Arkansas Ethics Commission File Stamp)

☐ Check if this report is an amendment to a previously filed report

DRAFT

<b>1. NAME OF INDIVIDUAL OR ELECTED OFFICIAL</b>	
<b>ADDRESS</b>	<b>2. TYPE OF REPORT</b>  <input type="checkbox"/> Monthly Report (due 15 days after end of month) <input type="checkbox"/> Preelection Report (due 7 days before election) <input type="checkbox"/> Final Report (due 30 days after election)
<b>CITY, STATE AND ZIP CODE</b>	
<b>TELEPHONE NUMBER</b>	

This report covers period: (    -    -    ) through (    -    -    )

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTALS
3. TOTAL EXPENDITURES MADE DURING REPORTING PERIOD		

4. (    ) **NO ACTIVITY**    Check if you have not received or made any contributions during this reporting period.  
If you have no activity, file the first page of this report only.

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true, and accurate financial statement.

\_\_\_\_\_  
Signature of Individual or Elected Official

State of Arkansas  
County of \_\_\_\_\_ } ss

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

(Legible Notary Seal)

\_\_\_\_\_  
Signature of Notary Public

My Commission Expires \_\_\_\_\_

(NOTE: This includes not only expenditures made by the individual or elected official, but also expenditures made on their behalf by an advertising agency, public relations firm, or political consultant.)

Use Additional Copies of this Page if Necessary

Revised 12/2013

(NOTE: This includes not only expenditures made by the individual or elected official, but also expenditures made on their behalf by an advertising agency, public relations firm, or political consultant.)  
Please Type or Print

(NOTE: This includes not only expenditures made by the individual or elected official, but also expenditures made on their behalf by an advertising agency, public relations firm, or political consultant.)

Please Type or Print

6. TOTAL ITEMIZED EXPENDITURES

7. TOTAL UNITEMIZED EXPENDITURES

8. TOTAL EXPENDITURES (to be entered on line #3)

Please Type or Print

## ~~11. PAID CANVASSERS, OFFICERS, AND DIRECTORS~~

Revised 12/2013

**LEGISLATIVE QUESTION COMMITTEE ("LQC")  
FINANCIAL REPORT OF PERSON MEETING THE DEFINITION OF LQC SET  
FORTH IN § 7-9-402(10)(A)\***

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

(Arkansas Ethics Commission File Stamp)

☐ Check if this report is an amendment to a previously filed report

DRAFT

<b>1. NAME OF COMMITTEE (IN FULL)</b>  	<b>2. TYPE OF REPORT</b> <input type="checkbox"/> Monthly Report (due 15 days after end of month)  <input type="checkbox"/> Preelection Report (due 7 days before election)*  <input type="checkbox"/> Final Report (due 30 days after election)  <small>*NOTE: Preelection report must be received by the Ethics Commission on or before due date.</small>
<b>ADDRESS</b>  	
<b>CITY, STATE AND ZIP CODE</b>  	
<b>TELEPHONE NUMBER</b>  	

This report covers period: (   -   -   ) through (   -   -   )

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTALS
3. BALANCE OF FUNDS AT BEGINNING OF REPORTING PERIOD		
4. TOTAL MONETARY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD		
5. TOTAL EXPENDITURES MADE DURING REPORTING PERIOD		
6. BALANCE OF FUNDS AT CLOSE OF REPORTING PERIOD		

7. (   ) **NO ACTIVITY**    Check if you have not received or made any contributions during this reporting period.  
If you have no activity, file the first page of this report only.

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true, and accurate financial statement.

State of Arkansas  
County of \_\_\_\_\_ } ss

\_\_\_\_\_  
Signature of Legislative Question Committee Officer

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

(Legible Notary Seal)  
My Commission Expires \_\_\_\_\_

\_\_\_\_\_  
Signature of Notary Public

\* Ark. Code Ann. § 7-9-402(10)(A) provides as follows: "legislative question committee" means any person, located within or outside Arkansas, that receives contributions for the purpose of expressly advocating the passage or defeat of any legislative question or any person, other than an elected official expending public funds, or an individual, located within or outside Arkansas, who makes expenditures for the purpose of expressly advocating the passage or defeat of any legislative question.

**Please Type or Print**  
**Do Not List Loans Previously Reported**

### Do Not List Loans Previously Reported

## 9. TOTAL LOANS THIS REPORT

**10. ITEMIZED MONETARY CONTRIBUTIONS OF \$50 OR MORE RECEIVED BY COMMITTEE**

Please Type or Print  
Use Additional Copies of this Page if Necessary

Date of Receipt	Name of Contributor	Street Address of Contributor	Place of Business Employer/Occupation	Amount of Contribution	Cumulative Total from this Contributor



**ITEMIZED MONETARY CONTRIBUTIONS OF \$50 OR MORE RECEIVED BY COMMITTEE**  
Please Type or Print

Date of Receipt	Name of Contributor	Street Address of Contributor	Place of Business Employer/Occupation	Amount of Contribution	Cumulative Total from this Contributor
11. TOTAL ITEMIZED MONETARY CONTRIBUTIONS OF \$50 OR MORE					
12. TOTAL UNITEMIZED MONETARY CONTRIBUTIONS					
13. TOTAL MONETARY CONTRIBUTIONS THIS REPORT (includes totals from lines 9, 11, and 12)					

**14. NONMONEY CONTRIBUTIONS RECEIVED BY COMMITTEE**

(Does not include volunteer services by individuals)

Date of Receipt	Name of Contributor	Street Address of Contributor	Description and Value of Nonmoney Item	Cumulative Total from this Contributor
15. TOTAL NONMONEY CONTRIBUTIONS THIS REPORT				

**IMPORTANT**

In addition to monetary contributions, committees should report the receipt of any nonmoney ("in-kind") contributions. A committee receives an in-kind contribution whenever a person provides the committee with an item or service without charge or for a charge that is less than the fair market value of the item or service in question.

Please Type or Print  
Use Additional Copies of this Page if Necessary

Revised 12/2013

## Please Type or Print

Revised 12/2013

## Please Type or Print

Please Type or Print

## 21. TOTAL EXPENDITURES BY CATEGORY

## ~~22. PAID CANVASSERS, OFFICERS, AND DIRECTORS~~

23. TOTAL AMOUNT PAID CANVASSERS, OFFICERS, AND DIRECTORS	\$
---	----

**LEGISLATIVE QUESTION COMMITTEE FINANCIAL REPORT OF  
PERSON MEETING THE 2%/\$10,000 TEST IN § 7-9-402(10)(B)\***

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

(Arkansas Ethics Commission File Stamp)

**DRAFT**

☐ Check if this report is an amendment to a previously filed report

<b>1. NAME OF INDIVIDUAL OR ELECTED OFFICIAL</b>	
<b>ADDRESS</b>	
<b>CITY, STATE AND ZIP CODE</b>	
<b>TELEPHONE NUMBER</b>	
<b>2. TYPE OF REPORT</b>	
<input type="checkbox"/> Monthly Report (due 15 days after end of month)	
<input type="checkbox"/> Preelection Report (due 7 days before election)	
<input type="checkbox"/> Final Report (due 30 days after election)	

**This report covers period: (   -   -   ) through (   -   -   )**

<b><u>SUMMARY</u></b>	<b><u>FOR REPORTING PERIOD</u></b>	<b><u>CUMULATIVE TOTALS</u></b>
<b>3. TOTAL MONETARY CONTRIBUTIONS MADE DURING REPORTING PERIOD (Enter amount from line 8)</b>		

**4. (   ) NO ACTIVITY** Check if you have not made any contributions during this reporting period.  
If you have no activity, file the first page of this report only.

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true, and accurate financial statement.

Signature of Person Filing Report

State of Arkansas                      } ss  
County of                                      }

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

(Legible Notary Seal)

Signature of Notary Public

My Commission Expires \_\_\_\_\_

\* Ark. Code Ann. § 7-9-402(10)(B) provides, in pertinent part, as follows: a person other than an individual or an approved political action committee as defined in § 7-6-201, located within or outside Arkansas ... qualifies as a legislative question committee if two percent (2%) or more of its annual revenues, operating expenses, or funds are used to make a contribution or contributions to another legislative question committee and if the contribution or contributions exceed ten thousand dollars (\$10,000) in value.

(NOTE: This includes not only expenditures made by the person, but also contributions made on such person's behalf made by an advertising agency, public relations firm, or political consultant.)

Use Additional Copies of this Page if Necessary

[illegible]

### ITEMIZED CONTRIBUTIONS OF \$100 OR MORE

(NOTE: This includes not only expenditures made by the person, but also expenditures on such person's behalf made by an advertising agency, public relations firm, or consultant.)

**Please Type or Print**

[illegible]





# LEGISLATIVE QUESTION COMMITTEE (LQC) STATEMENT OF ORGANIZATION

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

(Arkansas Ethics Commission File Stamp)

**DRAFT**

☐ Check if this is an amendment to a previously filed statement of organization

## **Section One: LQC Name**

Name of LQC (in full): \_\_\_\_\_

## **Section Two: LQC Address & Phone Number**

If LQC has no office address, use the address of the LQC officer authorized to receive notices on behalf of the LQC.

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

## **Section Three: LQC Officers and Directors**

Provide the name, title, address, and telephone number of the treasurer and other principal officers and directors of the LQC.

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

\* The term "legislative question committee is defined in Ark. Code Ann. § 7-9-402(10(A) and (B) and § 600(i)(1) and (2) of the Ethics Commission's Rules on Ballot and Legislative Question Committees.

Telephone Number: \_\_\_\_\_

**Section Four: Financial Information**

Provide the name and address of each financial institution in which the LQC deposits money or anything else of monetary value.

Name of Financial Institution: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Name of Financial Institution: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**Section Five: Members**

Provide the name of each person who is a member of the committee. A person that is not an individual may be listed by its name without also listing its own members, if any.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Section Six: Brief Statement**

Provide a brief statement identifying the substance of each legislative question as to which the LQC will expressly advocate the passage or defeat, and, if known, the date each legislative question will be presented to a popular vote at an election.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of LQC Officer

**LEGISLATIVE QUESTION COMMITTEE (LQC)  
NOTICE OF DISSOLUTION**

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

(Arkansas Ethics Commission File Stamp)

1. NAME OF LQC (IN FULL): \_\_\_\_\_  
ADDRESS: \_\_\_\_\_  
CITY, STATE AND ZIP CODE: \_\_\_\_\_

2. REMAINING FUNDS ON HAND AT TIME OF DISSOLUTION      \$ \_\_\_\_\_

3. METHOD BY WHICH REMAINING FUNDS WERE DISPOSED OF:

- ☐ Treasurer of State (for benefit of General Revenue Fund Account of the State Apportionment Fund)
- ☐ An organized political party or a political party caucus of the Arkansas General Assembly, the Senate, or the House of Representatives
- ☐ A nonprofit organization that is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code
- ☐ Cities of the first class, cities of the second class, or incorporated towns
- ☐ Contributors to the LQC

\_\_\_\_\_  
DATE

\_\_\_\_\_  
SIGNATURE OF LQC OFFICER

# LOBBYIST ACTIVITY REPORT

If registered to lobby only public servants  
of state government\* file with:  
Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

Filing for \_\_\_\_\_  
(year)

☐ Check here if this report is an amendment

For assistance in completing  
this form contact:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203-1917  
Phone (501) 324-9600  
Toll Free (800) 422-7773

\*Lobbyists who lobby public servants of (i) municipal government, (ii) county government, (iii) a governmental body covering a district which includes all or part of more than one county, or (iv) more than one type of governmental body should review Ark. Code Ann. § 21-8-602 to determine where to make their filings.

## INDIVIDUAL LOBBYIST OR FIRM INFORMATION

Print or Type

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_ Phone \_\_\_\_\_

### TYPE OF REPORT

- ☐ First Quarter (due April 15)  
☐ Second Quarter (due July 15)  
☐ Third Quarter (due October 15)  
☐ Fourth Quarter (due January 15)  
☐ Monthly Report for \_\_\_\_\_
- ☐ **NO ACTIVITY** (Check if you are reporting no activity for all clients; file this page only)

Secretary of State File Stamp

### SIGNATURE

(If registered as a firm, each lobbyist listed on the firm registration must sign this report. Attach additional sheets if necessary)

Name \_\_\_\_\_ Signature \_\_\_\_\_

Name \_\_\_\_\_ Signature \_\_\_\_\_

Name \_\_\_\_\_ Signature \_\_\_\_\_

### AFFIDAVIT

I swear that I shall preserve and maintain for a period of four (4) years all documentation necessary to substantiate this report and that the information contained herein is true and correct to the best of my knowledge, information, and belief.

\_\_\_\_\_  
Signature of Individual Lobbyist or Contact Person for Firm

State of Arkansas  
County of \_\_\_\_\_ )ss

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

(Legible Notary Seal)

Notary Signature \_\_\_\_\_

My Commission Expires \_\_\_\_\_

**Note: If faxed, raised notary seal must be inked and the original must follow within ten (10) days.**

# EXPENDITURES PER EMPLOYER OR CLIENT

Itemized and Non Itemized

Use additional copies of this page is necessary

Employer/Client Address Phone		Employer/Client Address Phone	
Item	Amount	Item	Amount
Advertising		Advertising	
Entertainment		Entertainment	
Food, Lodging or Travel		Food, Lodging or Travel	
Living Accommodations		Living Accommodations	
Postage		Postage	
Printing		Printing	
Special Events		Special Events	
Telephone		Telephone	
Other (list)		Other (list)	
<b>Total</b>		<b>Total</b>	

Employer/Client Address Phone		Employer/Client Address Phone	
Item	Amount	Item	Amount
Advertising		Advertising	
Entertainment		Entertainment	
Food, Lodging or Travel		Food, Lodging or Travel	
Living Accommodations		Living Accommodations	
Postage		Postage	
Printing		Printing	
Special Events		Special Events	
Telephone		Telephone	
Other (list)		Other (list)	
<b>Total</b>		<b>Total</b>	

Employer/Client Address Phone		Employer/Client Address Phone	
Item	Amount	Item	Amount
Advertising		Advertising	
Entertainment		Entertainment	
Food, Lodging or Travel		Food, Lodging or Travel	
Living Accommodations		Living Accommodations	
Postage		Postage	
Printing		Printing	
Special Events		Special Events	
Telephone		Telephone	
Other (list)		Other (list)	
<b>Total</b>		<b>Total</b>	

## GIFTS

List each gift with a value exceeding \$100  
Use additional copies of this page if necessary

DATE			
COST/VALUE OF GIFT	\$		
PUBLIC SERVANT BENEFITTED	First	MI	Last Governmental Body of Public Servant
DESCRIPTION OF GIFT			
AMOUNT PAID	\$		
NAME OF EMPLOYER/CLIENT			
NAMES OF OTHER LOBBYISTS SHARING COST			

DATE			
COST/VALUE OF GIFT	\$		
PUBLIC SERVANT BENEFITTED	First	MI	Last Governmental Body of Public Servant
DESCRIPTION OF GIFT			
AMOUNT PAID	\$		
NAME OF EMPLOYER/CLIENT			
NAMES OF OTHER LOBBYISTS SHARING COST			

DATE			
COST/VALUE OF GIFT	\$		
PUBLIC SERVANT BENEFITTED	First	MI	Last Governmental Body of Public Servant
DESCRIPTION OF GIFT			
AMOUNT PAID	\$		
NAME OF EMPLOYER/CLIENT			
NAMES OF OTHER LOBBYISTS SHARING COST			

DATE			
COST/VALUE OF GIFT	\$		
PUBLIC SERVANT BENEFITTED	First	MI	Last Governmental Body of Public Servant
DESCRIPTION OF GIFT			
AMOUNT PAID	\$		
NAME OF EMPLOYER/CLIENT			
NAMES OF OTHER LOBBYISTS SHARING COST			

## FOOD, LODGING OR TRAVEL

List expenditures exceeding \$40 per person per day for food (including beverages), lodging or travel

DATE OF EXPENDITURE	/	/	AMOUNT PAID TOWARD EXPENDITURE	\$	
PUBLIC SERVANT BENEFITED	First	MI	Last		Governmental Body Represented
DESCRIPTION OF ITEM					
NAME OF CONFERENCE, SEMINAR OR EVENT					
PURPOSE OF TRAVEL OR LODGING					
LODGING INFORMATION	Name of lodging establishment				
	Address		City	State	Zip
	Cost/Fair Market Value of Lodging (List Greater Value)				
	\$				
TRAVEL INFORMATION	Name of Entity Receiving Payment				
	Cost/Fair Market Value of Travel (List Greater Value)				
	\$				
EMPLOYER/CLIENT					
NAMES OF OTHER LOBBYISTS SHARING COST					

DATE OF EXPENDITURE	/	/	AMOUNT PAID TOWARD EXPENDITURE	\$	
PUBLIC SERVANT BENEFITED	First	MI	Last		Governmental Body Represented
DESCRIPTION OF ITEM					
NAME OF CONFERENCE, SEMINAR OR EVENT					
PURPOSE OF TRAVEL OR LODGING					
LODGING INFORMATION	Name of lodging establishment				
	Address		City	State	Zip
	Cost/Fair Market Value of Lodging (List Greater Value)				
	\$				
TRAVEL INFORMATION	Name of Entity Receiving Payment				
	Cost/Fair Market Value of Travel (List Greater Value)				
	\$				
EMPLOYER/CLIENT					
NAMES OF OTHER LOBBYISTS SHARING COST					



## Food, Lodging or Travel Continued

DATE OF EXPENDITURE / /		AMOUNT PAID TOWARD EXPENDITURE \$	
PUBLIC SERVANT BENEFITED	First MI Last	Governmental Body Represented	
DESCRIPTION OF ITEM			
NAME OF CONFERENCE, SEMINAR OR EVENT			
PURPOSE OF TRAVEL OR LODGING			
LODGING INFORMATION	Name of lodging establishment		
	Address	City	State Zip
	Cost/Fair Market Value of Lodging (List Greater Value)		
	\$		
TRAVEL INFORMATION	Name of Entity Receiving Payment		
	Cost/Fair Market Value of Travel (List Greater Value)		
	\$		
EMPLOYER/CLIENT			
NAMES OF OTHER LOBBYISTS SHARING COST			

DATE OF EXPENDITURE / /		AMOUNT PAID TOWARD EXPENDITURE \$	
PUBLIC SERVANT BENEFITED	First MI Last	Governmental Body Represented	
DESCRIPTION OF ITEM			
NAME OF CONFERENCE, SEMINAR OR EVENT			
PURPOSE OF TRAVEL OR LODGING			
LODGING INFORMATION	Name of lodging establishment		
	Address	City	State Zip
	Cost/Fair Market Value of Lodging (List Greater Value)		
	\$		
TRAVEL INFORMATION	Name of Entity Receiving Payment		
	Cost/Fair Market Value of Travel (List Greater Value)		
	\$		
EMPLOYER/CLIENT			
NAMES OF OTHER LOBBYISTS SHARING COST			

## OTHER ITEMS

List any item with a value exceeding \$40

DATE ITEM GIVEN				
COST/VALUE OF ITEM	\$			
PUBLIC SERVANT BENEFITTED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID				
DESCRIPTION OF ITEM				
NAME OF EMPLOYER/CLIENT				
NAMES OF OTHER LOBBYISTS SHARING COST				
<hr/>				
DATE ITEM GIVEN				
COST/VALUE OF ITEM	\$			
PUBLIC SERVANT BENEFITTED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID				
DESCRIPTION OF ITEM				
NAME OF EMPLOYER/CLIENT				
NAMES OF OTHER LOBBYISTS SHARING COST				
<hr/>				
DATE ITEM GIVEN				
COST/VALUE OF ITEM	\$			
PUBLIC SERVANT BENEFITTED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID				
DESCRIPTION OF ITEM				
NAME OF EMPLOYER/CLIENT				
NAMES OF OTHER LOBBYISTS SHARING COST				
<hr/>				
DATE ITEM GIVEN				
COST/VALUE OF ITEM	\$			
PUBLIC SERVANT BENEFITTED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID				
DESCRIPTION OF ITEM				
NAME OF EMPLOYER/CLIENT				
NAMES OF OTHER LOBBYISTS SHARING COST				

## SPECIAL EVENTS

(Includes Hospitality Rooms)

Use additional copies of this page if necessary

DATE(S) OF EVENT	
NAME OF EVENT	
LOCATION OF EVENT	
GOVERNMENTAL BODY OR GROUP(S) OF PUBLIC SERVANTS INVITED	
AMOUNT PAID TOWARD TOTAL EXPENDITURE	
NAME OF EMPLOYER/CLIENT	
OTHER LOBBYISTS SHARING COST	
DATE(S) OF EVENT	
NAME OF EVENT	
LOCATION OF EVENT	
GOVERNMENTAL BODY OR GROUP(S) OF PUBLIC SERVANTS INVITED	
AMOUNT PAID TOWARD TOTAL EXPENDITURE	
NAME OF EMPLOYER/CLIENT	
OTHER LOBBYISTS SHARING COST	
DATE(S) OF EVENT	
NAME OF EVENT	
LOCATION OF EVENT	
GOVERNMENTAL BODY OR GROUP(S) OF PUBLIC SERVANTS INVITED	
AMOUNT PAID TOWARD TOTAL EXPENDITURE	
NAME OF EMPLOYER/CLIENT	
OTHER LOBBYISTS SHARING COST	
DATE(S) OF EVENT	
NAME OF EVENT	
LOCATION OF EVENT	
GOVERNMENTAL BODY OR GROUP(S) OF PUBLIC SERVANTS INVITED	
AMOUNT PAID TOWARD TOTAL EXPENDITURE	
NAME OF EMPLOYER/CLIENT	
OTHER LOBBYISTS SHARING COST	

## OTHER EXPENDITURES

Have you loaned or promised money or established a line of credit for or on behalf of a public servant over \$25 per individual? ☐ Yes ☐ No

If yes, complete the following information:

Date	Public Servant Benefited/Governmental Body Represented	Amount
		\$
		\$
		\$

Do you have a direct business association or partnership with any public servant whom you may lobby? ☐ Yes ☐ No

If yes, state the name of each such public servant and describe the business association or partnership in detail.

Name of public servant: \_\_\_\_\_

Business relationship: \_\_\_\_\_

Name of public servant: \_\_\_\_\_

Business relationship: \_\_\_\_\_

Name of public servant: \_\_\_\_\_

Business relationship: \_\_\_\_\_

Name of public servant: \_\_\_\_\_

Business relationship: \_\_\_\_\_

# LOBBYIST REGISTRATION FORM

*Please print or type*

If registering to lobby only public servants  
of state government\* file with:  
Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

For assistance in completing  
this form contact:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Toll Free (800) 422-7773

\*Lobbyists who lobby public servants of (i) municipal government, (ii) county government, (iii) a governmental body covering a district which includes all or part of more than one county, or (iv) more than one type of governmental body should review Ark. Code Ann. § 21-8-602 to determine where to make their filings.

Registration for \_\_\_\_\_

(year)

☐ Check if this is an amended registration

## Entity to be Lobbied

*Check each applicable box*

- |  |  |
|--|--|
| <input type="checkbox"/> Members of the General Assembly   | <input type="checkbox"/> Public Servants of State Government |
| <input type="checkbox"/> Public Servants of County Government _____  | Name of County _____   |
| <input type="checkbox"/> Public Servants of Municipal Government _____   | Name of Municipality _____                                   |
| <input type="checkbox"/> Public Servants of Other Governmental Body _____<br>(e.g., School District, Improvement District) | Name of Governmental Body _____                              |

## Type of Registration

*Check only one box*

☐ Individual Lobbyist      ☐ Firm

Name of individual lobbyist or firm \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_ Phone \_\_\_\_\_

If registering as a firm, list the name of a contact person: \_\_\_\_\_

If registering as a firm, list the name of each person who is authorized to lobby for the firm:

Print Name \_\_\_\_\_ Signature \_\_\_\_\_

Print Name \_\_\_\_\_ Signature \_\_\_\_\_

Print Name \_\_\_\_\_ Signature \_\_\_\_\_

Print Name \_\_\_\_\_ Signature \_\_\_\_\_

Print Name \_\_\_\_\_ Signature \_\_\_\_\_

Print Name \_\_\_\_\_ Signature \_\_\_\_\_

**Client/Employer**  
*List each client or employer for whom you lobby*  
*All information must be complete*

Name of Client/Employer	Mailing Address	Phone	Type of Business/Entity

I certify that I have examined this lobbyist registration form and the information contained herein is true and correct.

\_\_\_\_\_  
Signature of Individual Lobbyist/Contact Person for Firm

\_\_\_\_\_  
Date

## LOBBYIST NOTICE OF TERMINATION

To be filed with public official with  
whom the lobbyist is registered

For assistance in completing  
this form contact:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600

1. NAME OF INDIVIDUAL LOBBYIST OR FIRM: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY, STATE AND ZIP CODE: \_\_\_\_\_

PHONE: \_\_\_\_\_

2. DATE OF TERMINATION: \_\_\_\_\_

3. LOBBYING ACTIVITIES:

☐ **NO ACTIVITY TO BE REPORTED** (Check if you have already reported all lobbying activity for the period during which registration was in effect; file this page only)

☐ **REMAINING ACTIVITY DISCLOSED ON ATTACHED REPORT** (Check if you have lobbying activity which has not already been reported; attach report disclosing all unreported lobbying activity for the period during which registration was in effect)

I certify that I have examined this lobbyist notice of termination form and the information contained herein is true and correct.

\_\_\_\_\_  
Signature of Individual Lobbyist or Contact Person for Firm

# LOCAL-OPTION BALLOT QUESTION FINANCIAL REPORT OF PUBLIC SERVANT OR GOVERNMENTAL BODY SPENDING PUBLIC FUNDS

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

(Arkansas Ethics Commission File Stamp)

DRAFT

☐ Check if this report is an amendment to a previously filed report

<b>1. NAME OF INDIVIDUAL, PUBLIC SERVANT, OR GOVERNMENTAL BODY FILING REPORT</b>	<b>2. TYPE OF REPORT</b>  <input type="checkbox"/> Monthly Report (due 15 days after end of month)  <input type="checkbox"/> Preelection Report (due 7 days before election)  <input type="checkbox"/> Final Report (due 30 days after election)
<b>ADDRESS</b>	
<b>CITY, STATE AND ZIP CODE</b>	
<b>TELEPHONE NUMBER</b>	

This report covers period: (   -   -   ) through (   -   -   )

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTALS
3. TOTAL EXPENDITURES MADE DURING REPORTING PERIOD		

4. (   ) **NO ACTIVITY**    Check if you have not received or made any contributions during this reporting period.  
If you have no activity, file the first page of this report only.

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true, and accurate financial statement.

\_\_\_\_\_  
Signature of Individual, Public Servant,  
or Agent of Governmental Body

State of Arkansas  
County of \_\_\_\_\_ } ss

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

(Legible Notary Seal)

\_\_\_\_\_  
Signature of Notary Public

My Commission Expires \_\_\_\_\_

Adopted 12/2013



(NOTE: This includes not only expenditures made by the individual or elected official, but also expenditures made on their behalf by an advertising agency, public relations firm, or political consultant.)

Use Additional Copies of this Page if Necessary

**Adopted 12/2013**

(NOTE: This includes not only expenditures made by the individual or elected official, but also expenditures made on their behalf by an advertising agency, public relations firm, or political consultant.)  
Please Type or Print

(NOTE: This includes not only expenditures made by the individual or elected official, but also expenditures made on their behalf by an advertising agency, public relations firm, or political consultant.)  
Please Type or Print

**Adopted 12/2013**

**Please Type or Print**

## ~~11. PAID CANVASSERS, OFFICERS, AND DIRECTORS~~

**Adopted 12/2013**



Please Type or Print  
Do Not List Loans Previously Reported

### Do Not List Loans Previously Reported

## 9. TOTAL LOANS THIS REPORT

**10. ITEMIZED MONETARY CONTRIBUTIONS OF \$50 OR MORE RECEIVED BY COMMITTEE**

Please Type or Print  
Use Additional Copies of this Page if Necessary

Date of Receipt	Name of Contributor	Street Address of Contributor	Place of Business Employer/Occupation	Amount of Contribution	Cumulative Total from this Contributor

# ITEMIZED MONETARY CONTRIBUTIONS OF \$50 OR MORE RECEIVED BY COMMITTEE

Please Type or Print

Date of Receipt	Name of Contributor	Street Address of Contributor	Place of Business Employer/Occupation	Amount of Contribution	Cumulative Total from this Contributor
11. TOTAL ITEMIZED MONETARY CONTRIBUTIONS OF \$50 OR MORE					
12. TOTAL UNITEMIZED MONETARY CONTRIBUTIONS					
13. TOTAL MONETARY CONTRIBUTIONS THIS REPORT (includes totals from lines 9, 11, and 12)					

#### 14. NONMONEY CONTRIBUTIONS RECEIVED BY COMMITTEE

(Does not include volunteer services by individuals)

Date of Receipt	Name of Contributor	Street Address of Contributor	Description and Value of Nonmoney Item	Cumulative Total from this Contributor
15. TOTAL NONMONEY CONTRIBUTIONS THIS REPORT				

#### IMPORTANT

In addition to monetary contributions, committees should report the receipt of any nonmoney ("in-kind") contributions. A committee receives an in-kind contribution whenever a person provides the committee with an item or service without charge or for a charge that is less than the fair market value of the item or service in question.



Please Type or Print  
Use Additional Copies of this Page if Necessary

**Adopted 12/2013**

## Please Type or Print

**Adopted 12/2013**

## Please Type or Print

Please Type or Print

## 21. TOTAL EXPENDITURES BY CATEGORY

## ~~22. PAID CANVASSERS, OFFICERS, AND DIRECTORS~~

23. TOTAL AMOUNT PAID CANVASSERS, OFFICERS, AND DIRECTORS	\$
---	----

Revised 08/2015

(NOTE: This includes not only contributions made by the person, but also contributions made on such person's behalf made by an advertising agency, public relations firm, or political consultant.)

Use Additional Copies of this Page if Necessary

Revised 08/2015

(NOTE: This includes not only contributions made by the person, but also contributions made on such person's behalf made by an advertising agency, public relations firm, or political consultant.)  
Please Type or Print

Revised 08/2015



# LOCAL-OPTION BALLOT QUESTION COMMITTEE (L-OBQC) FINANCIAL REPORT OF PERSON MEETING THE DEFINITION OF L-OBQC SET FORTH IN § 3-8-702(7)(A)\*

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

(Arkansas Ethics Commission File Stamp)

☐ Check if this report is an amendment to a previously filed report

<b>1. NAME OF COMMITTEE (IN FULL)</b>	
<b>ADDRESS</b>	<b>2. TYPE OF REPORT</b> <input type="checkbox"/> Monthly Report (due 15 days after end of month) <input type="checkbox"/> Preelection Report (due 7 days before election)* <input type="checkbox"/> Final Report (due 30 days after election)
<b>CITY, STATE AND ZIP CODE</b>	*NOTE: Preelection report must be received by the Ethics Commission on or before due date.
<b>TELEPHONE NUMBER</b>	

This report covers period: (     -     -     ) through (     -     -     )

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTALS
3. BALANCE OF FUNDS AT BEGINNING OF REPORTING PERIOD		
4. TOTAL MONETARY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD		
5. TOTAL EXPENDITURES MADE DURING REPORTING PERIOD		
6. BALANCE OF FUNDS AT CLOSE OF REPORTING PERIOD		

7. (     ) **NO ACTIVITY** Check if you have not received or made any contributions during this reporting period.  
If you have no activity, file the first page of this report only.

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true, and accurate financial statement.

\_\_\_\_\_  
Signature of Local-Option Ballot Question Committee Officer

State of Arkansas } ss  
County of \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

(Legible Notary Seal)  
My Commission Expires \_\_\_\_\_

\_\_\_\_\_  
Signature of Notary Public

\* Ark. Code Ann. § 3-8-702(7)(A) provides as follows: "local-option ballot question committee" means any person, located within or outside Arkansas, that receives contributions for the purpose of expressly advocating the qualification, disqualification, passage, or defeat of a local-option ballot question or any person, other than an elected official expending public funds, or an individual, located within or outside Arkansas, that makes expenditures for the purpose of expressly advocating the qualification, disqualification, passage, or defeat of a local-option ballot question.



Please Type or Print  
Do Not List Loans Previously Reported

### Do Not List Loans Previously Reported

## 9. TOTAL LOANS THIS REPORT

**10. ITEMIZED MONETARY CONTRIBUTIONS OF \$50 OR MORE RECEIVED BY COMMITTEE**

Please Type or Print  
Use Additional Copies of this Page if Necessary

Date of Receipt	Name of Contributor	Street Address of Contributor	Place of Business Employer/Occupation	Amount of Contribution	Cumulative Total from this Contributor

# ITEMIZED MONETARY CONTRIBUTIONS OF \$50 OR MORE RECEIVED BY COMMITTEE

Please Type or Print

Date of Receipt	Name of Contributor	Street Address of Contributor	Place of Business Employer/Occupation	Amount of Contribution	Cumulative Total from this Contributor
11. TOTAL ITEMIZED MONETARY CONTRIBUTIONS OF \$50 OR MORE					
12. TOTAL UNITEMIZED MONETARY CONTRIBUTIONS					
13. TOTAL MONETARY CONTRIBUTIONS THIS REPORT (includes totals from lines 9, 11, and 12)					

#### 14. NONMONEY CONTRIBUTIONS RECEIVED BY COMMITTEE

(Does not include volunteer services by individuals)

Date of Receipt	Name of Contributor	Street Address of Contributor	Description and Value of Nonmoney Item	Cumulative Total from this Contributor
15. TOTAL NONMONEY CONTRIBUTIONS THIS REPORT				

#### IMPORTANT

In addition to monetary contributions, committees should report the receipt of any nonmoney ("in-kind") contributions. A committee receives an in-kind contribution whenever a person provides the committee with an item or service without charge or for a charge that is less than the fair market value of the item or service in question.

**16. ITEMIZED EXPENDITURES OF \$100 OR MORE MADE BY COMMITTEE OR ON BEHALF OF COMMITTEE BY ADVERTISING AGENCY, PUBLIC RELATIONS FIRM, OR POLITICAL CONSULTANT**

Please Type or Print

Use Additional Copies of this Page if Necessary

[illegible]

## Please Type or Print

**Adopted 12/2013**

## Please Type or Print

## 22. ~~PAID CANVASSERS, OFFICERS, AND DIRECTORS~~

**Adopted 12/2013**

**LOCAL-OPTION BALLOT QUESTION COMMITTEE ("L-OBQC")**  
**FINANCIAL REPORT OF PERSON MEETING THE 2%/\$10,000 TEST IN § 3-8-**  
**702(7)(B)\***

(Arkansas Ethics Commission File Stamp)

1. NAME OF INDIVIDUAL OR ELECTED OFFICIAL FILING REPORT

<u>1. NAME OF INDIVIDUAL OR ELECTED OFFICIAL FILING REPORT</u>		
<u>ADDRESS</u>		<u>2. TYPE OF REPORT</u>  <input type="checkbox"/> <u>Monthly Report (due 15 days after end of month)</u>  <input type="checkbox"/> <u>Preelection Report (due 7 days before election)</u>  <input type="checkbox"/> <u>Final Report (due 30 days after election)</u>
<u>CITY, STATE AND ZIP CODE</u>		
<u>TELEPHONE NUMBER</u>		

**This report covers period:** (       -       -       ) through (       -       -       )

<u>SUMMARY</u>	<u>FOR REPORTING PERIOD</u>	<u>CUMULATIVE TOTALS</u>
3. TOTAL MONETARY CONTRIBUTIONS MADE DURING REPORTING PERIOD (enter amount from line 8)		

**4. ( ) NO ACTIVITY** Check if you have not made any contributions during this reporting period.  
If you have no activity, file the first page of this report only.

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true, and accurate financial statement.

Signature of Person Filing Report

State of Arkansas } ss  
County of

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

(Legible Notary Seal)

### My Commission Expires

\* Ark. Code Ann. § 3-8-702(7)(B) provides, in pertinent part, as follows: a person other than an individual or an approved political action committee as defined in § 7-6-201, located within or outside Arkansas ... qualifies as a local-option ballot question committee if two percent (2%) or more of the committee's annual revenues, operating expenses, or funds are used to make a contribution or contributions to another ballot question committee and if the contribution or contributions exceed ten thousand dollars (\$10,000) in value.



## 5. ITEMIZED CONTRIBUTIONS OF \$100 OR MORE

(NOTE: This includes not only contributions made by the person, but also contributions made on such person's behalf made by an advertising agency, public relations firm, or political consultant.)

Please Type or Print

Use Additional Copies of this Page if Necessary

[illegible]

### **ITEMIZED CONTRIBUTIONS OF \$100 OR MORE**

(NOTE: This includes not only contributions made by the person, but also contributions made on such person's behalf made by an advertising agency, public relations firm, or political consultant.)

Please Type or Print

[illegible]



# LOCAL-OPTION BALLOT QUESTION COMMITTEE (L-OBQC): STATEMENT OF ORGANIZATION

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

(Arkansas Ethics Commission File Stamp)

# DRAFT

☐ Check if this is an amendment to a previously filed statement of organization

## Section One: L-OBQC Name

Name of L-OBQC (in full): \_\_\_\_\_

## Section Two: L-OBQC Address & Phone Number

If L-OBQC has no office address, use the address of the L-OBQC officer authorized to receive notices on behalf of the L-OBQC.

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

## Section Three: L-OBQC Officers and Directors

Provide the name, title, address, and telephone number of the treasurer and other principal officers and directors of the L-OBQC.

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

\* The term local-option "Ballot Question Committee" is defined in Ark. Code Ann. § 3-8-702(7)(A) and (B) and § 800(i)(1) and (2) of the Ethics Commission's Rules on Local-Option Ballot Question Committees.

Adopted 12/2013

**Section Four: Financial Information**

Provide the name and address of each financial institution in which the L-OBQC deposits money or anything else of monetary value.

Name of Financial Institution: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Name of Financial Institution: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**Section Five: Members**

Provide the name of each person who is a member of the committee. A person that is not an individual may be listed by its name without also listing its own members, if any.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Section Six: Brief Statement**

Provide a brief statement identifying the substance of each local-option ballot question as to which the L-OBQC will expressly advocate the qualification, disqualification, passage, or defeat, and, if known, the date each local-option ballot question shall be presented to a popular vote at an election.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of L-OBQC Officer

**LOCAL-OPTION BALLOT QUESTION COMMITTEE (L-OBQC)  
NOTICE OF DISSOLUTION**

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

(Arkansas Ethics Commission File Stamp)

1. NAME OF L-OBQC (IN FULL): \_\_\_\_\_  
ADDRESS: \_\_\_\_\_  
CITY, STATE AND ZIP CODE: \_\_\_\_\_

2. REMAINING FUNDS ON HAND AT TIME OF DISSOLUTION      \$ \_\_\_\_\_

3. METHOD BY WHICH REMAINING FUNDS WERE DISPOSED OF:

- ☐ Treasurer of State (for benefit of General Revenue Fund Account of the State Apportionment Fund)
- ☐ An organized political party or a political party caucus of the Arkansas General Assembly, the Senate, or the House of Representatives
- ☐ A nonprofit organization that is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code
- ☐ Cities of the first class, cities of the second class, or incorporated towns
- ☐ Contributors to the LO-BQC

\_\_\_\_\_  
DATE

\_\_\_\_\_  
SIGNATURE OF LO-BQC OFFICER

# POLITICAL ACTION COMMITTEE (PAC) REGISTRATION FORM

To be filed with:  
**Mark Martin, Secretary of State**  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

Registration for calendar year \_\_\_\_\_

*For assistance in completing  
this form contact:*  
**Arkansas Ethics Commission**  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Toll Free (800) 422-7773

Is this report an amendment? ☐ Yes ☐ No

## **Section One: PAC Name**

If the name of the PAC is an acronym, the full name of the PAC and the acronym should be disclosed.

Name of PAC (in full): \_\_\_\_\_

Acronym (if applicable): \_\_\_\_\_

## **Section Two: PAC Address & Phone Number**

If PAC has no office address, use the address of the PAC officer authorized to receive notices on behalf of the PAC.

Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_ Telephone Number \_\_\_\_\_

## **Section Three: PAC Officers**

Provide the name, address, telephone number, and place of employment for each officer of the PAC.

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

**Section Four: Interests Represented**

Provide any professional, business, trade, labor, or other interests represented by the PAC. Include any individual business, organization, association, corporation, labor organization, or other group or firm whose interests will be represented by the PAC.

Name of Interest Represented: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Name of Interest Represented: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Name of Interest Represented: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Name of Interest Represented: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**Section Five: Financial Institution**

Provide the financial institution that the committee designates as its official depository for purposes of receiving contributions or making expenditures within the State of Arkansas.

Full Name of Financial Institution: \_\_\_\_\_

Street Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**Section Six: Written Acceptance of Designation as Resident Agent**

I hereby accept the designation as Resident Agent.

\_\_\_\_\_  
Signature of Resident Agent

\_\_\_\_\_  
Name of Resident Agent

\_\_\_\_\_  
Telephone Number of Resident Agent

\_\_\_\_\_  
Street Address of Resident Agent

\_\_\_\_\_  
City, State, Zip Code of Resident Agent

**Affidavit**

I certify under oath that the above information is true and correct. In addition, I certify that the committee shall maintain for a period of four (4) years records evidencing (1) the name, address, and place of employment of each person who contributed to the committee, along with the amount contributed and (2) the name and address of each candidate or committee which received a contribution from the committee, along with the amount contributed. By filing this registration form, the committee hereby submits itself to the jurisdiction of the State of Arkansas for all purposes related to compliance with subchapter 2 of chapter 6, Title 7 of the Arkansas Code.

State of Arkansas

County of \_\_\_\_\_ } ss.

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Signature of Committee Officer

(Legible Notary Seal)

\_\_\_\_\_  
Signature of Notary Public

My Commission Expires: \_\_\_\_\_



# POLITICAL ACTION COMMITTEE (PAC) QUARTERLY REPORTING FORM

To be filed with:

Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

Calendar Year \_\_\_\_\_

☐ Check if this report is an amendment

For assistance in completing  
this form contact:

Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Toll Free (800) 422-7773

<b>1. NAME OF COMMITTEE (IN FULL)</b>  	<b>2. TYPE OF REPORT</b>  <input type="checkbox"/> <b>First Quarter—due April 15</b> <small>covers January 1 through March 31</small> <input type="checkbox"/> <b>Second Quarter—due July 15</b> <small>covers April 1 through June 30</small> <input type="checkbox"/> <b>Third Quarter—due Oct 15</b> <small>covers July 1 through September 30</small> <input type="checkbox"/> <b>Fourth Quarter—due Jan 15</b> <small>covers October 1 through December 31</small>
<b>ADDRESS</b>  	<b>3. Will PAC renew its registration for upcoming calendar year?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO <i>NOTE: If "YES" registration renewal must be submitted with Fourth Quarter report</i>
<b>CITY, STATE AND ZIP CODE</b>  	

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTALS
4. BALANCE OF FUNDS AT BEGINNING OF REPORTING PERIOD		
5. INTEREST EARNED ON COMMITTEE FUNDS (IF ANY)		
6. TOTAL MONETARY CONTRIBUTIONS RECEIVED		
7. TOTAL CONTRIBUTIONS MADE TO CANDIDATES/COMMITTEES		
8. ADMINISTRATIVE EXPENSES		
9. BALANCE OF FUNDS AT CLOSE OF REPORTING PERIOD		
10. (    ) <b>NO ACTIVITY</b> (check if you have not received or made any contributions during this reporting period)		

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true, and accurate financial statement.

\_\_\_\_\_  
Signature of PAC Officer

State of Arkansas } ss

County of \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Signature of Notary Public

(Legible Notary Seal)

My Commission Expires: \_\_\_\_\_

**Note: If faxed, notary seal must be legible (i.e., either stamped or raised and inked) and the original must follow within ten (10) days.**

## BY COMMITTEE OVER \$500

Please Type or Print

Use Additional Copies of this Page if Necessary

[illegible]

**ITEMIZED MONETARY CONTRIBUTIONS RECEIVED  
BY COMMITTEE OVER \$500**

Please Type or Print

Date	Name of Contributor	Address of Contributor	Employer/ Place Of Business	Amount Of Contribution	Cumulative Total for Year
12. TOTAL ITEMIZED MONETARY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD					
13. TOTAL UNITEMIZED MONETARY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD					
14. <b>TOTAL MONETARY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD</b> (to be entered on line #6)					

**15. ITEMIZED NONMONEY CONTRIBUTIONS RECEIVED  
BY COMMITTEE OVER \$500**

Please Type or Print  
Use Additional Copies of this Page if Necessary

Date of Receipt	Full Name and Address of Contributor	Description of Nonmoney Item	Value of Nonmoney Item	Cumulative Total From This Contributor
16. TOTAL ITEMIZED NONMONEY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD				
17. TOTAL NONITEMIZED NONMONEY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD				
18. TOTAL NONMONEY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD				

**IMPORTANT**

**In addition to monetary contributions, political action committees are required to report the receipt of any nonmoney ("in-kind") contributions. A political action committee receives an in-kind contribution whenever a person provides it with an item or service without charge or for a charge that is less than the fair market value of the item or service in question. The value of an in-kind contribution is the difference between the fair market value and the amount charged.**

## AND COMMITTEES OVER \$50

Use Additional Copies of this Page if Necessary

[illegible]

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISÉ 08/2015

# ITEMIZED MONETARY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES OVER \$50

Please Type or Print

Date	Name of Candidate/Committee To Whom Contribution Made	Address Of Candidate/Committee	Election for Which Contribution was Made	Amount Of Contribution
20. TOTAL ITEMIZED MONETARY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES DURING REPORTING PERIOD				
21. TOTAL UNITEMIZED MONETARY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES DURING REPORTING PERIOD				
22. <b>TOTAL MONETARY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES DURING REPORTING PERIOD</b> (to be entered on line #7)				

## 23. ITEMIZED NONMONEY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES OVER \$50

Please Type or Print

Date	Name and Address of Candidate/Committee To Whom Contribution Made	Election (if applicable) for which Contribution was Made	Description of Nonmoney Item	Value of Nonmoney Item
24. TOTAL ITEMIZED NONMONEY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES DURING REPORTING PERIOD				
25. TOTAL UNITEMIZED NONMONEY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES DURING REPORTING PERIOD				
26. <b>TOTAL NONMONEY CONTRIBUTIONS MADE TO CANDIDATES AND COMMITTEES DURING REPORTING PERIOD</b>				

## 27. ITEMIZED ADMINISTRATIVE EXPENSES OVER \$100

Please Type or Print

[illegible]



**POLITICAL ACTION COMMITTEE (PAC)  
NOTICE OF TERMINATION**

To be filed with:  
Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

For assistance in completing  
this form contact:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600

1. NAME OF COMMITTEE (IN FULL): \_\_\_\_\_  
ADDRESS: \_\_\_\_\_  
CITY, STATE AND ZIP CODE: \_\_\_\_\_
2. DATE COMMITTEE CEASED TO EXIST: \_\_\_\_\_
3. CONTRIBUTIONS AND EXPENDITURES:

☐ **NO ACTIVITY TO BE REPORTED** (Check if PAC has already reported all financial activity during the period its registration was in effect; file this page only)

☐ **REMAINING ACTIVITY DISCLOSED ON ATTACHED REPORT** (Check if PAC has financial activity which has not already been reported; attach report disclosing all unreported financial activity during period PAC's registration was in effect)

Affidavit

I certify under oath that the above information is true and correct. In addition, I certify that the committee shall maintain for a period of four (4) years records evidencing (1) the name, address, and place of employment of each person who contributed to the above-named committee, along with the amount contributed and (2) the name and address of each candidate or committee which received a contribution from the above-named committee, along with the amount contributed.

\_\_\_\_\_  
Signature of Committee Officer

State of Arkansas                    )  
  ) ss.  
County of \_\_\_\_\_ )

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Signature of Notary Public

My Commission Expires: \_\_\_\_\_

# POLITICAL PARTY QUARTERLY REPORTING FORM

To be filed with:  
Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3408

Calendar Year \_\_\_\_\_

For assistance in completing  
this form contact:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Toll Free (800) 422-7773

<b>1. NAME OF POLITICAL PARTY</b>  <b>ADDRESS</b>  <b>CITY, STATE AND ZIP CODE</b>	<b>2. TYPE OF REPORT</b>  <input type="checkbox"/> <b>First Quarter—due April 15</b> <small>covers January 1 through March 31</small> <input type="checkbox"/> <b>Second Quarter—due July 15</b> <small>covers April 1 through June 30</small> <input type="checkbox"/> <b>Third Quarter—due Oct 15</b> <small>covers July 1 through September 30</small> <input type="checkbox"/> <b>Fourth Quarter—due Jan 15</b> <small>covers October 1 through December 31</small>  <b>3. IS THIS REPORT AN AMENDMENT?</b>  <input type="checkbox"/> YES <input type="checkbox"/> NO
--	--

SUMMARY	FOR REPORTING PERIOD
4. TOTAL CONTRIBUTIONS RECEIVED (enter total from line 18)	
5. TOTAL DISBURSEMENTS MADE (enter total from line 22)	
6. (    ) <b>NO ACTIVITY</b> (check if political party has not received any contributions or made any disbursements during the reporting period)	

I certify under oath that I have examined this report and to the best of my knowledge and belief the information disclosed herein is complete, true, and accurate.

\_\_\_\_\_  
Signature of Political Party Representative

State of Arkansas <div style="text-align: right;">} ss</div> County of _____  Subscribed and sworn before me this _____ day of _____, 20_____.  <div style="text-align: center;">           _____            Signature of Notary Public         </div> <div style="text-align: center; margin-top: 10px;">           (Legible Notary Seal)         </div> My Commission Expires: _____	
<b>Note: If faxed, notary seal must be legible (i.e., either stamped or raised and inked) and the original must follow within ten (10) days.</b>	

Please Type or Print  
Do not list loans previously reported

Do not list loans previously reported

## 8. TOTAL LOANS RECEIVED DURING REPORTING PERIOD

### 9. CONTRIBUTORS OF MORE THAN \$50

Provide the Information Below with Respect to  
Each Person Who Made a Contribution or Contributions  
Which in the Aggregate Exceeded \$50 During the Calendar Quarter

Please Type or Print

Use Additional Copies of this Page if Necessary

Name of Contributor	Address of Contributor	Employer and Occupation of Contributor	Date of Contribution	Amount of Contribution

## CONTRIBUTORS OF MORE THAN \$50

Please Type or Print  
Use Additional Copies of this Page if Necessary

Name of Contributor	Address of Contributor	Employer and Occupation of Contributor	Date of Contribution	Amount of Contribution
10. TOTAL ITEMIZED MONETARY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD				
11. TOTAL UNITEMIZED MONETARY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD				
12. TOTAL LOANS RECEIVED DURING REPORTING PERIOD (enter total from line 8)				
13. TOTAL LOANS AND MONETARY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD (includes totals from lines 10, 11, and 12)				

Ark. Code Ann. § 7-6-202 provides that a person who knowingly fails to comply with the provisions of subchapter 2 of chapter 6, Title 7 of the Arkansas Code shall upon conviction be guilty of a Class A misdemeanor.

REVISED 08/2015

# **14. ITEMIZED NONMONEY CONTRIBUTIONS OF MORE THAN \$50 RECEIVED BY PARTY**

Please Type or Print  
Use Additional Copies of this Page if Necessary

Date	Name and Address of Contributor	Employer and Occupation of Contributor	Description of Nonmoney Item	Value of Nonmoney Item
15. TOTAL ITEMIZED NONMONEY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD				
16. TOTAL UNITEMIZED NONMONEY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD				
17. TOTAL NONMONEY CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD				
18. TOTAL CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD (includes totals from lines 13 and 17)				

## **IMPORTANT**

**In addition to monetary contributions, political parties are required to report the receipt of any nonmoney ("in-kind") contributions. A political party receives an in-kind contribution whenever a person provides it with an item or service without charge or for a charge that is less than the fair market value of the item or service in question. The value of an in-kind contribution is the difference between the fair market value and the amount charged.**

## 19. ITEMIZED DISBURSEMENTS OF MORE THAN \$100

Please Type or Print

Use Additional Copies of this Page if Necessary

[illegible]

### ITEMIZED DISBURSEMENTS OF MORE THAN \$100

Please Type or Print

Use Additional Copies of this Page if Necessary

[illegible]



# QUARTERLY DISCLOSURE FORM

for gifts, grants, and donations of money or property received  
by certain designated officials on behalf of appropriate entities

To be filed with:  
Arkansas Ethics Commission  
Post Office Box 1917  
Little Rock, AR 72203  
Phone (501) 324-9600  
Fax (501) 324-9606

Filing for \_\_\_\_\_  
(year)

(Arkansas Ethics Commission File Stamp)

<b>1.</b>   <b>NAME OF PUBLIC OFFICIAL</b>   <b>OFFICE HELD</b>   <b>ADDRESS</b>   <b>CITY, STATE and ZIP CODE</b>	<b>2. TYPE OF REPORT</b>  <input type="checkbox"/> <b>April 15 Quarterly</b> covers January 1 through March 31  <input type="checkbox"/> <b>July 15 Quarterly</b> covers April 1 through June 30  <input type="checkbox"/> <b>October 15 Quarterly</b> covers July 1 through September 30  <input type="checkbox"/> <b>January 15 Quarterly</b> covers October 1 through December 31
	<b>3. IS THIS REPORT AN AMENDMENT?</b>  <input type="checkbox"/> YES <input type="checkbox"/> NO

4.	DESCRIPTION OF ITEM	NAME OF PERSON FROM WHOM ITEM RECEIVED	ESTIMATED VALUE
a)			
b)			
c)			
d)			

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Public Official

Ark. Code Ann. § 21-8-403 provides that, upon conviction, any person who violates any provision of subchapter 4, 6, 7, or 8 of chapter 8, Title 21 of the Arkansas Code is guilty of a Class A misdemeanor. The culpable mental state required shall be a purposeful violation.

REVISED 08/2015

# STATEMENT OF FINANCIAL INTEREST

State/District officials file with:  
Mark Martin, Secretary of State  
State Capitol, Room 026  
Little Rock, AR 72201  
Phone (501) 682-5070  
Fax (501) 682-3548

Calendar year covered \_\_\_\_\_  
(Note: Filing covers the previous calendar year)

For assistance in completing  
this form contact:  
Arkansas Ethics Commission  
Phone (501) 324-9600  
Toll Free (800) 422-7773

Is this an amendment? ☐ Yes ☐ No

Please provide complete information. If the information requested in a particular section does not apply to you, indicate such by noting "Not Applicable" in that section. Do not leave any part of this form blank. If additional space is needed, you may attach the information to this document. Do not file this form with the Arkansas Ethics Commission.

# DRAFT

## SECTION 1- NAME AND ADDRESS

Name \_\_\_\_\_  
(Last) (First) (Middle)  
Address \_\_\_\_\_  
(Street or P.O. Box Number) (City) (State) (Zip Code)  
Phone \_\_\_\_\_  
Spouse's name \_\_\_\_\_  
(Last) (First) (Middle)  
All names under which you and/or your spouse do business: \_\_\_\_\_

## SECTION 2- REASON FOR FILING

- ☐ Public Official \_\_\_\_\_  
(office held)
- ☐ Candidate \_\_\_\_\_  
(office sought)
- ☐ District Judge \_\_\_\_\_  
(name of municipality district)
- ☐ City Attorney \_\_\_\_\_  
(name of city)
- ☐ State Government: Agency Head/Department Director/Division Director \_\_\_\_\_  
(name of agency/department/division)
- ☐ Chief of Staff or Chief Deputy \_\_\_\_\_  
(name of Constitutional Officer, Senate, or House of Representatives)
- ☐ Public appointee to State Board or Commission \_\_\_\_\_  
(name of board/commission)
- ☐ School Board member \_\_\_\_\_  
(name of school district)
- ☐ Candidate for school board \_\_\_\_\_  
(name of school district)
- ☐ Public or Charter School Superintendent \_\_\_\_\_  
(name of school district/school)
- ☐ Executive Director of Education Service Cooperative \_\_\_\_\_  
(name of cooperative)
- ☐ Advertising and Promotion Commission member \_\_\_\_\_  
(name of advertising and promotion commission)
- ☐ Research Park Authority Board member under A.C.A. § 14-144-201 et seq. \_\_\_\_\_  
(name of research park authority board)

**SECTION 2- REASON FOR FILING (continued)**

- ☐ Appointee to one of the following municipal, county or regional boards or commissions (list name of board or commission):
- ☐ Planning board or commission \_\_\_\_\_
  - ☐ Airport board or commission \_\_\_\_\_
  - ☐ Water or Sewer board or commission \_\_\_\_\_
  - ☐ Utility board or commission \_\_\_\_\_
  - ☐ Civil Service commission \_\_\_\_\_

**SECTION 3- SOURCE OF INCOME**

List each employer and/or each other source of income from which you, your spouse, or any other person for the use or benefit of you or your spouse receives gross income amounting to more than \$1,000. (You are not required to disclose the individual items of income that constitute a portion of the gross income of the business or profession from which you or your spouse derives income. For example: accountants, attorneys, farmers, contractors, etc. do not have to list their individual clients.) If you receive gross income exceeding \$1,000 from at least one source, the answer N/A is not correct.

- a) Check appropriate box: ☐ More than \$1,000 ☐ More than \$12,500

\_\_\_\_\_  
(name of employer or source of income)

\_\_\_\_\_  
(address)

\_\_\_\_\_  
(name under which income received)

Provide a brief description of the nature of the services for which the compensation was received \_\_\_\_\_

- b) Check appropriate box: ☐ More than \$1,000 ☐ More than \$12,500

\_\_\_\_\_  
(name of employer or source of income)

\_\_\_\_\_  
(address)

\_\_\_\_\_  
(name under which income received)

Provide a brief description of the nature of the services for which the compensation was received \_\_\_\_\_

- c) Check appropriate box: ☐ More than \$1,000 ☐ More than \$12,500

\_\_\_\_\_  
(name of employer or source of income)

\_\_\_\_\_  
(address)

\_\_\_\_\_  
(name under which income received)

Provide a brief description of the nature of the services for which the compensation was received \_\_\_\_\_

#### **SECTION 4- BUSINESS OR HOLDINGS**

List the name of every business in which you, your spouse or any other person for the use or benefit of you or your spouse have an investment or holding. Individual stock holdings should be disclosed. Figures should be based on fair market value at the end of the reporting period.

a)	Check appropriate box:	<input type="checkbox"/> More than \$1,000	<input type="checkbox"/> More than \$12,500
<hr/>			
(name of corporation, firm or enterprise)			
<hr/>			
(address)			
<hr/>			
(name under which investment held)			
<hr/>			
b)	Check appropriate box:	<input type="checkbox"/> More than \$1,000	<input type="checkbox"/> More than \$12,500
<hr/>			
(name of corporation, firm or enterprise)			
<hr/>			
(address)			
<hr/>			
(name under which investment held)			
<hr/>			
c)	Check appropriate box:	<input type="checkbox"/> More than \$1,000	<input type="checkbox"/> More than \$12,500
<hr/>			
(name of corporation, firm or enterprise)			
<hr/>			
(address)			
<hr/>			
(name under which investment held)			
<hr/>			
d)	Check appropriate box:	<input type="checkbox"/> More than \$1,000	<input type="checkbox"/> More than \$12,500
<hr/>			
(name of corporation, firm or enterprise)			
<hr/>			
(address)			
<hr/>			
(name under which investment held)			
<hr/>			
e)	Check appropriate box:	<input type="checkbox"/> More than \$1,000	<input type="checkbox"/> More than \$12,500
<hr/>			
(name of corporation, firm or enterprise)			
<hr/>			
(address)			
<hr/>			
(name under which investment held)			
<hr/>			
f)	Check appropriate box:	<input type="checkbox"/> More than \$1,000	<input type="checkbox"/> More than \$12,500
<hr/>			
(name of corporation, firm or enterprise)			
<hr/>			
(address)			
<hr/>			
(name under which investment held)			

### **SECTION 5- OFFICE OR DIRECTORSHIP**

List every office or directorship held by you or your spouse in any business, corporation, firm, or enterprise subject to jurisdiction of a regulatory agency of this State, or of any of its political subdivisions.

a) \_\_\_\_\_  
(name of business, corporation, firm, or enterprise)

\_\_\_\_\_  
(address)

\_\_\_\_\_  
(office or directorship held)

\_\_\_\_\_  
(name of office holder)

b) \_\_\_\_\_  
(name of business, corporation, firm, or enterprise)

\_\_\_\_\_  
(address)

\_\_\_\_\_  
(office or directorship held)

\_\_\_\_\_  
(name of office holder)

### **SECTION 6- CREDITORS**

List each creditor to whom the value of five thousand dollars (\$5,000) or more was personally owed or personally obligated and is still outstanding. (This does not include debts owed to members of your family or loans made in the ordinary course of business by either a financial institution or a person who regularly and customarily extends credit.)

a) \_\_\_\_\_  
(name of creditor)

\_\_\_\_\_  
(address of creditor)

b) \_\_\_\_\_  
(name of creditor)

\_\_\_\_\_  
(address of creditor)

c) \_\_\_\_\_  
(name of creditor)

\_\_\_\_\_  
(address of creditor)

### **SECTION 7- PAST-DUE AMOUNTS OWED TO GOVERNMENT**

List the name and address of each governmental body to which you are legally obligated to pay a past-due amount and a description of the nature of the amount of the obligation.

a) \_\_\_\_\_  
(name of governmental body) (address of governmental body)

\_\_\_\_\_  
(amount owed) (nature of the obligation)

b) \_\_\_\_\_  
(name of governmental body) (address of governmental body)

\_\_\_\_\_  
(amount owed) (nature of the obligation)

### SECTION 8- GUARANTOR OR CO-MAKER

List each guarantor or co-maker who has guaranteed a debt of yours that is still outstanding. (This includes debt guarantors arising or extended and refinanced after Jan. 1, 1989. Members of your family who are your guarantors are not required to be disclosed.)

a) \_\_\_\_\_  
(name)  
\_\_\_\_\_  
(address)  
b) \_\_\_\_\_  
(name)  
\_\_\_\_\_  
(address)

### SECTION 9- GIFTS

List the source, date, description, and a reasonable estimate of the fair market value of each gift of more than \$100 received by you or your spouse and of each gift of more than \$250 received by your dependent children. The term "gift" is defined as "any payment, entertainment, advance, services, or anything of value unless consideration of equal or greater value has been given therefor." There are a number of exceptions to the definition of "gift." Those exceptions are set forth in the Instructions for Statement of Financial Interest prepared for use with this form. (Note: The value of an item shall be considered to be less than \$100 if the public servant reimburses the person from whom the item was received any amount over \$100 and the reimbursement occurs within ten (10) days from the date the item was received.)

a) \_\_\_\_\_  
(description of gift)  
\_\_\_\_\_  
(date) (fair market value)  
\_\_\_\_\_  
(source of gift)  
b) \_\_\_\_\_  
(description of gift)  
\_\_\_\_\_  
(date) (fair market value)  
\_\_\_\_\_  
(source of gift)  
c) \_\_\_\_\_  
(description of gift)  
\_\_\_\_\_  
(date) (fair market value)  
\_\_\_\_\_  
(source of gift)  
d) \_\_\_\_\_  
(description of gift)  
\_\_\_\_\_  
(date) (fair market value)  
\_\_\_\_\_  
(source of gift)  
e) \_\_\_\_\_  
(description of gift)  
\_\_\_\_\_  
(date) (fair market value)  
\_\_\_\_\_  
(source of gift)

## **SECTION 10- AWARDS**

If you are an employee of a public school district, the Arkansas School for the Blind, the Arkansas School for the Deaf, the Arkansas School for Mathematics, Sciences, and the Arts, a university, a college, a technical college, a technical institute, a comprehensive life-long learning center, or a community college, the law requires you to disclose each monetary or other award over one hundred dollars (\$100) which you have received in recognition of your contributions to education. The information disclosed with respect to each such award should include the source, date, description, and a reasonable estimate of the fair market value.

a)		
	(description of award)	
	(date)	(fair market value)
	(source of award)	
b)		
	(description of award)	
	(date)	(fair market value)
	(source of award)	
c)		
	(description of award)	
	(date)	(fair market value)
	(source of award)	
d)		
	(description of award)	
	(date)	(fair market value)
	(source of award)	

## **SECTION 11- NONGOVERNMENTAL SOURCES OF PAYMENT**

List each nongovernmental source of payment of your expenses for food, lodging, or travel which bears a relationship to your office when you appear in your official capacity when the expenses incurred exceed \$150.

a)		
	(name of person or organization paying expense)	
	(business address)	
	(date of expense)	\$ (amount of expense)
	(nature of expenditure)	
b)		
	(name of person or organization paying expense)	
	(business address)	
	(date of expense)	\$ (amount of expense)
	(nature of expenditure)	

## **SECTION 12- DIRECT REGULATION OF BUSINESS**

List any business which employs you and is under direct regulation or subject to direct control by the governmental body which you serve.

- a) \_\_\_\_\_  
(name of business)  
\_\_\_\_\_  
(governmental body which regulates or controls)
- b) \_\_\_\_\_  
(name of business)  
\_\_\_\_\_  
(governmental body which regulates or controls)
- c) \_\_\_\_\_  
(name of business)  
\_\_\_\_\_  
(governmental body which regulates or controls)
- d) \_\_\_\_\_  
(name of business)  
\_\_\_\_\_  
(governmental body which regulates or controls)

## **SECTION 13- SALES TO GOVERNMENTAL BODY**

List the goods or services sold to the governmental body for which you serve which have a total annual value in excess of \$1,000. List the compensation paid for each category of goods or services sold by you or any business in which you or your spouse is an officer, director, or stockholder owning more than 10% of the stock of the company.

- a) \_\_\_\_\_  
(goods or services)  
\_\_\_\_\_  
(governmental body to whom sold)  
\_\_\_\_\_  
(compensation paid)
- b) \_\_\_\_\_  
(goods or services)  
\_\_\_\_\_  
(governmental body to whom sold)  
\_\_\_\_\_  
(compensation paid)
- c) \_\_\_\_\_  
(goods or services)  
\_\_\_\_\_  
(governmental body to whom sold)  
\_\_\_\_\_  
(compensation paid)
- d) \_\_\_\_\_  
(goods or services)  
\_\_\_\_\_  
(governmental body to whom sold)  
\_\_\_\_\_  
(compensation paid)



**SECTION 14- SIGNATURE**

I certify under penalty of false swearing that the above information is true and correct.

\_\_\_\_\_  
Signature

STATE OF ARKANSAS

\_\_\_\_\_) ss  
COUNTY OF \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

(Legible Notary Seal)

\_\_\_\_\_  
Notary Public

My commission expires: \_\_\_\_\_

Note: If faxed, notary seal must be legible (i.e., either stamped or raised and inked) and the original must follow within ten (10) days pursuant to Ark. Code Ann. § 21-8-703(b)(3).

**IMPORTANT**

**Where to file:**

State or district candidates/public servants file with the Secretary of State.  
Appointees to state boards/commissions file with the Secretary of State.  
County, township, and school district candidates/public servants file with the county clerk.  
Municipal candidates/public servants file with the city clerk or recorder, as the case may be.  
City attorneys file with the city clerk of the municipality in which they serve.  
District judges file with the ~~county clerk~~ Secretary of State.  
Members of regional boards or commissions file with the county clerk of the county in which they reside.

**General Information:**

- \* The Statement of Financial Interest should be filed by January 31 of each year.
- \* The filing covers the previous calendar year.
- \* Candidates for elective office shall file the Statement of Financial Interest for the previous calendar year on the first Monday following the close of the period to file as a candidate for elective office unless already filed by January 31. In addition, if the party filing period ends before January 1 of the year of the general election, candidates for elective office shall file a Statement of Financial Interest for the previous calendar year by no later than January 31 of the year of the general election.
- \* Agency heads, department directors, and division directors of state government shall file the Statement of Financial Interest within thirty (30) days of appointment or employment unless already filed by January 31.
- \* Appointees to state boards or commissions shall file the Statement of Financial Interest within thirty (30) days after appointment unless already filed by January 31.
- \* If a person is included in any category listed above for any part of a calendar year, that person shall file a Statement of Financial Interest covering that period of time regardless of whether they have left their office or position as of the date the statement is due.

## INSTRUCTIONS FOR STATEMENT OF FINANCIAL INTEREST

DRAFT

### INTRODUCTION/WHO MUST FILE

Ark. Code Ann. § 21-8-701(a) requires that the following persons file a written Statement of Financial Interest on an annual basis:

- A public official, as defined by Ark. Code Ann. § 21-8-402(17);
- A candidate for elective office;
- A district judge; or city attorney, whether elected or appointed;
- Any agency head, department director, or division director of state government;
- Any chief of staff or chief deputy of a constitutional officer, the Senate, or the House of Representatives;
- Any public appointee to any state board or commission (who possesses regulatory authority or is authorized to receive or disburse state or federal funds);<sup>1</sup>
- All persons who are elected members of a school board or who are candidates for a position on a school board;
- All public and charter school superintendents;
- All executive directors of education service cooperatives;
- Any person appointed to a municipal, county or regional (i) planning board or commission, (ii) airport board or commission, (iii) water or sewer board or commission, (iv) utility board or commission, or (v) civil service commission;
- Any member of an advertising and promotion commission; and
- Any member of a research park authority board under Ark. Code Ann. § 14-144-201 et seq.

The Arkansas Ethics Commission, which enforces this statute, has prepared these instructions, along with the office of the Secretary of State, whose office maintains the records, to assist persons required to file these statements. If you have any questions concerning the reporting requirements or how to fill out your Statement of Financial Interest, call or write either the **Arkansas Ethics Commission**, Post Office Box 1917, Little Rock, Arkansas 72203-1917, tel. (501) 324-9600 or the **Secretary of State, Elections Division**, State Capitol, Room 026, Little Rock, Arkansas 72201, tel. (501) 682-5070.

When preparing the Statement of Financial Interest, please **print or type the information**. You must also sign the Statement in Section 13 and your signature must be attested to before a Notary Public.

---

<sup>1</sup> Pursuant to Ark. Code Ann. § 21-8-701(a)(5)(B), a public appointee to a state board or commission which is not charged by law with the exercise of regulatory authority and which receives or disburses state or federal funds only in the form of mileage reimbursement for members attending meetings of the board or commission is not required file a written Statement of Financial Interest.

## TIME FOR FILING/PERIOD COVERED

Pursuant to Ark. Code Ann. § 21-8-701(c)(1)(A), a Statement of Financial Interest for the previous calendar year "shall be filed by January 31, of each year, except that a candidate for elective office shall file the Statement of Financial Interest for the previous calendar year on the first Monday following the close of the period to file as a candidate for elective office." Pursuant to Ark. Code Ann. § 21-8-705, if the party filing period under Ark. Code Ann. § 7-7-203 ends before January 1 of the year of the general election, a candidate for elective office shall file a Statement of Financial Interest for the previous calendar year no later than January 31 of the year of the general election in addition to the Statement of Financial Interest required under Ark. Code Ann. § 12-8-701.

Moreover, an agency head, department director, or division director of state government and any public appointee to a state board or commission authorized or charged by law with the exercise of regulatory authority or authorized to receive or disburse state or federal funds shall file a Statement of Financial Interest for the previous calendar year within thirty (30) days after appointment or employment. Incumbent officeholders who filed a Statement of Financial Interest for the previous calendar year by January 31 of the year in which an election is held are not required to file an additional Statement of Financial Interest upon becoming a candidate for reelection or election to another office during the year. Ark. Code Ann. § 21-8-701(c)(2). If a person required to file a Statement of Financial Interest leaves his or her office or position during a particular calendar year, he or she shall still be required to file a Statement of Financial Interest covering that part of the year which he or she held the office or position. Ark. Code Ann. § 21-8-701(c)(1)(B).

## WHERE TO FILE

Pursuant to Ark. Code Ann. § 21-8-703, the Statement of Financial Interest shall be filed as follows:

- (1) State or district public servants (including appointees to state boards/commissions) and candidates for state or district public office are required to file the statement with the Secretary of State;
- (2) County, township, or school district public servants and candidates for county, township, or school district public office are required to file the statement with the county clerks;
- (3) Municipal public servants and candidates for municipal office are required to file the statement with the city clerk or recorder;
- (4) City attorneys, whether elected or appointed, are required to file the statement with the city clerk of the municipality within which they serve;
- (5) Members of regional boards or commissions are required to file the statement with the county clerk of the county in which they reside; and
- (6) District judges are required to file the statement with the ~~county clerk~~ Secretary of State.

## **SPECIFIC REPORTING INSTRUCTIONS**

### **SECTION 1 (Name and Address)**

Answer each of these questions or indicate "Not Applicable". List all names under which you and/or your spouse do business.

### **SECTION 2 (Reason for Filing)**

Check the box applicable to you and provide the office/position held or name of the board, commission or school district in the appropriate space.

### **SECTION 3 (Sources of Income)**

The term "gross income" is intended to be comprehensive. It refers to all income from whatever source derived, including but not limited to compensation for services, fees, commissions, and income derived from business interests. Report each employer and/or each other source of income from which you, your spouse, or any other person for the use or benefit of you or your spouse receives gross income exceeding \$1,000 on an annual basis. Include your governmental income from the office or position which requires your filing of this form. You are required to use the gross amount received as income. Thus, you must compute your total income from any particular source without first deducting expenses.

You are not required to list the individual items of gross income that constitute a portion of the income of the business or profession from which you or your spouse derives income. (For example: Accountants, attorneys, farmers, contractors, etc. do not have to list their individual clients.) If more than one source/employer/entity compensated you during the past year, you are required to list each source of income greater than \$1,000. If you or your spouse received speaking honoraria, you must report, under the request for "source", the sponsor of each event for which a payment was made for your speech or appearance, as well as the date and dollar category ("more than \$1,000.00" or "more than \$12,500.00"). The term "honoraria", as used herein, means a payment of money or any thing of value for an appearance, speech, or article. NOTE: Food, lodging, and travel provided to a public servant in connection with an appearance would not constitute honoraria if the public servant is appearing in his or her official capacity and the appearance bears a relationship to the public servant's office or position. Section 10 of the Statement of Financial Interest addresses the reporting of payment for such food, lodging, and travel.

You must also provide a brief description of the nature of the services for which the income was received, as well as the name under which the income was received. For example:

Source	Description	Amount
State of Arkansas (address) John Doe	Executive Dir.	More than \$12,500.00
University of Arkansas (address) John M. Doe	Teaching	More than \$12,500.00
450 Main Street, Little Rock, Arkansas John M. Doe	Rent Income	More than \$12,500.00
Ark. Med. Society Annual Meeting (address) John Doe	Speaking fee Oct. 2, Little Rock	More than \$1,000.00
Star National Bank Star, Arkansas John or Jane Doe	Interest Income	More than \$1,000.00
City of Mayberry (address) Jane Doe	Spouse income	More than \$12,500.00
Ark. Bar Association Annual Meeting (address) Jane Doe	Speaking Fee  Spouse, June 12 Hot Springs	More than \$1,000.00

#### Section 4 (Business or Holdings)

In this section, list the name of every business in which you, your spouse or any other person for the use or benefit of you or your spouse have an investment or holding. Stocks, bonds, stock options and other securities held by you or your spouse must be reported. Figures for these items, as well as all other holdings or accounts, should be based on fair market value at the end of the reporting period.

For **securities, stocks, or bonds**, you must disclose each security held in your portfolio which exceeds the \$1,000.00 threshold. If securities are held through an investment firm, the firm will normally provide periodic statements from which you may obtain the information required to be disclosed. If you own different types of securities issued by the same authority, such as U. S. Treasury obligations or bonds, it is not necessary to provide an itemized list of each security worth over \$1,000.00. Rather, you may simply report the aggregate value of the securities issued by the same authority and identify the type of securities.

In the case of **mutual funds or similar investments**, you need not disclose specific stocks held in a widely diversified investment trust or mutual fund as long as the holdings of the trust or fund are a matter of public record and you have no ability to exercise control over the specific holdings. If you have such control, you must disclose each holding exceeding the threshold level of \$1,000.00, whether or not you exercise the control. Otherwise, you may simply disclose the name, address, etc. of the authority through which your mutual fund is invested (e.g., IDS), the category of the fund and the category of the appropriate amount (e.g., "more than \$1,000.00").

In the case of **bank accounts**, if the total of accounts (including certificates of deposit) deposited in a particular bank exceeds \$1,000.00, list each institution holding more than \$1,000.00. If no particular bank holds more than \$1,000.00, you need not report any bank accounts. All accounts at one institution, including those for your spouse, may be combined as one entry. Thus, for example, you may report a checking account, savings account, certificate of deposit, and IRA in Smith First National Bank of Arkansas by checking the gross total of the accounts (e.g., "more than \$1,000.00") and stating "Smith First National Bank of Arkansas" with its address. You need not list each account. If you are listed on an account purely for custodial reasons, and you do not assert any ownership rights to the assets in the account (for example, if you are a joint tenant with an elderly relative), you need not list the account.

For any business interest, if you or your spouse has an interest in a proprietorship, partnership, or corporation that is actively engaged in a trade or business, you must disclose the name and address of each interest. It is not necessary to provide an itemized list of the assets of the business. For example, you need only categorize the total value of your interest (e.g., "more than \$12,500.00") and not items such as "office equipment." This includes each asset held in trust for you or your spouse which has a value greater than \$1,000.00. Holdings of a trust for which you or your spouse are merely an administrator and for which you have no beneficial interest need not be reported.

## **Section 5 (Office or Directorship)**

You must report your nongovernmental offices and directorships held by you or your spouse in any business, corporation, firm, or enterprise subject to the jurisdiction of a regulatory agency of this State, or any of its political subdivisions. For each such business, provide the name of the business, its address, the office or directorship held and the name of the person (either you or your spouse) who holds the office or directorship. A "regulatory agency", as



defined by Ark. Code Ann. § 21-8-301(1), means any "state board, commission, department, or officer authorized by law to make rules or to adjudicate contested cases except those in the legislative or judicial branches."

### **Section 6 (Creditors)**

You must report the name and address of each creditor to whom the value of \$5,000.00 or more is personally owed and outstanding at the end of the reporting period. All information regarding a single creditor may be reported in a single entry. If you have more than one liability owed to the same creditor, add up the items of credit to determine if the \$5,000.00 threshold has been met. The identity of the creditor is the name of the person or organization to which the liability is owed (e.g., "Bob Smith, 1000 Elm Street, Little Rock, Arkansas").

You do not need to include debts owed to members of your family. You may also exclude loans made in the ordinary course of business by either a financial institution or a person who regularly and customarily extends credit. This exclusion applies to such items as a mortgage secured by real property which is your personal residence, credit extended to purchase personal items such as furniture or appliances, credit card debts, and car loans, provided the credit does not exceed the value of the item purchased.

Debts not incurred in the ordinary course of business include, but are not limited to, such items as legal judgments, judgment liens, money borrowed from individuals, other than family members, who are not normally in the business of lending money, and tax liens owed to any governmental agency.

### **Section 7 (Past-Due Amounts Owed to Government)**

You must report the name and address of each governmental body to which you are legally obligated to pay a past-due amount and a description of the nature and amount of the obligation. Such debts include, but are not limited to tax liens owed to any governmental agency or other legally obligated debts in which you may be in default to a governmental body.

### **Section 8 (Guarantor, Co-Maker)**

The law requires you to provide the name and address of each guarantor or co-maker, other than a member of your family, who has guaranteed a debt which is still outstanding. The \$5,000.00 threshold of Section 6 does not apply here. To the extent that you have a guarantor or co-maker of any of your outstanding debts, the guarantor or co-maker must be disclosed. There is no exception for debts incurred in the ordinary course of business. This requirement also includes debts arising, extended or refinanced after January 1, 1989.

This requirement extends to situations where you have co-signed a loan to assist another person in obtaining credit, unless the person is a member of your family.

## Section 9 (Gifts)

The law requires you to identify the source, date, description, and a reasonable estimate of the fair market value of each gift of more than one hundred dollars (\$100.00) received by you or your spouse during the reporting period or more than two hundred and fifty dollars (\$250.00) received by your dependent children during the reporting period. A gift is any "payment, entertainment, advance, services, or anything of value" unless consideration of equal or greater value has been given therefor. The value of an item shall be considered to be less than one hundred dollars (\$100) if the public servant reimburses the person from whom the item was received any amount over one hundred dollars (\$100) and the reimbursement occurs within ten (10) days from the date the item was received. All types of gifts must be reported. Items such as food, lodging, and travel are considered gifts unless they are received when you are appearing in your official capacity and the appearance bears a relationship to your office or position. [Note: The reporting of food, lodging, and travel received by a public servant who is appearing in his or her official capacity at an event which bears a relationship to his or her office or position is addressed in Section 10 below.]

A gift can be a tangible item, such as a watch, or an intangible item, such as a hunting or fishing trip. A gift does not include (1) informational material; (2) receiving food, lodging, or travel which bears a relationship to the public servant's office and when appearing in an official capacity; (3) gifts which are not used and returned to the donor within 30 days; (4) gifts from a family member listed in Ark. Code Ann. § 21-8-402(5)(B)(iv), unless the family member is acting as an agent for a person not covered by the exception; (5) campaign contributions; (6) devises or inheritances; (7) anything with a value of \$100 or less; (8) wedding presents and engagement gifts; (9) a monetary or other award presented to an employee of a public school district, the Arkansas School for the Blind, the Arkansas School for the Deaf, the Arkansas School for Mathematics, Sciences, and the Arts, a university, a college, a technical college, a technical institute, a comprehensive life-long learning center, or a community college in recognition of the employee's contribution to education; (10) tickets to charitable fundraising events held within this state by a non-profit organization which is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code; (11) a personalized award, plaque, or trophy with a value of one hundred fifty dollars (\$150) or less; (12) an item which appointed or elected members of a specific governmental body purchase with their own personal funds and present to a fellow member of that governmental body in recognition of public service; (13) food or beverages provided at a conference scheduled event that is part of the program of the conference; (14) food or beverages provided in return for participation in a bona fide panel, seminar, speaking engagement at which the audience is a civic, social, or cultural organization or group; ~~and~~ (15) a monetary or other award publicly presented to an employee of state government in recognition of his or her contributions to the community and State of Arkansas when the presentation is made by the employee's supervisor or peers, individually or through a non-profit organization which is exempt from taxation under Section 501(c) of the Internal Revenue Code, and the employee's receipt of the award would not result in or create the appearance of the employee using his or her position for private gain, giving preferential treatment to any person, or losing independence or impartiality (This exception shall not apply to an award presented to an employee of state government by a person having economic interests which may be affected by the performance or nonperformance of the employee's duties or responsibilities.); and (16)



anything of value provided by a political party under Ark. Code Ann. § 7-1-101 or § 7-7-205 when serving as the host of the following events to all attendees as part of attendance at the event: (A) the official swearing-in, inaugural, and recognition events of constitutional officers and members of the general assembly; and (B) an official event of a recognized political party so long as all members of either house of the General Assembly affiliated with the recognized political party are invited to the official event.

In reporting a gift, you must report the source, the date it was received, a reasonable estimate of its fair market value, and a brief description. In that regard, the Ethics Commission has issued opinions concerning the "fair market value" of such items as transportation on a private aircraft. A group of items received from the same source at the same time would be considered one gift and the separate values should be added together. As an example, if you receive a tie and tie clip (valued \$50.00) along with a pair of golf shoes (valued at \$75) from one donor, this should be reported and described in Section 9, as the receipt of a gift, "tie, tie clip and shoes." The value would be \$125.00. Similarly, food and beverages provided you in connection with lodging should be aggregated to ascertain if the threshold reporting level has been reached. If you are unsure if the value should be aggregated for purposes of reporting, you may wish to contact the Arkansas Ethics Commission for an opinion.

In accordance with Ark. Code Ann. § 21-8-804, certain designated officials are authorized to accept gifts, grants, and donations of money or property on behalf of the State of Arkansas, the Arkansas Senate, the Arkansas House of Representatives, and the Arkansas Supreme Court. In addition, the designated officials are authorized to accept donations of money for the purpose of hosting official swearing-in and inaugural events of the constitutional officers, Senate, House of Representatives, and Supreme Court justices, the official recognition event for the President Pro Tempore, and the official recognition event for the Speaker of the House. The public official accepting the gift, grant, or donation of money or property on behalf of an appropriate entity is not required to disclose same on his or her Statement of Financial Interest. Instead, public servants are required to report such gifts, grants, or donations of money or property to the Ethics Commission on a quarterly basis on a separate disclosure form prepared for such purposes.

#### **Section 10 (Awards)**

If you are an employee of a public school district, the Arkansas School for the Blind, the Arkansas School for the Deaf, the Arkansas School for Mathematics, Sciences, and the Arts, a university, a college, a technical college, a technical institute, a comprehensive life-long learning center, or a community college, the law requires you to disclose each monetary or other award over one hundred dollars (\$100) which you have received in recognition of your contributions to education. The information disclosed with respect to each such award should include the source, date, description, and a reasonable estimate of the fair market value.

#### **Section 11 (Nongovernmental Sources of Payment)**

Payments for food, lodging, or travel are not considered a gift in situations where a public servant is appearing in his or her official capacity and the appearance bears a relationship to the

public servant's office or position. However, Section 11 requires that each nongovernmental source of payment of expenses for such food, lodging, or travel be listed when the expenses paid by that source exceed \$150.00. [Note: The reporting of money or things of value received when you are not appearing in an official capacity or the appearance does not bear a relationship to your office or position is addressed in Section 3 ("Sources of Income") or Section 9 ("Gifts").] In this regard, you must list the name and business address of the person or organization which has paid your expenses, the date, nature, and amount of the expenses unless such person or organization was compensated by the governmental body for which the public servant serves. Thus, you must disclose in this section, lodging or travel received in connection with such activities as speaking engagements, conferences, or fact finding events related to your official duties.

Section 11 requires the disclosure of each nongovernmental source of payment when the expenses paid in connection with a particular appearance exceed \$150.00. Thus, if one source provides lodging and food and the total amount paid exceeds \$150.00, that source must be reported in this section.

The **organization** is the source of payment. It should be the name of the sponsor actually paying or providing the expenses. The **date of expenses** should be the inclusive dates of all travel provided. If the travel all occurred on one day, report that day. Otherwise, list the starting and ending dates of each trip provided (i.e., "May 1 - 5, 1997").

It is permissible to extend the duration of a trip at your own expense, accepting return travel from the sponsor. However, to avoid suggesting that travel was accepted for a longer period of time than was actually the case, you should indicate any time not spent at the sponsor's expense on either the line requesting the "date" or "nature" of expenses. For example, using the dates listed above, you could report "May 1 - 5, 1997. May 3 - 4 on personal business, expenses paid by me."

#### **Section 12 (Direct Regulation of Business)**

The law requires you to list any business by whom you are employed if the business is under direct regulation or subject to direct control by the governmental body which you serve. You must report the employment by listing the name of this business/employer and provide the governmental body which regulates or controls aspects of the business. Such a business relationship typically exists if your private employer is subject to any rules or regulations of a governmental body or if a governmental body adjudicates contested cases of fact involving your private employer. For example, if you work as a licensed dentist, the appropriate regulatory governing body may be the State Board of Dental Examiners.

Whether your business is under direct regulation or subject to direct control by a governing body is often a question of fact. If you are unsure, you should contact the Arkansas Ethics Commission or, if you know, the agency you suspect may regulate part or all of your activities.

#### **Section 13 (Sales to Governmental Body)**

The law requires you to report certain business relationships with the government if a significant sale of goods or services occurs. Specifically, you must set out in detail the goods or services sold having a total annual value in excess of \$1,000.00 sold to the governmental body for which you serve or are employed and the compensation paid for each category of goods or services by you or any business in which you or your spouse is an officer, director, stockholder owning more than ten percent (10%) of the stock, owner, trustee, or partner.

#### **Section 14 (Signature)**

Under the law, each person, required to file a Statement of Financial Interest must prepare the statement under penalty of false swearing and sign such form attesting to the truth and accuracy of the information set forth on the form. Ark. Code Ann. § 21-8-702. If a person who is required to file a Statement of Financial Interest is called to active duty in the armed forces of the United States, the statement may be completed by the spouse of the person. If the Statement of Financial Interest is completed by the spouse, under this exception, the spouse's signature shall be sufficient for the requirement of Ark. Code Ann. § 21-8-702.

**REVISED 08/2015**