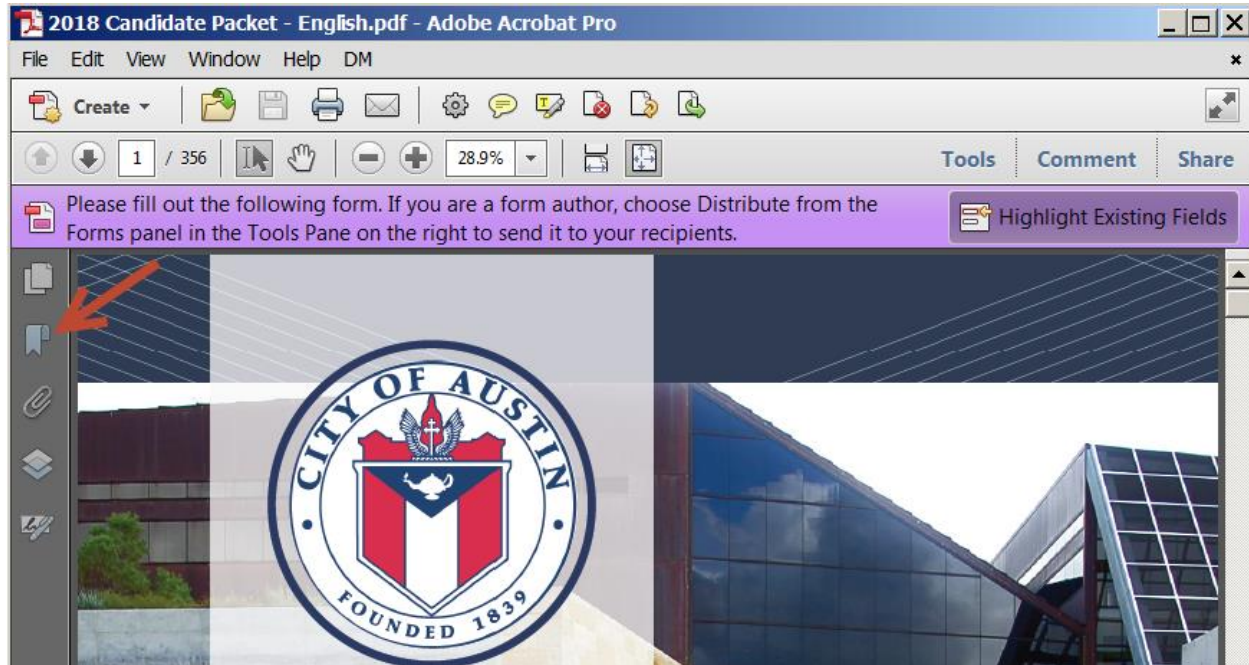


El Paquete de Candidatos 2018 es un documento continuo.

Para ver los documentos individualmente, haga clic el marcador a la izquierda de la pantalla.



Una lista de todos los documentos contenidos en el paquete debe aparecer en una pantalla a la izquierda.

Haga clic en el elemento que desea ver y aparecerá en la ventana de la derecha.

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Paquete de Candidato

Ciudad de Austin
Oficina del Secretario
de la Ciudad

**Elección General
6 de Noviembre
de 2018**

Jannette Goodall
City Clerk



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MEMORÁNDUM

A: Candidatos en la Elección de Concejales del 2018

DE: Jannette Goodall, Secretaria de la Ciudad

FECHA: 4 de Mayo, 2018

ASUNTO: Información de la Elección

La Guía de Candidatos contiene información y formularios importantes para quienes desean postular su candidatura para el puesto de concejal de la Ciudad de Austin. La boleta del 6 de noviembre, 2018 incluirá el puesto de alcalde y los puestos de distritos concejales 1, 3, 5, 8 y 9. El Artículo II, Sección 2 de la Carta de la Ciudad indica los siguientes requisitos de elegibilidad para quienes desean ser electos al consejo. Los requisitos para el puesto de alcalde y de concejal de la Ciudad son:

- Candidatos para el puesto de alcalde deberán cumplir todos los requisitos de elegibilidad detallados en el Código Electoral de Texas, Sección 141.001, y deberán haber vivido continuamente en el estado por 12 meses y en la ciudad por seis meses inmediatamente precedentes a la fecha límite regular en que candidatos para el puesto de alcalde deberán solicitar ser apuntados en la boleta.
- Candidatos para el puesto del consejo de la ciudad de algún distrito en particular deberán haber vivido continuamente en el estado por 12 meses y en el distrito concejal de donde el candidato desea ser electo por seis meses inmediatamente precedentes a la fecha límite regular en que candidatos para el puesto de concejal deberán solicitar ser apuntados en la boleta.

La fecha y hora límite regular para archivar la solicitud para ser apuntado en la boleta del 6 de noviembre, 2018 es el lunes, 20 de agosto, 2018 a las 5 PM. Basado en los requisitos de la fecha y horas límite para archivar, y los de elegibilidad, los límites pertinentes de residencia son:

- Residente del estado desde el 19 de agosto, 2017; y
- Residente de la ciudad y del distrito concejal respectivo desde el 19 de febrero, 2018.

La Guía de Candidatos y todos los formularios relevantes están disponibles en línea en <http://austintexas.gov/page/elections-2018>. Los formularios que no son creados por la Ciudad de Austin han sido descargados del Sitio Web apropiado. Aunque los formularios estaban al corriente en la fecha del 15 de abril, 2018; sin embargo, los candidatos deberían tener en cuenta que es posible que el Secretario de Estado o que la Comisión de Ética de Texas hayan actualizado sus

formularios sin dar aviso. Por lo tanto, antes de usar cualquier formulario incluido en la Guía, deberá usted comparar la fecha de la copia del formulario en la Guía, con la fecha del formulario actualmente disponible en el sitio web de la agencia estatal apropiada. La dirección Web de cada formulario incluido en esta Guía está escrita en la Tabla de Contenido inmediatamente debajo del título del formulario. Aunque la Guía de Candidatos ha proveído los enlaces de los sitios web en ambos inglés y español, el sitio web indicado podría o no contener traducciones al español.

La Guía además provee instrucciones tocantes los requisitos de la Ciudad para archivos electrónicos de Finanzas de Campaña de acuerdo con los requisitos del Código de la Ciudad, Sección 2-2-26 que declara lo siguiente “Un candidato, funcionario en el puesto, o comité político que de acuerdo con el Código de la Ciudad o con leyes estatales se les requiere archivar un informe de campaña con la Secretaria de la Ciudad, además del informe requerido deberá proveer a la Secretaria de la Ciudad un informe estructurado de datos con el contenido del informe de finanzas de campaña”. Instrucciones adicionales y formularios se proveen en la Guía en la sección tocante finanzas de la campaña o en el Sitio Web de la Ciudad en <http://austintexas.gov/page/campaign-finance-forms>.

El deber de la Oficina del Secretario/a de la Ciudad es aceptar, retener y proveer acceso a documentos electorales incluyendo la solicitud para ser incluido en la boleta, y documentos de finanzas de campañas. La Oficina no es responsable de proveer consejos de campaña, ni podrá completar ni corregir información, ni asegurar la puntualidad o suficiencia de documentos archivados. Las leyes electorales, especialmente las leyes de finanzas de campañas son complejas. Por este motivo, quizás el candidato debería considerar procurar asesoramiento legal o un gerente de campaña experto quien le asista durante la campaña. Candidatos podrían dirigir preguntas en particular a la Oficina de la Secretaria de la Ciudad o pedir reunirse con personal para discutir preguntas en particular. Cuando sea posible el personal le asistirá ya sea en conseguir la mejor respuesta o dirigiéndolo a la agencia estatal apropiada para conseguir la respuesta.

CALENDARIO ELECTORAL DE LA CIUDAD DE AUSTIN
ELECCIÓN GENERAL/ESPECIAL (BONOS.CARTA), 6 de NOVIEMBRE, 2018

Noviembre 6, 2017	Primera fecha en que candidatos pueden empezar a solicitar contribuciones de campaña. ¹
Enero 16, 2018	Fecha límite de archivar el informe impreso semi-anual de contribuciones de campaña, <u>junto con el archivo de datos estructurados</u> en la oficina del/la Secretario/a de la Ciudad (aplica a candidatos, a funcionarios electos, comités de propósitos particulares, y/o comités políticos de propósitos generales con requisitos de archivar de acuerdo con el Título 15 del Código Electoral de Texas, con reglas de la Comisión de Ética de Texas, y por el Código de la Ciudad, Capítulo 2-2). <u>Hora límite es 5:00 p.m.</u> ²
Mayo 4, 2018	Paquete de Candidatos está disponible en formato electrónico e impreso en la oficina del/la Secretario/a de la Ciudad. ³
Julio 16, 2018	Fecha límite para archivar el informe semi-anual de contribuciones <u>junto con el archivo de datos estructurados</u> con el/la Secretario/a de la Ciudad (aplicable a candidatos, a funcionarios electos, a comités de propósitos particulares, y/a comités políticos de propósitos generales quienes deberán archivar informes de acuerdo con el Título 15 del Código Electoral de Texas, con reglas de la Comisión de Ética de Texas, y por Código de la Ciudad 2-2). <u>Hora límite es 5:00 p.m.</u> ⁴
Julio 23, 2018	<p>Primer día en que candidatos pueden archivar/registrar su solicitud para ser incluidos en la boleta. ⁵ (AVISO: El candidato debe haber archivado el tesorero de campaña nombrado, antes de archivar su solicitud para ser incluido en la boleta.⁶</p> <p>[Aunque no está específicamente correlacionada a esta fecha, por favor tenga en cuenta lo siguiente: “la fecha tope para archivar el “contrato de campaña” voluntario que se detalla en el Código de la Ciudad 2-2- 11 es la fecha que sea antes de (1) 30 días después de que el/la candidata/a declara su candidatura bajo el Código Electoral de Texas; o (2) la fecha en que el/la candidata/o archiva su solicitud para ser incluido en la boleta”. Para más información, por favor vea el Código Electoral de Texas y el documento del/la Secretario/a de la Ciudad titulado “Folleto Para Candidatos y Para Oficiales Electos: Finanzas de Campaña.”]⁷</p>
Agosto 8 - 20, 2018	Periodo en que el Consejo de la Ciudad podría ordenar la elección. ⁸ Durante este periodo, está programada una reunión regular del consejo (9 de agosto).
Agosto 20, 2018	Ultimo día en que candidatos podrán archivar su solicitud para ser apuntados en la boleta. <u>Hora límite de entrega 5:00 p.m.</u> ⁹
Agosto 21, 2018	El/la Secretario/a de la Ciudad efectúa el sorteo para determinar el orden de los nombres en la boleta (programado para las 10:00 a.m. en el Edificio Municipal (City Hall), 301 W. Second Street.) ¹⁰

Agosto 27, 2018	Último día para archivar la “declaración pública de información financiera” con el/la Secretario/a de la Ciudad. ¹¹ <u>Hora límite de entrega 4:45 p.m.</u> ^{12.}
Agosto 27, 2018	Último día en que candidatos podrán retirar sus nombres de la boleta. <u>Hora límite es 5:00 p.m.</u> ¹³
Septiembre 10, 2018	Fecha límite en que candidatos deberán archivar el formulario de “Declaración de Finanzas Personales” con el/la Secretario/a de la Ciudad, requerida por estatutos estatales. ¹⁴
Octubre 9, 2018	Fecha límite para archivar en formato impreso el informe de contribuciones y gastos de campaña (Informe Electoral del 30vo Día Anterior a Elección), <u>junto con el archivo de datos estructurados</u> con la oficina del/la Secretario/a de la Ciudad. Este informe se deberá archivar por candidatos con oposición que no hayan archivado su declaración de intención de utilizar el proceso modificado de informes, y por ciertos comités de propósitos-en particular, y/o por comités políticos de propósitos generales involucrados en la elección para apoyar o oponerse a candidatos o/a propuestas en la boleta, quienes deberán archivar de acuerdo con el Título 15 del Código Electoral de Texas, con reglas adoptadas por la Comisión de Ética de Texas y con reglas del Código de la Ciudad, Capítulo 2-2. ¹⁵ <u>Hora límite de entrega 5:00 p.m.</u> ¹⁶
Octubre 9, 2018	Fecha límite para registrarse para votar adelantado o en el Día de Elecciones. ¹⁷
Octubre 22, 2018	Primer día para votar adelantado en persona. ¹⁸
Octubre 26, 2018	Último día para solicitar (por correo, por fax o transmisión electrónica) una boleta para la votación adelantada que se habrá de emitir por correo. ¹⁹
Octubre 29, 2018	Fecha límite para archivar en formato impreso con el/la Secretario/a de la Ciudad informe de contribuciones y gastos de campaña (“Informe del 8vo Día Anterior a la Elección”), <u>junto con el archivo de datos estructurados</u> . Este informe deberá ser archivado por candidatos con oposición que no hayan archivado su declaración de intención de utilizar el proceso modificado de informes, y también por comités de propósitos en particular, y/o por comités políticos de propósitos en general, involucrados en la elección que apoyan o se oponen a candidatos y proposiciones en la boleta, quienes deberán cumplir requisitos de archivar de acuerdo con el Título 15 del Código Electoral de Texas, con reglas de la Comisión de Ética de Texas, y con las del Código de la Ciudad Sección 2-2-29 y Capítulo 2-2. ²⁰ <u>Hora límite de entrega 5:00 p.m.</u> ²¹
Octubre 29 – Noviembre 6, 2018	Periodo para archivar Informes de Pre-Elección de la Ciudad de Austin por candidatos o comités políticos sujetos a reportar límites que hayan logrado de acuerdo con lo indicado en el Código de la Ciudad Sección 2-2-29. ²²
Noviembre 2, 2018	Último día de la votación adelantada en persona. ²³
Noviembre 6, 2018	DÍA DE LA ELECCIÓN

Tercer día después de la fecha del repaso final	Último día en que un candidato en la elección secundaria podrá retirar su candidatura de la elección secundaria. <u>Hora límite 5:00 p.m..</u> ²⁴
Noviembre 9 - 20, 2018	Periodo para repasar los resultados: La fecha más temprana para repasar los resultados es el tercer día después de la elección y la fecha límite para repasar los resultados es el 14vo día después de la elección. ²⁵ as
Noviembre 15, 2018	Fecha de la reunión regular del consejo durante el periodo permitido para repasar los resultados. El Consejo de la Ciudad tiene la opción de convocar una reunión especial con un aviso de 72-horas dado por el/la Secretario/a de la Ciudad durante el periodo permitido para el repaso. ²⁵
Enero 6, 2019	Día de inauguración

- 1 "El periodo de campaña en la elección general principia 365 días antes de la fecha de la elección general." Código de la Ciudad de Austin § 2-2-7(B).

Candidatos no podrán aceptar contribuciones ni hacer gastos mientras no se haya nombrado el tesorero de campaña. Código Electoral de Texas. §253.031(a). Comisión de Ética de Texas, "2017 Guía de Finanzas de Campaña para Candidatos y Funcionarios Electos Que Archivan Candidaturas con Autoridades Locales" dispone lo siguiente: "... la ley dispone que usted deberá archivar el formulario de nombramiento de tesorero con las autoridades apropiadas antes de poder usted aceptar alguna contribución de campaña o haga o autorice algún gasto de campaña, incluyendo un gasto de sus fondos personales." (página 4) https://www.ethics.state.tx.us/guides/coh_local_guide.pdf

- 2 Candidatos deberán archivar el informe semi-anual a no más tardar del 15 de enero. Código Electoral de Texas §254.063(a) y (b). Funcionarios electos deberán archivar el informe semi-anual a no más tardar del 15 de enero. Código Electoral de Texas §254.093(a) y (b). Como el 15 de enero es día festivo oficial, la fecha límite se extiende a martes, 16 de enero. Código Electoral de Texas §1.006. Bajo el Código de la Ciudad 2-2-26(A), "candidatos, funcionarios electos, o comités políticos a quienes el Código de la Ciudad o la ley estatal requiere que archiven un informe de finanzas de campaña con el/la Secretario/a de la Ciudad, además del informe requerido, deberán proveer al Secretario de la Ciudad un informe de datos estructurados con el contenido de cada informe de finanzas de campaña archivado. El informe de datos deberá cumplir con las especificaciones y con el tipo de medio/formato determinado por el/la Secretario/a de la Ciudad. El informe de datos deberá proveerse al/la Secretario/a de la Ciudad en fecha que no sea después de la fecha en cual el informe de finanzas de campaña pertinente ha de archivarse". La Comisión de Ética de Texas en la "Guía de Finanzas de Campaña para Candidatos y Funcionarios Electos Que Archivan Candidaturas con Autoridades Locales" dispone lo siguiente: "La fecha límite para archivar el informe es 5 p.m. en la fecha límite" y "...el registro o archivo de un documento se considera puntual si la dirección está apropiadamente escrita y si lleva su timbre postal o con cargos de envío pre-pagados y si lleva el timbre postal o marca de recibo de un transporte común o de contrato indicando que el tiempo fue en la fecha límite o antes de la fecha límite." (páginas 15-16) https://www.ethics.state.tx.us/guides/coh_local_guide.pdf

- 3 "El/la Secretario/a de la Ciudad deberá preparar una guía para candidatos...[y] proveer la guía sin costo en copia impresa al menos seis meses antes de la elección de la Ciudad. El/la Secretario/a de la Ciudad además proveerá la guía en línea en formato electrónico que fácilmente se pueda reproducir." Código de la Ciudad §2-2-6 (A) y (B).

- 4 Candidatos deberán archivar el informe semi-anual a no más tardar del 15 de julio. Código Electoral de Texas §254.063(a) y (b). Funcionarios electos deberán archivar el informe semi-anual a no más tardar del 15 de julio. Código Electoral de Texas §254.093(a) y (b). Como el 15 de julio es en domingo, la fecha límite se extiende al lunes, 16 de julio. Código Electoral de Texas §1.006. Bajo el Código de la Ciudad 2-2-26(A), “candidatos, funcionarios electos, o comités políticos a quienes el Código de la Ciudad o la ley estatal requiere que archiven un informe de finanzas de campaña con el/la Secretario/a de la Ciudad, además del informe requerido, deberán proveer al/la secretario/a de la ciudad un informe de datos estructurados con el contenido de cada informe de finanzas de campaña archivado. El informe de datos deberá cumplir con las especificaciones y con el tipo de medio/formato determinado por el/la secretario/a de la ciudad. El informe de datos deberá proveerse al/la secretario/a de la ciudad en fecha que no sea después de la fecha en cual el informe de finanzas de campaña pertinente ha de archivarse”. La Comisión de Ética de Texas en, “Guía de Finanzas de Campaña para Candidatos y Funcionarios Electos Que Archivan Candidaturas con Autoridades Locales” dispone lo siguiente: “La fecha límite para archivar el informe es 5 p.m. en la fecha límite” y “...el registro o archivo de un documento se considera puntual si la dirección está apropiadamente escrita y si lleva su timbre postal o con cargos de envío pre-pagados y si lleva el timbre postal o marca de recibo de un transporte común o de contrato indicando que el tiempo fue en la fecha límite o antes de la fecha límite.” (páginas 15-16)
https://www.ethics.state.tx.us/guides/coh_local_guide.pdf
- 5 La solicitud no se deberá archivar/registrarse antes del 30vo día anterior a la fecha límite de archivar. Código Electoral de Texas §143.007(a). La fecha límite es el 20 de agosto; por lo tanto el primer día para archivar es el 30vo día antecedente, que es el sábado, 21 de julio. Sin embargo, el Secretario de Estado ha confirmado que las “horas regulares hábiles” predominan, y la primera fecha de archivar por lo tanto se cambia al siguiente día hábil regular que es el lunes, 23 de julio.
- 6 Comisión de Ética de Texas, la “Guía de Finanzas de Campaña para Candidatos y Funcionarios Electos Que Archivan candidaturas con Autoridades Locales” dispone lo siguiente: “... Usted deberá archivar el NOMBRAMIENTO DE TESORERO DE CAMPAÑA POR UN CANDIDATO (FORMULARIO CTA) con la autoridad apropiada cuando usted se convierta en candidato aunque usted no tenga intenciones de aceptar contribuciones de campaña o de hacer gastos de campaña.”(página 3)
https://www.ethics.state.tx.us/guides/coh_local_guide.pdf
- 7 El Código de la Ciudad 2-2-11(A) dice que “un candidato para alcalde o para concejal de la ciudad podrá firmar un contrato con la Ciudad para acordar que como candidato (él/ella) cumplirá con los límites de contribuciones y gastos especificados por este artículo y en cambio recibirá los beneficios dispuestos bajo este capítulo” y que dicho contrato es requerido para calificar para recibir fondos públicos del Fondo de Austin para Financiar Campañas Justas (*Austin Fair Campaign Finance Fund*) bajo el Código de la Ciudad sección 2-2-63. El Código de la Ciudad 2-2-11(B) requiere que un candidato “firme el contrato de campaña antes de (1) 30 días después de convertirse en candidato bajo el Código Electoral de Texas, o (2) la fecha en que el candidato archiva su solicitud para ser apuntado en la boleta.”
- 8 La elección general deberá ordenarse a no más tardar del 78vo día antes del Día de Elecciones, que sería el 20 de agosto. Código Electoral de Texas § 3.005(c). Elecciones especiales (de bonos) deberán ser ordenadas a no más tardar de 90 días antes del día de elecciones, que sería el 8 de Agosto. Código Gubernamental de Texas §1251.003(c). Durante este periodo está programada una reunión regular del consejo

el 9 de agosto. El Consejo podría programar una reunión especial después con un aviso de 72 horas.

- 9 La fecha límite para archivar es a no más tardar de las 5:00 p.m. del 78vo día antes del Día de la Elección, que es el 20 de Agosto. Código Electoral de Texas § 143.007(c).
- 10 No hay estatutos que ordenen el horario, ya que el sorteo para las elecciones generales o especiales puede ser a cualquier hora después de la fecha/hora límite de archivar, pero el/la Secretario/a deberá fijar aviso del sorteo 72 horas inmediatamente anteriores al tiempo programado para el sorteo. Código Electoral de Texas § 52.094.
- 11 La declaración puede ser archivada dentro de cinco días hábiles después de la fecha límite de archivar/registrar la candidatura para el puesto, que es el 20 de agosto, por lo tanto, los cinco días hábiles después sería el 27 de agosto, que es la fecha límite para archivar la declaración requerida. Código de la Ciudad § 2-7-74(A).
- 12 Declaraciones deberán ser archivadas de acuerdo con el Código de la Ciudad, Artículo 5 "Divulgación de Finanzas" deberá ser "... recibida por el/la Secretario/a de la Ciudad a no más tardar de 4:45 p.m. en la fecha límite." Código de la Ciudad §2-7-76.
- 13 No puede retirar su candidatura después de las 5:00 p.m. del 71un día después del Día de la Elección. Código Electoral de Texas §145.092(f). El nombre del candidato se omitirá de la boleta si se retira puntual antes de la 5:00 p.m. del 71un día antes del Día de la Elección. Código Electoral de Texas § 145.094(a)(4).
- 14 La Declaración Financiera Personal es requisito del Código Gubernamental Local de Texas, Sección 145.003 y deberá cumplir con las secciones 572.022 y 572.023 del Código Gubernamental de Texas. Código Gubernamental Local de Texas, Secc. 145.003. Candidatos deberán archivar la Declaración Financiera Personal con el/la Secretario/a de la Ciudad a no más tardar del 20vo día después de la fecha límite para archivar la solicitud para ser incluido en la boleta. Código Gubernamental Local de Texas § 145.004(c). La fecha límite para archivar la solicitud es el 20 de agosto; y como el 20vo día después de esta fecha es el domingo 9 de septiembre (como esta fecha es en domingo, la fecha se extiende al próximo día hábil regular, de acuerdo con el Código Electoral de Texas, Sección. 1.006(a)). Por lo tanto, la fecha límite para archivar la Declaración Financiera Personal es el lunes, 10 de septiembre. El Código Gubernamental Local de Texas, Sección, 145.004(g) declara que un candidato habrá cumplido con la puntualidad en archivar la Declaración Financiera Personal si la Declaración Financiera Personal se entrega en persona a no más tardar de las 5:00 p.m. del último día para archivar (que es el 10 de septiembre) o, en su defecto, si el/la Secretario/a de la Ciudad haya adoptado reglas y procedimientos para archivar por medios electrónicos y si el candidato cumple, entonces el candidato habrá archivado puntualmente si la Declaración Financiera Personal se archivó a no más tardar de la medianoche del último día para archivar la declaración.

- 15 Un candidato con oposición deberá archivar dos informes adicionales, el primero que se cumple a no más tardar del 30vo día antes del Día de Elecciones (que es el domingo, 7 de octubre, aunque la fecha límite se extiende por el Código Electoral de Texas, Sección 1.006 al próximo día hábil regular que sería el martes, 9 de octubre ya que el lunes, 8 de octubre es Columbus Day, día festivo nacional); y el segundo se vencería a no más tardar del 8vo día antes del Día de Elecciones (que sería el 29 de octubre). Código Electoral de Texas §254.064(a)(b) y (c). Comisión de Ética de Texas en su “Guía de Finanzas de Campaña para Candidatos y Funcionarios Electos Que Archivan Candidaturas con Autoridades Locales” provee información bajo “Informes que se Vencen a los 30 Días y 8 Días Antes de una Elección.” (página 16) https://www.ethics.state.tx.us/guides/coh_local_guide.pdf. De acuerdo con el Código de la Ciudad 2-2-26(A), “candidatos, funcionarios electos, o comités políticos que el Código de la Ciudad o que la ley estatal requiere que archiven un informe de finanzas de campaña con el/la Secretario/a de la Ciudad, además del informe requerido, deberán proveer al/la Secretario/a de la Ciudad un informe de datos estructurados junto con el contenido de cada informe de finanzas de campaña archivado. El informe de datos deberá cumplir con las especificaciones y con el tipo de medio/formato determinado por el/la Secretario/a de la Ciudad. El informe de datos deberá proveerse al/la Secretario/a de la Ciudad en fecha que no sea después de la fecha en cual el informe de finanzas de campaña pertinente ha de archivarse”.
- 16 Los informes requeridos deberán ser recibidos por el/la Secretario/a de la Ciudad en la fecha y hora límite. Código Electoral de Texas § 254.064(b) y (c).
- 17 La solicitud de registración para votar aprobada es efectiva el 30vo día después de la fecha en que la solicitud es sometida al registrador de votantes. Código Electoral de Texas §13.143(a). La registración será efectiva para votar adelantado si es efectiva para votar el Día de Elecciones. Código Electoral de Texas §13.143. La fecha límite para registrarse como votante es el domingo 7 de octubre, pero se ha extendido de acuerdo con el Código Electoral de Texas, Sección 13.143(e) al próximo día hábil regular que sería el martes, 9 de octubre, porque el lunes, 8 de octubre es Columbus Day, día festivo nacional.
- 18 Para una elección que se lleve a cabo en fecha uniforme de elecciones en noviembre, el periodo de la votación adelantada en persona principia el 17vo día antes del Día de Elecciones (que sería el sábado, 20 de octubre), pero la fecha límite se extiende de acuerdo con el Código Electoral de Texas, Sección 85.001(c) al siguiente día hábil regular (que es el lunes, 22 de octubre) y continua la votación adelantada hasta el cuarto día antes del Día de Elecciones (que es el 2 de noviembre). Código Electoral de Texas § 85.001.
- 19 La solicitud deberá ser recibida, no solamente con el timbre postal cancelado antes del final del día regular hábil en la oficina del secretario de la votación adelantada, o a las 12:00 medio día, lo que sea más tarde, el 11vo día antes del Día de Elecciones (que sería a las 5:00 p.m. el viernes, 26 de octubre). Código Electoral de Texas § 84.007(c). Cualquier solicitud se considera haber sido sometida cuando el secretario de la votación adelantada. Código Electoral de Texas, Sección 84.007(d). Para que una solicitud de boleta por correo sometida por fax telefónico (equipo fax) o transmisión electrónica (email) sea válida, dicha solicitud además deberá ser sometida por correo y recibida por el secretario de la votación adelantada a no más tardar del cuarto día regular hábil después de la transmisión por fax o email. Código Electoral de Texas § 84.007(b-1).

- 20 Un candidato con oposición deberá archivar dos informes adicionales, el primero que se cumple a no más tardar del 30vo día antes del Día de Elecciones (que es el domingo, 7 de octubre, aunque la fecha límite se extiende por el Código Electoral de Texas, Sección 1.006 al próximo día hábil que sería el martes, 9 de octubre, ya que el lunes, 8 de octubre es Columbus Day, día festivo nacional); y el segundo se deberá entregar a no más tardar que el 8vo día antes del día de elecciones (que sería el 29 de octubre). Código Electoral de Texas, Secc. 254.064(a)(b)(c). La Comisión de Ética de Texas en su “Guía de Finanzas de Campaña para Candidatos y Funcionarios Electos Que Archivan/Registran Candidaturas con Autoridades Locales” provee información bajo “Informes que se Cumplen a los 30 Días y 8 Días Antes de una Elección.” De acuerdo con el Código de la Ciudad 2-2-26(A), “candidatos, funcionarios electos, o comités políticos que el Código de la Ciudad o que la ley estatal requiere que archiven un informe de finanzas de campaña con el/la Secretario/a de la Ciudad, además del informe requerido, deberán proveer al secretario de la ciudad un informe de datos estructurados junto con el contenido de cada informe de finanzas de campaña archivado. El informe de datos deberá cumplir con las especificaciones y con el tipo de medio/formato determinado por el/la Secretario/a de la Ciudad. El informe de datos deberá proveerse al/a Secretario/a de la Ciudad en fecha que no sea después de la fecha en cual el informe de finanzas de campaña pertinente ha de archivarse.”
- 21 Los informes requeridos deberán ser recibidos por el/la Secretario/a de la Ciudad en la fecha y hora límite. Código Electoral de Texas §254.064(b) y (c).
- 22 Código de la Ciudad § 2-2-29 y Capítulo 2-2.
- 23 La votación adelantada continúa hasta el final del cuarto día (que sería el 2 de noviembre) antes del Día de la Elección. Código Electoral de Texas §85.001.
- 24 No se podría retirar de la boleta después de las 5:00 p.m. del tercer día después del repaso final de la elección principal. El Código Electoral de Texas § 145.092(d). “Si el candidato en la elección secundaria se retira, el candidato que permanece será considerado electo y la elección secundaria para ese puesto no se llevará a cabo. Código Electoral de Texas §145.095.
- 25 El repaso deberá ser en fecha que no sea anterior del tercer día después del Día de Elecciones (que sería el 9 de noviembre que es la fecha más temprana para repasar), ni después del día catorce después del Día de la Elección (que sería el 20 de noviembre, la fecha más tardía para repasar). Código Electoral de Texas §67.003(c).

CALENDARIO ELECTORAL DE ELECCIÓN SECUNDARIA

El calendario electoral de la segunda vuelta de la ciudad de Austin se lanzará en una fecha posterior. Para obtener información actualizada, visite el sitio web de Elecciones 2018.

<http://austintexas.gov/page/elections-2018>

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DEPARTAMENTO LEGAL

MEMORANDUM

A: Candidatos al Consejo de la Ciudad en 2018
DE: Anne L. Morgan, Procuradora de la Ciudad
FECHA: 30 de enero, 2018
ASUNTO: Solicitudes para Obtener Información Pública

Candidatos a puestos del Consejo de la Ciudad de Austin en la Elección General del 2018, podrán someter preguntas o solicitudes para información pública sobre la Ciudad de Austin al Departamento Legal quien coordinará las respuestas.

Personal de la Ciudad proveerá la respuesta inicial a Solicitudes de Información Pública en un plazo de 10 días hábiles desde la fecha en que la Ciudad haya recibido la solicitud. Dependiendo en la complejidad, amplitud o el costo posible de proveer la respuesta, el plazo final para responder a dicha Solicitud de Información Pública podría extenderse más de los 10 días hábiles iniciales. En dicho caso, el/la solicitante recibirá aviso y se le dará un estimado apropiado del tiempo y costo. Por favor dirija sus solicitudes a:

Departamento Legal
Atención: Amanda Brown, Gerente de Información Pública
301 W. Second St.
Austin, Texas 78701
(512) 974-2189
Email: public.information@austintexas.gov

Las respuestas a las solicitudes de información pública se colectarán por el personal y estarán disponibles para todos los candidatos postulados para puestos del consejo y se publicarán en el sitio web de la Ciudad de Austin en www.austintexas.gov. Copias también estarán disponibles para todos los candidatos en las oficinas del Departamento Legal en el Edificio Municipal (*City Hall*) de Austin en 301 W. Second St., Cuarto Piso.

Candidatos que soliciten información deberán proporcionar un número de teléfono, dirección email, y dirección postal al someter la solicitud para así proveerles información apropiada lo más pronto posible.

Gracias.

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Estimado Candidato:

Con su candidatura para puesto público usted ha demostrado su compromiso con el ideal de Austin de ser una de las ciudades más habitables y agradables en el país. Los residentes de Austin valoran y desean una comunidad “verde y limpia”. Con ese fin le pedimos que asegure que su campaña cumpla con los códigos de la Ciudad tocante la colocación de carteles y le urgimos que recicle sus carteles de campaña después de la elección.

Comprendemos que para usted la colocación de sus carteles es importante. Sin embargo, en Austin hay una ordenanza de carteles (Capítulo 25-10 Reglas de Carteles) que instituye reglas para todo anuncio, incluyendo carteles de campañas. Por favor reparta las siguientes reglas y estándares de carteles con su personal de campaña y con sus apoyadores.

Carteles de campaña no deberían:

- Ser pegados en postes de los servicios públicos, en cajas de controles de tráfico, postes de las luces, ni en postes de señales de tráfico, y no se deben colocar en propiedades públicas.
- Carteles no se deben colocar en las medianas de las calles (*mediana*), en esquinas de intersecciones, ni en las “islas” de tráfico.
- Carteles no se deben colocar entre la calle y la primera conexión (*grieta*) de expansión a la entrada de autos (*drive-way*), entre la calle y la acera, ni entre la calle y los postes de los servicios públicos.

Por favor consulte el folleto adjunto: Informes sobre Carteles Prohibidos (*Facts about Prohibited Signs*) para más información detallada y diagrama. Anuncios que estén ilegalmente colocados en derechos de vía pública se recogerán por el Departamento del Código y serán reciclados debidamente. **Si tiene usted cualquier pregunta, llame al 3-1-1.**

Asegure que sus carteles se puedan reciclar

Si usted quiere reciclar sus carteles, por favor dé la siguiente información a la imprenta cuando entregue la orden para imprimir sus carteles.

- Todo tamaño y colores de carteles hechos de polipropileno Coroplast™ se aceptarán para reciclar
- Carteles NO deberán tener letras de vinilo ni revestimiento de vinilo.

Reciclaje Gratis de Carteles de Campaña

Después de la elección, ¡le agradecemos procurar que su personal de campaña recoja y recicle sus carteles gratis! El servicio de la Ciudad de Austin, conocido como Recuperación de Recursos de Austin (*Austin Resource Recovery*) está colaborando con Texas Disposal Systems y Balcones Resources para reciclar carteles de campaña.

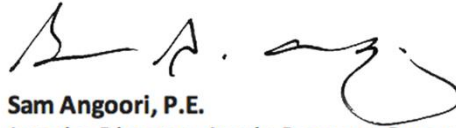
Carteles de campaña no se pueden reciclar usando el sistema regular de basura reciclable en un solo recipiente colectado en la calle (curbside). Sin embargo, la Ciudad está colaborando con Texas Disposal Systems y Balcones Resources para ofrecer reciclaje gratis de carteles de campaña. Por favor vea el volante adjunto "Reciclaje de carteles de Campaña" para más detalles.

Le anticipamos nuestro agradecimiento por su cooperación.



Cora D. Wright

Director, Austin Code Department



Sam Angoori, P.E.

Interim Director, Austin Resource Recovery

Cora D. Wright

Directora, Departamento del Código de Austin

Sam Angoori, P.E.

Director Interino Recuperación de Recursos de Austin



RECICLAJE DE CARTELES DE CAMPAÑA

Asegure que sus carteles se puedan reciclar

Si usted quiere reciclar sus carteles, por favor dé la siguiente información a la imprenta cuando entregue la orden para imprimir sus carteles.

- Todo tamaño y colores de carteles hechos de polipropileno Coroplast™ se aceptarán para reciclar
- Carteles NO deberán tener letras de vinilo ni revestimiento de vinilo.

Cuando distribuya sus carteles y después de la elección:

Carteles de campaña no se pueden reciclar en el sistema regular de basura reciclable que se colecta regularmente en las calles/curbside. Pero, la Ciudad está colaborando con Texas Disposal Systems y Balcones Resources para reciclar carteles de campaña.

Por favor cuando distribuya sus carteles a sus apoyadores dígalos cómo pueden ellos reciclar los carteles que tengan:

Se quitan las estacas y otra herramienta y se colocan en una caja separada.

- Estacas de metal se pueden reciclar en las tres facilidades de reciclaje que colaboran con la Ciudad.
- Estacas de madera solo se pueden convertir en compostaje en ciertas facilidades
- Lleve sus carteles y las estacas de madera y de metal a una de las facilidades de reciclaje abajo.

Carteles que cumplen los requisitos detallados arriba serán aceptados para reciclar en:

Facilidad de Reciclaje	Carteles de Campaña	Estacas de Metal Stakes	Estacas de Madera
Texas Disposal Systems 3606-C FM 1327, Creedmoor, TX 78617 (512) 421-1300 Lunes a Viernes, 8:00 a.m. – 3:00 p.m.	X	X	X
Balcones Resources 9301 Johnny Morris Road, Austin, TX 78724 (512) 472-3355 Lunes a Viernes, 7:00 a.m. – 4:00 p.m.	X	X	
City of Austin Recycle and Reuse Drop Off Center 2514 Business Center Drive, Austin, Texas 78744 (512) 974-4373 Lunes a Viernes, 9:00 a.m. – 5:00 p.m. Sábado, 7:00 a.m. – 12:00 p.m.	X	X	X

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EVITE CARTELES “DELINCIENTES” EN SU CAMPAÑA

RECUERDE

La ordenanza de anuncios y carteles de la Ciudad de Austin (§ 25-10-103) incluye carteles de campaña.

Como cortesía al público, si se recibe una queja, el Departamento del Código de Austin contactará al candidato **una sola vez** para advertirles que la ordenanza de anuncios incluye reglas de carteles. El candidato cuenta con 24 horas para quitar el cartel del lugar prohibido. Si se reciben más quejas, no se dará aviso.

Carteles de campañas **no se permiten** en las medianas de las calles, en equinas de intersecciones, en islas de tráfico, pegados a postes de los servicios públicos, en postes de señales de tráfico, ni en propiedad pública.

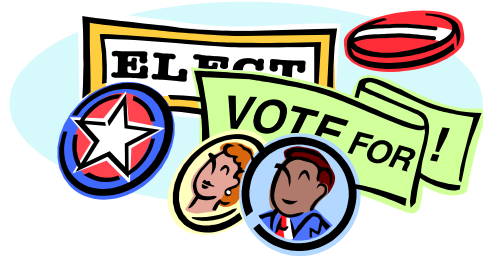
Austin Code recoge y desecha todos los carteles que no se recogen en 24 horas.

¿Preguntas? Email: CodeCommunications@austintexas.gov

AUSTIN CODE
DEPARTAMENTO

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POLITICAL ADVERTISING



WHAT YOU NEED TO KNOW

The Texas Election Law requires certain disclosures and notices on political advertising. The law also prohibits certain types of misrepresentation in political advertising and campaign communications. This brochure explains what you need to know to insure that your political advertising and campaign communications comply with the law.

If you are not sure what the law requires, do the cautious thing. Use the political advertising disclosure statement whenever you think it might be necessary, and do not use any possibly misleading information in political advertising or a campaign communication. If you are using political advertising or campaign communications from a prior campaign, you should check to see if the law has changed since that campaign.

Candidates for federal office should check with the Federal Election Commission at (800) 424-9530 for information on federal political advertising laws.

NOTICE: This guide is intended only as a general overview of the disclosure statements that must appear on political advertising as required under Chapter 255 of the Election Code, which is distinct from political reporting requirements under Chapter 254 of the Election Code.

Texas Ethics Commission

P. O. Box 12070
Austin, Texas 78711-2070
(512) 463-5800
Fax (512) 463-5777

Visit us at <http://www.ethics.state.tx.us> on the Internet.

Revised January 1, 2017

REQUIRED DISCLOSURE ON POLITICAL ADVERTISING

I. What Is Political Advertising?

The disclosure statement and notice requirements discussed in this section apply to “political advertising.” In the law, “political advertising” is a specifically defined term. Do not confuse this special term with your own common-sense understanding of advertising.

To figure out if a communication is political advertising, you must look at what it says and where it appears. If a communication fits in one of the categories listed in Part A (below) and if it fits in one of the categories listed in Part B (below), it is political advertising.

Part A. What Does It Say?

1. Political advertising includes communications supporting or opposing a candidate for nomination or election to either a public office or an office of a political party (including county and precinct chairs).
2. Political advertising includes communications supporting or opposing an officeholder, a political party, or a measure (a ballot proposition).

Part B. Where Does It Appear?

1. Political advertising includes communications that appear in pamphlets, circulars, fliers, billboards or other signs, bumper stickers, or similar forms of written communication.
2. Political advertising includes communications that are published in newspapers, magazines, or other periodicals in return for consideration.
3. Political advertising includes communications that are broadcast by radio or television in return for consideration.
4. Political advertising includes communications that appear on an Internet website.

II. When Is A Disclosure Statement Required?

The law provides that political advertising that contains express advocacy is required to include a disclosure statement. The person who causes the political advertising to be published, distributed, or broadcast is responsible for including the disclosure statement.

The law does not define the term “express advocacy.” However, the law does provide that political advertising is deemed to contain express advocacy if it is authorized by a candidate, an agent of a candidate, or a political committee filing campaign finance reports. Therefore, a disclosure statement is required any time a candidate, a candidate’s agent, or a political committee authorizes political advertising.

The precise language of political advertising authorized by someone other than a candidate, the candidate’s agent, or a political committee will determine if the advertising contains express advocacy and is therefore required to include a disclosure statement.

Generally, the question is whether the communication expressly advocates the election or defeat of an identified candidate, or expressly advocates the passage or defeat of a measure, such as a bond election. The inclusion of words such as “vote for,” “elect,” “support,” “defeat,” “reject,” or “Smith for Senate” would clearly constitute express advocacy, but express advocacy is not limited to communications that use those words. Similar phrases, such as “Cast your ballot for X,” would also constitute express advocacy. Additionally, in 2007, the United States Supreme Court held that an advertisement included express advocacy or its functional equivalent “if the ad is susceptible to no reasonable interpretation other than as an appeal to vote for or against a specific candidate.” *FEC v. Wisconsin Right to Life, Inc.*, 127 S.Ct. 2652 (2007). It is a question of fact whether a particular communication constitutes express advocacy. If you are not sure whether political advertising contains express advocacy, do the cautious thing and include the disclosure statement. That way there is no need to worry about whether you have violated the law.

Remember: The concept of “express advocacy” is relevant in determining whether political advertising is required to include a disclosure statement. However, the political advertising laws governing the right-of-way notice, misrepresentation, and use of public funds by political subdivisions will apply to political advertising regardless of whether the advertising contains express advocacy.

III. What Should The Disclosure Statement Say?

A disclosure statement must include the following:

1. the words “political advertising” or a recognizable abbreviation such as “pol. adv.”; and
1. the full name of one of the following: (a) the person who paid for the political advertising; (b) the political committee authorizing the political advertising; or (c) the candidate or specific-purpose committee supporting the candidate, if the political advertising is authorized by the candidate.

The disclosure statement must appear on the face of the political advertising or be clearly spoken if the political advertising does not include written text.

The advertising should not be attributed to entities such as “Committee to Elect John Doe” unless a specific-purpose committee named “Committee to Elect John Doe” has filed a campaign treasurer appointment with the Ethics Commission or a local filing authority.

IV. Are There Any Exceptions To The Disclosure Statement Requirement?

The following types of political advertising do not need the disclosure statement:

1. t-shirts, balloons, buttons, emery boards, hats, lapel stickers, small magnets, pencils, pens, pins, wooden nickels, candy wrappers, and similar materials;
2. invitations or tickets to political fundraising events or to events held to establish support for a candidate or officeholder;
3. an envelope that is used to transmit political advertising, provided that the political advertising in the envelope includes the disclosure statement;

- 4. circulars or fliers that cost in the aggregate less than \$500 to publish and distribute; and
- 5. political advertising printed on letterhead stationery, if the letterhead includes the name of one of the following: (a) the person who paid for the advertising, (b) the political committee authorizing the advertising, or, (c) the candidate or specific-purpose committee supporting the candidate, if the political advertising is authorized by the candidate. (Note: There is also an exception for holiday greeting cards sent by an officeholder, provided that the officeholder’s name and address appear on the card or the envelope.)

V. What Should I Do If I Discover That My Political Advertising Does Not Contain A Disclosure Statement?

The law prohibits a person from using, causing or permitting to be used, or continuing to use political advertising containing express advocacy if the person knows it does not include the disclosure statement. A person is presumed to know that the use is prohibited if the Texas Ethics Commission notifies the person in writing that the use is prohibited. If you receive notice from the Texas Ethics Commission that your political advertising does not comply with the law, you should stop using it immediately.

If you learn that a political advertising sign designed to be seen from the road does not contain a disclosure statement or contains an inaccurate disclosure statement, you should make a good faith attempt to remove or correct those signs that have been distributed. You are not required to attempt to recover other types of political advertising that have been distributed with a missing or inaccurate disclosure statement.

VI. The Fair Campaign Practices Act.

The Fair Campaign Practices Act sets out basic rules of decency, honesty, and fair play to be followed by candidates and political committees during a campaign. A candidate or political committee may choose to subscribe to the voluntary code by signing a copy of the code and filing it with the authority with whom the candidate or committee is required to file its campaign treasurer appointment.

A person subscribing to the code may indicate that fact on political advertising by including the following or a substantially similar statement:

(Name of the candidate or political committee, as appropriate) subscribes to the Code of Fair Campaign Practices.

VII. Special Rule For Judicial Candidates, Officeholders, and Committees.

Candidates for the Supreme Court, Court of Criminal Appeals, courts of appeals, district courts, statutory county courts (county courts-at-law), and statutory probate courts are required to file a form declaring their intent to either comply with or exceed the voluntary expenditure limits of the Judicial Campaign Fairness Act.

A candidate who has declared an intent to comply with the expenditure limits, as well as a specific-purpose committee supporting such a candidate, may state the following in political advertising:

Political advertising paid for by (name of candidate or committee) in compliance with the voluntary limits of the Judicial Campaign Fairness Act.

If a candidate declares an intent to exceed the expenditure limits, however, both the candidate and any specific-purpose committee supporting the candidate must include in their political advertising the following statement:

Political advertising paid for by (name of candidate or committee), (who or which) has rejected the voluntary limits of the Judicial Campaign Fairness Act.

ROAD SIGNS

I. When Is The “Right-Of-Way” Notice Required?

All written political advertising that is meant to be seen from a road must carry a “right-of-way” notice. It is a criminal offense to omit the “right-of-way” notice in the following circumstances:

- 1. if you enter into a contract or agreement to print or make written political advertising meant to be seen from a road; or
- 2. If you instruct another person to place the written political advertising meant to be seen from a road.

II. What Should The “Right-Of-Way” Notice Say?

Section 255.007 of the Texas Election Code prescribes the exact language of the notice:

NOTICE: IT IS A VIOLATION OF STATE LAW (CHAPTERS 392 AND 393, TRANSPORTATION CODE) TO PLACE THIS SIGN IN THE RIGHT-OF-WAY OF A HIGHWAY.

III. Do Yard Signs Have To Have The “Right-Of-Way” Notice?

Yes. The “right-of-way” notice requirement applies to signs meant to be seen from any road. The notice requirement assures that a person responsible for placing signs is aware of the restriction on placing the sign in the right-of-way of a highway.

IV. What About Bumper Stickers?

Bumper stickers do not need the “right-of-way” notice. They do, however, need a political advertising disclosure statement.

V. Where May I Place My Signs And How Long May Signs Be Posted?

For information about exactly where you may or may not place signs, or for information regarding the length of time your signs may be posted, check with your city or county government and with the Texas Department of Transportation at (512) 416-2901.

MISREPRESENTATION

I. Are There Restrictions On The Contents Of Political Advertising?

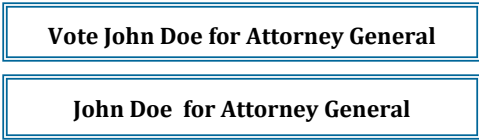
Political advertising and campaign communications may not misrepresent a person’s identity or official title, nor may they misrepresent the true source of the advertising or communication. The election law does not address other types of misrepresentation in political advertising or campaign communications.

Note that the misrepresentation rules apply to both political advertising and campaign communications. “Campaign communication” is a broader term than “political advertising.”

A “campaign communication” means “a written or oral communication relating to a campaign for nomination or election to public office or office of a political party or to a campaign on a measure.”

II. Misrepresentation Of Office Title.

A candidate may not represent that he or she holds an office that he or she does not hold at the time of the representation. **If you are not the incumbent in the office you are seeking, you must make it clear that you are seeking election rather than reelection by using the word “for” to clarify that you don’t hold that office.** The word “for” must be at least one-half the type size as the name of the office and should appear immediately before the name of the office. For example, a non-incumbent may use the following formats:



III. Misrepresentation Of Identity Or Source.

A person violates the law if, with intent to injure a candidate or influence the result of an election, the person misrepresents the source of political advertising or a campaign communication or if the person misrepresents his or her own identity or the identity of his or her agent in political advertising or in a campaign communication. (If someone else is doing something for you, that person is your agent.) For example, you may not take out an ad in favor of your opponent that purports to be sponsored by a notoriously unpopular group.

IV. Use Of State Seal.

Only officeholders may use the state seal in political advertising.

SWORN COMPLAINTS

An individual may file a sworn complaint with the Ethics Commission alleging a violation of any of the laws it administers, and Sections 334.025 and 335.055, Local Government Code, concerning false and misleading campaign material supporting or opposing the authorization of a sports or community venue project. The Commission does not have the authority to enforce the Penal Code.

A sworn complaint sets in motion a process that may include a preliminary review hearing and a formal hearing, and which permits resolution of the matter at several points in the process. The Commission may ultimately resolve a sworn complaint by dismissal, referral for criminal prosecution, or imposition of a civil penalty. A final decision of the Commission in a sworn complaint process may be appealed to a district court for a trial de novo. During most stages of the process, the Commissioners and Commission staff members are required to keep the complaint confidential.

ENFORCEMENT AND INVESTIGATIVE POWERS

The Ethics Commission is authorized to undertake civil enforcement actions on its own motion or in response to a sworn complaint, hold enforcement hearings, issue orders, and impose civil penalties.

*This pamphlet presents a brief overview of the Texas Ethics Commission. If you have a question about your own activities, we urge you to request an opinion from the Commission **before** engaging in the activity in question. Requests to the Commission for an advisory opinion must be in writing. You may also call the Commission's Legal Department at (512) 463-5800 for informal advice.*

In compliance with the Americans With Disabilities Act, the publications of the Texas Ethics Commission are available by request in alternative formats. To request an accessible format, please contact our ADA Compliance Officer by telephone at 512-463-5800, or through RELAY Texas at 800-735-2989; or by mail in care of the Texas Ethics Commission, P. O. Box 12070, Austin, Texas 78711-2070.

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TEXAS ETHICS COMMISSION

*Promoting Public Confidence
In Government*



Texas Ethics Commission

P. O. Box 12070
Austin, Texas 78711-2070

(512) 463-5800
FAX (512) 463-5777
TDD (800) 735-2989

Visit us at <https://www.ethics.state.tx.us> on the Internet.

Revised January 10, 2017

THE TEXAS ETHICS COMMISSION

On November 5, 1991, Texas voters approved an amendment that added Article III, Section 24a, to the Texas Constitution. The constitutional amendment created the Texas Ethics Commission. The amendment set out the method by which the eight members of the Commission are to be appointed, with four of the Commissioners appointed by the Governor, two appointed by the Lieutenant Governor, and two appointed by the Speaker of the Texas House of Representatives. No more than four members may be from the same political party.

CONSTITUTIONAL DUTIES

The Texas Constitution provides that the Ethics Commission may recommend the salary of members of the Legislature, the Lieutenant Governor, and the Speaker of the House of Representatives, subject to approval by the voters at the subsequent general election for state and county officers. Also, the Commission must set the *per diem* of members of the Legislature and of the Lieutenant Governor. The Legislature is to determine the other powers and duties of the Commission.

RULEMAKING

The Ethics Commission has rulemaking authority with respect to the laws it administers. Adoption of a rule requires an affirmative vote by six Commissioners.

LAWS ADMINISTERED BY THE TEXAS ETHICS COMMISSION

Statutory duties of the Ethics Commission are in Chapter 571 of the Government Code. The agency is responsible for administering these laws: (1) Title 15, Election Code, concerning political contributions and expenditures, and political advertising; (2) Chapter 302, Government Code, concerning the election of the Speaker of the Texas House of Representatives; (3) Chapter 303, Government Code, concerning the governor for a day and speaker's reunion day ceremonies; (4) Chapter 305, Government Code, concerning lobbyist registration, reports, and activities; (5) Chapter 572, Government Code, concerning personal financial disclosure of state officers and conduct of state officers and employees; (6) Chapter 2004, Government Code, concerning representation before state agencies; (7) Chapter 159, Local Government Code, concerning judges of statutory county courts or statutory probate courts who elect to file a financial statement with the Commission; (8) Government Code, Section 2152.064 (concerning Conflict of Interest in Certain Transactions involving the Texas Facilities Commission); and (9) Government Code, Section 2155.003 (concerning Conflict of Interest involving the Office of the Texas Comptroller of Public Accounts).

ADVISORY OPINIONS

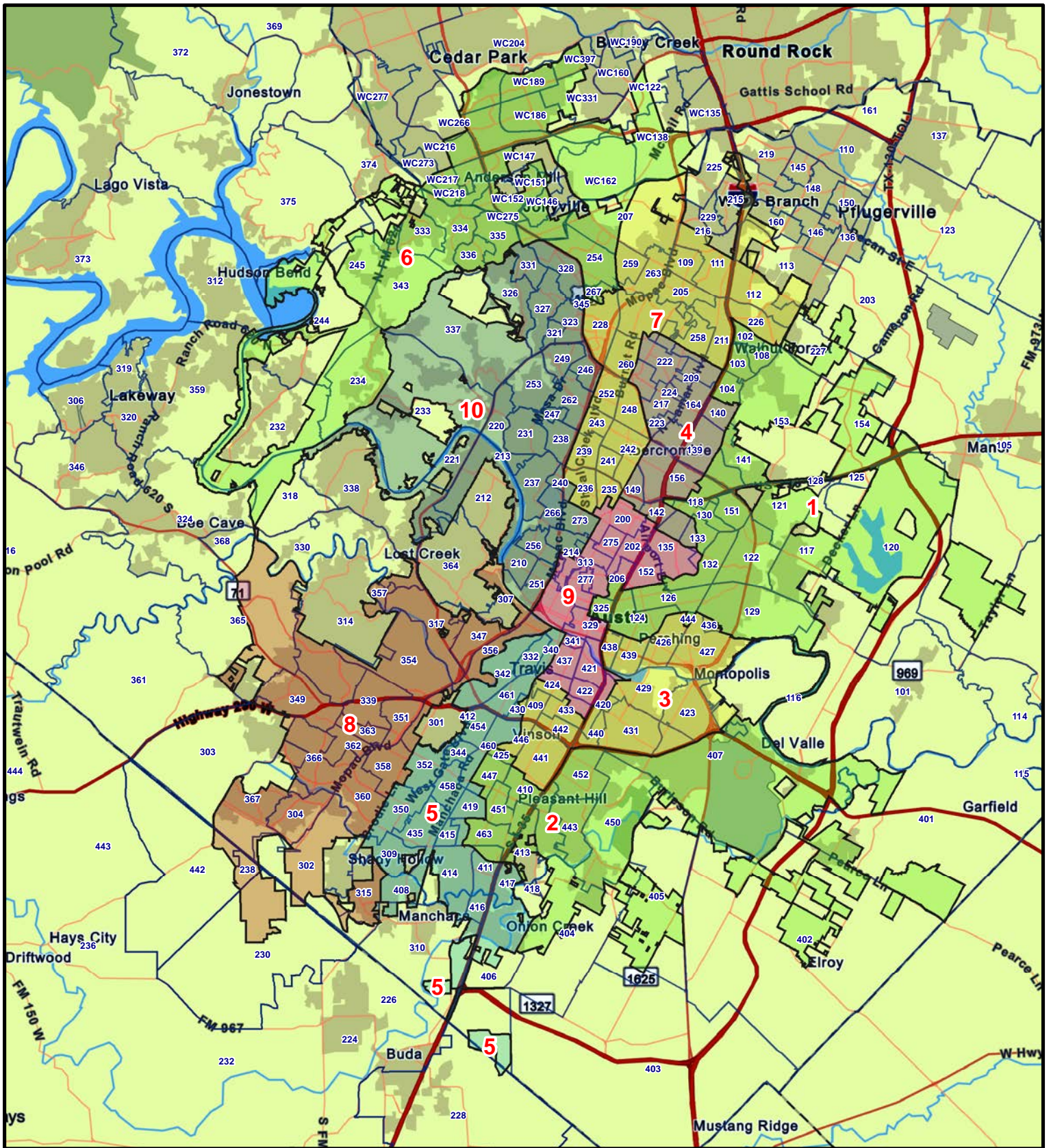
The Commission has the authority to issue an advisory opinion in response to a request from a person subject to any of the laws it administers, as well as Chapter 36, Penal Code, concerning bribery and corrupt influence, and Chapter 39, Penal Code, concerning abuse of office. It is a defense to prosecution or the imposition of a civil penalty under any of these laws that a person reasonably relied on an advisory opinion of the Commission. The name of a person requesting an advisory opinion must be kept confidential by the Commission.

FINANCIAL DISCLOSURE

The Ethics Commission serves as a repository of required disclosure statements for state officials, candidates, political committees, lobbyists, and certain district and county judicial officers.

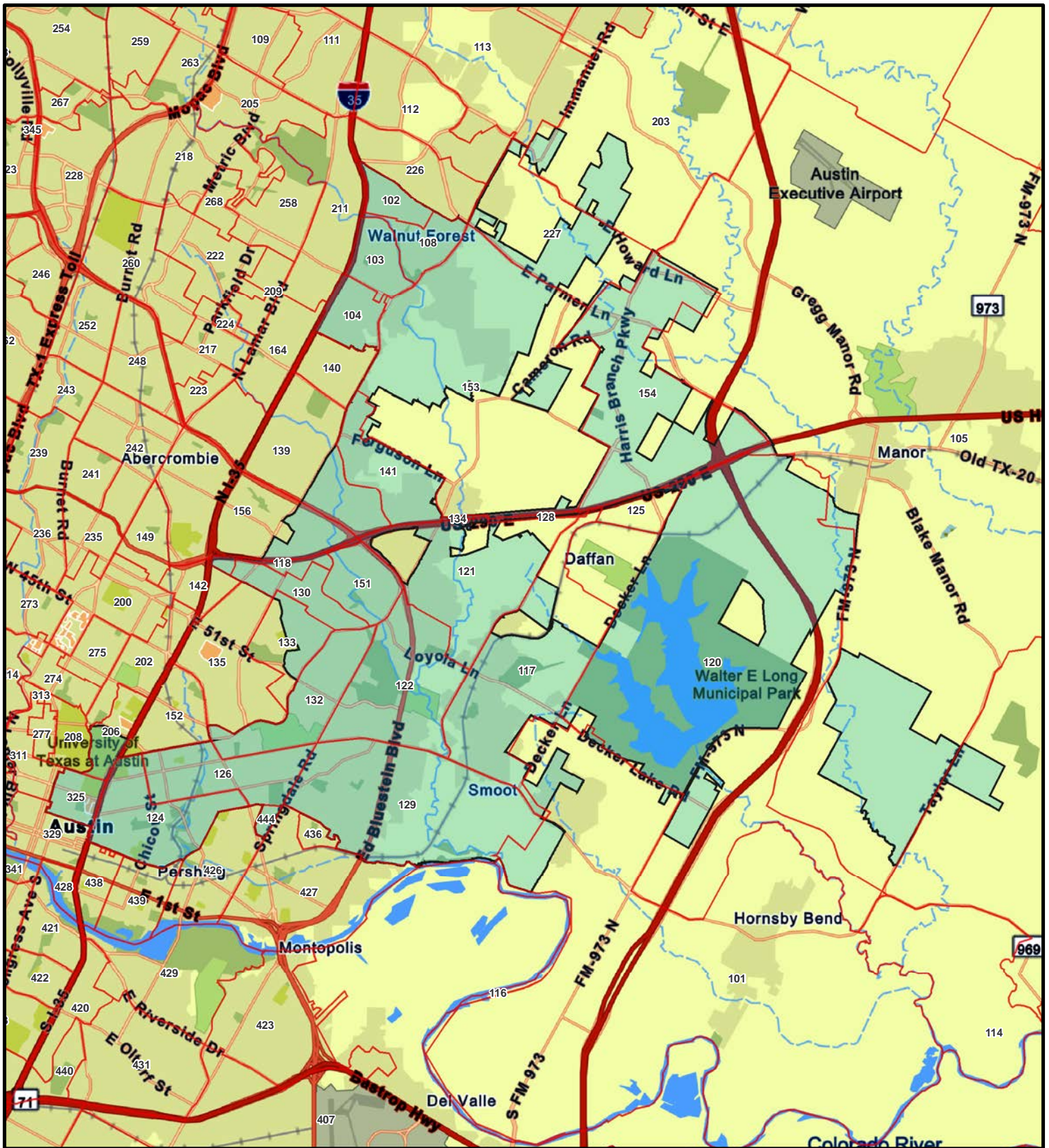
TRAINING

The Ethics Commission provides, in cooperation with state agencies, a program of ethics training for state employees, and also provides training for members and members-elect of the Texas Legislature concerning compliance with laws administered by the Commission. The Commission also produces educational materials and provides training programs for other groups affected by laws administered by the Commission.



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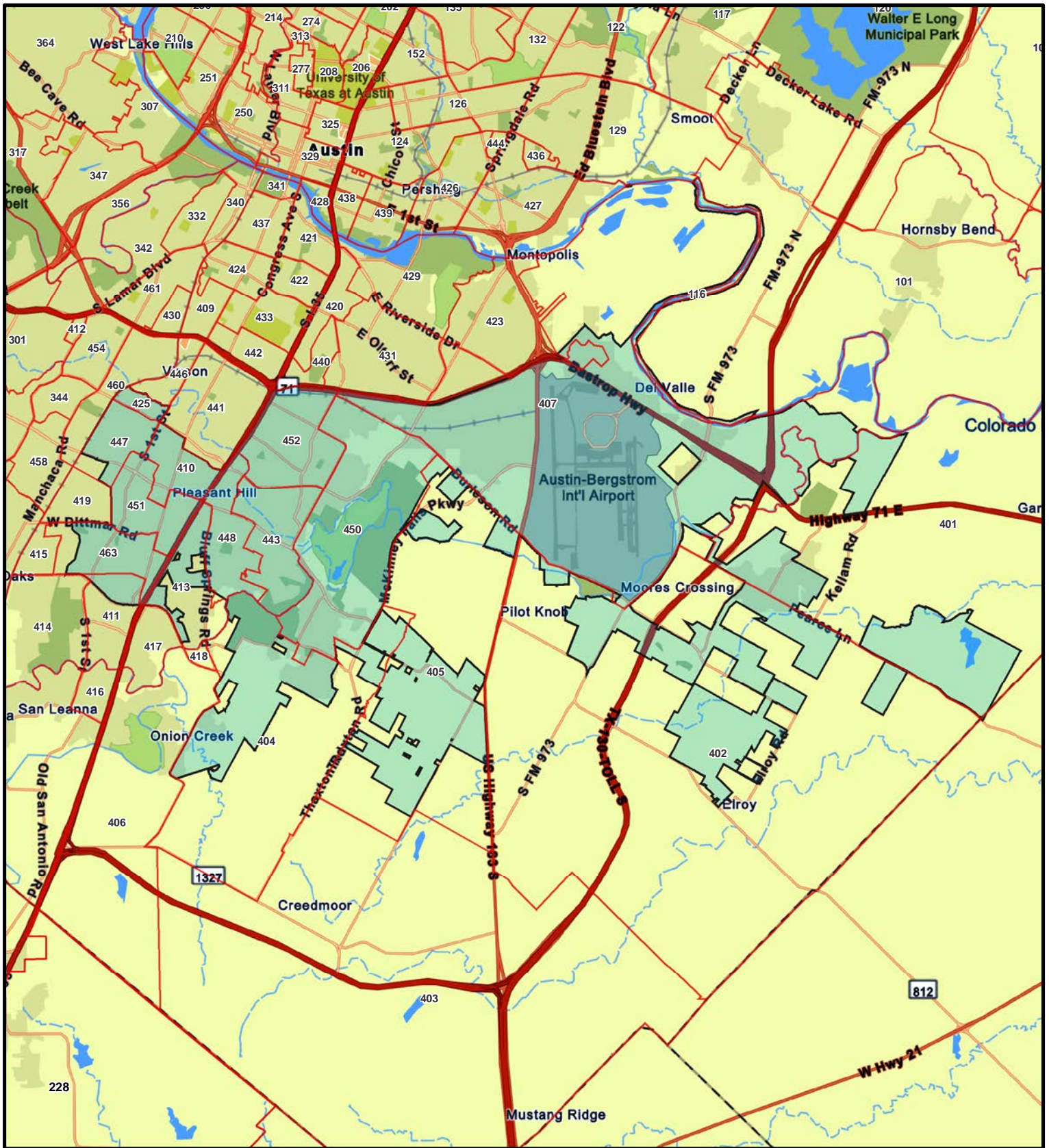


City Council District 1

Office of the City Clerk
3/26/2018

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City Council District 2

Office of the City Clerk
3/26/2018



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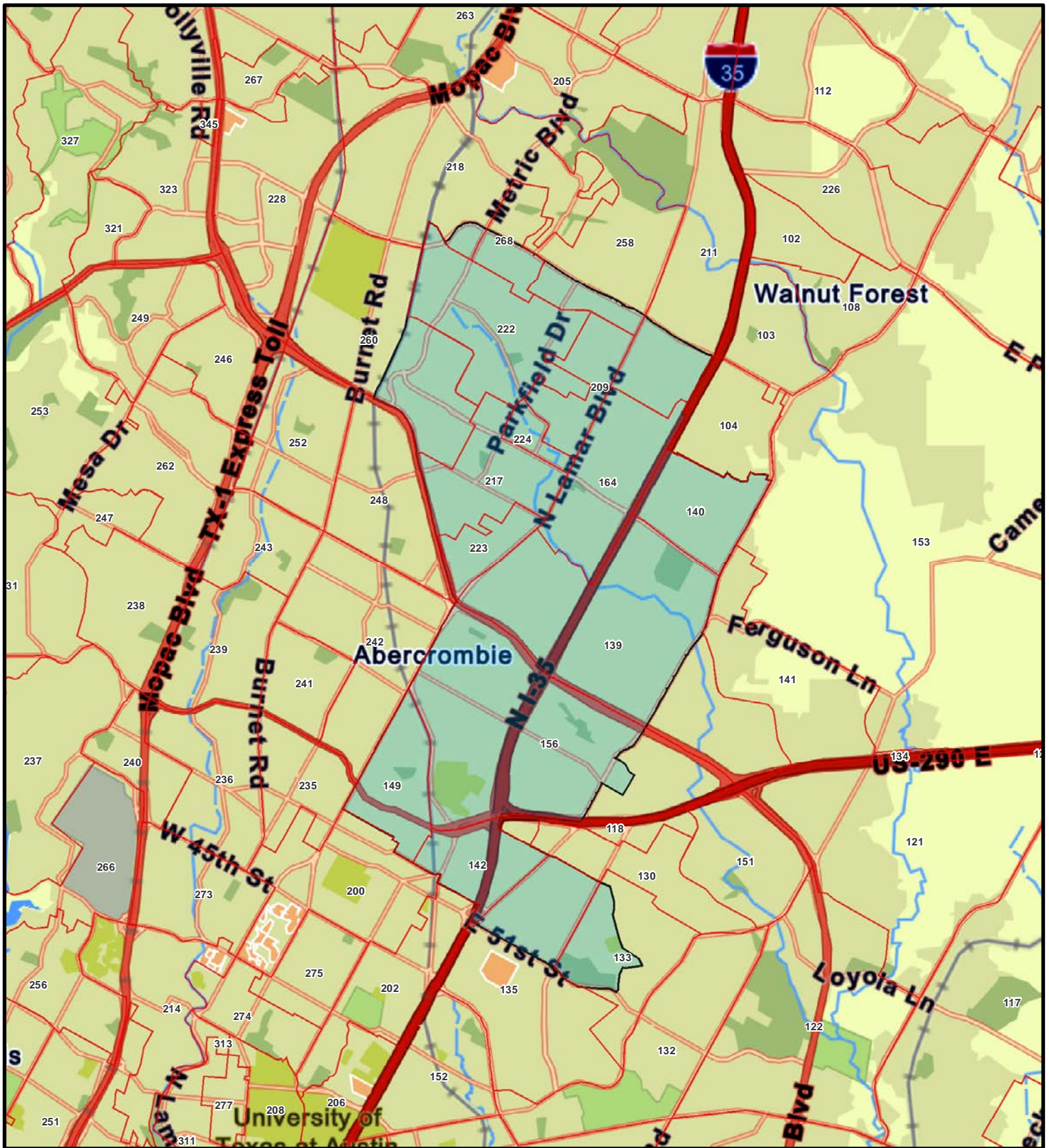


City Council District 3

Office of the City Clerk
3/26/2018

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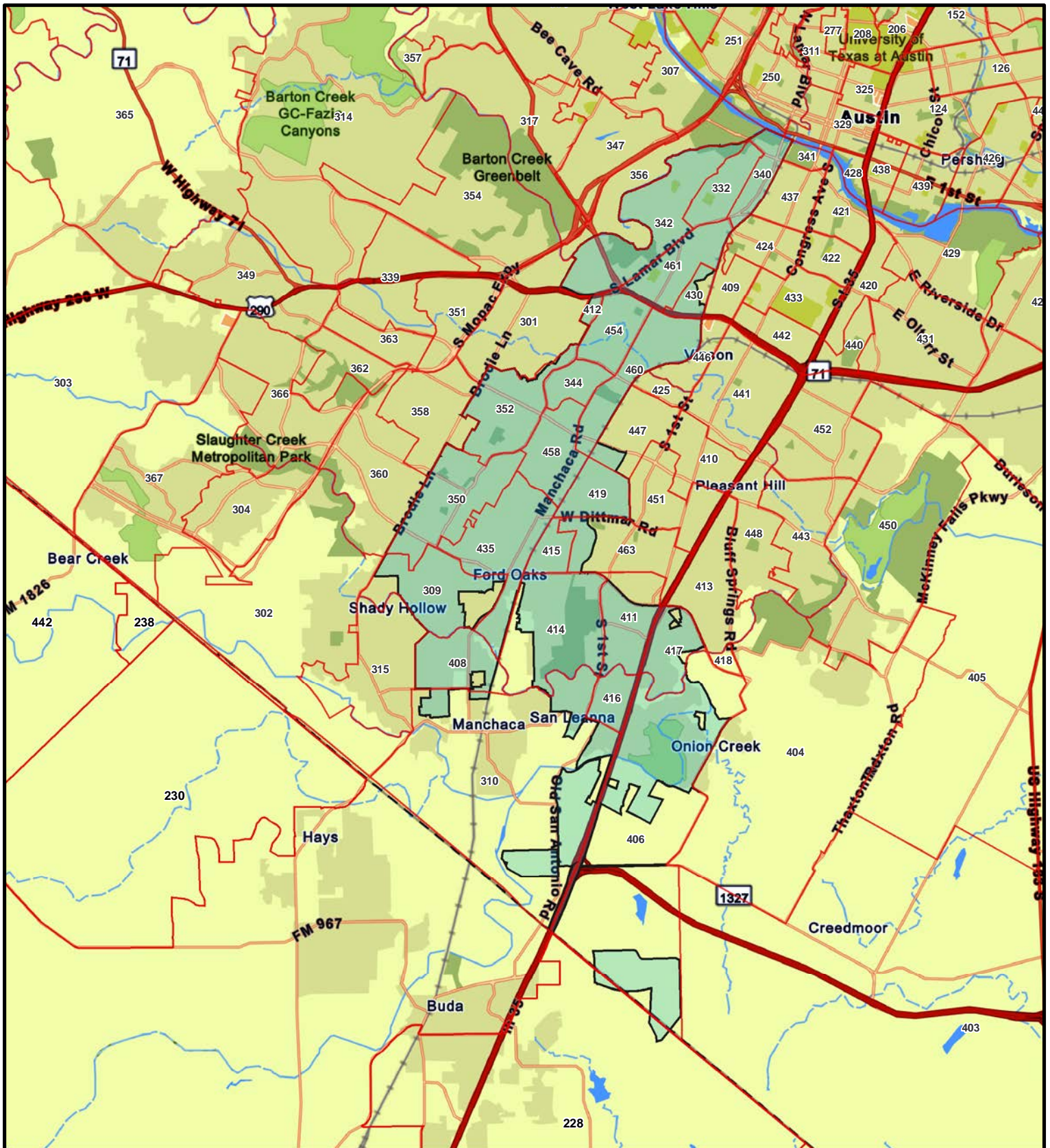


City Council District 4

Office of the City Clerk
3/26/2018

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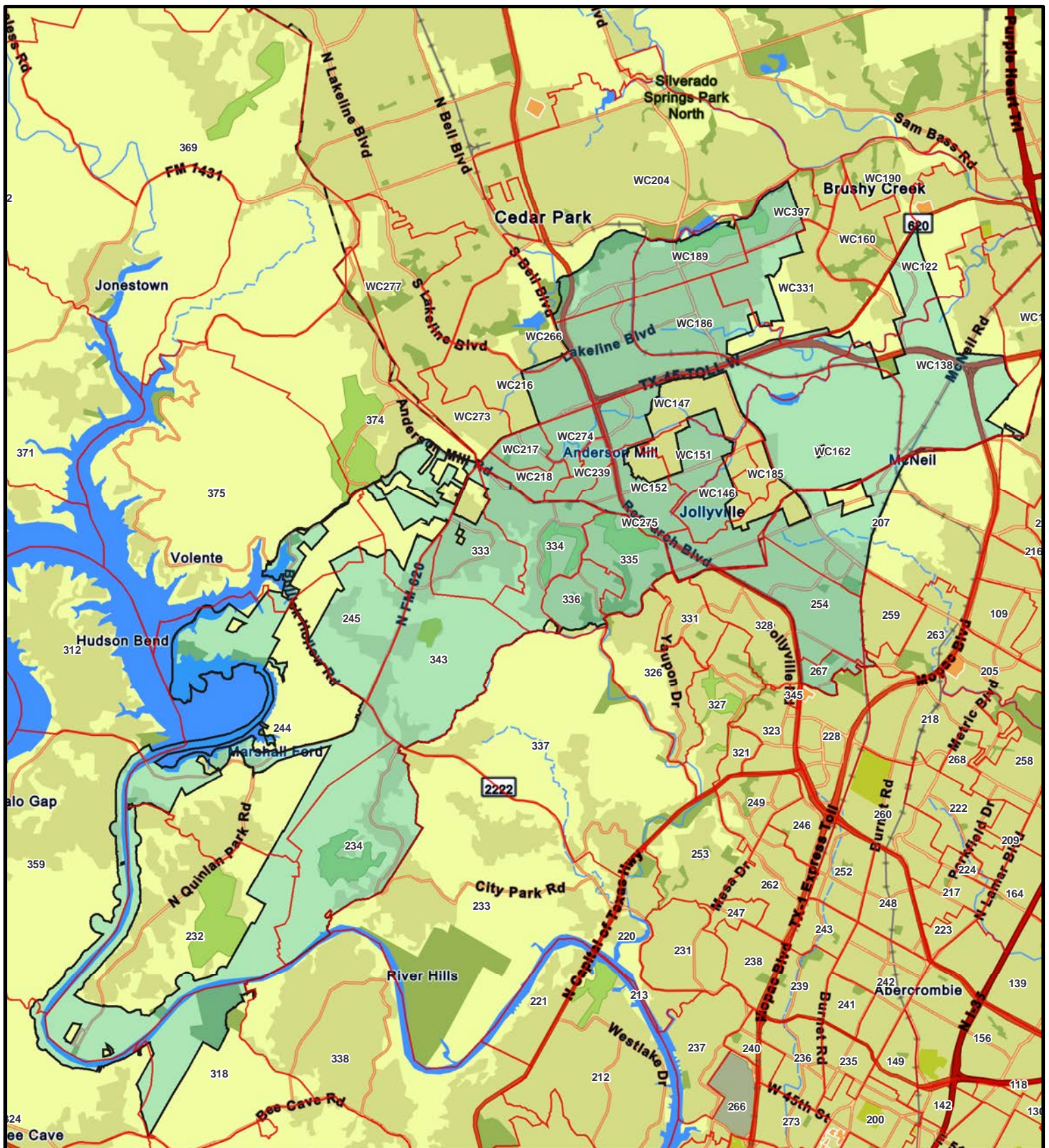


District 5

Office of the City Clerk
3/26/2018



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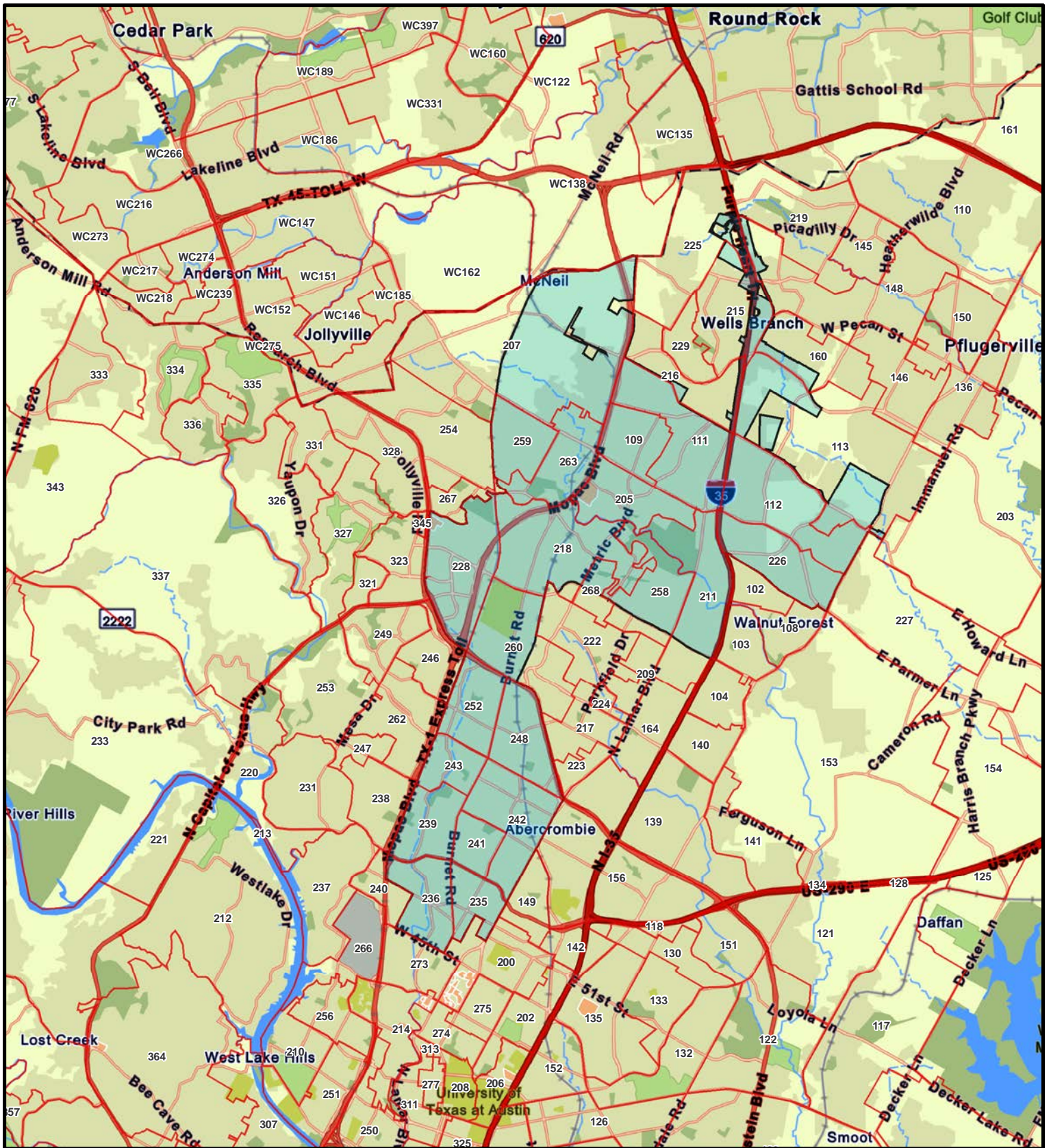
District 6

Web AppBuilder for ArcGIS

3/23/2018

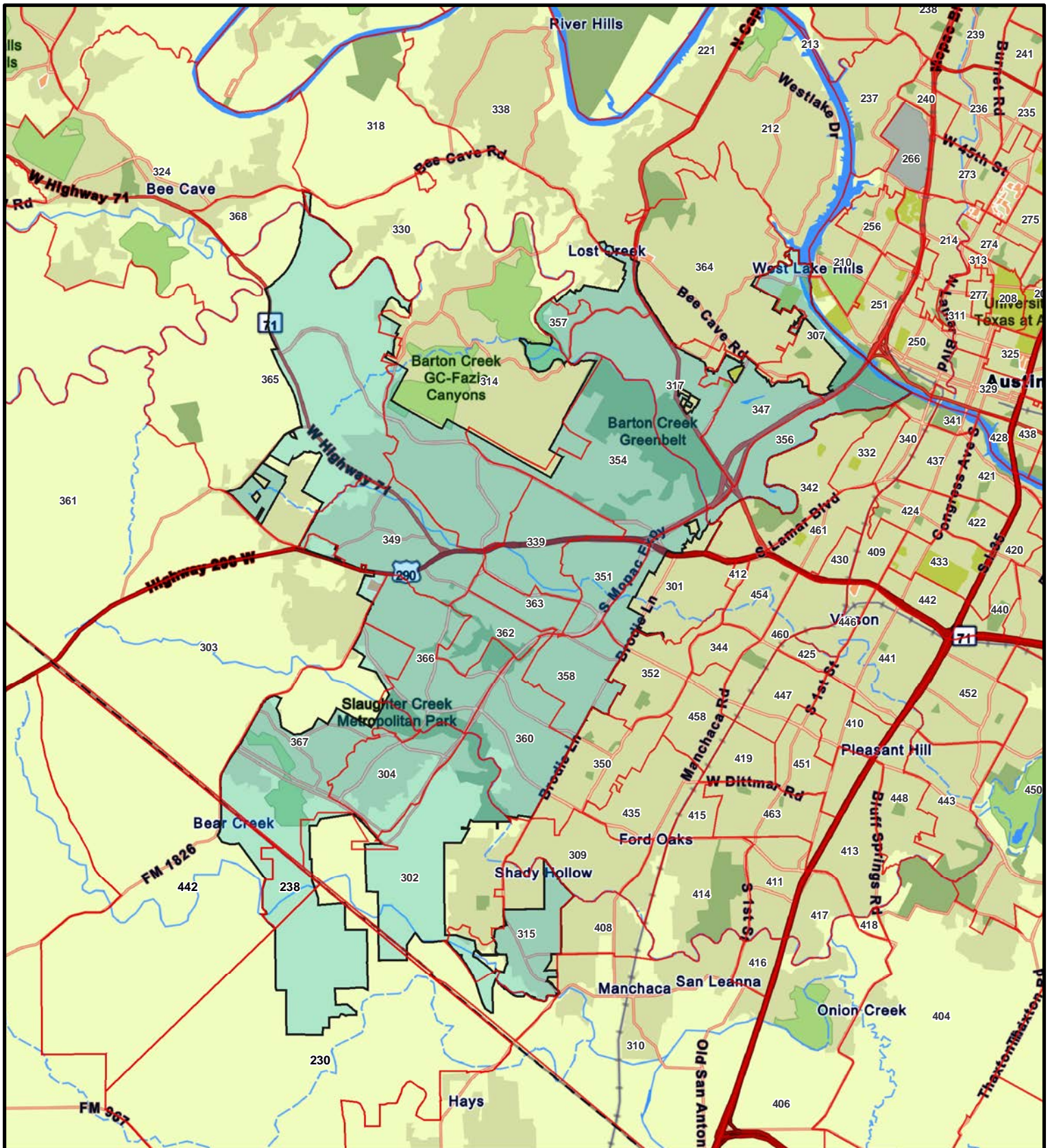
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District 8

Web AppBuilder for ArcGIS
3/26/2018

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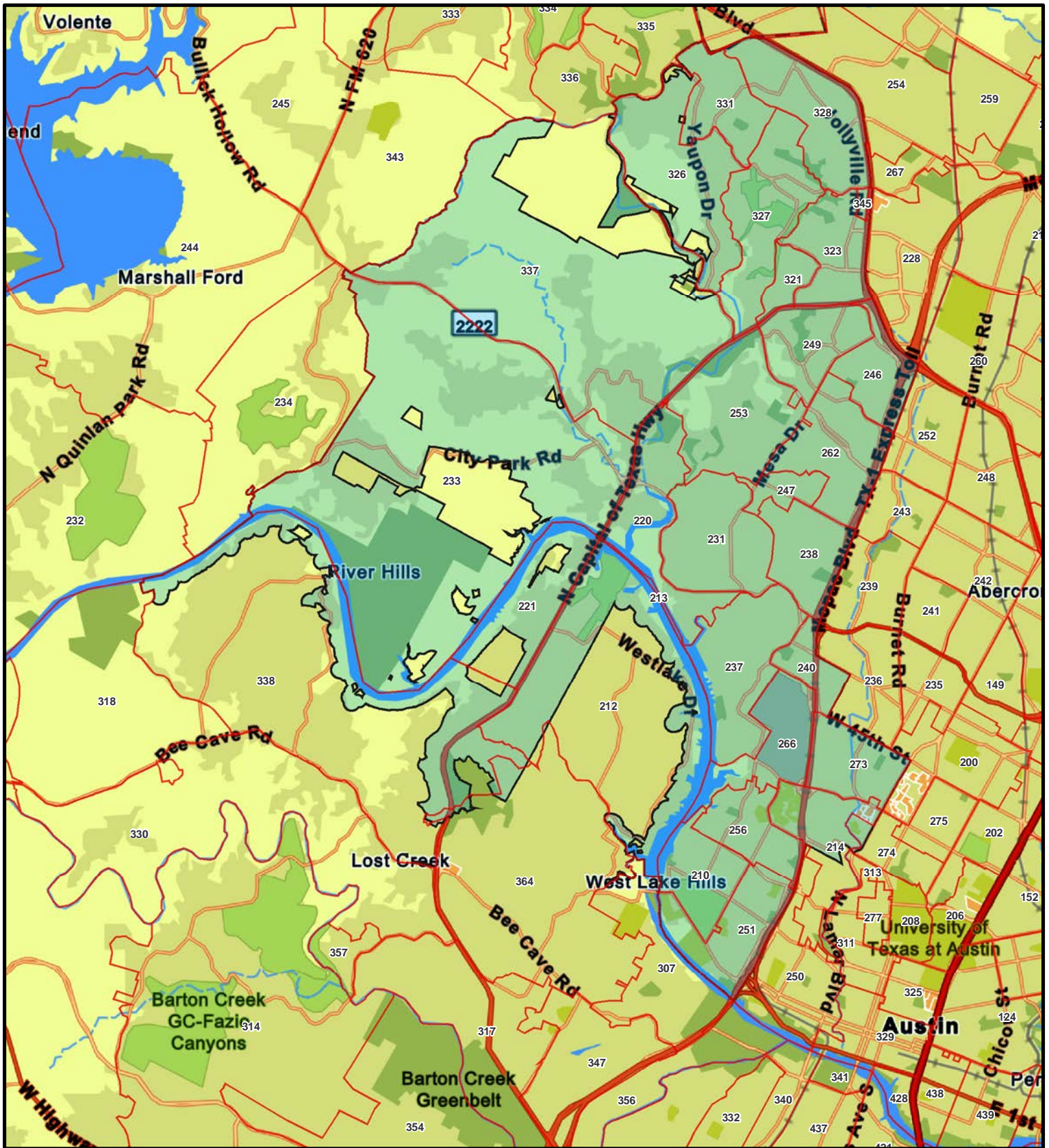


City Council District 9

Office of the City Clerk
3/26/2018

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District 10

Office of the City Clerk
3/26/2018



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MEMORÁNDUM

A: Candidatos en la Elección de Concejales del 2018

DE: Jannette Goodall, Secretaria de la Ciudad

FECHA: 4 de Mayo, 2018

ASUNTO: Ajuste Anual a los Límites de Financiamiento de Campañas

El Artículo III Sección 8 (A) (1) y 8 (A) (3) de la Carta de la Ciudad de Austin requiere que los límites de financiamiento de campañas sean modificados cada año cuando el presupuesto se apruebe para aumentar o reducir dichos límites de acuerdo con la más reciente publicación del gobierno federal del Indicador del Buró de Estadística Laboral, el Índice de Precios al Consumidor, Promedio de Ciudades Estadounidenses (*CPI-W U.S., Promedio de Ciudades*).

El Artículo III, Sección 8 dice lo siguiente:

§ 8. LÍMITES DE CONTRIBUCIONES Y GASTOS DE CAMPAÑA. (A) Límites de Contribuciones a Candidatos.

(1) Ningún candidato para Alcalde o Concejal de la Ciudad ni su comité de campaña aceptará contribuciones de campaña de ninguna persona, que sean más de \$300 [vea abajo la cantidad de acuerdo con el índice actual], de cada contribuyente en cada elección de cualquier persona, excepto contribuciones por el/la candidata/a mismo/a y por comités políticos de contribuyentes de cantidades pequeñas (*small-donor political comités*). La cantidad del límite de contribución será modificada cada año cuando se apruebe el presupuesto para ser aumentada o reducida de acuerdo con la más reciente publicación del gobierno federal del Indicador del Buró de Estadística Laboral, titulado Índice de Precios al Consumidor, CPI-W U.S. promedios de ciudades, indicador de promedios de las ciudades Estadounidenses (*Bureau of Labor Statistics Indicator, Consumer Price Index, CPI-W U.S. City Average*). El más reciente Índice de Precios al Consumidor del 13 de mayo, 2006 se usará como base de 100 y el ajuste después será a los más próximos \$50.00.

[Basado en el CPI actual, la cantidad límite de contribución a las campañas se modifica a \$350.00].

(3) Ningún candidato ni su comité aceptará ninguna contribución total agregada de más de \$30,000 [vea abajo la cantidad según el índice actual] por elección, y \$20,000 [vea abajo la cantidad según el índice actual] en caso de elección secundaria, de fuentes que no sean personas naturales elegibles para votar en alguno de los códigos postales que estén completamente o en parte dentro de los límites de la ciudad de Austin. La cantidad del límite de contribución se

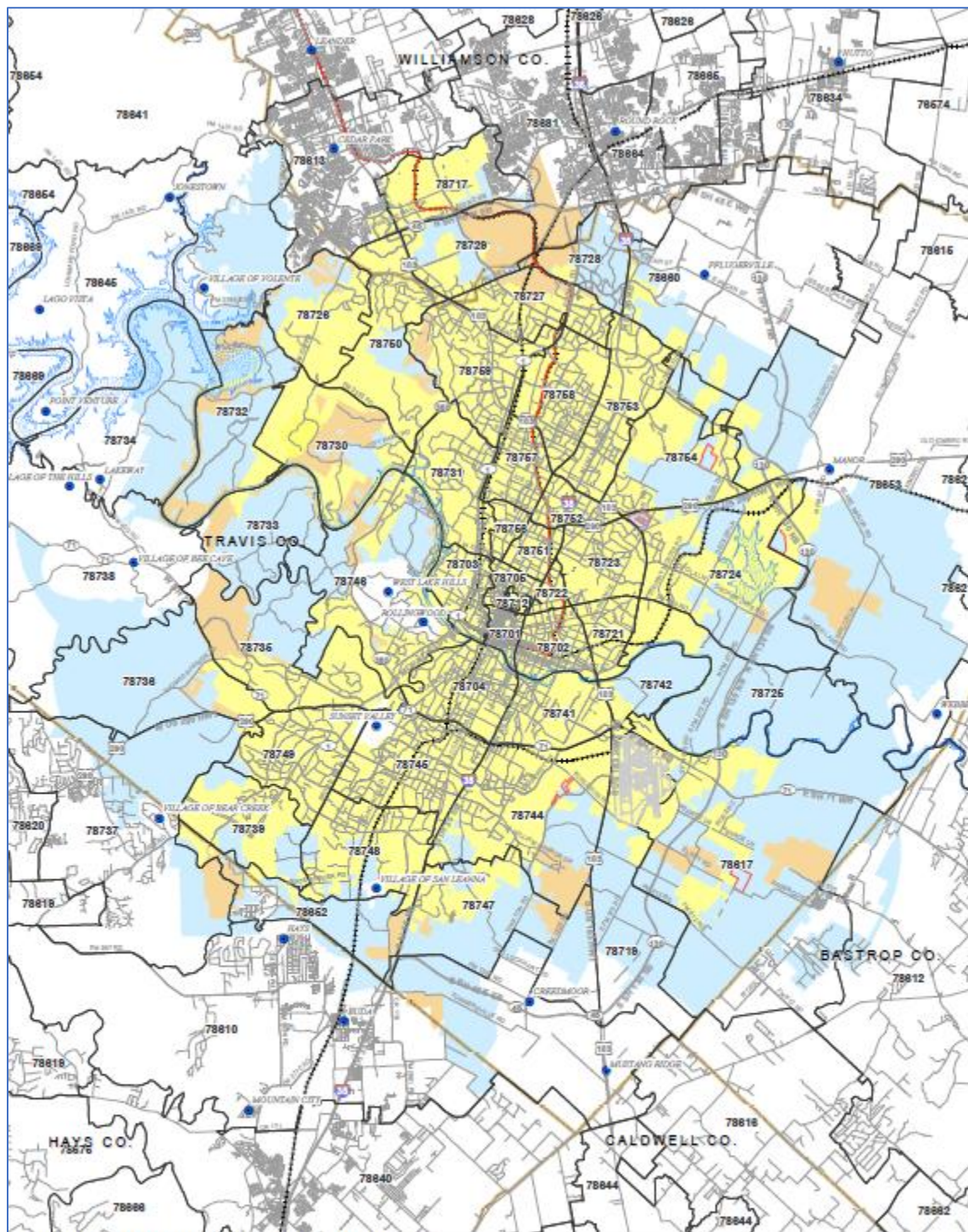
modificará anualmente cuando el presupuesto se apruebe para aumentarlo o reducirlo de acuerdo con la más reciente publicación del gobierno federal del Indicador del Buró de Estadística Laboral, titulado Índice de Precios al Consumidor (CPI-W U.S. promedios de las ciudades), indicador de los promedios de las ciudades estadounidenses (*Bureau of Labor Statistics Indicator, Consumer Price Index, CPI-W U.S. City Average*). El más reciente Índice de Precios al Consumidor del 13 de mayo, 2006 se usará como la base de 100 y el ajuste después será a los más próximos \$1,000.00.

[Basado en el CPI actual, el límite de la contribución agregada se modifica a \$36,000 en cada elección, y a \$24,000 en cada elección secundaria].

Adjunto está una lista de códigos postales y un mapa indicando los códigos postales que quedan completamente/o parcialmente dentro de los límites de la ciudad de Austin. Los límites de contribuciones serán calculados nuevamente como parte de la aprobación del Presupuesto del 2018 en septiembre 2017. Si los límites de contribuciones son ajustados un memorándum revisado será distribuido y proveído en la página Electoral del Sitio Web.

Si tiene alguna pregunta, por favor comuníquese con la oficina de la Secretaria de la Ciudad al (512) 974-2210.

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78660	78730	78750
78681	78731	78751
78701	78732	78752
78702	78733	78753
78703	78734	78754
78704	78735	78756
78705	78736	78757
78712	78737	78758
78717	78738	78759
78719		



Austin's Jurisdictions and Zip Codes

- Austin Full Purpose
- Austin Limited Purpose
- Austin ETJ
- Austin ETJ - Agri. Agmt.
- County
- Zip Code Boundary
- Other City
- Major Roads
- Capital Metro Rail Route
- Railroads

1 in = 3 miles




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Translator note: see following page for translation of Map Legend:

Jurisdicciones de Austin y códigos postales

- [--] Austin Full Purpose=Plena Jurisdiccion-Austin
 - [] Austin Limited Purpose =Jurisdiccion Limitada-Austin
 - [] Austin ETJ= Jurisdicción Extraterritorial de Austin
 - [] Austin ETJ= Jurisdicción Extraterritorial de Austin-Gerencia Agrícola
 - [] County=Condado
 - [] Zip Code Boundary= Límites de Códigos Postales
-

-  Other City =Otra ciudad
-  Major Roads =Calles Principales
-  Capital Metro Rail Route =Ruta Principal de Trenes de Capital Metro
- +++ Railroads-Ferrovías –

Leyenda en la parte inferior, extremo inferior derecho

Esta imagen es solo para informar y no se ha preparado para otros propósitos y no tiene validéz legal, de ingeniería, ni de agrimensura. No representa agrimensura en el terreno y solo representa ubicaciones aproximadas de límites de propiedad.

Esta imagen fue preparada por el Departamento de Planeación y Zonificación para referencias geográficas. La Ciudad de Austin no garantiza que sea exacto ni completo. Toda la información es de la Ciudad de Austin a no ser que se indique lo contrario.

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78610	78712	78738
78612	78717	78739
78613	78719	78741
78615	78721	78742
78616	78722	78744
78617	78723	78745
78634	78724	78746
78641	78725	78747
78645	78726	78748
78652	78727	78749
78653	78728	78750
78660	78729	78751
78664	78730	78752
78681	78731	78753
78701	78732	78754
78702	78733	78756
78703	78734	78757
78704	78735	78758
	78736	78759

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APPOINTMENT OF A CAMPAIGN TREASURER BY A CANDIDATE

FORM CTA
PG 1

See CTA Instruction Guide for detailed instructions.		1 Total pages filed:	
2 CANDIDATE NAME	MS / MRS / MR	FIRST	MI
	NICKNAME LAST SUFFIX		
	Date Received		
	Date Hand-delivered or Postmarked		
3 CANDIDATE MAILING ADDRESS	ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE		
	Receipt # Amount \$		
4 CANDIDATE PHONE	AREA CODE	PHONE NUMBER	EXTENSION
	Date Processed		
5 OFFICE HELD (if any)			Date Imaged
6 OFFICE SOUGHT (if known)			
7 CAMPAIGN TREASURER NAME	MS/MRS/MR	FIRST	MI NICKNAME LAST SUFFIX
8 CAMPAIGN TREASURER STREET ADDRESS (residence or business)	STREET ADDRESS (NO PO BOX PLEASE); APT / SUITE #; CITY; STATE; ZIP CODE		
9 CAMPAIGN TREASURER PHONE	AREA CODE	PHONE NUMBER	EXTENSION
10 CANDIDATE SIGNATURE	<p>I am aware of the Nepotism Law, Chapter 573 of the Texas Government Code.</p> <p>I am aware of my responsibility to file timely reports as required by title 15 of the Election Code.</p> <p>I am aware of the restrictions in title 15 of the Election Code on contributions from corporations and labor organizations.</p> <p>_____ Signature of Candidate</p> <p>_____ Date Signed</p>		

GO TO PAGE 2

CANDIDATE MODIFIED REPORTING DECLARATION

FORM CTA
PG 2

11 CANDIDATE
NAME

12 MODIFIED
REPORTING
DECLARATION

COMPLETE THIS SECTION ONLY IF YOU ARE CHOOSING MODIFIED REPORTING

•• This declaration must be filed no later than the 30th day before the first election to which the declaration applies. ••

•• The modified reporting option is valid for one election cycle only. ••
(An election cycle includes a primary election, a general election, and any related runoffs.)

•• Candidates for the office of state chair of a political party may NOT choose modified reporting. ••

I do not intend to accept more than \$500 in political contributions or make more than \$500 in political expenditures (excluding filing fees) in connection with any future election within the election cycle. I understand that if either one of those limits is exceeded, I will be required to file pre-election reports and, if necessary, a runoff report.

Year of election(s) or election cycle to
which declaration applies

Signature of Candidate

This appointment is effective on the date it is filed with the appropriate filing authority.

TEC Filers may send this form to the TEC electronically at treasappoint@ethics.state.tx.us or

Fax this form to (512) 463-8808 or mail to

Texas Ethics Commission

P.O. Box 12070

Austin, TX 78711-2070

**Non-TEC Filers must file this form with the local filing authority
DO NOT SEND TO TEC**

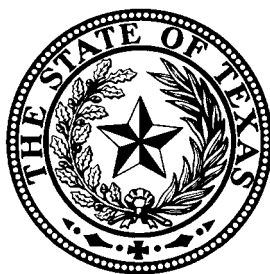
For more information about where to file go to:

<https://www.ethics.state.tx.us/whatsnew/NewFilersGettingStarted.html>

TEXAS ETHICS COMMISSION

APPOINTMENT OF A CAMPAIGN TREASURER BY A CANDIDATE

FORM CTA – INSTRUCTION GUIDE



Revised July 14, 2010

**Texas Ethics Commission, P.O. Box 12070, Austin, Texas 78711
(512) 463-5800 FAX (512) 463-5777 TDD 1-800-735-2989**

Visit us at <http://www.ethics.state.tx.us> on the Internet.

AN EQUAL OPPORTUNITY EMPLOYER

The Texas Ethics Commission does not discriminate on the basis of race, color, national origin, sex, religion, age or disability in employment or the provision of services.

FORM CTA–INSTRUCTION GUIDE

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APPOINTMENT OF A CAMPAIGN TREASURER BY A CANDIDATE

GENERAL INSTRUCTIONS

These instructions are for the APPOINTMENT OF A CAMPAIGN TREASURER BY A CANDIDATE (Form CTA). Use Form CTA only for appointing your campaign treasurer. Use the AMENDMENT (Form ACTA) for changing information previously reported on Form CTA and for renewing your choice to report under the modified schedule. Note: Candidates for most judicial offices use Form JCTA to file a campaign treasurer appointment.

DUTIES OF A CANDIDATE OR OFFICEHOLDER. As a candidate or officeholder, you alone, not the campaign treasurer, are responsible for filing this form and all candidate/officeholder reports of contributions, expenditures, and loans. Failing to file a report on time or filing an incomplete report may subject you to criminal or civil penalties.

QUALIFICATIONS OF CAMPAIGN TREASURER. A person is ineligible for appointment as a campaign treasurer if the person is the campaign treasurer of a political committee that has outstanding filing obligations (including outstanding penalties). This prohibition does not apply if the committee in connection with which the ineligibility arose has not accepted more than \$5,000 in political contributions or made more than \$5,000 in political expenditures in any semiannual reporting period. A person who violates this prohibition is liable for a civil penalty not to exceed three times the amount of political contributions accepted or political expenditures made in violation of this provision. Note: A candidate may appoint himself or herself as his or her own campaign treasurer.

DUTIES OF A CAMPAIGN TREASURER. State law does not impose any obligations on a candidate's campaign treasurer.

REQUIREMENT TO FILE BEFORE BEGINNING A CAMPAIGN. If you plan to run for a public office in Texas (except for a federal office), you must file this form when you become a candidate even if you do not intend to accept campaign contributions or make campaign expenditures. A "candidate" is a person who knowingly and willingly takes affirmative action for the purpose of gaining nomination or election to public office or for the purpose of satisfying financial obligations incurred by the person in connection with the campaign for nomination or election. Examples of affirmative action include:

- (A) the filing of a campaign treasurer appointment, except that the filing does not constitute candidacy or an announcement of candidacy for purposes of the automatic resignation provisions of Article XVI, Section 65, or Article XI, Section 11, of the Texas Constitution;
- (B) the filing of an application for a place on the ballot;
- (C) the filing of an application for nomination by convention;

- (D) the filing of a declaration of intent to become an independent candidate or a declaration of write-in candidacy;
- (E) the making of a public announcement of a definite intent to run for public office in a particular election, regardless of whether the specific office is mentioned in the announcement;
- (F) before a public announcement of intent, the making of a statement of definite intent to run for public office and the soliciting of support by letter or other mode of communication;
- (G) the soliciting or accepting of a campaign contribution or the making of a campaign expenditure; and
- (H) the seeking of the nomination of an executive committee of a political party to fill a vacancy.

Additionally, the law provides that you must file this form before you may accept a campaign contribution or make or authorize a campaign expenditure, including an expenditure from your personal funds. A filing fee paid to a filing authority to qualify for a place on a ballot is a campaign expenditure that may not be made before filing a campaign treasurer appointment form with the proper filing authority.

If you are an officeholder, you may make officeholder expenditures and accept officeholder contributions without having a campaign treasurer appointment on file. If you do not have a campaign treasurer appointment on file and you wish to accept *campaign* contributions or make *campaign* expenditures in connection with your office or for a different office, you must file this form before doing so. In such a case, a sworn report of contributions, expenditures, and loans will be due no later than the 15th day after filing this form.

WHERE TO FILE A CAMPAIGN TREASURER APPOINTMENT. The appropriate filing authority depends on the office sought or held.

a. Texas Ethics Commission. The Texas Ethics Commission is the appropriate filing authority for the Secretary of State and for candidates for or holders of the following offices:

- Governor, Lieutenant Governor, Attorney General, Comptroller, Treasurer, Land Commissioner, Agriculture Commissioner, Railroad Commissioner.
- State Senator or State Representative.
- Supreme Court Justice, Court of Criminal Appeals Judge, and Court of Appeals Judge.*
- State Board of Education.
- A multi-county district judge* or multi-county district attorney.
- A single-county district judge.*

- An office of a political subdivision other than a county if the political subdivision includes areas in more than one county and if the governing body of the political subdivision has not been formed.
 - A chair of the state executive committee of a political party with a nominee on the ballot in the most recent gubernatorial election.
 - A county chair of a political party with a nominee on the ballot in the most recent gubernatorial election if the county has a population of 350,000 or more.
- * Judicial candidates use FORM JCTA to appoint a campaign treasurer.

b. County Clerk. The county clerk (or the county elections administrator or tax assessor, as applicable) is the appropriate local filing authority for a candidate for:

- A county office.
- A precinct office.
- A district office (except for multi-county district offices).
- An office of a political subdivision other than a county if the political subdivision is within the boundaries of a single county and if the governing body of the political subdivision has not been formed.

c. Local Filing Authority. If a candidate is seeking an office of a political subdivision other than a county, the appropriate filing authority is the *clerk or secretary of the governing body* of the political subdivision. If the political subdivision has no clerk or secretary, the appropriate filing authority is the governing body's presiding officer. Basically, any political subdivision that is authorized by the laws of this state to hold an election is considered a local filing authority. Examples are cities, school districts, and municipal utility districts.

FILING WITH A DIFFERENT AUTHORITY. If you have a campaign treasurer appointment on file with one authority, and you wish to accept campaign contributions or make or authorize campaign expenditures in connection with another office that would require filing with a different authority, you must file a new campaign treasurer appointment *and* a copy of your old campaign treasurer appointment (certified by the old authority) with the new filing authority before beginning your campaign. You should also provide written notice to the original filing authority that your future reports will be filed with another authority.

FORMING A POLITICAL COMMITTEE. As a candidate, you must file an APPOINTMENT OF A CAMPAIGN TREASURER BY A CANDIDATE (FORM CTA). You may also form a specific-purpose committee to support your candidacy. Remember that filing a campaign treasurer appointment for a political committee does not eliminate the requirement that a candidate file his or her own campaign treasurer appointment (FORM CTA) and the related reports.

NOTE: See the *Campaign Finance Guide for Political Committees* for further information about specific-purpose committees.

CHANGING A CAMPAIGN TREASURER. If you wish to change your campaign treasurer, simply file an amended campaign treasurer appointment (FORM ACTA). This will automatically terminate the outgoing campaign treasurer appointment.

AMENDING A CAMPAIGN TREASURER APPOINTMENT. If *any* of the information reported on the campaign treasurer appointment (FORM CTA) changes, file an AMENDMENT: APPOINTMENT OF A CAMPAIGN TREASURER BY A CANDIDATE (FORM ACTA) to report the change.

REPORTING REQUIREMENT FOR CERTAIN OFFICEHOLDERS. If you are an officeholder who appoints a campaign treasurer after a period of not having one, you must file a report of contributions, expenditures, and loans no later than the 15th day after your appointment is effective. This requirement is not applicable if you are a candidate or an officeholder who is merely changing campaign treasurers.

TERMINATING A CAMPAIGN TREASURER APPOINTMENT. You may terminate your campaign treasurer appointment at any time by:

- 1) filing a campaign treasurer appointment for a successor campaign treasurer, or
- 2) filing a final report.

Remember that you may not accept any campaign contributions or make or authorize any campaign expenditures without a campaign treasurer appointment on file. You may, however, accept officeholder contributions and make or authorize officeholder expenditures.

If your campaign treasurer quits, he or she must give written notice to both you and your filing authority. The termination will be effective on the date you receive the notice or on the date your filing authority receives the notice, whichever is later.

FILING A FINAL REPORT. For filing purposes, you are a “candidate” as long as you have an appointment of campaign treasurer on file. If you do not expect to accept any further campaign contributions or to make any further campaign expenditures, you may file a final report of contributions and expenditures. A final report terminates your appointment of campaign treasurer and relieves you of the obligation of filing further reports as a candidate. If you have surplus funds, or if you retain assets purchased with political funds, you will be required to file annual reports. (*See instructions for FORM C/OH - UC.*) If you are an officeholder at the time of filing a final report, you may be required to file semiannual reports of contributions, expenditures, and loans as an officeholder.

If you do not have an appointment of campaign treasurer on file, you may not accept *campaign* contributions or make *campaign* expenditures. A payment on a campaign debt is a campaign expenditure. An officeholder who does not have an appointment of campaign treasurer on file may accept *officeholder* contributions and make *officeholder* expenditures.

To file a final report, you must complete the CANDIDATE/OFFICEHOLDER CAMPAIGN FINANCE REPORT (FORM C/OH), check the “final” box on Page 1, Section 9, and complete and attach the DESIGNATION OF FINAL REPORT (FORM C/OH-FR).

ELECTRONIC FILING. All persons filing campaign finance reports with the Texas Ethics Commission are required to file those reports electronically unless the person is entitled to claim an exemption. Please check the Ethics Commission’s website at <http://www.ethics.state.tx.us> for information about exemptions from the electronic filing requirements.

GUIDES. All candidates should review the applicable Ethics Commission’s campaign finance guide. Guides are available on the Ethics Commission’s website at <http://www.ethics.state.tx.us>.

SPECIFIC INSTRUCTIONS

Each numbered item in these instructions corresponds to the same numbered item on the form.

PAGE 1

1. **TOTAL PAGES FILED:** After you have completed the form, enter the total number of pages of this form and any additional pages. A “page” is one side of a two-sided form. If you are not using a two-sided form, a “page” is a single sheet.
2. **CANDIDATE NAME:** Enter your full name, including nicknames and suffixes (e.g., Sr., Jr., III), if applicable. Enter your name in the same way on Page 2, Section 11, of this form.
3. **CANDIDATE MAILING ADDRESS:** Enter your complete mailing address, including zip code. This information will allow your filing authority to correspond with you. If this information changes, please notify your filing authority immediately.
4. **CANDIDATE PHONE:** Enter your phone number, including the area code and extension, if applicable.
5. **OFFICE HELD:** If you are an officeholder, please enter the office you currently hold. Include the district, precinct, or other designation for the office, if applicable.
6. **OFFICE SOUGHT:** If you are a candidate, please enter the office you seek, if known. Include the district, precinct, or other designation for the office, if applicable.
7. **CAMPAIGN TREASURER NAME:** Enter the full name of your campaign treasurer, including nicknames and suffixes (e.g., Sr., Jr., III), if applicable.
8. **CAMPAIGN TREASURER STREET ADDRESS:** Enter the complete street address of your campaign treasurer, including the zip code. You may enter either the treasurer’s business or residential street address. If you are your own treasurer, you may enter either your business or residential street address. Please do not enter a P.O. Box.

9. CAMPAIGN TREASURER PHONE: Enter the phone number of your campaign treasurer, including the area code and extension, if applicable.

10. CANDIDATE SIGNATURE: Enter your signature after reading the summary. Your signature here indicates that you have read the following summary of the nepotism law; that you are aware of your responsibility to file timely reports; and that you are aware of the restrictions on contributions from corporations and labor organizations.

- The Texas nepotism law (Government Code, chapter 573) imposes certain restrictions on both officeholders and candidates. You should consult the statute in regard to the restrictions applicable to officeholders.
- A candidate may not take an affirmative action to influence an employee of the office to which the candidate seeks election in regard to the appointment, confirmation, employment or employment conditions of an individual who is related to the candidate within a prohibited degree.
- A candidate for a multi-member governmental body may not take an affirmative action to influence an officer or employee of the governmental body to which the candidate seeks election in regard to the appointment, confirmation, or employment of an individual related to the candidate in a prohibited degree.
- Two people are related within a prohibited degree if they are related within the third degree by consanguinity (blood) or the second degree by affinity (marriage). The degree of consanguinity is determined by the number of generations that separate them. If neither is descended from the other, the degree of consanguinity is determined by adding the number of generations that each is separated from a common ancestor. Examples: (1) first degree - parent to child; (2) second degree - grandparent to grandchild; or brother to sister; (3) third degree - great-grandparent to great-grandchild; or aunt to niece who is child of individual's brother or sister. A husband and wife are related in the first degree by affinity. A wife has the same degree of relationship by affinity to her husband's relatives as her husband has by consanguinity. For example, a wife is related to her husband's grandmother in the second degree by affinity.

PAGE 2

11. CANDIDATE NAME: Enter your name as you did on Page 1.

12. MODIFIED REPORTING DECLARATION: Sign this option if you wish to report under the modified reporting schedule.

The modified reporting option is not available for candidates for the office of state chair of a political party.

To the left of your signature, enter the year of the election or election cycle to which your selection of modified reporting applies.

Your selection of modified reporting is valid for an entire election cycle. For example, if you choose modified reporting before a primary election, your selection remains in effect for any runoff and for the general election and any related runoff. You must make this selection at least 30 days before the first election to which your selection applies.

An opposed candidate in an election is eligible to report under the modified reporting schedule if he or she does not intend to accept more than \$500 in political contributions or make more than \$500 in political expenditures in connection with an election. The amount of a filing fee paid to qualify for a place on the ballot does not count against the \$500 expenditure limit. An opposed candidate who reports under the modified schedule is not required to file pre-election reports (due 30 days and 8 days before an election) or runoff reports (due 8 days before a runoff). (Note: An *unopposed* candidate is not required to file pre-election reports in the first place.) The obligations to file semiannual reports, special pre-election reports (formerly known as telegram reports), or special session reports, if applicable, are not affected by selecting the modified schedule.

The \$500 maximums apply to each election within the cycle. In other words, you are limited to \$500 in contributions and expenditures in connection with the primary, an additional \$500 in contributions and expenditures in connection with the general election, and an additional \$500 in contributions and expenditures in connection with a runoff.

EXCEEDING \$500 IN CONTRIBUTIONS OR EXPENDITURES. If you exceed \$500 in contributions or expenditures in connection with an election, you must file according to the regular filing schedule. In other words, you must file pre-election reports and a runoff report, if you are in a runoff.

If you exceed either of the \$500 limits *after the 30th day before the election*, you must file a sworn report of contributions and expenditures within 48 hours after exceeding the limit. After that, you must file any pre-election reports or runoff reports that are due under the regular filing schedule.

Your selection is not valid for other elections or election cycles. Use the amendment form (ACTA) to renew your option to file under the modified schedule for a different election year or election cycle.

For more information, see the Ethics Commission's campaign finance guide that applies to you.

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AMENDMENT: APPOINTMENT OF A CAMPAIGN TREASURER BY A CANDIDATE

FORM ACTA
PG 1

1 CANDIDATE
NAME

2 FILER ID#

3 Total pages filed:

See ACTA Instruction Guide for detailed instructions.

Use this form for changes to existing information only. Do not provide information previously disclosed.

4 CANDIDATE
NAME

NEW

MS / MRS / MR

FIRST

MI

NICKNAME

LAST

SUFFIX

OFFICE USE ONLY

Date Received

5 CANDIDATE
MAILING
ADDRESS

NEW

ADDRESS / PO BOX;

APT / SUITE #;

CITY;

STATE;

ZIP CODE

Date Hand-delivered or Postmarked

Receipt #

Amount \$

Date Processed

6 CANDIDATE
PHONE

NEW

AREA CODE

PHONE NUMBER

EXTENSION

()

Date Imaged

7 OFFICE HELD
(if any)

NEW

8 OFFICE
SOUGHT
(if known)

NEW

9 CAMPAIGN
TREASURER
NAME

NEW

MS / MRS / MR

FIRST

MI

NICKNAME

LAST

SUFFIX

10 CAMPAIGN
TREASURER
STREET
ADDRESS
(residence or business)

NEW

STREET ADDRESS (NO PO BOX PLEASE);

APT / SUITE #;

CITY;

STATE;

ZIP CODE

11 CAMPAIGN
TREASURER
PHONE

NEW

AREA CODE

PHONE NUMBER

EXTENSION

()

12 CANDIDATE
SIGNATURE

I am aware of the Nepotism Law, Chapter 573 of the Texas Government Code.

I am aware of my responsibility to file timely reports as required by title 15 of the Election Code.

I am aware of the restrictions in title 15 of the Election Code on contributions from corporations and labor organizations.

Signature of Candidate

Date Signed

GO TO PAGE 2

AMENDMENT:
CANDIDATE MODIFIED REPORTING DECLARATION

FORM ACTA
PG 2

**13 CANDIDATE
NAME**

**14 MODIFIED
REPORTING
DECLARATION**

NEW

**COMPLETE THIS SECTION ONLY IF YOU ARE
CHOOSING MODIFIED REPORTING**

**•• This declaration must be filed no later than the 30th day before
the first election to which the declaration applies. ••**

•• The modified reporting option is valid for one election cycle only. ••
(An election cycle includes a primary election, a general election, and any related runoffs.)

**•• Candidates for the office of state chair of a political party
may NOT choose modified reporting. ••**

I do not intend to accept more than \$500 in political contributions
or make more than \$500 in political expenditures (excluding filing
fees) in connection with any future election within the election cycle.
I understand that if either one of those limits is exceeded, I will be
required to file pre-election reports and, if necessary, a runoff
report.

Year of election(s) or election cycle to
which declaration applies

Signature of Candidate

This appointment is effective on the date it is filed with the appropriate filing authority.

TEC Filers may send this form to the TEC electronically at treasappoint@ethics.state.tx.us or

Fax this form to (512) 463-8808 or mail to

Texas Ethics Commission

P.O. Box 12070

Austin, TX 78711-2070

**Non-TEC Filers must file this form with the local filing authority
DO NOT SEND TO TEC**

For more information about where to file go to:

<https://www.ethics.state.tx.us/whatsnew/NewFilersGettingStarted.html>

TEXAS ETHICS COMMISSION

AMENDMENT: APPOINTMENT OF A CAMPAIGN TREASURER BY A CANDIDATE

FORM ACTA-INSTRUCTION GUIDE



Revised July 14, 2010

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FORM ACTA–AMENDMENT: APPOINTMENT OF A CAMPAIGN TREASURER BY A CANDIDATE

GENERAL INSTRUCTIONS

These instructions are for the AMENDMENT: APPOINTMENT OF A CAMPAIGN TREASURER BY A CANDIDATE (Form ACTA). Use this form for changing information previously reported on Form CTA and for renewing your choice to report under the modified schedule. The information you enter on this form will replace the information from your previous APPOINTMENT OF A CAMPAIGN TREASURER BY A CANDIDATE (Form CTA).

If any of the information required to be reported on your CAMPAIGN TREASURER APPOINTMENT changes, you should file an amendment. Use the AMENDMENT form (Form ACTA) to report the changes. Do not use the APPOINTMENT form (Form CTA).

You must also use the AMENDMENT form to renew your option to file under the modified schedule.

Except for your name at the top of the form (and your account number, if you file with the Ethics Commission), enter only the information that is *different* from what is on your current campaign treasurer appointment. Do not repeat information that has not changed. The “NEW” boxes emphasize that the information entered on this form should only be information that is different from what was previously reported. Any information entered in a space with a “NEW” box will replace the existing information.

SPECIFIC INSTRUCTIONS

Each numbered item in these instructions corresponds to the same numbered item on the form.

PAGE 1

- 1. CANDIDATE NAME:** Enter your name as it is on your current campaign treasurer appointment. Enter your name in the same way on Page 2, Section 13, of this form. If you are reporting a name change, enter your new name under Section 4.
- 2. ACCOUNT #:** If you are filing with the Ethics Commission, you were assigned a filer account number when you filed your initial campaign treasurer appointment. You should have received a letter acknowledging receipt of the form and informing you of your account number. Enter this number wherever you see “ACCOUNT #.” If you do not file with the Ethics Commission, you are not required to enter an account number.
- 3. TOTAL PAGES FILED:** After you have completed the form, enter the total number of pages of this form and any additional pages. A “page” is one side of a two-sided form. If you are not using a two-sided form, a “page” is a single sheet.

4. **CANDIDATE NAME:** Complete this section only if your name has *changed*. If your name has changed, enter your complete new name, including nicknames and suffixes (e.g., Sr., Jr., III) if applicable.
5. **CANDIDATE MAILING ADDRESS:** Complete this section only if your mailing address has *changed*. If your mailing address has changed, enter your complete new address, including zip code. This information will allow your filing authority to correspond with you.
6. **CANDIDATE PHONE:** Complete this section only if your phone number has *changed*. If your phone number has changed, enter your new phone number, including the area code and extension, if applicable.
7. **OFFICE HELD:** If you are an officeholder, complete this section only if your office has *changed*. If your office has changed, please enter the new office held. Include the district, precinct, or other designation for the office, if applicable.
8. **OFFICE SOUGHT:** If you are a candidate, complete this section only if the office you seek has *changed*. If the office has changed, please enter the office you now seek, if known. Include the district, precinct, or other designation for the office, if applicable.

Note: Changing the office you are seeking may require you to file your reports with a different filing authority. See the Campaign Finance Guide for further information on filing with a different authority.

9. **CAMPAIGN TREASURER NAME:** Complete this section only if your campaign treasurer has *changed*. If your campaign treasurer has changed, enter the full name of your new campaign treasurer, including nicknames and suffixes (e.g., Sr., Jr., III), if applicable.

Qualifications of Campaign Treasurer. A person is ineligible for appointment as a campaign treasurer if the person is the campaign treasurer of a political committee that has outstanding filing obligations (including outstanding penalties). This prohibition does not apply if the committee in connection with which the ineligibility arose has not accepted more than \$5,000 in political contributions or made more than \$5,000 in political expenditures in any semiannual reporting period. A person who violates this prohibition is liable for a civil penalty not to exceed three times the amount of political contributions accepted or political expenditures made in violation of this provision.

10. **CAMPAIGN TREASURER STREET ADDRESS:** Complete this section only if your campaign treasurer's street address has *changed*. If your campaign treasurer's street address has changed, enter the complete new address of your campaign treasurer, including the zip code. You may enter either the treasurer's new business or residential street address. If you are your own treasurer, you may enter either your business or residential street address. Please do not enter a P.O. Box.

11. CAMPAIGN TREASURER PHONE: Complete this section only if your campaign treasurer's phone number has *changed*. If your campaign treasurer's phone number has changed, enter the new phone number of your campaign treasurer, including the area code and extension, if applicable.

12. CANDIDATE SIGNATURE: Enter your signature after reading the summary. Your signature here indicates that you have read the following summary of the nepotism law; that you are aware of your responsibility to file timely reports; and that you are aware of the restrictions on contributions from corporations and labor organizations.

- The Texas nepotism law (Government Code, chapter 573) imposes certain restrictions on both officeholders and candidates. You should consult the statute in regard to the restrictions applicable to officeholders.
- A candidate may not take an affirmative action to influence an employee of the office to which the candidate seeks election in regard to the appointment, confirmation, employment or employment conditions of an individual who is related to the candidate within a prohibited degree.
- A candidate for a multi-member governmental body may not take an affirmative action to influence an officer or employee of the governmental body to which the candidate seeks election in regard to the appointment, confirmation, or employment of an individual related to the candidate in a prohibited degree.
- Two people are related within a prohibited degree if they are related within the third degree by consanguinity (blood) or the second degree by affinity (marriage). The *degree of consanguinity* is determined by the number of generations that separate them. If neither is descended from the other, the degree of consanguinity is determined by adding the number of generations that each is separated from a common ancestor. **Examples:** (1) first degree - parent to child; (2) second degree - grandparent to grandchild; or brother to sister; (3) third degree - great-grandparent to great-grandchild; or aunt to niece who is child of individual's brother or sister. A husband and wife are related in the first degree by affinity. A wife has the same degree of relationship by affinity to her husband's relatives as her husband has by consanguinity. For example, a wife is related to her husband's grandmother in the second degree by affinity.

Note: The changes you have made on this form will replace the information on your previous APPOINTMENT form (Form CTA).

PAGE 2

13. CANDIDATE NAME: Enter your name as you did on Page 1, Section 1.

14. MODIFIED REPORTING DECLARATION: Sign this option if you wish to report under the modified reporting schedule.

The modified reporting option is not available for candidates for the office of state chair of a political party.

To the left of your signature, enter the year of the election or election cycle to which your selection of modified reporting applies.

Your selection of modified reporting is valid for an entire election cycle. For example, if you choose modified reporting before a primary election, your selection remains in effect for any runoff and for the general election and any related runoff. You must make this selection at least 30 days before the first election to which your selection applies.

An opposed candidate in an election is eligible to report under the modified reporting schedule if he or she does not intend to accept more than \$500 in political contributions or make more than \$500 in political expenditures in connection with an election. The amount of a filing fee paid to qualify for a place on the ballot does not count against the \$500 expenditure limit. An opposed candidate who reports under the modified schedule is not required to file pre-election reports (due 30 days and 8 days before an election) or runoff reports (due 8 days before a runoff). (Note: An *unopposed* candidate is not required to file pre-election reports in the first place.) The obligations to file semi-annual reports, special pre-election reports (formerly known as telegram reports), or special session reports, if applicable, are not affected by selecting the modified schedule.

The \$500 maximums apply to each election within the cycle. In other words, you are limited to \$500 in contributions and expenditures in connection with the primary, an additional \$500 in contributions and expenditures in connection with the general election, and an additional \$500 in contributions and expenditures in connection with a runoff.

Exceeding \$500 in contributions or expenditures. If you exceed \$500 in contributions or expenditures in connection with an election, you must file according to the regular schedule. In other words, you must file pre-election reports and a runoff report, if you are in a runoff.

If you exceed either of the \$500 limits *after the 30th day before the election*, you must file a sworn report of contributions and expenditures within 48 hours after exceeding the limit. After that, you must file any pre-election reports or runoff reports that are due under the regular filing schedule.

Your selection is not valid for other elections or election cycles. Use another amendment form (ACTA) to renew your option to file under the modified schedule.

For more information, see the Ethics Commission's campaign finance guide that applies to you.

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CODE OF FAIR CAMPAIGN PRACTICES

FORM CFCP COVER SHEET

Pursuant to chapter 258 of the Election Code, every candidate and political committee is encouraged to subscribe to the Code of Fair Campaign Practices. The Code may be filed with the proper filing authority upon submission of a campaign treasurer appointment form. Candidates or political committees that already have a current campaign treasurer appointment on file as of September 1, 1997, may subscribe to the code at any time.

Subscription to the Code of Fair Campaign Practices is voluntary.

OFFICE USE ONLY

Date Received

Date Hand-delivered or Postmarked

Date Processed

Date Imaged

1 ACCOUNT NUMBER (Ethics Commission Filers)

2 TYPE OF FILER

CANDIDATE ☐POLITICAL COMMITTEE ☐

*If filing as a candidate, complete boxes 3 - 6,
then read and sign page 2.*

*If filing for a political committee, complete
boxes 7 and 8, then read and sign page 2.*

3 NAME OF CANDIDATE (PLEASE TYPE OR PRINT)

TITLE (Dr., Mr., Ms., etc.)

FIRST

MI

NICKNAME

LAST

SUFFIX (SR., JR., III, etc.)

4 TELEPHONE NUMBER OF CANDIDATE (PLEASE TYPE OR PRINT)

AREA CODE

PHONE NUMBER

EXTENSION

()

5 ADDRESS OF CANDIDATE (PLEASE TYPE OR PRINT)

STREET / PO BOX;

APT / SUITE #;

CITY;

STATE;

ZIP CODE

6 OFFICE SOUGHT BY CANDIDATE (PLEASE TYPE OR PRINT)

7 NAME OF COMMITTEE (PLEASE TYPE OR PRINT)

8 NAME OF CAMPAIGN TREASURER (PLEASE TYPE OR PRINT)

TITLE (Dr., Mr., Ms., etc.)

FIRST

MI

NICKNAME

LAST

SUFFIX (SR., JR., III, etc.)

GO TO PAGE 2

CODE OF FAIR CAMPAIGN PRACTICES

There are basic principles of decency, honesty, and fair play that every candidate and political committee in this state has a moral obligation to observe and uphold, in order that, after vigorously contested but fairly conducted campaigns, our citizens may exercise their constitutional rights to a free and untrammelled choice and the will of the people may be fully and clearly expressed on the issues.

THEREFORE:

- (1) I will conduct the campaign openly and publicly and limit attacks on my opponent to legitimate challenges to my opponent's record and stated positions on issues.
- (2) I will not use or permit the use of character defamation, whispering campaigns, libel, slander, or scurrilous attacks on any candidate or the candidate's personal or family life.
- (3) I will not use or permit any appeal to negative prejudice based on race, sex, religion, or national origin.
- (4) I will not use campaign material of any sort that misrepresents, distorts, or otherwise falsifies the facts, nor will I use malicious or unfounded accusations that aim at creating or exploiting doubts, without justification, as to the personal integrity or patriotism of my opponent.
- (5) I will not undertake or condone any dishonest or unethical practice that tends to corrupt or undermine our system of free elections or that hampers or prevents the full and free expression of the will of the voters, including any activity aimed at intimidating voters or discouraging them from voting.
- (6) I will defend and uphold the right of every qualified voter to full and equal participation in the electoral process, and will not engage in any activity aimed at intimidating voters or discouraging them from voting.
- (7) I will immediately and publicly repudiate methods and tactics that may come from others that I have pledged not to use or condone. I shall take firm action against any subordinate who violates any provision of this code or the laws governing elections.

I, the undersigned, candidate for election to public office in the State of Texas or campaign treasurer of a political committee, hereby voluntarily endorse, subscribe to, and solemnly pledge myself to conduct the campaign in accordance with the above principles and practices.

Signature

Date

CONTRATO DE CANDIDATO/A

Este Contrato de Campañas Justas de Austin (*Austin Fair Campaign Contract*), tramitado en (apunte la fecha del contrato) _____, es entre la Ciudad de Austin, y

(Apunte nombre del Candidato/a) _____,

Candidato/a para (apunte el puesto en que se postula el Candidato/a incluyendo el número si el puesto es de Concejal de la Ciudad) _____.

Con el objetivo de que las campañas electorales sean menos caras, y más justas para los puestos de Alcalde y del Consejo de la Ciudad, como salvaguardia del proceso electoral de la Ciudad y del gobierno de la Ciudad de influencias indebidas, y para promover la confianza del público en la integridad de su gobierno, las partes acuerdan en tramitar este Contrato proporcionado por la Carta de la Ciudad, Artículo III, Sección 8, y por el Capítulo 2-2 del Código de la Ciudad.

AHORA POR LO TANTO, por causa del bien, y valiosa, las partes acuerdan en lo siguiente:

SECCIÓN I.

Definiciones

Las palabras y frases en este Contrato tendrán el mismo significado que el de la Carta de la Ciudad, Artículo III, Sección 8, de la Ordenanza de Austin Para Campañas Justas (*Austin Fair Campaign Ordinance*), y del Código Electoral de Texas, a no ser que se indique de otra manera.

“Ordenanza de Austin Para Campañas Justas” (*"Austin Fair Campaign Ordinance"*) significa el Capítulo 2-2 del Código de la Ciudad.

El Código de la Ciudad de Austin con sus enmiendas” (*"Austin City Code, as amended"*) significa el Código de la Ciudad.

Cuando esté escrito en letras mayúsculas, "Candidato/a" significa (apunte el nombre del Candidato/a)

_____, Candidato/a para el puesto de (apunte el puesto al cual se ha postulado el Candidato/a, incluyendo el número del puesto si es para Concejal de la Ciudad)_____.

“Carta” (“Charter”) significa el Artículo III, Sección 8 de la Carta de Austin. .

Cuando esté en letras mayúsculas, “Contrato” (“*Contract*”) significa este contrato.

“La Comisión de Repaso Ético” (“*Ethics Review Commission*”) significa la Comisión de Repaso Ético creada por la sección 2-7-26 del Código de la Ciudad.

“Fondos” (“*Funds*”) significa dinero que podría estar disponible del Fondo de Austin para Financiar Campañas Justas (*Austin Fair Campaign Finance Fund*) para Candidato/as calificados en elecciones secundarias que firmen este contrato y que acuerden en participar en foros de Candidato/as organizados por la Comisión de Repaso Ético (*Ethics Review Comission*).

“Puesto” (“*Office*”) significa el puesto de Alcalde o de Concejal de la Ciudad.

“Candidato/a de oposición” (“*Opposing candidate*”) significa otro Candidato/a al mismo puesto. Si el Candidato/a es Candidato/a para alcalde, entonces el “Candidato/a opuesto” (“*Opposing candidate*”) es cualquier otro Candidato/a para el puesto de alcalde. Si el Candidato/a es Candidato/a para el puesto de concejal de la Ciudad de Austin, el

“Candidato/a opuesto” (*Opposing candidate*) es cualquier otro Candidato/a para el puesto con el mismo número de puesto para el Consejo de la Ciudad. .

SECCIÓN II.

Partes

Las partes de este Contrato son la Ciudad de Austin y el Candidato/a. Las responsabilidades del Candidato/a en este contrato incluyen a cualquier agente del Candidato/a que actúe en nombre del Candidato/a, o que en alguna manera asista, promueva, maneje, sea voluntario, o sea empleado por la campaña del Candidato/a. La responsabilidad del Candidato/a bajo este contrato se extiende a cualquier persona que actúe con el consentimiento previo de o con la cooperación de o por comunicación estratégica entre la persona y el Candidato/a o el comité del Candidato/a. El Candidato/a acuerda que cada uno de los Candidato/as de oposición que haya firmado el contrato de campaña es beneficiario del cumplimiento de Candidato/a con las condiciones de este Contrato, y acuerda que cada Candidato/a de oposición que haya firmado el contrato de campaña podrá ejecutar las condiciones de este Contrato como parte de este Contrato.

SECCIÓN III.

Interpretación del Acuerdo

Este acuerdo se ha de interpretar de manera consistente con el propósito y espíritu de la Carta y de la Ordenanza de Austin Para Campañas Justas. La Carta y la Ordenanza de Austin Para Campañas Justas se incorporan a este Contrato por referencia. El Candidato/a deberá cumplir con los requisitos de la Carta y de la Ordenanza de Austin Para Campañas Justas.

SECCIÓN IV.

Consideración

Candidato/a: El Candidato/a acuerda cumplir con las condiciones de este Contrato a cambio de promesas mutuas y obligaciones estipuladas en el presente, incluyendo sin límites, lo siguiente:

- (1) La oportunidad de calificar para recibir fondos disponibles del Fondo de Austin para Financiar Campañas Justas (*Austin Fair Campaign Finance Fund*), de acuerdo a disposiciones de la Ordenanza de Austin Para Campañas Justas.
- (2) Usar la declaración de cumplimiento con la Ordenanza de Austin Para Campañas Justas, proporcionada en la sección 2-2-14 del Código de la Ciudad.
- (3) El derecho de participar en foros de Candidato/as; y
- (4) Cumplir con las condiciones del contrato de campaña por un Candidato/a de oposición que haya firmado dicho contrato.

El Candidato/a acepta lo antedicho como contraprestación plena por las responsabilidades del Candidato/a bajo este contrato con pleno entendimiento que los fondos podrían ser limitados, y que Candidato/as en oposición podrían no aceptar tramitar contratos de campaña.

Ciudad de Austin: La Ciudad de Austin acuerda cumplir con las condiciones de este Contrato en cambio de las promesas mutuas y obligaciones estipuladas en el presente, incluyendo lo siguiente sin límites:

- (1) El cumplimiento pleno por el Candidato/a, excepto de las disposiciones de la sección 2-2-17 del Código de la Ciudad, con los límites en contribuciones y gastos que se estipulan en las secciones 2-2-12 y 2-2-13 del Código de la Ciudad de Austin, con modificaciones del Artículo III, sección 8 de la Carta, y
- (2) Participación del Candidato/a en la serie de foros dispuestos en la sección 2-2-65 del Código de la Ciudad de Austin, con sus enmiendas.

SECCIÓN V.

Las Obligaciones

A cambio por la consideración indicada en lo antedicho, la Ciudad de Austin proporcionará los fondos disponibles al Candidato/a de acuerdo con la sección 2-2-64 del Código de la Ciudad. La Ciudad se empeñará en manera razonable para mantener fondos para el Fondo Para Financiar Campañas. Mientras haya fondos disponibles del Fondo de

Austin para Financiar Campañas Justas (*Austin Fair Campaign Finance Fund*), el Candidato/a recibirá distribución de los fondos disponibles en cantidades iguales a las que reciban otros Candidato/as que califiquen.

A cambio por la consideración indicada en lo antedicho, el Candidato/a cumplirá, con la excepción de las disposiciones de la sección 2-2-17 de Código de la Ciudad, con los límites en contribuciones y gastos estipulados en las secciones 2-2-12 y 2-2-13 del Código de la Ciudad, con las modificaciones del Artículo III, sección 8 de la Carta, participará en la series de foros de Candidato/as dispuestos en la sección 2-2-65 del Código de la Ciudad, y será responsable de daños liquidados, y sanciones de ejecución que se disponen abajo: El Candidato/a no debe anticipar ni en manera implícita ni explícita, ninguna cierta cantidad de fondos públicos pareados para los cuales pueda el Candidato/a calificar bajo este Contrato. Y además, en caso que el Consejo de la Ciudad no designe fondos suficientes en los años fiscales sucesivos, o en caso de que no haya dinero disponible para los fondos, o en caso de que el Candidato/a no esté satisfecho con la cantidad de dinero que esté disponible para los fondos, el Candidato/a acuerda que no existe causa o derecho de acción bajo este Contrato contra la Ciudad por la falta de satisfacción del Candidato/a.

El Candidato/a comprende que hay otras causas de acción que puedan enfrentar el Candidato/a en cuestiones de la campaña del Candidato/a, y el Candidato/a acuerda que no es la intención de este Contrato abreviar o en alguna otra manera limitar los derechos de otros contra el Candidato/a en asuntos que se presenten o que se relacionen a la campaña del Candidato/a.

Este Contrato impone al Candidato/a y a la Ciudad de Austin, la responsabilidad de cumplimiento en buena fe. El Candidato/a y la Ciudad de Austin están obligados a actuar de acuerdo con todos los requisitos sustantivos y procesales de la Carta y de la Ordenanza de Austin Para Campañas Justas.

SECCIÓN VI.

Plazo

El plazo de este Contrato principia en la fecha en que el Candidato/a lo firma y se extiende hasta la fecha de la elección del puesto al cual el Candidato/a se ha postulado, excepto en caso de que el Candidato/a participe en alguna elección secundaria, ya que en ese caso, el plazo de este Contrato se extenderá hasta la fecha de la elección secundaria.

Terminación

Este Contrato no puede terminarse por ninguna parte excepto bajo las disposiciones de la sección 2-2-17(B) del Código de la Ciudad.

SECCIÓN VII.

Daños y perjuicios fijados

El Candidato/a comprende y acuerda que daños concretos que pudieran suceder a la Ciudad y por los Candidato/as en oposición quienes hayan firmado contratos de campaña por cualquier incumplimiento del Contrato por el Candidato/a son inciertos y difíciles de determinar. Por lo tanto, el Candidato/a acepta responsabilidad por daños convencionales en caso de que el Candidato/a o la persona a cual la responsabilidad contractual del Candidato/a se extiende bajo la Sección II de este Contrato actué de cierta manera o deje de actuar en cierta manera que sea incumplimiento de las obligaciones del Candidato/a bajo el Contrato.

Se estipula que compensación razonable y justa a cada una de las partes dañadas, incluyendo la Ciudad y cada Candidato/a de oposición que haya firmado el contrato de campaña, por el incumplimiento del Candidato/a en límites de contribuciones o gastos estipulados en las secciones 2-2-12 y 2-2-13 del Código de la Ciudad, con las modificaciones del Artículo III, sección 8 de la Carta, serían tres veces más de la cantidad de gastos excesivos, o tres veces más de la cantidad de contribución excesiva aceptada. Además, si el Candidato/a no cumple con este Contrato, la Ciudad podrá recobrar en

daños, del Candidato/a cualquier cantidad que se le haya pagado al Candidato/a del Fondo de Austin para Financiar Campañas Justas (*Austin Fair Campaign Finance Fund*).

El Candidato/a promete pagar, y la Ciudad de Austin y cada Candidato/a en oposición que firma el contrato de campaña acuerda en aceptar, en vez de otros daños, las cantidades estipuladas en esta Sección VII de daños liquidados, y no como penalidad, en caso de incumplimiento de este Contrato. El Candidato/a además acuerda que la Ciudad de Austin y cada Candidato/a en oposición que haya firmado el contrato de campaña recobrarán del Candidato/a honorarios razonables de abogado relacionados al juicio por daños liquidados, en caso de que un tribunal de jurisdicción competente determina que el Candidato/a no ha cumplido con este Contrato.

SECCIÓN VIII.

Otra Ejecución y Sanciones

Si el Candidato/a no cumple con este Contrato, al Candidato/a no se le tomará en cuenta para proveedor de productos y servicios a la Ciudad de Austin bajo ningún contrato por un periodo de cuatro años desde la fecha de la elección en la cual ocurrió el incumplimiento, a no ser que la ley estatal que controló dichos tramites requiera que su propuesta sea aceptada por la Ciudad. El Consejo de la Ciudad puede liberar esta descalificación por voto unánime.

Ejecución

Este contrato será ejecutable en ley contractual en las cortes del estado de Texas.

SECCIÓN IX.

Disposición de Divisibilidad

Si cualquier disposición de este Contrato se determina ser inválida, ilegal, inejecutable por alguna corte de jurisdicción competente, esa determinación (1) no hará inválido el resto de este Contrato, (2) se limitará a las partes específicas de este Contrato descritas en la determinación, y (3) no afectará la validez de este Acuerdo en ninguna otra manera.

SECCIÓN X.

Se Prohíbe Traspasar

En ningún caso el Candidato/a podrá traspasar o transferir ningún derecho ni obligaciones bajo este Contrato.

SECCIÓN XI.

Acuerdo Completo

Este Contrato suplanta todo trámite, acuerdo, y discusión, que hubiera, entre la Ciudad de Austin y el Candidato/a pertinente a todo o a cualquier parte del asunto de este Contrato de Campañas Justas.

EJECUTADO Y CON VIGOR en la fecha escrita al principio.

FIRMA Y FECHA:

NOMBRE DEL CANDIDATO/A:

FECHA

MANEJADOR/A DE LA CIUDAD, o designado,
en nombre de la Ciudad de Austin

FECHA

FOLLETO PARA CANDIDATOS Y PARA OFICIALES ELECTOS FINANZAS DE CAMPAÑAS

LIBERACIÓN DE RESPONSABILIDAD

El propósito de este folleto es ayudar a candidatos que se postulan en las elecciones de la Ciudad de Austin, y a oficiales electos actualmente en el puesto de la Ciudad. La Comisión de Repaso Ético de la Ciudad de Austin lo ha preparado, y no necesariamente representa la postura de la Ciudad de Austin. El candidato o el oficial electo quienes usen este folleto son responsables de informarse y de obedecer todas las leyes que gobiernan los informes y finanzas de campañas. **NO ES LA INTENCIÓN DE ESTE FOLLETO DAR CONSEJOS LEGALES** ni es un informativo completo de las leyes electorales relevantes. Usuarios de este folleto deberán consultar a su propio abogado para interpretaciones y aplicabilidad de todas leyes electorales.

PROVISIONES APLICABLES DE LA CARTA Y CÓDIGO DE LA CIUDAD

El Artículo III, Sección 8 de la Carta Municipal de Austin (“la Carta”), titulada *Límites de Contribuciones y Gastos de Campañas* gobierna asuntos relacionados con finanzas de campañas. El Capítulo 2-2 del Código de la Ciudad de Austin (“Código de la Ciudad” o Código”), titulado *Finanzas de Campañas*, también gobierna asuntos relacionados con requisitos del proceso de archivar y reportar, y de límites en contribuciones y gastos, cuentas, deudas de campañas, divulgaciones, nombramientos, recaudación de fondos, restricciones en el uso de contribuciones, aplicación de las leyes, sanciones, retención de récords, y asuntos similares. En casos de aparecer que haya conflicto, o si de hecho hay conflicto entre las provisiones de la Carta y provisiones del Código, la Carta predominará.

PROVISIONES APLICABLES DE LA LEY ESTATAL

El Título 15 del Código Electoral de Vernon’s Texas Codes, Anotado, titulado *Reglamentos de Fondos y Campañas Políticas*, Capítulos 251 – 258 gobiernan entre otros asuntos, cuestiones relacionadas al financiamiento de campañas. Los estatutos estatales aplican a candidatos y oficiales electos en puestos locales y estatales. Aunque este folleto no incluye dichos estatutos estatales, sin embargo se requiere que todo candidato y oficial electo deberán estar informados y en cumplimiento con las provisiones aplicables de la ley estatal.

Las leyes y requisitos de finanzas de campaña de la Ciudad de Austin obran en conjunto con la ley estatal citada arriba, y los requisitos de la Carta y Código deberán leerse tomando en cuenta dichos estatutos y en armonía con las leyes de finanzas estatales y con todos los estatutos estatales aplicables.

COMISIÓN DE ÉTICA DE TEXAS

La Comisión de Ética de Texas interpreta y administra el Título 15 del Código Electoral de Texas. La Comisión de Ética de Texas (*Texas Ethics Commission*) **no tiene** jurisdicción sobre los requisitos de finanzas de campaña de la Ciudad de Austin, ni está preparado su personal para responder a preguntas relacionadas con asuntos de finanzas de campañas, ni de interpretar cuestiones de finanzas de campañas tocantes a las elecciones de la Ciudad.

En cuestiones de ley estatal, la Comisión de Ética de Texas cuenta con múltiples excelentes materiales que interpretan la ley y cubren temas gobernados por la ley estatal de financiamiento de

campañas. Por favor consulte la publicación en línea *Guía de Fianzas de Campaña para Candidatos y Funcionarios que Archivan sus Candidaturas con las Autoridades Locales (2017)* (en inglés el título es: *Campaign Finance Guide for Candidates and Officeholders Who File with Local Filing Authorities (2017)*); https://www.ethics.state.tx.us/guides/coh_local_guide.pdf

Los abogados y personal responderán a preguntas por teléfono, y los pueden contactar como sigue:

Texas Ethics Commission
201 East 14th Street
Sam Houston Building, 10mo Piso
Austin, TX 78701.
Teléfono: (512) 463-5800/Fax (512) 463-5777.
Sitio Web: www.ethics.state.tx.us/

LA COMISIÓN DE REPASO ÉTICO DE LA CIUDAD DE AUSTIN (ETHICS REVIEW COMMISSION)

La Comisión de Repaso Ético (*ERC-Ethics Review Commission*) es comisión de la Ciudad de Austin que se compone de once miembros. Cuenta con numerosas responsabilidades tocantes las finanzas de campañas, incluyendo pero sin limitarse a recomendar guías de estándar ético para el comportamiento de oficiales de la Ciudad y empleados, prescribe los formularios de la Ciudad para informes, declaraciones, avisos y otros documentos misceláneos requeridos por las leyes de financiamiento de campañas de la Ciudad; y de programar y supervisar los foros públicos entre los candidatos en las elecciones de la Ciudad.

El Capítulo 2-7, Artículo 2 del Código, titulado *Comisión de Repaso Ético*, nombra a la ERC como la entidad con jurisdicción sobre el Capítulo 2-2 del Código (*Finanzas de Campañas*) y el Artículo III, Sección 8 de la Carta (*Límites en Contribuciones y Gastos de Campañas*), Código de la Ciudad § 2-7-26. La ERC efectúa audiencias y decide casos de quejas juramentadas de alegaciones de infracciones en estos asuntos, y podría imponer diferentes sanciones. Código de la Ciudad §§ 2-7-30(A)(6) y 2-7-49.

LEYES DE FINANZAS DE CAMPAÑAS DE LA CIUDAD DE AUSTIN

Requisitos adicionales que la Ciudad impone. Las leyes de finanzas de campaña de la Ciudad ordenan requisitos de reportar e imponen restricciones en recibir fondos, periodos definidos para recibirlos, y uso de fondos políticos, estos son requisitos **adicionales** a los que impone la ley estatal. Lo más significativo es que la Carta de la Ciudad impone límites estrictos en contribuciones y gastos [*Artículo III, Sección 8, Límites en Contribuciones de Campañas y Gastos de Campaña*] y ha instituido un requisito de archivar informes de datos estructurados que serán parte del reporte de finanzas de campañas. Código de la Ciudad. §2-2-26.

Candidatos pueden voluntariamente tramitar un convenio con la Ciudad para cumplir con los límites de gastos y así poder calificar para posiblemente recibir beneficios/fondos bajo las reglas de Campañas Justas en Austin estatuido en el Código de la Ciudad, Capítulo 2-2, §2-2-I et seq.

El capítulo sobre Campañas Justas en Austin se detalla más adelante bajo su propio título.

- Personas Sujetas a las Leyes de Financiamiento de Campañas de la Ciudad de Austin. El alcalde, los concejales, y candidatos para estos puestos, y en algunos casos oficiales en ciertos

puesto son sujetos a las leyes de financiamiento de campañas, de sus requisitos, y reglamentos. Además, algunas leyes de finanzas de campañas afectan a los comités de acción política, a contribuyentes, y a otros que participan en elecciones de la Ciudad.

- En qué Momento es un Individuo Sujeto a las Leyes de Financiamiento de Campañas de la Ciudad de Austin. De acuerdo con ambas leyes, las de Financiamiento de Campañas de la Ciudad de Austin y los estatutos estatales de financiamiento de campañas, la persona se convierte en candidato-y por lo tanto es sujeta a las leyes de financiamiento de campañas-cuando la persona actúa en alguna manera con el propósito de ser electo/a a un puesto público. Ejemplos incluyen, pero sin limitarse a, acciones como registrar el formulario para Nombramiento de Tesorero de Campaña, circular petición para poner su nombre en la boleta, solicitar promesas de contribuciones, o solicitar contribuciones, o efectuar una conferencia de prensa, en cual se anuncia su candidatura.
- Formulario para Nombramiento de Tesorero de Campaña
 - **La primera acción de la candidatura de un individuo debe ser archivar el formulario de Nombramiento del Tesorero de Campaña.**
 - Este formulario se obtiene y se registra con el Secretario/a de la Ciudad. El/la candidata/a debería asegurar de obtener el folleto informativo que acompaña al formulario.
 - El/la candidato/a no puede empezar a aceptar contribuciones, ni hacer gastos políticos hasta que no complete y registre este formulario debidamente.
 - El/la candidata/a no deberá gastar fondos personales para fines de la campaña sin antes designar el tesorero debidamente completando el formulario de nombramiento y archivándolo.
 - El hecho de registrar el formulario no significa que el nombre del candidato se apuntará en la boleta, candidatos deberían contactar a la Oficina del/la Secretario/ía de la Ciudad.
 - En cuanto registra el formulario, el/la candidato/a es responsable de archivar con el Secretario/a de la Ciudad sus informes periódicos de contribuciones y gastos. Hay penalidades criminales y civiles por faltas de registrar los informes requeridos puntualmente. Archivar los informes requeridos es responsabilidad del candidato, no del tesorero de la campaña.

CONTRIBUCIONES DE CAMPAÑA

- Definición. El código define la “contribución” en la Sección 2-2-2(7) como sigue: “CONTRIBUCIÓN es transferencia directa o indirecta de dinero, bienes, servicios, o cualquier otra cosa de valor e incluye un acuerdo hecho u otra obligación incurrida, ya sea ejecutable legalmente o no, para hacer alguna transferencia. El término sí incluye contribución en especie (*in kind*), excepto cuando la contribución en especie es trabajo como se define en la Sección del Código 2-2-2(11). El término incluye la garantía de un préstamo o extensión de crédito, y también un préstamo o extensión de crédito mientras no sea de los que explícitamente se excluyen por ley estatal. Código Electoral de Texas §251.001(2). El termino no incluye un “un

préstamo hecho normalmente por una corporación involucrada legalmente en el negocio de tramitar préstamos y que ha administrado dicho negocio continuamente por más de un año antes de haber hecho el préstamo” o un gasto que por ley debería reportarse bajo el Código Gubernamental de Texas, en la Sección 305.006(b). “Código Electoral de Texas §251.001(2).

- Límites en Contribuciones de Campaña en la Carta de la Ciudad. La ley estatal no impone límites en las cantidades de contribuciones de campaña. Sin embargo, la Sección 8, Artículo III de la Carta impone los siguientes límites en contribuciones en todas las elecciones de la Ciudad:
 - **El candidato puede autorizar, establecer, administrar, o controlar solo un comité de campaña a la vez.**
 - **Ni el candidato ni su comité de campaña deberán aceptar contribuciones de más de \$350 (el límite actual ajustado por la inflación) de cada contribuyente en cada elección de alguna persona, con excepción de contribuciones del candidato mismo y de comités políticos de contribuyentes de cantidades pequeñas.** La cantidad del límite de contribución será modificada cada año cuando se apruebe el presupuesto para ser aumentada o reducida de acuerdo con la más reciente publicación del gobierno federal del Indicador del Buró de Estadísticas de Labor, titulado Índice de Precios al Consumidor, CPI-W U.S. promedios de ciudades, indicador de promedios de las ciudades Estadounidenses (*Bureau of Labor Statistics Indicator, Consumer Price Index, CPI-W U.S. City Average*). El más reciente Índice de Precios al Consumidor del 13 de mayo, 2006 se usará como base de 100 y el ajuste después será a los más próximos \$50.00.
 - Ni el candidato ni su comité político deberán aceptar un agregado de contribuciones que exceda \$36,000 (el límite actual ajustado por la inflación) en cada elección y \$24,000 (el límite actual ajustado por la inflación) en caso de una elección secundaria, de otras fuentes que no sean personas naturales elegibles para votar en alguno de los códigos postales que estén completamente o en parte dentro de los límites de la ciudad. La cantidad del límite de contribución se modificará anualmente cuando el presupuesto se apruebe para aumentarlo o reducirlo de acuerdo con la más reciente publicación del gobierno federal del Indicador del Buró de Estadísticas de Labor, titulado Índice de Precios al Consumidor, CPI-W U.S. promedios de las ciudades, que indica los promedios de las ciudades en los Estados Unidos (*Bureau of Labor Statistics Indicator, Consumer Price Index, CPI-W U.S. City Average*). El más reciente Índice de Precios al Consumidor del 13 de mayo, 2006 se usará como la base de 100 y el ajuste después, será a los más próximos \$1,000.00.
 - **Comités Políticos de Contribuyentes de Cantidades Pequeñas, como se definen en el Artículo III, Sección 8(B)(2) de la Carta, no deberán contribuir más de \$1,000 a cada candidato en cada elección para los puestos de alcalde y concejales de la Ciudad. Cada donación no deberá exceder \$25. Ver Carta de la Ciudad, Artículo III, Sección 8(B)(1).**
 - **El candidato es responsable de prevenir violaciones. El candidato o su comité de campañas determinará en cada contribución si acaso aceptar dicha contribución sería infracción del Artículo III, Sección 8 antes de aceptar la contribución.**
- Restricciones Adicionales en Aceptar Contribuciones.

- Edificios que son propiedad de la Ciudad. Ninguna persona hará contribuciones a un candidato o a un oficial electo, y ningún candidato u oficial electo solicitará, ni aceptará contribuciones en edificios que son propiedad de la Ciudad, excepto en algún edificio que es propiedad de la Ciudad es edificio que se renta al público en general para un evento relacionado con la campaña cuando se hace la contribución. Esta prohibición no aplica en casos cuando se aceptan contribuciones enviadas por correo al oficial electo a la dirección municipal de algún oficial electo. Vea la Sección 2-2-52 del Código de la Ciudad.
- Contribuciones en Efectivo. Las leyes de Texas prohíben que un candidato/a o un oficial electo o un comité de propósito especial acepten de un contribuyente en un periodo de informes, contribuciones políticas en efectivo de más de \$100. Código Electoral de Texas §253.033. Cheques no se consideran ser dinero en efectivo.

Cualquier candidato/a u oficial electo que acepta contribuciones efectivas en alguna elección de la Ciudad debe conservar un libro de recibos de contribuciones en efectivo. El libro de recibo debe contener la fecha de cualquier contribución en efectivo y el nombre y dirección del contribuyente. Sin embargo, este no es el caso si la contribución en efectivo fue recibida por el candidato/a o el oficial electo en uno o más eventos para recaudar fondos con un precio específico por boleto, de \$25 por persona o menos. Estas contribuciones se pueden juntar en un conjunto si el tesorero archiva una declaración en el siguiente informe de contribuciones y gastos declarando la cantidad en efectivo recibida en el evento, y verifica que ningún individuo hizo contribución en efectivo de más de \$50 relacionada con el evento. Vea la Sección 2-2-51 del Código de la Ciudad.

- Contribuciones de Cabilderos. Ninguna persona que reciba compensación para cabildear al Consejo de la Ciudad, a quien se le requiere registrarse de cabildero con la Ciudad, ni ningún conyugue de tal persona podrá contribuir más de \$25 en un periodo de campaña de un oficial electo o a algún candidato para Alcalde o para el Consejo de la Ciudad, o para algún comité político de propósito específico involucrado en la elección para Alcalde o para Concejal de la Ciudad. Vea la Sección 2-2-53 del Código de la Ciudad. Cabilderos pueden ser individuos, corporaciones, asociaciones, firmas, socios, comités, clubs, organizaciones, o un grupo de personas actuando voluntariamente en común acuerdo. Para información tocante requisitos para registrarse como cabildero, vea el capítulo 4-8 del Código de la Ciudad, y más en particular, la sección 4-8-3. Las leyes de Texas generalmente prohíben aceptar contribuciones políticas de corporaciones. Código Electoral de Texas § 253.094; King Street Patriots v. Texas Democratic Party, 521 S.W.3d 729, 741-43 (Tex. 2017). Para más información tocante la prohibición de contribuciones políticas de corporaciones, contacte a la Comisión de Ética en Texas (*Texas Ethics Comisión*).

CAPÍTULO DE LA CIUDAD DE AUSTIN SOBRE “CAMPAÑAS JUSTAS EN AUSTIN”

- Contrato Voluntario. Como previamente se ha indicado en este documento, *candidatos* pueden voluntariamente firmar un contrato con la Ciudad que cumplirán con los límites de gastos, y así son elegibles para posiblemente recibir beneficios/fondos bajo el capítulo del Código que gobiernan Las Campañas Justas (*Austin Fair Campaign*). Código de la Ciudad, Sección 2-2-11 et seq.

- **Plazo para Firmar el Contrato.** Candidatos que desean firmar el Contrato de Campaña deberán personalmente firmar el contrato en un plazo que sea el más temprano de (1) 30 días después de convertirse en candidato bajo el Código Electoral de Texas; o (2) la fecha en que el candidato archiva su solicitud para ser apuntado en la boleta.
- **Disponibilidad del Contrato de Campaña.** La Sección 2-2-11(A) del Código de la Ciudad dispone lo siguiente: Un candidato para alcalde o concejo de la Ciudad puede firmar un contrato con la Ciudad para acordar que cumplirá con los límites en contribuciones y gastos de la campaña del candidato especificado en este artículo y en cambio recibirá beneficios provistos bajo este capítulo. Dicho contrato se titula “Contrato de Campaña” y se puede obtener de la Secretaria de la Ciudad.
- **Fondos Disponibles.** La Sección 2-2-11(C) del código dispone lo siguiente: Solo el candidato que firme un contrato de campaña con la Ciudad calificará para fondos públicos del Fondo de Austin para Financiar Campañas Justas (*Austin Fair Campaign Finance Fund*). Además, el candidato que firme deberá aceptar participar en una serie de foros de candidatos patrocinados por la Comisión de Repaso de Ética de la Ciudad.

Información tocante el Fondo de Austin para Financiar Campañas Justas (*Austin Fair Campaign Finance Fund*) se encuentra en el Código, en la Sección 2-2-61 et seq.

El Fondo de Austin para Financiar Campañas Justas (*Austin Fair Campaign Finance Fund*) proporciona apoyo público parcialmente para apoyar a candidatos calificados en elecciones secundarias. Financiamiento es sujeto a disponibilidad y no se proporcionan en elecciones sin oposición, ni en elecciones de revocar, ni en elecciones para llenar un vacante creado por alguna elección de revocar. Estos fondos provienen de las cuotas de registro de cabilderos (*lobbyists*) y de donaciones, y de indemnización por daños, y de multas por violaciones de leyes de campaña, y de los honorarios de archivar/registrar candidaturas colectados de candidatos.

- **Límites en Contribuciones.** La Sección 2-2-13 del Código impone los siguientes límites en contribuciones para los que firman el Contrato de Campaña:
 - **Candidatos para alcalde:** Candidatos no deberían aceptar contribuciones de ningún individuo ni de comités políticos que excedan la cantidad agregada de contribuciones estatuida por el Artículo III, Sección 8(A)(1) de la Carta de la Ciudad en ambos el periodo de campaña de la elección y el periodo de campaña de la elección secundaria; ni más de \$24,000 de comités políticos en una elección regular o la cantidad adicional de \$16,000 para la elección secundaria.
 - **Candidatos para Concejal:** Candidatos no deberían aceptar contribuciones de ningún individuo ni de comités políticos que excedan la cantidad agregada de contribuciones estatuida por el Artículo III, Sección 8(A)(3) de la Carta de la Ciudad en ambos el periodo de campaña de la elección y el periodo de campaña de la elección secundaria; ni más de \$15,000 de comités políticos en una elección regular o la cantidad adicional de \$10,000 para la elección secundaria.
- **Límites en Gastos.** La Sección 2-2-12 del Código de la Ciudad impone los siguientes límites en gastos para los que firman el Contrato de Campaña:

- **Candidatos para Alcalde:** Un candidato para alcalde no hará gastos que excedan \$120,000 durante el periodo de campaña para la elección, y solo hará gastos adicionales de \$80,000 durante la elección secundaria.
- **Candidatos para Concejal de la Ciudad.** Un candidato para concejal de la Ciudad no hará gastos que excedan \$75,000 durante el periodo de la elección, y solo hará gastos adicionales de \$50,000 durante la elección secundaria.
- **Candidatos/as para Alcalde o Concejal de la Ciudad no podrán gastar de sus propios fondos más de la cantidad que exceda el cinco por ciento de los límites voluntarios aplicables detallados arriba para una elección o elección secundaria.**
- **Se Requiere Declaración de Divulgación**
 - La Sección 2-2-14 del Código de la Ciudad ordena que **un candidato que haya firmado el Contrato de Campaña** incluirá el siguiente aviso en todo anuncio político, palabra por palabra (*verbatim*) y en manera clara y conspicua. **“Esta campaña ha acordado cumplir con los límites en contribuciones y gastos del Capítulo de Campañas Justas de Austin.”**
 - La misma sección del Código de la Ciudad además ordena que si **el candidato no ha firmado el Contrato de Campaña** deberá incluir el siguiente aviso en todo anuncio político, palabra por palabra (*verbatim*) y en manera clara y conspicua. **“Esta campaña no ha acordado cumplir con los límites en contribuciones y gastos del Capítulo de Campañas Justas de Austin.”**
- **Consecuencias de Violación del Contrato de Campaña**
 - Incumplimiento con el Contrato de Campaña pudiera ser por violar los límites de contribuciones o gastos, o por autorizar la publicación de anuncios políticos sin el aviso requerido, o algo similar.
 - El Contrato de Campaña cuenta con provisiones para daños liquidados que se pagarán a la Ciudad y a otros candidatos para el mismo puesto que hayan firmado el Contrato de Campaña, y la cantidad de daños liquidados sería tres veces de la cantidad de gastos excesivos hechos o de contribuciones aceptadas. Código de la Ciudad §2-2-15. Además, la Ciudad y cada candidato/a en oposición que haya firmado el Contrato de Campaña recobrarán de la parte que genere el incumplimiento los honorarios razonables de abogado relacionados al juicio por daños liquidados. §2-2-15. La Ciudad también podrá recobrar de la parte que genere el incumplimiento, cualquier cantidad que se le haya pagado al candidato/a del Fondo de Austin para Financiar Campañas Justas (*Austin Fair Campaign Finance Fund*). La parte que genere el incumplimiento además podría ser excluida por cuatro años y no ser considerada como proveedor de productos o servicios a la Ciudad.
 - El Contrato de Campaña es ejecutable en ley contractual en las cortes del estado de Texas. No intenta crear responsabilidad criminal.

RESTRICCIONES DE TIEMPO SOBRE RECAUDACIÓN DE FONDOS PARA EL CANDIDATO

El candidato solo podrá recaudar fondos para la elección durante el periodo de campaña autorizado. Código de la Ciudad §2-2-7(G). El periodo de campaña para la elección general inicia 365 ¹ días anteriores a la fecha de la elección general. Código de la Ciudad §2-2-7(B). El periodo de campaña para la elección secundaria principia el día después de la fecha de una elección. Código de la Ciudad §2-2-7(C).

RESTRICCIONES EN EL USO DE CONTRIBUCIONES

- La ley estatal prohíbe que contribuciones se conviertan para uso personal.
- No es requerido que el candidato se deshaga (o que distribuya la cantidad restante) de fondos recibidos de contribuciones cuando se haya concluido la elección. ²
- El Artículo III, Sección 8(F)(6-8) de la Carta de la Ciudad permite que oficiales electos retengan hasta \$20,000 de las contribuciones políticas recibidas para usarlos en gastos de su puesto, con la disposición de que dichos fondos estén en una cuenta separada, y que se usen solo para gastos de su puesto y no para gastos de campaña, y cuando el oficial electo se retire del puesto de concejal, que dichos fondos se paguen al Fondo de Campañas Justas.

¹ El periodo de 365 días para las campañas fue aprobado por el consejo de la ciudad después de que la corte federal anulo el periodo de 180 días para las campañas (que se detalla en el Artículo III, sección 8 (F)(2). *Zimmerman v. City of Austin*.---F.3d---, 2018 WL 652854 * 8-9 (Feb.1, 2018).

² Ver *Zimmerman v. City of Austin*.---F.3d---, 2018 WL 652854 * 9-11 (Feb.1, 2018) (En cual la corte determinó que el Artículo III, Sección 8(F)(6-8) de la Carta de la Ciudad que requería la distribución de fondos de campaña no era de acuerdo con la constitución.

- El Artículo III, Sección 8(F)(4) permite que un candidato que no haya sido electo y que tenga gastos sin pagar después de la elección o que tenga gastos hechos de fondos personales para la campaña y que no se hayan reembolsado, y que dichos gastos de fondos personales fueron hechos con el intento de ser reembolsados de contribuciones políticas, que en ese caso puede solicitar y aceptar contribuciones políticas después de la elección hasta que dichos gastos sin pagar sean pagados y que los gastos no reembolsados sean reembolsados.
- El Artículo III, Sección 8(F)(5) permite que un oficial electo que tenga gastos sin pagar después de la elección o que tenga gastos de campaña hechos de fondos personales con la intención de ser reembolsado de contribuciones políticas, que en ese caso puede solicitar y aceptar contribuciones políticas después de retirarse del puesto hasta que dichos gastos sin pagar sean pagados y que los gastos que no hayan sido reembolsados sean reembolsados. Un oficial electo también puede pagar gastos sin pagar y reembolsar gastos sin reembolsar de contribuciones políticas recibidas durante alguna campaña subsiguiente.

INFORMES DE CONTRIBUCIONES Y GASTOS; OTROS INFORMES

- La Sección 2-2-2(3) del Código de la Ciudad en general define el “Informe de Contribuciones y Gastos de Campaña” como “un informe periódico de contribuciones, préstamos, créditos,

interés, ganancias, reembolsos, y gastos del candidato, oficial actualmente en el puesto, o el comité político, que se requiere archivar bajo el Capítulo 254, Código Electoral de Texas, incluyendo cualquier otro asunto y reportes que deberán ser entregados bajo el Capítulo 2-2 del Código de la Ciudad.

- Bajo la Sección 2-2-21 del Código de la Ciudad y la Sección 254.202 del Código Electoral de Texas, candidatos para puestos del alcalde y consejo de la ciudad deberán archivar informes de finanzas de campañas con el/la Secretario/ia de la Ciudad. El informe deberá incluir cualquier información requerida por el Código Electoral de Texas o por el Capítulo 2-2 del Código de la Ciudad que gobierna reglas de las Campañas Justas de Austin.
- Bajo la Sección 2-2-26 del Código de la Ciudad se requiere que el candidato, oficial en el puesto, o comité político que por requisito del Código de la Ciudad o de ley estatal deberá archivar un informe financiero de campaña con el/la Secretario/ia de la Ciudad, deberá además del informe requerido, también proveer a el/la Secretario/ia de la Ciudad un archivo de datos estructurados con el contenido del informe financiero de campaña. El archivo de datos deberá cumplir con especificaciones y estar o ser incluido en medios determinados por el/la Secretario/ia de la Ciudad. El archivo de datos deberá ser entregado a el/la Secretario/ia de la Ciudad a no más tardar de la fecha en que el informe financiero asociado se debe archivar.
- Otros Informes. De acuerdo con mandatos del Código Electoral de Texas o del Código de la Ciudad, el candidato deberá registrar lo siguiente:
 - Nombramiento del tesorero de campaña;
 - Declaración juramentada semi-anual (dos veces al año) de contribuciones y gastos;
 - Declaraciones juramentadas, previas a la elección, de contribuciones y gastos que se cumplen a los 30 días y a los ocho días antes de la elección (para candidatos con oposición);
 - Informes relacionados con la Elección Secundaria (en caso de haber elección secundaria);
 - Informe final (del candidato);
 - Informes anuales de contribuciones sin gastar (para candidatos que tengan contribuciones sin gastar después de haber registrado su informe final); y
 - Informe de disposición final de contribuciones aun no gastadas.
 - Informes Pre-elección entregados a la Ciudad de Austin
 - Informe de agrupación de fondos recaudados (*bundling report*) requerido por la Ciudad de Austin
 - Informe de Gastos Directos de la Campaña requerido por la Ciudad de Austin
 - Informe de Datos de Candidatos y Oficiales Electos de la Ciudad de Austin

La ley estatal además sugiere que candidatos y comités políticos se suscriban al Código de Política de Campañas Justas. Código Electoral de Texas, Capítulo 258. Suscripción al Código de Políticas de Campañas Justas de Texas (Texas Fair Campaign Practices Code) es voluntaria. Código Electoral de Texas Capítulo 258.003. Candidatos pueden registrar su suscripción al Código de Políticas de Campañas Justas en Texas al mismo tiempo que archiven el formulario del Código de Políticas de Campañas Justas en Texas.

Los candidatos pueden obtener formularios del Código de Políticas de Campañas Justas y también los formularios del Capítulo de Campañas Justas de Austin en la Oficina del/la Secretario/ia de la Ciudad en 301 West Second Street, Austin, Texas. Código Electoral de Texas Capítulo 258.005; Código de la Ciudad §2-2-6.

GASTOS DIRECTOS DE CAMPAÑA POR PERSONAS QUE NO SON EL CANDIDATO O EL COMITÉ DE CAMPAÑA DEL CANDIDATO

- La Sección 2-2-32 del Código de la Ciudad indica los requisitos de reportar para personas que no sean el candidato o el comité del candidato y quienes hacen gastos a favor o en oposición a algún candidato o medida que se presente en la boleta. Un gasto apoyando o en oposición a la elección de un candidato o aprobación o derrota de una medida en la boleta se considera ser independiente de la campaña del candidato si:
 - El gasto se hace en manera independiente del candidato y del comité del candidato;
 - El gasto se hace sin el consentimiento previo del candidato; y
 - El gasto se hace sin la cooperación ni comunicación estratégica entre la persona que independientemente hace el gasto y del candidato o del comité del candidato.
- La Sección 2-2-32 del Código de la Ciudad requiere informes de gastos directos de campañas en la cantidad total de \$500 o más. El formulario titulado Lista (*Schedule*) ATX I “Informe de Gastos Directos de Campaña” deberá registrarse con la Oficina del/la Secretario/ia de la Ciudad por toda persona incluyendo los comités de acción política, sin que sea el candidato ni el comité del candidato quien gaste una cantidad de \$500 total o más con el propósito de promover la elección o derrota de algún candidato o de alguna medida en la boleta en alguna elección de la Ciudad. El formulario deberá registrarse en las fechas límites especificadas en la Sección 2-2-32 y debería cumplir con cualquier otras fechas límites de informes de finanzas de campaña bajo la ley estatal o del Código de la Ciudad.

PERIODO DE RETENCIÓN DE RÉCORDS

- La Sección 2-2-28 del Código de la Ciudad requiere que copias de cheques, cuentas bancarias, recibos de depósitos y otra información necesaria para registrar informes de Contribuciones y Gastos sean guardadas por un periodo de cinco años después de la fecha final del periodo de reportar aplicable en el caso de estos récords.

CANDIDATE / OFFICEHOLDER CAMPAIGN FINANCE REPORT

**FORM C/OH
COVER SHEET PG 1**

The C/OH Instruction Guide explains how to complete this form.

1 Filer ID (Ethics Commission Filers)

2 Total pages filed:

3 CANDIDATE /
OFFICEHOLDER
NAME

MS / MRS / MR FIRST MI

NICKNAME LAST SUFFIX

4 CANDIDATE /
OFFICEHOLDER
MAILING
ADDRESS

ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE

☐ Change of Address

5 CANDIDATE/
OFFICEHOLDER
PHONE

AREA CODE PHONE NUMBER EXTENSION

()

6 CAMPAIGN
TREASURER
NAME

MS / MRS / MR FIRST MI

NICKNAME LAST SUFFIX

OFFICE USE ONLY

Date Received

Date Hand-delivered or Date Postmarked

Receipt #

Amount \$

Date Processed

Date Imaged

7 CAMPAIGN
TREASURER
ADDRESS

(Residence or Business)

STREET ADDRESS (NO PO BOX PLEASE); APT / SUITE #; CITY; STATE; ZIP CODE

8 CAMPAIGN
TREASURER
PHONE

AREA CODE PHONE NUMBER EXTENSION

()

9 REPORT TYPE

☐ January 15

☐ 30th day before election

☐ Runoff

☐ 15th day after campaign
treasurer appointment
(Officeholder Only)

☐ July 15

☐ 8th day before election

☐ Exceeded \$500 limit

☐ Final Report (Attach C/OH - FR)

10 PERIOD
COVERED

Month Day Year

/

/

THROUGH

Month Day Year

/

/

11 ELECTION

ELECTION DATE

Month Day Year

/

/

ELECTION TYPE

☐ Primary

☐ Runoff

☐ Other
Description

☐ General

☐ Special

12 OFFICE

OFFICE HELD (if any)

13 OFFICE SOUGHT (if known)

GO TO PAGE 2

FORM C/OH
COVER SHEET PG 2

Forms provided by Texas Ethics Commission www.ethics.state.tx.us Revised 9/8/2015

SUBTOTALS - C/OH

FORM C/OH COVER SHEET PG 3

19 FILER NAME

20 Filer ID (Ethics Commission Filers)

21 SCHEDULE SUBTOTALS NAME OF SCHEDULE		SUBTOTAL AMOUNT
1.	<input type="checkbox"/> SCHEDULE A1: MONETARY POLITICAL CONTRIBUTIONS	\$
2.	<input type="checkbox"/> SCHEDULE A2: NON-MONETARY (IN-KIND) POLITICAL CONTRIBUTIONS	\$
3.	<input type="checkbox"/> SCHEDULE B: PLEDGED CONTRIBUTIONS	\$
4.	<input type="checkbox"/> SCHEDULE E: LOANS	\$
5.	<input type="checkbox"/> SCHEDULE F1: POLITICAL EXPENDITURES MADE FROM POLITICAL CONTRIBUTIONS	\$
6.	<input type="checkbox"/> SCHEDULE F2: UNPAID INCURRED OBLIGATIONS	\$
7.	<input type="checkbox"/> SCHEDULE F3: PURCHASE OF INVESTMENTS MADE FROM POLITICAL CONTRIBUTIONS	\$
8.	<input type="checkbox"/> SCHEDULE F4: EXPENDITURES MADE BY CREDIT CARD	\$
9.	<input type="checkbox"/> SCHEDULE G: POLITICAL EXPENDITURES MADE FROM PERSONAL FUNDS	\$
10.	<input type="checkbox"/> SCHEDULE H: PAYMENT MADE FROM POLITICAL CONTRIBUTIONS TO A BUSINESS OF C/OH	\$
11.	<input type="checkbox"/> SCHEDULE I: NON-POLITICAL EXPENDITURES MADE FROM POLITICAL CONTRIBUTIONS	\$
12.	<input type="checkbox"/> SCHEDULE K: INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER	\$

MONETARY POLITICAL CONTRIBUTIONS

SCHEDULE A1

The Instruction Guide explains how to complete this form.		1 Total pages Schedule A1:
2 FILER NAME		3 Filer ID (Ethics Commission Filers)
4 Date	5 Full name of contributor <input type="checkbox"/> out-of-state PAC (ID#: _____) 6 Contributor address; City; State; Zip Code	7 Amount of contribution (\$)
8 Principal occupation / Job title (See Instructions)		9 Employer (See Instructions)
Date	Full name of contributor <input type="checkbox"/> out-of-state PAC (ID#: _____) Contributor address; City; State; Zip Code	Amount of contribution (\$)
Principal occupation / Job title (See Instructions)		Employer (See Instructions)
Date	Full name of contributor <input type="checkbox"/> out-of-state PAC (ID#: _____) Contributor address; City; State; Zip Code	Amount of contribution (\$)
Principal occupation / Job title (See Instructions)		Employer (See Instructions)
Date	Full name of contributor <input type="checkbox"/> out-of-state PAC (ID#: _____) Contributor address; City; State; Zip Code	Amount of contribution (\$)
Principal occupation / Job title (See Instructions)		Employer (See Instructions)
ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED If contributor is out-of-state PAC, please see instruction guide for additional reporting requirements.		

NON-MONETARY (IN-KIND) POLITICAL CONTRIBUTIONS

SCHEDULE A2

The Instruction Guide explains how to complete this form.

1 Total pages Schedule A2:

2 FILER NAME

3 Filer ID (Ethics Commission Filers)

4 TOTAL OF UNITEMIZED IN-KIND POLITICAL CONTRIBUTIONS

\$

5 Date

6 Full name of contributor ☐ out-of-state PAC (ID#: _____)

8 Amount of Contribution \$

9 In-kind contribution description

7 Contributor address; City; State; Zip Code

☐ Check if travel outside of Texas. Complete Schedule T.

10 Principal occupation / Job title (FOR NON-JUDICIAL) (See Instructions)

11 Employer (FOR NON-JUDICIAL) (See Instructions)

12 Contributor's principal occupation (FOR JUDICIAL)

13 Contributor's job title (FOR JUDICIAL) (See Instructions)

14 Contributor's employer/law firm (FOR JUDICIAL)

15 Law firm of contributor's spouse (if any) (FOR JUDICIAL)

16 If contributor is a child, law firm of parent(s) (if any) (FOR JUDICIAL)

Date

Full name of contributor ☐ out-of-state PAC (ID#: _____)

Amount of Contribution \$

In-kind contribution description

Contributor address; City; State; Zip Code

☐ Check if travel outside of Texas. Complete Schedule T.

Principal occupation / Job title (FOR NON-JUDICIAL) (See Instructions)

Employer (FOR NON-JUDICIAL) (See Instructions)

Contributor's principal occupation (FOR JUDICIAL)

Contributor's job title (FOR JUDICIAL) (See Instructions)

Contributor's employer/law firm (FOR JUDICIAL)

Law firm of contributor's spouse (if any) (FOR JUDICIAL)

If contributor is a child, law firm of parent(s) (if any) (FOR JUDICIAL)

ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED

If contributor is out-of-state PAC, please see instruction guide for additional reporting requirements.

PLEDGED CONTRIBUTIONS

SCHEDULE B

The Instruction Guide explains how to complete this form.

1 Total pages Schedule B:

2 FILER NAME

3 Filer ID (Ethics Commission Filers)

4 TOTAL OF UNITEMIZED PLEDGES

\$

5 Date

6 Full name of pledgor ☐ out-of-state PAC (ID#: _____)

8 Amount of Pledge \$

9 In-kind contribution description

7 Pledgor address; City; State; Zip Code

☐ Check if travel outside of Texas. Complete Schedule T.

10 Principal occupation / Job title (See Instructions)

11 Employer (See Instructions)

Date

Full name of pledgor ☐ out-of-state PAC (ID#: _____)

Amount of Pledge \$

In-kind contribution description

Pledgor address; City; State; Zip Code

☐ Check if travel outside of Texas. Complete Schedule T.

Principal occupation / Job title (See Instructions)

Employer (See Instructions)

Date

Full name of pledgor ☐ out-of-state PAC (ID#: _____)

Amount of Pledge \$

In-kind contribution description

Pledgor address; City; State; Zip Code

☐ Check if travel outside of Texas. Complete Schedule T.

Principal occupation / Job title (See Instructions)

Employer (See Instructions)

Date

Full name of pledgor ☐ out-of-state PAC (ID#: _____)

Amount of Pledge \$

In-kind contribution description

Pledgor address; City; State; Zip Code

☐ Check if travel outside of Texas. Complete Schedule T.

Principal occupation / Job title (See Instructions)

Employer (See Instructions)

ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED

If contributor is out-of-state PAC, please see instruction guide for additional reporting requirements.

LOANS

SCHEDULE E

The Instruction Guide explains how to complete this form.

1 Total pages Schedule E:

2 FILER NAME

3 Filer ID (Ethics Commission Filers)

4 TOTAL OF UNITEMIZED LOANS

\$

5 Date of loan

7 Name of lender ☐ out-of-state PAC (ID#: _____)

9 Loan Amount (\$)

6 Is lender
a financial
Institution?

8 Lender address; City; State; Zip Code

10 Interest rate

Y N

11 Maturity date

12 Principal occupation / Job title (See Instructions)

13 Employer (See Instructions)

14 Description of Collateral

☐ none

15 Check if personal funds were deposited into political
account (See Instructions)

☐

16 GUARANTOR
INFORMATION

17 Name of guarantor

19 Amount Guaranteed (\$)

18 Guarantor address; City; State; Zip Code

☐ not applicable

20 Principal Occupation (See Instructions)

21 Employer (See Instructions)

Date of loan

Name of lender ☐ out-of-state PAC (ID#: _____)

Loan Amount (\$)

Is lender
a financial
Institution?

Lender address; City; State; Zip Code

Interest rate

Y N

Maturity date

Principal occupation / Job title (See Instructions)

Employer (See Instructions)

Description of Collateral

☐ none

Check if personal funds were deposited into political
account (See Instructions)

☐

GUARANTOR
INFORMATION

Name of guarantor

Amount Guaranteed (\$)

Guarantor address; City; State; Zip Code

☐ not applicable

Principal Occupation (See Instructions)

Employer (See Instructions)

ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED

If lender is out-of-state PAC, please see instruction guide for additional reporting requirements.

POLITICAL EXPENDITURES MADE FROM POLITICAL CONTRIBUTIONS

SCHEDULE F1

EXPENDITURE CATEGORIES FOR BOX 8(a)

Advertising Expense
Accounting/Banking
Consulting Expense
Contributions/Donations Made By
Candidate/Officeholder/Political Committee
Credit Card Payment

Event Expense
Fees
Food/Beverage Expense
Gift/Awards/Memorials Expense
Legal Services

Loan Repayment/Reimbursement
Office Overhead/Rental Expense
Polling Expense
Printing Expense
Salaries/Wages/Contract Labor

Solicitation/Fundraising Expense
Transportation Equipment & Related Expense
Travel In District
Travel Out Of District
Other (enter a category not listed above)

The Instruction Guide explains how to complete this form.

1 Total pages Schedule F1:	2 FILER NAME	3 Filer ID (Ethics Commission Filers)
4 Date	5 Payee name	
6 Amount (\$)	7 Payee address; City; State; Zip Code	
8 PURPOSE OF EXPENDITURE	(a) Category (See Categories listed at the top of this schedule)	(b) Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense
	9 Complete <u>ONLY</u> if direct expenditure to benefit C/OH	
Date	Candidate / Officeholder name	
	Office sought	Office held
Date	Payee name	
Amount (\$)	Payee address; City; State; Zip Code	
PURPOSE OF EXPENDITURE	Category (See Categories listed at the top of this schedule)	Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense
	9 Complete <u>ONLY</u> if direct expenditure to benefit C/OH	
Date	Candidate / Officeholder name	
	Office sought	Office held
Date	Payee name	
Amount (\$)	Payee address; City; State; Zip Code	
PURPOSE OF EXPENDITURE	Category (See Categories listed at the top of this schedule)	Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense
	9 Complete <u>ONLY</u> if direct expenditure to benefit C/OH	
Date	Candidate / Officeholder name	
	Office sought	Office held
Date	Payee name	
Amount (\$)	Payee address; City; State; Zip Code	
PURPOSE OF EXPENDITURE	Category (See Categories listed at the top of this schedule)	Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense
	9 Complete <u>ONLY</u> if direct expenditure to benefit C/OH	
Date	Candidate / Officeholder name	
	Office sought	Office held

ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED

UNPAID INCURRED OBLIGATIONS

SCHEDULE F2

EXPENDITURE CATEGORIES FOR BOX 10(a)

Advertising Expense
Accounting/Banking
Consulting Expense
Contributions/Donations Made By
Candidate/Officeholder/Political Committee

Event Expense
Fees
Food/Beverage Expense
Gift/Awards/Memorials Expense
Legal Services

Loan Repayment/Reimbursement
Office Overhead/Rental Expense
Polling Expense
Printing Expense
Salaries/Wages/Contract Labor

Solicitation/Fundraising Expense
Transportation Equipment & Related Expense
Travel In District
Travel Out Of District
Other (enter a category not listed above)

The Instruction Guide explains how to complete this form.

1 Total pages Schedule F2:	2 FILER NAME	3 Filer ID (Ethics Commission Filers)
-----------------------------------	---------------------	--

4 TOTAL OF UNITEMIZED UNPAID INCURRED OBLIGATIONS	\$
--	----

5 Date	6 Payee name
---------------	---------------------

7 Amount (\$)	8 Payee address; City; State; Zip Code
----------------------	---

9 TYPE OF EXPENDITURE	<input type="checkbox"/> Political <input type="checkbox"/> Non-Political
------------------------------	---

10 PURPOSE OF EXPENDITURE	(a) Category (See Categories listed at the top of this schedule)	(b) Description
		<input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense

11 Complete <u>ONLY</u> if direct expenditure to benefit C/OH	Candidate / Officeholder name	Office sought	Office held
--	-------------------------------	---------------	-------------

Date	Payee name
------	------------

Amount (\$)	Payee address; City; State; Zip Code
-------------	--------------------------------------

TYPE OF EXPENDITURE	<input type="checkbox"/> Political <input type="checkbox"/> Non-Political
---------------------	---

PURPOSE OF EXPENDITURE	Category (See Categories listed at the top of this schedule)	Description
		<input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense

Complete <u>ONLY</u> if direct expenditure to benefit C/OH	Candidate / Officeholder name	Office sought	Office held
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ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED

PURCHASE OF INVESTMENTS MADE FROM POLITICAL CONTRIBUTIONS

SCHEDULE F3

The Instruction Guide explains how to complete this form.

1 Total pages Schedule F3:

2 FILER NAME

3 Filer ID (Ethics Commission Filers)

4 Date

5 Name of person from whom investment is purchased

6 Address of person from whom investment is purchased; City; State; Zip Code

7 Description of investment

8 Amount of investment (\$)

Date

Name of person from whom investment is purchased

Address of person from whom investment is purchased; City; State; Zip Code

Description of investment

Amount of investment (\$)

ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED

EXPENDITURES MADE BY CREDIT CARD

SCHEDULE F4

EXPENDITURE CATEGORIES FOR BOX 10(a)

Advertising Expense
Accounting/Banking
Consulting Expense
Contributions/Donations Made By
Candidate/Officeholder/Political Committee

Event Expense
Fees
Food/Beverage Expense
Gift/Awards/Memorials Expense
Legal Services

Loan Repayment/Reimbursement
Office Overhead/Rental Expense
Polling Expense
Printing Expense
Salaries/Wages/Contract Labor

Solicitation/Fundraising Expense
Transportation Equipment & Related Expense
Travel In District
Travel Out Of District
Other (enter a category not listed above)

The Instruction Guide explains how to complete this form.

1 Total pages Schedule F4:	2 FILER NAME	3 Filer ID (Ethics Commission Filers)
4 TOTAL OF UNITEMIZED EXPENDITURES CHARGED TO A CREDIT CARD		\$
5 Date	6 Payee name	
7 Amount (\$)	8 Payee address; City; State; Zip Code	
9 TYPE OF EXPENDITURE	<input type="checkbox"/> Political <input type="checkbox"/> Non-Political	
10 PURPOSE OF EXPENDITURE	(a) Category (See Categories listed at the top of this schedule)	(b) Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense
11 Complete <u>ONLY</u> if direct expenditure to benefit C/OH	Candidate / Officeholder name	Office sought Office held
Date	Payee name	
Amount (\$)	Payee address; City; State; Zip Code	
TYPE OF EXPENDITURE	<input type="checkbox"/> Political <input type="checkbox"/> Non-Political	
PURPOSE OF EXPENDITURE	Category (See Categories listed at the top of this schedule)	Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense
Complete <u>ONLY</u> if direct expenditure to benefit C/OH	Candidate / Officeholder name	Office sought Office held
ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED		

POLITICAL EXPENDITURES MADE FROM PERSONAL FUNDS

SCHEDULE G

EXPENDITURE CATEGORIES FOR BOX 8(a)

Advertising Expense
Accounting/Banking
Consulting Expense
Contributions/Donations Made By
Candidate/Officeholder/Political Committee
Credit Card Payment

Event Expense
Fees
Food/Beverage Expense
Gift/Awards/Memorials Expense
Legal Services

Loan Repayment/Reimbursement
Office Overhead/Rental Expense
Polling Expense
Printing Expense
Salaries/Wages/Contract Labor

Solicitation/Fundraising Expense
Transportation Equipment & Related Expense
Travel In District
Travel Out Of District
Other (enter a category not listed above)

The Instruction Guide explains how to complete this form.

1 Total pages Schedule G:	2 FILER NAME	3 Filer ID (Ethics Commission Filers)
4 Date	5 Payee name	
6 Amount (\$)	7 Payee address; City; State; Zip Code	
<input type="checkbox"/> Reimbursement from political contributions intended		
8 PURPOSE OF EXPENDITURE	(a) Category (See Categories listed at the top of this schedule)	(b) Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense
9 Complete <u>ONLY</u> if direct expenditure to benefit C/OH	Candidate / Officeholder name	Office sought Office held

Date	Payee name	
Amount (\$)	Payee address; City; State; Zip Code	
<input type="checkbox"/> Reimbursement from political contributions intended		
PURPOSE OF EXPENDITURE	Category (See Categories listed at the top of this schedule)	(b) Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense
Complete <u>ONLY</u> if direct expenditure to benefit C/OH	Candidate / Officeholder name	Office sought Office held

Date	Payee name	
Amount (\$)	Payee address; City; State; Zip Code	
<input type="checkbox"/> Reimbursement from political contributions intended		
PURPOSE OF EXPENDITURE	Category (See Categories listed at the top of this schedule)	(b) Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense
Complete <u>ONLY</u> if direct expenditure to benefit C/OH	Candidate / Officeholder name	Office sought Office held

ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED

PAYMENT MADE FROM POLITICAL CONTRIBUTIONS TO A BUSINESS OF C/OH

SCHEDULE H

EXPENDITURE CATEGORIES FOR BOX 8(a)

Advertising Expense	Event Expense	Loan Repayment/Reimbursement	Solicitation/Fundraising Expense
Accounting/Banking	Fees	Office Overhead/Rental Expense	Transportation Equipment & Related Expense
Consulting Expense	Food/Beverage Expense	Polling Expense	Travel In District
Contributions/Donations Made By	Gift/Awards/Memorials Expense	Printing Expense	Travel Out Of District
Candidate/Officeholder/Political Committee	Legal Services	Salaries/Wages/Contract Labor	Other (enter a category not listed above)
Credit Card Payment			

The Instruction Guide explains how to complete this form.

1 Total pages Schedule H:	2 FILER NAME	3 Filer ID (Ethics Commission Filers)
4 Date	5 Business name	
6 Amount (\$)	7 Business address; City; State; Zip Code	
8 PURPOSE OF EXPENDITURE	(a) Category (See Categories listed at the top of this schedule)	(b) Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense
	9 Complete <u>ONLY</u> if direct expenditure to benefit C/OH <div style="display: flex; justify-content: space-between;"> Candidate / Officeholder name Office sought Office held </div>	
Date	Business name	
Amount (\$)	Business address; City; State; Zip Code	
PURPOSE OF EXPENDITURE	Category (See Categories listed at the top of this schedule)	Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense
	Complete <u>ONLY</u> if direct expenditure to benefit C/OH <div style="display: flex; justify-content: space-between;"> Candidate / Officeholder name Office sought Office held </div>	
Date	Business name	
Amount (\$)	Business address; City; State; Zip Code	
PURPOSE OF EXPENDITURE	Category (See Categories listed at the top of this schedule)	Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense
	Complete <u>ONLY</u> if direct expenditure to benefit C/OH <div style="display: flex; justify-content: space-between;"> Candidate / Officeholder name Office sought Office held </div>	

ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED

NON-POLITICAL EXPENDITURES MADE FROM POLITICAL CONTRIBUTIONS

SCHEDULE I

The Instruction Guide explains how to complete this form.

1 Total pages Schedule I:	2 FILER NAME	3 Filer ID (Ethics Commission Filers)
----------------------------------	---------------------	--

4 Date	5 Payee name
---------------	---------------------

6 Amount (\$)	7 Payee address; City; State; Zip Code
----------------------	---

8 PURPOSE OF EXPENDITURE	(a) Category (See instructions for examples of acceptable categories.)	(b) Description (See instructions regarding type of information required.)
---	---	---

Date	Payee name
------	------------

Amount (\$)	Payee address; City; State; Zip Code
-------------	--------------------------------------

PURPOSE OF EXPENDITURE	Category (See instructions for examples of acceptable categories.)	Description (See instructions regarding type of information required.)
---------------------------------------	--	--

Date	Payee name
------	------------

Amount (\$)	Payee address; City; State; Zip Code
-------------	--------------------------------------

PURPOSE OF EXPENDITURE	Category (See instructions for examples of acceptable categories.)	Description (See instructions regarding type of information required.)
---------------------------------------	--	--

Date	Payee name
------	------------

Amount (\$)	Payee address; City; State; Zip Code
-------------	--------------------------------------

PURPOSE OF EXPENDITURE	Category (See instructions for examples of acceptable categories.)	Description (See instructions regarding type of information required.)
---------------------------------------	--	--

ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED

INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

SCHEDULE K

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:

2 FILER NAME

3 Filer ID (Ethics Commission Filers)

4 Date

5 Name of person from whom amount is received

8 Amount (\$)

6 Address of person from whom amount is received; City; State; Zip Code

7 Purpose for which amount is received

☐ Check if political contribution returned to filer

Date

Name of person from whom amount is received

Amount (\$)

Address of person from whom amount is received; City; State; Zip Code

Purpose for which amount is received

☐ Check if political contribution returned to filer

Date

Name of person from whom amount is received

Amount (\$)

Address of person from whom amount is received; City; State; Zip Code

Purpose for which amount is received

☐ Check if political contribution returned to filer

Date

Name of person from whom amount is received

Amount (\$)

Address of person from whom amount is received; City; State; Zip Code

Purpose for which amount is received

☐ Check if political contribution returned to filer

ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED

IN-KIND CONTRIBUTIONS OR POLITICAL EXPENDITURES FOR TRAVEL OUTSIDE OF TEXAS

SCHEDULE T

The Instruction Guide explains how to complete this form.		1 Total pages Schedule T:
2 FILER NAME		3 Filer ID (Ethics Commission Filers)
4 Name of Contributor / Corporation or Labor Organization / Pledgor / Payee		
5 Contribution / Expenditure reported on: <div style="display: flex; flex-wrap: wrap; justify-content: space-between; padding: 5px 0;"><div><input type="checkbox"/> Schedule A2</div><div><input type="checkbox"/> Schedule B</div><div><input type="checkbox"/> Schedule B(J)</div><div><input type="checkbox"/> Schedule C2</div><div><input type="checkbox"/> Schedule D</div><div><input type="checkbox"/> Schedule F1</div><div><input type="checkbox"/> Schedule F2</div><div><input type="checkbox"/> Schedule F4</div><div><input type="checkbox"/> Schedule G</div><div><input type="checkbox"/> Schedule H</div><div><input type="checkbox"/> Schedule COH-UC</div><div><input type="checkbox"/> Schedule B-SS</div></div>		
6 Dates of travel	7 Name of person(s) traveling	
	8 Departure city or name of departure location	
	9 Destination city or name of destination location	
10 Means of transportation	11 Purpose of travel (including name of conference, seminar, or other event)	
Name of Contributor / Corporation or Labor Organization / Pledgor / Payee		
Contribution / Expenditure reported on: <div style="display: flex; flex-wrap: wrap; justify-content: space-between; padding: 5px 0;"><div><input type="checkbox"/> Schedule A2</div><div><input type="checkbox"/> Schedule B</div><div><input type="checkbox"/> Schedule B(J)</div><div><input type="checkbox"/> Schedule C2</div><div><input type="checkbox"/> Schedule D</div><div><input type="checkbox"/> Schedule F1</div><div><input type="checkbox"/> Schedule F2</div><div><input type="checkbox"/> Schedule F4</div><div><input type="checkbox"/> Schedule G</div><div><input type="checkbox"/> Schedule H</div><div><input type="checkbox"/> Schedule COH-UC</div><div><input type="checkbox"/> Schedule B-SS</div></div>		
Dates of travel	Name of person(s) traveling	
	Departure city or name of departure location	
	Destination city or name of destination location	
Means of transportation	Purpose of travel (including name of conference, seminar, or other event)	
Name of Contributor / Corporation or Labor Organization / Pledgor / Payee		
Contribution / Expenditure reported on: <div style="display: flex; flex-wrap: wrap; justify-content: space-between; padding: 5px 0;"><div><input type="checkbox"/> Schedule A2</div><div><input type="checkbox"/> Schedule B</div><div><input type="checkbox"/> Schedule B(J)</div><div><input type="checkbox"/> Schedule C2</div><div><input type="checkbox"/> Schedule D</div><div><input type="checkbox"/> Schedule F1</div><div><input type="checkbox"/> Schedule F2</div><div><input type="checkbox"/> Schedule F4</div><div><input type="checkbox"/> Schedule G</div><div><input type="checkbox"/> Schedule H</div><div><input type="checkbox"/> Schedule COH-UC</div><div><input type="checkbox"/> Schedule B-SS</div></div>		
Dates of travel	Name of person(s) traveling	
	Departure city or name of departure location	
	Destination city or name of destination location	
Means of transportation	Purpose of travel (including name of conference, seminar, or other event)	
ATTACH ADDITIONAL COPIES OF THIS SCHEDULE AS NEEDED		

CANDIDATE / OFFICEHOLDER REPORT: DESIGNATION OF FINAL REPORT

FORM C/OH - FR

The Instruction Guide explains how to complete this form.
.. Complete only if "Report Type" on page 1 is marked "Final Report" ..

1 C/OH NAME

2 Filer ID (Ethics Commission Filers)

3 SIGNATURE

I do not expect any further political contributions or political expenditures in connection with my candidacy. I understand that designating a report as a final report terminates my campaign treasurer appointment. I also understand that I may not accept any campaign contributions or make any campaign expenditures without a campaign treasurer appointment on file.

Signature of Candidate / Officeholder

4 FILER WHO IS NOT AN OFFICEHOLDER

.. Complete A & B below *only* if you are not an officeholder. ..

A. CAMPAIGN FUNDS

Check only one:

- ☐ I do not have unexpended contributions or unexpended interest or income earned from political contributions.
- ☐ I have unexpended contributions or unexpended interest or income earned from political contributions. I understand that I may not convert unexpended political contributions or unexpended interest or income earned on political contributions to personal use. I also understand that I must file an annual report of unexpended contributions and that I may not retain unexpended contributions or unexpended interest or income earned on political contributions longer than six years after filing this final report. Further, I understand that I must dispose of unexpended political contributions and unexpended interest or income earned on political contributions in accordance with the requirements of Election Code, § 254.204.

B. ASSETS

Check only one:

- ☐ I do not retain assets purchased with political contributions or interest or other income from political contributions.
- ☐ I do retain assets purchased with political contributions or interest or other income from political contributions. I understand that I may not convert assets purchased with political contributions or interest or other income from political contributions to personal use. I also understand that I must dispose of assets purchased with political contributions in accordance with the requirements of Election Code, § 254.204.

Signature of Candidate

5 OFFICEHOLDER

.. Complete this section *only* if you are an officeholder ..

- ☐ I am aware that I remain subject to filing requirements applicable to an officeholder who does not have a campaign treasurer on file. I am also aware that I will be required to file reports of unexpended contributions if, after filing the last required report as an officeholder, I retain political contributions, interest or other income from political contributions, or assets purchased with political contributions or interest or other income from political contributions.

Signature of Officeholder

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CORRECTION/AMENDMENT AFFIDAVIT FOR CANDIDATE/OFFICEHOLDER

FORM COR-C/OH

1 Filer ID (Ethics Commission Filers)		2 Total pages filed:		OFFICE USE ONLY	
3 CANDIDATE / OFFICEHOLDER NAME	MS / MRS / MR FIRST MI			Date Received	
	NICKNAME LAST SUFFIX				
4 ORIGINAL REPORT TYPE	<input type="checkbox"/> January 15 <input type="checkbox"/> Runoff <input type="checkbox"/> Other (specify) _____ <input type="checkbox"/> July 15 <input type="checkbox"/> Exceeded \$500 limit _____ <input type="checkbox"/> 30th day before election <input type="checkbox"/> 15th day after treasurer appointment (officeholder only) <input type="checkbox"/> 8th day before election <input type="checkbox"/> Final report			Date Hand-delivered or Date Postmarked	
				Receipt # Amount \$	
5 ORIGINAL PERIOD COVERED	Month Day Year THROUGH Month Day Year			Date Processed	
				Date Imaged	
6 EXPLANATION OF CORRECTION					
<div>7 AFFIDAVIT</div> <div style="text-align: center; margin-top: 20px;">I swear, or affirm, under penalty of perjury, that this corrected report is true and correct.</div> <div style="text-align: center; margin-top: 20px;">Check ONLY if applicable:</div> <div style="margin-top: 20px;"><input type="checkbox"/> Semiannual reports: I swear, or affirm, that the original report was made in good faith and without an intent to mislead or to misrepresent the information contained in the report.</div> <div style="margin-top: 20px;"><input type="checkbox"/> Other reports: I swear, or affirm, that I am filing this corrected report not later than the 14th business day after the date I learned that the report as originally filed is inaccurate or incomplete. I swear, or affirm, that any error or omission in the report as originally filed was made in good faith.</div> <div style="margin-top: 40px; display: flex; justify-content: space-between;"><div>AFFIX NOTARY STAMP / SEAL ABOVE</div><div>_____ Signature of Candidate or Officeholder</div></div> <div style="margin-top: 20px;">Sworn to and subscribed before me, by the said _____, this the _____ day of _____, 20_____, to certify which, witness my hand and seal of office.</div> <div style="margin-top: 20px; display: flex; justify-content: space-between;"><div>_____ Signature of officer administering oath</div><div>_____ Printed name of officer administering oath</div><div>_____ Title of officer administering oath</div></div>					
Remember To Attach Any Part Of The Campaign Finance Report Form Needed To Report And Explain Corrections					

CORRECTION/AMENDMENT AFFIDAVIT FOR CANDIDATE/OFFICEHOLDER

All Reports: A filer who files a corrected report must submit a correction affidavit. The affidavit must identify the information that has changed.

Reports filed with Texas Ethics Commission: A corrected report (other than a report due 8 days before an election or a special report near election) filed with the Ethics Commission after its due date is not considered late for purposes of late-filing penalties if: (1) any error or omission in the report as originally filed was made in good faith, and (2) the person filing the report files a corrected report and a good-faith affidavit not later than the 14th business day after the date the person learns that the report as originally filed is inaccurate or incomplete.

Semiannual Reports: Effective September 1, 2011, a semiannual report (due January 15 or July 15) that is amended/corrected before the eighth day after the original report was filed is considered to have been filed on the date the original report was filed. A semiannual report that is amended/corrected on or after the eighth day after the original report was filed is considered to have been filed on the date the original report was filed if: (1) the amendment/correction is made before any complaint is filed with regard to the subject of the amendment/correction; and (2) the original report was made in good faith and without intent to mislead or misrepresent the information contained in the report.

Attach additional pages as necessary.

INSTRUCTIONS FOR COMPLETING THIS FORM

The following numbers correspond to the numbered boxes on the other side.

1. Filer ID. If you file with the Ethics Commission, you should have received a letter acknowledging receipt of your campaign treasurer appointment and assigning you a Filer ID. Put that number in this box. If you do not file with the Ethics Commission, skip this box.

2. Total Pages Filed. After completing this form and any attachments, count the number of pages. Enter that number in this box. Each side of a two-sided form counts as a page. In other words, this form is two pages.

3. Candidate/Officeholder Name. Put your full name here. Enter your name in the same way as on the report you are correcting.

4. Original Report Type. Mark the type of report you are correcting.

5. Original Period Covered. Enter the period covered by the report you are correcting. The year is important because filers sometimes correct reports years after filing the original.

6. Explanation of Correction. Attach any part of the campaign finance report form needed to report and explain corrections. Explain why there was an error on the original report. Also explain what information is being corrected and how the new information is different from the information on the original report. (Use additional pages if you need more space.) You may also use this area to request a waiver or reduction of a late-filing penalty and state the basis of your request.

7. Affidavit. Read the affidavit before signing. You must sign the affidavit in the presence of an individual authorized to take oaths. If signed before a notary public, the affidavit must include the notary's signature and seal.

TEXAS ETHICS COMMISSION

CANDIDATE/OFFICEHOLDER CAMPAIGN FINANCE REPORT

FORM C/OH – INSTRUCTION GUIDE



Revised January 1, 2017

**Texas Ethics Commission, P.O. Box 12070, Austin, Texas 78711
(512) 463-5800 FAX (512) 463-5777 TDD 1-800-735-2989**

Visit us at <https://www.ethics.state.tx.us> on the Internet.

AN EQUAL OPPORTUNITY EMPLOYER

The Texas Ethics Commission does not discriminate on the basis of race, color, national origin, sex, religion, age or disability in employment or the provision of services.

FORM C/OH – INSTRUCTION GUIDE

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These instructions are for the CANDIDATE/OFFICEHOLDER CAMPAIGN FINANCE REPORT (Form C/OH) and all schedules that are filed with it. FORM C/OH includes a three page cover sheet and Schedules A1, A2, B, E, F1, F2, F3, F4, G, H, I, K, and T. Candidates or officeholders filing a Final Report should also attach Form C/OH-FR. All filers must submit the cover sheet, but only the schedules on which there is information to report need to be included.

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GENERAL INSTRUCTIONS

These general instructions apply to all forms required to be filed under title 15, Texas Election Code.

ELECTRONIC FILING

All persons filing campaign finance reports with the Texas Ethics Commission (Commission) are required to file those reports electronically unless the person is eligible to claim an exemption. Please check the Commission's website at <https://www.ethics.state.tx.us> for information about exemptions from the electronic filing requirement.

FILLING OUT THE FORMS

All reports filed on paper must be either handwritten in ink or typewritten. If you complete the report by hand, please print everything other than your signature.

If you are filing with the Commission, you may use your own computer-generated form if it provides for disclosure of all the information required on the Commission's form and if it is *substantially identical* in paper size, color, layout, and format. A substitute form that is substantially identical to the Commission's prescribed form may be submitted for pre-approval by the Commission's executive director.

Always file the cover sheet of the campaign finance report form. You need to file only those schedules on which you have information to report.

You must keep an exact copy of each report filed and all records necessary to complete the report for at least two (2) years after the deadline for filing the report.

If you have questions, please call our office at (512) 463-5800.

TEXAS ETHICS COMMISSION GUIDES

The Commission publishes a Campaign Finance Guide for each type of filer. These guides are designed to explain your responsibilities as a filer. The Commission encourages you to read the appropriate guide before you begin accepting political contributions or making or authorizing political expenditures.

PHOTOCOPIES OF FORMS

You may use photocopies of Commission forms. For example, if the space provided on Schedule A1 is insufficient, you may make copies of a blank Schedule A1 form and attach more pages as needed.

FILING DATE

For most reporting deadlines, a document is considered timely filed if it is properly addressed with postage or handling charges prepaid and bears a postmark or receipt mark of a common or contract carrier indicating a time on or before the deadline.

Pre-Election Reports: A report due 30 days before an election and a report due 8 days before an election must be *received* by the appropriate filing authority no later than the report due date.

If you are filing with the Commission, please address your reports and correspondence to the Texas Ethics Commission, P.O. Box 12070, Austin, Texas 78711-2070. For hand-deliveries, the Commission's street address is 201 East 14th Street, Sam Houston Building, 10th Floor, Austin, Texas 78701.

If the due date for a report falls on a Saturday, Sunday, or legal holiday, the report is due on the next regular business day.

FORM C/OH: CANDIDATE/OFFICEHOLDER CAMPAIGN FINANCE REPORT

These instructions are for the CANDIDATE/OFFICEHOLDER CAMPAIGN FINANCE REPORT (Form C/OH). A complete report includes the Form C/OH cover sheet, and any of the following schedules on which there is information to report: A1, A2, B, E, F1, F2, F3, F4, G, H, I, K, and T. A complete Final Report must also include Form C/OH-FR.

Note: Judicial candidates and officeholders must use a different form, Form JC/OH.

GENERAL INFORMATION

Use Form C/OH for filing the following reports:

- Semiannual reports (January 15 and July 15)
- Pre-election reports (30th day before election, 8th day before election)
- Runoff report (8th day before runoff election)
- Exceeded \$500 limit report
- 15th day after officeholder campaign treasurer appointment
- Final Report

See the instructions for sections 9 and 10 of the Cover Sheet for help in deciding which reports you are required to file.

OFFICEHOLDER ACTIVITY

An officeholder may make officeholder expenditures and accept officeholder contributions without having a campaign treasurer appointment on file. However, an officeholder must have a campaign treasurer appointment on file before the officeholder may make campaign expenditures or accept campaign contributions.

DUTIES OF CANDIDATE OR OFFICEHOLDER

As a candidate or officeholder, you alone, not the campaign treasurer, are responsible for filing this form. Failing to file a report on time or filing an incomplete report may subject you to criminal or civil penalties.

DUTIES OF CAMPAIGN TREASURER

State law does not impose any reporting or record-keeping obligations on a candidate's campaign treasurer.

WHERE TO FILE

This form is filed with the same filing authority with which you were required to file your Campaign Treasurer Appointment (Form CTA). If you are an officeholder who does not have a campaign treasurer appointment on file, file your reports with the same authority with which a candidate for your office must file the campaign treasurer appointment.

FILING A FINAL REPORT

For filing purposes, you are a “candidate” as long as you have an appointment of campaign treasurer on file. If you do not expect to accept any further campaign contributions or to make any further campaign expenditures, you may file a Final Report of contributions and expenditures. A Final Report terminates your appointment of campaign treasurer and relieves you of the obligation of filing further reports *as a candidate*. If you are an officeholder at the time of filing a Final Report, you may be required to file semiannual reports of contributions and expenditures as an officeholder. The only officeholders who are not required to file semiannual reports are officeholders who file locally, who do not have a campaign treasurer appointment on file, *and* who do not exceed \$500 in contributions or expenditures during the reporting period.

If you are not an officeholder at the time of filing a Final Report *and* if you have surplus funds or retain assets purchased with political funds, you will be required to file annual reports of Unexpended Contributions. (*See instructions for Form C/OH-UC.*)

To file a Final Report, you must complete the “C/OH CAMPAIGN FINANCE REPORT” (Form C/OH), check the “final” box in section 9 on the Cover Sheet, and complete and attach the “C/OH REPORT: DESIGNATION OF FINAL REPORT” (Form C/OH- FR).

COMPLETING THE COVER SHEET

Each numbered item in these instructions corresponds to the same numbered item on the form.

PAGE 1

- 1. FILER ID:** If you are filing with the Commission, you were assigned a filer identification number when you filed your initial campaign treasurer appointment. You should have received a letter acknowledging receipt of the form and informing you of your Filer ID. Enter this number wherever you see “FILER ID.” If you do not file with the Commission, you are not required to enter a Filer ID.
- 2. TOTAL PAGES FILED:** After you have completed the form, count the total number of pages of this form and any attached schedules. Enter that number where indicated on the top line of page 1 only. Each side of a two-sided form counts as one page.
- 3. CANDIDATE/OFFICEHOLDER NAME:** Enter your full name, including nicknames and suffixes (e.g., Sr., Jr., III), if applicable.
- 4. CANDIDATE/OFFICEHOLDER MAILING ADDRESS:** Enter your complete mailing address. If your mailing address has changed since you last gave notice of your address, check the “Change of Address” box.
- 5. CANDIDATE/OFFICEHOLDER PHONE:** Enter your phone number including the area code, and your extension, if applicable.

Sections 6 - 8 pertain to a candidate’s campaign treasurer. If you are an officeholder who does not have a campaign treasurer appointment on file, skip these sections.

- 6. CAMPAIGN TREASURER NAME:** Enter the full name of your campaign treasurer, including nicknames and suffixes (e.g., Sr., Jr., III), if applicable.
- 7. CAMPAIGN TREASURER ADDRESS:** Enter the complete address of your campaign treasurer.
- 8. CAMPAIGN TREASURER PHONE:** Enter the phone number of your campaign treasurer including the area code, and the extension, if applicable.
- 9. REPORT TYPE:** Check the box that describes the type of report you are filing, according to the descriptions below. See the instructions for section 10 for the periods covered by each type of report.

January 15 Report: All candidates and most officeholders must file a semiannual report by January 15. The only officeholders who are not required to file this report are officeholders who file locally, who do not have a campaign treasurer appointment on file, *and* who do not exceed \$500 in contributions or expenditures during the reporting period.

All candidates and officeholders who file with the Commission must file this report by midnight Central Time on the January 15 report due date. All candidates and officeholders who file locally must file this report by 5 p.m. on the January 15 report due date.

Note: Anyone who has a campaign treasurer appointment (Form CTA) on file must file semiannual reports, even after an election has ended and even if the filer lost the election. To end this semiannual filing requirement, the filer must cease campaign activity and file a Final Report. (See “Final Report” below for more information.)

July 15 Report: All candidates and most officeholders must file a semiannual report by July 15. The only officeholders who are not required to file this report are officeholders who file locally, who do not have a campaign treasurer appointment on file, *and* who do not exceed \$500 in contributions or expenditures during the reporting period.

See “January 15 Report” above for more information on filing requirements and deadlines for semiannual reports.

30th Day Before Election Report: Opposed candidates in an election who did not choose the modified reporting schedule must file this pre-election report. If an opposed candidate chose modified reporting, but then exceeded a threshold before the 30th day before the election, the candidate must file this report.

The report is due no later than 30 days before the election. For all candidates and officeholders who file with the Commission, this report must be received by the Commission no later than midnight Central Time on the report due date. For all candidates and officeholders who file locally, this report must be received by the filing authority no later than 5 p.m. on the report due date.

You are an "opposed" candidate if you have an opponent, including a minor party candidate, whose name is printed on the ballot. If your only opposition is a write-in candidate, you are not considered opposed for filing purposes. If you are a write-in candidate, you are an "opposed" candidate subject to the reporting requirements if you accept political contributions or make political expenditures. Candidates who are unopposed in an election are not required to file pre-election reports for that election.

8th Day Before Election Report: Opposed candidates in an election who did not choose the modified reporting schedule must file this pre-election report. If an opposed candidate chose modified reporting but then exceeded a threshold before the 8th day before the election, the candidate must file this report.

The report is due no later than 8 days before the election. For all candidates and officeholders who file with the Commission, this report must be received by the Commission no later than midnight Central Time on the report due date. For all candidates and officeholders who file locally, this report must be received by the filing authority no later than 5 p.m. on the report due date.

See “30th Day Before Election Report” above for the definition of an opposed candidate.

Runoff Report: Opposed candidates who are participating in a runoff election and who did not choose the modified reporting schedule must file this runoff report. The report is due no later than 8 days before the runoff election. For all candidates and officeholders who file with Commission, this report must be received by the Commission no later than midnight Central Time on the report due date. For all candidates and officeholders who file locally, this report must be received by the filing authority no later than 5 p.m. on the report due date.

See “30th Day Before Election Report” above for the definition of an opposed candidate.

Exceeded \$500 Limit Report: Candidates who chose to file under the modified reporting schedule but then, after the 30th day before the election, exceeded \$500 in contributions or \$500 in expenditures in connection with the election must file this Exceeded \$500 Limit report within 48 hours after exceeding the \$500 limit. The candidate must meet this deadline even if it falls on a weekend or a holiday.

15th Day After Campaign Treasurer Appointment Report (Officeholders Only): An officeholder must file this report if he or she appoints a campaign treasurer after a period of not having a campaign treasurer appointment (Form CTA) on file. For all officeholders who file with Commission, this report is due no later than midnight Central Time on the 15th day after an officeholder files Form CTA with the Commission. For all officeholders who file locally, this report is due no later than 5 p.m. on the 15th day after an officeholder files Form CTA with the filing authority. It is not required of officeholders who are merely changing their campaign treasurer. It is not required of an officeholder who files locally if the officeholder did not exceed \$500 in either contributions or expenditures during the period covered by the report. Candidates who are not officeholders do not file this report.

Final Report: A person who has a campaign treasurer appointment on file may file this report when he or she does not expect to accept any further campaign contributions or make or authorize any further campaign expenditures. There is not a fixed deadline for this report. This report must have a completed “C/OH REPORT: DESIGNATION OF FINAL REPORT” (Form C/OH-FR) attached.

A candidate must have a CTA on file to accept campaign contributions or make campaign expenditures, including contributions intended to offset campaign debts or expenditures made to pay campaign debts. A candidate who intends to continue campaign activity should not file a Final Report.

A Final Report terminates a candidate’s CTA and relieves the candidate from any additional filing obligations as a candidate. Officeholders who file a Final Report will still be subject to the filing requirements applicable to officeholders. A person who is not an officeholder but who has surplus political funds or assets after filing a Final Report will be required to file annual Unexpended Contribution reports. (See “Form C/OH-FR: Designation of Final Report” for more information.) A candidate or officeholder who does not have a CTA on file may still be required to file a personal financial statement (PFS).

Filing a Final Report does not relieve a candidate of responsibility for any delinquent reports or outstanding civil penalties.

Daily Pre-Election Report of Contributions: A candidate or officeholder who files with the Commission may be required to file daily pre-election reports disclosing contributions during the period beginning the 9th day before an election and ending at 12 noon on the day before the election. This information can be disclosed on Form C/OH-T. For more information, please see the instructions for Form C/OH-T.

Legislative Special Session Report: A candidate or officeholder who files with the Commission and who accepts a political contribution during the period beginning on the date the governor signs the proclamation calling a special legislative session and continuing through the date of final adjournment is required to file a report after a special session of the legislature. This information can be disclosed on Form C/OH-SS. For more information, please see the instructions for Form C/OH-SS.

- 10. PERIOD COVERED:** A reporting period includes the start date and the end date. The *due date* for filing will generally be *after* the end of the period. Generally, a report picks up where the last report left off, and there should be no gaps or overlapping periods. The exceptions are Daily Pre-election reports, which do create overlaps because you are required to report the activity twice.

First Reports: If this is the first report of contributions and expenditures that you have filed, the beginning date will depend on the date your campaign treasurer appointment (Form CTA) was filed or the date you took office.

- If you are a candidate (a person who has filed a Form CTA) and you are filing your first report, the start date will be the date your Form CTA was filed.
- If you are an officeholder who was appointed to an elective office and who did not have a Form CTA on file at the time of the appointment, the start date for your first report will be the date you took office.

January 15th Semiannual Report: The start date is July 1 of the previous year or the day after the last day covered by your last required report, whichever is later. If this is the first report you have filed, please see the “First Reports” section above. The end date is December 31 of the previous year.

July 15th Semiannual Report: The start date is January 1 or the day after the last day covered by your last required report, whichever is later. If this is the first report you have filed, please see the “First Reports” section above. The end date is June 30.

30th Day Before Election Report: The start date is the day after the last day covered by your last required report. If this is the first report you have filed, please see the “First Reports” section above. The end date is the 40th day before the election. This report is not required for unopposed candidates or candidates who are filing under the modified reporting schedule.

8th Day Before Election Report: The start date is the 39th day before the election if you filed a 30th Day Before Election Report. If you did not file the 30th Day Before Election

Report, the day after the last day covered by your last required report is the start date. If this is the first report you have filed, please see the “First Reports” section above. The end date is the 10th day before the election. This report is not required for unopposed candidates or candidates who are filing under the modified reporting schedule.

Runoff Report: The start date is the 9th day before the main election if you filed an 8th Day Before Election Report. Otherwise, the start date is the day after the last day covered by your last required report or the day you appointed a campaign treasurer, whichever is later. The end date is the 10th day before the runoff election. This report is not required for candidates who are filing under the modified reporting schedule.

Exceeded \$500 Limit Report: The start date for the report is either the day you appointed your campaign treasurer or the day after the last day covered by your last required report, whichever is later. The end date is the day you exceeded the \$500 limit for contributions or expenditures.

15th Day After Campaign Treasurer Appointment Report (Officeholders Only): The start date is either the day after the last day covered by your last required report or the day you began serving an appointment to elective office. The end date is the day before the campaign treasurer appointment was filed. This report is due no later than 15 days after the campaign treasurer appointment was filed.

Final Report: The start date is the day after the last day covered by your last required report. The end date is the day the final report is filed.

If you are an officeholder without a campaign treasurer appointment on file, or if you have a campaign treasurer appointment on file but you are not a candidate in an upcoming election and were not a candidate in a recent election, you may skip Section 11.

- 11. ELECTION:** If you are a candidate in an upcoming election or were a candidate in a recently held election, provide the following information concerning the upcoming or recent election.

Election Date: Enter the month, day, and year of the election for which this report is filed, if known.

Candidate in an Upcoming Election: If the political activity in the report primarily pertains to an upcoming election, provide the date of the upcoming election in which you intend to participate as a candidate that most immediately follows the deadline for this report.

Candidate in a Recently Held Election: If the political activity in this report primarily pertains to a recently held election, provide the date of the recently held election in which you participated as a candidate that most immediately precedes the deadline for this report.

Election Type: Check the box next to the type of election that most accurately describes the election for which this report is filed.

Primary: An election held by a political party to select its nominees for office.

Runoff: An election held if no candidate for a particular office receives the vote necessary to be elected in an election requiring a majority vote.

General: An election, other than a primary election, that regularly occurs at fixed dates.

Special: An election that is neither a general election nor a primary election nor a runoff election.

Other: If none of the listed election types apply, check “Other” and provide your own description of the election for which the report is filed.

- 12. OFFICE HELD:** If you are an officeholder, please enter the office you currently hold. Include the district, precinct, or other designation for the office, if applicable.
- 13. OFFICE SOUGHT:** If you are a candidate in an upcoming election, please enter the office you seek. If you were a candidate in a recently held election, but were unsuccessful or are not currently an officeholder, please enter the office you sought during the election that most immediately precedes the deadline for this report. Include the district, precinct, or other designation for the office, if applicable.

PAGE 2

- 14. C/OH (CANDIDATE/OFFICEHOLDER) NAME:** Enter your full name.
- 15. FILER ID:** See instructions for section 1.
- 16. NOTICE FROM POLITICAL COMMITTEE(S):** Complete this section if you received notice from a political committee that it accepted political contributions or made political expenditures on your behalf. You are required to disclose the receipt of such a notice in the report covering the period in which you receive the notice. If you have not received such notice, you may skip this section.

The political committee is required to include in the notice the full name and address of the committee, the full name and address of the committee’s campaign treasurer, and a statement indicating whether the committee is a general-purpose committee or a specific-purpose committee. If the notice also describes the expenditure, do not include the description in this section.

“Additional Pages” box: If you received notice from more than one committee, check this box and attach an additional page listing the names and addresses of the other committees and of their campaign treasurers.

Committee Type:

“General” box: Check this box if the notice is from a general-purpose committee.

“Specific” box: Check this box if the notice is from a specific-purpose committee.

Committee Name: Enter the full name of the committee as reported in the notice.

Committee Address: Enter the address of the committee as reported in the notice.

Committee Campaign Treasurer Name: Enter the name of the committee’s campaign treasurer as reported in the notice.

Committee Campaign Treasurer Address: Enter the address of the committee’s campaign treasurer as reported in the notice.

17. TOTALS: Complete this section only after you have completed all applicable schedules.

Line 1- Total Political Contributions of \$50 or Less, Unless Itemized: Enter the total of all unitemized contributions (other than pledges or loans or guarantees of loans) of \$50 or less. Do not include any contributions itemized on Schedules A1 or A2. Enter a “0” if you did not receive any unitemized contributions during the period covered.

On Schedules A1 and A2, you were required to itemize political contributions that totaled more than \$50 from one person. You also had the option of itemizing contributions of \$50 or less from one person. Do not include any itemized contributions in the total entered on line 1, regardless of amount.

Line 2- Total Political Contributions: Add the total contributions listed on Schedules A1 and A2 to the amount you entered on line 1. Enter that total on line 2. Enter a “0” if you did not receive any contributions during the period covered.

Line 3- Total Political Expenditures of \$100 or Less, Unless Itemized: Enter the total of all unitemized political expenditures of \$100 or less. Do not include any expenditures itemized on Schedules F1, F2, F3, F4, G, or H. Enter a “0” if you did not make any unitemized expenditures during the period covered.

On Schedule F1, you were required to itemize political expenditures that totaled more than \$100 to one payee. You also had the option of itemizing expenditures totaling \$100 or less to one payee. Do not include any expenditures itemized on Schedule F1 in the total entered on line 3, regardless of amount.

On Schedule F2, you were required to itemize incurred but not yet paid political expenditures that totaled more than \$100 to one payee. You also had the option of itemizing incurred political expenditures totaling \$100 or less to one payee. Do not

include any political or non-political expenditures itemized on Schedule F2 in the total entered on line 3, regardless of amount.

On Schedule F4, you were required to itemize political expenditures made by a credit card that totaled more than \$100 to one payee. You also had the option of itemizing political expenditures totaling \$100 or less to one payee. Do not include any political or non-political expenditures itemized on Schedule F4 in the total entered on line 3, regardless of amount.

On Schedule G, you were required to itemize political expenditures from personal funds if you intend to seek reimbursement from political contributions. Do not include any expenditures itemized on Schedule G in the total entered on line 3, regardless of amount.

On Schedule H, you were required to itemize payments from political contributions made to certain businesses. Do not include any expenditures itemized on Schedule H in the total entered on line 3, regardless of amount.

Line 4- Total Political Expenditures: Add the following:

- (a) the total expenditures itemized on Schedule F1;
- (b) the total political expenditures itemized on Schedule F2;
- (c) the total political expenditures itemized on Schedule F4;
- (d) the total political expenditures itemized on Schedule G;
- (e) the total political expenditures itemized on Schedule H; and
- (f) the amount you entered on line 3.

Enter that total on line 4.

Enter a “0” if you did not make any expenditures during the period covered.

Line 5- Total Political Contributions Maintained: Enter the total amount of political contributions, including interest or other income on those contributions, maintained as of the last day of the reporting period. Enter “0” if you do not maintain political contributions, including interest or other income on those contributions, as of the last day of the reporting period. This is different from the total contributions reported on line 2. Only contributions accepted during the period covered by the report are entered on line 2.

The law requires you to disclose the total amount of political contributions accepted, including interest or other income on those contributions, maintained in one or more accounts in which political contributions are deposited as of the last day of the reporting period.

The “total amount of political contributions maintained” includes the total amount of political contributions maintained in one or more accounts, including the balance on deposit in banks, savings and loan institutions and other depository institutions; the present value of any investments that can be readily converted to cash, such as

certificates of deposit, money market accounts, stocks, bonds, treasury bills, etc.; and the balance of political contributions accepted and held in any online fundraising account over which the filer can exercise control by making a withdrawal, expenditure, or transfer.

The total amount of political contributions maintained does **not** include personal funds that the filer intends to use for political expenditures, *unless* the personal funds have been disclosed as a loan to your campaign and deposited into an account in which political contributions are held as permitted by section 253.0351(c) of the Election Code. Any unexpended funds from such a loan are required to be included in the total amount of political contributions maintained as of the last day of the reporting period. Note: Personal funds deposited in an account in which political contributions are held are subject to the personal use restrictions.

Line 6- Total Principal Amount of All Outstanding Loans: Enter the aggregate outstanding principal amount of all loans accepted for campaign or officeholder purposes as of the last day of the reporting period. Enter a “0” if you did not accept any loans during the period covered and have no outstanding loans as of the last day of the reporting period. This is different from the information reported on Schedule E. This line must include outstanding principal of loans made in this reporting period as well as outstanding principal of loans made previously.

- 18. AFFIDAVIT:** Complete this section only after you have completed all applicable sections and schedules. You must always sign a report that you file. You must complete this section even if you have no schedules to attach. *Only the candidate or officeholder filing the report may sign the affidavit.*

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- 19. C/OH (CANDIDATE/OFFICEHOLDER) NAME:** Enter your full name.
- 20. FILER ID:** See instructions for section 1.
- 21. SCHEDULE SUBTOTALS:** Complete this section only after you have completed all applicable schedules.

Check the appropriate boxes to indicate which schedules are attached to your report. If a schedule is not included in the report, leave the check box blank.

Line 1- Schedule A1: Add the total amount of contributions itemized on Schedule A1 to the amount of unitemized monetary political contributions accepted during the period covered. Enter that total on line 1. Enter a “0” if you did not accept any contributions during the period covered.

Line 2- Schedule A2: Add the total amount of non-monetary in-kind contributions itemized on Schedule A2 to the amount of unitemized non-monetary in-kind contributions accepted during the period covered. Enter that total on line 2. Enter a “0”

if you did not accept any non-monetary in-kind contributions during the period covered.

Line 3- Schedule B: Add the total amount of pledged contributions itemized on Schedule B to the amount of unitemized pledged contributions accepted during the period covered. Enter that total on line 3. Enter a “0” if you did not accept any pledged contributions during the period covered.

Line 4- Schedule E: Add the total amount of loans itemized on Schedule E to the amount of unitemized loans accepted during the period covered. Enter that total on line 4. Enter a “0” if you did not accept any loans during the period covered.

Line 5- Schedule F1: Add the total amount of political expenditures from political contributions itemized on Schedule F1 to the amount of unitemized political expenditures from political contributions made during the period covered. Enter that total on line 5. Enter a “0” if you did not make any political expenditures from political contributions during the period covered.

Line 6- Schedule F2: Add the total amount of unpaid incurred obligations itemized on Schedule F2 to the amount of unitemized unpaid obligations incurred during the period covered. Enter that total on line 6. Enter a “0” if you did not incur any unpaid obligations during the period covered.

Line 7- Schedule F3: Enter the total amount of investments purchased from political contributions itemized on Schedule F3. Enter a “0” if you did not purchase any investments from political contributions during the period covered.

Line 8- Schedule F4: Add the total amount of expenditures made by a credit card itemized on Schedule F4 to the amount of unitemized expenditures made by a credit card during the period covered. Enter that total on line 8. Enter a “0” if you did not make any expenditures by credit card during the period covered.

Line 9- Schedule G: Add the total amount of political expenditures from personal funds itemized on Schedule G to the amount of unitemized political expenditures from personal funds made during the period covered. Enter that total on line 9. Enter a “0” if you did not make any political expenditures from personal funds during the period covered.

Line 10- Schedule H: Enter the total amount of payments from political contributions to a business of the candidate or officeholder itemized on Schedule H. Enter a “0” if you did not make any payments from political contributions to a business of the candidate or officeholder during the period covered.

Line 11- Schedule I: Enter the total amount of non-political expenditures from political contributions itemized on Schedule I. Enter a “0” if you did not make any non-political expenditures from political contributions during the period covered.

Line 12- Schedule K: Enter the total amount of interests, credits, gains, refunds, and contributions returned to the filer itemized on Schedule K. Enter a “0” if you did not have any such activity during the period covered.

SCHEDULE A1: MONETARY POLITICAL CONTRIBUTIONS

These instructions are for candidates and officeholders using SCHEDULE A1: MONETARY POLITICAL CONTRIBUTIONS.

Use this schedule to disclose information about monetary campaign and officeholder contributions accepted during the reporting period. Do not enter on this schedule information on non-monetary, in-kind contributions, pledges, loans, or guarantees of loans. Once you actually receive pledged money, it must be reported on Schedule A1. (Report non-monetary, in-kind contributions on Schedule A2; report pledges on Schedule B; report loans and guarantees of loans on Schedule E.)

Itemization: You must enter incoming monetary contributions that exceed \$50 from one person during a reporting period on this schedule. If you accepted two or more contributions from the same person, the total of which exceeds \$50, enter each contribution separately. Although you are not required to do so, you may also report contributions from one person that do not exceed \$50 in the period on this schedule. If you do not itemize contributions of \$50 and less on this schedule, you must total all such contributions and report them on the Cover Sheet, page 2, section 17, line 1.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. **TOTAL PAGES SCHEDULE A1:** After you have completed Schedule A1, count the total number of pages. Each side of a two-sided form counts as one page.
2. **FILER NAME:** Enter your full name.
3. **FILER ID:** See instructions for Cover Sheet, page 1, section 1.
4. **DATE:** Enter the date you *accepted* the contribution. Accepting a contribution is different from receiving a contribution. You accept a contribution when you decide to accept it rather than reject it. This may or may not be the same day that you receive the contribution.
5. **FULL NAME OF CONTRIBUTOR:** Enter the full name of the contributor. If the contributor is an individual, enter the full first and last name, and suffix (Jr., III, etc.) if applicable. If the contributor is an entity, enter the full name of the entity.

“Out-of-State PAC” box: If the contributor is an out-of-state political committee, check the box. Certain restrictions apply to contributions from out-of-state PACS. The fact that a political committee has a mailing address outside of Texas does not mean that the committee is an out-of-state PAC for purposes of these restrictions. A political committee that has a campaign treasurer appointment on file in Texas is not an out-of-state PAC. A political committee that makes most of its political expenditures outside of Texas may be an out-of-state PAC. A political committee must determine if it is an out-of-state PAC.

If the contributor is an out-of-state political committee from which you accepted more than \$500 in the reporting period (including pledges or loans from sources

other than financial institutions that have been in business for more than a year), you must include one of the following with your report:

- a written statement, certified by an officer of the out-of-state political committee, listing the full name and address of each person who contributed more than \$100 to the out-of-state political committee during the 12 months immediately preceding the contribution; *or*
- a copy of the out-of-state political committee's statement of organization filed as required by law with the FEC and certified by an officer of the out-of-state committee.

If the contributor is an out-of-state political committee from which you accepted \$500 or less (including pledges) during the reporting period, you must include one of the following with your report:

- a copy of the out-of-state political committee's statement of organization filed as required by law with the FEC and certified by an officer of the out-of-state committee; *or*
- a document listing the committee's name, address and phone number; the name of the person appointing the committee's campaign treasurer; and the name, address and phone number of the committee's campaign treasurer.

"ID #" Line (Electronic Filing Only): If you are filing your report electronically, you may enter in this field the out-of-state committee's Federal Election Commission (FEC) identification number. If you do not have an FEC # for the out-of-state PAC or are not filing electronically with the Commission, you must provide other documentation as explained above.

6. CONTRIBUTOR ADDRESS: Enter the complete address of the contributor.

7. AMOUNT OF CONTRIBUTION: Enter the amount of the contribution.

8. PRINCIPAL OCCUPATION OR JOB TITLE: Candidates for and holders of statewide offices in the executive branch and candidates for and holders of legislative offices must disclose the principal occupation or job title of an individual from whom the candidate or officeholder has accepted contributions (including pledges) of \$500 or more during the reporting period. In other circumstances, filers are not required to report this information but may do so.

9. EMPLOYER: Candidates for and holders of statewide offices in the executive branch and candidates for and holders of legislative offices must disclose the employer of an individual from whom the candidate or officeholder has accepted contributions (including pledges) of \$500 or more during the reporting period. In other circumstances, filers are not required to report this information but may do so.

SCHEDULE A2: NON-MONETARY (IN-KIND) POLITICAL CONTRIBUTIONS

These instructions are for candidates and officeholders using SCHEDULE A2: NON-MONETARY (IN-KIND) POLITICAL CONTRIBUTIONS.

Use this schedule to disclose information about non-monetary, in-kind campaign and officeholder contributions received during the reporting period. An in-kind contribution is a contribution of goods, services, or any other thing of value ***other than money*** that is given to your campaign. You are not required to include contributions of an individual's personal services or travel if the individual receives no compensation from any source for the services. Do not enter on this schedule information on monetary political contributions, pledges, loans, or guarantees of loans. Once you actually receive a pledged in-kind contribution, it must be reported on Schedule A2. (Report monetary contributions on Schedule A1; report pledges on Schedule B; report loans and guarantees of loans on Schedule E.)

Itemization: You must enter non-monetary (in-kind) contributions of goods, services, or other things of value that exceed \$50 from one person during a reporting period on this schedule. If you accepted two or more non-monetary contributions from the same person, the total of which exceeds \$50, enter each contribution separately. Although you are not required to do so, you may also report contributions from one person that do not exceed \$50 in the period on this schedule. If you do not itemize contributions of \$50 and less on this schedule, you must total all such contributions and report them on the Cover Sheet, page 2, section 17, line 1.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. TOTAL PAGES SCHEDULE A2:** After you have completed Schedule A2, count the total number of pages. Each side of a two-sided form counts as one page.
- 2. FILER NAME:** Enter your full name.
- 3. FILER ID:** See instructions for Cover Sheet, page 1, section 1.
- 4. TOTAL OF UNITEMIZED IN-KIND POLITICAL CONTRIBUTIONS:** Enter the total amount of in-kind political contributions of \$50 or less that you accepted during the period covered that are not itemized on this schedule. If you choose to itemize an in-kind contribution of \$50 or less on this schedule, do not include it in this total.
- 5. DATE:** See instructions for Schedule A1, section 4.
- 6. FULL NAME OF CONTRIBUTOR:** See instructions for Schedule A1, section 5.

 “Out-of-State PAC” box: See instructions for Schedule A1, section 5.
- 7. CONTRIBUTOR ADDRESS:** Enter the complete address of the contributor.
- 8. AMOUNT OF CONTRIBUTION:** Enter the fair market value of the in-kind contribution.

- 9. IN-KIND CONTRIBUTION DESCRIPTION:** Enter a description of the contribution. The description should be sufficiently detailed to allow a person reviewing your report to understand what was contributed.

“Travel Outside of Texas” box: If the contribution was for travel outside of Texas, please check the box and report this information on Schedule T.

- 10. PRINCIPAL OCCUPATION OR JOB TITLE:** See instructions for Schedule A1, section 8.

- 11. EMPLOYER:** See instructions for Schedule A1, section 9.

Sections 12-16 pertain to judicial candidates and officeholders only. Do not complete these sections. If you are a judicial candidate or officeholder, please use form JC/OH and the corresponding instructions.

SCHEDULE B: PLEDGED CONTRIBUTIONS

These instructions are for candidates and officeholders using SCHEDULE B: PLEDGED CONTRIBUTIONS.

Use this schedule to disclose information about pledges accepted during the reporting period for campaign or officeholder purposes. You are not required to include pledges of an individual's personal services or travel if the individual receives no compensation from any source for the services. Do not enter on this schedule information on contributions actually received, loans, or guarantees of loans. (Report contributions actually received on Schedule A1 or Schedule A2, as applicable; report loans and guarantees of loans on Schedule E.)

If you accept a pledge from a person to give you money, goods, services, or anything of value, that pledge is a reportable contribution and you must include the pledge on this schedule for the report covering the period in which you accept the pledge.

Itemization: You must itemize pledges that exceed \$50 in the aggregate from one person during the reporting period. If you received pledges totaling more than \$50 from one person during the reporting period, you must itemize all of those pledges, even if individual pledges were for \$50 or less. Although you are not required to do so, you may also itemize pledges for \$50 or less from one person. You must also disclose the receipt of the pledged contribution on Schedule A1 (used for monetary contributions) or A2 (used for non-monetary contributions), as applicable, in the reporting period in which you actually receive the pledged money or thing of value. If the pledge is accepted and received in the same reporting period, it is not required to be reported on Schedule B.

Note: See the Campaign Finance Guide for more information on pledges.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. TOTAL PAGES SCHEDULE B:** After you have completed Schedule B, count the total number of pages. Each side of a two-sided form counts as one page.
- 2. FILER NAME:** Enter your full name.
- 3. FILER ID:** See instructions for Cover Sheet, page 1, section 1.
- 4. TOTAL OF UNITEMIZED PLEDGES:** Enter the total amount of pledges that you accepted during the period that did not exceed \$50 in the aggregate per person. Although you are not required to do so, you may also itemize pledges of \$50 or less on this schedule. If you itemize some pledges of \$50 or less, do not include those pledges in the total entered here. If you choose to itemize all pledges of \$50 or less, do not enter a total amount here.
- 5. DATE:** Enter the date you *accepted* the pledge. Accepting a pledge is different from receiving a contribution. You accept a pledge when you decide to accept it rather than reject it.

Pledge accepted and received in different reporting periods: If you accept a pledge in one reporting period and then receive the pledged money or other thing of value in a later reporting period, you will disclose the pledge on this schedule in the reporting period in which you accepted the pledge. You will also disclose the receipt of the pledged money or other thing of value on the appropriate incoming funds schedule (report monetary contributions on Schedule A1; report in-kind contributions on Schedule A2; report loans on Schedule E) in the reporting period in which you received the pledge.

Pledge received in same reporting period as accepted: If you receive a pledge in the same reporting period in which it was accepted, then you will not report the pledge on this schedule. You will only disclose the contribution on the appropriate incoming funds schedule (report monetary contributions on Schedule A1; report in-kind contributions on Schedule A2; report loans on Schedule E). The date of the contribution will be the date you accepted the pledged contribution, regardless of when the pledged contribution was actually received.

Pledge accepted but never received: You will disclose the pledge on this schedule in the reporting period in which you accepted the pledge. If you never actually receive the pledge, it is not necessary to correct your report to delete the pledge.

Example: In June a supporter promises that he will give Juan Garcia \$1,000 in the last week before the November election. Juan accepts his promise. Juan must disclose the pledge on his July 15 report covering the period in which he accepted the pledge. (Note: When he receives the \$1,000, he will disclose it as a monetary contribution on Schedule A1 of the report covering the period in which he received the money. Also, if he never receives the \$1,000, he does not correct/amend his report to delete the entry for the pledge.)

6. FULL NAME OF PLEDGOR: Enter the full name of the person who made the pledge.

“Out-of-State PAC” box: See instructions for Schedule A1, section 5.

7. PLEDGOR ADDRESS: Enter the complete address of the person who made the pledge.

8. AMOUNT OF PLEDGE: Enter the amount of the pledge or the fair market value of any pledged goods or services or other thing of value, as applicable.

9. IN-KIND DESCRIPTION: If the pledge was for goods or services or any other thing of value, enter a description of the pledged goods or services or other thing of value. The description should be sufficiently detailed to allow a person reviewing your report to understand what was pledged.

“Travel Outside of Texas” box: If the pledged contribution was an in-kind contribution for travel outside of Texas, please check the box and report this information on Schedule T.

10. PRINCIPAL OCCUPATION OR JOB TITLE: See instructions for Schedule A1, section 8.

11. EMPLOYER: See instructions for Schedule A1, section 9.

You do not need Schedules C1-4 and D. These schedules are for political committees to report contributions from corporations and labor organizations. Candidates and officeholders are generally prohibited from accepting such contributions.

SCHEDULE E: LOANS

These instructions are for candidates and officeholders using SCHEDULE E: LOANS.

Use this schedule to disclose information about loans and guarantees of loans accepted during the reporting period for campaign or officeholder purposes. This schedule must also be used to disclose deposits of personal funds into an account in which political contributions are held as permitted by section 253.0351(c) of the Election Code. This schedule may also be used to disclose political expenditures from personal funds.

Loans to Your Campaign from Your Personal Funds: You may disclose political expenditures from personal funds as a loan to your campaign on Schedule E. Outgoing political expenditures made from that loan must then be disclosed as if they were made from political contributions. The amount you disclose as a loan from yourself in a reporting period may NOT exceed the amount you actually spent from personal funds in that reporting period. In other words, do not report a \$100,000 loan to your campaign if the amount actually spent from your personal funds in the reporting period was \$5,000. When you reimburse yourself, disclose the reimbursement as an outgoing political expenditure on Schedule F1. The reimbursement may not exceed the amount disclosed as a loan. (You may also disclose political expenditures from personal funds on Schedule G. See the Schedule G instructions below for more information.)

Personal Funds Deposited into a Political Account: If you deposit personal funds in an account in which political contributions are held, you must disclose the deposited amount as a loan on Schedule E and check the box indicating "Personal Funds Deposited into Political Account." Personal funds deposited in an account in which political contributions are held are subject to the personal use restriction. Disclose the outgoing political expenditures made from that loan as if they were made from political contributions. When you reimburse yourself, disclose the reimbursement as an outgoing political expenditure on Schedule F1. The reimbursement may not exceed the amount disclosed as a loan.

Itemization: You must itemize loans (including loans from personal funds) that exceed \$50 that you accepted during the period from one person. If you accepted two or more loans from the same person, the total of which exceeds \$50, itemize each loan separately. Although you are not required to do so, you may also itemize loans that do not exceed \$50.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. TOTAL PAGES SCHEDULE E:** After you have completed Schedule E, count the total number of pages. Each side of a two-sided form counts as one page.
- 2. FILER NAME:** Enter your full name.
- 3. FILER ID:** See instructions for Cover Sheet, page 1, section 1.

- 4. TOTAL OF UNITEMIZED LOANS:** Enter the total amount of loans accepted during the reporting period that did not exceed \$50 in the aggregate per person and were not from financial institutions.

Although you are not required to do so, you may itemize loans of \$50 or less from persons other than financial institutions on this schedule. If you itemize some loans of \$50 or less, do not include those loans in the total you enter here. If you choose to itemize all loans of \$50 or less, enter a “0” here.

- 5. DATE OF LOAN:** Enter the date you *accepted* the loan.
- 6. IS LENDER A FINANCIAL INSTITUTION?:** If you accepted the loan from a corporation that has been legally engaged in the business of making loans for more than one year, circle “Y” for yes. If you accepted the loan from any other source, circle “N” for no. A loan from a corporation that has not been legally engaged in the business of making loans for more than one year is a corporate contribution. Candidates and officeholders may not accept corporate contributions.
- 7. NAME OF LENDER:** Enter the full name of the person or financial institution that made the loan. If the lender is an individual, enter the full first and last name and suffix (Jr., III, et.) if applicable. If the lender is an entity, enter the full name of the entity.

“Out-of-State PAC” box: See instructions for Schedule A1, section 5.

Note: See the Campaign Finance Guide for detailed information on accepting and reporting contributions from out-of-state political committees.

- 8. LENDER ADDRESS:** Enter the complete address of the person or financial institution that made the loan.
- 9. LOAN AMOUNT:** Enter the principal amount of the loan.
- 10. INTEREST RATE:** Enter the interest rate.
- 11. MATURITY DATE:** Enter the maturity date.
- 12. PRINCIPAL OCCUPATION OR JOB TITLE:** Candidates for and holders of statewide offices in the executive branch and candidates for and holders of legislative offices must disclose the principal occupation or job title of each individual from whom the candidate or officeholder has accepted a loan (including a pledge of a loan) of \$500 or more during the reporting period. Other types of filers are not required to report this information but may do so.
- 13. EMPLOYER:** Candidates for and holders of statewide offices in the executive branch and candidates for and holders of legislative offices must disclose the full name of the employer of an individual from whom the candidate or officeholder has accepted a loan (including a pledge of a loan) of \$500 or more during the reporting period. Other types of filers are not required to report this information but may do so.

- 14. DESCRIPTION OF COLLATERAL:** If there is no collateral for the loan, check the “none” box and go to section 15. If there is collateral for the loan, enter a description of the collateral for the loan.
- 15. “Check if personal funds were deposited into political account” box:** Check this box *only if* the loan is a deposit of your personal funds into an account in which political contributions are held as permitted by section 253.0351(c) of the Election Code. Political expenditures made from that loan, and any subsequent expenditures to reimburse the candidate or officeholder, must be reported as if they were made from political contributions. The reimbursement may not exceed the amount reported as a loan. Personal funds deposited in an account in which political contributions are held are subject to the personal use restrictions.
- 16. GUARANTOR INFORMATION:** If there are no guarantors for the loan, check the “Not Applicable” box and go to the next loan. If you have no further loans to report, go to the next applicable schedule.
- A person who guarantees all or part of a loan makes a reportable contribution in the amount of the guarantee. You must report such a contribution on this schedule, and not on the contributions schedule.
- 17. NAME OF GUARANTOR:** Enter the full name of the person guaranteeing the loan. If the guarantor is an individual, enter the full first and last name and suffix (Jr., III, etc.) if applicable. If the guarantor is an entity, enter the full name of the entity.
- 18. GUARANTOR ADDRESS:** Enter the complete address of the guarantor.
- 19. AMOUNT GUARANTEED:** Enter the dollar amount of the loan that the guarantor has agreed to guarantee.
- 20. PRINCIPAL OCCUPATION:** Enter the principal occupation of the guarantor.
- 21. EMPLOYER:** Enter the employer of the guarantor.

SCHEDULE F1: POLITICAL EXPENDITURES FROM POLITICAL CONTRIBUTIONS

These instructions are for candidates and officeholders using SCHEDULE F1: POLITICAL EXPENDITURES FROM POLITICAL CONTRIBUTIONS.

Use this schedule to disclose information about political expenditures from political contributions that were made during the reporting period. Do not enter on this schedule unpaid incurred obligations, political expenditures made from personal funds, the purchase of investments from political contributions, expenditures made by credit card, or payments from political contributions made to a business that you own or control. (Report unpaid incurred obligations on Schedule F2; report expenditures from personal funds on Schedule G; report the purchase of investments from political contributions on Schedule F3; report expenditures made by credit card on Schedule F4; and report payments from political contributions made to a business that you own or control on Schedule H.)

Expenditures Made by Credit Card: Effective July 5, 2015, you must disclose expenditures charged to a credit card on Schedule F4 and *not* on this schedule. When you pay the credit card bill, you must disclose the payment to the credit card company on Schedule F1 (used for political payments from political contributions), Schedule G (used for political payments from personal funds), Schedule H (used for payments from political contributions made to a business that you own or control), or Schedule I (used for nonpolitical payments from political contributions), as applicable. See instructions for Schedule F4: [Expenditures Made by Credit Card](#) for more information.

See the *Campaign Finance Guide for Candidates and Officeholders* for important restrictions regarding the use of political funds to rent or purchase real property.

Itemization: You must enter expenditures paid to one individual or entity during a reporting period that in the aggregate exceed \$100 on this schedule. If you made more than one expenditure to the same payee, the total of which exceeded \$100, enter each expenditure separately. Although you are not required to do so, you may also report expenditures to one person that do not exceed \$100 in the period on this schedule. If you choose not to itemize expenditures of \$100 and less on this schedule, you must total all unitemized expenditures and report them on the Cover Sheet, page 2, section 17, line 3.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. TOTAL PAGES SCHEDULE F1:** After you have completed Schedule F1, count the total number of pages. Each side of a two-sided form counts as one page.
- 2. FILER NAME:** Enter your full name.
- 3. FILER ID:** See instructions for Cover Sheet, page 1, section 1.
- 4. DATE:** Enter the date the expenditure payment was made. Remember: Expenditure obligations you incurred in this reporting period *but have not yet paid* are entered on Schedule F2. Expenditures made by credit card are entered on Schedule F4.

- 5. PAYEE NAME:** Enter the full name of the person to whom the expenditure was made.

Note: If you make an expenditure for goods or services to benefit another candidate, officeholder, or committee, enter the name of the vendor who sold you the goods or services. Do not enter the name of the person for whose benefit you made the expenditure. Include that information under section 8, “Purpose of Expenditure.”

- 6. AMOUNT:** Enter the exact amount of the expenditure.

- 7. PAYEE ADDRESS:** Enter the complete address of the person to whom the expenditure was made.

- 8. PURPOSE OF EXPENDITURE:** You must disclose the purpose of the expenditure in two parts: Category and Description. Merely disclosing the category of goods, services, or other thing of value for which the expenditure is made does not adequately describe the purpose of an expenditure.

- (a) Category:** Select a category of goods, services, or other thing of value for which an expenditure is made. If none of the listed categories apply, select “Other” and enter your own category. Examples of acceptable categories include:

Advertising Expense
Accounting/Banking
Consulting Expense
Contributions/Donations Made By Candidate/Officeholder/Political Committee
Credit Card Payment
Event Expense
Fees
Food/Beverage Expense
Gifts/Awards/Memorials Expense
Legal Services
Loan Repayment/Reimbursement
Office Overhead/Rental Expense
Polling Expense
Printing Expense
Salaries/Wages/Contract Labor
Solicitation/Fundraising Expense
Transportation Equipment and Related Expense
Travel In District
Travel Out Of District
Other

- (b) Description:** Enter a brief statement or description of the candidate or officeholder activity that is conducted by making the expenditure. The brief statement or description must include the item or service purchased and must be sufficiently specific, when considered within the context of the description of the category, to make the reason for the expenditure clear. Merely disclosing the category of goods, services, or other thing of

value for which the expenditure is made does not adequately describe the purpose of an expenditure.

For examples of acceptable ways to disclose the purpose of an expenditure, please see the "Examples: Purpose of Expenditures" on page 46.

“Check if travel outside of Texas” box: Check this box if the expenditure is for travel outside of Texas. The description of a political expenditure for travel outside of the state of Texas must include detailed information. Please report this information on Schedule T.

“Check if Austin, TX, officeholder living expense” box: For expenditures made on or after July 1, 2014, check this box if the expenditure is an officeholder expense for living in Austin, Texas.

9. DIRECT CAMPAIGN EXPENDITURE TO BENEFIT CANDIDATE/OFFICEHOLDER:

If you made a direct campaign expenditure to benefit another candidate or officeholder, enter the full name of the candidate or officeholder and the name of the office sought or held, including the district, precinct, or other designation of the office, as applicable. (Attach additional sheets to list multiple candidates.) Do not complete this section if the expenditure was not a direct campaign expenditure.

A “direct campaign expenditure” to benefit another candidate is not a “political contribution” to that other candidate. A direct campaign expenditure is a campaign expenditure that you make on someone else’s behalf and without the prior consent or approval of that person. This is in contrast to a political contribution, which the person has the opportunity to accept or reject.

Example: If you made expenditures to prepare and distribute an endorsement letter in support of a candidate after first asking for and getting the candidate’s approval, you made an *in-kind contribution*. However, if you did not get the candidate’s approval *before* you made the expenditure, you made a *direct campaign expenditure*.

SCHEDULE F2: UNPAID INCURRED OBLIGATIONS

These instructions are for candidates and officeholders using SCHEDULE F2: UNPAID INCURRED OBLIGATIONS.

Use this schedule to disclose information about obligations to make an expenditure that you incurred during the reporting period but have not yet paid. Do not enter on this schedule obligations that were incurred and paid during the reporting period, or other outgoing funds. (Report obligations incurred and paid during the reporting period on Schedule F1, F3, G, H, or I as appropriate, and report expenditures made by credit card on Schedule F4.)

See the *Campaign Finance Guide for Candidates and Officeholders* for important restrictions regarding the use of political funds to rent or purchase real property.

Itemization: Itemization requirements differ depending on whether the unpaid incurred obligation is for a political or non-political expenditure.

Unpaid Incurred Political Obligations: You must enter political obligations incurred but not yet paid to one individual or entity during a reporting period that in the aggregate exceed \$100 on this schedule. If you incurred more than one obligation to the same payee, the total of which exceeded \$100, enter each expenditure separately. Although you are not required to do so, you may also report political obligations incurred to one person that do not exceed \$100 in the period on this schedule. If you choose not to itemize incurred political obligations of \$100 and less on this schedule, you must total all unitemized obligations and report them in section 4 of this Schedule. You must also include that amount in the total unitemized political expenditures of \$100 or less on C/OH Cover Sheet, page 2, section 17, line 3.

Unpaid Incurred Non-Political Obligations: You must enter non-political obligations incurred but not yet paid to one individual or entity during a reporting period on this schedule, regardless of the amount.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. **TOTAL PAGES SCHEDULE F2:** After you have completed Schedule F2, count the total number of pages. Each side of a two-sided form counts as one page.
2. **FILER NAME:** Enter your full name.
3. **FILER ID:** See instructions for Cover Sheet, page 1, section 1.
4. **TOTAL OF UNITEMIZED UNPAID INCURRED OBLIGATIONS:** Enter the total amount of political obligations incurred during the reporting period that do not exceed \$100 in the aggregate per person, unless itemized on this schedule. You are not required to itemize unpaid incurred political obligations of \$100 or less, but if you choose to do so, do not include those unpaid incurred obligations in the total you enter here.

- 5. DATE:** Enter the date the obligation was incurred. Obligations you incurred *and* paid during the reporting period are not entered on this schedule.
- 6. PAYEE NAME:** See instructions for Schedule F1, section 5.

Note: If you incurred an obligation for goods or services to benefit another candidate, officeholder, or committee, enter the name of the vendor of the goods or services. Do not enter the name of the person for whose benefit you incurred the obligation. Include that information under section 10, “Purpose of Expenditure.”

- 7. AMOUNT:** Enter the exact amount of the incurred obligation.
- 8. PAYEE ADDRESS:** Enter the complete address of the person to whom the obligation is owed.
- 9. TYPE OF EXPENDITURE:** Check only one box to indicate whether the incurred obligation was political or non-political.

A non-political expenditure is an expenditure that is neither a campaign expenditure nor an officeholder expenditure. As a practical matter, *very few* expenditures made from political contributions are non-political expenditures. For instance, expenditures for administrative expenses, banking fees, and professional dues are typically political expenditures.

- 10. PURPOSE OF EXPENDITURE:** See instructions for Schedule F1, section 8.
- 11. DIRECT CAMPAIGN EXPENDITURE TO BENEFIT CANDIDATE/OFFICEHOLDER:**
See instructions for Schedule F1, section 9.

SCHEDULE F3: PURCHASE OF INVESTMENTS FROM POLITICAL CONTRIBUTIONS

These instructions are for candidates and officeholders using SCHEDULE F3: PURCHASE OF INVESTMENTS FROM POLITICAL CONTRIBUTIONS.

Use this schedule to disclose information about investments purchased from political contributions during the reporting period. Do not enter on this schedule political expenditures from political contributions, unpaid incurred obligations, expenditures made by credit card, political expenditures made from personal funds, or payments from political contributions made to a business that you own or control. (Report political expenditures from political contributions on Schedule F1; report unpaid incurred obligations on Schedule F2; report expenditures made by credit card on Schedule F4; report expenditures from personal funds on Schedule G; and report payments from political contributions made to a business that you own or control on Schedule H.)

See the *Campaign Finance Guide for Candidates and Officeholders* for important restrictions regarding the use of political funds to rent or purchase real property.

Itemization: You must enter investments purchased with political contributions during a reporting period that in the aggregate exceed \$100 on this schedule. Although you are not required to do so, you may also report investments purchased with political contributions that do not exceed \$100 in the period on this schedule.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. TOTAL PAGES SCHEDULE F3:** After you have completed Schedule F3, count the total number of pages. Each side of a two-sided form counts as one page.
- 2. FILER NAME:** Enter your full name.
- 3. FILER ID:** See instructions for Cover Sheet, page 1, section 1.
- 4. DATE:** Enter the date you purchased the investment.
- 5. NAME OF PERSON FROM WHOM INVESTMENT IS PURCHASED:** Enter the full name of the person or entity from whom you purchased the investment. If you purchased the investment from an individual, enter the full first and last name, and suffix (Jr., III, etc.) if applicable (title is optional). If you purchased the investment from an entity, enter the full name of the entity.
- 6. ADDRESS OF PERSON FROM WHOM INVESTMENT IS PURCHASED:** Enter the complete address of the person or entity from whom you purchased the investment.
- 7. DESCRIPTION OF INVESTMENT:** Enter a brief statement or description of the investment. For example, “Ten shares of stock in ABC company.”
- 8. AMOUNT OF INVESTMENT:** Enter the amount of the investment purchased.

SCHEDULE F4: EXPENDITURES MADE BY CREDIT CARD

These instructions are for candidates and officeholders using SCHEDULE F4: EXPENDITURES MADE BY CREDIT CARD.

Use this schedule to disclose information about expenditures made by a credit card. Effective July 5, 2015, you must disclose expenditures charged to a credit card on this schedule and identify the individual, entity, or vendor who receives payment from the credit card company. When you pay the credit card bill, you must disclose the payment to the credit card company on Schedule F1 (used for political payments from political contributions), Schedule G (used for political payments from personal funds), Schedule H (used for payments from political contributions made to a business that you own or control), or Schedule I (used for nonpolitical payments from political contributions), as applicable.

Do not enter on this schedule political expenditures from political contributions, unpaid incurred obligations, political expenditures made from personal funds, or payments from political contributions made to a business that you own or control. (Report political expenditures from political contributions on Schedule F1; report unpaid incurred obligations on Schedule F2; report the purchase of investments from political contributions on Schedule F3; report expenditures from personal funds on Schedule G; and report payments from political contributions made to a business that you own or control on Schedule H.)

For examples regarding the disclosure of expenditures made by credit card, please see “Examples: Reporting Expenditures Made by Credit Card” on page 42.

Itemization: Itemization requirements differ depending on whether the expenditure made by a credit card is for a political or non-political expenditure.

Political Expenditures Made by Credit Card: You must itemize political expenditures made by credit card that exceed \$100 (in the aggregate) to a single payee. If you made two or more expenditures to the same payee, the total of which exceeded \$100, enter each expenditure made by credit card separately. Although you are not required to do so, you may also report political expenditures made by credit card that do not exceed \$100 in the reporting period on this schedule. If you choose not to itemize political expenditures made by credit card of \$100 and less on this schedule, you must total all unitemized political expenditures and report them in section 4 of this Schedule. You must also include that amount in the total unitemized political expenditures of \$100 or less on C/OH Cover Sheet, page 2, section 17, line 3.

Non-Political Expenditures Made by Credit Card: You must itemize any non-political expenditure made by credit card, regardless of the amount.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. TOTAL PAGES SCHEDULE F4:** After you have completed Schedule F4, count the total number of pages. Each side of a two-sided form counts as one page.

2. **FILER NAME:** Enter your full name.
3. **FILER ID:** See instructions for Cover Sheet, page 1, section 1.
4. **TOTAL OF UNITEMIZED EXPENDITURES CHARGED TO A CREDIT CARD:**
Enter the total amount of political expenditures charged to a credit card during the reporting period that do not exceed \$100 in the aggregate per person, unless itemized on this schedule. You are not required to itemize political expenditures made by credit card of \$100 or less, but if you choose to do so, do not include those political expenditures made by credit card in the total you enter here.
5. **DATE:** Enter the date you made the expenditure by credit card.

Note: There is a special reporting rule for expenditures made by credit card. For reports due 30 days and 8 days before an election (pre-election reports) and for runoff reports, the date of the credit card expenditure is the date the credit card is used. For other reports, the date of the credit card expenditure is either the date of the charge or the date the credit card statement is received. *A filer can never go wrong by disclosing the date of the expenditure as the date of the charge.*

6. **PAYEE NAME:** See instructions for Schedule F1, section 5. Disclose the name of the vendor who sold you the goods or services as the payee, NOT the credit card company. You do not report the name of the credit card company on this schedule.

Note: If you made an expenditure for goods or services to benefit another candidate, officeholder, or committee, enter the name of the vendor of the goods or services. Do not enter the name of the person for whose benefit you made the expenditure. Include that information under section 10, “Purpose of Expenditure.”

7. **AMOUNT:** Enter the amount of the credit card expenditure.
8. **PAYEE ADDRESS:** Enter the complete address of the payee of the credit card expenditure.
9. **TYPE OF EXPENDITURE:** Check only one box to indicate whether the credit card expenditure was political or non-political.

A non-political expenditure is an expenditure that is neither a campaign expenditure nor an officeholder expenditure. As a practical matter, *very few* expenditures made from political contributions are non-political expenditures. For instance, expenditures for administrative expenses, banking fees, and professional dues are typically political expenditures.

10. **PURPOSE OF EXPENDITURE:** See instructions for Schedule F1, section 8.

Note: Do not choose “Credit Card Payment” as the category for an expenditure made by credit card when an individual, entity, or vendor receives payment from the credit card company. Instead, choose the category that corresponds to the goods, services, or other thing of value purchased from the individual, entity, or vendor.

11. DIRECT CAMPAIGN EXPENDITURE TO BENEFIT CANDIDATE/OFFICEHOLDER:

See instructions for Schedule F1, section 9.

SCHEDULE G: POLITICAL EXPENDITURES MADE FROM PERSONAL FUNDS

These instructions are for candidates and officeholders using SCHEDULE G: POLITICAL EXPENDITURES MADE FROM PERSONAL FUNDS.

You may use this schedule to disclose information about political expenditures from personal funds that were made during the reporting period. Alternatively, you may choose to disclose political expenditures from personal funds as a loan on Schedule E (see the Schedule E instructions above for more information). Do not enter on this schedule information about personal funds deposited in an account in which political contributions are held as permitted by section 253.0351(c) of the Election Code. (Report the deposit of personal funds into a political account as a loan on Schedule E.)

Expenditures Made by Credit Card: Effective July 5, 2015, you must disclose expenditures charged to a credit card on Schedule F4 and *not* on this schedule. When you pay the credit card bill, you must disclose the payment to the credit card company on Schedule F1 (used for political payments from political contributions), Schedule G (used for political payments from personal funds), Schedule H (used for payments from political contributions made to a business that you own or control), or Schedule I (used for nonpolitical payments from political contributions), as applicable. See instructions for Schedule F4: [Expenditures Made by Credit Card](#) for more information.

If you intend to seek reimbursement *in any amount* from political contributions for a political expenditure made from personal funds, you must either report the expenditure on Schedule E or itemize the expenditure on this schedule and check the box in Section 6 to indicate that you intend to seek reimbursement from political contributions. ***You may not correct a report to allow reimbursement.*** When you reimburse yourself, disclose the reimbursement as an outgoing political expenditure on Schedule F1.

See the Campaign Finance Guide for important restrictions regarding the use of political funds to rent or purchase real property.

Itemization: If you choose to report political expenditures from personal funds on this schedule, you must itemize political expenditures paid to one individual or entity during a reporting period that in the aggregate exceed \$100 on this schedule. If you made more than one expenditure to the same payee, the total of which exceeded \$100, enter each expenditure separately. Although you are not required to do so, you may also report expenditures to one person that do not exceed \$100 in the period on this schedule. You must total all political expenditures from personal funds that you do not itemize on this schedule and include them in the total of unitemized political expenditures on the C/OH Cover Sheet, page 2, section 17, line 3.

Officeholder expenditures from personal funds for which you do not intend to seek reimbursement are not required to be reported on this schedule or included in the total of unitemized political expenditures.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. **TOTAL PAGES SCHEDULE G:** After you have completed Schedule G, count the total number of pages. Each side of a two-sided form counts as one page.
2. **FILER NAME:** Enter your full name.
3. **FILER ID:** See instructions for Cover Sheet, page 1, section 1.
4. **DATE:** Enter the date the expenditure was made.
5. **PAYEE NAME:** See instructions for Schedule F1, section 7.
6. **AMOUNT:** Enter the exact amount of the expenditure.

“Reimbursement from Political Contributions Intended” box: Check this box if you intend to reimburse yourself for the expenditure. (In order to be reimbursed from political contributions in any amount for an expenditure made out of personal funds, you must itemize the expenditure on this schedule and check this box or you must report the expenditure as a loan to yourself on Schedule E.)
7. **PAYEE ADDRESS:** Enter the complete address of the person to whom the expenditure was made.
8. **PURPOSE OF EXPENDITURE:** See instructions for Schedule F1, section 8.
9. **DIRECT CAMPAIGN EXPENDITURE TO BENEFIT CANDIDATE/OFFICEHOLDER:** See instructions for Schedule F1, section 9.

SCHEDULE H: PAYMENT FROM POLITICAL CONTRIBUTIONS TO A BUSINESS OF C/OH

These instructions are for candidates and officeholders using SCHEDULE H: PAYMENT FROM POLITICAL CONTRIBUTIONS TO A BUSINESS OF C/OH.

Use this schedule to disclose information about payments from political contributions that were made to a business in which you have an interest of more than 10%, a position on the governing body, or a position as an officer. Do not enter on this schedule other payments from political contributions made during the reporting period.

See the *Campaign Finance Guide for Candidates and Officeholders* for a discussion on the important restrictions on making and reporting payments from political contributions to a business in which you have an interest.

This schedule is for payments to a business in which you have one or more of the following interests or positions:

- 1) a participating interest of more than 10%;
- 2) a position on the governing body of the business; or
- 3) a position as an officer of the business.

Itemization: You must enter all payments from political contributions made to certain businesses (as defined above) of a candidate or officeholder made during the reporting period on this schedule, regardless of the amount.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. TOTAL PAGES SCHEDULE H:** After you have completed Schedule H, count the total number of pages. Each side of a two-sided form counts as one page.
- 2. FILER NAME:** Enter your full name.
- 3. FILER ID:** See instructions for Cover Sheet, page 1, section 1.
- 4. DATE:** Enter the date you made the payment.
- 5. BUSINESS NAME:** Enter the full name of the business to which you made the payment.
- 6. AMOUNT:** Enter the dollar amount of the payment.
- 7. BUSINESS ADDRESS:** Enter the complete address of the business to which you made the payment.
- 8. PURPOSE OF EXPENDITURE:** See instructions for Schedule F1, section 8.
- 9. DIRECT CAMPAIGN EXPENDITURE TO BENEFIT CANDIDATE/OFFICEHOLDER:** See instructions for Schedule F1, section 9.

SCHEDULE I: NON-POLITICAL EXPENDITURES MADE FROM POLITICAL CONTRIBUTIONS

These instructions are for candidates and officeholders using SCHEDULE I: NON-POLITICAL EXPENDITURES MADE FROM POLITICAL CONTRIBUTIONS.

Use this schedule to disclose information about non-political expenditures from political contributions made during the reporting period. Do not enter political expenditures on this schedule. Also, do not enter non-political expenditure obligations you incurred in this reporting period but have not yet paid or non-political expenditures made by credit card. (Report unpaid incurred obligations on Schedule F2; report expenditures made by a credit card on Schedule F4.)

Expenditures Made by Credit Card: Effective July 5, 2015, you must disclose non-political expenditures charged to a credit card on Schedule F4 and *not* on this schedule. When you pay the credit card bill, you must disclose the payment to the credit card company on Schedule F1 (used for political payments from political contributions), Schedule G (used for political payments from personal funds), Schedule H (used for payments from political contributions made to a business that you own or control), or Schedule I (used for nonpolitical payments from political contributions), as applicable. See instructions for Schedule F4: Expenditures Made by Credit Card for more information.

Itemization: You must enter all non-political expenditures from political contributions on this schedule, regardless of the amount. A non-political expenditure is an expenditure that is neither a campaign expenditure nor an officeholder expenditure. As a practical matter, *very few* expenditures made from political contributions are non-political expenditures. For instance, expenditures for administrative expenses, banking fees, and professional dues are typically political expenditures. You may not convert political contributions to personal use.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. TOTAL PAGES SCHEDULE I:** After you have completed Schedule I, count the total number of pages. Each side of a two-sided form counts as one page.
- 2. FILER NAME:** Enter your full name.
- 3. FILER ID:** See instructions for Cover Sheet, page 1, section 1.
- 4. DATE:** Enter the date the expenditure payment was made.
- 5. PAYEE NAME:** See instructions for Schedule F1, section 5.
- 6. AMOUNT:** Enter the exact amount of the expenditure payment.
- 7. PAYEE ADDRESS:** Enter the complete address of the person to whom the expenditure was made.
- 8. PURPOSE OF EXPENDITURE:** See instructions for Schedule F1, section 8.

SCHEDULE K: INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

These instructions are for candidates and officeholders using SCHEDULE K: INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER.

Use this schedule to report information regarding any credit, interest, rebate, refund, reimbursement, or return of a deposit fee resulting from the use of a political contribution or an asset purchased with a political contribution, any proceeds of the sale of an asset purchased with a political contribution, the amount of which exceeds \$100, and any other gain from a political contribution received during the reporting period.

Itemization: You must enter interest, credits, gains, refunds and returned contributions received during a reporting period that in the aggregate exceed \$100 on this schedule. Although you are not required to do so, you may also report any credit/gain/refund, or interest that does not exceed \$100 in the period on this schedule.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. TOTAL PAGES SCHEDULE K:** After you have completed Schedule K, count the total number of pages. Each side of a two-sided form counts as one page.
- 2. FILER NAME:** Enter your full name.
- 3. FILER ID:** See instructions for Cover Sheet, page 1, section 1.
- 4. DATE:** Enter the date the credit/gain/refund was received or the interest was earned, as applicable.
- 5. NAME OF PERSON FROM WHOM AMOUNT IS RECEIVED:** Enter the full name of the person or business from whom the credit/gain/refund/returned contribution or interest was received.
- 6. ADDRESS OF PERSON FROM WHOM AMOUNT IS RECEIVED:** Enter the complete address of the person or business from whom the credit/gain/refund/returned contribution or interest was received.
- 7. PURPOSE FOR WHICH AMOUNT IS RECEIVED:** Enter a brief statement or description of the purpose for which the amount was received (for example, “phone service deposit return” “returned contribution” or “interest on savings account”).

“Check if political contribution returned to filer” box: If the incoming credit/gain was originally made by you in the form of a political contribution to another candidate or political committee and was returned to you in this reporting period, check this box.

- 8. AMOUNT:** Enter the exact dollar amount of the credit/gain/refund/returned contribution, or interest.

SCHEDULE T: IN-KIND CONTRIBUTIONS OR POLITICAL EXPENDITURES FOR TRAVEL OUTSIDE OF TEXAS

These instructions are for candidates and officeholders using SCHEDULE T: IN-KIND CONTRIBUTIONS OR POLITICAL EXPENDITURES FOR TRAVEL OUTSIDE OF TEXAS.

Use this schedule to disclose information about contributions accepted or expenditures made during the reporting period. In addition to completing this schedule, you must also report the actual contribution or expenditure on the appropriate schedule or form. The law requires detailed information regarding in-kind contributions or political expenditures for travel outside of the state of Texas.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. TOTAL PAGES SCHEDULE T:** After you have completed Schedule T, count the total number of pages. Each side of a two-sided form counts as one page.
- 2. FILER NAME:** Enter the full name of the candidate, committee, or party on whose report you are including this schedule.
- 3. FILER ID:** If you are filing with the Commission, enter your account number. If you do not file with the Commission, you are not required to enter an account number.
- 4. NAME OF CONTRIBUTOR / CORPORATION OR LABOR ORGANIZATION / PLEDGOR / PAYEE:** Enter the full name of the contributor / corporation or labor organization / pledgor / payee as it appears on the schedule or form on which you reported the actual contribution or expenditure.
- 5. CONTRIBUTION / EXPENDITURE REPORTED ON:** Check the appropriate box for the schedule or form on which you reported the actual contribution or expenditure.
- 6. DATES OF TRAVEL:** Enter the dates on which the travel occurred.
- 7. NAME OF PERSON(S) TRAVELING:** Enter the full name of the person or persons traveling on whose behalf the travel was accepted or on whose behalf the expenditure was made.
- 8. DEPARTURE CITY OR NAME OF DEPARTURE LOCATION:** Enter the name of the departure city or the name of each departure location.
- 9. DESTINATION CITY OR NAME OF DESTINATION LOCATION:** Enter the name of the destination city or the name of each destination location.
- 10. MEANS OF TRANSPORTATION:** Enter the method of travel (e.g., airplane, bus, boat, car, etc.)
- 11. PURPOSE OF TRAVEL:** Enter the campaign or officeholder purpose of the travel, including the name of a conference, seminar, or other event.

FORM C/OH-FR: DESIGNATION OF FINAL REPORT

These instructions are for candidates and officeholders using Form C/OH-FR: C/OH REPORT: DESIGNATION OF FINAL REPORT. A final report must include this form (Form C/OH-FR) and the CAMPAIGN FINANCE REPORT (Form C/OH) with the “Final Report” box checked on page 1, section 9. It must also include Schedules A1, A2, B, E, F1, F2, F3, F4, G, H, I, K, and T, as applicable.

GENERAL INFORMATION

For filing purposes, you are a “candidate” as long as you have an appointment of campaign treasurer on file. If you do not expect to accept any further campaign contributions or to make any further campaign expenditures, you may file a final report of contributions and expenditures. A final report terminates your appointment of campaign treasurer and relieves you of the obligation of filing further reports as a candidate.

If you do not have an appointment of campaign treasurer on file, you may not accept **campaign** contributions or make **campaign** expenditures. A payment on a campaign debt is a campaign expenditure. An officeholder who does not have an appointment of campaign treasurer on file may accept **officeholder** contributions and make **officeholder** expenditures.

The effect of filing a final report differs depending on whether you are an officeholder at the time you file a final report.

Officeholders Filing a Final Report: You will not have to worry about surplus political funds and assets until you cease to be an officeholder. You may still be required to file semiannual reports of contributions and expenditures as an officeholder. The only officeholders who are not required to file semiannual reports are local officeholders who do not exceed \$500 in contributions or expenditures during the reporting period.

If you cease to be an officeholder at a time when you do not have a campaign treasurer appointment on file, and you retain political contributions, interest or other income from political contributions, or assets purchased with political contributions or interest or other income from political contributions after filing the last required report as an officeholder, you **must** file an annual report of unexpended contributions not earlier than January 1 and not later than January 15 of each year following the year in which you filed the last required report as an officeholder. You may not retain these unexpended funds longer than six years after the date you ceased to be an officeholder. For information about important restrictions regarding the use and reporting of unexpended contributions, see the Campaign Finance Guide.

Non-Officeholders Filing a Final Report: You will no longer be required to file reports **unless** you retain political contributions, interest or other income from political contributions, or assets purchased with political contributions or interest or other income from political contributions. If you retain any of those items, you must file an annual report of unexpended contributions not earlier than January 1 and not later than January 15 of each year after the year in which you filed your final report. You may not retain these unexpended funds longer than six years after the date of filing a final report. For information about important restrictions regarding the use and reporting of unexpended contributions, see the Campaign Finance Guide.

COMPLETING THE FORM

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. **C/OH NAME:** Enter your full name.
2. **FILER ID:** If you are filing with the Commission, enter your Filer ID. If you do not file with the Commission, you are not required to enter a Filer ID.
3. **SIGNATURE:** You must sign this section to indicate that you understand the consequences of filing a final report.
4. **FILER WHO IS NOT AN OFFICEHOLDER:** Complete this section if you are not an officeholder at the time of filing your final report. Be sure to check the appropriate box in both sections A and B and sign on the “Signature” line.
5. **OFFICEHOLDER:** Complete this section if you are an officeholder at the time of filing your final report. You must check the box to indicate awareness of further filing requirements.

EXAMPLES: REPORTING EXPENDITURES MADE BY CREDIT CARD

This list is for illustrative purposes only. It is intended to provide helpful information and to assist filers in reporting expenditures made by credit card and payments made to credit card companies.

Example #1: Candidate Using Credit Card to Make Political Expenditures and Using Political Contributions to Pay the Credit Card Bill in the Same Reporting Period

A candidate for office uses her credit card to buy \$1,000 in campaign office supplies from an office store. During the same reporting period, the candidate uses her credit card to buy \$500 in political advertising signs from a sign company. During the same reporting period, the candidate makes a single payment from her political contributions account to pay the \$1,500 credit card bill.

To report that activity, the candidate would report all of the following on a campaign finance report (Form C/OH) covering the period in which she made the credit card charges and sent the payment to the credit card company:

1. For the credit card charges: a \$1,000 expenditure on the “Expenditures Made by Credit Card” Schedule (F4). The schedule identifies the office store as the payee of the expenditure and includes the address, date, amount, a category of the expenditure as “Office Overhead/Rental Expense,” and a description as “Campaign Office Supplies.” In Section 9 of the schedule, the box for “Political” is also checked. The candidate also reports the \$500 expenditure on the “Expenditures Made by Credit Card” Schedule and identifies the sign company as the payee of the expenditure and includes the address, date, amount, a category of the expenditure as “Advertising Expense,” and a description as “Political Advertising Signs.” In Section 9 of the schedule, the box for “Political” is also checked.
2. For the payment to the credit card company: a \$1,500 expenditure on the “Political Expenditures from Political Contributions” Schedule (F1). The schedule identifies the credit card company as the payee of the expenditure and includes the address, date, amount, a category of the expenditure as “Credit Card Payment,” and a description as “Payment of credit card bill for credit card expenditures.”
3. Both \$1,500 amounts reported on each schedule will also be included in the appropriate totals sections of Cover Sheet Pages 2 and 3.

Example #2: Candidate Using Credit Card to Make a Political Expenditure and Using Personal Funds to Pay the Credit Card Bill in the Same Reporting Period

A candidate for *non-judicial* office uses his credit card to purchase \$3,000 in political advertising materials from a print shop. During the same reporting period, the candidate makes a payment from his personal funds account to pay the \$3,000 credit card bill.

To report that activity, the candidate would report all of the following on a campaign finance report (Form C/OH) covering the period in which he made the credit card charge and sent the payment to the credit card company:

1. For the credit card charge: a \$3,000 expenditure on the “Expenditures Made by Credit Card” Schedule (F4). The schedule identifies the print shop as the payee of the expenditure and includes the address, date, amount, a category of the expenditure as “Advertising Expense,” and a description as “Political Advertising Materials.” In Section 9 of the schedule, the box for “Political” is also checked.
2. For the payment to the credit card company: a \$3,000 expenditure on the “Political Expenditures Made from Personal Funds” Schedule (G). The schedule identifies the credit card company as the payee of the expenditure and includes the address, date, amount, a category of the expenditure as “Credit Card Payment,” and a description as “Payment of credit card bill for political advertising materials.” If the candidate intends to seek reimbursement from political contributions, the candidate may also check the appropriate box in Section 6.
3. Both \$3,000 amounts reported on each schedule will also be included in the appropriate sections of Cover Sheet Pages 2 and 3.

Example #3: Political Committee Using Credit Card to Make a Political Expenditure and Using Political Contributions to Pay the Credit Card Bill in Different Reporting Periods

A general-purpose committee uses its credit card to buy \$500 in political advertising in a newspaper. The committee receives the statement from the credit card company but does not send a payment until after the reporting period ends. When the committee sends a payment to the credit card company, it makes a \$500 payment from its political contributions account.

To report the credit card charge, the committee’s campaign treasurer would report all of the following on a campaign finance report (Form GPAC) covering the period in which it made the credit card charge:

1. A \$500 expenditure on the “Expenditures Made by Credit Card” Schedule (F4). The schedule identifies the newspaper as the payee of the expenditure and includes the address, date, amount, a category of the expenditure as “Advertising Expense,” and a description as “Political Advertising.” In Section 9 of the schedule, the box for “Political” is also checked.
2. The \$500 amount reported on the “Expenditures Made by Credit Card” Schedule (F4) will also be included in the appropriate sections of Cover Sheet Pages 2 and 3.

To report the payment to the credit card company, the committee’s campaign treasurer would also report all of the following on a campaign finance report (Form GPAC) covering the period in which it made the payment to the credit card company:

1. A \$500 expenditure on the “Political Expenditures from Political Contributions” Schedule (F1). The schedule identifies the credit card company as the payee of the

expenditure and includes the address, date, amount, a category of the expenditure as “Credit Card Payment,” and a description as “Payment of credit card bill for political advertising.”

2. The \$500 amount reported on the “Political Expenditures from Political Contributions” Schedule (F1) will also be included in the appropriate sections of Cover Sheet Pages 2 and 3.

Example #4: Candidate Using Credit Card to Make a Political Expenditure and Using Political Contributions to Pay the Credit Card Bill in Different Reporting Periods

A candidate for *judicial* office uses her credit card to buy \$500 in political advertising in a newspaper. The candidate receives the statement from the credit card company but does not send a payment until after the reporting period ends. When the candidate sends a payment to the credit card company, she makes a \$500 payment from her political contributions account.

To report the credit card charge, the candidate would report all of the following on a campaign finance report (Form JC/OH) covering the period in which she made the credit card charge:

1. A \$500 expenditure on the “Expenditures Made by Credit Card” Schedule (F4). The schedule identifies the newspaper as the payee of the expenditure and includes the address, date, amount, a category of the expenditure as “Advertising Expense,” and a description as “Political Advertising.” In Section 9 of the schedule, the box for “Political” is also checked.
2. The \$500 amount reported on the “Expenditures Made by Credit Card” Schedule (F4) will also be included in the appropriate sections of Cover Sheet Pages 2 and 3.

To report the payment to the credit card company, the candidate would also report all of the following on a campaign finance report (Form JC/OH) covering the period in which the payment to the credit card company was made:

1. A \$500 expenditure on the “Political Expenditures from Political Contributions” Schedule (F1). The schedule identifies the credit card company as the payee of the expenditure and includes the address, date, amount, a category of the expenditure as “Credit Card Payment,” and a description as “Payment of credit card bill for political advertising.”
2. The \$500 amount reported on the “Political Expenditures from Political Contributions” Schedule (F1) will also be included in the appropriate sections of Cover Sheet Pages 2 and 3.

EXAMPLES: PURPOSE OF EXPENDITURES

This list is for illustrative purposes only. It is intended to provide helpful information and to assist filers in reporting the purpose of an expenditure. However, it is not, and is not intended to be, an exhaustive or an exclusive list of how a filer may permissibly report the purpose of an expenditure.

(1) Example: Candidate X is seeking the office of State Representative, District 2000. She purchases an airline ticket from ABC Airlines to attend a campaign rally within District 2000. The acceptable category for this expenditure is “travel in district.” The candidate activity that is accomplished by making the expenditure is to attend a campaign rally. An acceptable brief statement is “airline ticket to attend campaign event.”

(2) Example: Candidate X purchases an airline ticket to attend a campaign event outside of District 2000 but within Texas, the acceptable category is “travel out of district.” The candidate activity that is accomplished by making the expenditure is to attend a campaign event. An acceptable brief statement is “airline ticket to attend campaign or officeholder event.”

(3) Example: Candidate X purchases an airline ticket to attend an officeholder related seminar outside of Texas. The acceptable method for the purpose of this expenditure is by selecting the “travel out of district” category and completing the “Schedule T” (used to report travel outside of Texas).

(4) Example: Candidate X contracts with an individual to do various campaign related tasks such as work on a campaign phone bank, sign distribution, and staffing the office. The acceptable category is “salaries/wages/contract labor.” The candidate activity that is accomplished by making the expenditure is to compensate an individual working on the campaign. An acceptable brief statement is “contract labor for campaign services.”

(5) Example: Officeholder X is seeking re-election and makes an expenditure to purchase a vehicle to use for campaign purposes and permissible officeholder purposes. The acceptable category is “transportation equipment and related expenses” and an acceptable brief description is “purchase of campaign/officeholder vehicle.”

(6) Example: Candidate X makes an expenditure to repair a flat tire on a campaign vehicle purchased with political funds. The acceptable category is “transportation equipment and related expenses” and an acceptable brief description is “campaign vehicle repairs.”

(7) Example: Officeholder X purchases flowers for a constituent. The acceptable category is “gifts/awards/memorials expense” and an acceptable brief description is “flowers for constituent.”

(8) Example: Political Committee XYZ makes a political contribution to Candidate X. The acceptable category is “contributions/donations made by candidate/officeholder/political committee” and an acceptable brief description is “campaign contribution.”

(9) Example: Candidate X makes an expenditure for a filing fee to get his name on the ballot. The acceptable category is “fees” and an acceptable brief description is “candidate filing fee.”

(10) Example: Officeholder X makes an expenditure to attend a seminar related to performing a duty or engaging in an activity in connection with the office. The acceptable category is “fees” and an acceptable brief description is “attend officeholder seminar.”

(11) Example: Candidate X makes an expenditure for political advertising to be broadcast by radio. The acceptable category is “advertising expense” and an acceptable brief description is “political advertising.” Similarly, Candidate X makes an expenditure for political advertising to appear in a newspaper. The acceptable category is “advertising expense” and an acceptable brief description is “political advertising.”

(12) Example: Officeholder X makes expenditures for printing and postage to mail a letter to all of her constituents, thanking them for their participation during the legislative session. Acceptable categories are “advertising expense” OR “printing expense” and an acceptable brief description is “letter to constituents.”

(13) Example: Officeholder X makes an expenditure to pay the campaign office electric bill. The acceptable category is “office overhead/rental expense” and an acceptable brief description is “campaign office electric bill.”

(14) Example: Officeholder X makes an expenditure to purchase paper, postage, and other supplies for the campaign office. The acceptable category is “office overhead/rental expense” and an acceptable brief description is “campaign office supplies.”

(15) Example: Officeholder X makes an expenditure to pay the campaign office monthly rent. The acceptable category is “office overhead/rental expense” and an acceptable brief description is “campaign office rent.”

(16) Example: Candidate X hires a consultant for fundraising services. The acceptable category is “consulting expense” and an acceptable brief description is “campaign services.”

(17) Example: Candidate/Officeholder X pays his attorney for legal fees related to either campaign matters or officeholder matters. The acceptable category is “legal services” and an acceptable brief description is “legal fees for campaign” or “for officeholder matters.”

(18) Example: Candidate/Officeholder X makes food and beverage expenditures for a meeting with her constituents. The acceptable category is “food/beverage expense” and an acceptable brief statement is “meeting with constituents.”

(19) Example: Candidate X makes food and beverage expenditures for a meeting to discuss candidate issues. The acceptable category is “food/beverage expense” and an acceptable brief statement is “meeting to discuss campaign issues.”

(20) Example: Officeholder X makes food and beverage expenditures for a meeting to discuss officeholder issues. The acceptable category is “food/beverage expense” and an acceptable brief statement is “meeting to discuss officeholder issues.”

(21) Example: Candidate/Officeholder X makes food and beverage expenditures for a meeting to discuss campaign and officeholder issues. The acceptable category is “food/beverage expense” and an acceptable brief statement is “meeting to discuss campaign/officeholder issues.”

EXAMPLES: REPORTING EXPENDITURES FROM PERSONAL FUNDS

This list is for illustrative purposes only. It is intended to provide helpful information and to assist filers in reporting expenditures from personal funds.

If you intend to seek reimbursement of any amount from political contributions for a political expenditure made from your personal funds, you must report the expenditure in one of three ways. Keep in mind that this reporting system is not an accounting system and duplication of expenditures is not uncommon when reporting transactions related to expenditures made from personal funds.

Method #1: Itemize the expenditure on the “Political Expenditures Made from Personal Funds” schedule (Schedule G) and check the box to indicate that you intend to seek reimbursement from political contributions. You may not correct a report to allow reimbursement without subjecting yourself to a possible penalty. When you reimburse yourself, which could be months or years later, report the reimbursement on the “Political Expenditures” schedule (Schedule F1).

Example: On December 1, 2007, Candidate A spends \$500 of her own personal funds to purchase political advertising signs. She reports the expenditure to the vendor on Schedule G and checks the box to indicate that reimbursement is intended. One year later, Candidate A reimburses herself from political contributions. She reports the reimbursement on Schedule F1. Candidate A is the payee and the purpose of the expenditure is to reimburse herself for a political expenditure made from personal funds on December 1, 2007.

If you intend to seek reimbursement from political contributions for a political expenditure of any amount made from personal funds, you must itemize the expenditure on Schedule G.

Method #2: Report the political expenditures made from your personal funds as a loan to your campaign on the “Loans” schedule (Schedule E). Next, report the political expenditures made from that loan as if they were made from political funds (report on Schedules F1, F2, F3, F4, or H as appropriate). Do NOT report political expenditures made from the loan on Schedule G. The amount you report as a loan in a reporting period may NOT exceed the amount you actually spent from personal funds in that reporting period. In other words, do not report a \$100,000 loan to your campaign if the amount actually spent from personal funds in the reporting period was \$5,000. When you reimburse yourself, which could be months or years later, report the reimbursement on the Schedule F1.

Example: In one reporting period, Candidate B spends \$5,000 of his own personal funds to purchase political advertising materials. He spends \$3,000 at Business One and \$2,000 at Business Two. He reports the expenditures as a \$5,000 loan on Schedule E and then itemizes each of the two expenditures as a political expenditure on Schedule F1. A year later, Candidate B reimburses himself from political contributions by disclosing the reimbursement on Schedule F1. He reports the reimbursement on Schedule F1. The payee in this instance is Candidate B, the category of the expenditure is “Loan

Repayment/Reimbursement,” and “political expenditure made from personal funds reported as a loan” is an acceptable brief description.

Method #3: Deposit personal funds in an account in which your political contributions are maintained and report that amount as a loan on the "Loans" schedule (Schedule E). Next, report the political expenditures made from that loan as if they were made from political funds (report on Schedules F1, F2, F3, or H as appropriate). When you reimburse yourself, which could be months or years later, report the reimbursement on the Schedule F1. The reimbursement may not exceed the amount reported as a loan. Personal funds deposited in an account in which political contributions are held are subject to the personal use restriction.)

Example: In one reporting period, Candidate C opens a campaign bank account and deposits \$5,000 of her own personal funds into the account. She makes one \$3,000 expenditure for political advertising. Candidate C has no other activity in the reporting period. She reports the \$5,000 as a loan on Schedule E, itemizes the \$3,000 expenditure for the political advertising on Schedule F1, and includes the remaining \$2,000 on her contributions maintained at the end of the reporting period total. A year later, Candidate C reimburses herself from political contributions by disclosing the reimbursement on Schedule F1. The payee in this instance is Candidate C, the category of expenditure is "Loan Repayment/Reimbursement," and "political expenditure made from personal funds reported as a loan" is an acceptable brief description.

EXAMPLES: REPORTING STAFF REIMBURSEMENT

This list is for illustrative purposes only. It is intended to provide helpful information and to assist filers in reporting staff reimbursements.

When a staff member makes political payment(s) out of his or her personal funds, how you disclose the payment(s) depends on two things: 1) the aggregate total of those payments in the reporting period; and 2) whether or not you reimburse the staff worker in the same reporting period.

Example #1: The payment out of the staff worker's personal funds does not exceed \$5,000 in the reporting period **and** you reimburse the staff worker from political funds in the same reporting period – You will simply itemize the payment (if over the \$100 itemization threshold) on Schedule F1 as if you made the expenditure directly to the vendor out of your political funds, with the name of the vendor who sold the goods or services as the payee for the expenditure. **Do not** disclose as the payee the name of your staff worker.

Example #2: The payment(s) out of the staff worker's personal funds are over \$5,000 in the aggregate in the reporting period **and** you reimburse the staff worker from political funds in the same reporting period – You will use a 3-step process, disclosing everything on the same report: (1) On Schedule E, disclose the total amount paid from the staff worker's personal funds as a loan from the staff worker to your campaign; (2) On Schedule F1, itemize the payments made by your staff worker separately, with the names of the vendors who sold the goods or services to your staff worker as the payees for the expenditures. **Do not** disclose as the payee the name of your staff worker; and (3) On Schedule F1, disclose the payment to your staff worker for the reimbursement of the loan.

Example #3: The payment(s) out of the staff worker's personal funds do not exceed \$5,000 in the aggregate in the reporting period **but** you reimburse the staff worker from political funds in a different reporting period – You will use a 3-step process, disclosing steps 1 and 2 on the same report and step 3 later, when the reimbursement occurs: (1) On Schedule E, disclose the total amount paid from the staff worker's personal funds as a loan from the staff worker to your campaign; (2) On Schedule F1, itemize the payments made by your staff worker separately, with the names of the vendors who sold the goods or services to your staff worker as the payees for the expenditures. **Do not** disclose as the payee the name of your staff worker; and (3) When you reimburse your staff worker, if ever, disclose on Schedule F1 of the report covering the period in which the reimbursement occurs the payment to your staff worker for the reimbursement of the loan.

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Report Of Direct Campaign Expenditures: Schedule ATX.1

(Previously Independent Expenditures not by a Candidate)

☐ Office Use Only

1 INDIVIDUAL OR ORGANIZATION NAME <input type="checkbox"/> Filer is an individual	Committee or Organization Name* <div></div>												
2 INDIVIDUAL OR ORGANIZATION ADDRESS	<table><tr><td>Address/ PO Box*</td><td colspan="2">Apartment or Suite Number</td></tr><tr><td><div></div></td><td colspan="2"><div></div></td></tr><tr><td>City*</td><td>State*</td><td>Zip Code*</td></tr><tr><td><div></div></td><td><div></div></td><td><div></div></td></tr></table>	Address/ PO Box*	Apartment or Suite Number		<div></div>	<div></div>		City*	State*	Zip Code*	<div></div>	<div></div>	<div></div>
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5 REPORT DATE	Date Filed (yyyymmdd)* <div></div>												

* Indicates a required field



Report Of Direct Campaign Expenditures: Schedule ATX.1

(Previously Independent Expenditures not by a Candidate)

6 AFFIDAVIT

I swear or affirm upon penalty of perjury that each direct campaign expenditure was made without prior consent, cooperation, strategic communication, consultation, or sharing of material information regarding the communication's content, intended audience, timing, or method of dissemination between an affected candidate, the candidate's campaign staff, the candidate's campaign committee, or an agent or employee of the candidate or the committee, and the person making the expenditure, or that person's agent or employee.

I further swear that this Report of Direct Campaign Expenditures filed herewith is in all things true and correct and fully shows all information required to be reported by me pursuant to City Code, Section 2-2-32.

DATE: _____

AFFIANT'S SIGNATURE

PRINT NAME

STATE OF TEXAS

COUNTY OF TRAVIS

This instrument was acknowledged, sworn to and subscribed before me by

On the _____ day of _____, _____, to certify which witness my hand and official seal.

Notary Public in and for the State of Texas

Typed or Printed Name of Notary



Report Of Direct Campaign Expenditures: Schedule ATX.1

(Previously Independent Expenditures not by a Candidate)

Expenditure

Itemize each direct campaign expenditure in Sections 1-4.
For additional expenditures, click "Add Another Expenditure Page" below.

1	PAYEE NAME <input type="checkbox"/> Payee is an individual	Organization Name or Payee Last Name, as applicable*		
2	PAYEE ADDRESS	Payee Address/ PO Box*	Payee Apartment or Suite Number	
3	EXPENDITURE DETAILS	Category*	(\$) Expenditure Amount*	
		Description (If Category is "Other")	Expenditure Date*	

4 Identify each candidate or ballot measure supported or opposed by the above expenditure, as applicable

Candidate Last Name or Ballot Measure Supported/Opposed*	Candidate First Name (if applicable)	Office Sought (if applicable)	Office Held (if applicable)



Report Of Direct Campaign Expenditures: Schedule ATX.1

(Previously Independent Expenditures not by a Candidate)

Contribution

Effective September 1, 2016 information related to contributions must be reported if the individual or organization making a direct campaign expenditure has accepted a contribution.

For each contributor who made one or more contributions in an aggregate amount of \$500 or more after August 31, 2016, that have not previously been reported, the following information must be provided for each accepted contribution.

Itemize each contribution in Sections 1-3. For additional contributions, click "Add Another Contribution Page" below.

1	CONTRIBUTOR NAME <input checked="" type="checkbox"/> Contributor is an individual	Contributor Title <input type="text"/>	Contributor First Name* <input type="text"/>		
		Organization Name or Contributor Last Name, as applicable* <input type="text"/>		Contributor Suffix <input type="text"/>	
2	CONTRIBUTOR ADDRESS AND EMPLOYER	Contributor Address/ PO Box* <input type="text"/>		Contributor Apartment or Suite Number <input type="text"/>	
		Contributor City* <input type="text"/>		Contributor State* <input type="text"/>	Contributor Zip Code* <input type="text"/>
		Contributor Employer* <input type="text"/>		Contributor Occupation* <input type="text"/>	
3	CONTRIBUTION DETAILS	Contribution Date (yyyymmdd)* <input type="text"/>		(\$) Contribution Amount* <input type="text"/>	

Add Another Contribution Page



Report of Direct Campaign Expenditures: Schedule ATX.1

(Previously "Independent Expenditures not by a Candidate")

Instruction Guide

This report must be filed by persons (as defined in § 2-2-2(17) of the City Code, which includes corporations and political committees) **other than a candidate or a candidate's campaign committee**, who make one or more direct campaign expenditures in a City election that in the aggregate meet or exceed \$500.

A **direct campaign expenditure** is an expenditure for an electioneering communication or for express advocacy, as defined in City Code Section § 2-2-31, that is made:

1. independently of any candidate and any candidate's campaign committee;
2. without prior consent, cooperation, strategic communication, or consultation between:
 - (a) any candidate, any candidate's campaign staff, any candidate's campaign committee, or an agent or employee of any candidate or candidate's campaign committee; and
 - (b) the person or entity making the expenditure, or that person's agent or employee; and
3. without prior sharing of material information regarding the communication's content, intended audience, timing, or method of dissemination between:
 - (a) any candidate, any candidate's campaign staff, any candidate's campaign committee, or an agent or employee of any candidate or any candidate's campaign committee; and
 - (b) the person or entity making the expenditure, or that person's agent or employee.

An individual or organization must file this report with the Office of the City Clerk each time the aggregate \$500 expenditure threshold is met. The filing of one **Schedule ATX.1: Report of Direct Campaign Expenditures** does not excuse the filing of a subsequent report each time this threshold is met.

The deadlines for timely filing of this report are:

1. If the expenditure is made before the 60th day before the date of the election, no later than the fifth business day after the date of the expenditure.
2. If the expenditure is made on or after the 60th day before the date of the election and before the ninth day before the date of the election, no later than the second business day after the date of the expenditure.
3. If the expenditure is made on or after the ninth day before the date of the election, no later than 5 p.m. on the first business day after the date of the expenditure.

Note that the City of Austin's requirement for reporting direct campaign expenditures does not supersede, modify or replace any reporting requirements established by the Texas Ethics Commission (TEC). Individuals, committees, or corporations who file an **ATX.1: Report of Direct Campaign Expenditures** with the City may be subject to additional reporting requirements established by the TEC. It is incumbent upon the filer to be aware of and comply with all reporting requirements for direct campaign expenditures established by governing bodies external to the City.

Electronic Filing of Schedule ATX.1 Data

All direct campaign expenditures disclosed on the **ATX.1: Report of Direct Campaign Expenditures** must be reported electronically. The City Clerk's Office has created a fillable PDF form in which to record the required information. Fillable PDF forms must be received by the City Clerk in the provided format. Printed and scanned, or otherwise modified, copies of the fillable PDFs will render the data unreadable and the City Clerk will be required to reject the submitted data. The form should be delivered to the City Clerk's Office on a flash drive or other media; email submission of the fillable PDF is not permitted at this time.



Report of Direct Campaign Expenditures: Schedule ATX.1

(Previously "Independent Expenditures not by a Candidate")

Instruction Guide

Required fields are highlighted in **red** below. Failure to complete a required field will result in the data file being rejected by the City Clerk.

Per City Code § 2-2-26, the City Clerk will reject fillable PDF forms that do not comply with formatting and data requirements. Acceptance of a paper form does not indicate acceptance of the data file. For each report filed, a validation report will be generated and provided to the filer within one business day, indicating acceptance or rejection of the data file.

Page 1: Filer Information

1. **Individual or Organization Name:** The full name of the individual or name of the company, political committee, organization, or group who made the expenditure. For individuals, check the box next to "Filer is an individual". *The Individual or Organization Name is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

Filer Employer and Occupation: If the filer is an individual, provide the filer's employer and occupation. *For Individuals filing an ATX.1, Filer Employer and Occupation are required. A blank value will result in an error that will cause the data file to be rejected.*

2. **Individual or Organization Address:** The mailing or street address of the individual, committee, or organization that made the direct campaign expenditure. *The Individual or Organization Address is required. A blank value in this field will result in an error that will cause the data file to be rejected.*
3. **Committee Treasurer Name:** For political committees, the full name of the committee's treasurer.
4. **Committee Treasurer Address:** For political committees, the mailing or street address of the committee's treasurer.
5. **Report Date:** The date the report was filed. Enter all dates in the format `yyyymmdd`. *This Report Date is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

Page 2: Affidavit

6. **Affidavit:** This field requires a notary seal. If requested, the Office of the City Clerk will print and notarize a paper copy of the form.

Page 3: Expenditure Information

Provide the following information for each direct campaign expenditure.

1. **Payee Name:** The full name of the individual or name of the company, political committee, organization, or group to whom the expenditure was made. For individuals, check the box next to "Payee is an individual". *This Payee Name is required. A blank value in this field will result in an error that will cause the data file to be rejected.*
2. **Payee Address:** The payee's street or mailing address, including city, state and zip code. *This Payee Address is required. A blank value will result in an error that will cause the data file to be rejected.*



Report of Direct Campaign Expenditures: Schedule ATX.1

(Previously "Independent Expenditures not by a Candidate")

Instruction Guide

3. Expenditure Details

Category: The category code of goods, services, or other thing of value for which the expenditure was made. *This Expenditure Category is required. A blank value in this field will result in an error that will cause the data file to be **rejected**.*

Description: If the Category is "Other," a description of the goods, services, or other thing of value for which the expenditure was made.

Expenditure Amount: The amount of the expenditure. *This field is required. A blank value in this field will result in an error that will cause the data file to be **rejected**.*

Expenditure Date: The date on which the payment was made. Enter all dates in the format yyyyymmdd. *This field is required. A blank value in this field will result in an error that will cause the data file to be **rejected**.*

4. Candidates and/or ballot measures supported or opposed

Provide the following information for each candidate, officeholder, or ballot measure supported or opposed by each direct campaign expenditure. Filers must report at least one candidate/ballot measure supported or opposed.

Candidate's Last Name or Measure Name: For ballot measures supported or opposed, the name of each measure. For candidates or officeholders, the last name of each individual supported or opposed by the expenditure. *This field is required. A blank value in this field will result in an error that will cause the data file to be **rejected**.*

Candidate's First Name: The first name of each candidate or officeholder supported or opposed by the expenditure, if applicable.

Office Sought: The office sought by each candidate or officeholder supported or opposed by the expenditure, if applicable.

Office Held: The current office held by each officeholder supported or opposed by the expenditure, if applicable.

To add additional expenditures, click the "Add Another Expenditure Page" button on the lower left-hand side of the form.



Report of Direct Campaign Expenditures: Schedule ATX.1

(Previously "Independent Expenditures not by a Candidate")

Instruction Guide

Page 4: Contribution Information

Effective **September 1, 2016** information related to contributions must be reported if the individual or organization making a direct campaign expenditure has accepted a contribution during the current election reporting cycle.

Note: For the 2016 general election, individuals and organizations must only report contributions received after August 31, 2016.

For each contributor who made contributions in an aggregate amount of \$500 or more during the current election reporting cycle that have not previously been reported, the following information must be provided for each accepted contribution.*

If the filer has no contributions to report, leave this page blank.

1. **Contributor Name:** The contributor's full name (for individuals) or the name of the company, political committee, organization, or group who made the contribution. For individuals, check the box next to "Contributor is an individual". *The Contributor Name is required. A blank value in this field will result in an error that will cause the data file to be rejected.*
2. **Contributor Address:** The contributor's street or mailing address, including city, state, and zip code. *The Contributor Address is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

Contributor Employer and Occupation: If the contributor is an individual, provide the contributor's employer and occupation. *The Contributor Employer and Occupation are required. A blank value in these fields will result in an error that will cause the data file to be rejected.*

3. Contribution Details

Contribution Date: The date on which each contribution was accepted. Enter all dates in the format yyyyymmdd. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

Contribution Amount: The amount of each contribution. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

To add additional contributions, click the "Add Another Contribution Page" button on the lower left-hand side of the form.

* A person, as defined in City Code § 2-2-2(17), who pays for a direct campaign expenditure exclusively from a segregated bank account must only report information regarding contributions made to that segregated bank account. A segregated bank account is a bank account maintained by a person who makes one or more direct campaign expenditures, consisting of funds that were paid directly to that account by persons other than the person that controls it, and used by that person to make direct campaign expenditures. See [Ordinance 20160623-020](#) for additional details.



Identify each person registered or required to register under City Code, Chapter 4-8 (Regulation of Lobbyists) who is employed by, or compensated to lobby by: (1) any bundler, (2) a business association through which the bundler does business, or (3) the bundler's employer.

[illegible]



Candidate Bundling Report: Schedule ATX.5

Attach to C/OH Coversheet

List each individual bundler and the contributions bundled in Sections 1-4. For additional bundlers, click "Add Another Bundler Page" below.

1	BUNDLER NAME	Bundler Title <input type="text"/>	Bundler First Name <input type="text"/>	Bundler Last Name <input type="text"/>	Bundler Suffix <input type="text"/>			
2	BUNDLER ADDRESS	Bundler Address/ PO Box <input type="text"/>	Bundler Apartment or Suite Number <input type="text"/>	Bundler City <input type="text"/>	Bundler State <input type="text"/>	Bundler Zip Code <input type="text"/>	Bundler Employer <input type="text"/>	Bundler Occupation <input type="text"/>
3	AMOUNT BUNDLED	(\$) Total Amount Bundled <input type="text"/>						

4 Itemize each contribution bundled by the bundler listed above

Contributor Last Name	Contributor First Name	Contributor Employer and Occupation	Contribution Amount (\$)	Contribution Date (yyyymmdd)	Appears on Schedule

Add Another Bundler Page



Form Instructions

Candidate Bundling Report: Schedule ATX.5

Attach to C/OH Coversheet

City Code, Section 2-2-22 requires a candidate for whom a bundler has bundled contributions **to file a separate report, attached to the candidate's Campaign Finance Report (C/OH)**, that discloses the following information:

1. The name and address of each bundler who has bundled for the candidate;
2. The bundler's occupation and the name of the bundler's employer;
3. The name, address, occupation and employer of each individual contributor whose contribution was bundled by the bundler;
4. The amount contributed by each individual contributor whose contribution was bundled by the bundler;
5. The total amount the bundler has bundled for the candidate during the reporting period; and
6. The name of each person registered or required to register under Chapter 4-8 (*Regulation of Lobbyist*) who is employed by, or compensated to lobby by:
 - a. The bundler;
 - b. A business association through which the bundler does business; or
 - c. The bundler's employer.

Page 1: Lobbyist Information

This section is to be completed for each person registered or required to register as a lobbyist under City Code, Chapter 4-8 (*Regulation of Lobbyists*). The information must include:

- The first and last name of the lobbyist
- The lobbyist's street address, city, state and zip code.

Page 2: Bundler Information

This section must to be completed for each person/bundler who has solicited and obtained campaign contributions on a candidate's behalf of \$200 or more per person from five (5) or more individuals during the reporting period. (This requirement does not apply to an individual who raises \$5,000 or less for a candidate through a fundraising event held at the individual's residence.) The information must include:

- The full name of the bundler, including title, and suffix, as applicable
- The bundler's street or mailing address including city, state and zip code
- The total amount of contributions bundled
- An itemized list of contributions bundled including the first and last name of each contributor, the amount of each contribution, the date on which the contribution was accepted, and the Candidate/Officeholder (TEC form C/OH) Schedule on which the contribution is reported.

A separate sheet is required for each bundler. To add an additional bundler, click on the "Add Another Bundler Page" located on the lower left-hand side of the form.

This page intentionally left blank.



Exemption Statement: Schedule ATX.6

Name of Candidate, or Officeholder running for re-election:

STATEMENT

I have not raised, and do not intend to raise, more than \$10,000 in contributions for the campaign period from November 6, 2017 through November 6, 2018 or, through the December, 2018 runoff election. Therefore, I will not provide to the City Clerk a structured data file containing the contents of each filed campaign finance report.

I acknowledge that if contributions raised do exceed \$10,000 then I shall provide to the City Clerk: (1) a data file for each subsequent campaign finance report that a candidate or officeholder is required to file; and (2) a data file for each prior campaign finance report that was due during the campaign period before the amount of contributions raised exceeded \$10,000, to be provided to the City Clerk no later than the next campaign finance report filing deadline after the contributions exceed \$10,000. I also acknowledge that an exemption from providing a data file associated with a required campaign finance report does not exempt me from filing the campaign finance report.

I acknowledge that each candidate who signs a campaign contract (as authorized by Section 2-2-11 of City Code) must comply with the requirement to provide to the City Clerk a structured data file associated with each campaign finance report filed with the City Clerk, regardless of the dollar amount of contributions the candidate has raised or intends to raise. Therefore, I acknowledge that a candidate who signs a campaign contract is not eligible to file this form, ATX.6. I acknowledge that filing an ATX.6 in error will not exempt me from the requirement to file a structured data file containing the contents of each campaign finance report with the City Clerk.

Date: _____

Candidate or Officeholder Signature

Print Name

This page intentionally left blank.



Pre-Election Report Candidates and Officeholders Form ATX.7COH

Use this form to report contributions received, expenditures made from personal funds, or loans made from personal funds between the 9th day before the election and the day before the election that have met the monetary thresholds identified in City Code 2-2-29. For detailed instructions on how to complete this form, see the **Pre-Election Report: Candidates and Officeholders Instruction Guide**

1 FILER NAME	<table> <tr> <td>Title</td> <td>First Name*</td> <td>Middle Initial</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td>Nickname</td> <td>Last Name*</td> <td>Suffix</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </table>	Title	First Name*	Middle Initial	<input type="text"/>	<input type="text"/>	<input type="text"/>	Nickname	Last Name*	Suffix	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Nickname	Last Name*	Suffix											
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2 FILER ADDRESS	<table> <tr> <td>Address/ PO Box</td> <td colspan="2">Apartment or Suite Number</td> </tr> <tr> <td><input type="text"/></td> <td colspan="2"><input type="text"/></td> </tr> <tr> <td>City</td> <td>State</td> <td>Zip Code</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </table>	Address/ PO Box	Apartment or Suite Number		<input type="text"/>	<input type="text"/>		City	State	Zip Code	<input type="text"/>	<input type="text"/>	<input type="text"/>
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3 CAMPAIGN TREASURER NAME	<table> <tr> <td>Title</td> <td>First Name</td> <td>Middle Initial</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td>Nickname</td> <td>Last Name</td> <td>Suffix</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </table>	Title	First Name	Middle Initial	<input type="text"/>	<input type="text"/>	<input type="text"/>	Nickname	Last Name	Suffix	<input type="text"/>	<input type="text"/>	<input type="text"/>
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4 CAMPAIGN TREASURER ADDRESS	<table> <tr> <td>Address/ PO Box</td> <td colspan="2">Apartment or Suite Number</td> </tr> <tr> <td><input type="text"/></td> <td colspan="2"><input type="text"/></td> </tr> <tr> <td>City</td> <td>State</td> <td>Zip Code</td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </table>	Address/ PO Box	Apartment or Suite Number		<input type="text"/>	<input type="text"/>		City	State	Zip Code	<input type="text"/>	<input type="text"/>	<input type="text"/>
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City	State	Zip Code											
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5 REPORTING PERIOD AND OFFICE INFORMATION	<table> <tr> <td>Start Date (yyyyymmdd)*</td> <td>THROUGH</td> <td>End Date (yyyyymmdd)*</td> </tr> <tr> <td><input type="text"/></td> <td></td> <td><input type="text"/></td> </tr> <tr> <td>Office Sought</td> <td colspan="2">Office Held, if applicable</td> </tr> <tr> <td><input type="text"/></td> <td colspan="2"><input type="text"/></td> </tr> </table>	Start Date (yyyyymmdd)*	THROUGH	End Date (yyyyymmdd)*	<input type="text"/>		<input type="text"/>	Office Sought	Office Held, if applicable		<input type="text"/>	<input type="text"/>	
Start Date (yyyyymmdd)*	THROUGH	End Date (yyyyymmdd)*											
<input type="text"/>		<input type="text"/>											
Office Sought	Office Held, if applicable												
<input type="text"/>	<input type="text"/>												

* Indicates a required field



Pre-Election Report Candidates and Officeholders Form ATX.7COH

6

SCHEDULES

ATTACHED

*Check box for each form
attached*

- ☐ Schedule ATX.7A - Pre-Election Report of Contributions
- ☐ Schedule ATX.7E: Loans Made from Personal Funds
- ☐ Schedule ATX.7G: Expenditures Made from Personal Funds

AFFIDAVIT

By signature below, I certify that the preceding Pre-Election Report filed herewith is in all things true and correct and fully shows all information required to be reported by me pursuant to City Code, Section 2-2-29 for the reporting period indicated.

Signature of Affiant



Pre-Election Report of Contributions: Schedule ATX.7A

(Attach to Form ATX.7COH Coversheet)

Contribution

Itemize each contribution in Sections 1-3.

For additional contributions, click "Add Another Contribution Page" below.

* Indicates a required field

1 CONTRIBUTOR NAME <input checked="" type="checkbox"/> Contributor is an individual	<table><tr><td>Contributor Title</td><td>Contributor First Name*</td></tr><tr><td><input type="text"/></td><td><input type="text"/></td></tr><tr><td>Organization Name or Contributor Last Name, as applicable*</td><td>Contributor Suffix</td></tr><tr><td><input type="text"/></td><td><input type="text"/></td></tr></table>	Contributor Title	Contributor First Name*	<input type="text"/>	<input type="text"/>	Organization Name or Contributor Last Name, as applicable*	Contributor Suffix	<input type="text"/>	<input type="text"/>													
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Organization Name or Contributor Last Name, as applicable*	Contributor Suffix																					
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2 CONTRIBUTOR ADDRESS AND EMPLOYER	<table><tr><td>Contributor Address/ PO Box*</td><td colspan="2">Contributor Apartment or Suite Number</td></tr><tr><td><input type="text"/></td><td colspan="2"><input type="text"/></td></tr><tr><td>Contributor City*</td><td>Contributor State*</td><td>Contributor Zip Code*</td></tr><tr><td><input type="text"/></td><td>TX</td><td><input type="text"/></td></tr><tr><td>Contributor Employer</td><td colspan="2">Contributor Occupation</td></tr><tr><td><input type="text"/></td><td colspan="2"><input type="text"/></td></tr><tr><td colspan="3">Per City Code 2-2-29(d), employer and occupation are required for individuals whose contribution is \$200 or more</td></tr></table>	Contributor Address/ PO Box*	Contributor Apartment or Suite Number		<input type="text"/>	<input type="text"/>		Contributor City*	Contributor State*	Contributor Zip Code*	<input type="text"/>	TX	<input type="text"/>	Contributor Employer	Contributor Occupation		<input type="text"/>	<input type="text"/>		Per City Code 2-2-29(d), employer and occupation are required for individuals whose contribution is \$200 or more		
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Contributor City*	Contributor State*	Contributor Zip Code*																				
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Per City Code 2-2-29(d), employer and occupation are required for individuals whose contribution is \$200 or more																						
3 CONTRIBUTION DETAILS	<table><tr><td>Contribution Date (yyyymmdd)*</td><td>(\$) Contribution Amount*</td></tr><tr><td><input type="text"/></td><td><input type="text"/></td></tr><tr><td colspan="2">In-Kind Contribution Description, if applicable</td></tr><tr><td colspan="2"><input type="text"/></td></tr></table>	Contribution Date (yyyymmdd)*	(\$) Contribution Amount*	<input type="text"/>	<input type="text"/>	In-Kind Contribution Description, if applicable		<input type="text"/>														
Contribution Date (yyyymmdd)*	(\$) Contribution Amount*																					
<input type="text"/>	<input type="text"/>																					
In-Kind Contribution Description, if applicable																						
<input type="text"/>																						

Add Another Contribution Page



**Pre-Election Report of Loans
Made From Personal Funds: Schedule ATX.7E**
(Attach to Form ATX.7COH Coversheet)

Loan

Itemize each loan made from personal funds below.
* Indicates a required field

Loan Date*	Loan Amount*



Pre-Election Report of Expenditures Made From Personal Funds: Schedule ATX.7G

(Attach to Form ATX.7COH Coversheet)

Expenditure

Itemize each expenditure made from personal funds in Sections 1-3.
For additional expenditures, click "Add Another Expenditure Page" below.

Note: To report a Direct Campaign Expenditure as defined in City Code 2-2-31, use form **ATX.1: Report of Direct Campaign Expenditures**

* Indicates a required field

1	PAYEE NAME <input type="checkbox"/> Payee is an individual	Organization Name or Payee Last Name, as applicable*		
2	PAYEE ADDRESS	Payee Address/ PO Box*	Payee Apartment or Suite Number	
		Payee City*	Payee State*	Payee Zip Code*
3	EXPENDITURE DETAILS	Category*	(\$) Expenditure Amount*	
		Description (If Category is "Other")	Expenditure Date*	

Add Another Expenditure Page

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Form Instructions

Pre-Election Report - Candidates and Officeholders

Form ATX.7COH

The Pre-Election Report by Candidates and Officeholders must be completed by any candidate who accepts contributions that total more than \$10,000; makes loans from personal funds to the candidate's campaign totaling more than \$10,000; or makes expenditures from personal funds in support of the campaign totaling more than \$10,000 during the period beginning the 9th day before the date of an election and ending at 5 p.m. on the day before the date of an election. The report must be filed with the City Clerk no later than 5 p.m. on the first business day after each date that one or more of the above reporting thresholds are met.

Electronic Filing of ATX.7COH Data

The Pre-Election Report must be filed electronically using the fillable PDF form provided by the City Clerk's Office. The form should be delivered to the City Clerk's Office electronically on a flash drive. Submitting the Pre-Election Report and associated schedules as instructed fulfills the requirement to provide a structured data file. Fillable PDF forms must be received by the City Clerk in the provided format. Printed and scanned, or otherwise modified, copies of the fillable PDFs will render the data unreadable and the City Clerk will be required to reject the submitted data. Email submission of the fillable PDFs is not permitted at this time.

Required fields are highlighted in **red** below. Failure to complete a required field will result in the data file being rejected by the City Clerk.

Per City Code Chapter 2-2-26, the City Clerk will reject data files that do not comply with formatting and data consistency requirements. Acceptance of a paper form does not indicate acceptance of the data file. For each submitted fillable PDF, a validation report will be generated and provided to the filer within one business day, indicating acceptance or rejection of the data file.

The Pre-Election Report by Candidates/Officeholders consists of a coversheet and three schedules:

- Schedule ATX.7E: Loans Made from Personal Funds
- Schedule ATX.7G: Expenditures Made from Personal Funds
- Schedule ATX.7A: Pre-Election Report of Contributions

Page 1: ATX.7COH Coversheet Filer Information

1. Filer Name: The filer's full name.

a. Title: The filer's title, if applicable.

b. First Name: The first name of the filer. *This field is required. A blank value in this field will result in an error that will cause the data file to be **rejected**.*

c. Middle Initial: The filer's middle initial, if applicable.

d. Nickname: The filer's nickname, if applicable.

e. Last Name: The filer's last name. *This field is required. A blank value in this field will result in an error that will cause the data file to be **rejected**.*

f. Suffix: The filer's suffix, if applicable.



Form Instructions

Pre-Election Report - Candidates and Officeholders

Form ATX.7COH

2. Filer Address: The filer's full mailing or street address including city, state, and zip code.

3. Campaign Treasurer Name: The full name of the filer's campaign treasurer.

4. Campaign Treasurer Address: The mailing or street address of the filer's campaign treasurer, including city, state, and zip code.

5. Reporting Period: The date on which the reporting period for this report starts, and the date on which the reporting period for this report ends. Enter all dates in the format *yyyymmdd*. *These fields are required. A blank value in these fields will result in an error that will cause the data file to be rejected.*

Office Information: The office currently sought and/or the office currently held by the filer, as applicable.

Page 2: ATX.7COH Coversheet Affidavit

6. Schedules Attached: Identifies the schedule type(s) attached to the coversheet. Check all boxes that apply.

Affidavit: Signature of filer. Upon receipt of the fillable PDF, the City Clerk will print a paper copy of the form for the filer to sign.

Page 3: Schedule ATX.7A Contribution Information

For each contribution accepted by the filer during the reporting period, the following information must be provided. If the filer has no contributions to report, leave this page blank.

1. Contributor Name: The contributor's full name (for individuals) or the name of the company, political committee, organization, or group (for entities). For individuals, check the box next to "Contributor is an individual". *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

2. Contributor Address: The contributor's street or mailing address, including city, state, and zip code. *These fields are required. A blank value in these fields will result in an error that will cause the data file to be rejected.*

Contributor Employer and Occupation: If the contributor is an individual, provide the contributor's employer and occupation. *If the contribution amount is \$200 or more, the Contributor Employer and Occupation field is required. A blank value in these fields will result in an error that will cause the data file to be rejected.*

3. Contribution Details: For each contribution, the following information must be provided:

a. Contribution Date: The date on which the contribution was accepted. Enter all dates in the format *yyyymmdd*. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

b. Contribution Amount: The amount of the contribution, or the market value of an in-kind contribution. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

c. In-Kind contribution Description: For an in-kind contribution, a description of the contribution.

To add additional contributions, click "Add Another Contribution Page" on the lower left-hand side of the form.



Form Instructions

Pre-Election Report - Candidates and Officeholders

Form ATX.7COH

Page 4: Schedule ATX.7E Loans from Personal Funds

For each loan made from personal funds by the filer to his or her campaign during the reporting period, the following information must be provided. If the filer has no loans to report, leave this page blank.

a. Loan Date: The date on which the loan was made. Enter all dates in the format yyyyymmdd. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

b. Loan Amount: The principal amount of the loan. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

Page 5: Schedule ATX.7G Expenditures Made from Personal Funds

For each expenditure from personal funds made by the filer during the reporting period, the following information must be provided. If the filer has no expenditures from personal funds to report, leave this page blank.

To report a Direct Campaign Expenditure as defined in City Code 2-2-31, use form ATX.1: Report of Direct Campaign Expenditures

1. Payee Name: The payee's full name (for individuals) or the name of the company, political committee, organization, or group (for entities). For Individuals, check the box next to "Payee is an individual". *The Payee Name field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

2. Payee Address: The payee's street or mailing address, including city, state, and zip code. *These fields are required. A blank value in these fields will result in an error that will cause the data file to be rejected.*

3. Expenditure Details: For each expenditure, the following information must be provided:

a. Category: The category code of goods, services, or other thing of value for which an expenditure is made. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

b. Description: If the category is "Other," a description of the category of goods, services, or other thing of value for which an expenditure is made.

c. Expenditure Amount: The amount of the payment. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

d. Expenditure Date: The date on which the payment was made. Enter all dates in the format yyyyymmdd. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

To add additional expenditures, click "Add Another Expenditure Page" on the lower left-hand side of the form.

This page intentionally left blank.



Pre-Election Report Political Committees Form ATX.7PAC

Use this form to report contributions received and expenditures made between the 9th day before the Election and the day before the Election that have met the monetary thresholds identified in City Code 2-2-29. For detailed instructions on how to complete this form, see the **Pre-Election Report: Political Committees Instruction Guide**

1 COMMITTEE NAME	Committee Name*			
2 COMMITTEE ADDRESS	Address/ PO Box		Apartment or Suite Number	
	City		State	Zip Code
3 COMMITTEE TREASURER NAME	Title	First Name		Middle Initial
	Nickname		Last Name	Suffix
4 COMMITTEE TREASURER ADDRESS	Address/ PO Box		Apartment or Suite Number	
	City		State	Zip Code
5 REPORTING PERIOD	Start Date (yyyymmdd)*		THROUGH	End Date (yyyymmdd)*

* Indicates a required field



Pre-Election Report Political Committees Form ATX.7PAC

6

SCHEDULES

ATTACHED

*Check box for each form
attached*

☐

Schedule ATX.7A - Pre-Election Report of Contributions

☐

Schedule ATX.7F - Pre-Election Report of Expenditures

AFFIDAVIT

By signature below, I certify that the Pre-Election Report filed herewith is in all things true and correct and fully shows all information required to be reported by me pursuant to City Code, Section 2-2-29 for the reporting period indicated.

Signature of Affiant



Pre-Election Report of Contributions: Schedule ATX.7A

(Attach to Form ATX.7PAC Coversheet)

Itemize each contribution in Sections 1-3.

For additional contributions, click "Add Another Contribution Page" below.

* Indicates a required field

1 CONTRIBUTOR NAME <input type="checkbox"/> Contributor is an individual	Contributor Title Contributor First Name* <input type="text"/> <input type="text"/> Organization Name or Contributor Last Name, as applicable* Contributor Suffix <input type="text"/> <input type="text"/>
2 CONTRIBUTOR ADDRESS AND EMPLOYER	Contributor Address/ PO Box* Contributor Apartment or Suite Number <input type="text"/> <input type="text"/> Contributor City* Contributor State* Contributor Zip Code* <input type="text"/> <input type="text"/> <input type="text"/> Contributor Employer Contributor Occupation <input type="text"/> <input type="text"/> Per City Code 2-2-29(d), employer and occupation are required for individuals whose contribution is \$200 or more
3 CONTRIBUTION DETAILS	Contribution Date (yyyymmdd)* (\$) Contribution Amount* <input type="text"/> <input type="text"/> In-Kind Contribution Description, if applicable <input type="text"/>

Add Another Contribution Page



Pre-Election Report of Expenditures: Schedule ATX.7F

(Attach to Form ATX.7PAC Coversheet)

Expenditure

Itemize each expenditure in Sections 1-3.

For additional expenditures, click "Add Another Expenditure Page" below.

Note: To report a Direct Campaign Expenditure as defined in City Code 2-2-31, use form **ATX.1: Report of Direct Campaign Expenditures**

* Indicates a required field

1	PAYEE NAME <input type="checkbox"/> Payee is an individual	Organization Name or Payee Last Name, as applicable*		
2	PAYEE ADDRESS	Payee Address/ PO Box*	Payee Apartment or Suite Number	
3	EXPENDITURE DETAILS	Category*	(\$) Expenditure Amount*	

Add Another Expenditure Page



Form Instructions

Pre-Election Report - Political Committees

Form ATX.7PAC

The Pre-Election Report by Political Committees must be completed by any political committee that accepts contributions that total more than \$2,500; or makes expenditures that total more than \$1,000 during the period beginning the 9th day before the date of an election and ending at 5 p.m. on the day before the date of an election. The report must be filed with the City Clerk no later than 5 p.m. on the first business day after each date that one or both of the reporting thresholds are met.

Electronic Filing of ATX.7PAC Data

The Pre-Election Report must be filed electronically using the fillable PDF form provided by the City Clerk's Office. The form should be delivered to the City Clerk's Office electronically on a flash drive. Submitting the Pre-Election Report and associated schedules as instructed fulfills the requirement to provide a structured data file. Fillable PDF forms must be received by the City Clerk in the provided format. Printed and scanned, or otherwise modified, copies of the fillable PDFs will render the data unreadable and the City Clerk will be required to reject the submitted data. Email submission of the fillable PDFs is not permitted at this time.

Required fields are highlighted in red below. Failure to complete a required field will result in the data file being rejected by the City Clerk.

Per City Code Chapter 2-2-26, the City Clerk will reject data files that do not comply with formatting and data consistency requirements. Acceptance of a paper form does not indicate acceptance of the data file. For each submitted fillable PDF, a validation report will be generated and provided to the filer within one business day, indicating acceptance or rejection of the data file.

The Pre-Election Report by Political Committees consists of a coversheet and two Schedules:

- Schedule ATX.7A: Pre-Election Report of Contributions
- Schedule ATX.7F: Pre-Election Report of Expenditures

Page 1: ATX.7PAC Coversheet Committee Information

- 1. Committee Name:** The political committee's name. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*
- 2. Committee Address:** The committee's street or mailing address, including city, state, and zip code.
- 3. Committee Treasurer Name:** The full name of the committee's treasurer.
- 4. Committee Treasurer Address:** The mailing or street address, including city, state, and zip code, of the committee's treasurer.
- 5. Reporting Period:** The date on which the reporting period for this report starts, and the date on which the reporting period for this report ends. Enter all dates in the format yyyyymmdd. *These fields are required. A blank value in these fields will result in an error that will cause the data file to be rejected.*



Form Instructions

Pre-Election Report - Political Committees

Form ATX.7PAC

Page 2: ATX.7PAC Coversheet Affidavit

6. Schedules Attached: Identifies the schedule type(s) attached to the coversheet. Check all boxes that apply.

Affidavit: Signature of filer. Upon receipt of the fillable PDF, the City Clerk will print a paper copy of the form for the filer to sign.

Page 3: Schedule ATX.7A Contribution Information

For each contribution accepted by the committee during the reporting period, the following information must be provided. If the committee has no contributions to report, leave this page blank.

1. Contributor Name: The contributor's full name (for individuals) or the name of the company, political committee, organization, or group (for entities). For Individuals, check the box next to "Contributor is an individual". *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

2. Contributor Address: The contributor's street or mailing address, including city, state, and zip code. *These fields are required. A blank value in these fields will result in an error that will cause the data file to be rejected.*

Contributor Employer and Occupation: If the contributor is an individual, provide the contributor's employer and occupation. *If the contribution amount is \$200 or more, the Contributor Employer and Occupation field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

3. Contribution Details: For each contribution, the following information must be provided:

a. Contribution Date: The date on which the contribution was accepted. Enter all dates in the format yyyyymmdd. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

b. Contribution Amount: The amount of the contribution, or the market value of an in-kind contribution. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

c. In-Kind Contribution Description: For an in-kind contribution, a description of the contribution.

To add additional contributions, click the "Add Another Contribution Page" on the lower left-hand side of the form.



Form Instructions

Pre-Election Report - Political Committees

Form ATX.7PAC

Page 4: Schedule ATX.7F Expenditure Information

For each expenditure made by the committee during the reporting period, the following information must be provided. If the committee has no expenditures to report, leave this page blank.

To report a Direct Campaign Expenditures as defined in City Code 2-2-31, use form ATX.1: Report of Direct Campaign Expenditures.

1. **Payee Name:** The payee's full name (for individuals) or the name of the company, political committee, organization, or group (for entities). For individuals, check the box next to "Payee is an individual". *The Payee Name field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*
2. **Payee Address:** The payee's street or mailing address, including city, state and zip code. *These fields are required. A blank value in these fields will result in an error that will cause the data file to be rejected.*
3. **Expenditure Details:** For each expenditure, the following information must be provided:
 - a. **Category:** The category code of goods, services, or other thing of value for which an expenditure is made. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*
 - b. **Expenditure Amount:** The amount of the payment. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*
 - c. **Description:** If the category code is "Other," a description of the category of goods, services, or other thing of value for which an expenditure is made.
 - d. **Expenditure Date:** The date on which the payment was made. Enter all dates in the format yyyymmdd. *This field is required. A blank value in this field will result in an error that will cause the data file to be rejected.*

To add additional expenditures, click the "Add Another Expenditure Page" on the lower left-hand side of the form.

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INFORMES CON FECHAS LÍMITE ESPECÍFICAS			
FECHA DE VENCIMIENTO	INFORME/TÍTULO DE FORMULARIO	PERIODO CUBIERTO	NOTA/AVISO
Martes, Enero 16, 2018 5:00 p.m. Se extiende la fecha límite por día festivo.	<u>Enero 15 – Informe Semi-Anual</u> Informe de Finanzas de Campaña de Candidatos/Oficiales Electos-Formulario C/OH https://www.ethics.state.tx.us/forms/coh.pdf Archivo Electrónico de Datos de la Ciudad de Austin: Modelos del archivo de datos http://austintexas.gov/page/campaign-finance-forms Si es aplicable: Lista ATX 5: Informe de Agrupación de Contribuciones (<i>Bundling</i>) http://austintexas.gov/page/campaign-finance-forms	Desde: Julio 1, 2017, o La fecha de nombramiento del tesorero de campaña o el día después de la fecha final del último informe. A: Diciembre 31, 2017	Informe de Finanzas de Campaña para Candidatos y Oficiales Electos-Formulario C/OH-Guía de Instrucciones: https://www.ethics.state.tx.us/forms/COH_ins.pdf El Candidato debería haber archivado el Nombramiento de Tesorero de Campaña en Formulario CTA: https://www.ethics.state.tx.us/forms/cta.pdf Requerido por Código Electoral de Texas, Sec. 254.063, Sec. 254.093 y Sec 1.006 Archivo Electrónico de Datos deberá además ser sometido de acuerdo con instrucciones de la Secretaria de la Ciudad. Instrucciones en: http://www.austintexas.gov/edims/document.cfm?id=246334 Requerido por Código de la Ciudad 2-2-26. ATX 5deberá ser archivada para cada persona/recaudador quien haya solicitado y obtenido contribuciones de campaña para el candidato de \$200 o más por persona de cinco o más individuos durante el periodo de reportar. Requerido por Código de la Ciudad 2-2-22.
Lunes, Abril 30, 2018 4:45 p.m. Titulares-Oficiales Electos actuales y personal requerido .	<u>Declaración de Información Financiera (SFI) (Formulario de la Ciudad)</u> Provisto por la Oficina de la Secretaria de la Ciudad.	Desde: Enero 1, 2017 A: Diciembre 31, 2017	Este formulario se somete a no más tardar del 30 de Abril anual a las 4:45 p.m. Requerido por el Código de la Ciudad §§ 2-7-76, 2-7-72 (A)

Lunes, Abril 30, 2018 5 p.m. Titulares-Oficiales electos actuales y personal afectado.	Formulario de Declaración Financiera Personal (PFS) https://www.ethics.state.tx.us/e-forms/e_pfs-LOCAL18.pdf	De: Enero 1, 2017 A: Diciembre 31, 2017	Formulario PFS – Guía Instructivo: https://www.ethics.state.tx.us/forms/PFS_ins.pdf Requerido por Código Gub. de Texas, Sec. 572.021 , Sec. 572.026 , Requerido por el Código Electoral de Texas Sec. 145.004(a)-(c) , y Sec. 1.006 .
Lunes, Julio 16, 2018 5:00 p.m. Se extiende la fecha límite por ser fin de semana. .	<u>Enero 15 – Informe Semi-Anual</u> Informe de Finanzas de Campaña de Candidatos/Oficiales Electos-Formulario C/OH https://www.ethics.state.tx.us/forms/coh.pdf Archivo Electrónico de la Ciudad de Austin: Modelos http://austintexas.gov/page/campaign-finance-forms Si es aplicable: Lista ATX 5: Informe de Agrupación del Candidato http://austintexas.gov/page/campaign-finance-forms	De: Enero 1, 2018, o La fecha de nombramiento del tesorero de campaña o el día después de la fecha final del último informe. A: Junio 30, 2018	Informe de Finanzas de Campaña de Candidatos/Oficiales Electos-Formulario C/OH – Guía Instructivo: https://www.ethics.state.tx.us/forms/COH_ins.pdf Deberá haber archivado Nombramiento de Tesorero de Campaña por el Candidato-Formulario CTA: https://www.ethics.state.tx.us/forms/cta.pdf Requerido por el Código Gub. de Texas Sec. 254.093 y Sec. 1.006 Archivo Electrónico de Datos deberá además ser sometido de acuerdo con instrucciones de la Secretaria de la Ciudad. Instrucciones en: http://www.austintexas.gov/edims/document.cfm?id=246334 Requerido por Código de la Ciudad 2-2-26 . ATX 5deberá ser archivada para cada persona/recaudador quien haya solicitado y obtenido contribuciones de campaña para el candidato de \$200 o más por persona de cinco o más individuos durante el periodo de reportar. Requerido por Código de la Ciudad 2-2-22 .
Lunes, Julio 23, 2018 – Lunes, Agosto 20, 2018	<u>Solicitud para ser apuntado en la boleta</u> t Provisto por la Oficina de la Secretaria de la Ciudad .	N/A	Fecha límite para someter solicitudes es el 78vo día anterior a la elección para las 5:00 p.m. Por favor fijarse que la fecha límite para archivar el “Contrato de Campaña” voluntario detallado en el Código de la Ciudad 2-2-11 es “la más anterior de (1) 30 días después de que la persona se convierte en candidato bajo el Código Electoral de Texas [§§ 141.031 , 141.040 y Capitulo 143]; o (2) la fecha en que el candidato archiva su solicitud para apuntarse en la

			boleta.” Para información adicional, favor de consultar el Código Electoral de Texas y el documento de la Secretaria de la Ciudad titulado “Folleto Para Candidatos y Para Oficiales Electos Tocante Finanzas de Campañas.
Viernes, Julio 31, 2018 4:45 p.m. Solo el Alcalde y Consejo actuales y conyugues	Declaración de Información Financiera (SFI) (Formulario de la Ciudad) Provisto por la Oficina de la Secretaria de la Ciudad.	De: Enero 1, 2018 A: Junio 30, 2018	Este formulario se somete a no más tardar del 31 de julio cada año para las 4:45 p.m. Requerido por el Código de la Ciudad 2-7-72 (A)
Lunes, Agosto 27, 2018 4:45 p.m. Candidatos solamente-No se requiere que Titulares electos archiven nuevamente el informe si es que los informes requeridos fueron archivados en abril.	Declaración de Información Financiera (SFI) (Formulario de la Ciudad) Provisto por la Oficina de la Secretaria de la Ciudad.	De: Enero 1, 2017 A: Diciembre 31, 2017	Este formulario se somete a no más tardar de 5 días hábiles después de la fecha límite para archivarlo para el puesto de sus candidaturas. Oficiales electos no tienen requisito de archivar si ya han archivado el informe requerido del 30 de abril, 2018. Requerido por Código de la Ciudad, 2-7-74
Lunes, Septiembre 10, 2018 5:00 p.m. Se extiende la fecha límite por ser fin de semana.. Candidatos solamente-No se requiere que Titulares electos archiven nuevamente el informe si es que los informes requeridos fueron archivados en abril.	Declaración Financiera Personal (PFS) https://www.ethics.state.tx.us/e-forms/e_pfs-LOCAL18.pdf	De: Enero 1, 2017 A: Diciembre 31, 2017	Este formulario se somete el día 20vo después de la fecha límite para archivar la solicitud para ser apuntado en la boleta. La fecha límite para archivar la solicitud es el 20 de Agosto, 2018. Así que el día 20vo después de la fecha limite sería, el domingo, 9 de septiembre, 2018. Requerido por Código Gub. de Texas, Sec. 572.021 , Sec 572.026 , 572.029 ; Código Gub. Local de Texas Sec.145.004 (a)-(c) .

<p>Martes, Octubre 9, 2018 5:00 p.m.</p> <p>Se extiende la fecha límite por ser fin de semana y día festivo.</p>	<p><u>Informe Pre-Elección del Día 30vo</u></p> <p>Informe de Finanzas de Campaña de Candidatos/Oficiales Electos-Formulario C/OH https://www.ethics.state.tx.us/forms/coh.pdf</p> <p>Archivo Electrónico de Datos de la Ciudad de Austin: Modelos del archivo de datos http://austintexas.gov/page/campaign-finance-forms</p> <p>Si es aplicable: Lista ATX 5: Informe de Agrupación de Fondos del Candidato http://austintexas.gov/page/campaign-finance-forms</p>	<p>De: Julio 1, 2018, o</p> <p>La fecha de nombramiento del tesorero de campaña o el día después de la fecha final del último informe.</p> <p>A: Septiembre 27, 2018</p> <p>La fecha final ese en el 40vo día antes de la elección.</p>	<p>Deberá ser archivada por candidatos con “oposición” que no escogieron el proceso modificado de reportar o si escogieron el proceso modificado pero luego excedieron el limite antes del 30vo día anterior a la elección. Código Electoral de Texas § 254.064.</p> <p>Informe de Finanzas de Campaña para Candidatos y Oficiales Electos-Formulario C/OH-Guía de Instrucciones: https://www.ethics.state.tx.us/forms/COH_ins.pdf</p> <p>Deberá haber archivado Nombramiento de Tesorero de Campaña por el Candidato-Formulario CTA: https://www.ethics.state.tx.us/forms/cta.pdf Requerido por Código Gub. de Texas Sec. 254.093 y Sec. 1.006</p> <p>Archivo Electrónico de Datos deberá además ser sometido de acuerdo con instrucciones de la Secretaría de la Ciudad. Instrucciones en: http://www.austintexas.gov/edims/document.cfm?id=246334 Requerido por el Código de la Ciudad 2-2-26.</p> <p>ATX 5deberá ser archivada para cada persona/recaudador quien haya solicitado y obtenido contribuciones de campaña para el candidato de \$200 o más por persona de cinco o más individuos durante el periodo de reportar. Requerido por Código de la Ciudad 2-2-22.</p>

<p>Lunes, Octubre 29, 2018 5:00 p.m.</p>	<p><u>Informe Pre-Elección del Día 8vo</u></p> <p>Informe de Finanzas de Campaña de Candidatos/Oficiales Electos-Formulario C/OH https://www.ethics.state.tx.us/forms/coh.pdf</p> <p>Archivo Electrónico de Datos de la Ciudad de Austin: Modelos del archivo de datos http://austintexas.gov/page/campaign-finance-forms</p> <p>Si es aplicable: Lista ATX 5: Informe de Agrupación de Fondos del Candidato http://austintexas.gov/page/campaign-finance-forms</p>	<p>De: Septiembre 28, 2018, o</p> <p>La fecha de nombramiento del tesorero de campaña o el día después de la fecha final del último informe.</p> <p>A: Octubre 27, 2018</p> <p>La fecha final es el 10mo día antes de la elección.</p>	<p>Deberá ser archivada por candidatos con “oposición” que no escogieron el proceso modificado de reportar o si escogieron el proceso modificado pero luego excedieron el limite antes del 8vo día anterior a la elección. Código Electoral de Texas § 254.064. Tex.</p> <p>Informe de Finanzas de Campaña para Candidatos y Oficiales Electos-Formulario C/OH-Guía de Instrucciones: https://www.ethics.state.tx.us/forms/COH_ins.pdf</p> <p>Deberá haber archivado Nombramiento de Tesorero de Campaña por el Candidato-Formulario CTA: https://www.ethics.state.tx.us/forms/cta.pdf Requerido por Código Gub. de Texas Sec. 254.093 y Sec. 1.006</p> <p>Archivo Electrónico de Datos deberá además ser sometido de acuerdo con instrucciones de la Secretaria de la Ciudad. Instrucciones en: http://www.austintexas.gov/edims/document.cfm?id=246334 Requerido por Código de la Ciudad 2-2-26.</p> <p>ATX 5deberá ser archivada para cada persona/recaudador quien haya solicitado y obtenido contribuciones de campaña para el candidato de \$200 o más por persona de cinco o más individuos durante el periodo de reportar. Requerido por Código de la Ciudad 2-2-22.</p>
<p>Lunes, Octubre 29, 2018 hasta Lunes, Noviembre 5, 2018</p> <p>Se requiere durante el periodo del 9no día antes de la elección y para las 5 pm el anterior a la elección.</p>	<p><u>ATX- Informe Pre-Elección (ATX7) Candidatos y Oficiales Electos</u></p> <p>http://austintexas.gov/page/campaign-finance-forms</p>	<p>Octubre 28, 2018 hasta Noviembre 5, 2018</p>	<p>Deberá ser archivado por cualquier candidato que acepta contribuciones de un total de más de \$10,000; préstamos de fondos personales de un total de más de \$10,000; gastos de fondos personales de un total de más de \$10,000 durante el periodo de reportar. Deberá ser archivado a no más tardar de las 5 p.m. el primer día hábil después de cada fecha en que uno o más de los límites indicados se realizan. Código de la Ciudad § 2-2-29(C).</p> <p>Deberá ser archivado de acuerdo con instrucciones de archivar provistas por la Secretaria de la Ciudad.</p>

Lunes, Octubre 29, 2018 hasta Lunes, Noviembre 5, 2018 Se requiere durante el periodo del 9no día antes de la elección y para las 5 pm el anterior a la elección.	<u>ATX- Informe Pre-Elección (ATX7) Comités de Acción Política</u> http://austintexas.gov/page/campaign-finance-forms	Octubre 28, 2018 hasta Noviembre 5, 2018.	Deberá ser archivado por cualquier comité político que acepte contribuciones de un total de más de \$2,500; o que hace gastos de un total de más de \$1,000 durante el periodo de reportar. Deberá ser archivado a no más tardar de las 5 p.m. el primer día hábil después de cada fecha en que uno o más de los límites indicados se realizan. Código de la Ciudad § 2-2-29(D). Deberá ser archivado de acuerdo con instrucciones de archivar provistas por la Secretaria de la Ciudad.
Martes, Enero 15, 2019 5:00 p.m.	<u>Enero 15th – Informe Semi-Anual</u> Informe de Finanzas de Campaña de Candidatos/Oficiales Electos-Formulario C/OH https://www.ethics.state.tx.us/forms/coh.pdf Archivo Electrónico de Datos de la Ciudad de Austin: Modelos del archivo de datos http://austintexas.gov/page/campaign-finance-forms Si es aplicable: Lista ATX 5: Informe de Agrupación de Fondos del Candidato http://austintexas.gov/page/campaign-finance-forms	De: Julio1, 2018, o La fecha de nombramiento del tesorero de campaña o el día después de la fecha final del último informe. A: Diciembre 31, 2018	Informe de Finanzas de Campaña para Candidatos y Oficiales Electos-Formulario C/OH-Guía de Instrucciones: https://www.ethics.state.tx.us/forms/COH_ins.pdf Deberá haber archivado Nombramiento de Tesorero de Campaña por el Candidato-Formulario CTA: https://www.ethics.state.tx.us/forms/cta.pdf Requerido por Código Gub. de Texas Sec. 254.093 y Sec. 1.006 Archivo Electrónico de Datos deberá además ser sometido de acuerdo con instrucciones de la Secretaria de la Ciudad. Instrucciones en: http://www.austintexas.gov/edims/document.cfm?id=246334 Requerido por Código de la Ciudad 2-2-26 . ATX 5deberá ser archivada para cada persona/recaudador quien haya solicitado y obtenido contribuciones de campaña para el candidato de \$200 o más por persona de cinco o más individuos durante el periodo de reportar. Requerido por Código de la Ciudad 2-2-22 .

INFORMES ADICIONALES QUE SE PUDIERAN REQUERIR			
FECHA DE VENCIMIENTO	INFORME/TÍTULO DE FORMULARIO	PERIODO CUBIERTO	NOTA/AVISO
<p>Requisito: Archivar antes de aceptar contribuciones de campaña o de autorizar gastos de campaña antes de someter informes. Este formulario además se usa si piensa cambiar su Tesorero de Campaña.</p> <p>La cuota que se paga a la autoridad para ser apuntado en la boleta es gasto de campaña y no se puede hacer antes de archivar el formulario de nombramiento de tesorero con la autoridad apropiada.</p>	<p><u>Nombramiento de Tesorero de Campaña (CTA)</u></p> <p>https://www.ethics.state.tx.us/forms/cta.pdf</p> <p><u>Nombramiento de Tesorero de Campaña Enmendado (ACTA)</u></p> <p>https://www.ethics.state.tx.us/forms/acta.pdf</p>	<p>Requerido antes de recibir contribuciones.</p> <p>Si es candidato (una persona que haya archivado el Formulario CTA) y si usted está archivando su primer informe, la fecha de inicio sería la fecha en que archivó su Formulario CTA.</p> <p>Si es usted oficial nombrado a su puesto electo, quien no tenía el Formulario CTA archivado cuando fue nombrado, la fecha de inicio de su primer informe sería la fecha en que asumió el puesto. .</p>	<p>Aviso: Si usted es oficial en puesto electo que nombra a un tesorero de campaña después de un periodo de no tenerlo, deberá usted archivar un informe de contribuciones, gastos, y préstamos a no más tardar del 15^o día después de ser efectivo su nombramiento. Este requisito no es aplicable si usted es candidato o si es oficial en puesto electo que solamente está cambiando el tesorero de campaña.</p> <p>Por favor observe lo siguiente: la fecha límite para archivar el “contrato de campaña” voluntario detallado en el Código de la Ciudad 2-2-11 es “la más anterior de (1) 30 días después de que el candidato se convierte en candidato bajo el Código Electoral de Texas [§§ 141.031, 141.040 y Capítulo 143]; o (2) la fecha en que el candidato archiva solicitud para ser apuntado en la boleta.” Para información adicional, favor de consultar el Código Electoral de Texas y el documento de la Secretaría de la Ciudad titulado “Folleto Para Candidatos y Para Oficiales Electos Tocante Finanzas de Campañas.</p>
<p>No tiene fecha específica. La participación es opcional.</p> <p>Solamente candidatos</p>	<p><u>Contrato de Campaña del Candidato</u></p> <p>Provisto por la Oficina de la Secretaria de la Ciudad.</p>	<p>Elección del 2018</p>	<p>Por favor observe lo siguiente: la fecha límite para archivar el “contrato de campaña” voluntario detallado en el Código de la Ciudad 2-2-11 es “la más anterior de (1) 30 días después de que el candidato se convierte en candidato bajo el Código Electoral de Texas [§§ 141.031, 141.040 y Capítulo 143]; o (2) la fecha en que el candidato archiva solicitud para ser apuntado en la boleta.” Para información adicional, favor de consultar el Código Electoral de Texas y el documento de la Secretaría de la Ciudad titulado “Folleto Para Candidatos y Para Oficiales Electos Tocante Finanzas de Campañas.</p>

<p>Se cumple el 15^o día después de que el candidato haya archivado el Formulario CTA 5:00 p.m.</p> <p>Solamente los titulares en el puesto</p>	<p><u>Informe del 15vo Día Después del Nombramiento del Tesorero de Campaña</u></p> <p>Informe de Finanzas de Campaña de Candidatos/Oficiales Electos-Formulario C/OH https://www.ethics.state.tx.us/forms/coh.pdf</p> <p>Archivo Electrónico de Datos de la Ciudad de Austin: Modelos del archivo de datos http://austintexas.gov/page/campaign-finance-forms</p> <p>Si es aplicable: Lista ATX 5: Informe de Agrupación de Fondos del Candidato http://austintexas.gov/page/campaign-finance-forms</p>	<p>La fecha de inicio es ya sea el día después del último día de su último informe requerido o el día en que usted asumió el puesto electo a cual fue nombrado.</p> <p>El día final es el día antes de archivar el nombramiento del tesorero de campaña.</p>	<p>Informe de Finanzas de Campaña para Candidatos y Oficiales Electos-Formulario C/OH-Guía de Instrucciones: https://www.ethics.state.tx.us/forms/COH_ins.pdf</p> <p>Archivo Electrónico de Datos deberá además ser sometido de acuerdo con instrucciones de la Secretaria de la Ciudad. Instrucciones en: http://www.austintexas.gov/edims/document.cfm?id=246334 Requerido por Código de la Ciudad 2-2-26.</p> <p>ATX 5deberá ser archivada para cada persona/recaudador quien haya solicitado y obtenido contribuciones de campaña para el candidato de \$200 o más por persona de cinco o más individuos durante el periodo de reportar. Requerido por Código de la Ciudad 2-2-22.</p>
<p>Se cumple 48 horas después de exceder el límite de \$500 t</p>	<p><u>Informe al Exceder Límite de \$500</u></p> <p>Informe de Finanzas de Campaña de Candidatos/Oficiales Electos-Formulario C/OH https://www.ethics.state.tx.us/forms/coh.pdf</p> <p>Archivo Electrónico de Datos de la Ciudad de Austin: Modelos del archivo de datos http://austintexas.gov/page/campaign-finance-forms</p> <p>Si es aplicable: Lista ATX 5: Informe de Agrupación de Fondos del Candidato http://austintexas.gov/page/campaign-finance-forms</p>	<p>La fecha inicial del informe es el día en que usted nombró al tesorero de campaña o el día después del último día cubierto en su informe requerido, lo que sea más tarde.</p> <p>La fecha final es el día en que usted excedió el límite de \$500 en contribuciones o gastos.</p>	<p>Candidatos que escogieron archivar informes modificados pero que luego después del 30vo día antes de la elección, han excedido \$500 en contribuciones o \$500 en gastos para ser electos, deberán archivar este informe de Exceso del Límite de \$500 dentro de las 48 horas después de haber excedido el límite de \$500. El candidato deberá cumplir con esta fecha límite aunque sea en fin de semana o en día festivo.</p> <p>Informe de Finanzas de Campaña para Candidatos y Oficiales Electos-Formulario C/OH-Guía de Instrucciones: https://www.ethics.state.tx.us/forms/COH_ins.pdf</p> <p>Archivo Electrónico de Datos deberá además ser sometido de acuerdo con instrucciones de la Secretaria de la Ciudad. Instrucciones en: http://www.austintexas.gov/edims/document.cfm?id=246334 Requerido por Código de la Ciudad 2-2-26.</p>

			<p>ATX 5deberá ser archivada para cada persona/recaudador quien haya solicitado y obtenido contribuciones de campaña para el candidato de \$200 o más por persona de cinco o más individuos durante el periodo de reportar.</p> <p>Requerido por Código de la Ciudad 2-2-22.</p>
<p>No hay fecha límite fija para este informe.</p> <p>Requerida cuando el Candidato/Titular en el puesto no espera aceptar más contribuciones de campaña o de hacer más gastos de campaña</p>	<p>Informe de Finanzas de Campaña de Candidatos/Oficiales Electos- (Formulario de Contribuciones y Gastos): Informe Final</p> <p>Informe de Finanzas de Campaña de Candidatos/Oficiales Electos- Formulario C/OH https://www.ethics.state.tx.us/forms/coh.pdf</p> <p>Archivo Electrónico de Datos de la Ciudad de Austin: Modelos del archivo de datos http://austintexas.gov/page/campaign-finance-forms</p> <p>Si es aplicable: Lista ATX 5: Informe de Agrupación de Fondos del Candidato http://austintexas.gov/page/campaign-finance-forms</p>	<p>La fecha de inicio es el día después del último día cubierto en su último informe requerido.</p> <p>La fecha final es el día en que archiva el último informe.</p>	<p>Al archivar su Informe Final, allí termina el nombramiento de su tesorero de campaña y concluye su obligación de archivar más informes como candidato. El informe se requiere cuando el Candidato/Oficial Electo no espera aceptar más contribuciones de campaña, ni espera más actividad que reportar tocante su candidatura. Código Electoral de Texas §254.065(a).</p> <p>Para archivar el Informe Final, deberá usted completar el Informe “C/OH INFORME DE FINANZAS DE CAMPAÑA” (Formulario C/OH), marque “final” en el cuadro de la sección 9 en la Hoja de Cubierta, y complete, y adjunte el “C/OH INFORME : DESIGNACIÓN DE INFORME FINAL “ (Formulario C/OH- FR).</p> <p>Informe de Finanzas de Campaña para Candidatos y Oficiales Electos-Formulario C/OH-Guía de Instrucciones: https://www.ethics.state.tx.us/forms/COH_ins.pdf</p> <p>Archivo Electrónico de Datos deberá además ser sometido de acuerdo con instrucciones de la Secretaria de la Ciudad. Instrucciones en: http://www.austintexas.gov/edims/document.cfm?id=246334 Requerido por Código de la Ciudad 2-2-26.</p> <p>ATX 5deberá ser archivada para cada persona/recaudador quien haya solicitado y obtenido contribuciones de campaña para el candidato de \$200 o más por persona de cinco o más individuos durante el periodo de reportar.</p> <p>Requerido por Código de la Ciudad 2-2-22.</p>

<p>Se cumple a no más tardar del 30vo día después del final de un periodo de seis años</p>	<p>Informe de Candidatos/Oficiales Electos de Contribuciones No Utilizadas- (Destino Final)</p> <p>Informe de Candidatos/Oficiales Electos de Contribuciones No Utilizadas- Formulario C/OH-UC https://www.ethics.state.tx.us/forms/coh_uc.pdf</p> <p>Archivo Electrónico de Datos de la Ciudad de Austin: Modelos del archivo de datos http://austintexas.gov/page/campaign-finance-forms</p> <p>Si es aplicable: Lista ATX 5: Informe de Agrupación de Fondos del Candidato http://austintexas.gov/page/campaign-finance-forms</p>	<p>La fecha de inicio es el día después del periodo cubierto por su Informe Anual de Contribuciones Sin Gastar más reciente.</p> <p>La fecha final es el día en que archiva el informe.</p>	<p>Deberá usted archivar el informe de destino final de sus contribuciones sin gastar o bienes. Complete el Formulario C/OH-UC y marque el informe como “Contribuciones sin Gastar-Final” marcando el cuadro que dice “Destino Final”.</p> <p>Informe de Finanzas de Campaña para Candidatos y Oficiales Electos-Formulario C/OH-Guía de Instrucciones: https://www.ethics.state.tx.us/forms/COHuc_ins.pdf</p> <p>Archivo Electrónico de Datos deberá además ser sometido de acuerdo con instrucciones de la Secretaria de la Ciudad. Instrucciones en: http://www.austintexas.gov/edims/document.cfm?id=246334 Requerido por Código de la Ciudad 2-2-26.</p> <p>ATX 5 deberá ser archivada para cada persona/recaudador quien haya solicitado y obtenido contribuciones de campaña para el candidato de \$200 o más por persona de cinco o más individuos durante el periodo de reportar. Requerido por Código de la Ciudad 2-2-22.</p>
<p>Se cumple para las 5 p.m.:</p> <p>1. Si el gasto se hace en o después del 9no día antes de la fecha de la elección, el informe deberá ser archivado a no más tardar del quinto día hábil después de la fecha del gasto..</p> <p>2. Si el gasto se hace en o después del 60vo día antes de la elección, y antes del 9no día antes de la elección, el informe deberá ser archivado con la Secretaria de la Ciudad a no más tardar el segundo</p>	<p><u>Informe de – Gastos Directos de Campaña : Lista ATX.1</u></p> <p>Este informe es para personas (incluyendo corporaciones y comités políticos) que no sean candidatos ni comités de campaña quienes hacen gastos directos de campaña que exceden \$500 total con el propósito de promover la elección o la derrota de cualquier candidato o la aprobación o derrota de cualquier medida en la boleta. http://www.austintexas.gov/edims/document.cfm?id=252264</p>		<p>Report of Direct Campaign Expenditures: Lista ATX.1 Instruction Guide: http://www.austintexas.gov/edims/document.cfm?id=252269 Requerido por Código de la Ciudad, Sección 2-2-32(C)</p> <p>Deberá ser archivado de acuerdo con instrucciones de archivar provistas por la Secretaria de la Ciudad.</p>

<p>día hábil después de la fecha del gasto.</p> <p>.3. Si el gasto se hace en o después del 9no día antes de la fecha de la elección, el informe deberá ser archivado a no más tardar del primer día hábil después de la fecha del gasto.</p>			
<p>Se vence para las 5 p.m.:</p> <p>1. Si la transferencia se hace antes del 60vo día antes de la elección, el informe deberá ser archivado con la Secretaria de la Ciudad a no más tardar el quinto día hábil después de la fecha de la transferencia.</p> <p>2. Si la transferencia se hace en o después del 60vo día antes de la elección, y antes del 9no día antes de la elección, el informe deberá ser archivado con la Secretaria de la Ciudad a no más tardar el segundo día hábil después de la fecha de la transferencia.</p> <p>3. Si la transferencia se hace en o después del 9no día antes de la fecha de la elección, el informe deberá ser archivado a no más tardar del primer día hábil después de la fecha de la transferencia. .</p>	<p><u>Informe de Transferencias Cubiertas que Apoyan Gastos Directos de Campaña: Lista ATX.8</u></p> <p>http://www.austintexas.gov/edims/document.cfm?id=270612</p>		<p><u>Informe de Transferencias Cubiertas para Gastos Directos de Campaña: Lista ATX.8 Guía de Instrucción:</u></p> <p>http://www.austintexas.gov/edims/document.cfm?id=270611</p> <p>Requerido por Código de la Ciudad, Sección 2-2-34</p> <p>Deberá ser archivado de acuerdo con las instrucciones provistas por la Oficina de la Secretaria de la Ciudad.</p>

	<p><u>Declaración de Exención: Lista ATX.6</u></p> <p>Permite que un candidato u oficial electo postulado para re-elección sea exento de requisitos de someter el archivo de datos estructurados, con ciertas condiciones.</p> <p>http://www.austintexas.gov/edims/document.cfm?id=252265</p>		<p>Permitido bajo Código de la Ciudad, Sección 2-2-26(G)(3)</p>
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MEMORÁNDUM

A: Candidatos en la Elección de Concejales del 2018

DE: Jannette Goodall, Secretaria de la Ciudad

FECHA: 4 de Mayo, 2018

ASUNTO: Finanzas de Campaña de la Ciudad de Austin:
Requisitos para Archivar en Formato Electrónico

De acuerdo con el Código de la ciudad, candidatos, oficiales en puestos electos, comités políticos, entidades, o personas que por requisito del Código de la Ciudad o de ley estatal deberá archivar un informe financiero de campaña con el/la secretario/a de la Ciudad, deberán además del informe requerido, también proveer al/la secretario/a de la Ciudad un archivo de datos estructurados con el contenido del informe financiero de campaña. El archivo de datos deberá cumplir con especificaciones y estar o ser incluido en medios determinados por el/la Secretario/a de la Ciudad. El archivo de datos deberá ser entregado al/la Secretario/a de la Ciudad a no más tardar de la fecha en que el informe financiero pertinente se debe archivar.

La Sección 2-2-26 del Código de la Ciudad detalla los requisitos relacionados con el proceso de archivar la información de finanzas de campaña en formato electrónico. En particular dice:

- (A) Candidatos, oficiales en puestos electos, comités políticos, que por requisito del Código de la Ciudad o de ley estatal deberá archivar un informe financiero de campaña con el/la Secretario/a de la Ciudad, deberán además del informe requerido, también proveer al/la Secretario/a de la Ciudad un archivo de datos estructurados con el contenido del informe financiero de campaña. El archivo de datos deberá cumplir con especificaciones y estar o ser incluido en medios determinados por el/la Secretario/a de la Ciudad. El archivo de datos deberá ser entregado al/la Secretario/a de la Ciudad a no más tardar de la fecha en que el informe financiero pertinente se debe archivar.
- (C) El/la Secretario/a de la Ciudad deberá subir el archivo de datos a la base de datos exactamente como se recibe el archivo, con excepción de que el/la Secretario/a de la Ciudad no podrá subir archivos de datos que no cumplen las especificaciones técnicas del/la Secretario/a. El/la declarante que entregue archivo de datos al/la Secretario/a sin cumplir los requisitos tendrá que someter los datos nuevamente en el formato requerido.

La Sección 2-2-32 del Código de la Ciudad detalla los requisitos relacionados con los informes de gastos directos de las campañas:

- (A) Una persona que hace uno o más gastos directos de campañas en alguna elección de la Ciudad con un total que exceda \$500, deberá reportar:
- (1) el nombre y domicilio de la persona con quien se hizo dicho gasto;
 - (2) la fecha y cantidad de cada gasto;
 - (3) el propósito y descripción de cada gasto;
 - (4) el nombre de cada candidato incluyendo el puesto que ocupa, y el puesto en que se haya postulado, lo que aplique, cuya elección o derrota se propone con el gasto o cada proposición en la boleta cuya aprobación o derrota se propone con el gasto; y
 - (5) en caso de gastos para promover la elección, debería darse el nombre de cada candidato, incluyendo el puesto que ocupa y el puesto en que se haya postulado, lo que aplique, a quien la comunicación se refiere, o en caso de proposiciones en la boleta, indique cual es la proposición que la comunicación apoya o procura derrotar.
- (E) la persona que está archivando el informe requerido por la Subsección (A) deberá, además del informe requerido, también proveer al/la Secretario/a de la Ciudad un archivo de datos estructurados con el contenido del informe financiero de campaña. El archivo de datos deberá ser entregado al/la Secretario/a de la Ciudad a no más tardar de la fecha en que el informe financiero asociado se debe archivar.
- (F) El archivo de datos deberá cumplir con especificaciones y estar o ser incluido en medios determinados por el/la Secretario/a de la Ciudad. El/la declarante que entregue archivo de datos al/la Secretario/a sin cumplir los requisitos tendrá que someter los datos nuevamente en el formato requerido.

Para asistir a los declarantes, la Oficina del/la Secretario/a de la Ciudad ha creado un conjunto de modelos de datos en formato/libro de Microsoft Excel (.xlsx) con múltiples hojas/tabs/fichas. Cada tab/ficha es para coleccionar una categoría de datos que se describe en este documento. Cuando ha sido posible, el diseño de los modelos está basado en especificaciones técnicas instituidas por la Comisión de Ética de Texas (TEC) para subir datos a su sistema de archivar.

Declarantes no deberán remover ni cambiar los encabezados de las columnas de las hojas/tabs del modelo, ni cambiar el orden de las columnas, ni en ninguna otra manera ajustar el formato del modelo. **Cambios del modelo resultarían en que el archivo de datos sea rechazado.**

Declarantes que usan aplicaciones de software comerciales para administrar sus finanzas de campaña deberán someter el archivo de datos que cumpla con las especificaciones de diseño y técnicas de los modelos de la Ciudad de Austin descritos en este documento.

Para informes de finanzas de campaña requeridos por la Ciudad de Austin (ATX.1, ATX.7 y sus adjuntos), la Oficina del/la Secretario/a de la Ciudad ha creado formularios PDF que se pueden llenar en línea para reportar la información requerida. En caso de estos formularios, cuando se someten dichos formularios PDF que se hayan llenado correctamente al Secretario/a de la Ciudad, así se cumplirá el requisito de proveer el archivo de datos estructurados. Los formularios PDF que se llenan en línea deberán ser recibidos por el/la Secretario/a de la Ciudad en el formato provisto. Copias impresas, escaneadas, o en alguna otra manera modificadas de

estos PDFs que se llenen, no se pueden leer electrónicamente y el/la Secretario/a de la Ciudad rechazará los informes sometidos.

Después de haberse recibido el archivo de datos se confirma su validez para asegurar que el archivo de datos que el declarante ha provisto está en formato apropiado y cumple las especificaciones técnicas instituidas por el/la Secretario/a de la Ciudad y descrita en la guía. La validez de los datos no es para verificar ni para determinar la exactitud de los datos provistos por el declarante. El proceso para confirmar la validez produce un Informe de Validez que detalla cuestiones/asuntos detectados en el archivo de datos provisto por el declarante.

Candidatos que archiven la Declaración de Exención “ATX.6 Exemption Statement,” que declararon que no han recaudado ni intentan recaudar más de \$10,000 en contribuciones para la campaña del candidato durante el periodo de campaña podrían ser exentos del requisito de archivar en formato electrónico. Sin embargo, favor de tomar en cuenta que:

- Si las contribuciones a un candidato que haya firmado la declaración de exención exceden \$10,000, el candidato proveerá un archivo de datos para el primer informe que se venza después de haberse las contribuciones al candidato sobrepasado la cantidad de \$10,000 y el candidato proveerá un archivo de datos para cada informe previo que se venció antes de que las contribuciones al candidato excedieron \$10,000.
- Esta exención aplica solo al proceso de archivar el archivo de datos estructurados y no al informe que se requiere.
- Un candidato que firma el contrato de campaña cumplirá con el requisito de proveer el archivo de datos pertinente a cada informe que se archive con la Oficina del/la Secretario/a sin excepción de las cantidades de contribuciones que el candidato haya recaudado o que intente recaudar.

Información adicional y formularios que sean requeridos para someter el archivo de datos estructurados se pueden conseguir en: <http://austintexas.gov/page/campaign-finance-forms>.

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Archivo Electrónico de Datos Financieros de Campaña: Hoja Informativa

El 6 de Agosto, 2015 el Consejo de la Ciudad de Austin por unanimidad aprobó la Ordenanza 20150806-004, que enmienda §2-2-26 de Código de la Ciudad pertinente al archivo electrónico de información financiera de campañas,

(A) El candidato, funcionario en el puesto, o comité político que por requisito del Código de la Ciudad o de ley estatal deberá archivar un informe financiero de campaña con el/la Secretario/a de la Ciudad, deberá además del informe requerido, también proveer al/la Secretario/a de la Ciudad un archivo de datos estructurados con el contenido del informe financiero de campaña. El archivo de datos deberá cumplir con especificaciones y estar o ser incluido en medios determinados por el/la Secretario/a de la Ciudad. El archivo de datos deberá ser entregado al/la Secretario/a de la Ciudad a no más tardar de la fecha en que el informe financiero relacionado se debe archivar.

[...]

(C) El/la Secretario/a de la Ciudad deberá subir el archivo de datos a la base de datos exactamente como se recibe el archivo, con excepción de que no será posible que el/la Secretario/a de la Ciudad suba el archivo de datos si no cumple las especificaciones técnicas del/la Secretario. El/la declarante que entregue archivo de datos al/la Secretario/a sin cumplir los requisitos tendrá que someter los datos nuevamente en el formato requerido. Archivo de datos que será sometido nuevamente es puntual si se somete nuevamente a no más tardar del siguiente día hábil después de la fecha en que el/la Secretario/a avisa al declarante que el archivo de datos no está en cumplimiento.

Para asistir a los declarantes, la Oficina del/la Secretario/a de la Ciudad ha creado un conjunto de modelos de datos en formato/libro de Microsoft Excel (.xlsx) con siete hojas/tabs/fichas. Cada tab/ficha es para coleccionar una categoría de datos que se describe en este documento. Cuando es posible, el diseño de los modelos está basado en especificaciones técnicas instituidas por la Comisión de Ética de Texas (TEC) para subir datos a su sistema de archivar.

Si el declarante tiene alguna pregunta sobre completar el modelo, puede usted contactar a la Oficina de la Secretaria de la Ciudad para asistencia, llamando al 512-974-2210. **Los formularios y guías instructivos serán actualizados antes del 15 de julio, 2018 que es la fecha límite del Informe Financiero de Campañas de Candidatos/Funcionarios. Por favor visite los sitios web listados abajo para los modelos y guías actualizados.**

Modelo para Archivo de Datos del/la Secretario/a de la Ciudad

Para acceder al Archivo Excel, por favor visite <http://austintexas.gov/page/campaign-finance-forms> y haga clic en "Modelo de Archivo de Datos-City Clerk Data File Template". El documento Excel completo se deberá archivar en formato electrónico con la Oficina del/la Secretario/a de la Ciudad junto con el Informe Financiero de Campañas. .

Archivo Electrónico de Datos Financieros de Campaña: Hoja Informativa

FORMULARIOS DE DATOS FINANCIEROS DE CAMPAÑA

El 6 de Agosto, 2015 el Consejo de la Ciudad de Austin por unanimidad aprobó la Ordenanza 20150806-004, que enmienda §2-2-26 de Código de la Ciudad pertinente al archivo electrónico de información financiera de campañas. Personas a quienes se les requiere archivar un informe financiero de campaña deberán además someter un archivo de datos estructurados con el contenido del informe financiero de campaña. El modelo del archivo de datos desarrollado por el/la Secretario/a de la Ciudad y la guía de especificaciones y el How-To de Excel, se consiguen en el enlace abajo:

- City Clerk's Data File Specification and Guide (*Guía y Especificaciones*)
- Excel Template How-To Guide (*Modelo y Guía del Proceso Excel*)
- City Clerk Data File Template (*Modelo de Archivo de Datos de la Secretaria de la Ciudad*)

Datos Financieros de Campaña: Modelo Guía Excel ("How-To Guide")

La guía contiene información detallada para completar las hojas de Excel y como someter el archivo de datos a la Oficina del/la Secretario/a de la Ciudad, y como hacer la importación de las contribuciones y gastos usando el Software de TEC. Para acceder la guía, favor de hacer clic aquí [Excel Template How-To Guide](#).

Datos Financieros de Campaña: Especificaciones del Archivo de Datos y Guía

La guía define especificaciones y requisitos del archivo de datos que deberá archivarse con la Oficina del/la Secretario/a de la Ciudad. Proporciona información detallada de cada campo incluyendo cuestiones que podrían resultar en rechazo del archivo de datos por la Oficina del/la Secretario/a de la Ciudad. Para acceder la guía, favor haga clic aquí: [Data File Specification and Guide](#).



MEMORÁNDUM

A: Candidatos en la Elección de Concejales del 2018

DE: Jannette Goodall, Secretaria de la Ciudad

FECHA: 4 de Mayo, 2018

ASUNTO: Requisitos para Candidatos al Consejo de la Ciudad de Austin

El Artículo II, Sección 2 de la Carta de la Ciudad de Austin, y La Sección 141.001 del Código Electoral de Texas detallan los requisitos de elegibilidad para puestos públicos. *Vea también* Código Electoral de Texas § 141.003. Para ser candidato elegible para, o ser electo o nombrado a un puesto público electo, la persona debería:

- 1) Ser ciudadano de los Estados Unidos;
- 2) Haber cumplido 18 años o mayor el primero día del plazo del puesto al que sería electo en la elección en la fecha de su nombramiento, lo que aplique;
- 3) No haber sido determinado por juicio final de un tribunal con jurisdicción probática de ser:
 - Totalmente discapacitado mental; o
 - Parcialmente discapacitado mental sin derecho de votar;
- 4) No haber sido convicto en juicio final de una felonía de cual el individuo no ha sido perdonado ni en otra manera liberado de las discapacidades relacionadas;
- 5) Deberán haber vivido continuamente en el estado por 12 meses y en el territorio que elige el puesto por seis meses inmediatamente anteriores a la fecha limite regular cuando el candidato debería archivar su solicitud para ser apuntado en la boleta; y
- 6) En la fecha descrita en el antedicho requisito“5)”, debería estar registrado para votar en el territorio en cual el oficial se elige.

La fecha límite para archivar la solicitud para ser apuntado en la boleta de la Elección General de la Ciudad de Austin del 6 de noviembre, 2018 es el lunes, 20 de agosto 2018 a las 5:00 p.m.

Un candidato que archive solicitud para ser apuntado en la boleta deberá ser votante registrado en el territorio en cual se elige el oficial (en caso del puesto para alcalde deberá estar registrado para votar en la Ciudad de Austin, o estar registrado para votar dentro de los límites de los distritos concejales de las candidaturas para miembros del consejo). La registración del votante tiene vigor

el 30vo día después de la fecha en que la solicitud de registración para votar es sometida al registrador de votantes.

Cualquier ciudadano que desea postularse para puesto en el Consejo de la Ciudad y que actualmente no esté registrado para votar en el distrito en cual él o ella está postulando su candidatura **deberá someter su solicitud para registrarse como votante a la oficina apropiada del Registrador de Votantes del Condado al menos 30 días antes de someter su solicitud para ser apuntado en la boleta.** Cualquier candidato que esté registrado para votar debería confirmar la información de su registro de votantes para asegurarse que la información de su registro como votante este actualizada y correcta. Información de cómo registrarse para votar se puede conseguir en:

Condado de Travis (Travis County): <https://tax-office.traviscountytexas.gov/voters/voter-registration>

Condado de Williamson (Williamson County):
<http://www.wilco.org/Departments/Elections/Voter-Registration>

Condado de Hays (Hays County): <http://www.co.hays.tx.us/voter-registration-ballot-by-mail.aspx>

DEBE PROPORCIONARSE LA INFORMACIÓN REQUERIDA A MENOS QUE SE INDIQUE QUE ES OPCIONAL

SOLICITUD PARA FIGURAR EN LA BOLETA DE _____ ELECCIÓN GENERAL					
A: Secretario(a) de la Ciudad/ Secretario del Consejo					
Solicito que mi nombre figure en la boleta oficial indicada más arriba como candidato/a al cargo a continuación.					
PUESTO OFICIAL SOLICITADO (Incluya cualquier número de cargo u otro número distintivo, si el cargo lo tiene.)				INDIQUE TÉRMINO <input type="checkbox"/> TÉRMINO COMPLETO <input type="checkbox"/> TÉRMINO INCOMPLETO	
NOMBRE COMPLETO (Primer nombre, segundo nombre, apellido)			ESCRIBA SU NOMBRE COMO DESEA QUE FIGURE EN LA BOLETA ¹		
DIRECCIÓN RESIDENCIAL PERMANENTE (No incluya una casilla postal o una ruta rural. Si usted no tiene una dirección residencial, describa el lugar en que recibe correspondencia personal y la ubicación de su residencia.)			DIRECCIÓN POSTAL PÚBLICA (Dirección en la que recibirá correspondencia relacionada a su campaña, si es disponible.)		
CIUDAD	ESTADO	CÓDIGO POSTAL	CIUDAD	ESTADO	CÓDIGO POSTAL
CORREO ELECTRÓNICO PÚBLICO (Si está disponible.)		EMPLEO (No deje este espacio en blanco.)		FECHA DE NACIMIENTO / /	VID – NÚMERO UNICO DE IDENTIFICACION DE VOTANTE (Opcional) ²
INFORMACIÓN DE CONTACTO (Opcional) Tel. residencial: Tel. laboral: Tel. celular:		DURACIÓN DE RESIDENCIA CONTINUA AL MOMENTO DE JURAMENTAR ESTA SOLICITUD			
		EN EL ESTADO ____ año(s) ____ mes(es)		EN EL TERRITORIO POR EL CUAL SERIA ELECTO/A ³ ____ año(s) ____ mes(es)	
En caso de usar un apodo como parte de su nombre en la boleta, usted también firma y jura lo siguiente: Asimismo, juro que mi apodo no constituye un lema político ni tampoco es una indicación de mis creencias o afiliaciones políticas, económicas, sociales o religiosas. Se me ha conocido por este apodo durante al menos tres años antes de esta elección.					
Ante mí, la autoridad suscrita, compareció (nombre) _____, quien frente a mí y bajo juramento debido, declara: "Yo, (nombre) _____, del condado de _____, Texas, siendo candidato para el cargo oficial de _____, juro solemnemente que apoyaré y defenderé la Constitución y las leyes de los Estados Unidos y del Estado de Texas. Soy ciudadano de los Estados Unidos elegible para ocupar tal cargo oficial bajo la Constitución y las leyes de este Estado. No se me ha condenado por un delito mayor por el cual no haya sido absuelto o por el cual no se me hayan restituido enteramente mis derechos de ciudadanía por medio de otra acción oficial. No existe un fallo final de un tribunal testamentario que me declare total o parcialmente incapacitado mentalmente sin derecho a votar. Yo tengo conocimiento de la ley sobre el nepotismo según el Capítulo 573 del Código de Gobierno. Además, juro que las declaraciones anteriores que incluyo en mi solicitud son verdaderas y correctas".					
X _____ FIRMA DEL CANDIDATO					
Jurado y suscrito ante mí en _____, este día ____ de _____, _____.					
SELLO					
Firma del oficial que administra el juramento ⁴ _____ Título del oficial que administra el juramento _____					
TO BE COMPLETED BY CITY SECRETARY OR SECRETARY OF BOARD:					
(See Section 1.007)					
Date Received _____ Signature of Secretary _____					
Voter Registration Status Verified <input type="checkbox"/>					

INSTRUCCIONES

La solicitud para que el nombre de un candidato figure en la boleta para cualquier elección general no deberá registrarse antes de los treinta (30) días previos a la fecha límite para registrar la solicitud, según lo prescribe este código. Cualquier solicitud registrada antes de esa fecha se declarará inválida. Todos los campos **deben ser completados** a menos que se indique específicamente marcados como opcional.

El último día para registrarse es a las 5 de la tarde setenta y ocho (78) días antes del día de la elección en el caso de elecciones uniformes.

Si tiene alguna pregunta sobre la solicitud, por favor póngase en contacto con la división de elecciones del Secretario de Estado al 800-252-8683.

LEY SOBRE EL NEPOTISMO

El candidato deberá firmar esta declaración para indicar que tiene conocimiento sobre la ley sobre el nepotismo. A continuación figuran las prohibiciones del nepotismo según el capítulo 573 de Código Gobierno:

Ningún funcionario podrá nombrar, votar por o confirmar el nombramiento o empleo de ninguno de sus parientes en segundo grado por afinidad (matrimonio) o en tercer grado por consanguinidad (sangre), o de los parientes de cualquier otro integrante del cuerpo directivo o tribunal en que el funcionario celebre sesión cuando la compensación para esa persona se pague con fondos públicos u honorarios de su puesto oficial. Sin embargo, la ley no prohíbe el nombramiento, el votar por o la confirmación de ninguna persona que haya trabajado en la oficina de manera continua o el empleo para el siguiente período antes de la elección o el nombramiento del funcionario o miembro emparentado con el empleado en el grado prohibido: seis meses, si el funcionario o miembro se elige en una elección general de funcionarios de estado y condado.

Ningún candidato podrá influir sobre un empleado relacionado al puesto oficial al cual el candidato aspira o un empleado o funcionario del cuerpo fiscal al cual el candidato aspira respecto del nombramiento o el empleo de un pariente del candidato en un grado prohibido según se indica arriba. Esta restricción no se dirige a las acciones de un candidato respecto de una clase o categoría de empleados o posibles empleados de buena fe.

Los ejemplos de parentesco en tercer grado por consanguinidad son los siguientes:

- (1) Primer grado: padre, madre, hijo(a);
- (2) Segundo grado: hermano(a), abuelo(a), nieto(a);
- (3) Tercer grado: bisabuelo(a), bisnieto(a), tío(a), sobrino(a).

Los siguientes incluyen parentescos de consanguinidad, medios hermanos y adopción legal. Los ejemplos de parentescos en segundo grado por afinidad son los siguientes:

- (1) Primer grado: cónyuge, suegro(a), yerno, nuera;
- (2) Segundo grado: cuñado(a), abuelo(a) del cónyuge.

Las personas que están emparentadas por afinidad (matrimonio) incluyen los cónyuges de parientes emparentados por consanguinidad, y, si casados, el cónyuge y los parientes del cónyuge por consanguinidad. No todos estos ejemplos son inclusivos.

NOTAS

¹Para reglas sobre la forma del nombre de un candidato o apodo en la boleta electoral, vea el subcapítulo B, Capítulo 52 del Código Electoral de Texas.

²La inclusión del número único de identificación de votante (VUID, por sus siglas en Ingles) es opcional. Sin embargo, para muchos candidatos, es un requisito estar registrados como votantes en el territorio por el cual serían electos a partir de la fecha límite de la solicitud. Puede encontrar información adicional sobre el requisito de registro de votante en nuestra página: <http://www.sos.state.tx.us/elections/laws/hb484-faq.shtml>

³Esto se refiere a la duración de la residencia dentro del distrito o territorio de que se elige la oficina. Por ejemplo, la duración de residencia en un distrito escolar, para una oficina del consejero escolar elegida en general. Este campo **DEBE SER COMPLETADO**.

⁴Los juramentos, las declaraciones juradas o las afirmaciones que se efectúen dentro de este Estado podrán ser administradas por un juez, escribano o comisionado de alguna corte de registro, por un notario público, un juez de paz, un secretario de la ciudad o el Secretario de Estado de Texas, quienes cuentan con la capacidad de proporcionar un certificado del hecho.

PETITION FOR A PLACE ON THE CITY GENERAL ELECTION BALLOT
(PETICIÓN PARA QUE SU NOMBRE ESTE PUESTO EN LA BOLETA DE LA ELECCIÓN GENERAL DE LA CIUDAD)

Name of Circulator _____ Page ____ of ____

Signing the petition of more than one candidate for the same office in the same election is prohibited.
(Se prohíbe firmar la petición de más de un candidato para el mismo puesto oficial en la misma elección.)

COMPLETE ALL BLANKS. (LLENE TODOS LOS ESPACIOS EN BLANCO.)

You are hereby requested to place the name indicated below on the ballot for the next general election for the City of _____ for the office indicated.
(Por la presente se la solicita que el nombre del individuo indicado abajo esté puesto en la boleta para la próxima elección general de la Ciudad de _____ para el puesto oficial indicado.)

Name <i>(Nombre)</i> ¹		Address <i>(Dirección)</i>		Office sought <i>(Puesto oficial solicitado)</i> ²		
-----------------------------------	--	----------------------------	--	---	--	--

Date Signed <i>(Fecha de Firma)</i>	Signature <i>(Firma)</i>	Printed Name <i>(Nombre en letra de molde)</i>	Street Address (Including City, Texas, Zip) <i>(Dirección de Residencia (Incluye Ciudad, Estado, Código Postal))</i>	County <i>(Condado)</i>	Voter VUID Number ³ <i>(Núm. de VUID de Votante)</i>	Date of Birth ³ <i>(Fecha de Nacimiento)</i>

AFFIDAVIT OF CIRCULATOR *(DECLARACION JURADA DE LA PERSONA QUE HACE CIRCULAR LA PETICION)*

STATE OF TEXAS *(ESTADO DE TEJAS)* COUNTY OF *(CONDADO DE)* _____ BEFORE ME, the undersigned, on this ____/____/____ (date) personally appeared *(ANTE MI, el/la suscrito(a), en este (fecha) compareció)* _____, (name of person who circulated petition) – *(nombre de la persona que hizo circular la petición)* who being duly sworn, deposes and says: “I called each signer’s attention to the above statements and read them to the signer before the signer affixed their signature to the petition. I witnessed the affixing of each signature. The correct date of signing is shown on the petition. I verified each signer’s registration status and believe that each signature is the genuine signature of the person whose name is signed and that the corresponding information for each signer is correct.” *(quien, habiendo prestado el juramento correspondiente, declaró y dijo: “Llamé la atención de cada firmante sobre la declaración citada y se la lei antes de que la suscribiera. Atestigué cada firma, y la fecha correcta de las firmas consta en la petición. Verifiqué la situación de cada firmante en lo concerniente a su inscripción y creo que cada firma es la auténtica de la persona cuyo nombre aparece firmado y que son exactos los datos correspondientes a cada firmante.”)* SWORN TO AND SUBSCRIBED BEFORE ME THIS DATE *(JURADO Y SUSCRITO ANTE MI, CON ESTA FECHA)*

X _____

Signature of circulator *(Firma de la persona que hizo circular la petición)*

X _____

Signature of officer administering oath *(Firma del/de la funcionario(a) que le tomó juramento)*

X _____

Title of officer administering oath *(Título oficial del/de la funcionario(a) que le tomó juramento)*

(SEAL)

INSTRUCTIONS AND FOOTNOTES ON BACK *(AL DORSO: INSTRUCCIONES Y ANOTACIONES)*

INSTRUCTIONS (Petition in City Election)

The petition shall be filed with the same officer with whom an application for a place on the ballot for the office being sought is to be filed and must be filed at the same time as such application.

The petition may consist of several parts, and each part may consist of several pages. The statement in the box at the head of the page must appear at the head of each page of signatures. The affidavit at the bottom of the page must accompany each part but is not required for each page of signatures.

The person or persons who circulate the petition must be administered the affidavit by the proper officer.

INSTRUCCIONES: (Petición para elección de la ciudad)

Esta petición deberá presentarse ante el mismo oficial a quien se solicite inscripción el la boleta para el puesto que se busca y al mismo tiempo que la solicitud correspondiente.

La petición puede estar dividida en diversas secciones y cada sección a su vez puede constar de varias páginas. La declaración que está en el cuadro que encabeza el formulario deberá aparecer al principio de cada hoja que contenga firmas. La declaración jurada que aparece al pie del formulario deberá incluirse con cada sección de la petición; no se exige que aparezca en cada página de firmas.

La(s) persona(s) que haga(n) circular la petición deberá(n) firmar la declarción jurada ante el oficial correspondiente.

FOOTNOTES

- ¹ Insert Candidate’s name.
- ² Insert office title, including any place number or other distinguishing number.
- ³ Either the voter registration certificate number or the date of birth is required.
- ⁴All oaths, affidavits, or affirmations made within this State may be administered and a certificate of the fact given by a judge, clerk, or commissioner of any court of record, a notary public, a justice of the peace, city secretary, and the Secretary of State of Texas.

ANOTACIONES

- ¹ Indicar el nombre del candidate.
- ² Indicar el cargo oficial e incluir el número de su lugar en la boleta o cualquier otro número distintivo.
- ³ Su número de certificado de registro de votante o su fecha de nacimiento es necesario.
- ⁴Todo juramento, testimonio o afirmación hecho dentro de este Estado se podrá administrar y se podrá dar un certificado del hecho por un juez, escribano, o comisionado de alguna corte de registro, un notario público, un juez de paz, secretario de la ciudad, y el Secretario del Estado de Texas.

CONTINUATION PAGE FOR PETITION FOR A PLACE ON THE CITY GENERAL ELECTION BALLOT

Name (Nombre)	Address (Dirección)	Office sought (Puesto oficial solicitado)
---------------	---------------------	---

Signing the petition of more than one candidate for the same office in the same election is prohibited. (Se prohíbe firmar la petición de más de un candidato ara el mismo puesto oficial en la misma elección.)

Date Signed (Fecha de Firma)	Signature (Firma)	Printed Name (Nombre en letra de molde)	Street Address(City,Texas, Zip) (Dirección de Residencia(Ciudad, Código Postal)	County (Condado)	Voter Registration Number (Núm. De Registro de Votante)	Date of Birth (Fecha de Nacimiento)

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**INSTRUCCIONES PARA ARCHIVAR UNA PETICIÓN EN VEZ DE PAGAR LA
CUOTA PARA APUNTAR SU NOMBRE EN LA BOLETA**

El Artículo III, Sección 4 de la Carta de la Ciudad requiere una cuota de \$500.00 para archivar la candidatura. La Sección 143.005 (c) del Código Electoral de Texas requiere que la ciudad provee a candidatos una alternativa a la cuota de archivar su candidatura. Por lo tanto, en vez de la cuota para archivar la candidatura, la Ciudad de Austin provee que un candidato podría archivar su solicitud para ser apuntado en la boleta junto con una petición. La petición deberá tener el número apropiado de firmas válidas [vea *abajo*]. Para los distritos concejales, cada firma válida tendría que ser de un votante calificado dentro del distrito en particular. El número requerido de firmas válidas se determina por referencia en la Sección 143.005(d)(2) del Código Electoral de Texas.

Abajo sigue la lista del número de firmas que se requieren para la Elección del 6 de noviembre, 2018:

Alcalde:	876 firmas
Distrito 1:	70 firmas
Distrito 3:	56 firmas
Distrito 5:	112 firmas
Distrito 8:	112 firmas
Distrito 9:	104 firmas

La Sección 141.066 del Código Electoral de Texas declara:

- Se prohíbe firmar más de una petición.
- El siguiente desplegado debe aparecer al encabezado de cada página de la petición:
"Firmar la petición de más de un candidato para el mismo puesto oficial en la misma elección es prohibido."
- La firma de la persona en la petición de un candidato queda invalidada si el firmante firmó la petición después de haber firmado la petición de otro candidato para el mismo puesto oficial en la misma elección.

Completar la Petición

1. El nombre de la persona que esté circulando la petición deberá estar inscrito en la sección de la parte derecha superior. Deberá indicar el número de páginas que está sometiendo. La persona que circula la petición podrá hacer las copias que sean necesarias de la página de petición en blanco y de la página de continuación.
2. La siguiente sección de la petición deberá tener la información que sigue:
 - Ciudad: Austin
 - Nombre del candidato/a
 - Dirección: Dirección del candidato/a

- Puesto a cual desea elegirse: Alcalde o indique el número del Distrito Concejal en particular.
3. La siguiente sección deberá contener la información de la persona que firma. Por favor pida a los que firman, que escriban lo más claro posible. Se requiere que la persona que firme, lo haga con su puño y letra.

Debe proporcionarse la siguiente información para cada persona que firme:

- Fecha en que él/ella firma la petición
- Firma de la persona
- Nombre en letra de molde (impreso) del firmante.
- Dirección incluyendo el número de la residencia, la calle, la ciudad, el estado y código postal. Se pueden usar comillas [“ ”] si la ciudad es la misma indicada en la línea antecedente. El nombre de la ciudad deberá ser escrito al menos en la primera línea de la firma.
- El Condado (Hays, Travis o Williamson).
- El número de registro del votante.
- La fecha de nacimiento.

(Ya sea el número de registro de votante o la fecha de nacimiento se deberán proveer. Se recomienda que los dos se incluyan para asegurar que se verifique la firma correcta.)

4. En la parte baja del formulario, va la Constancia de la Persona que Circula la Petición (*Affidavit of Circulator*) y se debe completar, y certificar por un Notario. La Constancia de la Persona que Circula la Petición (*Affidavit of Circulator*) deberá adjuntarse a las páginas de la petición circuladas por dicho individuo. **Esta sección se deberá completar por cada persona que circula la petición. Si la persona que circula va a entregar múltiples páginas de firmas, entonces se acepta una sola constancia para todas las páginas siempre y cuando las firmas hayan sido colectadas antes de la fecha de la constancia notariada.**

Verificación de las firmas

Al recibir la petición, la Oficina de la Secretaria de la Ciudad verificará las firmas para asegurar que las firmas son válidas y que la petición cumple con las leyes. Si el número de firmas válidas es igual o más del número que la Ley Estatal requiere, se declara válida la petición. Si el número de firmas válidas es menos del número que la Ley Estatal requiere, se declara inválida la petición. Se recomienda que se colecten más firmas del número requerido para asegurar la validez de la petición. Cuando se haya completado el proceso de validación, el/la candidata/a será notificado de los resultados.

Si la petición se declara ser inválida y no ha pasado la fecha límite para que el/la candidato/a archive la solicitud para ser incluido en la boleta, se puede archivar otra solicitud junto con la cantidad de \$500.00 para pagar la cuota de archivar o se puede someter una petición nueva.

STATEMENT OF FINANCIAL INFORMATION
Reference Section 2-7-72, Austin City Code

STATEMENT OF FINANCIAL INFORMATION
MAYOR, COUNCIL, CANDIDATES

This form should be filed by the following City officials -- **Mayor, City Council Members, and Candidates** -- for the period of January 1 through December 31, 20____.

Filing Deadlines:

- **Mayor & Council Members** must file the statement (covering the previous calendar year) not later than April 30 of each year.
 - Except that outgoing Mayor & Council Members who have not been re-elected must file the statement (covering the previous calendar year) not later than the 30th day after the end of their term in office.
- **Candidates** must file the statement (covering the previous calendar year) within five working days after the deadline for filing for their respective offices.
 - Except that incumbent Candidates are not required to refile if an identical statement covering the previous calendar year has already been filed.
- **For all filers:** Statements must be received by the City Clerk by 4:45 p.m. on the day stated above. When the deadline falls on a Saturday, Sunday, or City holiday, the deadline is extended to 4:45 p.m. on the next day which is not a Saturday, Sunday, or City holiday.

This statement must be signed under oath and notarized. This form may be copied if additional space for reporting is needed. In reporting information required by this form, a City official shall include the same information as it pertains to his or her spouse or domestic partner, by separate listing. However, a separate report for the City official's spouse or domestic partner is not required.

Where a monetary amount or value of income of an asset is required to be reported, the exact amount need not be reported. The statement may instead include the category of amount as follows:

Category I	At least \$1 but less than \$10,000;
Category II	At least \$10,000 but less than \$20,000;
Category III	At least \$20,000 but less than \$50,000;
Category IV	At least \$50,000 but less than \$75,000;
Category V	At least \$75,000 but less than \$100,000;
Category VI	\$100,000 or more, report to nearest \$100,000.

STATEMENT OF FINANCIAL INFORMATION
Reference Section 2-7-72, Austin City Code

Name of City official: _____

Address: _____

Occupation: _____

Spouse or domestic partner's name: _____

Address: _____

Occupation: _____

The person completing this form must provide the information requested below for themselves and their spouse/domestic partner.

1. List all sources of occupational income which exceeded 10% of your gross income or \$5,000 in salary, bonuses, commissions or professional fees; or \$20,000 in payment for goods, products or non-professional services per source.

Name of employer or source of income	Business address	Nature of occupation or business	Category of amount

2. If you are a self-employed solo practitioner or if you had at least 5% interest in a partnership, professional corporation or other entity through which you do business, list the names and addresses of clients or customers from whom you or this partnership, professional corporation, or entity received 10% or more of gross income or \$5,000 in salary, bonuses, commissions or professional fees; or \$20,000 in payment for goods, products or non-professional services during the reporting period.

Name of client or customer	Address

STATEMENT OF FINANCIAL INFORMATION

Reference Section 2-7-72, Austin City Code

3. List all sources of income which exceeded either \$5,000 or were in excess of 10% of your gross income received from interest, dividends, royalties, rents, trust disbursements or other non-occupational sources.

Name of source	Nature of income	Category of amount

4. Identify any source (person, business entity or other organization) of a gift of any money or other thing of value exceeding \$100, or identify any source who gave you a series of gifts the total value of which exceeds \$100. You need not report campaign contributions which are reported as required by other law and you need not report gifts received from the following relatives: Spouse, Children, Children-in-Law, Parents, Parents-in-Law, Grandchildren, Grandchildren-in-Law, Grandparents, Grandparents-in-Law, Brothers, Brothers-in-Law, Sisters, Sisters-in-Law, Uncles, Uncles-in-Law, Aunts, Aunts-in-Law, Nephews, Nephews-in-Law, Nieces, Nieces-in-Law, First Cousins, First Cousins-in-Law

Name of source of gift	Category amount

5. List the names of any corporation, partnership, limited partnership, or other entity in which you held, owned, acquired, or sold stock, or any other equity ownership having a value exceeding \$5,000 or equivalent to 5% or more of the stock or equity in the entity, at any time during the reporting period.

Name of company or entity:

6. List and describe all bonds, notes and other commercial paper which you held, owned, acquired or sold, at any time during the reporting period if the combined face value of the bonds, notes and commercial paper exceeded \$5,000.

Description of commercial paper	Category of amount

STATEMENT OF FINANCIAL INFORMATION
Reference Section 2-7-72, Austin City Code

7. List all other income or revenue in excess of \$5,000 per source.

Name of source	Category of amount

8. List and describe all real property in which you hold any legal or beneficial interest, including real property for which you have entered into a contract for sale. The description should be sufficient to locate the property, and include the street address if any, and the present use of the property.

Street address of property	Description of property	Present use of property

9. List and describe all real property held, owned, acquired or sold, or under a contract for sale, by a corporation, partnership, limited partnership, professional corporation, or other entity in which you own or control at least a 5% interest. The description should be sufficient to locate the property and include a street address, if any, and the present use of the property.

Street address of property	Description of property	Present use of property

10. List all loans and extensions of credit in excess of \$5,000 on which you are the lender or creditor, including the name of the debtor and the rate of interest, if any.

Name of obligee	Rate of interest, if any	Category of amount

STATEMENT OF FINANCIAL INFORMATION

Reference Section 2-7-72, Austin City Code

11. List all loans or transactions in excess of \$5,000 on which you are a guarantor or co-signer, including the names of the borrower and lender.

Name of obligee/lender	Rate of interest, if any	Category of amount

12. List all loans, debts, and other financial liabilities you have which are in excess of \$5,000 which are presently outstanding or which existed at any time during the reporting period.

Name of lender/creditor/obligee	Rate of interest, if any	Category of amount	Date obligation was incurred

List all loans, debts, and other financial liabilities in excess of \$5,000 of any corporation, partnership, limited partnership, professional corporation or other entity in which you own or control at least a 5% interest, which are presently outstanding or which existed at any time during the reporting period.

Name of lender/creditor/obligee	Rate of interest, if any	Category of amount	Date obligation was incurred

13. List all boards of directors of which you are a member and the offices or executive positions which you hold in corporations, partnerships, limited partnerships, professional corporations, or other entities, including non-business entities. (Do not include positions on corporations or other entities owned by the City of Austin or created by the City Council.)

Name of organization	Position held

STATEMENT OF FINANCIAL INFORMATION

Reference Section 2-7-72, Austin City Code

I do solemnly swear that the preceding Financial Statement is in all things true and correct and fully shows all information required to be reported pursuant to City Code Section 2-7-72 for the reporting period indicated.

Signature of City Official

Date: _____

Printed Name of City Official

STATE OF TEXAS

COUNTY OF TRAVIS

This instrument was acknowledged, sworn to, and subscribed before me by

On the _____ day of _____, _____, to certify which witness my hand
and official seal.

Notary Public in and for the State of Texas

Typed or Printed Name of Notary Public

PERSONAL FINANCIAL STATEMENT

FORM PFS - LOCAL**COVER SHEET****PAGE 1**

Filed in accordance with chapter 572 of the Government Code.
For filings required in 2018, covering calendar year ending December 31, 2017.
Use FORM PFS--INSTRUCTION GUIDE when completing this form.

TOTAL NUMBER OF PAGES FILED:

Filer ID

1 NAME

TITLE; FIRST; MI

NICKNAME; LAST; SUFFIX

2 ADDRESS

ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE

**3 TELEPHONE
NUMBER**

AREA CODE

PHONE NUMBER; EXTENSION

()

OFFICE USE ONLY

Date Received

Date Hand-delivered or Date Postmarked

Receipt #

Amount \$

Date Processed

Date Imaged

**4 REASON
FOR FILING
STATEMENT**☐ CANDIDATE _____ (INDICATE OFFICE)☐ ELECTED OFFICER _____ (INDICATE OFFICE)☐ OTHER _____ (INDICATE POSITION)**5** Family members whose financial activity you are reporting (see instructions).

SPOUSE _____

DEPENDENT CHILD 1. _____

2. _____

3. _____

In Parts 1 through 18, you will disclose your financial activity during the preceding calendar year. In Parts 1 through 14, you are required to disclose not only your own financial activity, but also that of your spouse or a dependent child (see instructions).

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

On this page, indicate any Parts of Form PFS that are not applicable to you. If you do not place a check in a box, then pages for that Part must be included in the report. ***If you place a check in a box, do NOT include pages for that Part in the report.***

6 PARTS NOT APPLICABLE TO FILER

- ☐ N/A Part 1A - Sources of Occupational Income
- ☐ N/A Part 1B - Retainers
- ☐ N/A Part 2 - Stock
- ☐ N/A Part 3 - Bonds, Notes & Other Commercial Paper
- ☐ N/A Part 4 - Mutual Funds
- ☐ N/A Part 5 - Income from Interest, Dividends, Royalties & Rents
- ☐ N/A Part 6 - Personal Notes and Lease Agreements
- ☐ N/A Part 7A - Interests in Real Property
- ☐ N/A Part 7B - Interests in Business Entities
- ☐ N/A Part 8 - Gifts
- ☐ N/A Part 9 - Trust Income
- ☐ N/A Part 10A - Blind Trusts
- ☐ N/A Part 10B - Trustee Statement
- ☐ N/A Part 11A - Assets of Business Associations
- ☐ N/A Part 11B - Liabilities of Business Associations
- ☐ N/A Part 12 - Boards and Executive Positions
- ☐ N/A Part 13 - Expenses Accepted Under Honorarium Exception
- ☐ N/A Part 14 - Interest in Business in Common with Lobbyist
- ☐ N/A Part 15 - Fees Received for Services Rendered to a Lobbyist or Lobbyist's Employer
- ☐ N/A Part 16 - Representation by Legislator Before State Agency
- ☐ N/A Part 17 - Benefits Derived from Functions Honoring Public Servant
- ☐ N/A Part 18 - Legislative Continuances

SOURCES OF OCCUPATIONAL INCOME

PART 1A

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 INFORMATION RELATES TO	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
2 EMPLOYMENT <input type="checkbox"/> EMPLOYED BY ANOTHER <input type="checkbox"/> SELF-EMPLOYED	NAME AND ADDRESS OF EMPLOYER / POSITION HELD NATURE OF OCCUPATION
INFORMATION RELATES TO	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
EMPLOYMENT <input type="checkbox"/> EMPLOYED BY ANOTHER <input type="checkbox"/> SELF-EMPLOYED	NAME AND ADDRESS OF EMPLOYER / POSITION HELD NATURE OF OCCUPATION
INFORMATION RELATES TO	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
EMPLOYMENT <input type="checkbox"/> EMPLOYED BY ANOTHER <input type="checkbox"/> SELF-EMPLOYED	NAME AND ADDRESS OF EMPLOYER / POSITION HELD NATURE OF OCCUPATION

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

RETAINERS

PART 1B

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

This section concerns fees received as a retainer by you, your spouse, or a dependent child (or by a business in which you, your spouse, or a dependent child have a "substantial interest") for a claim on future services in case of need, rather than for services on a matter specified at the time of contracting for or receiving the fee. Report information here only if the value of the work actually performed during the calendar year did not equal or exceed the value of the retainer. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 FEE RECEIVED FROM	NAME AND ADDRESS
2 FEE RECEIVED BY	NAME OF BUSINESS <input type="checkbox"/> FILER OR FILER'S BUSINESS _____ <input type="checkbox"/> SPOUSE OR SPOUSE'S BUSINESS _____ <input type="checkbox"/> DEPENDENT CHILD _____ OR CHILD'S BUSINESS _____
3 FEE AMOUNT	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
FEE RECEIVED FROM	NAME AND ADDRESS
FEE RECEIVED BY	NAME OF BUSINESS <input type="checkbox"/> FILER OR FILER'S BUSINESS _____ <input type="checkbox"/> SPOUSE OR SPOUSE'S BUSINESS _____ <input type="checkbox"/> DEPENDENT CHILD _____ OR CHILD'S BUSINESS _____
FEE AMOUNT	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

STOCK

PART 2

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 BUSINESS ENTITY	NAME			
2 STOCK HELD OR ACQUIRED BY	<input type="checkbox"/> FILER	<input type="checkbox"/> SPOUSE	<input type="checkbox"/> DEPENDENT CHILD _____	
3 NUMBER OF SHARES	<input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 5,000 TO 9,999	<input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 10,000 OR MORE	<input type="checkbox"/> 500 TO 999	<input type="checkbox"/> 1,000 TO 4,999
4 IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> \$5,000--\$9,999	<input type="checkbox"/> \$10,000--\$24,999	<input type="checkbox"/> \$25,000--OR MORE
<hr/>				
BUSINESS ENTITY	NAME			
STOCK HELD OR ACQUIRED BY	<input type="checkbox"/> FILER	<input type="checkbox"/> SPOUSE	<input type="checkbox"/> DEPENDENT CHILD _____	
NUMBER OF SHARES	<input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 5,000 TO 9,999	<input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 10,000 OR MORE	<input type="checkbox"/> 500 TO 999	<input type="checkbox"/> 1,000 TO 4,999
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> \$5,000--\$9,999	<input type="checkbox"/> \$10,000--\$24,999	<input type="checkbox"/> \$25,000--OR MORE
<hr/>				
BUSINESS ENTITY	NAME			
STOCK HELD OR ACQUIRED BY	<input type="checkbox"/> FILER	<input type="checkbox"/> SPOUSE	<input type="checkbox"/> DEPENDENT CHILD _____	
NUMBER OF SHARES	<input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 5,000 TO 9,999	<input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 10,000 OR MORE	<input type="checkbox"/> 500 TO 999	<input type="checkbox"/> 1,000 TO 4,999
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> \$5,000--\$9,999	<input type="checkbox"/> \$10,000--\$24,999	<input type="checkbox"/> \$25,000--OR MORE
<hr/>				
BUSINESS ENTITY	NAME			
STOCK HELD OR ACQUIRED BY	<input type="checkbox"/> FILER	<input type="checkbox"/> SPOUSE	<input type="checkbox"/> DEPENDENT CHILD _____	
NUMBER OF SHARES	<input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 5,000 TO 9,999	<input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 10,000 OR MORE	<input type="checkbox"/> 500 TO 999	<input type="checkbox"/> 1,000 TO 4,999
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> \$5,000--\$9,999	<input type="checkbox"/> \$10,000--\$24,999	<input type="checkbox"/> \$25,000--OR MORE
<hr/>				
BUSINESS ENTITY	NAME			
STOCK HELD OR ACQUIRED BY	<input type="checkbox"/> FILER	<input type="checkbox"/> SPOUSE	<input type="checkbox"/> DEPENDENT CHILD _____	
NUMBER OF SHARES	<input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 5,000 TO 9,999	<input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 10,000 OR MORE	<input type="checkbox"/> 500 TO 999	<input type="checkbox"/> 1,000 TO 4,999
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> \$5,000--\$9,999	<input type="checkbox"/> \$10,000--\$24,999	<input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

BONDS, NOTES & OTHER COMMERCIAL PAPER

PART 3

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

List all bonds, notes, and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 DESCRIPTION OF INSTRUMENT	
2 HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
3 IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
DESCRIPTION OF INSTRUMENT	
HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
DESCRIPTION OF INSTRUMENT	
HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

MUTUAL FUNDS

PART 4

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 MUTUAL FUND	NAME
2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
3 NUMBER OF SHARES OF MUTUAL FUND	<input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999 <input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE
4 IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
MUTUAL FUND	NAME
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
NUMBER OF SHARES OF MUTUAL FUND	<input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999 <input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
MUTUAL FUND	NAME
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
NUMBER OF SHARES OF MUTUAL FUND	<input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999 <input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

List each source of income you, your spouse, or a dependent child received *in excess of \$500* that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 SOURCE OF INCOME <input type="checkbox"/> Publicly held corporation	NAME AND ADDRESS
2 RECEIVED BY <input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____	
3 AMOUNT <input type="checkbox"/> \$500--\$4,999 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE	
SOURCE OF INCOME <input type="checkbox"/> Publicly held corporation	NAME AND ADDRESS
RECEIVED BY <input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____	
AMOUNT <input type="checkbox"/> \$500--\$4,999 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE	
SOURCE OF INCOME <input type="checkbox"/> Publicly held corporation	NAME AND ADDRESS
RECEIVED BY <input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____	
AMOUNT <input type="checkbox"/> \$500--\$4,999 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE	

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

PERSONAL NOTES AND LEASE AGREEMENTS

PART 6

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

Identify each guarantor of a loan and each person or financial institution to whom you, your spouse, or a dependent child had a total financial liability *of more than \$1,000* in the form of a personal note or notes or lease agreement at any time during the calendar year and indicate the category of the amount of the liability. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

¹ PERSON OR INSTITUTION HOLDING NOTE OR LEASE AGREEMENT	
² LIABILITY OF	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
³ GUARANTOR	
⁴ AMOUNT	<input type="checkbox"/> \$1,000--\$4,999 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR INSTITUTION HOLDING NOTE OR LEASE AGREEMENT	
LIABILITY OF	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
GUARANTOR	
AMOUNT	<input type="checkbox"/> \$1,000--\$4,999 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR INSTITUTION HOLDING NOTE OR LEASE AGREEMENT	
LIABILITY OF	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
GUARANTOR	
AMOUNT	<input type="checkbox"/> \$1,000--\$4,999 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

INTERESTS IN REAL PROPERTY

PART 7A

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

Describe all beneficial interests in real property held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of "beneficial interest" and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
2 STREET ADDRESS <input type="checkbox"/> NOT AVAILABLE	STREET ADDRESS, INCLUDING CITY, COUNTY, AND STATE
3 DESCRIPTION <input type="checkbox"/> LOTS <input type="checkbox"/> ACRES	NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED
4 NAMES OF PERSONS RETAINING AN INTEREST <input type="checkbox"/> NOT APPLICABLE (SEVERED MINERAL INTEREST)	
5 IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
STREET ADDRESS <input type="checkbox"/> NOT AVAILABLE	STREET ADDRESS, INCLUDING CITY, COUNTY, AND STATE
DESCRIPTION <input type="checkbox"/> LOTS <input type="checkbox"/> ACRES	NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED
NAMES OF PERSONS RETAINING AN INTEREST <input type="checkbox"/> NOT APPLICABLE (SEVERED MINERAL INTEREST)	
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

INTERESTS IN BUSINESS ENTITIES

PART 7B

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

Describe all beneficial interests in business entities held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of "beneficial interest" and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
2 DESCRIPTION	NAME AND ADDRESS
3 IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
DESCRIPTION	NAME AND ADDRESS
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
DESCRIPTION	NAME AND ADDRESS
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

GIFTS

PART 8

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

Identify any person or organization that has given a gift *worth more than \$250* to you, your spouse, or a dependent child, and describe the gift. The description of a gift of cash or a cash equivalent, such as a negotiable instrument or gift certificate, must include a statement of the value of the gift. Do not include: 1) expenditures required to be reported by a person required to be registered as a lobbyist under chapter 305 of the Government Code; 2) political contributions reported as required by law; or 3) gifts given by a person related to the recipient within the second degree by consanguinity or affinity. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

¹ DONOR	NAME AND ADDRESS
² RECIPIENT	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
³ DESCRIPTION OF GIFT	
<hr/>	
DONOR	NAME AND ADDRESS
RECIPIENT	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
DESCRIPTION OF GIFT	
<hr/>	
DONOR	NAME AND ADDRESS
RECIPIENT	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
DESCRIPTION OF GIFT	

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

TRUST INCOME

PART 9

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

Identify each source of income received by you, your spouse, or a dependent child as beneficiary of a trust and indicate the category of the amount of income received. Also identify each asset of the trust from which the beneficiary received *more than \$500* in income, if the identity of the asset is known. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 SOURCE	NAME OF TRUST
2 BENEFICIARY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
3 INCOME	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
4 ASSETS FROM WHICH OVER \$500 WAS RECEIVED <input type="checkbox"/> UNKNOWN	

SOURCE	NAME OF TRUST
BENEFICIARY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
INCOME	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
ASSETS FROM WHICH OVER \$500 WAS RECEIVED <input type="checkbox"/> UNKNOWN	

SOURCE	NAME OF TRUST
BENEFICIARY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
INCOME	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
ASSETS FROM WHICH OVER \$500 WAS RECEIVED <input type="checkbox"/> UNKNOWN	

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

BLIND TRUSTS

PART 10A

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

Identify each blind trust that complies with section 572.023(c) of the Government Code. See FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1	NAME OF TRUST	
2	TRUSTEE	NAME AND ADDRESS
3	BENEFICIARY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
4	FAIR MARKET VALUE	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
5	DATE CREATED	

	NAME OF TRUST	
	TRUSTEE	NAME AND ADDRESS
	BENEFICIARY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
	FAIR MARKET VALUE	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
	DATE CREATED	

	NAME OF TRUST	
	TRUSTEE	NAME AND ADDRESS
	BENEFICIARY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
	FAIR MARKET VALUE	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
	DATE CREATED	

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

TRUSTEE STATEMENT

PART 10B

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

An individual who is required to identify a blind trust on Part 10A of the Personal Financial Statement must submit a statement signed by the trustee of each blind trust listed on Part 10A. The portions of section 572.023 of the Government Code that relate to blind trusts are listed below.

1 NAME OF TRUST

2 TRUSTEE NAME

3 FILER ON WHOSE
BEHALF STATEMENT
IS BEING FILED

NAME

4 TRUSTEE STATEMENT

I affirm, under penalty of perjury, that I have not revealed any information to the beneficiary of this trust except information that may be disclosed under section 572.023 (b)(8) of the Government Code and that to the best of my knowledge, the trust complies with section 572.023 of the Government Code.

Trustee Signature

§ 572.023. Contents of Financial Statement in General

(b) The account of financial activity consists of:

(8) identification of the source and the category of the amount of all income received as beneficiary of a trust, other than a blind trust that complies with Subsection (c), and identification of each trust asset, if known to the beneficiary, from which income was received by the beneficiary in excess of \$500;

(14) identification of each blind trust that complies with Subsection (c), including:

(A) the category of the fair market value of the trust;

(B) the date the trust was created;

(C) the name and address of the trustee; and

(D) a statement signed by the trustee, under penalty of perjury, stating that:

(i) the trustee has not revealed any information to the individual, except information that may be disclosed under Subdivision (8); and

(ii) to the best of the trustee's knowledge, the trust complies with this section.

(c) For purposes of Subsections (b)(8) and (14), a blind trust is a trust as to which:

(1) the trustee:

(A) is a disinterested party;

(B) is not the individual;

(C) is not required to register as a lobbyist under Chapter 305;

(D) is not a public officer or public employee; and

(E) was not appointed to public office by the individual or by a public officer or public employee the individual supervises; and

(2) the trustee has complete discretion to manage the trust, including the power to dispose of and acquire trust assets without consulting or notifying the individual.

(d) If a blind trust under Subsection (c) is revoked while the individual is subject to this subchapter, the individual must file an amendment to the individual's most recent financial statement, disclosing the date of revocation and the previously unreported value by category of each asset and the income derived from each asset.

PART 11A

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1	BUSINESS ASSOCIATION	NAME AND ADDRESS	
2	BUSINESS TYPE		
3	HELD, ACQUIRED, OR SOLD BY	<input type="checkbox"/> FILER	<input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
4	ASSETS	DESCRIPTION	CATEGORY
			<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
			<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
			<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
			<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
			<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
			<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
			<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
			<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
			<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
			<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
			<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
			<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
			<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
			<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

Revised 12/05/2017

PART 11B

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

BOARDS AND EXECUTIVE POSITIONS

PART 12

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

List all boards of directors of which you, your spouse, or a dependent child are a member and all executive positions you, your spouse, or a dependent child hold in corporations, firms, partnerships, limited partnerships, limited liability partnerships, professional corporations, professional associations, joint ventures, other business associations, or proprietorships, stating the name of the organization and the position held. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

¹ ORGANIZATION	
² POSITION HELD	
³ POSITION HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
ORGANIZATION	
POSITION HELD	
POSITION HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
ORGANIZATION	
POSITION HELD	
POSITION HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
ORGANIZATION	
POSITION HELD	
POSITION HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
ORGANIZATION	
POSITION HELD	
POSITION HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

EXPENSES ACCEPTED UNDER HONORARIUM EXCEPTION

PART 13

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, ***and do NOT include this page in the report.***

Identify any person who provided you with necessary transportation, meals, or lodging, as permitted under section 36.07(b) of the Penal Code, in connection with a conference or similar event in which you rendered services, such as addressing an audience or participating in a seminar, that were more than perfunctory. Also provide the amount of the expenditures on transportation, meals, or lodging. You are not required to include items you have already reported as political contributions on a campaign finance report, or expenditures required to be reported by a lobbyist under the lobby law (chapter 305 of the Government Code). For more information, see FORM PFS--INSTRUCTION GUIDE.

¹ PROVIDER

NAME AND ADDRESS

² AMOUNT

PROVIDER

NAME AND ADDRESS

AMOUNT

PROVIDER

NAME AND ADDRESS

AMOUNT

PROVIDER

NAME AND ADDRESS

AMOUNT

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

INTEREST IN BUSINESS IN COMMON WITH LOBBYIST

PART 14

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

Identify each corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association, other than a publicly-held corporation, in which you, your spouse, or a dependent child, and a person registered as a lobbyist under chapter 305 of the Government Code both have an interest. For more information, see FORM PFS--INSTRUCTION GUIDE.

¹ BUSINESS ENTITY

NAME AND ADDRESS

² INTEREST HELD BY

☐ FILER

☐ SPOUSE

☐ DEPENDENT CHILD _____

BUSINESS ENTITY

NAME AND ADDRESS

INTEREST HELD BY

☐ FILER

☐ SPOUSE

☐ DEPENDENT CHILD _____

BUSINESS ENTITY

NAME AND ADDRESS

INTEREST HELD BY

☐ FILER

☐ SPOUSE

☐ DEPENDENT CHILD _____

BUSINESS ENTITY

NAME AND ADDRESS

INTEREST HELD BY

☐ FILER

☐ SPOUSE

☐ DEPENDENT CHILD _____

BUSINESS ENTITY

NAME AND ADDRESS

INTEREST HELD BY

☐ FILER

☐ SPOUSE

☐ DEPENDENT CHILD _____

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

FEES RECEIVED FOR SERVICES RENDERED TO A LOBBYIST OR LOBBYIST'S EMPLOYER

PART 15

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

Report any fee you received for providing services to or on behalf of a person required to be registered as a lobbyist under chapter 305 of the Government Code, or for providing services to or on behalf of a person you actually know directly compensates or reimburses a person required to be registered as a lobbyist. Report the name of each person or entity for which the services were provided, and indicate the category of the amount of each fee. For more information, see FORM PFS--INSTRUCTION GUIDE.

¹ PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
² FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

REPRESENTATION BY LEGISLATOR BEFORE STATE AGENCY

PART 16

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

This section applies only to members of the Texas Legislature. A member of the Texas Legislature who represents a person for compensation before a state agency in the executive branch must provide the name of the agency, the name of the person represented, and the category of the amount of the fee received for the representation. For more information, see FORM PFS--INSTRUCTION GUIDE.

Note: Beginning September 1, 2003, legislators may not, for compensation, represent another person before a state agency in the executive branch. The prohibition does not apply if: (1) the representation is pursuant to an attorney/client relationship in a criminal law matter; (2) the representation involves the filing of documents that involve only ministerial acts on the part of the agency; or (3) the representation is in regard to a matter for which the legislator was hired before September 1, 2003.

¹
STATE AGENCY

²
PERSON REPRESENTED

³
FEE CATEGORY

☐ LESS THAN \$5,000 ☐ \$5,000--\$9,999 ☐ \$10,000--\$24,999 ☐ \$25,000--OR MORE

STATE AGENCY

PERSON REPRESENTED

FEE CATEGORY

☐ LESS THAN \$5,000 ☐ \$5,000--\$9,999 ☐ \$10,000--\$24,999 ☐ \$25,000--OR MORE

STATE AGENCY

PERSON REPRESENTED

FEE CATEGORY

☐ LESS THAN \$5,000 ☐ \$5,000--\$9,999 ☐ \$10,000--\$24,999 ☐ \$25,000--OR MORE

STATE AGENCY

PERSON REPRESENTED

FEE CATEGORY

☐ LESS THAN \$5,000 ☐ \$5,000--\$9,999 ☐ \$10,000--\$24,999 ☐ \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

BENEFITS DERIVED FROM FUNCTIONS HONORING PUBLIC SERVANT

PART 17

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

Section 36.10 of the Penal Code provides that the gift prohibitions set out in section 36.08 of the Penal Code do not apply to a benefit derived from a function in honor or appreciation of a public servant required to file a statement under chapter 572 of the Government Code or title 15 of the Election Code if the benefit and the source of any benefit over \$50 in value are: 1) reported in the statement and 2) the benefit is used solely to defray expenses that accrue in the performance of duties or activities in connection with the office which are nonreimbursable by the state or a political subdivision. If such a benefit is received and is not reported by the public servant under title 15 of the Election Code, the benefit is reportable here. For more information, see FORM PFS--INSTRUCTION GUIDE.

¹ SOURCE OF BENEFIT	NAME AND ADDRESS
² BENEFIT	
SOURCE OF BENEFIT	NAME AND ADDRESS
BENEFIT	
SOURCE OF BENEFIT	NAME AND ADDRESS
BENEFIT	
SOURCE OF BENEFIT	NAME AND ADDRESS
BENEFIT	

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

LEGISLATIVE CONTINUANCES

PART 18

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and do NOT include this page in the report.**

This section applies only to members of the Texas Legislature. Identify any legislative continuance that you have applied for or obtained under section 30.003 of the Civil Practice and Remedies Code, or under another law or rule that requires or permits a court to grant continuances on the grounds that an attorney for a party is a member or member-elect of the legislature.

¹ NAME OF PARTY REPRESENTED	
² DATE RETAINED	
³ STYLE, CAUSE NUMBER, COURT & JURISDICTION	
⁴ DATE OF CONTINUANCE APPLICATION	
⁵ WAS CONTINUANCE GRANTED?	<input type="checkbox"/> YES <input type="checkbox"/> NO
<hr/>	
NAME OF PARTY REPRESENTED	
DATE RETAINED	
STYLE, CAUSE NUMBER, COURT, & JURISDICTION	
DATE OF CONTINUANCE APPLICATION	
WAS CONTINUANCE GRANTED?	<input type="checkbox"/> YES <input type="checkbox"/> NO

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

PERSONAL FINANCIAL STATEMENT AFFIDAVIT

The law requires the personal financial statement to be verified. The verification page must have the signature of the individual required to file the personal financial statement, as well as the signature and stamp or seal of office of a notary public or other person authorized by law to administer oaths and affirmations. Without proper verification, the statement is not considered filed.

I swear, or affirm, under penalty of perjury, that this financial statement covers calendar year ending December 31, 2017, and is true and correct and includes all information required to be reported by me under chapter 572 of the Government Code.

Signature of Filer

AFFIX NOTARY STAMP / SEAL ABOVE

Sworn to and subscribed before me, by the said _____, this the _____ day of _____, 20 _____, to certify which, witness my hand and seal of office.

Signature of officer administering oath

Printed name of officer administering oath

Title of officer administering oath

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TEXAS ETHICS COMMISSION

PERSONAL FINANCIAL STATEMENT

FORM PFS - INSTRUCTION GUIDE



Revised June 14, 2017

**Texas Ethics Commission, P.O. Box 12070, Austin, Texas 78711
(512) 463-5800 FAX (512) 463-5777 TDD 1-800-735-2989**

Visit us at *<https://www.ethics.state.tx.us>* on the Internet.

AN EQUAL OPPORTUNITY EMPLOYER

The Texas Ethics Commission does not discriminate on the basis of race, color, national origin, sex, religion, age or disability in employment or the provision of services.

PERSONAL FINANCIAL STATEMENT

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GENERAL INSTRUCTIONS

Every "state officer," as defined by [chapter 572](#) of the Government Code, and the state chair of each political party, must file an annual personal financial statement with the Texas Ethics Commission. The requirement extends to each person who served as a state officer for any part of the period beginning January 1 of the year the statement is due and ending April 30.

Please note that an appointed or elected officer continues to serve as a state officer *until his or her successor has qualified for office*. For example, a person who resigned or whose term ended in November of one year will need to file a personal financial statement covering that year if the person was not replaced until January of the following year or later. However, if you are an appointed officer, as defined by [section 572.002](#) of the Government Code, you are not required to file a personal financial statement if the following criteria are met before January 1 of the year the statement is due: (1) your term expired, you resigned, your agency was abolished, or your agency functions were transferred to another agency; and (2) you ceased to participate in the state agency's functions. If your term expired or if you resigned, you are required to provide written notice of your intent to not participate in the agency's functions to the Office of the Governor and to the Texas Ethics Commission.

Every candidate for one of the elective public offices listed in [chapter 572](#) must also file a personal financial statement with the Texas Ethics Commission prior to the primary election date. Please see FILING DEADLINES in this guide or the filing schedule on the Ethics Commission website for the filing deadline. In addition, certain local candidates and officeholders may be required to file a personal financial statement, using this form, with a local filing authority under [chapter 159](#) of the Local Government Code.

If you have questions about whether you are required to file this form, please visit our website at www.ethics.state.tx.us. The website also provides access to [chapter 572](#) of the Government Code, commission rules, filing schedules, and personal financial statement brochures.

The Texas Ethics Commission also provides information about whether a public servant is permitted to accept gifts or other benefits under the Penal Code or lobby law. Disclosing an impermissible benefit does not legalize its acceptance.

WHO IS REQUIRED TO FILE?

Chapter 572, Government Code. The following individuals are required to file a personal financial statement with the Texas Ethics Commission under [chapter 572](#) of the Government Code:

- Appointed officers of executive branch state agencies;
- Executive heads of state agencies;
- Board members and executive heads of river authorities;
- Officeholders in and candidates for the following offices:

1. Member of the Texas Legislature;
 2. Statewide elected officer;
 3. Justice of a court of appeals;
 4. District judge;
 5. District or criminal district attorney; and
 6. Member of the State Board of Education;
- Former or retired judges sitting by assignment;¹ and
 - State chair of any political party receiving more than two percent of the vote for governor in the most recent general election.

Chapter 159, Local Government Code (Statutory County Court/Probate Court Judges).

[Chapter 159](#), Local Government Code, requires statutory county court and statutory probate court judges and judicial candidates for those offices to file a personal financial statement with either the county clerk or the Texas Ethics Commission. A filer who chooses to file with the Texas Ethics Commission must notify the county clerk of the decision to file with the Texas Ethics Commission on or before the deadline for filing the personal financial statement. [Local Gov't Code § 159.052\(b\)](#). *A filer who chooses to file with the Texas Ethics Commission may be subject to a \$500 late filing penalty if the report is filed after the deadline.*

Other Local Filers. Other local officers, candidates, or even employees may also be required to file a personal financial statement with a local filing authority. Some of those filing authorities may choose to use the Texas Ethics Commission Form PFS-LOCAL (for individuals who file with a local filing authority). Consult [chapter 159](#) of the Local Government Code for additional information.

Section 11.064, Education Code (School Board Trustees). The board of trustees in ANY independent school district may adopt a resolution requiring members of the board of trustees to file personal financial statements. The commissioner of education may also require members of the board of trustees of an independent school district to file personal financial statements in specified circumstances. A personal financial statement required to be filed under this section must be filed with the board of trustees AND with the Texas Ethics Commission.

Section 11.0641, Education Code (Certain School Board Trustees). This applies to the board of trustees of an independent school district that is located in a county that is located on the international border and in which a municipality with a population of 600,000 or more is located. A personal financial statement required to be filed under this section must be filed with the board of trustees AND with the commissioners court of the county in which the school district's administrative office is located.

¹ A former or retired judge who sits by assignment at the district court level or above must complete a personal financial statement. Attorney General Opinion H-526 (1975).

Municipalities With Populations of 100,000 or More. The mayor, members of the governing body, the municipal attorney, and the city manager of municipalities with a population of 100,000 or more are required to file personal financial statements with the clerk or secretary of the municipality. The Texas Ethics Commission does not have jurisdiction over this filing requirement. See chapter 145 of the Local Government Code for additional information.

Sport and Community Venue Districts. Directors of sports and community venue districts may be required to file personal financial statements with the board of directors of the district and with the Texas Ethics Commission. Consult Sections 335.102 and 335.1085 of the Local Government Code for additional information. Note that the requirement to file a personal financial statement applies only to directors of districts located in a county with a population of 2.4 million or more.

COMPLETING THE FORM

Elected Officeholders and Candidates for Elected Office: Under state law, a personal financial statement (PFS) filed with the Texas Ethics Commission by an elected officeholder, a candidate for an elected office, or a state party chair must be filed electronically. A Filer ID is needed to file a PFS electronically. You can contact the Texas Ethics Commission to obtain a Filer ID to access the electronic filing application. Go to www.ethics.state.tx.us/whatsnew/elf_info_pfs.htm to file the report electronically.

Individuals Appointed to Office: Under new state law effective May 29, 2017, a PFS filed with the Texas Ethics Commission by an appointed officer may be filed electronically using the online filing application or on paper. The Ethics Commission strongly recommends that you file the PFS electronically. Go to www.ethics.state.tx.us/filinginfo/pfsforms_Benefit.html to see some of the benefits to electronic filing. Appointed officers who have the option to file on paper include:

- the secretary of state;
- an individual appointed with the advice and consent of the senate to the governing board of a state-supported institution of higher education;
- an officer of a state agency who is appointed for a term of office specified by the Texas Constitution or a statute of this state;
- a director, executive director, commissioner, administrator, chief clerk, or other individual who is appointed by the governing body or highest officer of the state agency;
- the chancellor or highest executive officer of a university system and the president of a public senior college or university as defined by Section 61.003, Educ. Code;
- a former or retired judge who sits by assignment at the district court level; and
- an individual appointed to fill a vacancy in an elected office.

Note: A person who is required to file a PFS with the Texas Ethics Commission as a *candidate* for office or as an *elected* official does not have the option to file a PFS on paper.

Local Filers: If you are filing a PFS with a local filing authority, you must ensure that the PFS is in the proper format required by the local filing authority.

All forms filed on paper must be either typewritten or legibly hand-printed in ink. If requested information is not applicable to your activities, indicate that on page 2 of the Cover Sheet. A complete statement consists of the Cover Sheet and parts of the form on which you have information to report. Every part of the form should either be completed or marked “not applicable” on page 2 of the Cover Sheet.

Complete Form PFS by using one of the following methods:

1. PFS Online Electronic Filing Application: Go to www.ethics.state.tx.us/whatsnew/elf_info_pfs.htm to file the PFS electronically with the Texas Ethics Commission; or
2. Blank Fillable Form PFS: Complete either Form PFS-TEC (for individuals who file with the Texas Ethics Commission) or Form PFS-LOCAL (for individuals who file with a local filling authority) on your computer by going to www.ethics.state.tx.us/filinginfo/e_pfsfrm.htm to access a fillable Form PFS without using the PFS filing application. Once you complete the applicable form, you must print it out, sign it, have it notarized, and deliver it to the proper filing authority; or
3. Paper Form PFS & Instructions: Go to www.ethics.state.tx.us/filinginfo/pfsforms_Paper.html to obtain the PFS Instruction Guide and the applicable paper form. You must print out either Form PFS-TEC (for individuals who file with the Texas Ethics Commission) or Form PFS-LOCAL (for individuals who file with a local filling authority), complete it, sign it, have it notarized, and deliver it to the proper filing authority.

WHAT NOT TO INCLUDE

Please note that personal financial statements are public records. Do not include unrequired information that is confidential or proprietary, such as your social security number, driver’s license number, financial account numbers, or copies of your tax returns.

PERIOD COVERED

In most cases, the personal financial statement covers activity for the entire calendar year *preceding* the year the statement is due. For example, a personal financial statement due in 2017 covers activity occurring between and including January 1 and December 31, 2016.

New Appointees. An appointed salaried officer, appointee filling a vacancy in elective office, appointee of a major state agency, or the executive head of a state agency must file a personal financial statement during the first year of his or her appointment. For these newly

appointed officers, the period covered by the first required personal financial statement is determined by the date the officer is appointed to the office. A new appointee's first personal financial statement covers the entire calendar year *preceding the year of appointment* rather than preceding the year the statement is due. For example, a person appointed to serve on the board of a major state agency effective December 15, 2016, is required to file a personal financial statement due January 14, 2017. This personal financial statement covers activity occurring between and including January 1 and December 31, 2015. Other new appointees, such as appointees to non-major state agencies, will file a personal financial statement on the April 30 deadline. The personal financial statement will cover activity for the entire calendar year preceding the year the statement is due.

Please contact the Texas Ethics Commission for further information if you have questions about the period covered by a personal financial statement.

SUBSTITUTION OF FORMS

You may use photocopies of Texas Ethics Commission forms. You may also use your own computer-generated form if it provides for disclosure of all the information required on the commission's form and it is *substantially identical* in paper size, color, layout, and format. You must submit a substitute form for pre-approval by the executive director of the Texas Ethics Commission.

FILING DEADLINES

Annual Statement. The regular filing deadline for the annual personal financial statement is **April 30** for non-candidates.

Candidate Statement. A partisan or independent candidate for elective office who is required to file a personal financial statement must file it no later than the 40th day after the date of the regular filing deadline for filing an application to be on the ballot in the general primary election. *The deadline applies whether or not the candidate runs in a primary election.*

Others. All other individuals required to file the personal financial statement (such as appointed officers and executive directors filing for the first time) should contact the Texas Ethics Commission for further information about the applicable filing deadline.

TIMELY FILINGS

Electronic reports must be filed by midnight, Central Time Zone, on the night of the filing deadline.

A personal financial statement filed on paper with the proper filing authority by first-class United States mail or by common or contract carrier is timely filed if:

- (1) it is properly addressed with postage or handling charges prepaid; and
- (2) it bears a post office cancellation mark or a receipt mark from a common or contract carrier indicating it was sent on or before the deadline, or if the filer furnishes satisfactory proof that it was deposited in the mail or with a common or contract carrier on or before the deadline.

A hand-delivered statement is timely filed if it is delivered to the proper filing authority by 5:00 p.m. on the deadline date.

Note: A person who is required to file a personal financial statement (PFS) with the Texas Ethics Commission as a *candidate* for office or as an *elected* official does not have the option to file a PFS on paper.

EXTENSION OF THE APRIL 30TH DEADLINE

A state officer filing the annual personal financial statement due April 30 may request a 60-day extension of the filing deadline. The executive director of the Texas Ethics Commission shall grant such a request if the request is made on or before the regular deadline. A statutory county court or probate court judge is also eligible for a 60-day extension of the April 30 deadline if the judge requests the extension on or before the regular filing deadline. ***Extensions may not be granted for any other personal financial statement filing deadline,*** such as the deadline for candidates or newly-appointed board members.

LATE FILING PENALTY

An individual who files the personal financial statement with the Texas Ethics Commission may be assessed a \$500 late filing penalty if the personal financial statement is not filed by the deadline. If the statement is more than 30 days late, the commission may increase the penalty to an amount not to exceed \$10,000.

CHANGES IN INFORMATION

If you discover after the filing deadline that the personal financial statement you filed was incorrect or incomplete, you must file a corrected financial statement. Please contact the Texas Ethics Commission for additional information.

RECORDS RETENTION

The commission recommends that you retain a copy of a filed financial disclosure statement and the supporting documentation for at least two years after the deadline for filing the statement. See [Ethics Advisory Opinion No. 236](#).

COMPLETING FORM PFS

Use **Form PFS-TEC** if you are filing this personal financial statement with the Texas Ethics Commission.

Use **Form PFS-LOCAL** if you are filing this personal financial statement with a filing authority other than the Texas Ethics Commission.

COVER SHEET PAGE 1

1. Name: List your name.

2. Address: List the address at which you would like to receive communications from this office, such as notices of your filing requirements.

Form PFS-TEC Only: If you are listing your home address here, please indicate this by placing a check in the box provided.

3. Telephone Number: List a telephone number at which you can be reached during regular business hours.

4. Reason for Filing Statement: Check the appropriate box to indicate the capacity in which you are filing this personal financial statement. Generally, if you file in more than one capacity, you will check all applicable boxes. You are only required to file one personal financial statement for the same calendar year, even if you fit within more than one category.

Form PFS-LOCAL:

Candidate: If you are a candidate for an elected office, check this box and indicate which office you seek. Identify the office completely, including the district or place name, if applicable. See [Who Is Required to File?](#) under the GENERAL INSTRUCTIONS of this guide for a list of the applicable offices.

Elected Officer: If you are an elected officeholder, check this box and indicate which office you hold. Identify the office completely, including the district or place name, if applicable. See [Who Is Required to File?](#) under the GENERAL INSTRUCTIONS of this guide for a list of the applicable offices.

***Example:** Frank is running for mayor. He should check the "Candidate" box and write "Mayor" to indicate the office he seeks. Jane is the Smallville city council member for District 1. She should check the "Elected Officer" box and write "Smallville City Council District 1."*

Other: If you are filing because you hold a position other than one of the positions listed above, check other and describe the position.

See the [General Instructions](#) for detailed information about who is required to file a personal financial statement.

Form PFS-TEC:

Candidate: If you are a candidate for an elected office, check this box and indicate which office you seek. Identify the office completely, including the district or place name, if applicable. See [Who Is Required to File?](#) under the GENERAL INSTRUCTIONS of this guide for a list of the applicable offices.

Elected Officer: If you are an elected officeholder, check this box and indicate which office you hold. Identify the office completely, including the district or place name, if applicable. See [Who Is Required to File?](#) under the GENERAL INSTRUCTIONS of this guide for a list of the applicable offices.

***Example:** Frank is running for judge in the 560th Judicial District. He should check the "Candidate" box and write "Judge, 560th District" to indicate the office he seeks. Jane is the judge for Mars County Court at Law Number 2. She should check the "Elected Officer" box and write "Mars County Court at Law No. 2."*

Appointed Officer: If you are an appointed officeholder of a state agency, check this box and indicate the agency.

Executive Head: If you are the executive head of a state agency, check this box and indicate the agency.

Note: "State agency" is defined as:

- (A) a department, commission, board, office, or other agency that:
 - (i) is in the executive branch of state government;
 - (ii) has authority that is not limited to a geographical portion of the state; and
 - (iii) was created by the Texas Constitution or a statute of this state;
- (B) a university system or an institution of higher education as defined by Section 61.003, Education Code, other than a public junior college; or
- (C) a river authority created under the Texas Constitution or a statute of this state.

[Gov't Code § 572.002\(10\).](#)

Former or Retired Judge Sitting by Assignment: If you are a former or retired judge who sits by assignment at the district court level or above, check this box.

State Party Chair: If you are a state party chair, check this box and indicate the party.

Other: If you are filing because you hold a position other than one of the positions listed above, check other and describe the position.

See the [General Instructions](#) for detailed information about who is required to file a personal financial statement.

5. Names of Family Members Whose Financial Activity You Are Reporting: In Parts 1 through 14, you are required to disclose financial activity in which you have an ownership interest (e.g., community property). You are also required to disclose the separate financial activity (e.g., separate property) of your spouse or a dependent child if you had actual control over that financial activity, notwithstanding a partition agreement. See [Texas Ethics Commission Rule § 40.2](#).

Spouse. If you are reporting any financial activity for your spouse on this financial statement, enter your spouse's full name here.

Dependent Child. If you are reporting any financial activity for a dependent child on this financial statement, enter the child's full name here. If you are reporting information about more than one dependent child, please list the children separately on the appropriate lines. If you are not reporting financial activity for a dependent child, do not enter that child's name on this form. A child (including an adopted child or a step-child) is considered a dependent if you provided more than 50 percent of the child's support during a calendar year. ***Note:** Statutory county court or probate court judges may request in writing that the names of dependent children listed on Form PFS be deleted before the form is made available to the public.*

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6. Parts Not Applicable: Check the appropriate boxes to indicate which parts of the form are not applicable to you. If the box for a part is checked, then no pages for that part must be included in the filed report. If the box is not checked, then pages for that part must be included in the report.

FINANCIAL ACTIVITY

In Parts 1 through 18, you will disclose information about your financial activity during the preceding calendar year. In Parts 1 through 14, you are required to disclose financial activity in which you have an ownership interest (e.g., community property). You are also required to disclose the separate financial activity (e.g., separate property) of your spouse or a dependent child if you had actual control over that financial activity, notwithstanding a partition agreement. See [Texas Ethics Commission Rule § 40.2](#). When reporting

information about a dependent child's activity in Parts 1 through 14, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet under item 5.

PART 1. SOURCES OF OCCUPATIONAL INCOME AND RETAINERS

PART 1A. SOURCES OF OCCUPATIONAL INCOME

Complete a block for each source of occupational income. Occupational income refers to income derived from current occupational activity rather than income received as a pension or from a retirement plan associated with past occupational activity. Information about retirement funds or income may be reportable under some other category. See [Ethics Advisory Opinion No. 392](#). If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Information Relates To: Check the appropriate box indicating whether the source relates to you, your spouse, or a dependent child.

2. Employment: Check the appropriate box indicating whether the individual the information relates to is employed by another or self-employed.

Employed by Another. If the individual is employed by another, provide the name and address of the employer and the position held.

Form PFS-TEC Only: If you are listing your home address here, please indicate this by placing a check in the box provided.

Self-Employed. If the individual is self-employed, report the nature of the occupation, e.g., attorney, carpenter, etc.

PART 1B. RETAINERS

This section asks for information about fees received by you, your spouse, or a dependent child, or received by a business in which you, your spouse, or a dependent child have a "substantial interest," as a retainer for a claim on future services in case of need, rather than fees for services on a matter specified at the time of contracting for or receiving the fee. Report such retainers only in cases in which the value of the amount of work actually performed during the calendar year did not equal or exceed the value of the retainer. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Example: Last year you received a retainer for \$15,000 for consulting services in case of need. You ended up providing \$5,000 worth of services during the calendar year. You should report the entire \$15,000 retainer on this year's financial statement, which covers last year's activity.

Substantial Interest. An individual has a substantial interest in a business entity if the individual:

- (1) has a controlling interest in the business entity;
- (2) owns more than 10 percent of the voting interest in the business entity;
- (3) owns more than \$25,000 of the fair market value of the business entity;
- (4) has a direct or indirect participating interest by shares, stocks, or otherwise, regardless of whether voting rights are included, in more than 10 percent of the profits, proceeds, or capital gains of the business entity;
- (5) is a member of the board of trustees or other governing board of the business entity;
- (6) serves as an elected officer of the business entity; or
- (7) is an employee of the business entity.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Fee Received From: Provide the name and address of the individual or entity from whom the fee was received.

2. Fee Received By: Check the appropriate box indicating whether the fee was received by you, your spouse, or a dependent child. If the fee was received by a business, provide the name of the business.

3. Fee Amount: Check the appropriate fee category for the amount received.

PART 2. STOCK

This section is for information about business entities in which you, your spouse, or a dependent child held or acquired stock. Complete a separate block for each entity in which stock was held or acquired. If stocks are held in a managed investment account for which the filer does not make investment decisions but where the filer retains ownership of the individual stocks in the account, the filer is still required to disclose the individual stocks held in the account. See Ethics [Advisory Opinion No. 326](#). However, if the stocks are held

in a fund, of which the filer owns shares of the fund, the filer is required to report only the ownership of the fund (see Part 4, Mutual Funds). *Id.* If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Business Entity: Enter the name of the business entity in which the stock was held or acquired.

2. Stock Held or Acquired By: Check the appropriate box indicating whether the stock was held or acquired by you, your spouse, or a dependent child.

3. Number of Shares: If the number of shares held or acquired fluctuated during the year, indicate the category for the greatest number of shares held or acquired during the year.

4. If Sold: Complete this section if you sold any of the indicated stock during the year. Check whether the sale resulted in a net gain or a net loss and indicate the amount of the net gain or net loss by checking the appropriate monetary category. If you had several transactions involving stock of a particular entity, indicate the net gain or net loss resulting from those transactions for the year. You do not have to show the net gain or net loss from each sale of stock in the same business entity.

PART 3. BONDS, NOTES, AND OTHER COMMERCIAL PAPER

This section is for information about bonds, notes, and other commercial paper held or acquired by you, your spouse, or a dependent child. Complete a separate block for each bond, note, or other commercial instrument held or acquired. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Description of Instrument: Briefly describe the instrument.

Commercial Paper. Commercial paper includes any type of negotiable instrument, such as certificates of deposit (CDs), money market certificates, treasury bills, or bills of exchange.

2. Held or Acquired By: Check the appropriate box indicating whether the instrument was held or acquired by you, your spouse, or a dependent child.

3. If Sold: Complete this section if you sold any of the instruments during the year. Check whether the sale resulted in a net gain or a net loss and indicate the amount of the net gain or net loss by checking the appropriate monetary category.

PART 4. MUTUAL FUNDS

This section is for information about shares of mutual funds held or acquired by you, your spouse, or a dependent child. Complete a separate block for each mutual fund in which shares were held or acquired. If you are disclosing ownership of a mutual fund, you are not also required to disclose ownership of the stocks contained in the fund on Part 3, Stocks. See [Ethics Advisory Opinion No. 326](#). If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Mutual Fund:** Enter the name of the mutual fund in which shares were held or acquired.
- 2. Shares of Mutual Funds Held or Acquired By:** Check the appropriate box indicating whether the shares in the mutual fund were held or acquired by you, your spouse, or a dependent child.
- 3. Number of Shares of Mutual Fund:** If the number of shares held or acquired fluctuated during the year, indicate the category for the greatest number of shares held or acquired during the year.
- 4. If Sold:** Complete this section if you sold any of the indicated shares of the mutual fund during the year. Check whether the sale resulted in a net gain or a net loss and indicate the amount of the net gain or net loss by checking the appropriate monetary category. If you had several transactions involving shares of the mutual fund, indicate the net gain or net loss resulting from those transactions. You do not have to show the net gain or net loss from each sale of shares of the mutual fund.

PART 5. INCOME FROM INTEREST, DIVIDENDS, ROYALTIES, AND RENTS

If you, your spouse, or a dependent child received ***more than \$500 from any source*** in interest, dividend, royalty, or rent income, identify the source of the income and the category of the amount received. Complete a separate block for each source of interest, dividend, royalty, or rent income. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Source of Income:** Provide the name and address of the source of income. If the source of income is a publicly traded corporation, an address is not required (for Part 5 only). If the source of income is a publicly traded corporation, check the “Publicly held corporation” box,

and do not include the address. If the source of income is not a publicly traded corporation, you must include the address.

2. Received By: Check the appropriate box indicating whether the income was received by you, your spouse, or a dependent child.

3. Amount: Check the appropriate monetary category for the amount received.

PART 6. PERSONAL NOTES AND LEASE AGREEMENTS

Complete this section if at any time during the year you, your spouse, or a dependent child owed a financial obligation *in excess of \$1,000* to a person or financial institution on a personal note or notes or a lease agreement. Complete a separate block for each person or institution holding a personal note or lease agreement covered by this section. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Person or Institution Holding Note or Lease Agreement: Identify the person or institution (for example, "Zebu National Bank", "Echidna Mortgage Company") holding the personal note or lease agreement on which you, your spouse, or a dependent child owed the obligation.

2. Liability of: Check the appropriate box indicating whether the personal note or lease agreement is the liability of you, your spouse, or a dependent child.

3. Guarantor: If the obligation was a loan, identify the guarantor of the loan, if any.

4. Amount: Check the appropriate monetary category for the amount of the liability. If the amount of the liability fluctuated throughout the year, select the category that represents the highest balance at any point throughout the year.

PART 7. INTERESTS IN REAL PROPERTY AND BUSINESS ENTITIES

This section is for reporting beneficial interests held or acquired in real property and business entities. Part 7A pertains to interest in real property and Part 7B pertains to interest in business entities. Refer to the following definitions when completing both Parts 7A and 7B. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Beneficial Interest. A beneficial interest may be either legal or equitable title (such as when a creditor takes the legal title as security for the repayment of a debt). Report items held by a trust of which you are a beneficiary under Part 9 rather than under this section.

Business Entity. "Business entity" means a sole proprietorship, partnership, firm, corporation, holding company, joint stock company, receivership, trust, or any other entity recognized by law through which business for profit is conducted.

PART 7A. INTERESTS IN REAL PROPERTY

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Held or Acquired By: Check the appropriate box indicating whether the interest is held or acquired by you, your spouse, or a dependent child.

2. Street Address: Enter the street address of the real property, if applicable, and include the city, county, and state where the real property is located.

Form PFS-TEC Only: If you are listing your home address here, please indicate this by placing a check in the box provided.

3. Description: Check whether the real property consists of lots or acres. Provide the number of lots or acres, as applicable, and the name of each county in which the lots or acres are located.

If the real property is identifiable by a street address, you may provide that information in Item 3 of this part in lieu of filling out this item.

4. Names of Persons Retaining an Interest: List the names of any persons retaining an interest in the real property other than you, your spouse, or a dependent child. The requirement to list the names of persons retaining an interest in real property does not apply to a severed mineral interest.

Example: *If you own a house and make mortgage payments, you would list the house in this section and list the mortgage holder as another person retaining an interest in the property.*

5. If Sold: Complete this item only if you sold the interest during the year. Check whether the sale resulted in a net gain or a net loss and indicate the amount of the net gain or net loss by checking the appropriate monetary category.

PART 7B. INTERESTS IN BUSINESS ENTITIES

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Held or Acquired By: Check the appropriate box indicating whether the interest is held or acquired by you, your spouse, or a dependent child.

2. Description: Provide the name and address of the business entity.

Form PFS-TEC Only: If you are listing your home address here, please indicate this by placing a check in the box provided.

3. If Sold: Complete this item only if you sold the interest during the year. Check whether the sale resulted in a net gain or a net loss and indicate the amount of the net gain or net loss by checking the appropriate monetary category.

PART 8. GIFTS

This section is for reporting gifts worth more than \$250 received by you, your spouse, or a dependent child, other than 1) a gift required to be reported by a lobbyist as a lobby expenditure, 2) a political contribution, or 3) a gift from a person related to you within the second degree by consanguinity or affinity. The term “gift” in Government Code section [572.023\(b\)\(7\)](#) is broader than the term “gift” in Penal Code [chapter 36](#) (bribery and gift laws) or in Government Code chapter 305 (lobby law). See [Ethics Advisory Opinion No. 71](#). Some examples of gifts that may require disclosure include a reception to honor a state officer (see [Ethics Advisory Opinion No. 415](#)), items of value provided to an officer at a charitable fundraiser (see [Ethics Advisory Opinion No. 71](#)), gifts to a state officer’s child for a birthday, bar or bat mitzvah, quinceanera, or christening (see [Ethics Advisory Opinion No. 421](#)), and waiver of a symposium fee (see [Ethics Advisory Opinion No. 29](#)), *but not* provision of facilities for use by a state officer’s child for an event that is a required part of a school-sponsored activity (see [Ethics Advisory Opinion No. 428](#)). If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Gifts from Relatives. A parent, child, brother, sister, grandparent, or grandchild is related to you within the second degree by *consanguinity*. Individuals related to you within the second degree by *affinity* include the spouse of anyone related to you within the second degree by consanguinity, and anyone related to your spouse within the second degree by consanguinity. You are not required to report gifts from these individuals.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Donor: Provide the name and address of the person or organization giving the gift.

2. Recipient: Check the appropriate box indicating whether the gift was given to you, your spouse, or a dependent child. *If the gift was given to more than one person, check as many boxes as apply.*

3. Description: Describe the gift. The description of a gift of cash or a cash equivalent, such as a negotiable instrument or gift certificate, must include a statement of the value of the gift.

PART 9. TRUST INCOME

Complete this section if *any* income was received as a beneficiary of a trust, other than a blind trust, the definition of which is included in the PART 10A of these instructions. Identify the trust by name and indicate the category of the amount received. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Source: Provide the name of the trust.

2. Beneficiary: Check the appropriate box indicating whether you, your spouse, or a dependent child is the beneficiary of the trust.

3. Income: Check the appropriate monetary category to indicate the amount of income received by the beneficiary.

4. Assets: Identify each asset of the trust from which more than \$500 in income was received, *if you know the identity of the asset*. Accordingly, you are not required to identify the assets of a blind trust.

PART 10. BLIND TRUSTS

This section is for reporting each blind trust, as defined by [section 572.023\(c\)](#) of the Government Code, in which you, your spouse, or a dependent child is a beneficiary. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet for Part 10A and Part 10B.

PART 10A. BLIND TRUSTS

Section 572.023(c), Government Code. A blind trust is a trust as to which:

(1) the trustee:

(A) is a disinterested party;

(B) is not the individual;

(C) is not required to register as a lobbyist under [chapter 305](#) [of the Government Code];

(D) is not a public officer or public employee; and

(E) was not appointed to public office by the individual or by a public officer or public employee the individual supervises; and

(2) the trustee has complete discretion to manage the trust, including the power to dispose of and acquire trust assets without consulting or notifying the individual.

You must submit a statement signed by the trustee of each trust listed on this section. See Part 10B for additional information.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Name of Trust: Provide the name of the trust.

2. Trustee: Provide the name and address of the trustee.

Form PFS-TEC Only: If you are listing your home address here, please indicate this by placing a check in the box provided.

3. Beneficiary: Check the appropriate box indicating whether you, your spouse, or a dependent child is the beneficiary of the trust.

4. Fair Market Value: Check the appropriate monetary category to indicate the fair market value of the trust.

5. Date Created: Report the date the trust was created.

PART 10B. TRUSTEE STATEMENT

You must submit with your personal financial statement a statement signed by the trustee of each blind trust listed on Part 10A.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Name of Trust: Provide the name of the trust.

2. Trustee Name: Provide the name of the trustee.

3. Filer on Whose Behalf Statement is Being Filed: Provide the name of the person on whose behalf the trustee statement is being filed.

4. Trustee Statement: Signature of the trustee.

PART 11. ASSETS AND LIABILITIES OF BUSINESS ASSOCIATIONS

Complete this section if you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership of a corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association. Part 11A pertains to assets of the corporation or partnership, and Part 11B pertains to liabilities of the corporation or partnership. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

PART 11A. ASSETS OF BUSINESS ASSOCIATIONS

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Business Association: Provide the name and address of the business association.

Form PFS-TEC Only: If you are listing your home address here, please indicate this by placing a check in the box provided.

2. Business Type: State whether the business is a corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association.

3. Held, Acquired, or Sold By: Check the appropriate box indicating whether the ownership was held, acquired, or sold by you, your spouse, or a dependent child.

4. Assets: Describe each asset of each business association and check the appropriate monetary category.

PART 11B. LIABILITIES OF BUSINESS ASSOCIATIONS

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Business Association: Provide the name and address of the business association.

Form PFS-TEC Only: If you are listing your home address here, please indicate this by placing a check in the box provided.

2. Business Type: State whether the business is a corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association.

3. Held, Acquired, or Sold By: Check the appropriate box indicating whether the ownership was held, acquired, or sold by you, your spouse, or a dependent child.

4. Liabilities: Describe each liability of the business association and check the appropriate monetary category.

PART 12. BOARDS AND EXECUTIVE POSITIONS

This section is for information about all boards of directors of which you, your spouse, or a dependent child are a member and all executive positions held in corporations, firms, partnerships, limited partnerships, limited liability partnerships, professional corporations, professional associations, joint ventures, or other business associations or proprietorships. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Non-Profits. This section applies to boards of directors and executive positions with non-profit as well as for-profit entities.

Compensated Service. If you, your spouse, or a dependent child received payment for positions listed in this section, you may also be required to list the entity under PART 1A. SOURCES OF OCCUPATIONAL INCOME.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Organization: Provide the name of the organization.

2. Position Held: Provide the position held in the organization.

3. Position Held By: Check the appropriate box to indicate whether the position is held by you, your spouse, or a dependent child.

PART 13. EXPENSES ACCEPTED UNDER HONORARIUM EXCEPTION

Generally, [section 36.07](#) of the Penal Code prohibits a public servant from accepting an honorarium in consideration for providing services he or she would not have been asked to provide but for his or her official position. The provision does not, however, prohibit the acceptance of necessary transportation, lodging, or meals in connection with a conference or similar event at which the public servant renders services, such as addressing an audience or

participating in a seminar, that are more than merely perfunctory. If someone provided you with transportation, meals, or lodging under this provision, identify the donor and provide the amount of expenditures made. You may have to contact the donor to obtain the amount. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Political Contributions and Lobby Expenditures. You are not required to list items you or another candidate have already reported on a campaign finance report or items required to be reported by a lobbyist as lobby expenditures. See [Ethics Advisory Opinion No. 401](#).

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Provider: Provide the name and address of the person making the expenditures.

2. Amount: Provide the amount of the expenditures.

PART 14. INTEREST IN BUSINESS IN COMMON WITH A LOBBYIST

Complete this section by identifying any corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association, other than a publicly held corporation, in which both you, your spouse, or a dependent child, and a person registered as a lobbyist under [chapter 305](#) of the Government Code, have an interest. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Interest. Please note that the statute applies if you, your spouse, or a dependent child, and a lobbyist both have “an interest” in the business. The interest does not have to be a “substantial interest” as in Part 1B in order to trigger the reporting requirement. Please note that for purposes of this section, a person who is an employee of a business entity is considered to have an interest in that business entity.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Business Entity: Provide the name and address of the partnership, joint venture, or other business association in which you, your spouse, or a dependent child, and a person registered as a lobbyist have an interest.

Form PFS-TEC Only: If you are listing your home address here, please indicate this by placing a check in the box provided.

2. Interest Held By: Check the appropriate box to indicate whether you, your spouse, or a dependent child have an interest with a person registered as a lobbyist.

PART 15. FEES RECEIVED FOR SERVICES RENDERED TO A LOBBYIST OR LOBBYIST'S EMPLOYER

If you received a fee for providing services to or on behalf of a person required to be registered as a lobbyist under [chapter 305](#), Government Code, or for providing services to or on behalf of a person you **actually know** directly compensates or reimburses such a person, you must complete this section by providing the name of the person for whom you provided the services and the category of the amount of the fee you received. You are not required to disclose in this section fees received by your spouse for services rendered by your spouse although such fees may be required to be disclosed in Section 1. See [Ethics Advisory Opinion No. 252](#). You are not required to disclose fees received from a business entity by which you are employed unless the business entity is merely an alter ego of the state officer. See [Ethics Advisory Opinion No. 333](#). If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Actual Knowledge. You "actually" know that someone directly compensates or reimburses a person required to be registered as a lobbyist if you personally know that the person does so or you could readily determine that fact by contacting the person or the Texas Ethics Commission. See [Ethics Advisory Opinion No. 333](#) (1996).

Disclosing Confidential Information. State officers who are physicians are not required to include on their financial disclosure reports a patient's identity because that information is made confidential by the Medical Practices Act. See [Ethics Advisory Opinion No. 21](#). The commission has declined to extend this exception to accountants who would be reporting information regulated by the Public Accountancy Act. See [Ethics Advisory Opinion No. 22](#) (Public Accountancy Act does not make a client's identity confidential and therefore does not conflict with financial disclosure requirements). The commission has also indicated that this exception would not be extended to attorneys in cases where disclosing a client's identity would not reveal a confidential communication. See *id.*

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Person or Entity for Whom Services Were Provided:** Provide the name of the person or entity.
 - 2. Fee Category:** Check the appropriate fee category for the amount received.
-

PART 16. REPRESENTATION BY LEGISLATOR BEFORE STATE AGENCY

This section applies only to members of the Texas Legislature. If you represented a person for compensation before a state agency in the executive branch, you must provide the name of the agency, the name of the person represented, and the category of the amount of the fee

received for the representation. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. State Agency:** Provide the name of the state agency.
- 2. Person Represented:** Provide the name of the person you represented.
- 3. Fee Category:** Check the appropriate fee category for the amount received.

NOTE: Legislators may not, for compensation, represent another person before a state agency in the executive branch. The prohibition does not apply if:

1. the representation is pursuant to an attorney/client relationship in a criminal law matter;
2. the representation involves the filing of documents that involve only ministerial acts on the part of the agency; or
3. the representation is in regard to a matter for which the legislator was hired before September 1, 2003.

PART 17. BENEFITS DERIVED FROM FUNCTIONS HONORING PUBLIC SERVANT

Section 36.10 of the Penal Code provides that the gift prohibitions set out in Section 36.08 of the Penal Code do not apply to a benefit derived from a function in honor or appreciation of a public servant required to file a statement under [chapter 572](#), Government Code, or [title 15](#) of the Election Code, if: 1) the benefit and the source of any benefit over \$50 in value are reported in the statement; and 2) the benefit is used solely to defray expenses that accrue in the performance of duties or activities in connection with the office that are non-reimbursable by the state or a political subdivision. If such a benefit is received and is not reported by the public servant under title 15 of the Election Code, the benefit is reportable here. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Source of Benefit:** Provide the name and address of the person or entity that is the source of the benefit.

2. Benefit: Describe the benefit received.

PART 18. LEGISLATIVE CONTINUANCES

This section applies only to members of the Texas Legislature. Complete this schedule if you are a member or member-elect of the legislature licensed to practice law and represent a party to a civil or criminal case for compensation and on behalf of that party's behalf you have applied for or obtained a legislative continuance under section 30.003 of the Civil Practice and Remedies Code, or under another law or rule that requires or permits a court to grant a continuance on the grounds that an attorney for a party is a member or member-elect of the legislature. If the requested information is not applicable, indicate that on page 2 of the Cover Sheet.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Name of Party Represented: Provide the name of the party on whose behalf you applied for or obtained a continuance.

2. Date Retained: Provide the date on which you were retained to represent the party.

3. Style, Cause Number, Court, and Jurisdiction: Provide the style and cause number of the action in which the continuance was sought and the court and jurisdiction in which the action was pending when the continuance was sought.

4. Date of Continuance Application: Provide the date on which you applied for a continuance.

5. Was Continuance Granted: Indicate whether the continuance was granted.

PERSONAL FINANCIAL STATEMENT AFFIDAVIT

The law requires that the personal financial statement be verified. The verification page must have the signature of the individual required to file the personal financial statement, as well as the signature and stamp or seal of office of a notary public or other person authorized by law to administer oaths and affirmations.

CORRECTED FINANCIAL STATEMENT

AND

GOOD-FAITH AFFIDAVIT

Note: A PFS filed with the Texas Ethics Commission must be filed electronically. The only exception is for individuals appointed to office. See the PFS Instruction Guide for more information.

Attach Any Part of Your Financial Statement Form Needed to Report and Explain Corrections

Filer Name (First, MI, Last)

Filer ID

Address (P.O. Box or Street Address, Apt. or Suite #)

☐ (CHECK IF FILER'S HOME ADDRESS)

(City, State, Zip Code)

OFFICE USE ONLY

Date Received

Date Hand-delivered or Date Postmarked

Receipt #

Amount \$

Date Processed

Date Imaged

The correction(s) filed with this affidavit apply to my financial statement due in

☐ 2018 ☐ 2017 ☐ 2016 ☐ 2015 ☐ 2014 ☐ 2013 ☐ Other _____

(Remember: The financial statement you file covers the preceding calendar year's activity. Thus a report due in 2018 covers information for calendar year 2017.)

Explanation of Correction

I swear, or affirm, under penalty of perjury, that this corrected report is true and correct.

Check ONLY if applicable:

☐

I swear, or affirm, that I am filing this corrected report not later than the 14th business day after the date I learned that the report as originally filed is inaccurate or incomplete. I swear, or affirm, that any error or omission in the report as originally filed was made in good faith.

Signature of Filer

AFFIX NOTARY STAMP / SEAL ABOVE

Sworn to and subscribed before me by _____ this the _____ day of

_____, 20 _____, to certify which, witness my hand and seal of office.

Signature of officer administering oath

Printed name of officer administering oath

Title of officer administering oath

CORRECTED FINANCIAL STATEMENT
AND
GOOD-FAITH AFFIDAVIT

All Reports: A filer who files a corrected financial statement must submit a correction affidavit. The affidavit must identify the information that has changed. Attach any part of your financial statement form needed to report and explain corrections.

Reports filed with Texas Ethics Commission: Under state law, a personal financial statement (PFS) filed with the Ethics Commission by an elected officeholder, a candidate for an elected office, or a state party chair must be filed electronically. All corrections to an electronically filed PFS must also be filed electronically. Under new state law effective May 29, 2017, a PFS filed with the Ethics Commission by an appointed officer may be filed electronically using the online filing application or on a paper Form PFS.

Note: A person who is required to file a PFS with the Ethics Commission as a *candidate* for office or as an *elected* official does not have the option to file a PFS or a corrected PFS on paper.

Local Filers: If you are filing a personal financial statement (PFS) with a local filing authority, you must ensure that the PFS is in the proper format required by the local filing authority. All corrections to a PFS must be filed in the same format as the original.

This correction affidavit can be used only for a personal financial statement (PFS) that is filed on paper. Do not use this correction affidavit for a PFS that is filed electronically with the Commission.

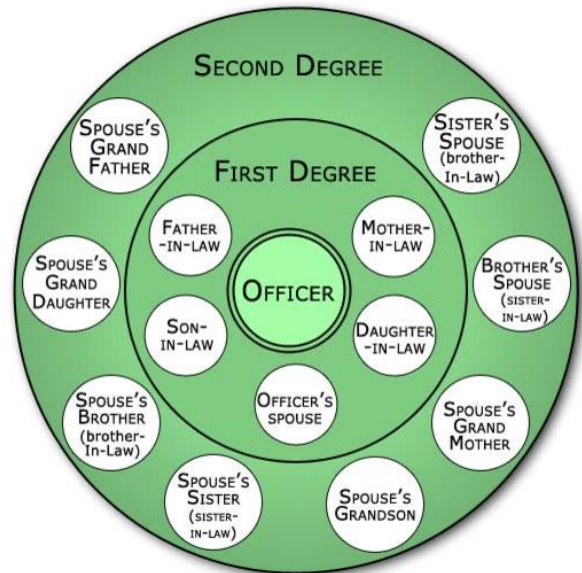
A corrected financial statement filed with the Ethics Commission after its due date is considered late for purposes of late-filing penalties unless: (1) any error or omission in the report as originally filed was made in good faith, and (2) the person filing the report files a corrected report and a good-faith affidavit not later than the 14th business day after the date the person learns that the report as originally filed is inaccurate or incomplete.

Attach additional pages as necessary.

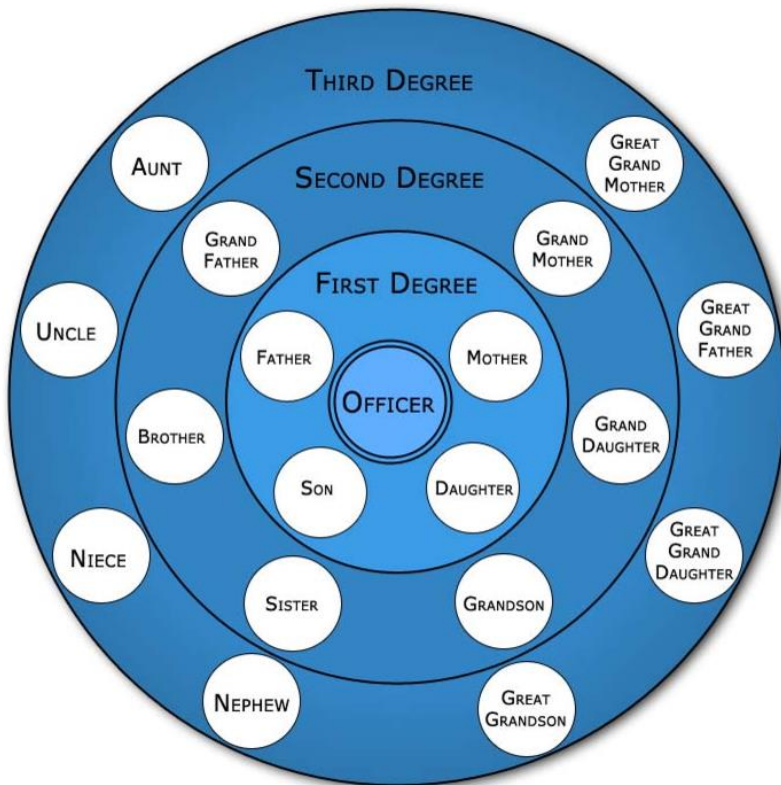
NEPOTISM CHART

The chart below shows

- **Affinity Kinship** (relationship by marriage)
- **Consanguinity Kinship** (relationship by blood) for purposes of interpreting



AFFINITY KINSHIP
Relationship by Marriage



CONSANGUINITY KINSHIP
Relationship by Blood

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CANDIDATE / OFFICEHOLDER REPORT OF UNEXPENDED CONTRIBUTIONS

FORM C/OH-UC
COVER SHEET PG 1

The C/OH-UC Instruction Guide explains how to complete this form.		1 Filer ID (Ethics Commission Filers)	
2 CANDIDATE / OFFICEHOLDER NAME	MS/MRS/MR FIRST MI	OFFICE USE ONLY	
	NICKNAME LAST SUFFIX		
3 CANDIDATE / OFFICEHOLDER ADDRESS <input type="checkbox"/> change of address	ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE	Date Received	
		Date Hand-delivered or Date Postmarked	
		Receipt # Amount \$	
4 REPORT TYPE	<input type="checkbox"/> Annual <input type="checkbox"/> Final Disposition	Date Processed	
5 PERIOD COVERED	Month / Day / Year THROUGH Month / Day / Year	Date Imaged	
6 TOTALS	1. TOTAL AMOUNT OF UNEXPENDED POLITICAL CONTRIBUTIONS AS OF DECEMBER 31 OF THE PREVIOUS YEAR.	\$	
	2. TOTAL AMOUNT OF INTEREST AND OTHER INCOME EARNED ON UNEXPENDED POLITICAL CONTRIBUTIONS DURING THE PREVIOUS YEAR.	\$	
7 AFFIDAVIT			
<p>I swear, or affirm, under penalty of perjury, that the accompanying report is true and correct and includes all information required to be reported by me under Title 15, Election Code.</p> <p>_____ Signature of Candidate or Officeholder</p> <p>AFFIX NOTARY STAMP / SEAL ABOVE</p> <p>Sworn to and subscribed before me, by the said _____, this the _____ day of _____, 20 _____, to certify which, witness my hand and seal of office.</p> <p>_____ Signature of officer administering oath Printed name of officer administering oath Title of officer administering oath</p>			

C/OH REPORT OF UNEXPENDED CONTRIBUTIONS EXPENDITURES

FORM C/OH-UC

PG 2

8 C/OH NAME		9 Filer ID (Ethics Commission Filers)
10 Date	11 Payee name 12 Payee address; City; State; Zip Code	13 Amount (\$)
14 Purpose of expenditure (See instructions regarding type of information required.) <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T.		15 Is expenditure a contribution to a candidate, officeholder, or political committee? <input type="checkbox"/> Yes <input type="checkbox"/> No
Date	Payee name Payee address; City; State; Zip Code	Amount (\$)
Purpose of expenditure (See instructions regarding type of information required.) <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T.		Is expenditure a contribution to a candidate, officeholder, or political committee? <input type="checkbox"/> Yes <input type="checkbox"/> No
Date	Payee name Payee address; City; State; Zip Code	Amount (\$)
Purpose of expenditure (See instructions regarding type of information required.) <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T.		Is expenditure a contribution to a candidate, officeholder, or political committee? <input type="checkbox"/> Yes <input type="checkbox"/> No
Date	Payee name Payee address; City; State; Zip Code	Amount (\$)
Purpose of expenditure (See instructions regarding type of information required.) <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T.		Is expenditure a contribution to a candidate, officeholder, or political committee? <input type="checkbox"/> Yes <input type="checkbox"/> No
Date	Payee name Payee address; City; State; Zip Code	Amount (\$)
Purpose of expenditure (See instructions regarding type of information required.) <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T.		Is expenditure a contribution to a candidate, officeholder, or political committee? <input type="checkbox"/> Yes <input type="checkbox"/> No

ATTACH ADDITIONAL COPIES OF THIS FORM AS NEEDED

TEXAS ETHICS COMMISSION

CANDIDATE/OFFICEHOLDER REPORT OF UNEXPENDED CONTRIBUTIONS

FORM C/OH-UC – INSTRUCTION GUIDE



Revised October 16, 2015

**Texas Ethics Commission, P.O. Box 12070, Austin, Texas 78711
(512) 463-5800 FAX (512) 463-5777 TDD 1-800-735-2989**

Visit us at <https://www.ethics.state.tx.us> on the Internet.

AN EQUAL OPPORTUNITY EMPLOYER

The Texas Ethics Commission does not discriminate on the basis of race, color, national origin, sex, religion, age or disability in employment or the provision of services.

FORM C/OH-UC: CANDIDATE/OFFICEHOLDER REPORT OF UNEXPENDED CONTRIBUTIONS

These instructions are for candidates and officeholders using FORM C/OH-UC: CANDIDATE / OFFICEHOLDER REPORT OF UNEXPENDED CONTRIBUTIONS. Use Form C/OH-UC for filing either an annual report of unexpended contributions or a report of the final disposition of unexpended contributions.

GENERAL INSTRUCTIONS

ANNUAL REPORT OF UNEXPENDED CONTRIBUTIONS. You must file this report if one of the following descriptions applies to you:

- (1) You filed a final report as a candidate at a time when you were not an officeholder and you had unexpended political contributions, interest, assets, or other money earned from political contributions at the time you filed the final report; or
- (2) You ceased to be an officeholder at a time when you did not have a campaign treasurer on file, and you had unexpended political contributions, interest, assets, or other money earned from political contributions at the time you ceased to be an officeholder.

You must file an Unexpended Contributions - Annual report not earlier than January 1 and not later than January 15 of the year after each year in which you maintained unexpended contributions or assets. You must complete Form C/OH-UC and designate the report as an annual report by checking the “Annual” box.

You must continue to file Unexpended Contributions - Annual reports until you have disposed of all your unexpended contributions or assets. Once you have disposed of all your contributions or assets, you must file an Unexpended Contributions - Final report.

You may not retain unexpended contributions or assets longer than six years after the date you filed your final report or ceased being an officeholder, as applicable. If you still maintain unexpended assets at the end of the six-year period, you must dispose of the assets in one of the following ways:

- (1) You may give them to the political party with which you were affiliated when your name was last on the ballot.
- (2) You may give them to a candidate or a political committee. If you do so, however, you must file a report on Form AS IF-SPAC as described below under “Extra Reporting for a Contribution to a Candidate or Political Committee.”
- (3) You may give them to the comptroller for deposit in the state treasury to be used to finance primary elections.
- (4) You may give them to one or more persons from whom you received political contributions, but the total returned to any person may not exceed the aggregate

amount accepted from that person during the last two years during which you were accepting political contributions.

- (5) You may give them to a recognized charitable organization formed for educational, religious, or scientific purposes that is exempt from taxation under Section 501(c)(3), Internal Revenue Code of 1986, and its subsequent amendments.
- (6) You may give them to a public or private post-secondary educational institution or an institution of higher education as defined by Section 61.003(8), Education Code, for the purpose of assisting or creating a scholarship program.

You may dispose of unexpended contributions or assets in this manner at any time during the six-year period.

EXTRA REPORTING FOR CONTRIBUTION TO CANDIDATE OR POLITICAL COMMITTEE. If you contribute unexpended contributions or assets to another candidate or political committee, you must report the contribution twice. You must include the contribution on your Annual Report and you must also report the contribution on a AS IF-SPECIFIC-PURPOSE COMMITTEE CAMPAIGN FINANCE REPORT (Form AS IF-SPAC). You must file the AS IF-SPAC report with the filing authority with whom the candidate or political committee files reports by the date by which the candidate or political committee receiving the contribution must report the receipt of the contribution.

NOTE: If the candidate or political committee files with the Texas Ethics Commission (Commission), you will need a separate “AS IF-SPAC” filer ID to file the AS IF-SPAC report. Please contact the Commission for help in establishing an AS IF-SPAC filer ID.

FINAL DISPOSITION OF UNEXPENDED CONTRIBUTIONS REPORT. You must file a report of the final disposition of your unexpended contributions or assets. Complete Form C/OH-UC and designate the report as an “Unexpended Contributions – Final” report by checking the “Final Disposition” box. The report is due no later than the 30th day after the end of the six-year period.

SPECIFIC INSTRUCTIONS

Each numbered item in these instructions corresponds to the same numbered item on the form.

PAGE 1

- 1. FILER ID:** If you are filing with the Commission, you were assigned a filer identification (ID) number when you filed your initial campaign treasurer appointment. You should have received a letter acknowledging receipt of the form and informing you of your filer ID number. Enter this number wherever you see “Filer ID.” If you do not file with the Commission, you are not required to enter a filer ID number.
- 2. CANDIDATE/OFFICEHOLDER NAME:** Enter your full name, including nicknames and suffixes (e.g., Sr., Jr., III), if applicable. Your entry here should be the same as in your

APPOINTMENT OF CAMPAIGN TREASURER BY A CANDIDATE (CTA). Enter your name in the same way wherever you see “C/OH NAME”.

3. **CANDIDATE/OFFICEHOLDER ADDRESS:** Enter your complete mailing address. Your entry here should be the same as the address in your APPOINTMENT OF CAMPAIGN TREASURER BY A CANDIDATE (CTA). If your mailing address has changed since you last gave notice of your address, check the “Change of Address” box.
4. **REPORT TYPE:** Check the appropriate box.

“Annual” Box: Check this box if you are filing an Unexpended Contributions - Annual report.

“Final Disposition” Box: Check this box if you are filing an Unexpended Contributions - Final report.

5. **PERIOD COVERED:**

Annual Reports. For your first Unexpended Contributions - Annual report, the start date is the day after the day you filed your Final Report. The start date for all other Unexpended Contributions - Annual reports is January 1 of the previous year. The end date for all Unexpended Contributions - Annual reports is December 31 of the previous year.

Final Disposition Report. For an Unexpended Contributions – Final report, the start date is the day after the period covered by your most recent Unexpended Contributions - Annual report. The end date is the date you file the report.

6. **TOTALS:** Complete this section only if you are filing an Annual Report. If you are not filing an Annual Report, go to section 7.

Line 1. Enter the total amount of unexpended political contributions and assets that you maintained as of December 31 of the previous year. (Note: Unlike other reports, you are not required to also disclose the total amount of expenditures entered in this Unexpended Contributions report. You are only required to disclose your unexpended balance as of December 31.)

Line 2. Enter the total amount of interest and other income earned on unexpended political contributions and assets during the previous year ending December 31.

7. **AFFIDAVIT:** Complete this section only after you have completed all other appropriate sections and schedules. You must always sign a report that you file. You must complete this section even if you have no schedules to attach. ONLY THE CANDIDATE OR OFFICEHOLDER FILING THE REPORT MAY SIGN THE AFFIDAVIT.

PAGE 2

8. **C/OH (CANDIDATE/OFFICEHOLDER) NAME:** Enter your full name as you did on Form C/OH-UC, Page 1.

9. FILER ID: If you are filing with the Commission, enter your filer ID number. If you do not file with the Commission, you are not required to enter a filer ID number.

10. DATE: Enter the date the expenditure was made.

Credit Card Expenditures: There is a special reporting rule for expenditures made by credit card. The date of a credit card expenditure is either the date of the charge or the date the credit card statement is received. *A filer can never go wrong by disclosing the date of the expenditure as the date of the charge.*

11. PAYEE NAME: Enter the full name of the payee. If the payee is an individual, enter the full name, first, last, and suffix (Jr., III, etc.) if applicable (title is optional). If the payee is an entity, enter the full name of the entity.

12. PAYEE ADDRESS: Enter the complete address of the payee.

13. AMOUNT: Enter the amount of the expenditure payment.

14. PURPOSE OF EXPENDITURE: Enter a brief statement or description of the expenditure. The brief statement or description must include the item or service purchased and must be sufficiently specific to make the reason for the expenditure clear.

Reporting Travel Outside of Texas: The law requires detailed information regarding in-kind contributions and political expenditures for travel outside of Texas. This information should be reported on Schedule T and attached to this form. Schedule T can be found on the Commission's website at https://www.ethics.state.tx.us/forms/Schedule_T.pdf.

15. IS THE EXPENDITURE A CONTRIBUTION TO A CANDIDATE, OFFICEHOLDER, OR POLITICAL COMMITTEE? If the expenditure was a contribution to a candidate, officeholder, or political committee, check the “Yes” box. The purpose of this box is to allow you to see that you must file an additional report for this expenditure on Form AS IF-SPAC. See the “**Extra Reporting For Contribution To Candidate Or Political Committee**” section in the General Instructions for this form.

If the expenditure was not a contribution to a candidate, officeholder, or political committee, check the “No” box.

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§ 2. - ELIGIBILITY OF COUNCIL MEMBERS.

- (A) A candidate for mayor must meet all eligibility requirements of state law and must have resided continuously in the state for 12 months and in the city for six months immediately preceding the regular filing deadline for a mayoral candidate's application for a place on the ballot. If the mayor ceases to reside in the city, the mayor automatically resigns.
- (B) A candidate for city council from a council district must meet all eligibility requirements of state law and must have resided continuously in the state for 12 months and in the council district from which the member is seeking election for six months immediately preceding the regular filing deadline for a council candidate's application for a place on the ballot. If a council member elected from a council district ceases to reside in the district as the boundaries of the district were drawn at the time of the council member's election, the council member automatically resigns.

Amendment note: Section 2 appears as added at the election of November 6, 2012. A former § 2 concerned the qualifications for Councilmembers; had previously been amended at the election of April 1, 1978; and was repealed at the election of November 6, 2012.

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§ 5. - TERM LIMITS.

- (A) Except as provided in Subsection (C), a person may not be elected to or serve in the office of Mayor for more than two consecutive terms, and a person who has held the office of Mayor for more than two years of a term to which some other person was elected Mayor may not be elected to the office of Mayor more than once in succession.
- (B) Except as provided in Subsection (C), a person may not shall be elected to or serve on the City Council in a position other than Mayor for more than two consecutive terms, and a person who has held a position other than Mayor for more than two years of a term to which some other person was elected to the position may not be elected to a position other than Mayor more than once in succession.
- (C) A person subject to a term limit with respect to an office may become a candidate for the office and serve if elected if the person's application to be a candidate for the office is accompanied by a petition requesting that the person be authorized to be a candidate and the petition is signed by at least five per cent of the qualified voters of the territory from which the office is elected.

Amendment note: Section 5 appears as amended at the election of November 6, 2012, and later renumbered by Ord. 20121213-004. As former § 3, this section was added at the election of May 7, 1994, and had previously been amended at the election of May 13, 2006. Former subsection (D) concerned city officials elected prior to April 30, 2006. and expired on the date that no one subject to its provisions continued to serve in the office of Mayor or Councilmember.

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§ 8. - LIMITS ON CAMPAIGN CONTRIBUTIONS AND EXPENDITURES.

(A) Limits On Contributions To Candidates.

- (1) No candidate for Mayor or City Council and his or her campaign committee shall accept campaign contributions in excess of \$300 per contributor per election from any person, except for the candidate and small-donor political committees. The amount of the contribution limit shall be modified each year with the adoption of the budget to increase or decrease in accordance with the most recently published federal government, Bureau of Labor Statistics Indicator, Consumer Price Index (CPI-W U.S. City Average) U.S. City Average. The most recently published Consumer Price Index on May 13, 2006, shall be used as a base of 100 and the adjustment thereafter will be to the nearest \$50.00.
- (2) Each candidate may authorize, establish, administer, or control only one campaign committee at one time.
- (3) No candidate and his or her committee shall accept an aggregate contribution total of more than \$30,000 per election, and \$20,000 in the case of a runoff election, from sources other than natural persons eligible to vote in a postal zip code completely or partially within the Austin city limits. The amount of the contribution limit shall be modified each year with the adoption of the budget to increase or decrease in accordance with the most recently published federal government, Bureau of Labor Statistics Indicator, Consumer Price Index (CPI-W U.S. City Average) U.S. City Average. The most recently published Consumer Price Index on May 13, 2006, shall be used as a base of 100 and the adjustment thereafter will be to the nearest \$1,000.00.

(B) Small-Donor Political Committees.

- (1) A small-donor political committee is a political committee which has accepted no more than \$25 from any contributor during any calendar year, has had at least 100 contributors during either the current or previous calendar year, has been in existence for at least six months, and has never been controlled by a candidate.
- (2) Such a committee shall not contribute more than \$1000 per candidate per election for the offices of Mayor and City Council.

(C) Coordinated Expenditures.

Any expenditure supporting the election of a candidate or opposing the election of an opponent made with the prior consent of the candidate or his or her committee, or with cooperation or strategic communication between the candidate or his or her committee and the person making the expenditure, is considered a contribution and an expenditure.

(D) Contributions Considered To Be From One Committee.

Contributions made by separate political committees established, administered, maintained, or controlled by the same person or persons, including any parent,

subsidiary, branch, division, department or local unit of the person, or by groups of those persons, shall be considered to be made by a single political committee.

(E) Responsibility Of Candidate To Prevent Violations.

The candidate, or his or her committee, shall determine whether accepting each contribution would violate this section before accepting the contribution.

(F) Time Restrictions On Candidate Fundraising; Officeholder Accounts.

- (1) In this section terms have the same meaning they have in Title 15 of the Texas Election Code. The term "officeholder account" means an account in which funds described by subsection (F)(4) must be kept. "Officeholder" means the mayor or a council member.
- (2) An officeholder, a candidate for mayor or city council, or an officeholder's or candidate's committee may not solicit or accept a political contribution except during the last 180 days before an election for mayor or council member or in which an officeholder faces recall.
- (3) Except as provided by subsection (F)(6), no later than the 90th day after an election, or if a candidate is in a runoff election no later than the 90th day after the runoff, a candidate or officeholder shall distribute the balance of funds received from political contributions in excess of any remaining expenses for the election: (a) to the candidate's or officeholder's contributors on a reasonable basis, (b) to a charitable organization, or (c) to the Austin Fair Campaign Fund.
- (4) An unsuccessful candidate who, after an election, has unpaid expenses remaining, or who has unreimbursed campaign expenditures from personal funds that were made with the intent to seek reimbursement from political contributions, may solicit and accept political contributions after the election until the unpaid expenses are paid and the unreimbursed expenditures are reimbursed.
- (5) An officeholder who, after an election, has unpaid expenses remaining, or who has unreimbursed campaign expenditures from personal funds that were made with the intent to seek reimbursement from political contributions, may solicit and accept political contributions after leaving office until the unpaid expenses are paid and the unreimbursed expenditures are reimbursed. An officeholder may also pay the unpaid expenses and reimburse the unreimbursed expenditures from political contributions received during a subsequent campaign.
- (6) An officeholder may retain up to \$20,000 of funds received from political contributions for the purposes of officeholder expenditures.
- (7) An officeholder shall keep funds retained under subsection (F)(6) in an account separate from any other funds including personal funds of the officeholder and any other political funds of the officeholder. The funds kept in an officeholder account may be used only for officeholder expenditures. The funds kept in an officeholder account may not be used for campaign expenditures. The funds kept in an officeholder account may not exceed \$20,000.00 at any time.

(8) When an officeholder leaves the Council the funds remaining in an officeholder account must be paid to the Austin Fair Campaign Fund.

(G) Applicability To Councilmembers.

Any incumbent mayor or councilmember is subject to the regulations applied to candidates for the office he or she holds.

(H) Criminal or Civil Litigation Fund.

Nothing in this article applies to the solicitation, acceptance, or use of contributions for:

- (1) defending a criminal action or prosecuting or defending a civil action brought by or against the person in the person's status as a candidate or officeholder; or
- (2) participating in an election contest or participating in a civil action to determine a person's eligibility to be a candidate for, or elected or appointed to, a public office in this state.

(I) Enforcement.

The city council may by ordinance adopt penalties and enforcement procedures for violations of this Article.

(J) Severability.

If any provision of this section, or the application of that provision to any persons or circumstances, shall be held invalid, then the remainder of this section, to the extent that it can be given effect, and the application of that provision to persons or circumstances other than those to which it was held invalid, shall not be affected thereby, and to this extent the provisions of this section are severable.

Amendment note: Section 8 appears as amended at the election of May 13, 2006. This section was added at the election of November 4, 1997. It took effect on November 7, 1997, the date of the canvass.

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CHAPTER 2-2. - CAMPAIGN FINANCE.

ARTICLE 1. - GENERAL PROVISIONS.

§ 2-2-1 - DECLARATION OF POLICY AND LEGISLATIVE FINDINGS.

- (A) The short name of this chapter is the Austin Fair Campaign Chapter.
- (B) The proper operation of a representative democracy requires that elected public officials exercise independent judgment, act impartially, and remain responsible to the people.
- (C) The City election process and city government should be protected from potential undue influence by individuals and groups making large contributions to the election campaigns of candidates for mayor and city council.
- (D) The City election process and city government should be protected from even an appearance of undue influence by individuals or groups contributing to candidates for mayor and city council.
- (E) The public should have justified confidence in the integrity of its government.
- (F) Limitations on contributions of money, services, and materials by individuals or groups to candidates for City office will promote public confidence.
- (G) Citizen participation in the operation of City election campaigns will enhance a broad based electoral process accountable to all citizens rather than a privileged few.
- (H) The public should have timely access to accurate information regarding the sources of funding for direct campaign expenditures in City elections in order to enable voters to make informed decisions and give proper weight to different speakers and messages.
- (I) Enactment of this chapter is an appropriate exercise of the City's authority as a home rule municipality under Texas law, and that the benefits of this chapter will include a more efficient, less costly election process and more responsive, effective city government.
- (J) This chapter is enacted based on these findings, in furtherance of these policies, and is a narrowly tailored remedy to address the compelling government interests of preventing corruption or the appearance of corruption, preserving the individual citizen's confidence in government, and ensuring the integrity of the City's election system.

Source: Ord. 20080925-079; [Ord. No. 20160623-020, Pt. 1, 7-3-16](#).

§ 2-2-2 - DEFINITIONS.

In this chapter:

- (1) CAMPAIGN or CAMPAIGN COMMITTEE means the principal, authorized political committee of a candidate for City office.
- (2) CAMPAIGN CONTRACT means a contract between a candidate for mayor or city council and the City as provided by this chapter.

- (3) CAMPAIGN FINANCE REPORT means a periodic report of contributions, loans, credits, interest, gains, reimbursements, and expenditures of a candidate, officeholder, or political committee required to be filed under Chapter 254, Texas Election Code, including any other matters and reports required to be disclosed under this chapter.
- (4) CAMPAIGN PERIOD means the time period allowed in City Charter Article III, Section 8 (*Limits on Campaign Contributions and Expenditures*) and Section 2-2-7 of this chapter.
- (5) CAMPAIGN TREASURER means the individual designated by a candidate, officeholder, or political committee under the Texas Election Code, including a candidate acting as his or her own campaign treasurer.
- (6) CANDIDATE means:
 - (a) a candidate for mayor or city council;
 - (b) a candidate's campaign committee; and
 - (c) related to Article 4 (*Direct Campaign Expenditures*), a person who has, or has had during an election or runoff election, authority to act on behalf of the candidate or candidate's campaign.
- (7) CONTRIBUTION means a direct or indirect transfer of money, goods, services, or any other thing of value, including a pledge or an agreement or other obligation incurred, whether legally enforceable or not, to make a transfer. The term does not include an expenditure required to be reported under Section 305.006(b), Texas Government Code. In-kind labor, as defined in this chapter, is not a contribution.
- (8) ELECTION or CITY ELECTION means the process by which an individual (whether opposed or unopposed) seeks election to City office, or an election for a ballot measure.
- (9) EXPENDITURE means a payment of money or other thing of value, including an agreement made or other obligation incurred, whether legally enforceable or not, to make a payment. The term includes political expenditures made from the personal funds of a candidate or officeholder.
- (10) INDIVIDUAL means a natural person, and cannot mean a corporation or other entity.
- (11) IN-KIND LABOR means the value of personal services provided without compensation by any individual who volunteers on behalf of a candidate or political committee.
- (12) LOAN means an agreement for the transfer of funds from a lender to a candidate, officeholder, or political committee with terms of repayment. The term includes the deposit of personal funds by a candidate or officeholder into an account in which political contributions are held.
- (13) LOBBY or LOBBYING has the same meaning set out in City Code Chapter 4-8 (*Regulation of Lobbyists*).
- (14) OFFICEHOLDER means an individual holding the office of mayor or City councilmember.

- (15) OFFICEHOLDER ACCOUNT means an account maintained by an officeholder as permitted by the Texas Election Code to make officeholder expenditures, whether or not maintained as a segregated fund.
- (16) OFFICEHOLDER EXPENDITURE means a payment made or obligation incurred by an officeholder when the payment or obligation is for officeholder purposes authorized by this chapter. The term includes political expenditures made from the personal funds of an officeholder.
- (17) PERSON means an individual, corporation, partnership, labor union, or labor organization, or any unincorporated association, firm, committee, club, or other organization or group of persons, including a political committee organized under the Texas Election Code, not limited to the definition in Section 1-1-2 (*General Definitions*) of the Code.
- (18) POLITICAL ADVERTISING has the meaning set out in the Texas Election Code.
- (19) POLITICAL COMMITTEE means a specific purpose political committee or general purpose political committee as defined in the Texas Election Code.
- (20) QUALIFYING CANDIDATE means a candidate who has signed a campaign contract under this chapter and who has met the requirements under this chapter to qualify for funds from the Austin Fair Campaign Finance Fund.
- (21) REPORTING PERIOD means a period established under Chapter 254, Texas Election Code, and this chapter, for filing of campaign finance reports.
- (22) RUNOFF ELECTION means an election following an election in which no candidate receives a majority of the votes cast.
- (23) STRATEGIC COMMUNICATION means a communication regarding advertising, campaign strategies, and voter groups between the candidate, candidate's campaign committee, or their agents or employees and any of the persons, agents, or employees of the entity making expenditures.

Source: Ord. 20080925-079; Ord. 20090618-048; Ord. 20120802-069; [Ord. No. 20160407-006, Pt. 1, 4-18-16](#); [Ord. No. 20160623-020, Pt. 2, 7-3-16](#); Ord. No. [20171005-029](#), Pt. 1, 10-16-17.

§ 2-2-3 - CONFORMITY WITH TEXAS ELECTION CODE.

- (A) Terms not defined in this chapter but defined in the Texas Election Code shall have the meanings assigned to them in the Texas Election Code.
- (B) The starting and ending dates of reporting periods and the due dates of contribution and expenditure reports for City elections shall continue to be governed by the Texas Election Code.
- (C) Under this chapter, candidates, officeholders, and political committees participating in City elections may be required to make additional disclosures, to file additional notices, and to comply with certain restrictions not set out in the Texas Election Code.

- (D) If there is a conflict between this chapter and the Texas Election Code or other state law, state law prevails. The requirements set out in this chapter are cumulative of those in the Texas Election Code, and nothing in this chapter shall be construed to limit obligations imposed by the Texas Election Code.

Source: Ord. 20080925-079.

§ 2-2-4 - CONFORMITY WITH CONSTITUTIONAL AND CHARTER PROVISIONS; SEVERABILITY.

- (A) This chapter shall comply in all respects with applicable provisions of the United States Constitution, the Texas Constitution, and the City Charter.
- (B) If any provision of this chapter is declared by a court of law to be illegal, void, invalid, unconstitutional, or in violation of the City Charter, the provisions of Code Section 1-1-12 (*Severability*) shall be given a liberal construction to maintain the effectiveness of all other provisions of this chapter.

Source: Ord. 20080925-079.

§ 2-2-5 - OFFENSES AND PENALTY.

- (A) Except as provided in Subsection (B), a person who knowingly violates this chapter or a provision of City Charter Article III, Section 8 (*Limits on Campaign Contributions and Expenditures*) commits a Class C misdemeanor punishable in accordance with Section 1-1-99 (*Offenses; General Penalty*) by a fine not to exceed \$500. Each expenditure, contribution, or other action in violation of this chapter constitutes a separate offense.
- (B) This section does not apply to Article 2 (*Voluntary Limitations on Contributions and Expenditures*), except as otherwise specifically provided in that article.
- (C) The remedies authorized under this chapter are cumulative of other remedies available under state and federal law.

Source: Ord. 20080925-079.

§ 2-2-6 - CANDIDATE GUIDE.

- (A) The city clerk shall prepare a candidate guide to current city election provisions, including:
- (1) the City Charter, Article III, Section 8 (*Limits on Campaign Contributions and Expenditures*);
 - (2) City Code Chapter 2-2 (*Campaign Finance*);
 - (3) copies of reporting forms required by state law; and
 - (4) copies of reporting and disclosure forms required by this chapter.
- (B) The city clerk shall make the candidate guide available cost-free in hard copy at least six months before a City election. The city clerk may also make the guide available online in an electronic format that is readily reproducible.

- (C) The city clerk shall give each candidate filing a designation of campaign treasurer or for a place on the ballot and a prospective candidate a copy of the candidate guide.

Source: Ord. 20080925-079.

§ 2-2-7 - COMMENCEMENT OF CAMPAIGN PERIOD.

- (A) A general election, special election, and runoff election each have a separate campaign period for purposes of City Charter Article III, Section 8 (*Limits on Campaign Contributions and Expenditures*) and this chapter. The contribution limits set forth in City Charter Article III, Section 8 (*Limits on Campaign Contributions and Expenditures*) apply separately to each general election, runoff election, and special election.
- (B) The campaign period for a general election begins the 365th day before the date of the general election.
- (C) The campaign period for a runoff election begins the day after the date of an election at which no candidate receives the majority of the votes.
- (D) The campaign period for a special election, including a recall election, begins the day after the date the council calls the special election.
- (E) An unsuccessful candidate may only solicit or accept political contributions after an election to the extent authorized by City Charter, Article III, Section 8 (*Limits on Campaign Contributions and Expenditures*), Subsection (F)(4).
- (F) An officeholder may only solicit or accept political contributions after an election to the extent authorized by City Charter, Article III, Section 8 (*Limits on Campaign Contributions and Expenditures*), Subsection (F)(5).
- (G) A candidate may only raise funds for an election during an authorized campaign period.

Source: Ord. 20090618-048; Ord. No. [20171005-029](#), Pt. 2, 10-16-17.

§ 2-2-8 - TERMINATION OF INACTIVE CAMPAIGN TREASURER APPOINTMENT.

- (A) In this section, "inactive candidate" or "inactive political committee" means a candidate or political committee that:
 - (1) has not filed a required report under Texas Election Code, Chapter 254 (*Political Reporting*), for more than one year since the last reporting deadline;
 - (2) in the case of a candidate, has not been elected to an office for which a candidate is required to file a campaign treasurer appointment with the city clerk; and
 - (3) has not filed:
 - (a) a final report under Texas Election Code, Section 254.065 (*Final Report*) or 254.125 (*Final Report of Committee for Supporting or Opposing Candidate or Measure*); or

- (b) a dissolution report under Texas Election Code, Section 254.126 (*Dissolution Report of Committee for Assisting Officeholder*) or 254.159 (*Dissolution Report*).
- (B) The city clerk may terminate the campaign treasurer appointment of an inactive candidate or inactive political committee.
- (C) Before the city clerk may terminate a campaign treasurer appointment under this section, the city council must consider and approve the proposed termination in a regularly scheduled open meeting.
- (D) Before the city clerk may terminate a campaign treasurer appointment under this section the city clerk must provide written notice to the affected candidate or committee of:
 - (1) the proposed termination of the candidate's or committee's campaign treasurer appointment;
 - (2) the date, time, and place of the meeting at which the city council will consider the proposed termination; and
 - (3) the effect of termination of the candidate's or committee's campaign treasurer appointment.
- (E) The termination of a campaign treasurer appointment under this section takes effect on the 30th day after the date of the meeting at which the city council votes to terminate the appointment. Following that meeting, the city clerk shall promptly notify the affected candidate or political committee that the appointment has been terminated. The notice must state the effective date of the termination.

Source: Ord. 20120308-003.

ARTICLE 2. - VOLUNTARY LIMITATIONS ON CONTRIBUTIONS AND EXPENDITURES.

§ 2-2-11 - VOLUNTARY CAMPAIGN CONTRACT.

- (A) A candidate for mayor or city council may sign a contract with the City agreeing to abide by limitations on that candidate's contributions and expenditures as specified in this article in exchange for benefits provided under this chapter.
- (B) A candidate must personally sign the campaign contract the earlier of:
 - (1) 30 days after he or she becomes a candidate under the Texas Election Code; or
 - (2) the date the candidate files for a place on the ballot.
- (C) Only a candidate who signs a campaign contract with the City will qualify for public funds from the Austin Fair Campaign Finance Fund under Article 7 of this chapter (*Austin Fair Campaign Finance Fund*).
- (D) A candidate who signs a campaign contract must report a contribution or expenditure during the first reporting period in which it is made and apply the contribution or expenditure to the candidate's voluntary limits. The candidate must file the campaign finance report's data as provided in Section 2-2-26 (*Filing of Campaign Finance Report Data*).

Source: Ord. 20080925-079; [Ord. No. 20160407-006, Pt. 2, 4-18-16.](#)

§ 2-2-12 - CANDIDATES' EXPENDITURE LIMITATIONS.

- (A) A candidate who signs a campaign contract under this chapter shall not, during the campaign period, make expenditures exceeding the following limits:
- (1) candidates for mayor: expenditures of \$120,000 and an additional \$80,000 in a runoff election; and
 - (2) candidates for city council: expenditures of \$75,000 and an additional \$50,000 in a runoff election.
- (B) A candidate in a race for mayor or city council shall not make expenditures from his or her own funds that exceed five percent of the applicable voluntary expenditure limits in this section for an election or runoff election. An expenditure by a candidate is an expenditure by his or her campaign. A candidate shall report expenditures from personal funds consistent with state law and this chapter.
- (C) If a candidate has signed a campaign contract under this chapter, expenditures on behalf of the candidate other than direct campaign expenditures, as defined in Article 4 (*Direct Campaign Expenditures*), shall apply to the candidate's voluntary expenditure limits.
- (D) A candidate makes an expenditure subject to this article on the date that:
- (1) a payment is actually made; or
 - (2) an agreement requiring payment is entered into; or
 - (3) an obligation to make a payment is incurred.

Source: Ord. 20080925-079; [Ord. No. 20160407-006, Pt. 3, 4-18-16.](#)

§ 2-2-13 - CANDIDATES' CONTRIBUTION LIMITS.

- (A) Except as provided in Subsection (B), a candidate who signs a campaign contract under this chapter shall not accept contributions from an individual or any political committee exceeding the following limits:
- (1) Candidates for mayor:
 - (a) aggregate contributions of more than the amount set by City Charter Article III, Section 8(A)(1) for both the campaign period for the election and the campaign period for a runoff election; and
 - (b) more than \$24,000 in contributions in a campaign period from political committees for a regular election or an additional \$16,000 for a runoff election.
 - (2) Candidates for city council:
 - (a) aggregate contributions of more than the amount set by City Charter Article III, Section 8(A)(3), for both the campaign period for the election and the campaign period for a runoff election; and

- (b) more than \$15,000 in contributions in a campaign period from political committees for a regular election or an additional \$10,000 for a runoff election.
- (B) A candidate for mayor or city council may spend personal funds on his or her own campaign up to the applicable five percent expenditure limits set out in Section 2-2-12 (*Candidates' Expenditure Limitations*). An expenditure from personal funds shall be reported in a manner consistent with state law and this chapter.
- (C) A candidate accepts a contribution subject to this Article on the date that:
 - (1) it is accepted under the Texas Election Code;
 - (2) an agreement is made to accept the contribution; or
 - (3) an obligation is incurred to accept a transfer.

Source: Ord. 20080925-079; [Ord. No. 20160407-006, Pt. 4, 4-18-16](#).

§ 2-2-14 - DISCLOSURE OF COMPLIANCE WITH CHAPTER.

- (A) A candidate who signs a campaign contract shall include the following notice in all political advertising: "This campaign has agreed to comply with the contribution and expenditure limits of the Austin Fair Campaign Chapter."
- (B) Except to the extent prohibited by the Federal Communications Act, a candidate who chooses not to sign a campaign contract shall include the following notice in all political advertising: "This campaign has not agreed to comply with the contribution and expenditure limits of the Austin Fair Campaign Chapter."
- (C) The disclosures required by this section shall be clear and conspicuous:
 - (1) On printed political advertising, the disclosure shall be printed in sufficient type and size to be clearly readable, in two highly contrasting colors such as dark text on a light background, but in no case smaller than eight point font;
 - (2) On other forms of political advertising, including internet advertisement, television, and radio, the disclosure shall provide the reader, viewer, or listener with actual notice of the disclosure; and
 - (3) A disclaimer is not clear and conspicuous if it is difficult to read or hear, or if the placement is easily overlooked.
- (D) The requirements of subsections (A) through (C) do not apply to bumper stickers, pins, buttons, pens, apparel, and similar small or impractical items upon which the notice cannot be conveniently printed.
- (E) A candidate or other campaign representative who authorizes the publication of political advertising without the notice required by this section commits an offense.

Source: Ord. 20080925-079; Ord. 20100819-034.

§ 2-2-15 - LIQUIDATED DAMAGES.

Each campaign contract shall provide for liquidated damages payable to the City and to other candidates for the same office who sign a campaign contract, in substantially the following form:

"The actual damages that may be sustained by the City and by another candidate by reason of a candidate's breach of a campaign contract are uncertain and would be difficult to determine. The parties stipulate that a reasonable and just compensation to each damaged party, including the City and another candidate, for a candidate's breach of the contribution or expenditure limits in a campaign contract would be three times the amount or value of the excessive expenditure made or contribution accepted. In addition, the City may recover as damages from a candidate who breaches a campaign contract of the amount paid to that candidate from the Austin Fair Campaign Finance Fund.

"A candidate who signs a campaign contract shall promise to pay, and the City and each other candidate for the same office who signs a campaign contract shall agree to accept, in lieu of other damages, the amounts set out in this section as liquidated damages, and not as a penalty, in the event of a breach of the campaign contract. The City and each candidate with standing to enforce the campaign contract shall recover reasonable attorney's fees from the breaching party in connection with a lawsuit for liquidated damages."

Source: Ord. 20080925-079.

§ 2-2-16 - OTHER ENFORCEMENT AND SANCTIONS.

- (A) A candidate who breaches the terms of a campaign contract shall not be considered as a provider of goods or services to the City under a contract for a period of four years following the date of the election in which the breach occurs, unless controlling state law requires that his or her bid or proposal be accepted by the City. The city council may waive this ineligibility by a unanimous vote.
- (B) This article is enforceable as a matter of contract law in the courts of the state of Texas. Except for a violation of the required notice provisions of Section 2-2-14 (*Disclosure of Compliance with Chapter*), this article is not intended to create criminal liability.

Source: Ord. 20080925-079.

§ 2-2-17 - WAIVER OF VOLUNTARY LIMITS.

- (A) A candidate who signs a campaign contract need not comply with the voluntary contribution and expenditure limits and may continue to use on campaign advertising the statement of compliance with the Austin Fair Campaign Chapter if:
 - (1) another candidate who signed a campaign contract has exceeded the voluntary contribution and expenditure limits at the time of filing a contribution and expenditure report;
 - (2) one or more candidates files for the same City office who by the filing deadline has not entered into a campaign contract or filed a notice of intent, under the Texas Election Code, to raise and spend less than \$500; or

- (3) direct campaign expenditures, as defined in Article 4 (*Direct Campaign Expenditures*), in a race for the same council office by one person exceed \$10,000 at any time before the election.
- (B) A candidate who signed a campaign contract may, up to the end of the filing period for a place on the ballot, elect to opt out of the contract if another candidate has filed a designation of campaign treasurer for that office and has not within 30 days signed a campaign contract or a notice of intent, under the Texas Election Code, to raise and spend less than \$500. If a candidate opts out of a contract, he or she may continue to use the disclaimer provided for in Section 2-2-14, but shall not be eligible to receive funds from the Austin Fair Campaign Finance Fund.

Source: Ord. 20080925-079; [Ord. No. 20160407-006, Pt. 5, 4-18-16.](#)

ARTICLE 3. - DISCLOSURES AND FILING PROCEDURES FOR CONTRIBUTION AND EXPENDITURE REPORTS.

§ 2-2-21 - ADDITIONAL INFORMATION REQUIRED ON ALL CAMPAIGN FINANCE REPORTS FILED WITH THE CITY.

- (A) In addition to the information required under the Texas Election Code, a campaign finance report filed with the city clerk by a candidate, office holder, and political committee involved in a City election shall include the following information:
 - (1) for all individual contributions of \$200 or more in a reporting period, disclosure of the occupation of the contributor and the name of the contributor's employer; and
 - (2) in disclosing expenditures, the nature and purpose of any payment over \$50 to a consultant or contractor, including a general description of the goods or services provided to the campaign.
- (B) The requirements described in Subsection (A) also apply to the structured data file provided to the city clerk by a candidate, office holder, or political committee with each campaign finance report, as prescribed by Section 2-2-26 (*Filing of Campaign Finance Report Data*).

Source: Ord. 20080925-079; [Ord. No. 20160407-006, Pt. 6, 4-18-16.](#)

§ 2-2-22 - FUNDRAISING AND BUNDLING BY INTERMEDIARIES.

- (A) In this section:
 - (1) BUNDLER means a person who bundles campaign contributions. The term does not apply to an individual whose only fundraising activity is a fundraising event held at the individual's residence if the event raises funds in an aggregate amount of less than \$5,000.
 - (2) BUNDLING means the soliciting and obtaining, during a campaign period, contributions on behalf of a candidate of \$200 or more per person from five or more persons.

- (B) For each reporting period in which a candidate for whom a bundler has bundled contributions must file a report of contributions and expenditures, the candidate must also file a separate report with the City Clerk disclosing:
- (1) the name and address of each bundler who has bundled for the candidate;
 - (2) the bundler's occupation and the name of the bundler's employer; and
 - (3) the name, address, occupation and employer of each individual contributor whose contribution was bundled by the bundler;
 - (4) the amount contributed by each individual contributor whose contribution was bundled by the bundler;
 - (5) the total amount the bundler has bundled for the candidate during the reporting period; and
 - (6) the name of each person registered or required to register under Chapter 4-8 (*Regulation of Lobbyists*) employed by, or compensated to lobby, by:
 - (a) the bundler;
 - (b) a business association through which the bundler does business; or
 - (c) the bundler's employer.
- (C) A candidate who receives bundled contributions shall notify each bundler of the requirements of this section. A bundler shall provide to each candidate, at the time the bundler delivers bundled contributions to the candidate, the information necessary for the candidate to report the information required by this section. The failure of a bundler to provide the information required by this subsection does not excuse any failure by a candidate to report the required information.
- (D) Except as may be further limited by Subsection (E), a person who is registered, who is required to register, or who is employed by a person who is registered or required to register under Chapter 4-8 (*Regulation of Lobbyists*) may not bundle contributions totaling more than five times the contribution limit set by Article III, Section 8(A)(1) of the City Charter for any one candidate in a campaign period.
- (E) This subsection applies only to a business association that is registered or required to register under Chapter 4-8 (*Regulation of Lobbyists*), that is owned in whole or in part by a person registered or required to register under Chapter 4-8 (*Regulation of Lobbyists*), that employs a person registered or required to register under Chapter 4-8 (*Regulation of Lobbyists*), or that compensates another person to lobby on a municipal question of interest to the business association. Partners, shareholders, principals, employees, and persons who conduct business through the same business association, are considered to be a single bundler for the purpose of this subsection. The total amount bundled by all the partners, shareholders, principals, employees, and persons who conduct business through the same business association when added together may not exceed ten times the contribution limit set by Article III, Section 8(A)(1) of the City Charter for the entire business association for any one candidate in a campaign period.

Source: Ord. 20080925-079; Ord. 20100819-034; Ord. 20120426-088.

§ 2-2-23 - POLITICAL COMMITTEES.

- (A) A specific purpose committee that makes contributions or expenditures in connection with a City election must file a campaign finance report with the city clerk as prescribed by the Texas Election Code and this chapter. In addition to the required report, a specific purpose committee must file each campaign finance report's data as provided in Section 2-2-26 (*Filing of Campaign Finance Report Data*).
- (B) A general purpose committee that makes contributions or expenditures in connection with a City election must file with the city clerk a copy of each campaign finance report filed with the Texas Ethics Commission. This requirement shall apply to all reporting periods in which the general purpose committee makes 50 percent or more of its expenditures in connection with a City election, or makes an expenditure of \$2,500 or more in connection with a City election. The filing date for filing with the city clerk is the date established under the Texas Election Code for filing with the Texas Ethics Commission. In addition to a copy of each campaign finance report filed with the Texas Ethics Commission, a general purpose committee must file the campaign finance report's data as provided in Section 2-2-26 (*Filing of Campaign Finance Data*).
- (C) A general purpose political committee that makes more than 50 percent of its expenditures in a reporting period in connection with a City election, or makes an expenditure of \$2,500 or more in connection with a City election, or intends to do so, shall file with the city clerk as a notice of intent an original or a copy of its current "Appointment of a Campaign Treasurer" not later than the 60th day before making a contribution or expenditure in connection with a City election. At the written request of the general purpose political committee, the original filing with the city clerk of the "Appointment of a Campaign Treasurer" may serve as a notice of intent to participate in future City elections.

Source: Ord. 20080925-079; [Ord. No. 20160407-006, Pt. 7, 4-18-16.](#)

§ 2-2-24 - RETURNED CONTRIBUTIONS.

A candidate, officeholder, or candidate's campaign committee returning a contribution shall comply with the following requirements:

- (A) after a contribution has been deposited in a financial institution account, a partial or full refund must be paid by cashier's check;
- (B) copies of returned checks, refund checks, and any related correspondence must be retained by the campaign treasurer in accordance with Section 2-2-28 (*Retention of Records*); and
- (C) any contribution received and accepted, but refunded to the contributor, must be disclosed as both a contribution and an expenditure on the applicable contribution and expenditure report.

Source: Ord. 20080925-079.

§ 2-2-25 - REPEALED.

Editor's note— [Ord. No. 20160407-006, Pt. 8, effective April 18, 2016](#), repealed § 2-2-25, which pertained to annual reconciliation filing by candidates and campaign committees. See Code Comparative Table for complete derivation.

§ 2-2-26 - FILING OF CAMPAIGN FINANCE REPORT DATA.

- (A) A candidate, officeholder, or political committee required by the City Code or state law to file a campaign finance report with the city clerk shall, in addition to the required report, also provide to the city clerk a structured data file containing the contents of the campaign finance report. The data file must comply with specifications and be on media determined by the city clerk. The data file must be provided to the city clerk no later than the date that the associated campaign finance report must be filed.
- (B) The city manager, in consultation with the city clerk, shall maintain for the use of the city clerk a Web site that allows public access to a searchable and downloadable database capable of executing queries.
- (C) The city clerk must upload a data file into the database exactly as the file is received, except that the city clerk may not upload a data file that does not comply with the city clerk's technical specifications. A filer who provides a non-compliant data file to the city clerk shall resubmit the data in the required format. A data file that must be resubmitted is timely filed if resubmitted no later than the next business day after the date that the city clerk notifies the filer that the data file is non-compliant.
- (D) The city clerk shall upload the data related to a campaign finance report to the database available from the City's Web site on the first business day after the date that the city clerk accepts the data file. The city clerk shall post a campaign finance report to the City's Web site on the first business day after the date that the city clerk receives the report.
- (E) This ordinance is cumulative of, and does not supersede, another requirement of law regarding the deadline, filing, form, signing, or acknowledgement of a campaign finance report. A person who must file a report under this chapter shall file the report with the city clerk.
- (F) A data file has the same records retention period as the associated campaign finance report.
- (G) The requirement under this section to provide to the city clerk a structured data file containing the contents of each campaign finance report does not apply to a candidate or officeholder running for re-election if:
 - (1) the due date for the campaign finance report falls within the campaign period;
 - (2) the candidate or officeholder running for re-election has not raised and does not intend to raise more than \$10,000 in contributions during the campaign period; and
 - (3) the candidate or officeholder running for re-election files a signed statement with the city clerk stating that the candidate or officeholder running for re-election has not raised

and does not intend to raise more than \$10,000 in contributions during a campaign period.

- (H) If contributions to a candidate or officeholder running for re-election who has signed an exemption statement under this subsection exceed \$10,000, the candidate or officeholder running for re-election shall provide to the city clerk:
- (1) a data file for each subsequent campaign finance report that the candidate or officeholder is required to file; and
 - (2) a data file for each prior campaign finance report that was due during the campaign period before the contributions to the candidate or officeholder exceeded \$10,000, to be provided to the city clerk no later than the next campaign finance report filing deadline after the contributions to the candidate or officeholder exceed \$10,000.
- (I) An exemption under this subsection from providing a data file associated with a required campaign finance report does not exempt the candidate from filing the campaign finance report.

Source: Ord. 20080925-079; Ord. 20090521-017; Ord. 20120426-087; [Ord. No. 20120927-091, Pt. 1, 10-8-12](#); [Ord. No. 20150806-004, Pt. 3, 8-17-15/2-1-16](#); [Ord. No. 20160407-006, Pt. 9, 4-18-16](#).

Editor's note— Section 2-2-26(B) takes effect on February 1, 2016.

§ 2-2-27 - RESERVED.

Editor's note— [Ord. No. 20160407-006, Pt. 10, effective April 18, 2016](#), repealed § 2-2-27, which pertained to disclosure of loans from a candidate or officeholder and expenditures from the funds of a candidate or officeholder. See Code Comparative Table for complete derivation.

§ 2-2-28 - RETENTION OF RECORDS.

A candidate or officeholder subject to this chapter must:

- (A) maintain copies of checks, bank statements, and deposit slips for a period of five years after the close of the reporting period to which the records are applicable;
- (B) make them available to the Ethics Review Commission, on request, within the five year retention period.

Source: Ord. 20080925-079.

§ 2-2-29 - PRE-ELECTION REPORTS.

(A) This section applies to:

- (1) a candidate who accepts contributions that total more than \$10,000 during the period beginning the 9th day before the date of an election and ending at 5 p.m. on the day before the date of an election;

- (2) a candidate who loans personal funds to the candidate's campaign totaling \$10,000 during the period beginning the 9th day before the date of an election and ending at 5 p.m. on the day before the date of an election;
 - (3) a candidate who makes expenditures from personal funds in support of the candidate's campaign totaling \$10,000 during the period beginning the 9th day before the date of an election and ending at 5 p.m. on the day before the date of an election;
 - (4) a political committee that accepts contributions that total more than \$2,500 during the period beginning the 9th day before the date of an election and ending at 5 p.m. on the day before the date of an election; and
 - (5) a political committee that makes expenditures that total more than \$1,000 during the period beginning the 9th day before the date of an election and ending at 5 p.m. on the day before the date of an election.
- (B) A candidate or political committee described in Subsection (A) shall file a pre-election report with the city clerk no later than 5 p.m. on the first business day after each date that one or more of the reporting thresholds prescribed by Subsection (A) are met. The filing of one pre-election report does not excuse the filing of a subsequent report each time the reporting thresholds prescribed by Subsection (A) are met.
- (C) A candidate described in Subsection (A) shall file a pre-election report with the city clerk that includes the following information:
- (1) the name of the candidate;
 - (2) an itemization of contributions, including:
 - (a) the name and address of each contributor making a contribution of more than \$50;
 - (b) the amount of each contribution;
 - (c) the date each contribution was accepted;
 - (d) a description of any in-kind contribution; and
 - (e) for each contribution of \$200 or more, the occupation of the contributor and the name of the contributor's employer.
 - (3) an itemization of loans from personal funds, including:
 - (a) the amount of each loan; and
 - (b) the date each loan.
 - (4) an itemization of expenditures from personal funds, including:
 - (a) the full name and address of the payee to whom each expenditure was made;
 - (b) the date and amount of each expenditure; and
 - (c) the purpose and description of each expenditure.
- (D) A political committee described in Subsection (A) shall file a pre-election report with the city clerk that includes the following information:

- (1) the name of the political committee;
 - (2) an itemization of contributions, including:
 - (a) the name and address of each contributor making a contribution of more than \$50;
 - (b) the amount of each contribution;
 - (c) the date each contribution was accepted;
 - (d) a description of any in-kind contribution; and
 - (e) for each contribution of \$200 or more, the occupation of the contributor and the name of the contributor's employer.
 - (3) an itemization of expenditures, including:
 - (a) the amount of each expenditure over \$50;
 - (b) the full name and address of the payee to whom each expenditure was made;
 - (c) the date of each expenditure; and
 - (d) the purpose and description of each expenditure.
- (E) In addition to the pre-election report, a candidate or political committee described in Subsection (A) must file the pre-election report's data as required in Section 2-2-26 (*Filing of Campaign Finance Report Data*).
- (F) The city clerk shall post each pre-election report on the City's Web site no later than 5 p.m. on the first business day after the date that the city clerk receives the report and accepts the associated data file.
- (G) All information reported on a pre-election report must also be reported on the candidate's or political committee's subsequent campaign finance report.

Source: Ord. No. 20120524-078; [Ord. No. 20160407-006, Pt. 11, 4-18-16](#).

ARTICLE 4. - DIRECT CAMPAIGN EXPENDITURES.

§ 2-2-31 - DEFINITIONS.

In this article:

- (A) DIRECT CAMPAIGN EXPENDITURE means an expenditure for an electioneering communication or for express advocacy, as those terms are defined in this Article, that is made:
- (1) independently of any candidate and any candidate's campaign committee;
 - (2) without prior consent, cooperation, strategic communication, or consultation between:
 - (a) any candidate, any candidate's campaign staff, any candidate's campaign committee, or an agent or employee of any candidate or candidate's campaign committee; and

- (b) the person or entity making the expenditure, or that person's agent or employee; and
- (3) without prior sharing of material information regarding the communication's content, intended audience, timing, or method of dissemination between:
 - (a) any candidate, any candidate's campaign staff, any candidate's campaign committee, or an agent or employee of any candidate or any candidate's campaign committee; and
 - (b) the person or entity making the expenditure, or that person's agent or employee.
- (B) ELECTIONEERING COMMUNICATION means a communication that:
 - (1) costs, or is part of a series of communications that in the aggregate cost, \$500 or more;
 - (2) refers to:
 - (a) a clearly identified candidate by:
 - (i) containing the candidate's name, nickname, or image; or
 - (ii) making an unambiguous reference to the candidate or to the candidate's status as a candidate, challenger, or incumbent; or
 - (b) a clearly identified ballot measure, by containing:
 - (i) the measure's number;
 - (ii) a description of the measure; or
 - (iii) an unambiguous reference to the measure;
 - (3) is disseminated by publication, broadcast, Internet, a mass mailing, a telephone bank, or a billboard;
 - (4) is made later than the 61st day before the date of an election in which the candidate or the ballot measure appears on the ballot; and
 - (5) is capable of reaching at least:
 - (a) 5,000 people eligible to vote in the election; or
 - (b) two percent of the number of registered voters eligible to vote in the election.
- (C) ELECTION REPORTING CYCLE means the two-year period beginning on the date following the most recent City general election.
- (D) EXPRESS ADVOCACY means a communication, activity, goods, services, or any other thing of value that refers to a clearly identified candidate or ballot measure that:
 - (1) expressly advocates the election or defeat of the candidate, or passage or defeat of the ballot measure, including using such language as "Vote for," "Re-elect," "Cast

your ballot against," "Cast your ballot for," "Defeat," "Vote Down," or "No More Funds for X;" or

- (2) is susceptible to no reasonable interpretation other than as an appeal to vote for or against a specific candidate or ballot measure.
- (E) SEGREGATED BANK ACCOUNT means a bank account maintained by a person who makes one or more direct campaign expenditures or covered transfers, consisting of funds that were paid directly to such account by persons other than the person that controls the account, used by that person to make direct campaign expenditures or covered transfers. A person who pays for direct campaign expenditures or covered transfers exclusively from a segregated bank account must only report information regarding contributions made to that account under Sections 2-2-32 (*Reporting of Direct Campaign Expenditures*), 2-2-33 (*Disclosure Statement Required*), and 2-2-34 (*Reporting of Covered Transfers*).

Source: Ord. 20120802-069; [Ord. No. 20160407-006, Pt. 13, 4-18-16](#); Ord. No. 201660623-020, Pt. 3, 7-3-16.

§ 2-2-32 - REPORTING OF DIRECT CAMPAIGN EXPENDITURES.

- (A) A person who makes one or more direct campaign expenditures in a City election that in the aggregate meet or exceed \$500 shall report:
 - (1) the full name and address of the person who makes the expenditure;
 - (2) if the person who makes the expenditure is an individual, the individual's occupation and employer;
 - (3) the full name and address of the person to whom each expenditure is made;
 - (4) the date and amount of each expenditure;
 - (5) the purpose and description of each expenditure;
 - (6) in the case of an expenditure for express advocacy, the name of each candidate, including the office held and office sought as applicable, whose election or defeat the expenditure advocates, or each ballot measure the passage or defeat of which the expenditure advocates;
 - (7) in the case of an expenditure for an electioneering communication, the name of each candidate, including the office held and office sought as applicable, to whom the communication refers or each ballot measure to which the communication refers; and
 - (8) except as provided in subsection (A)(8)(c), if the person making the expenditure has accepted a contribution from another person during the current election reporting cycle:
 - (a) in the case of an expenditure exclusively paid for by funds contained in a segregated bank account, for each contributor to the account who made

contributions in an aggregate amount of \$500 or more during the current election reporting cycle that have not previously been reported under this subsection:

- (i) the full name and address of the contributor;
 - (ii) if the contributor is an individual, the individual's occupation and employer; and
 - (iii) the date and amount of each contribution received; or
- (b) in the case of an expenditure paid for by funds other than funds contained in a segregated bank account, for each contributor who made contributions in an aggregate amount of \$500 or more during the current election reporting cycle that have not previously been reported under this subsection:
 - (i) the full name and address of the contributor;
 - (ii) if the contributor is an individual, the individual's occupation and employer; and
 - (iii) the date and amount of each contribution received.
- (c) A person is not required to report a contribution under subsections (A)(8)(a) or (A)(8)(b) if:
 - (i) the contributor specified in writing that the contribution was not to be used for political contributions or direct campaign expenditures at the time that the contribution was made to the person making the expenditure, and the person making the expenditure did not use the contribution for political contributions or direct campaign expenditures;
 - (ii) the person making the expenditure received the contribution in a commercial transaction in the ordinary course of any trade or business conducted by the person; or
 - (iii) the person making the expenditure received the contribution from investments made by the person.
- (B) A person making a report required by subsection (A) shall include in the report a sworn statement that each direct campaign expenditure was made without prior consent, cooperation, strategic communication, consultation, or sharing of material information regarding the communication's content, intended audience, timing, or method of dissemination between an affected candidate, the candidate's campaign staff, the candidate's campaign committee, or an agent or employee of the candidate or the committee, and the person making the expenditure, or that person's agent or employee.
- (C) The report required by subsection (A) shall be made:
 - (1) if the expenditure is made before the 60th day before the date of the election, no later than the fifth business day after the date of the expenditure;

- (2) if the expenditure is made on or after the 60th day before the date of the election and before the ninth day before the date of the election, no later than the second business day after the date of the expenditure; or
- (3) if the expenditure is made on or after the ninth day before the date of the election, no later than 5 p.m. on the first business day after the date of the expenditure.
- (D) A person making a report required by subsection (A) shall, in addition to the required report, also provide to the city clerk a structured data file containing the contents of the report. The data file must be provided to the city clerk no later than the date that the associated report must be filed.
- (E) The data file must comply with specifications and be on media determined by the city clerk. A filer who provides a non-compliant data file to the clerk shall resubmit the data in the required format. A data file that must be resubmitted is timely filed if resubmitted no later than the next business day after the date that the clerk notifies the filer that the data file is non-compliant.
- (F) Information reported under this section by a political committee or a person subject to Section 254.261 (*Direct campaign expenditure exceeding \$100*) of the Texas Election Code must also be reported on the political committee's or person's next campaign finance report, if required by state law.

Source: Ord. 20120802-069; [Ord. No. 20160407-006, Pt. 14, 4-18-16](#); [Ord. No. 20160623-020, Pt. 4, 9-1-16](#).

Editor's note— This section is effective September 1, 2016. [Part 7 of Ordinance No. 20160623-020](#) states, "A person who makes one or more expenditures that are reportable under section 2-2-32 (Reporting of Direct Campaign Expenditures) must only report contributions received after August 31, 2016.

§ 2-2-33 - DISCLOSURE STATEMENT REQUIRED.

- (A) Except as provided by subsections (C) and (D), in addition to any other disclosure statement required by law, a person making the expenditure for a political advertisement, electioneering communication, or express advocacy, paid for in whole or in part by a direct campaign expenditure, using funds other than funds in a segregated bank account must conspicuously disclose on the communication the names of the five largest contributors who have each made contributions in an aggregate amount of \$500 or more to the person making the direct campaign expenditure during the current election reporting cycle.
- (B) Except as provided by subsections (C) and (D), in addition to any other disclosure statement required by law, a person making the expenditure for a political advertisement, electioneering communication, or express advocacy, paid for in whole or in part by a direct campaign expenditure, using exclusively funds in a segregated bank account must conspicuously disclose on the communication the names of the five largest contributors to the account who have each made contributions in an aggregate amount of \$500 or more to

the person making the direct campaign expenditure during the current election reporting cycle.

- (C) A contributor's name is not subject to disclosure under this section if:
 - (1) the contributor specified that the contribution was not to be used for political contributions or direct campaign expenditures at the time that the contributor made the contribution to the person making the expenditure, and the person making the expenditure did not use the contribution for political contributions or direct campaign expenditures;
 - (2) the person making the expenditure received the contribution in a commercial transaction in the ordinary course of any trade or business conducted by the person; or
 - (3) the person making the expenditure received the contribution from investments made by the person.
- (D) The disclosure requirements of this section do not apply to:
 - (1) bumper stickers, pins, buttons, pens, apparel, and similar small items upon which the names cannot be conveniently printed; or
 - (2) circulars or flyers that cost in the aggregate less than \$500 to publish and distribute.
- (E) The disclosure required by this section shall be clear and conspicuous:
 - (1) on printed material, the disclosure shall be printed in sufficient type and size to be clearly readable, in two highly contrasting colors such as dark text on a light background, but in no case smaller than eight point font; and
 - (2) on other forms of communication, including internet advertisement, television, and radio, the disclosure shall provide the reader, viewer, or listener with actual notice of the disclosure.
- (F) A disclosure is not clear and conspicuous if it is difficult to read, view, or hear, or if the placement is easily overlooked.

Source: Ord. 20120802-069; [Ord. No. 20160407-006, Pt. 15, 4-18-16](#); [Ord. No. 20160623-020, Pt. 5, 7-3-2016](#).

§ 2-2-34 - REPORTING OF COVERED TRANSFERS.

- (A) In this section, "covered transfer" means any contribution by a person to another person if the first person:
 - (1) designates, requests, or suggests that the contribution be used for:
 - (a) direct campaign expenditures; or
 - (b) making a transfer to another person for the purpose of making or paying for direct campaign expenditures;
 - (2) made the contribution in response to a solicitation or other request for a contribution for:

- (a) the making of or paying for direct campaign expenditures; or
 - (b) making a contribution to another person for the purpose of making or paying for direct campaign expenditures; or
- (3) engaged in discussions with the recipient of the contribution regarding:
 - (a) the making of or paying for direct campaign expenditures; or
 - (b) making a contribution to another person for the purpose of making or paying for direct campaign expenditures.
- (B) The term "covered transfer" does not mean:
 - (1) a contribution made by a person if that person prohibited, in writing, the use of that contribution for political contributions, direct campaign expenditures, or covered transfers, and if the person receiving the contribution did not use the contribution for political contributions, direct campaign expenditures, or covered transfers;
 - (2) a contribution made by a person in a commercial transaction in the ordinary course of any trade or business conducted by that person;
 - (3) a contribution made by a person in the form of an investment made by that person; or
 - (4) a contribution made by a person who has not received a contribution from another person during the current election reporting cycle.
- (C) A person who makes one or more covered transfers in a City election that in the aggregate meet or exceed \$500 shall report:
 - (1) the full name and address of the person who makes the transfer;
 - (2) if the person who makes the transfer is an individual, the individual's occupation and employer;
 - (3) the full name and address of the person to whom each transfer is made;
 - (4) the date and amount of each transfer;
 - (5) the purpose and description of each transfer;
 - (6) in the case of a transfer made for a direct campaign expenditure for express advocacy, if known at the time that the transfer is reported, the name of each candidate, including the office held and office sought as applicable, whose election or defeat the expenditure advocates, or each ballot measure the passage or defeat of which the expenditure advocates;
 - (7) in the case of a transfer made for an electioneering communication, if known at the time that the transfer is reported, the name of each candidate, including the office held and office sought as applicable, to whom the communication refers or each ballot measure to which the communication refers; and

- (8) except as provided in subsection (C)(8)(c), when the person making the transfer has accepted a contribution from another person during the current election reporting cycle:
 - (a) in the case of a transfer exclusively paid for by funds contained in a segregated bank account, for each contributor to the account who made contributions in an aggregate amount of \$500 or more during the current election reporting cycle that have not previously been reported under this subsection:
 - (i) the full name and address of the contributor;
 - (ii) if the contributor is an individual, the individual's occupation and employer; and
 - (iii) the date and amount of each contribution received; or
 - (b) in the case of a transfer paid for by funds other than funds contained in a segregated bank account, for each contributor who made contributions in an aggregate amount of \$500 or more during the current election reporting cycle that have not previously been reported under this subsection:
 - (i) the full name and address of the contributor;
 - (ii) if the contributor is an individual, the individual's occupation and employer; and
 - (iii) the date and amount of each contribution received.
 - (c) A person is not required to report a contribution under subsections (C)(8)(a) or (C)(8)(b) if:
 - (i) the contributor specified in writing that the contribution was not to be used for political contributions, direct campaign expenditures, or covered transfers at the time that the contribution was made to the person making the transfer, and the person making the transfer did not use the contribution for political contributions, direct campaign expenditures, or covered transfers;
 - (ii) the person making the transfer received the contribution in a commercial transaction in the ordinary course of any trade or business conducted by the person; or
 - (iii) the person making the transfer received the contribution from investments made by the person.
- (D) The report required by subsection (C) shall be made:
 - (1) if the transfer is made before the 60th day before the date of the election, no later than the fifth business day after the date of the transfer;
 - (2) if the transfer is made on or after the 60th day before the date of the election and before the ninth day before the date of the election, no later than the second business day after the date of the transfer; or

- (3) if the transfer is made on or after the ninth day before the date of the election, no later than 5 p.m. on the first business day after the date of the transfer.
- (E) A person making a report required by subsection (C) shall, in addition to the required report, also provide to the city clerk a structured data file containing the contents of the report. The data file must be provided to the city clerk no later than the date that the associated report must be filed.
- (F) The data file must comply with specifications and be on media determined by the city clerk. A filer who provides a non-compliant data file to the clerk shall resubmit the data in the required format. A data file that must be resubmitted is timely filed if resubmitted no later than the next business day after the date that the clerk notifies the filer that the data file is non-compliant.
- (G) Information reported under this section by a political committee or a person subject to Section 254.261 (*Direct campaign expenditure exceeding \$100*) of the Texas Election Code must also be reported on the political committee's or person's next campaign finance report, if required by state law.
- (H) It is an affirmative defense to prosecution pursuant to section 2-2-34(C) that the person who makes the transfer:
 - (1) prohibits, in writing, the use of that transfer for political contributions, direct campaign expenditures, or covered transfers if the person receiving the contribution did not use the contribution for political contributions, direct campaign expenditures, or covered transfers;
 - (2) makes the transfer in a commercial transaction in the ordinary course of any trade or business conducted by that person;
 - (3) is making an investment; or
 - (4) has not received a contribution from another person during the current election reporting cycle.

Source: [Ord. No. 20160623-020, Pt. 6, 2-1-17](#).

Editor's note— This section is effective February 1, 2017. [Part 7 of Ordinance No. 20160623-020](#) states, "A person who makes one more transfers that are reportable under Section 2-2-34 (Reporting of Covered Transfers) must only report covered transfers made and contributions received after January 31, 2017.

§ 2-2-35 - RETENTION OF RECORDS.

A person subject to this article shall:

- (A) maintain copies of checks, bank statements, and deposit slips for a period of five years after:

- (1) the date of any report, made under Sections 2-2-32 (*Reporting of Direct Campaign Expenditures*) or 2-2-34 (*Reporting of Covered Transfers*), to which the records are applicable; or
 - (2) the date of any disclosure, made under Section 2-2-33 (*Disclosure Statement Required*), to which the records are applicable; and
- (B) make the records available to the Ethics Review Commission, on request, within the five-year retention period.

Source: [Ord. No. 20160623-020, Pt. 6, 7-3-16](#).

ARTICLE 5. - OFFICEHOLDER ACCOUNTS.

§ 2-2-41 - PERMITTED EXPENDITURES FROM OFFICEHOLDER ACCOUNTS.

A City officeholder may maintain an officeholder account in accordance with the Texas Election Code. In addition to any restrictions existing under the Texas Election Code, expenditures from an officeholder account are specifically limited to the following purposes: compensation of the officeholder's staff; office supplies; travel expenses related to City matters; meals; purchase and lease of office equipment; staff training, development and recruiting; newsletters; contributions to charitable organizations; membership dues; nonpolitical advertising; contributions to not-for-profit organizations; and expenditures for telephones and telephone services incurred by the officeholder in performing a duty or engaging in an activity in connection with the office. Nothing in this section shall be interpreted to restrict an officeholder's ability to make campaign contributions, as defined by the Texas Election Code, from an officeholder account.

Source: *Ord. 20080925-079*.

§ 2-2-42 - RESERVED.

Editor's note— [Ord. No. 20160407-006, Pt. 17, effective April 18, 2016](#), repealed § 2-2-42, which pertained to annual reconciliation of campaign debt. See Code Comparative Table for complete derivation.

§ 2-2-43 - RESERVED.

Editor's note— [Ord. No. 20160407-006, Pt. 18, effective April 18, 2016](#), repealed § 2-2-43, which pertained to existence of campaign debt. See Code Comparative Table for complete derivation.

ARTICLE 6. - RESTRICTIONS ON CONTRIBUTIONS.

§ 2-2-51 - RESTRICTIONS ON CASH CONTRIBUTIONS.

- (A) Except as provided in Subsection (B), a candidate or officeholder who accepts cash contributions in connection with a City election must maintain a receipt book for cash contributions, listing the date of any cash contribution and the contributor's name and

address. If a candidate or officeholder has not accepted cash contributions aggregating more than \$500 per reporting period, he or she must provide a receipt within five days of receiving the contribution to each cash contributor whose contribution exceeds \$50. Once a candidate or officeholder has accepted cash contributions aggregating more than \$500 per reporting period, he or she shall provide a receipt to each subsequent cash contributor within five days of the contribution.

- (B) This section does not apply to cash contributions received by a candidate or officeholder at one or more fundraising events having a stated ticket price of \$25 per person or less. Cash contributions received at the fundraising events may be aggregated for City reporting purposes, if the candidate or the officeholder, and the treasurer, file with the next contribution and expenditure report an affidavit stating the amount of cash proceeds received at the event and verifying that no individual made a cash contribution of more than \$50 in connection with the event.

Source: Ord. 20080925-079.

§ 2-2-52 - RESTRICTIONS ON CONTRIBUTIONS AT CITY-OWNED BUILDINGS.

- (A) Except as provided in Subsection (B), a person shall not make a contribution to a candidate or officeholder and a candidate or officeholder shall not solicit or accept a contribution at a City-owned building, except at a City-owned building that is available for rental to the general public and that is rented for a campaign related event at the time the contribution is made.
- (B) This section does not prohibit contributions mailed to a candidate or officeholder at a City mailing address.

Source: Ord. 20080925-079.

§ 2-2-53 - RESTRICTIONS ON CONTRIBUTIONS BY LOBBYISTS.

- (A) The city council finds that the practice of lobbying for compensation creates a unique relationship between candidates and officeholders on the one hand, and lobbyists on the other. To preserve public confidence in the electoral process, to diminish the appearance of impropriety and special influence, and to minimize the role of political contributions in the legislative and regulatory processes and the awarding of public contracts, it is appropriate to prohibit persons who lobby the city council from making contributions to candidates for mayor and city council and to officeholders. Accordingly, no person who is compensated to lobby the city council and who is required to register with the City as a lobbyist, and no spouse of the person, may contribute more than \$25 in a campaign period to an officeholder or candidate for mayor or city council, or to a specific purpose political committee involved in an election for mayor or city council.
- (B) A lobbyist may contribute to the Austin Fair Campaign Fund created under this chapter.

Source: Ord. 20080925-079.

§ 2-2-54 - RESTRICTIONS ON CONTRIBUTIONS TO AND EXPENDITURES BY SPECIFIC-PURPOSE POLITICAL COMMITTEE.

- (A) Except as provided in Subsection (C), a specific-purpose political committee supporting or opposing a candidate in a city election may not:
- (1) accept a contribution of more than the contribution limit established in City Charter Article III, Section 8(A)(1) (*Limits on Campaign Contributions and Expenditures*); or
 - (2) accept an aggregate contribution total of more than the amount set by City Charter Article III, Section 8(A)(3) (*Limits on Campaign Contributions and Expenditures*) from sources other than natural persons eligible to vote in a postal zip code completely or partially within the Austin city limits.
- (B) A specific-purpose political committee supporting or opposing a candidate in a City election that receives a contribution prohibited by Subsection (A) may not accept the contribution and must refuse and return the contribution not later than the end of the reporting period during which the contribution is received. If a specific-purpose political committee subject to this section has received an aggregate contribution total of more than the amount set by Subsection (A)(2), it may not make an expenditure in a City election until it has returned the contributions of more than the allowed amount.
- (C) This subsection does not limit a specific-purpose political committee's aggregate contribution total from natural persons eligible to vote in a postal zip code completely or partially within the Austin city limits.

Source: Ord. 20080925-079.

§ 2-2-55 - RESTRICTIONS ON USE OF EXISTING FUNDS FROM POLITICAL COMMITTEES, CANDIDATES, AND OFFICEHOLDERS.

- (A) Except as provided in Subsection (B), a City election candidate may not use a political contribution to make a campaign expenditure for City office if the contribution was accepted while the candidate:
- (1) was a candidate for an office other than a City office; or
 - (2) held an office other than a City office, unless the person had become a candidate for city office.
- (B) This section does not apply to a contribution raised in compliance with the timing, dollar amount, and source restriction in this Chapter and City Charter, Article III, Section 8 (*Limits on Campaign Contributions and Expenditures*), calculated on a last-in, first-out basis, which means that the last funds received are eligible for consideration for campaign expenditures.

Source: Ord. 20080925-079.

§ 2-2-56 - RESTRICTIONS ON CREATION OF CAMPAIGN COMMITTEE.

A candidate may only authorize one campaign committee.

Source: Ord. 20080925-079.

§ 2-2-57 - RESTRICTIONS ON EXPENDITURES BY AFFILIATED PERSON.

A person who is considered a candidate under Section 2-2-2(5)(c) (*Definitions*), shall not make an expenditure from funds that have not been lawfully accepted by a candidate or a candidate's campaign committee.

Source: Ord. 20080925-079.

ARTICLE 7. - AUSTIN FAIR CAMPAIGN FINANCE FUND.

§ 2-2-61 - ESTABLISHMENT.

This Article establishes a separate City account known as the Austin Fair Campaign Finance Fund. The fund provides partial public support for qualifying candidates. The fund shall also be used to offset the cost of administering the City's lobbying ordinance, the costs of handling disclosure filings, and the costs of administering the Austin Fair Campaign Chapter. To effect the purposes of this chapter, all funds in the separate account at the time of a City election are to be appropriated for distribution to qualifying candidates in any runoff elections. If there are no qualifying candidates in runoff elections, funds so appropriated shall be returned to the separate account.

Source: Ord. 20080925-079.

§ 2-2-62 - FUNDING FOR AUSTIN FAIR CAMPAIGN FINANCE FUND.

(A) The City staff shall maintain a plan setting out financing options for the funding of the Austin Fair Campaign Finance Fund. The staff is directed to include in the financing plan the following options for dedicated or appropriated funds:

- (1) the registration fee for persons required to register as compensated lobbyists under Chapter 4-8 (*Regulation of Lobbyists*) of the City Code;
- (2) donations from individuals and business entities;
- (3) liquidated damages and criminal fines collected for violations of campaign contracts or this chapter;
- (4) when technically feasible, a \$1 voluntary check-off on City utility bills; and
- (5) all filing fees paid to the City by candidates for mayor and city council.

Source: Ord. 20080925-079; [Ord. No. 20160922-005, Pt. 5, 6-1-17](#).

Editor's note— [Ordinance No. 20160922-005](#) takes effect on June 1, 2017.

§ 2-2-63 - QUALIFYING CANDIDATES.

To become a qualifying candidate eligible to receive public funds from the Austin Fair Campaign Finance Fund, a candidate for mayor or city council must sign a campaign contract, and agree to participate in specified debates arranged by the City Ethics Review Commission.

Source: Ord. 20080925-079.

§ 2-2-64 - FUNDING FOR QUALIFYING CANDIDATES.

- (A) To the extent that funds are available from the Austin Fair Campaign Finance Fund, a qualifying candidate in a runoff election shall receive an equal distribution of the available funds in the Austin Fair Campaign Finance Fund. If no candidate in a runoff election is eligible, the funds will be reserved for future elections.
- (B) Funding from the Austin Fair Campaign Finance Fund shall be distributed to qualifying candidates in a runoff election under the following procedure and formula:
 - (1) on request, the city clerk shall state the available balance in the Austin Fair Campaign Finance Fund;
 - (2) funds for a city runoff election shall be made available as soon as practicable after the results of the city general election are certified; and
 - (3) the city clerk shall review the "30-day before election", "8-day before election" and "pre-election" campaign finance reports and any supporting materials filed by qualifying candidates seeking public funds to verify compliance with the expenditure limits of the candidate's campaign contract.
- (C) Funding from the Austin Fair Campaign Finance Fund shall not be made available to candidates in uncontested elections, recall elections, or elections to fill vacancies created by a recall election.

Source: Ord. 20080925-079; [Ord. No. 20160407-006, Pt. 19, 4-18-16](#).

§ 2-2-65 - OTHER CONSIDERATIONS FOR CAMPAIGN CONTRACT.

- (A) A candidate who signs a campaign contract must participate in a series of candidate forums, whether or not the candidate qualifies for funds.
- (B) The Ethics Review Commission shall produce not fewer than three forums for each contested race as follows:
 - (1) one forum must air on public access television; and
 - (2) other forums may be produced and made available to the public by radio, broadcast, publication on the Internet, or other means approved by the commission.
- (C) The City shall make recordings of audio or video forums available to the public at all branches of the City library.
- (D) The City may purchase advertising promoting the candidate forums.
- (E) The Ethics Review Commission shall establish equitable guidelines to coordinate and produce the candidate forums.

Source: Ord. 20080925-079.

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CHAPTER 2-7. - ETHICS AND FINANCIAL DISCLOSURE.

ARTICLE 1. - GENERAL PROVISIONS.

§ 2-7-1 - DECLARATION OF POLICY.

- (A) It is the policy of the City that the proper operation of democratic government requires that public officials and employees be independent, impartial and responsible to the people; that governmental decisions and policy be made in proper channels of the governmental structure; that public office not be used for personal gain; and that the public have confidence in the integrity of its government. In recognition of these goals, a code of ethics for all City officials and employees is adopted.
- (B) This code has the following four purposes:
- (1) To encourage high ethical standards in official conduct by City officials and employees;
 - (2) To establish guidelines for ethical standards of conduct for all such officials and employees by setting forth those acts or actions that are incompatible with the best interests of the City;
 - (3) To require disclosure by such of official and employees of private financial or other interests in matters affecting the City; and
 - (4) To serve as a basis for disciplining those who refuse to abide by its terms.
- (C) The provisions of this chapter shall not apply to political contributions, loans, expenditures, reports or regulation of political campaigns or the conduct of candidates in such campaigns.

Source: 1992 Code Section 2-3-1; Ord. 031204-9; Ord. 031211-11.

§ 2-7-2 - DEFINITIONS.

In this chapter:

- (1) AFFECTED means in the case of a person, entity or property, means reasonably likely to be subject to a direct economic effect or consequence, either positive or negative, as a result of the vote or decision in question. For instance, a person or entity owning real property, entering into a contract with the City, or seeking a permit or franchise is "affected" by votes or decisions such as zoning of the property, approval of the contract, or granting of the permit. Affected does not include those persons or entities who are subject to an indirect or secondary effect from official action. Creditors, independent contractors, or guarantors of a person "affected" by a vote or decision are not also deemed to be "affected" by virtue of their relationship with the affected person. The vote or decision need not be the only producing cause of the economic effect or consequence reasonably likely to result. In determining whether a person, entity or property is or was "affected by" a vote or decision, it shall not be necessary to prove the actual existence or occurrence of an economic effect or consequence if such effect or consequence would be reasonably expected to exist or occur. Additionally, a vote or decision to place a matter on a ballot is deemed to affect a person, entity or property to

the same extent that the results of the election would effect the person, entity or property.

- (2) CITY EMPLOYEE or EMPLOYEE means any person employed by the City but does not include independent contractors hired by the City.
- (3) CITY OFFICIAL or OFFICIAL, unless otherwise expressly defined, means the mayor, members of the city council, municipal court judges (including substitute judges), city manager, assistant city managers, city clerk, deputy city clerks, city attorney, deputy city attorneys, all department heads or deputy department heads, whether such person is salaried, hired or elected, and all other persons holding positions designated by the City Charter, as it may be amended from time to time. City official, unless otherwise expressly defined, includes individuals appointed by the mayor and city council to all City commissions, committees, boards, task forces, or other City bodies unless specifically exempted from this chapter by the city council.
- (4) DECISION means any ordinance, resolution, contract, franchise, formal action or other matter voted on by the city council or other City board or commission, as well as the discussions or deliberations of the council, board, or commission which can or may lead to a vote or formal action by that body. A decision of a City employee means any action in which the employee exercises discretionary authority, including but not limited to the issuance of permits, imposition or collection of fines or fees, authorizations for expenditures, and other non-ministerial acts.
- (5) DISCRETIONARY AUTHORITY means the power to exercise any judgment in a decision or action.
- (6) ENTITY means a sole proprietorship, partnership, limited partnership, firm, corporation, professional corporation, holding company, joint stock company, receivership, trust or any other entity recognized by law through which business may be conducted, but does not include a governmental body.
- (7) HARM means anything reasonably regarded as loss, disadvantage, or injury, including harm to another person in whose welfare the person affected has an interest.
- (8) INCIDENTAL INTEREST means an interest in a person, entity or property which is not a substantial interest and which has insignificant value, or which would be affected only in a de minimis fashion by a decision. This chapter does not establish dollar limits on the terms "insignificant value" and "de minimis," which shall have their usual meanings and be subject to interpretation on a case by case basis.
- (9) MINISTERIAL ACT means an act performed in a prescribed manner and not requiring the exercise of any judgment or discretion.
- (10) REMOTE INTEREST means an interest of a person or entity, including a City official or employee, who would be affected in the same way as the general public. The interest of a councilmember in the property tax rate, general City fees, City utility charges, or a comprehensive zoning ordinance or similar decisions is incidental to the extent that the councilmember would be affected in common with the general public.

- (11) SUBSTANTIAL INTEREST means an interest in another person or an entity if: the interest is ownership of five percent or more of the voting stock, shares or equity of the entity or ownership of \$5,000 or more of the equity or market value of the entity; or funds received by the person from the other person or entity either during the previous 12 months or the previous calendar year equaled or exceeded \$5,000 in salary, bonuses, commissions or professional fees or \$20,000 in payment for goods, products or nonprofessional services, or 10 percent of the person's gross income during that period, whichever is less; the person serves as a corporate officer or member of the board of directors or other governing board of the for-profit entity other than a corporate entity owned or created by the city council; or the person is a creditor, debtor, or guarantor of the other person or entity in an amount of \$5,000 or more except that a home mortgage loan for the person's homestead or a loan or lease of a personal automobile shall not be deemed a substantial interest in the creditor or guarantor if entered into at a market rate with a commercial lending institution before the previous 12 months.
- (12) SUBSTANTIAL INTEREST IN REAL PROPERTY means an interest in real property which is an equitable or legal ownership with a market value of \$5,000 or more.

Source: 1992 Code Section 2-3-2; Ord. 031204-9; Ord. 031211-11; Ord. 20110428-047; Ord. No. [20170209-005](#), Pt. 5, 2-20-17.

ARTICLE 2. - ETHICS REVIEW COMMISSION.

§ 2-7-26 - FUNCTIONS.

The Ethics Review Commission has jurisdiction over this chapter, Section 2-1-24 (*Conflict of Interest and Recusal*), Chapter 2-2 (*Campaign Finance*), Chapter 4-8 (*Regulation of Lobbyists*), and Article III, Section 8, of the City Charter (*Limits on Campaign Contributions and Expenditures*). The commission shall hear and rule on sworn complaints alleging violations of the provisions within the commission's jurisdiction. The city manager shall provide funding for all necessary and reasonable functions of the commission in fulfilling the commission's duties.

Source: 1992 Code Section 2-3-26; Ord. 031204-9; Ord. 031211-11; Ord. 20080214-012; Ord. 20120426-084; Ord. No. [20170209-005](#), Pt. 6, 2-20-17.

§ 2-7-27 - LIMIT ON THE COMMISSION'S JURISDICTION.

Notwithstanding any other provision of the City Code, the Ethics Review Commission may not hear or initiate a sworn complaint alleging a violation of Article 4 (*Code of Ethics*) against a member of the City's classified municipal civil service system or a member of a state civil service system.

Source: [Ord. No. 20150129-021, Pt. 1, 2-9-15](#).

§ 2-7-28 - (RESERVED)

§ 2-7-29 - REPORTS.

On an annual basis, the city manager shall provide a report to the commission of training regarding this chapter that is provided to newly appointed board and commission members and to newly employed City employees.

Source: Ord. No. [20170209-005](#), Pt. 7, 2-20-17.

Editor's note— Ord. No. [20170209-005](#), Pt. 7, adopted February 20, 2017, repealed the former § 2-7-29, and enacted a new § 2-27-29 as set out herein. The former § 2-7-29 pertained to reports; opinions. See Code Comparative Table for complete derivation.

§ 2-7-30 - DUTIES.

(A) The Ethics Review Commission shall, in addition to its other duties:

- (1) prescribe forms for reports, statements, notices, and other documents required by the provisions within the commission's jurisdiction;
- (2) prepare and publish materials explaining the duties of individuals subject to the provisions within the commission's jurisdiction;
- (3) accept and file any information voluntarily supplied that exceeds the requirements of the provisions within the commission's jurisdiction;
- (4) preserve statements and reports filed with the commission for a period of five years from the date of receipt;
- (5) review the provisions within the commission's jurisdiction and make appropriate recommendations to the city council concerning the provisions within the commission's jurisdiction, and perform an annual review and evaluation of the dollar limits established in Chapter 2-2 (*Campaign Finance*) and make recommendations to the city council as to those limits;
- (6) conduct hearings in accordance with the provisions of this chapter and the commission's rules on sworn complaints alleging violations of the provisions within the commission's jurisdiction; and
- (7) schedule and oversee the forums among candidates in City elections provided for in Chapter 2-2 (*Campaign Finance*).

(B) The commission may:

- (1) prepare reports and studies to advance the purposes of the provisions within the commission's jurisdiction;
- (2) request the city council and city manager to provide such assistance as it may require in the discharge of its duties; and
- (3) review statements and reports filed under provisions within the commission's jurisdiction in order to obtain compliance with the provisions.

Source: 1992 Code Section 2-3-30; Ord. 031204-9; Ord. 031211-11; Ord. 20120426-084; Ord. No. [20170209-005](#), Pt. 8, 2-20-17.

§ 2-7-31 - STAFFING.

- (A) The Ethics Review Commission shall be assigned staff by the city attorney to assist in its duties.
- (B) When complaints are filed related to the mayor, city councilmembers, city manager, city attorney, department heads and deputies, independent legal counsel shall be utilized to advise the commission and participate in hearings.
- (C)
 - (1) A City official or employee may request, and the city attorney shall thereupon promptly issue, a confidential written opinion concerning the meaning or effect of a section, word, or requirement of this chapter as it affects the official or employee, except that the city attorney will not issue a written opinion regarding a matter related to a complaint currently pending before the commission.
 - (2) If a complaint is subsequently filed with the commission about any specific action, omission, or alleged conflict of interest which has been the subject, whole or in part, of a city attorney's opinion, the independent legal counsel shall act as commission attorney on said complaints.
- (D) The city clerk shall make the reporting and complaint forms and information developed by the Commission available to the public and shall assist citizens in complying with filing procedures.

Source: 1992 Code Section 2-3-31; Ord. 031204-9; Ord. 031211-11; Ord. 20060209-003; Ord. No. [20170209-005](#), Pt. 9, 2-20-17.

§ 2-7-32 - RULES.

The Ethics Review Commission may adopt, amend, and rescind rules of procedure to carry out the provisions of this chapter. Such rules shall be consistent with this chapter and other applicable law.

Source: 1992 Code Section 2-3-32; Ord. 031204-9; Ord. 031211-11.

ARTICLE 3. - VIOLATIONS; COMPLAINT AND HEARING PROCEDURES.

§ 2-7-41 - COMPLAINTS.

- (A) In this article:
 - (1) COMPLAINANT means a person filing a sworn complaint.
 - (2) RESPONDENT means a person who is alleged in a sworn complaint to have violated a provision within the jurisdiction of the Ethics Review Commission:
 - (3) IDENTIFIED PERSON means a person, other than the respondent, who is identified by name in a sworn complaint as being involved in the alleged inappropriate conduct.

- (B) A complaint alleging a violation of a provision within the jurisdiction of the Ethics Review Commission shall specify each code section or charter provision alleged to have been violated. A complaint must state that the facts alleged are true and factual to the best knowledge of the person filing the complaint and be sworn to before a person authorized by law to administer an oath.
- (C) A complaint alleging a violation within the jurisdiction of the commission must be filed with the city clerk not later than the second anniversary of the date of the action alleged as a violation, and may not be filed afterward.
- (D) On the sworn complaint of any person filed with the city clerk's office or on the commission's own initiative, the commission shall consider possible violations of a provision within the jurisdiction of the commission by City officials and employees, former City officials and employees, candidates for election to City offices, and other persons subject to the provisions set forth in Section 2-7-26 (*Functions*). The commission may not consider complaints against its own members.
- (E) Not later than the fifth working day after the city clerk receives a sworn complaint, the city clerk shall acknowledge the receipt of the complaint to the complainant and provide a copy of the complaint to the city attorney, the chair of the commission, and the respondent. The city clerk shall also send a copy of the complaint to any identified person whose contact information is listed on the complaint form.
- (F) Not later than the fifth working day after receipt of a complaint from the city clerk, the chair of the commission shall make an initial determination as to whether the complaint is within the commission's jurisdiction.
 - (1) If the chair determines that a complaint is within the commission's jurisdiction, the chair shall set the complaint for a preliminary hearing not later than the 60th day after the chair's initial determination, unless agreed to by the parties or by a vote of the commission. The commission may overturn the chair's initial jurisdictional determination at the preliminary hearing.
 - (a) Not later than the 10th working day prior to the meeting, the chair shall cause a written notice of the date of the preliminary hearing to be sent to the complainant, the respondent, and any identified person whose contact information is listed on the complaint form or is reasonably ascertainable.
 - (b) For good cause, the chair may postpone a scheduled preliminary hearing on the request of the complainant, the respondent, or an identified person.
 - (2) If the chair determines that a complaint is not within the commission's jurisdiction, the commission shall review the chair's determination and may overturn the chair's determination.
 - (a) Not later than the fifth working day after the chair determines that a complaint is not within the commission's jurisdiction, the chair shall cause a written notification of the initial determination to be sent to the complainant, the respondent, and any

identified person whose contact information is listed on the complaint form or is reasonably ascertainable.

- (b) If the commission determines that a complaint is not within its jurisdiction, not later than the 10th working day after the commission's determination, the chair shall cause a written notification of the commission's final jurisdictional determination to be sent to the complainant, the respondent, and any identified person whose contact information is listed on the complaint form or is reasonably ascertainable.
 - (i) If the commission determines that a complaint is not within the commission's jurisdiction, the commission may refer the complaint to the city auditor for possible investigation.
 - (ii) If the commission refers a complaint to the city auditor under this subsection, the written notification required under subsection (F)(2)(b) shall state that the commission has referred the complaint to the city auditor for possible investigation.
- (c) If the commission overturns the chair's initial determination and determines that a complaint is within the commission's jurisdiction, the chair shall set the complaint for a preliminary hearing not later than the 60th day after the commission's determination, unless agreed to by the parties or by a vote of the commission. Subsection (F)(1)(a) and (b) shall govern the sending of notices and granting of postponements.
- (G) The commission may consider a possible violation of a provision within the jurisdiction of the commission on the commission's own initiative. Not later than the 10th working day after the commission's decision to consider a possible violation, the commission shall draft a written complaint specifying each code section or charter provision alleged to have been violated, shall file a copy of the complaint with the city clerk, and shall provide a copy of the complaint to the city attorney, the respondent, and any identified person whose contact information is obtained by the commission. A complaint initiated by the commission need not be sworn.
 - (1) The chair shall set the complaint for preliminary hearing not later than the 60th day after the complaint is filed with the city clerk, unless agreed to by the respondent or by a vote of the commission.
 - (2) Not later than the 10th working day prior to the meeting, the chair shall cause a written notice of the date of the preliminary hearing to be sent to the respondent and to any identified person whose contact information has been obtained by the commission.
 - (3) For good cause, the chair may postpone a scheduled preliminary hearing under this subsection on the request of the respondent or an identified person.
- (H) A member of the commission may not take any part in a deliberation, vote, or decision regarding a sworn complaint alleging a violation by the council member that nominated the commission member.

Source: 1992 Code Section 2-3-41; Ord. 031204-9; Ord. 031211-11; Ord. 20120426-084; [Ord. No. 20160922-005, Pt. 2, 6-1-17](#); Ord. No. [20170209-005](#), Pt. 10, 2-20-17; Ord. No. [20170209-005](#), Pt. 11, 6-1-17.

Ordinance No. [20170209-005](#), Pt. 11 which adds Subsection (H) takes effect June 1, 2017.

§ 2-7-42 - DEFENSE OF OFFICIAL OR EMPLOYEE BY CITY ATTORNEY.

In the event a complaint is filed with the Ethics Review Commission against any official or employee of the City, alleging a violation of Article 4 (*Code of Ethics*), if the official or employee reasonably believed the conduct charged was not prohibited by Article 4 (*Code of Ethics*) and acted in reasonable reliance upon a public opinion rendered by the city attorney, the city attorney shall be authorized to represent the official or employee before the commission, or to employ and pay private counsel to represent the official or employee before the commission.

Source: 1992 Code Section 2-3-42; Ord. 031204-9; Ord. 031211-11.

§ 2-7-43 - PROHIBITION OF EX PARTE COMMUNICATIONS.

After a complaint has been filed and during the pendency of a complaint before the Ethics Review Commission, a member of the commission may not communicate directly or indirectly with any party or person about any issue of fact or law regarding the complaint, except at a meeting of the commission.

Source: 1992 Code Section 2-3-43; Ord. 031204-9; Ord. 031211-11.

§ 2-7-44 - PRELIMINARY HEARING.

- (A) The issue at a preliminary hearing shall be the existence of reasonable grounds to believe that a violation of a provision within the jurisdiction of the Ethics Review Commission has occurred. The complainant, or the legal counsel for the Ethics Review Commission in cases considered on the commission's own initiative, shall state the alleged violation and shall describe in narrative form the testimony and other evidence which would be presented to prove the alleged violation as stated in the written complaint. Statements at a preliminary hearing shall be under oath, but there shall be no cross-examination or requests for persons or evidence issued for the hearing. Members of the commission may question the complainant, legal counsel for the commission, or the respondent.
- (B) The respondent shall have the opportunity to respond but is not required to attend or make any statement. The respondent may describe in narrative form the testimony and other evidence which would be presented to disprove the alleged violation. If the respondent agrees that a violation has occurred, the respondent may so state and the commission may consider the appropriate sanction or prosecution.
- (C) The complainant and the respondent shall have the right of representation by counsel.
- (D) At the conclusion of the preliminary hearing, the commission shall decide whether a final hearing should be held. If the commission determines that there are reasonable grounds to believe that a violation within the jurisdiction of the commission has occurred, the

commission shall schedule a final hearing. If the commission does not determine that there are reasonable grounds to believe that a violation has occurred, the complaint is dismissed. A decision to conduct a final hearing is not a finding that a violation has occurred.

- (E) The commission, at any time during the preliminary hearing, may also dismiss a complaint if the complaint does not allege conduct which would be a violation of a provision within the jurisdiction of the commission. Before a complaint is dismissed for failure to allege a violation, the complainant or the legal counsel for the commission shall be permitted one opportunity, within a period to be specified, to revise and resubmit the complaint.
- (F) The complainant, legal counsel for the commission, and the respondent may ask the commission at a preliminary hearing to request certain persons and evidence for a final hearing, if one is scheduled.

Source: 1992 Code Section 2-3-44; Ord. 031204-9; Ord. 031211-11; Ord. 20120426-084; Ord. No. [20170209-005](#), Pt. 12, 2-20-17.

§ 2-7-45 - FINAL HEARING.

- (A) Unless otherwise agreed to by the parties or by a vote of the commission, the final hearing shall be held not later than the 60th day after the determination by the commission that there are reasonable grounds to believe that a violation within the jurisdiction of the commission has occurred.
- (B) For good cause, the chair may postpone a scheduled final hearing on the request of the complainant, the respondent, or an identified person.
- (C) The complainant and respondent must attend a final hearing. If the respondent fails to attend, the commission may proceed with the final hearing at the commission's discretion.
- (D) The issue at a final hearing shall be whether a violation within the jurisdiction of the commission has occurred. The commission shall make its determination based on the preponderance of the credible evidence in the record. All parties and witnesses shall make their statements under oath.
- (E) If the commission determines that a violation has occurred, the commission shall state the commission's findings in writing, shall identify each code section or charter provision that has been violated, and, not later than the 10th working day after the final hearing, the chair shall cause a copy of the commission's findings to be sent to the complainant, if any, to the respondent, to any identified person whose contact information is listed on the complaint form or is reasonably ascertainable, and to the city clerk.

Source: 1992 Code Section 2-3-45; Ord. 031204-9; Ord. 031211-11; Ord. 20120426-084; Ord. No. [20170209-005](#), Pt. 13, 2-20-17.

§ 2-7-46 - OATHS AND REQUESTS FOR INFORMATION.

- (A) If a complaint proceeds to a final hearing, the commission may subpoena or request witnesses to attend and testify, administer oaths and affirmations, take evidence, and

subpoena or request the production of books, papers, records, or other evidence needed for the performance of the commission's duties or exercise of its powers, including its duties and powers of investigation.

- (B) The commission may request assistance from the city auditor with the investigation of allegations in a complaint.
- (C) The commission may consider the city auditor's investigation at a final hearing on a complaint.

Source: 1992 Code Section 2-3-46; Ord. 031204-9; Ord. 031211-11; Ord. No. [20170209-005](#), Pt. 14, 2-20-17.

§ 2-7-47 - PROSECUTION.

If the Ethics Review Commission determines that a violation of a provision subject to a criminal penalty has occurred, the commission shall deliver a copy of the commission's findings to the complainant, if any, the respondent, and the city attorney and may recommend prosecution or set forth requirements to be complied with in order that voluntary compliance may be had and final determination obtained.

Source: 1992 Code Section 2-3-47; Ord. 031204-9; Ord. 031211-11; Ord. 20120426-084; Ord. No. [20170209-005](#), Pt. 15, 2-20-17.

§ 2-7-48 - SANCTIONS.

- (A) This section applies only to violations other than violations of Chapter 2-2 (*Campaign Finance*) and Article III, Section 8, of the City Charter (*Limits on Campaign Contributions and Expenditures*).
- (B) If the Ethics Review Commission determines that a violation of Sections 2-7-62 (*Standards of Conduct*), 2-7-63 (*Prohibition on Conflict of Interest*), 2-7-64 (*Disclosure of Conflict of Interest*), and 2-7-65 (*Substantial Interest of Relative*) occurred, it shall proceed directly to determination of the appropriate sanction(s). A violation of Sections 2-7-62 (*Standards of Conduct*), 2-7-63 (*Prohibition on Conflict of Interest*), 2-7-64 (*Disclosure of Conflict of Interest*), and 2-7-65 (*Substantial Interest of Relative*) shall not be subject to criminal penalties under the City Code. The commission may receive additional testimony or statements before considering sanctions but is not required to do so. If the respondent acted in reliance upon a public written opinion of the city attorney, the commission shall consider that fact.
- (C) If the commission determines that a violation has occurred, the commission may impose or recommend the following sanctions:
 - (1) A letter of notification is the appropriate sanction when the violation is clearly unintentional, or when the respondent's conduct complained of was made in reliance on a public written opinion of the city attorney. A letter of notification must advise the respondent of any steps to be taken to avoid future violations. The commission may direct a letter of notification to any official or employee covered by this chapter.

- (2) A letter of admonition is the appropriate sanction if the commission finds that the violation is minor or may have been unintentional, but calls for a more substantial response than a letter of notification. The commission may admonish any official or employee covered by this chapter.
- (3) A reprimand is the appropriate sanction when the commission finds that a violation has been committed intentionally or through disregard of this chapter. The commission may reprimand any official or employee covered by this chapter. A reprimand directed to a City official shall also be sent to the city council. A reprimand directed to an employee shall be sent to the city manager and included in said employee's personnel file.
- (4) A recommendation of removal from office or a recommendation of suspension from office, including a recommendation for the length of a suspension, is the appropriate sanction when the commission finds that a serious or repeated violation of this chapter has been committed intentionally or through culpable disregard of this chapter. A recommendation regarding an unsalaried City official or a salaried official appointed by the city council shall be transmitted by the commission to the city council. The final authority to carry out a recommendation regarding an unsalaried City official or of a salaried official appointed by the city council is the city council. A recommendation regarding a City employee shall be directed by the commission to the city manager. The final authority to carry out a recommendation regarding a city employee is the city manager.
- (5) A letter of censure or a recommendation of recall is the appropriate sanction when the commission finds that a serious or repeated violation of this chapter has been committed intentionally or through culpable disregard of this chapter by an elected City official. A letter of censure or a recommendation of recall directed to an elected City official shall be transmitted by the commission to the city clerk, published by the city clerk in a local newspaper of the largest general circulation, and shall be sent by the commission to the city council.

Source: 1992 Code Section 2-3-48; Ord. 031204-9; Ord. 031211-11; Ord. 20120426-084.

§ 2-7-49 - CAMPAIGN VIOLATIONS.

- (A) This section applies to violations of Chapter 2-2 (*Campaign Finance*) and Article III, Section 8, of the City Charter (*Limits on Campaign Contributions and Expenditures*).
- (B) If the Ethics Review Commission determines that a violation of a provision to which this section applies has probably occurred:
 - (1) the commission may recommend that the city attorney prosecute the violation;
 - (2) request the appointment of a special prosecutor in cases where it finds this action necessary, with funding provided by the City; or

- (3) if the commission finds that the violation is minor, clerical, or may have been unintentional, the commission may recommend that the violation not be prosecuted or be prosecuted only if the violation is not corrected.
- (C) The commission may consider a violation's severity, frequency, or intentional nature.
- (D) If a respondent is an entity, the commission may find that an individual has violated a provision subject to the section.
- (E) This section does not require the commission to make a recommendation with respect to a complaint.
- (F) The commission may draft and publish a letter of notification, a letter of admonition, a reprimand, or a letter of censure to a respondent found to have violated a provision subject to this section. The Commission shall apply the criteria in Section 2-7-48 (*Sanctions*) to determine the appropriate sanction to impose.
- (G) This section does not limit the prosecutorial discretion of the city attorney.

Source: Ord. 20120426-084; [Ord. No. 20160922-005, § 3, 6-1-17](#); Ord. No. [20170209-005](#), Pt. 16, 2-20-17.

Editor's note— [Ordinance No. 20160922-005](#) takes effect on June 1, 2017. Ord. No. [20170209-005](#), Pt. 16 which amended subsection (F) takes effect February 20, 2017.

§ 2-7-50 - LOBBYING VIOLATIONS.

- (A) This section applies to violations of Chapter 4-8 (*Regulation of Lobbyists*).
- (B) For an allegation in a complaint relating to a violation of Chapter 4-8, the commission shall hold only a preliminary hearing, and shall not hold a final hearing.
- (C) The commission shall refer an allegation for which the commission finds a reasonable basis to believe that there may be a violation to the city attorney for prosecution.
- (D) This section does not limit the prosecutorial discretion of the city attorney.

Source: [Ord. No. 20160922-005, Pt. 4, 6-1-17](#).

Editor's note— [Ordinance No. 20160922-005](#) takes effect on June 1, 2017.

ARTICLE 4. - CODE OF ETHICS.

§ 2-7-61 - CONDUCTING BUSINESS THROUGH PARTNERSHIPS, PROFESSIONAL CORPORATIONS, AND OTHER ENTITIES.

If a City official or employee is a member of a partnership or professional corporation, or conducts business through another entity, a substantial interest of the partnership, professional corporation, or entity shall be deemed to be a substantial interest of the City official or employee if:

- (A) the partnership or professional corporation has fewer than 20 partners or shareholders;

- (B) regardless of the number of partners or shareholders, the official or employee has an equity interest, share, or draw equal to or greater than five percent of the capital or revenues of the partnership, professional corporation, or other entity; or
- (C) with regard to the partnership, professional corporation, or other entity's substantial interest in a client, the official has personally acted within the preceding 24 months in a professional or fiduciary capacity for that client.

Source: 1992 Code Section 2-3-61; Ord. 031204-9; Ord. 031211-11.

§ 2-7-62 - STANDARDS OF CONDUCT.

- (A) No City official or employee shall transact any business in his official capacity with any entity in which he has a substantial interest.
- (B) No City official or employee shall formally appear before the body of which the official or employee is a member while acting as an advocate for himself or any other person, group, or entity.
- (C) No salaried City official or employee shall represent, for compensation, any other person, group or entity before any department, commission, board or committee of the City.
- (D) No salaried City official or employee shall represent, directly or indirectly, any other person, group or entity in any action or proceeding against the interests of the City, or in any litigation in which the City or any department, commission, or board or committee thereof is a party; provided, however, that nothing herein shall limit the authority of the city attorney and his staff to represent the City, its boards, commissions, committees and officers and particularly the Human Rights Commission in the discharge of their duties, including equal employment opportunity cases.
- (E) No salaried City official or employee shall represent, directly or indirectly, any person, group or entity in any action or proceeding in the municipal courts of the City which was instituted by a City official or employee in the course of official duties.
- (F) No City official shall represent any person, group or entity in any action or proceeding in the municipal courts of the City which was instituted by or arising from a decision of a board, commission, committee, task force or other body on which the official serves.
- (G) No City official or employee shall accept or solicit any gift or favor, that might reasonably tend to influence that individual in the discharge of official duties or that the official or employee knows or should know has been offered with the intent to influence or reward official conduct
- (H) (1) No City official or employee shall solicit or accept other employment to be performed or compensation to be received while still a City official or employee, if the employment or compensation could reasonably be expected to impair independence in judgment or performance of City duties.
- (2) If a City official or employee accepts or is soliciting a promise of future employment from any person or entity who has a substantial interest in a person, entity or property

which would be affected by any decision upon which the official or employee might reasonably be expected to act, investigate, advise, or make a recommendation, the official or employee shall disclose that fact to the board or commission on which he serves or to his supervisor and shall take no further action on matters regarding the potential future employer.

- (I) A salaried City official or employee may not use the official's or the employee's official position to secure a special privilege or exemption for the official or the employee, to secure a special privilege or exemption for another person, to harm another person, or to secure confidential information for a purpose other than official responsibilities.
- (J) No City official or employee shall use City facilities, personnel, equipment or supplies for private purposes, except to the extent such are lawfully available to the public.
- (K) No City official or employee shall accept remuneration, directly or indirectly, for campaign work relating to an item placed on the ballot if that individual served on the body which exercised discretionary authority in the development of the ballot item and participated in the discussion or voted on the item.
- (L) No salaried City official and certain City employees to include the mayor, councilmembers, the city manager, assistant city managers, the city clerk, deputy city clerks, council aides, municipal court clerk, deputy municipal court clerks, municipal judges (including substitute judges), the city auditor, assistants to the city auditor, the city attorney, deputy city attorneys, assistant city attorneys, purchasing agents and those employees with the authority to purchase or contract for the City, all department heads, deputy department heads, and the spouse of each of the above, shall solicit nor propose on a contract, enter into a contract or receive any pecuniary benefit from any contract with the City. This prohibition does not include any employment contract which may be authorized for the official, a contract of sale for real property or a contract for services which are available to all citizens.
- (M) For a period of two years after leaving office, a former mayor or councilmember may not solicit or propose on a contract with the City or enter into a contract with the City for the sale to the City of any goods or services other than real estate. This subsection does not apply to a former mayor or councilmember who had a business relationship with the City in the six months immediately preceding taking the office of mayor or councilmember if the solicitation or proposal is on behalf of the same business.
- (N) For a period of two years after leaving office, a former mayor or councilmember, members of their family, or anyone acting on their behalf, may not sell or lease any real estate to the City unless the city council has designated the property for acquisition and would otherwise have to acquire the property through its power of eminent domain.
- (O) A City official or employee may not engage in fraud or abuse, as defined in City Code Chapter 2-3 (*City Auditor*).

Source: 1992 Code Section 2-3-62; Ord. 031204-9; Ord. 031211-11; Ord. 20110428-047; Ord. No. [20170209-005](#), Pts. 17, 18, 2-20-17.

§ 2-7-63 - PROHIBITION ON CONFLICT OF INTEREST.

- (A) A City official or employee may not participate in a vote or decision on a matter affecting a natural person, entity, or property in which the official or employee has a substantial interest; provided, however, that this provision shall not prohibit any member of the city council from participating in a discussion relating to a petition certified to the city council by the city clerk which petition seeks the recall of said member of the city council.
- (B) A City official or employee who serves as a corporate officer or member of the board of directors of a nonprofit entity may not participate in a vote or decision regarding funding by or through the City for the entity. This subsection does not apply to a City official or employee who:
 - (1) serves as a corporate officer or member of the board of directors of a nonprofit entity that is owned by the City or created by the city council; or
 - (2) as a duty of office or as a job assignment, serves as a corporate officer or member of the board of directors of a nonprofit entity as a representative of the City.
- (C) Where the interest of a City official or employee in the subject matter of a vote or decision is remote or incidental, the City official or employee may participate in the vote or decision and need not disclose the interest.
- (D) Nothing in this chapter shall prohibit the city council from participating in a vote or decision relating to salaries, terms of office or travel budgets of city councilmembers.
- (E) If a member of the city council participates in a vote or decision on a contract for the purchase by the City of any goods or services from a person or entity in which the member has a substantial interest, the contract is voidable by the City.
- (F) A document prepared by the City that solicits bids or proposals from vendors, service providers, or other persons shall provide notice of the provisions of this section.

Source: 1992 Code Section 2-3-63; Ord. 031204-9; Ord. 031211-11; Ord. 20110428-047.

§ 2-7-64 - DISCLOSURE OF CONFLICT OF INTEREST.

- (A) A City official shall disclose the existence of any substantial interest he may have in a natural person, entity or property which would be affected by a vote or decision of the body of which the City official is a member or that he serves as a corporate officer or member of the board of directors of a nonprofit entity for which a vote or decision regarding funding by or through the City is being considered.
- (B) To comply with this section, a councilmember or unsalaried City official, prior to the vote or decision, either shall file an affidavit as required by Chapter 171 (*Regulation of Conflicts of Interest of Officers of Municipalities, Counties, and Certain Other Local Governments*) of the Local Government Code or, if not so required, shall publicly disclose in the official records of the body the nature and extent of such interest.
- (C) To comply with this section, a City employee shall notify in writing his supervisor of any substantial interest he may have in a natural person, entity or property which would be

affected by an exercise of discretionary authority by the City employee and a supervisor shall reassign the matter.

Source: 1992 Code Section 2-3-64; Ord. 031204-9; Ord. 031211-11; Ord. 20110428-047.

§ 2-7-65 - SUBSTANTIAL INTEREST OF RELATIVE.

- (A) A substantial interest of a spouse of a City official or employee shall be deemed to apply to that official or employee for the purposes of Sections 2-7-63 (*Prohibition on Conflict of Interest*) and 2-7-64 (*Disclosure of Conflict of Interest*) concerning disclosure and recusal or reassignment.
- (B) If the spouse of a City official or employee does business through a partnership or other entity, the substantial interests of that partnership or entity shall not be deemed under Section 2-7-61 (*Conducting Business Through Partnerships, Professional Corporations, and Other Entities*) to apply to the City official or employee.
- (C) A City official or a City employee may not participate in a vote or decision affecting a substantial interest of a person to whom the official or employee is related in the first or second degree of consanguinity or affinity. This subsection does not apply to a substantial interest of a relative based on the relative's employment by a governmental body.
- (D) For the purposes of Subsection (C): A relative other than a spouse has a substantial interest if:
 - (1) the person owns 10 percent or more of the voting stock or shares of the entity or owns either 10 percent or more or \$15,000 or more of the fair market value of the entity; or
 - (2) funds received by the person from the entity exceed 10 percent of the person's gross income for the previous year; or
 - (3) the person has a substantial interest in real property if the interest is an equitable or legal ownership in real property with a fair market value of \$2,500 or more.

Source: 1992 Code Section 2-3-65; Ord. 031204-9; Ord. 031211-11; Ord. 20110428-047.

§ 2-7-66 - MISUSE OF OFFICIAL INFORMATION.

No former City official or former employee shall use any confidential information to which he had access by virtue of his official capacity and which has not been made public concerning the property, operations, policies, or affairs of the City, to advance any personal financial interest.

Source: 1992 Code Section 2-3-66; Ord. 031204-9; Ord. 031211-11.

§ 2-7-67 - RESTRICTIONS ON PROVIDING REPRESENTATION OF OTHERS.

- (A) For the purpose of this section, the following definitions shall apply unless the context clearly indicates or requires a different meaning.
 - (1) BEFORE THE CITY means before the city council, a board or commission, or a City official or employee.

- (2) CASE, PROJECT OR MATTER means to refer to specific cases, projects or regulatory matters, rather than generic policies, procedures or legislation of general application. For instance, the zoning process or site plan review process is not a "case, project or matter" within the meaning of this section; however, a specific zoning case or site plan would constitute a "case, project or matter" subject to the restrictions imposed in this section. It is not the intent of this chapter, and this chapter shall not be construed, to proscribe the practice of any profession or occupation by former City officials and employees.
- (3) REPRESENT means all communications with and appearances before the City in which the City is asked to make a decision, as that term is defined in this chapter. The term represent does not include communications and appearances involving only ministerial action on the part of the City.
- (B) A City employee in a position which involves significant decision-making, advisory, or supervisory responsibility, or a City official who leaves the service or employment of the City shall not, within 12 months after leaving that employment or service, represent any other person or entity in any formal or informal appearance, if the City official or employee has received or shall receive remuneration from the person, entity or members of the entity being represented:
 - (1) before the City concerning a case, project or matter over which the person exercised discretionary authority as a City employee or official; or
 - (2) before any other agency on a case, project or matter over which the person exercised discretionary authority as a City employee or official.
- (C) A former City employee or official who is subject to the requirements of Subsection (B) shall, during the 24 months after leaving the service or employment of the City, disclose his previous position and responsibilities with the City and the work performed, if any, as a City employee or official regarding the matter for which he is appearing before the City whenever he represents any other person or entity in any formal or informal appearance before the City.
- (D) In any formal or informal appearance before the City, a person representing a person or entity which employs a former City official or employee who had discretionary authority over the project or matter for which the person or entity is appearing before the City shall disclose any former involvement of such former City official or employee in the project or matter. This disclosure requirement shall be in effect for 24 months after the former City official or City employee leaves City service or employment.
- (E) This section shall become effective from and after February 1, 1987. This section shall not apply to persons who left the service or employment of the City prior to February 1, 1987.

Source: 1992 Code Section 2-3-67; Ord. 031204-9; Ord. 031211-11.

ARTICLE 5. - FINANCIAL DISCLOSURE.

§ 2-7-71 - DEFINITIONS.

In this article:

- (1) CITY OFFICIAL means the mayor, members of the city council and their aides, Municipal Court Judges (including Substitute Judges), city manager, Assistant city managers, city clerk, Deputy city clerks, city attorney, Deputy city attorneys, Treasurer, Comptroller, City Auditor, Purchasing Officer, the initial and subsequent commissioners of the Conventions and Visitors Commission, all department heads, deputy department heads, and where no deputy department head serves, the first principal assistant of such department, and spouses of each, and spouses of and the members of the City boards and commissions described in Section 2-7-72(C) (*Reports*). City appointees to other governmental bodies may be required to file financial information statements without being deemed City officials under Section 2-7-2 (*Definitions*).
- (2) SPOUSE of a City official includes a domestic partner, which means an individual who lives in the same household and shares common resources of life in a close, personal, intimate relationship with the City official if under Texas law the individual would not be prevented from marrying the City official on account of age, consanguinity, or prior undissolved marriage to another. A domestic partner may be of the same, or opposite, gender as the City official.

Source: 1992 Code Section 2-3-71; Ord. 031204-9; Ord. 031211-11; Ord. 20071129-011.

§ 2-7-72 - REPORTS.

- (A) Not later than April 30 of each year, each City official shall file with the city clerk a public statement of financial information covering January 1 through December 31 of the previous calendar year. Not later than July 31 of each year, the mayor and members of the city council and spouses shall also file with the city clerk an updated statement of financial information which shall cover January 1 through June 30 of the current calendar year. The updated statement shall only include any change in a "substantial interest" or "substantial interest in real property" as defined in Section 2-7-2 (*Definitions*) since the last filed statement. For an outgoing mayor or council member who has not been re-elected, not later than the 30th day after the end of a mayor's or council member's term, the mayor or council member shall file with the city clerk a statement of financial information covering January 1 through December 31 of the previous calendar year.
- (B) Any non-elective City officials covered by Section 2-7-71 (*Definitions*) who are appointed or hired shall file an initial statement of financial information for the previous calendar year within 30 days of being hired or appointed. Thereafter, such person shall, within the time limits provided by this article, file a statement of financial information for the full appropriate reporting period. However, any salaried City official who resigns or is terminated for any reason shall file with the city clerk a public statement of financial information which shall cover the current year to the date of resignation or termination on or before his last day as a salaried employee. In such event, a salaried employee shall not be required to file a public statement of financial information for the year in which the resignation or termination occurred. He shall, at that time, also file a statement of financial information for the previous year if one has not been submitted prior to the employee's termination date.

- (C) The members of the following boards and commissions shall report the information required by Subsection (E):
- (1) Arts Commission;
 - (2) Board of Adjustment;
 - (3) Environmental Board;
 - (4) Historic Landmark Commission;
 - (5) Housing Authority of the City of Austin;
 - (6) Parks and Recreation Board;
 - (7) Planning Commission;
 - (8) Public Safety Commission;
 - (9) Zero Waste Advisory Commission;
 - (10) Water and Wastewater Commission;
 - (11) Waterfront Planning Advisory Board;
 - (12) Urban Renewal Agency; and
 - (13) Zoning and Platting Commission.
- (D) In addition to other required information, the mayor and members of the city council shall report the amount or category of information as designated in Section 2-7-73 (*Categories*), for any item reported under Subsection (E)(1), (3), (4), (6), (7), (10), (11) or (12).
- (E) A City official shall include the following information by separate listing in the required statement of financial information, such information to include the source of income or assets and liabilities of their spouses but shall not require a separate report by such official's spouse:
- (1) All sources of occupational income which exceed 10 percent of the official's gross income or \$5,000 in salary, bonuses, commissions or professional fees; or \$20,000 in payment for goods, products or nonprofessional services, excluding the amount but including the name and address of the employer or source of income, and the nature of the occupation or business of each source.
 - (2) If the official is a self-employed solo practitioner, or if the official owns or controls at least a five percent interest in a partnership, professional corporation or other entity through which the official does business, the official shall report the names and addresses of the clients or customers from whom the official, partnership, professional corporation, or other entity received at least 10 percent of its gross income or \$5,000 in salary, bonuses, commissions or professional fees; or \$20,000 in payment for goods, products or nonprofessional services of gross income during the reporting period.
 - (3) An itemized list of all sources of income from interest, dividends, royalties, rents, trust disbursements, or other non-occupational sources, excluding the amount, but

identifying the source, for each such source exceeding either 10 percent of the official's gross income or \$5,000.

- (4) The identification of any person, business entity or other organization from whom the City official reporting has received a gift or favor of any money or other thing of value in excess of \$100, or a series of gifts from the same source during the reporting period the total value of which exceeds \$100, excluding the value of the gift, but including the identification of the source. Excluded from this requirement are campaign contributions which are reported as required by state statute and gifts received from the following relatives:
- (a) spouse;
 - (b) children;
 - (c) parents;
 - (d) grandchildren;
 - (e) grandparents;
 - (f) brothers;
 - (g) sisters;
 - (h) uncles;
 - (i) aunts;
 - (j) nephews;
 - (k) nieces;
 - (l) first cousins;
 - (m) children-in-law;
 - (n) parents in-law;
 - (o) grandchildren-in-law;
 - (p) grandparents-in-law;
 - (q) brothers-in-law;
 - (r) sisters-in-law;
 - (s) uncles-in-law;
 - (t) aunts-in-law;
 - (u) nephews-in-law;
 - (v) nieces-in-law; and
 - (w) first cousins-in-law.

- (5) The name of any corporation, partnership, limited partnership, or other entity in which the official held, owned, acquired, or sold stock or other equity ownership having a value exceeding \$5,000 or equivalent to five percent or more of the stock or equity in the entity.
- (6) A description, excluding the face amount, of all bonds, notes and other commercial paper which the official held, owned, acquired, or sold at any time during the reporting period if the combined face value of the bond, notes and commercial paper exceeds \$5,000.
- (7) Any other income or revenue of the official in excess of \$5,000, including a description of sources, but excluding amounts.
- (8) An itemized list of all real property in which the official holds any legal or beneficial interest, including real property for which the official has entered into a contract for sale, and including a description sufficient to locate the property, stating the state address, if any, and the present use of the property.
- (9) An itemized list of all real property held, owned, acquired, sold or under contract for sale by a corporation, partnership, limited partnership, professional corporation, or other entity in which the official owns or controls at least a five percent interest, including a description sufficient to locate the property, stating the street address, if any, and the present use of the property.
- (10) All loans and extensions of credit exceeding \$5,000 on which the official is lender or creditor, excluding the amount of the loan or extension of credit but including the name of the debtor and the rate of interest, if any.
- (11) All loans or transactions exceeding \$5,000 on which the official is a guarantor or co-signor, excluding the amount of the loan or guarantee, but including the names of the borrower and lender.
- (12) All loans to, debts of, and other financial liabilities of the official which are in excess of \$5,000 and all loans to, debts of and other financial liabilities of any corporation, partnership, limited partnership, professional corporation or other entity in which the official owns or controls at least five percent interest, which liabilities exceed \$5,000. For all debts, loans and liabilities presently outstanding or which existed at any time during the reporting period, the official shall state when the liability was incurred, the rate of interest being charged, if any, and the name of the lender, creditor or obligee, but not the amount of the liability.
- (13) All boards of directors of which the official is a member and the offices or executive positions which the official holds in corporations, partnerships, limited partnerships, professional corporations or other entities, including non-business entities, stating for each the name of the entity and the position held. There shall be excluded from this item positions on corporations or other entities owned by the City or created by the city council.

(F) If, during a reporting period, the mayor or member of the city council has accepted the offer of any trip or excursion from a person or entity other than the City, then he shall report the following to the city clerk before embarking on such a trip or excursion:

- (1) the name of the sponsor;
- (2) the place or places to be visited;
- (3) the purpose of such a trip or excursion; and
- (4) the date and duration of any such trip or excursion.

Within 15 days of return from such a trip or excursion, the mayor or Councilmember shall report to the city clerk the approximate value of such a trip or excursion.

(G) If any City official or City employee has accepted any item by way of gift or loan on behalf of the City, such gift or loan must be promptly reported to the city manager or his designee who shall have the gift or loan inventoried as City property in the case of a gift, or as a loan to the City in the case of a loan.

Source: 1992 Code Section 2-3-72; Ord. 031204-9; Ord. 031211-11; Ord. 20071129-011; Ord. 20090618-047; 20090723-097; Ord. 20090827-021; 20120126-049; [Ord. No. 20141211-204, Pt. 25, 7-1-15](#); Ord. No. [20170209-005](#), Pt. 19, 2-20-17.

§ 2-7-73 - CATEGORIES.

Where a monetary amount or value of income of an asset is required to be reported by the mayor or members of the city council, the exact amount need not be reported. The statement may instead include the category of amount as follows:

- (A) Category I: \$1 to less than \$10,000;
- (B) Category II: At least \$10,000 but less than \$20,000;
- (C) Category III: At least \$20,000 but less than \$50,000;
- (D) Category IV: At least \$50,000 but less than \$75,000;
- (E) Category V: At least \$75,000 but less than \$100,000; and
- (F) Category VI: \$100,000 or more, report to nearest \$100,000.

Source: 1992 Code Section 2-3-73; Ord. 031204-9; Ord. 031211-11.

§ 2-7-74 - FINANCIAL DISCLOSURE BY CANDIDATES.

(A) Non-incumbent candidates for election to City offices shall file a public statement of financial information for the previous year with the city clerk within five working days after the deadline for filing for their respective offices. Incumbent candidates for election to City offices shall file a public statement of financial information for the previous year with the city clerk within five working days after the deadline for filing for their respective offices; provided that if such financial statement for the appropriate reporting period has already

been filed pursuant to this article, such incumbent candidate shall not be required to refile an identical statement.

- (B) Incumbent and non-incumbent candidates for election to City offices shall file the same information as is required by the mayor and members of the city council under this article.

Source: 1992 Code Section 2-3-74; Ord. 031204-9; Ord. 031211-11.

§ 2-7-75 - SWORN FINANCIAL DISCLOSURE STATEMENTS.

- (A) All public statements of financial information required by this article shall be sworn to and shall constitute public records.
- (B) A statement of financial information may be filed electronically under procedures to be determined by the city clerk. By filing electronically a person required to file a statement of financial information states on oath before the city clerk that the facts stated in the statement of financial information are true to the best of the person's knowledge or belief.
- (C) A statement of financial information that is filed with the city clerk is considered to be under oath by the person required to file the statement regardless of the absence of or defect in the affidavit of verification, including a signature. This subsection applies to a statement of financial information that is filed electronically or otherwise.

Source: 1992 Code Section 2-3-75; Ord. 031204-9; Ord. 031211-11; Ord. 20060608-013.

§ 2-7-76 - FILING DATES FOR STATEMENTS.

Statements required by this article shall be received by the city clerk by 4:45 p.m. on the last day required. When the last day falls on a Saturday or Sunday, or on an official City holiday as established by city council, the deadline for receipt by the city clerk is extended to 4:45 p.m. of the next day which is not a Saturday or Sunday or official City holiday.

Source: 1992 Code Section 2-3-76; Ord. 031204-9; Ord. 031211-11; Ord. No. [20170209-005](#), Pt. 20, 2-20-17.

§ 2-7-77 - FAILURE TO FILE FINANCIAL DISCLOSURE REPORTS.

For provisions concerning the removal of certain City officials for failure to file financial disclosure reports, see Section 2-1-21 (*Eligibility Requirements and Removal*).

Source: 1992 Code Section 2-3-77; Ord. 031204-9; Ord. 031211-11.

§ 2-7-99 - OFFENSES; PENALTY.

- (A) A person commits an offense if the person fails to comply with a subpoena under Section 2-7-46 (*Oaths and Requests for Information*).
- (B) A person commits an offense if the person violates Section 2-7-66 (*Misuse of Official Information*), Section 2-7-67 (*Restrictions on Providing Representation of Others*), or Article 5 (*Financial Disclosure*) of this Chapter.

- (C) An offense under this section is punishable as a Class C misdemeanor as provided in Section 1-1-99 (*Offenses; General Penalty*).
- (D) A culpable mental state is not required, and need not be proved, for an offense under this section.

Source: 1992 Code Section 2-3-999; Ord. 031204-9; Ord. 031211-11; Ord. 20111110-052; Ord. No. [20170209-005](#), Pt. 21, 2-20-17.

ARTICLE 6. - ANTI-LOBBYING AND PROCUREMENT.

§ 2-7-101 - DEFINITIONS.

In this article:

- (1) AGENT means a person authorized by a respondent to act for or in place of respondent, including a person acting at the request of respondent, a person acting with the knowledge and consent of a respondent, or a person acting with any arrangement, coordination, or direction between the person and the respondent.
- (2) AUTHORIZED CONTACT PERSON means the person identified in a City solicitation as the contact regarding the solicitation, or the authorized contact person's designee during the course of the no-contact period.
- (3) CITY EMPLOYEE in this article means a person employed by the City.
- (4) CITY OFFICIAL is defined in Section 2-7-2 (*Definitions*).
- (5) DIRECTOR means the director of a department to which the purchasing officer has delegated authority for enforcing this Chapter.
- (6) NO-CONTACT PERIOD means the period of time from the date of issuance of the solicitation until a contract is executed. If the City withdraws the solicitation or rejects all responses with the stated intention to reissue the same or similar solicitation for the same or similar project, the no-contact period continues during the time period between the withdrawal and reissue.
- (7) RESPONSE means a response to a solicitation.
- (8) RESPONDENT means a person responding to a City solicitation including a bidder, a quoter, responder, or a proposer. The term "respondent" also includes:
 - (a) an owner, board member, officer, employee, contractor, subsidiary, joint enterprise, partnership, agent, lobbyist, or other representative of a respondent;
 - (b) a person or representative of a person that is involved in a joint venture with the respondent, or a subcontractor in connection with the respondent's response; and
 - (c) a respondent who has withdrawn a response or who has had a response rejected or disqualified by the City.
- (9) REPRESENTATION means a communication related to a response to a council member, official, employee, or City representative that is intended to or that is reasonably likely to:

- (a) provide information about the response;
 - (b) advance the interests of the respondent;
 - (c) discredit the response of any other respondent;
 - (d) encourage the City to withdraw the solicitation;
 - (e) encourage the City to reject all of the responses;
 - (f) convey a complaint about a particular solicitation; or
 - (g) directly or indirectly ask, influence, or persuade any City official, City employee, or body to favor or oppose, recommend or not recommend, vote for or against, consider or not consider, or take action or refrain from taking action on any vote, decision, or agenda item regarding the solicitation.
- (10) SOLICITATION means an opportunity to compete to conduct business with the City that requires City Council approval under City Charter Article VII Section 15 (*Purchase Procedure*).

Source: Ord. 20071206-045; Ord. 20111110-052.

§ 2-7-102 - FINDINGS; PURPOSE; APPLICABILITY.

- (A) The Council finds that persons who enter a competitive process for a city contract voluntarily agree to abide by the terms of the competitive process, including the provisions of this Chapter.
- (B) The Council finds that it is in the City's interest:
 - (1) to provide the most fair, equitable, and competitive process possible for selection among potential vendors in order to acquire the best and most competitive goods and services; and
 - (2) to further compliance with State law procurement requirements.
- (C) The Council intends that:
 - (1) each response is considered on the same basis as all others; and
 - (2) respondents have equal access to information regarding a solicitation, and the same opportunity to present information regarding the solicitation for consideration by the City.
- (D) A solicitation includes, without limitation, an invitation for bids, a request for proposals, a request for quotations, a request for qualifications, and a notice of funding availability.
- (E) Unless this Article is invoked by Council, this article does not apply to an opportunity to compete for City social service funding; City cultural arts funding; federal, state and City block grant funding; and the sale or rental of real property.
- (F) A representation excludes communication between a City of Austin attorney and a respondent's attorney.

Source: Ord. 20071206-045; Ord. 20111110-052.

§ 2-7-103 - RESTRICTION ON CONTACTS.

- (A) During a no-contact period, a respondent shall make a representation only through the authorized contact person.
- (B) During the no-contact period, a respondent may not make a representation to a City official or to a City employee other than to the authorized contact person. This prohibition also applies to a vendor that makes a representation and then becomes a respondent.
- (C) The prohibition of a representation during the no-contact period applies to a representation initiated by a respondent, and to a representation made in response to a communication initiated by a City official or a City employee other than the authorized contact person.
- (D) If the City withdraws a solicitation or rejects all responses with a stated intention to reissue the same or similar solicitation for the same or similar project, the no-contact period shall expire after the ninetieth day after the date the solicitation is withdrawn or all responses are rejected if the solicitation has not been reissued during the ninety day period.
- (E) For a single vendor award, the no-contact period shall expire when the first of the following occurs: contract is executed or solicitation is cancelled.
- (F) For a multiple vendor award, the no-contact period shall expire when the last of the following occurs: all contracts are executed, negotiations have been fully terminated, or the ninetieth day after the solicitation is cancelled.
- (G) The purchasing officer or the director may allow respondents to make representations to city employees or city representatives in addition to the authorized contact person for a solicitation that the purchasing officer or the director finds must be conducted in an expedited manner; an expedited solicitation is one conducted for reasons of health or safety under the shortest schedule possible with no extensions. The purchasing officer's or director's finding and additional city employees or city representatives who may be contacted must be included in the solicitation documents.
- (H) Representations to an independent contractor hired by the City to conduct or assist with a solicitation will be treated as representations to a City employee.
- (I) A current employee, director, officer, or member of a respondent, or a person related within the first degree of consanguinity or affinity to a current employee, director, officer or member of a respondent, is presumed to be an agent of the respondent for purposes of making a representation. This presumption is rebuttable by a preponderance of the evidence as determined by the purchasing officer or director.
- (J) A respondent's representative is a person or entity acting on a respondent's behalf with the respondent's request and consent. For example, a respondent may email their membership list and ask members to contact council members on the respondent's behalf. The members are then acting per respondent's request and with their consent, and the members have become respondent representatives.

Source: Ord. 20071206-045; Ord. 20111110-052.

§ 2-7-104 - PERMITTED REPRESENTATIONS.

- (A) If City seeks additional information from respondent, the respondent shall submit the representation in writing only to the authorized contact person. The authorized contact person shall distribute the written representation in accordance with the terms of the particular solicitation. This subsection does not permit a respondent to amend or add information to a response after the response deadline.
- (B) If respondent wishes to send a complaint to the City, the respondent shall submit the complaint in writing only to the authorized contact person. The authorized contact person shall distribute a complaint regarding the process to members of the City council or members of the City board, to the director of the department that issued the solicitation, and to all respondents of the particular solicitation. However, the director or purchasing officer shall not permit distribution of any complaint that promotes or disparages the qualifications of a respondent, or that amends or adds information to a response. A determination of what constitutes promoting or disparaging the qualifications of a respondent or constitutes amending or adding information is at the director's or purchasing officer's sole discretion. Bid protests are not subject to this subsection. Documents related to a bid protest may not be forwarded to council under this subsection.
- (C) If a respondent makes a written inquiry regarding a solicitation, the authorized contact person shall provide a written answer to the inquiry and distribute the inquiry and answer to all respondents of the particular solicitation.
- (D) If a respondent is unable to obtain a response from the authorized contact person, the respondent may contact the director or purchasing officer as appropriate.
- (E) A respondent may ask a purely procedural question, for example a question regarding the time or location of an event, or where information may be obtained, of a City employee other than the authorized contact person. This section does not permit a respondent to make suggestions or complaints about the contract process that constitute a representation to a City employee other than the authorized contact person. Notwithstanding this subsection, a respondent may not ask a procedural question of a councilmember, a councilmember's aide, or of a City board member except in a meeting held under the Texas Government Code, Chapter 551 (*Open Meetings Act*).
- (F) This Article allows representations:
 - (1) made at a meeting convened by the authorized contact person, including meetings to evaluate responses or negotiate a contract;
 - (2) required by Financial Services Department protest procedures for vendors;
 - (3) made at a Financial Services Department protest hearing;
 - (4) provided to the Small & Minority Business Resources Department in order to obtain compliance with Chapter 2-9A-D (*the Minority-Owned and Women-Owned Business Enterprise Procurement Program*);

- (5) made to the City Risk Management coordinator about insurance requirements for a solicitation;
 - (6) made in public at a meeting held under Texas Government Code, Chapter 551 (*Open Meetings Act*); or
 - (7) made from a respondent's attorney to an attorney in the Law Department in compliance with Texas Disciplinary Rules of Professional Conduct.
- (G) Nothing in this article prohibits communication regarding the solicitation between or among City officials or City employees acting in their official capacity.
- (H) A contribution or expenditure as defined in Chapter 2-2 (*Campaign Finance*) is not a representation.

Source: Ord. 20071206-045; Ord. 20111110-052.

§ 2-7-105 - NOTICE.

- (A) An employee preparing a solicitation shall include a notice in the solicitation that advises respondents of the requirements of this article, including a notice that if any City official or City employee, other than the authorized contact person, approaches a respondent for response or solicitation information during the no-contact period, the respondent is at jeopardy if he or she makes any representation in response.
- (B) The authorized contact person for that solicitation shall notify council members in writing that the no-contact period for that solicitation is in effect.
- (C) When a solicitation is issued that will be reviewed by a City board, the authorized contact person for that solicitation shall notify in writing each member of the board that the no-contact period for that solicitation is in effect.

Source: Ord. 20071206-045; Ord. 20111110-052.

§ 2-7-106 - DISCLOSURE OF PROHIBITED REPRESENTATION.

- (A) If a City official or City employee receives a representation during the no-contact period for a solicitation, the official or employee shall notify in writing the authorized contact person for that solicitation as soon as practicable.
- (B) During the no-contact period, a City official or City employee, except for the authorized contact person, shall not solicit a representation from a respondent.

Source: Ord. 20071206-045; Ord. 20111110-052.

§ 2-7-107 - ENFORCEMENT.

- (A) A respondent that makes a prohibited representation violates this article. If the authorized contact person for a solicitation is informed, or receives information, that a respondent has made a prohibited representation during the no-contact period, the authorized contact

person shall document the representation and notify the director or purchasing officer immediately.

- (B) If the director or purchasing officer finds that a respondent has violated this article, the respondent is disqualified.
- (C) If a respondent is disqualified for a solicitation and the solicitation is withdrawn or if all responses are rejected, the respondent is disqualified for a reissue of the same or similar solicitation for the same or similar project. Section 2-7-103(D) does not limit the duration of the disqualification. The director or purchasing officer may determine what constitutes a "same or similar" project for purposes of this subsection.
- (D) The Financial Services Department and a department to which the purchasing officer has delegated purchasing authority shall adopt rules to administer and enforce this article. The rules must include the provision of written notice of disqualification to the respondent and a process to protest a disqualification.
- (E) This article is not subject to enforcement by the Ethics Review Commission.

Source: Ord. 20071206-045; Ord. 20111110-052.

§ 2-7-108 - CONTRACT VOIDABLE.

If a contract is awarded to a respondent who has violated this article, the contract is voidable by the City.

Source: Ord. 20071206-045.

§ 2-7-109 - DEBARMENT.

- (A) If a respondent has been disqualified under this article more than two times in a sixty month period, the purchasing officer shall debar a respondent from the sale of goods or services to the City for a period not to exceed three years, provided the respondent is given written notice and a hearing in advance of the debarment.
- (B) The Financial Services Department and any department to which the purchasing officer has delegated authority for enforcing this article shall adopt rules to administer and enforce this section. The rules must include a hearing process with written notice to the respondent.

Source: Ord. 20071206-045; Ord. 20111110-052.

§ 2-7-110 - NO CRIMINAL PENALTY.

Section 1-1-99 does not apply to this article.

Source: Ord. 20071206-045.

§ 2-7-111 - DIRECTOR DISCRETION.

A director has the discretion to apply this Article to any other competitive process not covered by this Article.

Source: Ord. 20111110-052.

§ 25-10-104 - SIGNS PROHIBITED IN PUBLIC EASEMENTS AND RIGHT-OF-WAY.

- (A) A person may not cause or authorize a sign to be installed, used, or maintained on or over public right-of-way or other public property, including any public easement or other public encumbrance over private property, except as authorized by this chapter.
- (B) The primary beneficiary of any sign installed in violation of this section is presumed to have authorized or caused the installation, use, or maintenance of the sign in violation of this section and commits an offense.
- (C) Proof of a culpable mental state is not required for conviction of an offense under this section.
- (D) An offense under this section is punishable by a fine of not less than:
 - (1) \$ 50 for a first conviction;
 - (2) \$ 200 for a second conviction within any 24-month period; and
 - (3) \$ 400 for a third or subsequent conviction within any 24-month period.
- (E) To determine the minimum fine under Subsection (D), one or more fines assessed during a 24-hour period beginning at midnight and ending at 11:59 p.m. constitute a single conviction.
- (F) A person who commits an offense under Subsection (A) shall remove the object. In addition to other enforcement remedies, a person who fails to remove an object within 48 hours after being notified of the offense in writing by an authorized City representative is subject to a civil penalty of \$200 per day for every day or part of a day the object is in place.
- (G) The city manager may remove a sign or other advertising device installed, used, or maintained on or over any public property or public right-of-way in violation of this chapter. Notice is not required to be given to the owner or beneficiary of a sign removed under this section, either before the removal or before the disposition or destruction of the sign.
- (H) This section does not prohibit the installation, use, or maintenance in the right-of-way of:
 - (1) a sidewalk sign;
 - (2) a projecting sign in the downtown sign district;
 - (3) a street banner;
 - (4) a wall sign that is mounted flat against the building and extends not more than 18 inches from the facade of a building and into right-of-way; or
 - (5) a sign installed by a governmental agency for a governmental purpose.
- (I) A sign installed, used, or maintained on or over public property or public right-of-way is presumed to be abandoned, unless the sign is authorized by this chapter. Chapter 9-1 (*Abandoned Property And Vehicles*) does not apply to a sign abandoned under this section.
- (J) The remedies authorized under this section are cumulative. If the City files a civil or criminal action, it is not precluded from pursuing any other action or remedy.

Source: Section 13-2-864; Ord. 990225-70; Ord. 031030-11; Ord. 031211-11; Ord. 040422-49;
Ord. 20100610-064; Ord. No. [20170817-072](#), Pt. 6, 8-28-17.