



## What are my responsibilities for campaign finance reporting as a municipal candidate in the City of Rochester?

There are multiple reports you may need to file, all starting at the point where you as a candidate or your campaign committee raises or spends more than \$750. All of these reports can be completed using the [Campaign Finance Report](#) form from the Secretary of State's Office.

1. **You must file an initial report within 14 days** after you as a candidate or a campaign committee raises or spends more than \$750.

*What to file:* [Campaign Financial Report form](#), with additional sheets if required.

## The following reports may be required at different points after an initial report has been filed:

CANDIDATES WHO HAVE FILED AN INITIAL REPORT AND APPEAR ON THE PRIMARY BALLOT MUST FILE A PRE-PRIMARY REPORT:

2. **Pre-Primary report** – due 10 days before the primary when your name appears on the ballot. This report covers the period from when the previous report left off until 15 days before the primary.

*What to file:* [Campaign Financial Report form](#), with additional sheets if required

CANDIDATES WHO HAVE FILED AN INITIAL REPORT AND APPEAR ON THE GENERAL ELECTION BALLOT MUST FILE A PRE-GENERAL REPORT:

3. **Pre-General report** – due 10 days before the general election when your name appears on the ballot. This report covers the period from when the previous report left off until 15 days before the general election.

*What to file:* [Campaign Financial Report form](#), with additional sheets if required

CANDIDATES WHO HAVE FILED AN INITIAL REPORT AND APPEAR ON THE GENERAL ELECTION BALLOT

4. **Post-General report** – due 30 days after the general election when your name appears on the ballot. This report covers the period from 15 days before the general election through 15 days after the general election.

*What to file:* [Campaign Financial Report form](#), with additional sheets if required

CANDIDATES WHO HAVE FILED AN INITIAL REPORT AND HAVE NOT FILED A FINAL REPORT

5. **Year-End report** – due on January 31 of each year after the initial report is filed. This report must continue to be filed every year until a final report is filed.

*What to file:* [Campaign Financial Report form](#), with additional sheets if required

CANDIDATES WHO HAVE FILED AN INITIAL REPORT AND WISH TO END REPORTING

6. **Final report** – a candidate or committee may file a Final Report once all debts are paid and all assets in excess of \$100 in the aggregate are disposed of. This report can be

filed at any time, and covers the period from whenever the last report was filed to the date of the Final Report. Filing this report ends campaign reporting activity, so a new Initial Report must be filed if you or your committee raises or spends more than \$750 after this point. It is not required to file a final report at the end of a campaign year, if a candidate chooses to maintain campaign funds on an ongoing basis.

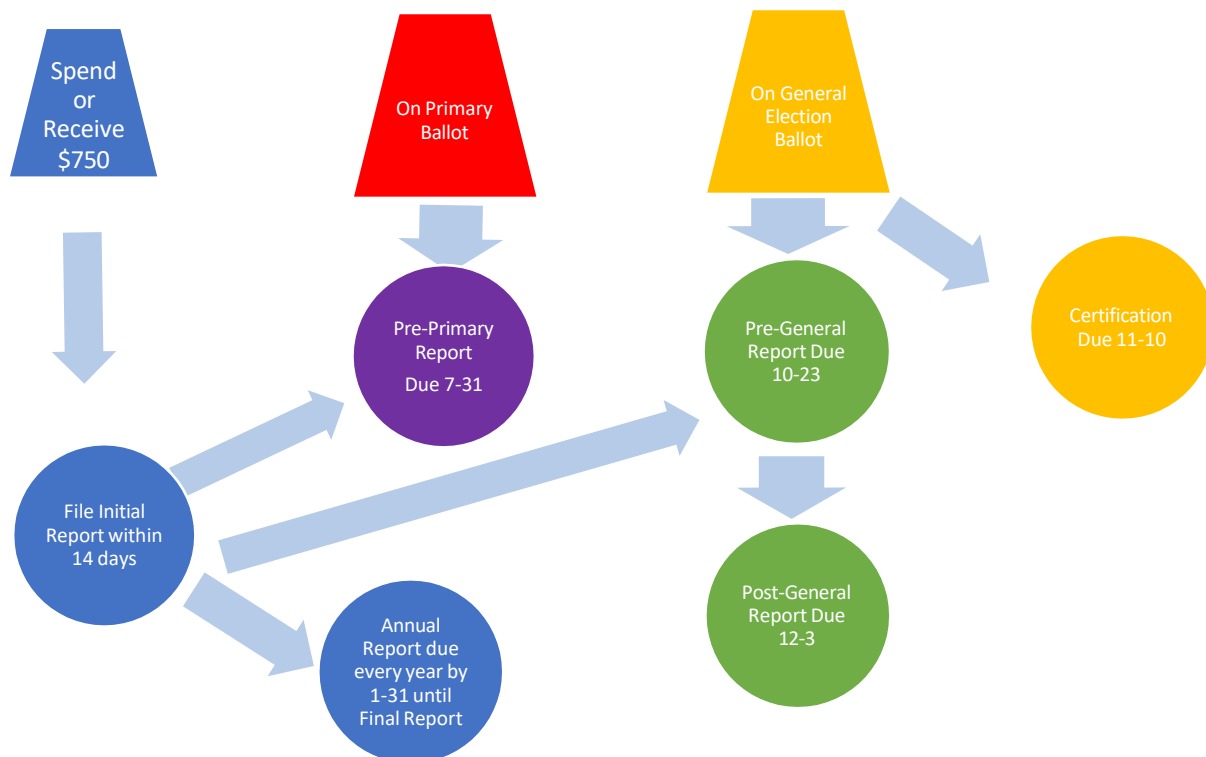
*What to file:* [Campaign Financial Report form](#), with additional sheets if required

**\*It is key to note that your obligation as a candidate is not limited to the year of any elections you are participating in. Until you file a final report and close out your campaign reporting activity, you must continue filing year-end reports each year. It is possible to file an initial report and continue filing any required election-year reports and year-end reports every year indefinitely if you are maintaining campaign funds for future potential expenditure. If you choose to do this, you must ensure you continue to file a year-end report annually, regardless of whether you were a candidate in any elections in that year.**

### Certification of Filing required from every candidate on the general election ballot.

In addition to the above reports, every candidate must complete a [Certification of Filing](#) within 7 days of a general election in which their name is on the ballot. Even if an initial report was never required or filed, the certification must be completed. This form allows the candidate to affirm either that all required campaign finance reports have been filed, or that the candidate did not raise or spend more than \$750 in that calendar year.

### Key dates and points of action for municipal candidates:





*Figure 1 When Campaign Finance Reports are Required*

FAQs

**How do I file required campaign finance reports and certifications?**

As a municipal candidate, you turn in all campaign finance reports and certifications to the Rochester City Clerk's Office, as the filing official for municipal offices. The City Clerk's Office will accept your filings electronically via email to [elections@rochestermn.gov](mailto:elections@rochestermn.gov) or in hard copy by mail or delivered in person to the Clerk's Office.

**What needs to be included in a campaign finance report?**

Financial reports must include the total cash on hand designated to be used for political purposes, the total amount of contributions and disbursements for the period from the last previous report (if any) to five days before the current report is due, the amount, date, and purpose of each disbursement and the name, address, and employer or occupation if self-employed of any individual or committee that during the year has made one or more contributions that in the aggregate exceed \$100.

**What happens if a required filing is not done?**

If you have filed an initial report, but fail to file a subsequent report on the date it is due, the City Clerk as the filing official will notify you of the failure to file. If a report is not filed within 10 days of after that notification is mailed to you, the City Clerk is required to file a complaint with the Office of Administrative Hearings.

**How is the Certification of Filing different from the Finance Reports and when is it required?**

The Certification of Filing is required from every candidate appearing on the general election ballot, regardless of whether an initial report or subsequent reports were required. The Certification of Filing is only completed and submitted no later than 7 days after the general election, November 13 in 2018.

**What contribution limits am I subject to?**

Limits are set by Minn. Stat. §211A.12. For candidates in Rochester, the limits are different depending upon whether you are a city-wide candidate for mayor or are running in a single ward.

	Mayor or Council President (city-wide office)	Council Member (ward)
Year when office is on the ballot	\$1000	\$600
Other Years	\$250	\$250

These limits are per individual. That means a husband and wife could each make the maximum individual contribution. Candidates themselves can contribute to their own campaigns without limitation.

\*If you have questions about accepting donations from businesses, you are advised to seek legal advice due to conflicts between Minnesota Statute and U.S. Supreme Court decisions.

**How do I end my campaign reporting requirements?**

Once your campaign or committee has concluded its activities AND has fully satisfied all debts and has less than \$100 cash on hand, you can file a final report. If you have more than \$100 on hand, you have options including returning any contributions, contributing to another local committee, or making a donation to a 501 (c)3 organization.



Accessible and fillable version of these forms are also available on the Secretary of State's website at:

<https://www.sos.state.mn.us/election-administration-campaigns/campaigning/campaign-finance-filings/>

**Required Campaign Finance forms can be submitted when due to the City Clerk's Office in hard copy or electronically.**

**NOTE: It is every candidate's responsibility to file timely campaign finance forms.**

**These forms are received by the City Clerk's Office.  
The City Clerk's Office is not responsible for timely filing.**

**Minnesota Secretary of State's Office**

(651) 215-1440 or 1-877-600-VOTE (8683)  
[elections.dept@state.mn.us](mailto:elections.dept@state.mn.us) [www.mnvotes.org](http://www.mnvotes.org)



## CAMPAIGN FINANCIAL REPORT

*(All of the information in this report is public information)*

Name of candidate, committee or corporation \_\_\_\_\_

Office sought or ballot question \_\_\_\_\_ District \_\_\_\_\_

Type of report \_\_\_\_\_ Candidate report  
 \_\_\_\_\_ Campaign committee report  
 \_\_\_\_\_ Association or corporation report  
 \_\_\_\_\_ Final report

Period of time covered by report: from \_\_\_\_ to \_\_\_\_\_

### CONTRIBUTIONS RECEIVED

Give the total for all contributions received during the period of time covered by this report. Contributions should be listed by type (money or in-kind) rather than contributor. See note on contribution limits on the back of this form. Use a separate sheet to itemize all contributions from a single source that exceeded \$100 during the calendar year. This itemization must include name, address, employer or occupation if self-employed, amount and date for these contributions.

CASH \$ \_\_\_\_\_ TOTAL CASH-ON-HAND \$ \_\_\_\_\_  
 IN-KIND + \$ \_\_\_\_\_  
 TOTAL AMOUNT RECEIVED = \$ \_\_\_\_\_

### DISBURSEMENTS

Include the amount, date and purpose for all disbursements made during the period of time covered by report. Attach additional sheets if necessary.

<i>Date</i>	<i>Purpose</i>	<i>Amount</i>
<b>TOTAL</b>		

### CORPORATE PROJECT EXPENDITURES

Corporations must list any media project or corporate message project for which contribution(s) or expenditure(s) total more than \$200. Submit a separate report for each project. Attach additional sheets if necessary.

Project title or description \_\_\_\_\_

<i>Date</i>	<i>Purpose</i>	<i>Name and Address of Recipient</i>	<i>Expenditure or Contribution Amount</i>
<b>TOTAL</b>			

I certify that this is a full and true statement. \_\_\_\_\_  
Signature Date

Report

Office

Name

Office Use Only:



ROCHESTER  
**CITY CLERK**

Printed Name \_\_\_\_\_ Telephone \_\_\_\_\_ Email (if available) \_\_\_\_\_

Address \_\_\_\_\_



## INSTRUCTIONS

(Reference: Minnesota Statutes, Chapters [211A](#) and [211B](#))

This CAMPAIGN FINANCIAL REPORT is for use by candidates and committees for county, municipal, school district and special district office who receive contributions or make disbursements of more than \$750 in a calendar year; committees or corporations spending more than \$750 for or against a ballot question in a calendar year; and corporations spending more than \$200 on activities to encourage participation in precinct caucuses, voter registration or voting.

### Where to file this report:

Hospital	The municipal (city or town) clerk – same place where filed affidavit of candidacy
Districts Park	The county auditor or municipal clerk – same place where filed affidavit of candidacy
Districts School	School district clerk
Districts	Town clerk
Townships	City clerk
Cities	County auditor
Soil & Water Conservation	County auditor
Districts Counties	County auditor

**Candidate or committee report:** The initial report must be filed within 14 days after the candidate or committee receives contributions or makes disbursements of more than \$750 in a calendar year. Subsequent reports must be filed.

**During an Election Year** - An "election year" is any year in which the candidate's name or a question appears on the ballot. In such a year (if an initial report has been filed) reports are required to be filed:

- 10 days before the primary or special primary
- 10 days before the general election or special election
- 30 days after a general election or special election
- By January 31 of each year following the year when the initial report was filed.

**During a non-election year** - By January 31 of each year following the year when the initial report was filed.

**Once a final report\* is filed, no further subsequent reports are required to be filed.**

**CONTRIBUTIONS:** Means anything of monetary value that is given or loaned to a candidate or committee for a political purpose. "Contribution" does not include a service provided without compensation by an individual. **Each candidate or committee must list the total amount of cash-on-hand designated to be used for political purposes as of the close of the reporting period.**

**CONTRIBUTION LIMITS:** Candidates or candidate's committees for county, municipal, school district offices may not accept aggregate contributions in excess of \$600 in an election year or in excess of \$250 in a non-election year made or delivered by an individual or committee. However, candidates seeking election from districts with a population in excess of 100,000 may not accept aggregate contributions in excess of \$1,000 in an election year and \$250 in a non-election year.

**BALLOT QUESTIONS:** Any political committee, association or corporation that makes a contribution or expenditure to promote or defeat a ballot question as defined in Minnesota Statutes, section [211A.01](#) shall file reports with the filing officer responsible for placing the question on the ballot. Reports must be filed within 14 days of receiving contributions or making disbursements of more than \$750 in one calendar year, using the same schedule as above.

**CONGRESSIONAL CANDIDATES:** Candidates for election to the United States House of Representatives and Senate and any committee raising funds exclusively on behalf of any one of those candidates may file copies of the reports required by federal law in lieu of those required by Minnesota Statutes Chapter [211A](#).

**CORPORATE ACTIVITIES TO ENCOURAGE PARTICIPATION:** Corporations may contribute to or conduct public media projects to encourage individuals to attend precinct caucuses, register or vote if the projects are not controlled by or operated for the advantage of a candidate, political party or committee. The total amount of expenditures or contributions for any one project greater than \$200, together with the date, purpose and the names and addresses of the persons receiving the contribution or expenditures must be reported. Reports must be filed with the Secretary of State, 180 State Office Building, St. Paul, MN 55155-1299, using the same schedule as above.

**\*FINAL REPORT:** A final report may be filed any time after the candidate, committee or corporation has settled all debts and disposed of all assets in excess of \$100 in the aggregate. Check final report under "type of report".

**PROHIBITED TRANSFERS:** Candidates for county, municipal, school district or special district offices may not accept contributions from the principal campaign committees of any candidate for legislative, judicial or state constitutional office. In addition, a candidate may not make contributions to the principal campaign committee of any candidate for legislative, judicial or state constitutional office unless the contributions are made from the candidate's personal funds.

**STATE CANDIDATES:** Candidates and committees for state constitutional offices, the state legislature, supreme court,





court of appeals, district court and committees for state constitutional amendments are governed by Minnesota Statutes Chapter [10A](#). Contact the State [Campaign Finance and Public Disclosure Board](#) for further information at (651) 539-1180.

**Note:** The filing officer must restrict public access to the address of any individual who has made a contribution that exceeds \$100 and who has filed with the filing officer a written statement signed by the individual that withholding the individual's address from the financial report is required for the safety of the individual or the individual's family.

*Updated 7/18/2014*



Office of the Minnesota Secretary of State

## CAMPAIGN FINANCIAL REPORT CERTIFICATION OF FILING

### Instructions

Each county, municipal or school district candidate or treasurer of a committee formed to promote or defeat a ballot question shall certify to the filing officer that all reports required by *Minnesota Statutes* 211A.02 have been submitted to the filing officer or that the candidate or committee has not received contributions or made disbursements exceeding \$750 in the calendar year. The certification shall be submitted to the filing officer not later than seven days after the general or special election. (*Minnesota Statutes* 211A.05, subdivision 1)

### Campaign Information

Name of candidate or committee

Office sought by candidate (if applicable)

Identification of ballot question (if applicable)

### Certification

Select the appropriate choice below, and sign.

- I do swear (or affirm) that all campaign financial reports required by Minnesota Statutes 211A.02 have been submitted to the filing officer.
- I do swear (or affirm) that all campaign contributions or disbursements did not exceed \$750 in the calendar year.

Signature of candidate or committee treasurer

Date



*Revised 2/2014*