

A Guide to Organizational Report and Election Campaign Contributions and Expenditures Reports

CAMPAIGN FINANCE MANUAL



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Guam Election Commission Campaign Finance Manual

Important Note About Using This Manual

This Campaign Finance Manual has been revised and updated to bring you the most recent changes in election law and to provide guidance on how to comply with the campaign finance reporting and filing requirements set forth in Chapter 17 of Title 3, Guam Code Annotated. If you are a candidate or treasurer of a campaign finance committee (e.g. Candidate Committee, Political Action Committee, Party Committee), this manual should help you find your way through the myriad of election laws relative to campaign finance.

This manual is designed to serve as a resource for campaign finance reporting requirements. Although the Guam Election Commission has taken every effort to ensure the accuracy of the information in this publication, **where your legal rights are involved, do not rely on this manual. Instead, review the law yourself or consult your attorney.**

We want to emphasize the importance of your compliance with applicable campaign finance requirements. **By law, any person who willfully violates any provision of Chapter 17 of Title 3, Guam Code Annotated, shall, unless otherwise expressly stated, be guilty of a misdemeanor and shall be subject to fines and/or other penalties.**

Please contact the GEC staff for help on any question or issue that may arise. We are happy to assist you!

Guam Election Commission

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Chairman

Republican

G. Patrick Civille
Member
Independent

Joseph P. Mafnas
Member
Democrat

Antonia Gumataotao
Member
Republican

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Table of Contents

| Section | Page |
|---|------|
| 1: General Information | 4 |
| 2: Registration—Organizational Reports | 6 |
| 3: Campaign Contributions | 8 |
| 4: Contribution Limits and Prohibitions | 14 |
| 5: Expenditures | 15 |
| 6: Reporting Periods | 19 |
| 7: Dissolution of Organization | 20 |
| 8: Campaign Finance Laws | 21 |
| Appendix A: Sample Organizational Report | 33 |
| Appendix B: Sample Election Campaign Contributions and Expenditures Report Form | 46 |

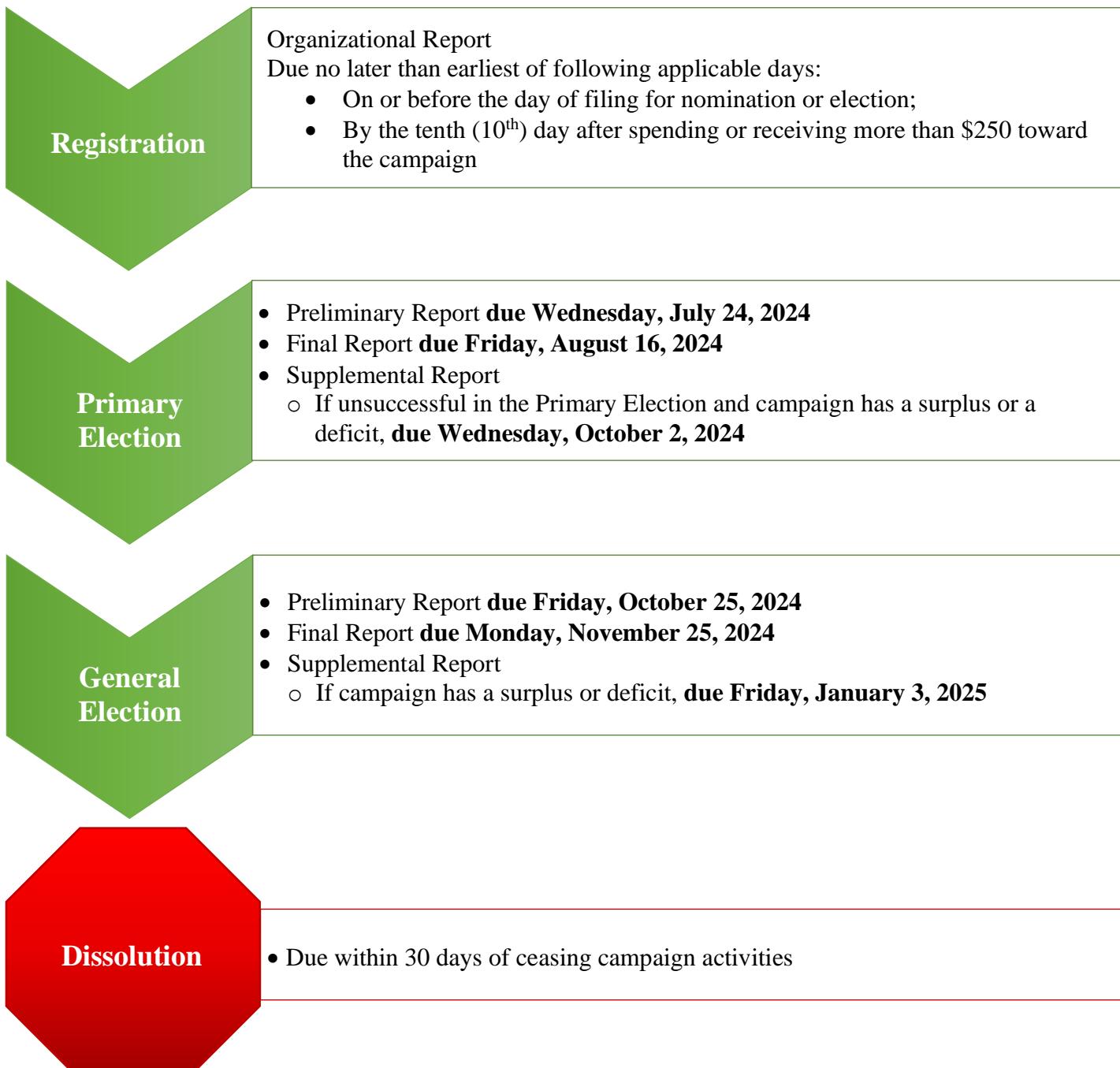
Section 1: General Information

When, Where, and Who is required to File:

On Guam, there are typically three types of committees: candidate, political action (PAC), and political party. All candidates and committees are required to file campaign finance reports in accordance with Section 17 of Title 3 Guam Code Annotated.

The Guam Election Commission requires that an electronic Excel file of each campaign finance report be transmitted to eccer@gec.guam.gov upon the filing of the candidate's/committee's certified hard copy. The certified campaign finance reports must be filed with GEC no later than close of business (5:00 p.m. ChST) on specified deadlines and must adhere to the GEC format. Reports received after the deadline and deficient reports may be subject to fines.

Campaign Finance Reporting Timeline



Recordkeeping

Candidates, committees, and their treasurers must make best efforts to obtain and maintain (and ultimately report) the information required by law with respect to itemized contributions and expenditures.

Pursuant to 3 GCA § 17109(b), each candidate, committee, or political party shall establish and maintain an itemized record showing the amount of each monetary contribution, the description and value of each nonmonetary contribution, and the name and address of each donor making a contribution of more than One Hundred Dollars (\$100.00) in value, except funds and contributions which may be reported in aggregate as indicated in 3 GCA § 17111(b).

Additionally, no candidate, committee or party may accept a contribution of more than Two Hundred Fifty Dollars (\$250.00) in cash from a single person without issuing a receipt to the donor and keeping a record of the transaction. 3 GCA § 17109(d).

Candidates, committees, and their treasurers shall make a detailed accounting of campaign expenditures and the accounting shall be made a part of the reports required in 3 GCA §§ 17116 and 17117. The account shall state the amount and purpose of the expenditures and other information required by the Election Commission. All expenditures—including expenditures by a candidate of his or her own funds in aid of his or her campaign—must be reported. Every organization shall maintain (and ultimately report) an itemized accounting of expenditures made in aid of its campaign.

Should any questions arise in the review of campaign finance reports, the GEC may call upon the candidate and treasurer to provide receipts, copies of checks, bank statements, and other records pertaining to the campaign.

Candidates and committees must also keep a record of all advertisements (print, digital, or other media) purchased with campaign funds. The GEC may, at any point, call upon the organization to submit advertisements to ensure compliance with 3 GCA § 17120.

Section 2: Registration—Organizational Report

An individual running for office, a committee supporting or opposing a candidate or group of candidates, a committee supporting or opposing any ballot question or issue, or a political party must register with the GEC by filing an Organizational Report within ten (10) days of spending or receiving more than \$250. Late filing of organizational reports may result in the assessment of a fine pursuant to 3 GCA § 17102(h).

Required Information

1. Full name of the Candidate or Individual whom the Committee is supporting or name of the Organization or name of the Committee or name of the Party and relevant Election Year
 - a. Elected Office Sought—in the case of a candidate or committee supporting or opposing a candidate
 - b. Purpose, question, or issue—in the case of a PAC
2. Address of the candidate or committee or party
3. Full names and addresses of the campaign treasurer and deputy treasurers
4. Full names and addresses of the campaign chairman and deputy campaign chairman
5. List of all banks, safety deposit boxes, or other depositories used and the applicable account numbers

Note: any change in information listed above must be reported no later than the tenth (10th) day after the change or when the candidate, committee, party, or campaign treasurer becomes aware of the change.

Candidate Organizational Report Sample

| | |
|--|---|
| GUAM ELECTION COMMISSION Kumision Ileksion Guahan 2nd Floor, Ste. 200 GCIC Building 414 W. Soledad Ave., Hagatna, Guam 96910 Website: www.gec.guam.gov <input type="checkbox"/> E-mail: vote@gec.guam.gov Tel: (671) 477-9791 Fax: (671) 477-1895 | |
| ORGANIZATIONAL REPORT Date: <u>1/6/20</u> | |
| Name of Candidate, Party, Organization, or Committee: <u>Mariquita A. Cruz</u> | |
| Elected Office Sought and Election Year: <u>Senator 2020</u> | |
| Purpose, Question, or Issue: <u>n/a</u> | |
| Address: <u>123 Kalachucha Drive</u> <u>Hagatna, Guam</u> | Political Party: <u>Independent</u> Zip Code: <u>96910</u> |
| Tel No: <u>(671) 555-5555</u> | Fax No: <u>(671) 444-4444</u> Email: <u>mariquita4senator2020@gmail.com</u> |

| | |
|---|--|
| CAMPAIGN TREASURER / DEPUTY TREASURERS | |
| Campaign Treasurer: <u>Matthew B. Cruz</u> | Tel No.: <u>(671) 333-3333</u> |
| Address: <u>P.O. Box 22222 Hagatna, Guam 96932</u> | Email: <u>mariquita4senator2020@gmail.com</u> |
| Deputy Campaign Treasurer: <u>Mariquita A. Cruz</u> | Tel No.: <u>(671) 555-5555</u> |
| Address: <u>123 Kalachucha Drive Hagatna, Guam 96910</u> | Email: <u>mariquita4senator2020@gmail.com</u> |

| | |
|--|--|
| CAMPAIGN CHAIRPERSON / DEPUTY CHAIRPERSON | |
| Campaign Chairperson: <u>Diana C. Gumataotao</u> | Tel No.: <u>(671) 999-9999</u> |
| Address: <u>P.O. Box 99999 Hagatna, Guam 96932</u> | Email: <u>mariquitaschair2020@gmail.com</u> |
| Deputy Campaign Chairperson: _____ | Tel No.: _____ |
| Address: _____ | Email: _____ |
| SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT | |

Committee Organizational Report Sample

| | | |
|--|---|---|
|  | GUAM ELECTION COMMISSION Kumision Ileksion Guahan 2nd Floor, Ste. 200 GCIC Building 414 W. Soledad Ave., Hagatna, Guam 96910 Website: www.gcc.guam.gov E-mail: vote@gcc.guam.gov Tel: (671) 477-9791 Fax: (671) 477-1895 |  |
| ORGANIZATIONAL REPORT | | Date: <u>1/1/20</u> |
| Name of Candidate, Party, Organization, or Committee: <u>Chamorros for a Cleaner Guahan</u> Elected Office Sought and Election Year: <u>2020</u> Purpose, Question, or Issue: <u>Proposition A re: Banning Plastic Bags on Guam</u> | | |
| Address: <u>456 Chalan Santo Papa</u> <u>Hagåtña, Guam</u> Tel No: <u>(671) 555-5555</u> Fax No: <u>(671) 444-4444</u> Email: <u>nagasgasguahan@gmail.com</u> | | Political Party: <u>Independent</u> Zip Code: <u>96910</u> |

Contributions and Expenditures

If the candidate or committee received contributions or made expenditures before filing the Organizational Report, the report must include the name, address, amount, and date of deposit of the contributions of each individual who contributed more than \$100.00, the aggregate amount of contributions received from fundraising events, and the payee name, address, amount, and date of expenditure.

| | | | | | |
|---|--|---|---------------------------------|-----------------------|--|
| FINANCIAL INSTITUTION | | | | | |
| STARTING BALANCE | BANK NAME AND ADDRESS | ACCOUNT NUMBER | ENDING BALANCE | | |
| \$ <u>-</u> | <u>Bank of Hagåtña 222 W O'Brien Dr. Hagåtña, GU 96910</u> | <u>2020-123456</u> | \$ <u>2,050.00</u> | | |
| \$ <u>-</u> | | | \$ <u>-</u> | | |
| \$ <u>-</u> | | | \$ <u>-</u> | | |
| \$ <u>-</u> | | | \$ <u>-</u> | | |
| CONTRIBUTIONS | | | | | |
| <p>"Contributions" means a gift, subscription, loan, advance, deposit of money, or anything of value, or cancellation of a debt or legal obligation, as defined in 3 GC/17101(f). ALL corporate contributions shall be reported regardless of amount. (Use additional sheets if needed.)</p> | | | | | |
| I. CASH CONTRIBUTIONS | | | | | |
| Contributions of more than \$100 received from individuals Contributions from fundraisers that cost more than \$100 per ticket must be itemized in this section. | | | | | |
| AMOUNT | NAME OF INDIVIDUAL DONOR | ADDRESS OF DONOR | DATE RECEIVED | DATE DEPOSITED | |
| \$ <u>300.00</u> | <u>Tammy Atalig</u> | <u>P.O. Box 44444 Hagåtña, GU 96932</u> | <u>12/25/19</u> | <u>12/27/19</u> | |
| \$ <u>-</u> | | | | | |
| \$ <u>-</u> | | | | | |
| \$ <u>-</u> | | | | | |
| <u>See A-8 Attachment I. - Cash Contributions</u> | | | | | |
| \$ <u>300.00</u> | (1) Total amount of Cash Contributions this reporting period | | | | |
| \$ <u>-</u> | (1a) Cumulative Total of Cash Contributions from last report | | | | |
| \$ <u>300.00</u> | (1b) Sub-Total of Cash Contributions (1 + 1a = 1b) | | | | |
| II. AGGREGATE CONTRIBUTIONS FROM FUNDRAISING EVENTS \$25 OR LESS | | | | | |
| AMOUNT | FUNDRAISING EVENT, DATE, AND TICKET PRICE | LOCATION | DATE RECEIVED | DATE DEPOSITED | |
| \$ <u>1,500.00</u> | <u>New Year's Eve w/Mariquita, 12/31/19, \$15/ticket</u> | <u>Venue, Guam</u> | <u>12/31/19</u> | <u>1/3/20</u> | |
| \$ <u>-</u> | | | | | |
| \$ <u>500.00</u> | <u>See A-9 Attachment II. - Fundraising Events \$25 or Less</u> | | | | |
| \$ <u>2,000.00</u> | (2) Total Aggregate Contributions this reporting period. | | | | |
| \$ <u>-</u> | (2a) Cumulative Total of Aggregate Contributions from last report. | | | | |
| \$ <u>2,000.00</u> | (2b) Sub-Total of Aggregate Contributions (2 + 2a = 2b) | | | | |
| EXPENDITURES | | | | | |
| <p>"Expenditures" means any purchase or transfer of money or anything of value or promise or agreement to purchase or transfer of money or anything of value, or payment incurred or made, or the use or consumption of a non-monetary contribution for the purposes prescribed under 3 GCA § 17101(h)(A)(B)(C). Expenditures by a candidate of his or her own funds for the purposes prescribed under 3 GCA § 17101(h)(A)(B)(C) must also be reported herein.</p> | | | | | |
| I. FUNDS EXPENDED | | | | | |
| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE | |
| \$ <u>150.00</u> | <u>The Venue Guam</u> | <u>395 Route 8 Hagåtña, GU 96910</u> | <u>Fundraiser venue cost</u> | <u>12/31/19</u> | |
| \$ <u>100.00</u> | <u>Brittney Franquez</u> | <u>P.O.Box 9876 Hagåtña, GU 96932</u> | <u>Fundraiser entertainment</u> | <u>12/31/19</u> | |
| \$ <u>-</u> | | | | | |
| \$ <u>-</u> | | | | | |
| \$ <u>-</u> | | | | | |
| \$ <u>-</u> | | | | | |
| <u>See A-11 Attachment I. - Funds Expended</u> | | | | | |
| \$ <u>250.00</u> | (1) Total Funds Expended this reporting period. | | | | |
| \$ <u>-</u> | (1a) Cumulative Total of Funds Expended from last report. | | | | |
| \$ <u>250.00</u> | (1b) Sub-Total of Funds Expended (1 + 1a = 1b) | | | | |

Financial Institution

Pursuant to 3 GCA § 17107(a)(4), Organizational Reports must include a list of all banks, safety deposit boxes, or other depositories used and applicable account numbers. This information must be reported in the **Financial Institution** section (page A-2 or B-2).

| FINANCIAL INSTITUTION | | | |
|-----------------------|---|----------------|----------------|
| STARTING BALANCE | BANK NAME AND ADDRESS | ACCOUNT NUMBER | ENDING BALANCE |
| \$ - | Bank of Hagåtña 222 W O'Brien Dr. Hagåtña, GU 96910 | 2020-123456 | \$ 2,050.00 |
| \$ - | | | \$ - |
| \$ - | | | \$ - |
| \$ - | | | \$ - |

Preliminary and Final Election Campaign Contributions and Expenditures Reports must also include a current statement of the organization's balance on hand or deficit. For each reporting period, the starting balance and ending balance of the campaign bank account must be reported in the **Financial Institution** section (page A-2 or B-2).

| FINANCIAL INSTITUTION | | | |
|-----------------------|---|----------------|----------------|
| STARTING BALANCE | BANK NAME AND ADDRESS | ACCOUNT NUMBER | ENDING BALANCE |
| \$ 2,050.00 | Bank of Hagåtña 222 W O'Brien Dr. Hagåtña, GU 96910 | 2020-123456 | \$ 19,750.00 |
| \$ - | | | \$ - |
| \$ - | | | \$ - |
| \$ - | | | \$ - |

Campaign contributions shall be segregated from, and may not be comingled with, any personal funds of the candidate, treasurer, or of any other individual.

Section 3: Campaign Contributions

A contribution is a gift, subscription, loan, advance, deposit of money or anything of value, or cancellation of a debt or legal obligation, or payment or compensation for personal services which are rendered without charge or at an unreasonably low charge, or a contract, promise, or agreement to make a contribution for the purposes of influencing a candidate's campaign or issue's outcome.

All monetary contributions must be promptly deposited into the campaign bank account. When reviewing campaign finance reports, the GEC considers contributions deposited within 5 business days to be "promptly deposited." Each organization shall keep a comprehensive record of all financial institutions it does business with, all applicable account numbers, and a detailed accounting of all transactions.

Types of Contributions

Cash Contributions

- Contributions of more than \$100 received from individuals

Fundraisers: tickets less than \$25

- Fundraising events at which the cost was \$25 or less per person or ticket

Fundraisers: tickets more than \$25 & less than \$100

- Fundraising events at which the cost was more than \$25 and \$100 or less per person or ticket

Fundraisers: tickets more than \$100

- Donors' contributions from fundraisers that cost more than \$100 per ticket must be itemized in this section.

Non-Monetary Personal Services

- All personal and related services, contracts, promises or agreements to make contribution(s) for personal services of more than \$100

Non-Monetary Goods/Contracts

- All goods or contracts, promises or agreements to make contribution(s) of goods more than \$100 in value

Earmarked Contributions

- Contributions received from donors designated for specified campaign expenses

What to report: Cash Contributions

When individuals contribute **more than \$100** (outside of a fundraiser), the following information must be reported in **Section I. Cash Contributions** (page A-2 or B-2 and relevant attachments):

- (a) full name of individual donor;
- (b) complete address of donor;
- (c) date contribution was received; and
- (d) date contribution was deposited into the campaign bank account.

| CONTRIBUTIONS | | | | | |
|--|---|---------------------------|---------------|----------------|--|
| <small>"Contributions" means a gift, subscription, loan, advance, deposit of money, or anything of value, or cancellation of a debt or legal obligation, as defined in 3 GCA § 17101(f). ALL corporate contributions shall be reported regardless of amount.</small> | | | | | |
| <small>(Use additional sheets if needed.)</small> | | | | | |
| I. CASH CONTRIBUTIONS | | | | | |
| AMOUNT | NAME OF INDIVIDUAL DONOR | ADDRESS OF DONOR | DATE RECEIVED | DATE DEPOSITED | |
| \$ 400.00 | Helen Ramirez | POBox 98765 Hagatna 96932 | 7/15/20 | 7/19/20 | |
| \$ 800.00 | Tanya Pangelinan | POBox 2345 Hagatna 96932 | 8/1/20 | 8/2/20 | |
| \$ 1,000.00 | Isabel Diaz | POBox 3029 Hagatna 96932 | 8/2/20 | 8/2/20 | |
| \$ 1,000.00 | Annie Tedtaotao | POBox 2041 Hagatna 96932 | 8/2/20 | 8/2/20 | |
| \$ - | See B-7 Attachment I. Cash Contributions | | | | |
| \$ 3,200.00 | (1) Total amount of Cash Contributions this reporting period. | | | | |
| \$ 300.00 | (1a) Cumulative Total of Cash Contributions from last report. | | | | |
| \$ 3,500.00 | (1b) Sub-Total of Cash Contributions (1 + 1a = 1b) | | | | |

What to report: Fundraising Events \$25 or Less

Proceeds from fundraising events, the cost of **\$25 or less per person or ticket**, shall be reported in aggregate in **Section II: Aggregate Contributions from Fundraising Events \$25 or Less** (page A-2 or B-2 and relevant attachments). The following information must also be reported:

- (a) a description of the fundraising event, date of event, and ticket price;
- (b) event location;
- (c) date contributions were received; and
- (d) date contributions were deposited into the campaign bank account.

| II. AGGREGATE CONTRIBUTIONS FROM FUNDRAISING EVENTS \$25 OR LESS | | | | | |
|---|--|-------------|---------------|----------------|--|
| AMOUNT | FUNDRAISING EVENT, DATE, AND TICKET PRICE | LOCATION | DATE RECEIVED | DATE DEPOSITED | |
| \$ 1,500.00 | New Year's Eve w/Mariquita, 12/31/19, \$15/ticket | Venue, Guam | 12/31/19 | 1/3/20 | |
| \$ - | | | | | |
| \$ - | | | | | |
| \$ 500.00 | See A-9 Attachment II. - Fundraising Events \$25 or Less | | | | |
| \$ 2,000.00 | (2) Total Aggregate Contributions this reporting period. | | | | |
| \$ - | (2a) Cumulative Total of Aggregate Contributions from last report. | | | | |
| \$ 2,000.00 | (2b) Sub-Total of Aggregate Contributions (2 + 2a = 2b) | | | | |

Corporate Contributors must be itemized in **Contributions Attachment II. Aggregate Contributions from Fundraising Events \$25 or Less** (page A-9 or B-8) **regardless of contribution amount**. The following information must be reported:

- (a) amount of contribution;
- (b) full name and complete address of corporation;
- (c) fundraiser event and date for which contribution was received;
- (d) date contribution was received; and

(e) date contribution was deposited into the campaign bank account.

| CORPORATE CONTRIBUTORS | | | | |
|-------------------------------|--|--------------------------------------|---------------|----------------|
| AMOUNT | NAME & ADDRESS OF CORPORATE DONOR | FUNDRAISER EVENT & DATE | DATE RECEIVED | DATE DEPOSITED |
| \$ 500.00 | Santos Shipping Corp. POBox 0000 Hagatna 96932 | New Year's Eve w/Mariquita, 12/31/19 | 01/04/20 | 1/6/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ 500.00 TOTAL | | | | |

(To be placed on page A-2 item **II. Aggregate Contributions from Fundraising Events \$25 or Less**)

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Initials

A-9

What to report: Fundraising Events More than \$25 and \$100 or Less

Proceeds from fundraisers, the cost of which is more than \$25 and \$100 or less per person or ticket, shall be reported in aggregate in **Section III: Aggregate Contributions from Fundraising Events \$25 or Less** (page A-2 or B-2 and relevant attachments). The following information must also be reported:

- (a) a description of the fundraising event, date of event, and ticket price;
- (b) event location;
- (c) date contributions were received; and
- (d) date contributions were deposited into the campaign bank account.

| III. AGGREGATE CONTRIBUTIONS FROM FUNDRAISING EVENTS OF MORE THAN \$25 AND \$100 OR LESS | | | | |
|---|--|------------------------------|---------------|----------------|
| AMOUNT | FUNDRAISING EVENT, DATE, AND TICKET PRICE | LOCATION | DATE RECEIVED | DATE DEPOSITED |
| \$ 15,000.00 | Birthday Fundraiser, 3/1/20, \$100/ticket | Phoenix Center, Mangilao, GU | 2/15/20 | 2/19/20 |
| \$ 10,000.00 | Birthday Fundraiser, 3/1/20, \$100/ticket | Phoenix Center, Mangilao, GU | 3/1/20 | 3/4/20 |
| \$ - | | | | |
| \$ 2,000.00 | See B-9 Attachment III. Fundraising Events More Than \$25 and \$100 or Less | | | |
| \$ 27,000.00 | (3) Total Aggregate Contributions this reporting period. | | | |
| \$ - | (3a) Cumulative Total of Aggregate Contributions from last report. | | | |
| \$ 27,000.00 | (3b) Sub-Total of Aggregate Contributions (3 + 3a = 3b) | | | |
| Initials | | | | |

B-2

Corporate Contributors must be itemized in **Contributions Attachment III. Aggregate Contributions from Fundraising Events of more than \$25 and \$100 or less** (page A-10 or B-9) regardless of contribution amount.

The following information must be reported:

- (a) amount of contribution;
- (b) full name and complete address of corporation;

- (c) fundraiser event and date for which contribution was received;
- (d) date contribution was received; and
- (e) date contribution was deposited into the campaign bank account.

What to report: Fundraising Events More than \$100

If the organization holds a fundraiser, the cost of which is **more than \$100 per person or ticket**, all donors must be reported individually in **Section IV: Contributions from Fundraisers More Than \$100 Per Ticket** (page A-2 or B-2). Corporations that purchase fundraiser tickets, the cost of which is more than \$100 per person or ticket, must be reported in **Attachment IV. Contributions from Fundraisers More Than \$100 Per Ticket** (page A-11 or B-11).

The following information must also be reported:

- (e) full name of individual donor;
- (f) complete address of donor;
- (g) a description of the fundraising event, date of event, and ticket price;
- (h) date contributions were received; and
- (i) date contributions were deposited into the campaign bank account.

THE CAMPAGNIS' CASH ACCOUNT **CORPORATE CONTRIBUTIONS**

Corporate contributions received for fundraisers at which the cost was more than \$100 per ticket.

S - TOTAL (To be placed on page A-2 item IV. Contributions from Fundraising Events of More Than \$100)

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Initials

What to report: Non-Monetary Personal Services Contributions

This includes, but is not limited to, personal services of a person that are rendered to the candidate or committee without charge, or at an unreasonably low charge. All such non-monetary personal services contributions shall be reported based on the estimated value of any contribution exceeding \$100 in **Section IV. Non-Monetary Personal Services Contributions** (page A-3 or B-3). The following information must be reported:

- (a) estimated value of personal service;
- (b) full name of donor;
- (c) complete address of donor;
- (d) description of the contribution; and
- (e) date contribution was received by the campaign.

| IV. NON-MONETARY PERSONAL SERVICES CONTRIBUTIONS | | | | |
|---|---|---------------------------------|-----------------------------|---------------|
| All personal and related services, contract, promise or agreement to make contribution for personal services of \$100.00 or more. | | | | |
| ESTIMATED VALUE | NAME OF DONOR | ADDRESS OF DONOR | DESCRIPTION OF CONTRIBUTION | DATE RECEIVED |
| \$ 500.00 | Albert San Agustin | P.O.Box 88990 Hagåtña, GU 96932 | Video Ad Production | 1/24/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ 500.00 | (4) Total Non-Monetary Contributions this reporting period. | | | |
| \$ - | (4a) Cumulative Total of Non-Monetary Contributions from last report. | | | |
| \$ 500.00 | (4b) Sub-Total of Non-Monetary Contributions (4 + 4a = 4b) | | | |

What to report: Non-Monetary Goods and/or Contracts Contributions

This includes all payments—by individuals other than the candidate—for goods and or contracts, gifts, subscriptions, cancellation of debt, promises or agreements. All non-monetary goods and/or contracts with an estimated value exceeding \$100 shall be reported in **Section V. Non-Monetary Goods and/or Contracts Contributions** (page A-3 or B-3). The following information must be reported:

- (a) estimated value of contribution;
- (b) full name of donor;
- (c) complete address of donor;
- (d) description of the contribution; and
- (e) date contribution was received by the campaign.

| V. NON-MONETARY GOODS AND/OR CONTRACTS CONTRIBUTIONS | | | | |
|---|---|---------------------------------|-----------------------------|---------------|
| All goods or contracts, promise, or agreement to make contribution of goods more than \$100 in value. | | | | |
| ESTIMATED VALUE | NAME OF DONOR | ADDRESS OF DONOR | DESCRIPTION OF CONTRIBUTION | DATE RECEIVED |
| \$ 250.00 | Michael Cabrera | P.O.Box 65432 Hagåtña, GU 96932 | Lumber for signs | 1/31/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ 250.00 | (5) Total Non-Monetary Contributions this reporting period. | | | |
| \$ - | (5a) Cumulative Total of Non-Monetary Contributions from last report. | | | |
| \$ 250.00 | (5b) Sub-Total of Non-Monetary Contributions (5 + 5a = 5b) | | | |

What to report: Earmarked Contributions

This includes all monetary contributions received by the organization on the condition that they only be disbursed for specified campaign expenses. All earmarked contributions, regardless of amount, must be reported in **Section VI. Earmarked Contributions** (page A-3 or B-3). The following information must be reported:

- (a) amount of earmarked contribution;
- (b) full name of donor;
- (c) complete address of donor;
- (d) specified purpose for the earmarked contribution;
- (e) date contribution was received; and
- (f) date contribution was deposited into campaign bank account.

VI. EARMARKED CONTRIBUTIONS

Contributions received from donors designated for specified campaign expenses.

| AMOUNT | NAME OF DONOR | ADDRESS OF DONOR | PURPOSE OF CONTRIBUTION | DATE RECEIVED |
|--------------------|---|--------------------------|-------------------------|-----------------|
| \$ 1,000.00 | Jean Franquez | POBox 9580 Hagatna 96932 | Banner printing cost | 3/1/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ 1,000.00 | (6) Total Non-Monetary Contributions this reporting period. | | | |
| \$ - | (6a) Cumulative Total of Non-Monetary Contributions from last report. | | | |
| \$ 1,000.00 | (6b) Sub-Total of Non-Monetary Contributions (6 + 6a = 6b) | | | Initials |

B-3

Section 4: Contribution Limits and Prohibitions

Individuals are limited to contributing \$1000 per candidate per calendar year per election. 3 GCA § 17113(a). Candidates and treasurers shall keep an account of each individual's contributions, regardless of the type, as the limit applies to both monetary and non-monetary contributions.

Individuals may not make anonymous contributions in excess of \$100. Candidates, committees, and political parties may not knowingly receive or accept anonymous contributions. 3 GCA § 17111. Any anonymous contributions received by a candidate, committee, or political party shall be returned to the donor. If the donor cannot be identified, the contribution shall escheat to the Government of Guam.

Individuals may not make any monetary or non-monetary contributions in any other name than the name of the person owning the money or property or supplying a service. 3 GCA § 17112. Contributions made under false names shall escheat to the Government of Guam.

Pursuant to 3 GCA § 17109(d), no candidate, committee or party may accept a contribution of more than Two Hundred Fifty Dollars (\$250.00) in cash from a single person without issuing a receipt to the donor and keeping a record of the transaction.

Corporations are limited to purchasing no more than \$500 worth of tickets per fundraising event per candidate and are subject to the \$1000 limit per candidate per calendar year per election. 3 GCA § 17113(b). Corporations may not contribute to candidates, committees, or political parties in the form of non-monetary goods and or services. Guam law defines corporations as, “an artificial being created by law, having the right of succession and the power, attributes, and properties expressly authorized by law or incident to its existence.” 18 GCA § 2101. By law, the entity name includes either Corporation, Incorporated, Company, or Limited.

Banks and labor organizations, whether or not authorized to do business on Guam, **may not contribute** to candidates, committees, or political parties. 3 GCA § 17113(b). Every bank, corporation, or labor organization which makes any contribution in violation of this Section shall be fined not more than Five Thousand Dollars (\$5,000.00), and every officer or director of any bank, corporation, or labor organization as the case may be, and any person who accepts or receives any contribution in violation of this Section, shall be fined not more than One Thousand Dollars (\$1,000.00) or imprisoned no more than one (1) year, or both.

Section 5: Expenditures

An expenditure is any purchase or transfer of money, or anything of value; or promise or agreement to purchase or transfer money, or anything of value; or payment incurred or made; or the use or consumption of a non-monetary contribution; or the payment, by any person other than a candidate or committee, or compensation for the personal services of another person which are rendered to the candidate or committee for the purpose of influencing the nomination or election of a candidate or influencing the outcome of any question or issue which is to appear on the ballot at the next applicable election. 3 GCA § 17101(h).

Expenditures also include the expenditures made by a candidate of his or her own funds in aid of his or her campaign. 3 GCA § 17101(h)(3).

All expenditures must be reported to the GEC.

Types of Expenditures

Funds Expended

- Funds disbursed from the campaign bank account
- Expenditures made by a candidate of his or her own funds in aid of his or her campaign

Incurred Expenses

- Pending payments for services rendered or products received in aid of a campaign

Non-Monetary Personal Services

- The consumption of all personal and related services, contracts, promises, or agreements made for personal services in aid of a campaign

Non-Monetary Goods and/or Contracts

- The consumption of all goods or contracts, promises, or agreements made for goods in aid of a campaign

Earmarked Expenditures

- The disbursement of earmarked contributions for use as specified by donor(s)

What to report: Funds Expended

This is a record of all funds disbursed from the campaign bank account and any expenditures made by a candidate in aid of his or her campaign. The following information must be reported in **Section I. Funds Expended** (page A-5 or B-5 and relevant attachments):

- (a) expenditure amount;
- (b) full name of payee;
- (c) complete address of payee;
- (d) purpose of expenditure; and
- (e) date of expenditure.

I. FUNDS EXPENDED

| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|-----------|---|--------------------------------|--------------------------|----------|
| \$ 150.00 | The Venue Guam | 395 Route 8 Hagåtña, GU 96910 | Fundraiser venue cost | 12/31/19 |
| \$ 100.00 | Brittney Franquez | P.O.Box 9876 Hagåtña, GU 96932 | Fundraiser entertainment | 12/31/19 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | See A-11 Attachment I. - Funds Expended | | | |
| \$ 250.00 | (1) Total Funds Expended this reporting period. | | | |
| \$ - | (1a) Cumulative Total of Funds Expended from last report. | | | |
| \$ 250.00 | (1b) Sub-Total of Funds Expended (1 + 1a = 1b) | | | |

What to report: Incurred Expenses

This is a record of all pending payments, promises, or agreements to pay for goods or services in aid of the organization's campaign. The following information must be reported in **Section II. Incurred Expenses** (page A-5 or B-5 and relevant attachments):

- (a) amount of expenditure;
- (b) full name of payee;
- (c) complete address of payee;
- (d) purpose of expenditure; and
- (e) date expenditure was incurred.

II. INCURRED EXPENSES

Pending payments for services rendered/products received in aid of a campaign.

| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|-------------|--|-----------------------|--------------------------|---------|
| \$ 1,000.00 | Guam Website Co. | POBox W GMF, GU 96921 | Campaign website hosting | 7/31/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | See B-11 Attachment - II. Incurred Expenses | | | |
| \$ 1,000.00 | (2) Total Incurred Expenditure this reporting period. | | | |
| \$ - | (2a) Cumulative Total of Incurred Expenditures from last period. | | | |
| \$ 1,000.00 | (2b) Sub-Total of Incurred Expenditures (2 + 2a = 2b) | | | |

What to report: Non-Monetary Personal Services Expenditures

This is a record of the consumption of all personal and related services, contracts, promises, or agreements expended for personal services in aid of a campaign. The following information must be reported in **Section III. Non-Monetary Personal Services Expenditures** (page A-5 or B-5 and relevant attachments):

- (a) estimated value of personal service;
- (b) full name of payee;
- (c) complete address of payee;
- (d) purpose or description of personal service expenditure; and
- (e) date of consumption.

III. NON-MONETARY PERSONAL SERVICES EXPENDITURES

The consumption of all personal and related services, contracts, promises, or agreements expended for personal services in aid of a campaign.

| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|-----------|--|-------------------------------|---------------------|---------|
| \$ 500.00 | [Albert San Agustin] | POBox 88990 Hagatna, GU 96932 | Video Ad Production | 1/24/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | See B-12 Attachment III. Non-Monetary Personal Services Expenditures | | | |
| \$ 500.00 | (3) Total Non-Monetary Expenditures this reporting period. | | | |
| | (3a) Cumulative Total of Non-Monetary Expenditures from last period. | | | |
| \$ 500.00 | (3b) Sub-Total of Non-Monetary Expenditures (3 + 3a = 3b) | | | |

Initials

What to report: Non-Monetary Goods and/or Contracts Expenditures

This is a record of the consumption of all goods or contracts, promises, or agreements expended for goods in aid of a campaign. The following information must be reported in **Section IV. Non-Monetary Goods and/or Contracts Expenditures** (page A-6 or B-6):

- (a) estimated value of good and/or contract;
- (b) full name of payee;
- (c) complete address of payee;
- (d) purpose of good and/or contract; and
- (e) date of consumption.

IV. NON-MONETARY GOODS AND/OR CONTRACTS EXPENDITURES

The consumption of all goods or contracts, promise, or agreement expended for goods in aid of a campaign.

| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|-------------|---|-----------------------------|-------------------------|--------|
| \$ 1,000.00 | [George Edquilane] | POBox 837 Hagatna, GU 96932 | Use of lumber for signs | 3/1/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ 1,000.00 | (4) Total Non-Monetary Expenditures this reporting period. | | | |
| \$ - | (4a) Cumulative Total Non-Monetary Expenditures from last report. | | | |
| \$ 1,000.00 | (4b) Sub-Total of Non-Monetary Expenditures (4 + 4a = 4b) | | | |

What to report: Earmarked Expenditures

This is a record of the disbursement of earmarked contributions for use as specified by donor. The following information must be reported in **Section V. Earmarked Expenditures** (page A-6 or B-6):

- (a) disbursement amount;
- (b) full name of payee;
- (c) complete address of payee;
- (d) donor-specified purpose; and
- (e) date of expenditure,

| V. EARMARKED EXPENDITURES | | | | |
|---|---|-----------------------------------|-----------------|--------|
| Disbursement of earmarked contributions for use as specified. | | | | |
| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
| \$ 1,000.00 | Guam Banner Co. | 555 Chalan San Antonio Tam, 96913 | Banner printing | 3/1/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ 1,000.00 | (5) Total Non-Monetary Expenditures this reporting period. | | | |
| \$ - | (5a) Cumulative Total Non-Monetary Expenditures from last report. | | | |
| \$ 1,000.00 | (5b) Sub-Total of Non-Monetary Expenditures (5 + 5a = 5b) | | | |

Reimbursements

Any reimbursement to individuals (other than the candidate) in excess of \$100 that are reported as expenditures must also be reported as contributions in the applicable Contributions section. While loans and/or advances less than \$100 are not required to be reported to GEC, the campaign treasurer must keep accurate accounting of all loans and advances in case the individuals' aggregate contributions reach the \$100.01 threshold, thus needing to be reported in relevant campaign finance reports. **Reimbursements to individuals in excess of \$1000 may be flagged as excess contributions and may be subject to fines issued by the GEC.**

To limit reimbursements, expenditures should be paid directly from the campaign account.

Contributions to other Candidates, Committees, or Parties

Organizations are limited to purchasing not more than two tickets for each testimonial or fundraising affair held by another candidate, committee, or political party. An organization's contribution to another candidate, committee, or party must be reported as **Funds Expended**. Please include the price per ticket purchased.

Inappropriate Expenditures

Section 17110 of Chapter 17 Title 3 Guam Code Annotated provides that a candidate or campaign committee may not expend any campaign contributions on anything other than promoting the candidate's election into office. Campaign funds can only be spent for the purpose of promoting the election of the candidate. No expenditure shall be made for the benefit of any personal property.

Inappropriate expenditures include but are not limited to gifts, "chenchule'," sponsorships, condolence cards, medical fundraiser donations, and giving anything of value to any person for the purpose of buying a vote.

Candidates and treasurers will be responsible for answering any questions that may arise upon review of reported purposes for campaign expenditures.

Section 6: Reporting Periods

Campaign finance reports must include all contributions received and expenditures made in aid of the organization's campaign during the particular report's relevant reporting period. When a committee initially registers with the GEC by filing its Organizational Report, it must include a record of all contributions received (itemized or in aggregate) and all expenditures made before registration.

The contributions and expenditures reported in Preliminary Reports must be current through the 15th day prior to election day. 3 GCA § 17116. As the Preliminary Report is due 10 days prior to election day, the close of the reporting period is 5 days prior to the date the report is due. Final and Supplemental reports shall also be current through the 5th day prior to the date the report is due. Subsequent reporting periods begin the day after the close of the previous reporting period.

2024 Election Cycle Reporting Periods

| | Primary Election | General Election |
|---|--|--|
| Preliminary Report <i>Reporting period</i> | Due July 24, 2024 | Due October 25, 2024 |
| | <i>Org. Report filing date – July 19, 2024</i> | <i>August 9, 2024-October 20, 2024</i> |
| Final Report <i>Reporting Period</i> | Due August 13, 2022 | Due November 24, 2024 |
| | <i>July 20, 2024 – August 8, 2024</i> | <i>October 21, 2024-November 19, 2024</i> |
| Supplemental Report <i>Reporting Period</i> | Due October 2, 2024 ¹ | Due January 3, 2025 ² |
| | <i>August 9, 2024 – September 28, 2024</i> | <i>November 20, 2024-December 29, 2024</i> |

Notes:

1. A Primary Election Supplemental Report is only required of candidates (or candidate committees) who failed to gain nomination in the Primary Election and the organization's balance is a surplus or deficit.
2. General Election Supplemental Reports are only required of organizations whose General Election Final Report reflects a surplus or deficit.

In the event of a deficit, organizations shall file Supplemental Reports every 3 months until the deficit is eliminated.

In the event of a surplus, organizations shall file Supplemental Reports every 6 months until the surplus is expended, or organization is dissolved.

Section 7: Dissolution of Organization

Pursuant to 3 GCA § 17119, all candidates who withdraw or cease to be candidates, or committees directly associated with these candidates, or persons who receive contributions but fail to file for nomination, or committees or parties which discontinue their activities covered in this Chapter, shall return any residual contributions to the political party of the person or candidate or to the campaign committee of a person of the same party who is a candidate for the same office as the person who has ceased to receive contributions or to be a candidate.

Pursuant to 6 GARR § 3102, candidates, committees or political parties shall dispose any organizational residual contributions by the twentieth (20th) day after activities cease.

Within 30 days of ceasing activities, organizations shall file a dissolution report with the GEC reporting the amounts distributed and the manner of disposition.

Chapter 8: Campaign Finance Laws

For ease of reference, listed below are Guam's Campaign Finance Laws enumerated in Chapter 17 of Title 3, Guam Code Annotated.

Ch. 17 Election Campaign Contributions and Expenditures

| | |
|----------|---|
| § 17101. | Definitions |
| § 17102. | Duties of Election Commission |
| § 17103. | Filing of Reports |
| § 17104. | Death of Candidate Prior to Filing Reports |
| § 17105. | Death of Candidate After Submitting Final Report |
| § 17106. | Registration |
| § 17107. | Organizational Reports |
| § 17108. | Campaign Treasurer |
| § 17109. | Campaign Contributions in General |
| § 17110. | Campaign Contributions: Restrictions Against Transfer |
| § 17111. | Limit on Anonymous Contributions |
| § 17112. | False Name |
| § 17113. | Limitation on Amount of Contributions |
| § 17114. | Campaign Expenditures: Authority Required |
| § 17115. | Organizational Reports |
| § 17116. | Preliminary Reports |
| § 17117. | Registration and Taxation of Campaign Funds |
| § 17118. | Final and Supplemental Reports |
| § 17119. | Disposition of Funds |
| § 17120. | Advertising |
| § 17121. | Complaints and Investigation |
| § 17122. | Administrative Fines; Relief |

§ 17101. Definitions.

When used in this Chapter:

- (a) Advertisement means:
 - (1) any communication, exclusive of bumper stickers or other sundry items paid for by or on behalf of a candidate, which identifies a candidate directly or by implication, or which advocates or supports the nomination for election of the candidate, or advocates or supports his or her defeat; and
 - (2) any communication, exclusive of bumper stickers or other sundry items paid for by or on behalf of a committee, which identifies an issue or question which appears or is reasonably certain to appear on the ballot at the next applicable election, or which advocates or supports the passage or defeat of the question or issue.
- (b) Campaign treasurer means a person appointed under § 17108 of this Chapter, and, unless expressly indicated otherwise, includes deputy treasurers.
- (c) A candidate is one who either seeks a nomination or is proposed for a nomination by sponsors or accepts money towards an election in accordance with the provisions of this Title; and who:
 - (1) files nomination papers for an office for himself or herself, or, consents to have a declaration of nomination for an office filed on his or her behalf by five (5) voters as specified in § 6106 of this Title; or
 - (2) receives contributions in an aggregate amount of more than One Hundred Dollars (\$100.00), or makes or incurs any expenditures to bring about his or her nomination for election, or election to office; or
 - (3) gives his or her consent for any other person to receive contributions or make expenditures to aid his or her nomination for election, or election to office.
- (d) Commission means the Guam Election Commission.

(e) Committee means:

- (1) any person who accepts a contribution or makes an expenditure for or against any individual candidate or group of candidates, person seeking nomination for election, or election to office, or political party, with the authorization of the candidate, person, or political party, or who accepts a contribution or makes an expenditure for or against any question or issue which is to appear on the ballot at the next applicable election;
- (2) any person who raises or holds money or anything of value and who subsequently contributes the money or thing of value to, or make expenditures on behalf of an individual candidate, group of candidates, person, or political party; provided, that the term committee shall not include any person making a contribution or expenditure of his or her own funds or something of value originally acquired for his or her own use and not for the purpose of evading any provision of this Chapter.

(f) Contribution means:

- (1) a gift, subscription, loan, advance, deposit of money or anything of value, or cancellation of a debt or legal obligation for the purpose of:
 - (A) influencing the nomination for election, or election of any person to office; or
 - (B) influencing the outcome of any question or issue which appears or is reasonably certain to appear on the ballot at the next applicable election; or
 - (C) use by any party for the purpose set out in Subsection (A) or (B) herein;
- (2) the payment, by any person other than a candidate or committee, or compensation for the personal services of another person, which are rendered to the candidate or committee without charge or at an unreasonably low charge, a discount not offered to any other candidate or committee other than volunteer campaign services; or
- (3) a contract, promise, or agreement to make a contribution; provided, that notwithstanding Subsections (1), (2), and (3) of this Subsection, the term shall not include services or portions thereof voluntarily provided without reasonable compensation by individuals to or on behalf of a candidate or committee; or
- (4) notwithstanding Subsections (1) (2) and (3) herein, a candidate's expenditure of his or her personal funds in the pursuit of his or her campaign shall not be a contribution for the purpose of this Subsection.

(g) Election means any primary, general or special election for office, or for determining a question or issue provided by law.

(h) Expenditure means:

- (1) any purchase or transfer of money, or anything of value; or promise or agreement to purchase or transfer money, or anything of value; or payment incurred or made; or the use or consumption of a nonmonetary contribution for the purpose of:
 - (A) influencing the nomination for election, or election of any person seeking nomination for election, or election to office, whether or not the nomination papers have been filed by himself or herself or, on his or her behalf; or
 - (B) influencing the outcome of any question or issue which is to appear on the ballot at the next applicable election; or
 - (C) use by any political party for the purposes set out in Subsection (A) or (B) above;
- (2) the payment, by any person other than a candidate or committee, of compensation for the personal services of another person which are rendered to the candidate or committee for any of the purposes mentioned in Subsections (h)(l)(A), (B) or (C) of this Section; or
- (3) the expenditure by a candidate of his or her own funds for the purposes set out in Subsections (h)(l)(A), (B) or (C) of this Section.

- (i) Newspaper means a publication of general circulation issued once or more per month, which is written and published on Guam.
- (j) Office means any elective public office, excluding federal elective offices.
- (k) Personal means an individual, partnership, committee, association, or organization.
- (l) A candidate is directly opposed to another when the election of that other candidate could mean the non-election of the candidate in question.

§ 17102. Duties of Election Commission.

The Election Commission shall supervise campaign contributions and expenditures, and its duties in regards to this Chapter shall include, but not be limited to, the following:

- (a) to ascertain whether any candidate, committee, political party, or other person has failed to file a report required by this Chapter or has filed a substantially defective or deficient report, and to notify the person(s) that their failure to file or filing of a substantially defective or deficient report shall be corrected and explained, the correction or explanation to be submitted in writing to the Commission within a reasonable time after the notification of the deficiency or failure to file. The Election Commission shall make available a list of candidates, committees, and political parties who have failed to correct their deficiency within the time allowed by the Election Commission. Failure to properly respond to the notification shall constitute a violation of this Chapter;
- (b) to develop and adopt reporting forms required by this Chapter;
- (c) to preserve all reports required by this Chapter for at least five (5) years from the date of receipt;
- (d) to permit the inspection, copying or duplicating of any report required by this Chapter pursuant to rules adopted by the Election Commission for such purpose; provided, that no information or copies from the reports shall be sold or used by any person for the purpose of soliciting contributions or for any commercial purpose;
- (e) to investigate and public hearings for receiving evidence of any violations, and to summon witnesses before it;
- (f) to request the initiation of prosecution for the violation of any requirements of this Chapter;
- (g) to offer advisory opinions to interested persons regarding compliance with the requirements of this Chapter; and
- (h) to issue fines for any violations of this Chapter. Any fines herein shall be deposited in the General Fund for the use of the Guam Election Commission, subject to appropriation by I Liheslaturan Guåhan. A report of all fines shall be submitted quarterly to I Maga'lahi and I Liheslaturan Guåhan. Schedule of fines will follow the Administrative Adjudication Act.

§ 17103. Filing of Reports

All reports required to be filed by this Chapter by a candidate or committees supporting a candidate with his consent shall be certified as correct by the candidate. All reports required to be filed under this Chapter by a political party or any other committee shall be certified correct by the party, or committee treasurer, or the deputy treasurer, or the chairman, thereof, in that order. All reports required to be filed with the Election Commission shall be open for public inspection.

§ 17104. Death of Candidate Prior to Filing Reports.

If a candidate dies prior to the filing of his or her final report, the campaign treasurer for the election committee of said candidate shall file a final report as required by § 17118. The treasurer shall note in the report that the candidate is deceased and that it will be the last report of the candidate's status, even if there is a deficit or a surplus.

§ 17105. Death of Candidate After Submitting Final Report.

If a candidate passes away after a final report has been submitted to the Commission, but before a supplemental report is due regarding a deficit or surplus as provided in Subsections (c) and (d) of § 17118, the treasurer or authorized representative of the candidate shall file the supplemental report showing the status of the deficit or surplus and note therein that the candidate is deceased and no further reports shall be forthcoming.

§ 17106. Registration.

Each candidate, committee, and political party shall file an organizational report no later than the earliest of the following applicable days:

- (a) on or before the day of filing for nomination or election;

(b) by the tenth (10th) day after receiving any contributions for the next campaign in an aggregate amount of more than Two Hundred Fifty Dollars (\$250.00) or the making or incurring of any expenditure for the next campaign in excess of Two Hundred Fifty Dollars (\$250.00).

§ 17107. Organizational Reports.

(a) The organizational report shall include:

- (1) the full name, address, office sought when known, and party affiliation of each candidate or individual whom the committee or party is supporting and the name and address of the committee or party;
- (2) the full names and addresses of the campaign treasurer and deputies;
- (3) the full names and addresses of the campaign chairman and deputy campaign chairman;
- (4) a list of all banks, safety deposit boxes, or other depositories used and the applicable account numbers;
- (5) the amount and date of deposit of the contributions and the name and address of each individual donor who has made a contribution of more than One Hundred Dollars (\$100.00), except for funds and contributions which may be reported in the aggregate as indicated in § 17109 (b); and
- (6) in the case of a report by a committee or party supporting or opposing a ballot question or issue, all of the information described in Subsections (2) through (5) herein and a description of the question or issue.

(b) Any change in information submitted in the organizational report other than in Subsection (a) (5) above, shall be reported no later than the tenth (10th) day after the change or when the candidate, committee, party, or campaign treasurer, becomes aware of the change.

§ 17108. Campaign Treasurer.

(a) Every committee, political party, and candidate shall appoint a campaign treasurer on or before the day for filing an organizational report. Up to five (5) deputy campaign treasurers may be appointed. A candidate may appoint himself or herself as campaign treasurer.

(b) A campaign treasurer may be removed at any time. In case of death, resignation, or removal of the campaign treasurer, the committee, party, or candidate shall promptly appoint a successor. During the period the office of campaign treasurer is vacant, the candidate, committee chairman, or party chairman, whichever is applicable, shall serve as a campaign treasurer.

(c) Each campaign treasurer shall be authorized to receive contributions or make expenditures on behalf of the candidate, committee, or political party appointing him.

§ 17109. Campaign Contributions in General.

(a) All monetary contributions shall be promptly deposited in a financial depository duly authorized to do business on Guam, such as a bank, savings and loan institution, industrial loan company, or similar financial institution, in the name of the candidate, committee, or political party, whichever is applicable.

(b) Each candidate, committee, or political party shall establish and maintain an itemized record showing the amount of each monetary contribution, the description and value of each nonmonetary contribution, and the name and address of each donor making a contribution of more than One Hundred Dollars (\$100.00) in value, except funds and contributions which may be reported in the aggregate as indicated in § 17111(b).

(c) Each candidate and campaign treasurer shall report the amount and date of each contribution and the name and address of each donor who makes a contribution or contributions whose value is more than One Hundred Dollars (\$100.00).

(d) No candidate, committee or party may accept a contribution of more than Two Hundred Fifty Dollars (\$250.00) in cash from a single person without issuing a receipt to the donor and keeping a record of the transaction.

(e) Each candidate and political party shall disclose the original source of all earmarked funds, the ultimate recipient of the earmarked funds, and the fact that the funds are earmarked.

(f) For purposes of this Section, “earmarked funds” means contributions received by a committee or party on the condition that the funds be contributed to or expended only on certain candidates, issues, or questions.

§ 17110. Campaign Contributions: Restrictions Against Transfer.

- (a) A candidate, campaign treasurer, or committee shall not receive any contribution, make any expenditure, or receive or make any transfer of money or anything of value;
 - (1) for any purpose other than those directly related to:
 - (A) in the case of the candidate, to his or her own campaign; provided, that no expenditure shall be made for the benefit of any personal property of any candidate; or
 - (B) in the case of a campaign treasurer or committee, to the campaign of the candidate, question, or issue with which they are directly associated; or
 - (2) to campaign against any other candidate not directly opposing the candidate for whom the funds were collected or with whom the campaign treasurer or committee is directly associated, provided that a candidate, campaign treasurer, or committee may purchase from its campaign fund not more than two (2) tickets for each testimonial or fundraising affair held by another candidate, committee, or political party.
- (b) This Section shall not be construed to prohibit a political party from supporting more than one (1) candidate, or to prohibit joint expenditure by two (2) or more candidates seeking election to multiple offices whether the expenditures are equally or unequally incurred among such candidates; provided, that the allocation of expenditures between the candidates is based upon reasonable objective standards. The political party or candidates, whichever is applicable, shall make the initial allocation between candidates. If the allocation is disallowed by the Commission, and the allocation of expenditures is not corrected as prescribed by the GEC, the allocation found shall presume to be a transfer of funds in violation of this Section.

§ 17111. Limit on Anonymous Contributions.

- (a) No person shall make a contribution of his or her own money or property or money of another person of more than One Hundred Dollars (\$100.00) to any candidate, political party or committee in connection with a nomination for election, or election, anonymously; nor shall any candidate, political party, or committee knowingly receive, accept, or retain the contribution or enter or cause the same to be entered in its accounts as an anonymous contribution or in another name than that of the person who made the contribution.
- (b) This Chapter shall not apply to amounts that aggregate less than Two Hundred Fifty Dollars (\$250.00) when obtained through multiple contributions made by ten (10) or more persons at the same event, nor shall it apply to money received from fund-raising or testimonial dinners, functions, food sales, raffles and fund-raising activities, the ticket or cost for which is not more than Twenty-Five Dollars (\$25.00) per person or per ticket. Each such aggregate contribution shall be reported accompanied by a description of the means, method, place, and date of receipt.
- (c) Any anonymous contributions received by a candidate, political party, or committee and not allowed by this Section shall not be used or expended, but shall be returned to the donor. If the donor cannot be identified, the contribution shall escheat to the government of Guam.

§ 17112. False Name.

No person shall make any contributions of his own money or property or money of another person to any candidate, political party, or committee in connection with a nomination for election, or election, in any other name than the name of the person owning the money or who supplied the money or property. All contributions made in the name of a person other than the true or established name of the actual owner of the money or property shall escheat to the government of Guam.

§ 17113. Limitation on Amount of Contributions.

- (a) No person shall make aggregate contributions in excess of One Thousand Dollars (\$1,000.00) for any one (1) candidate in any calendar year for any primary election, and no person shall make aggregate contributions in excess of One Thousand Dollars (\$1,000) for any one (1) candidate in any general or special election.
- (b) It is unlawful for any bank or labor organization, whether or not authorized to do business on Guam, to make a contribution or expenditure in connection with any election to any political office, or in any primary election. A corporation, whether or not authorized to do business on Guam, may purchase no more than Five Hundred Dollars (\$500.00) worth of tickets for each fundraising dinner or function for any political party or candidate, but not to exceed the aggregate contributions allowed under Subsection (a) of this Section. Such corporate contributions shall be reported to the Election Commission regardless of amount. Every bank, corporation, or

labor organization which makes any contribution in violation of this Section shall be fined not more than Five Thousand Dollars (\$5,000.00), and every officer or director of any bank, corporation, or labor organization as the case may be, and any person who accepts or receives any contribution in violation of this Section, shall be fined not more than One Thousand Dollars (\$1,000.00) or imprisoned no more than one (1) year, or both.

§ 17114. Campaign Expenditures: Authority Required.

- (a) A candidate may draw on the campaign treasurer for expenditures related to his or her campaign or political activities. The candidate shall make a detailed accounting of his campaign expenditures and the accounting shall be made a part of the reports required in §§ 17116 and 17117 of this Chapter. The account shall state the amount and purpose of the expenditures and other information required by the Election Commission, and shall be signed and certified by the campaign treasurer.
- (b) No funds shall be withdrawn or paid from a campaign depository except on the written authorization of the campaign treasurer.

§ 17115. Organizational Reports.

The candidate, party, or committee, when signing any type of contract, shall provide the other party of the contract a copy of its organizational report, stamped by the Guam Election Commission. Failure to comply with this Section shall result in a fine of not less than One Thousand Dollars (\$1,000.00) to both parties.

§ 17116. Preliminary Reports.

Each candidate, or authorized person in the case of a political party, or campaign treasurer in the case of a committee, shall file a preliminary report with the Election Commission on forms provided by the Election Commission not later than the tenth (10th) day prior to each election or primary, as the case may be. The report shall be certified pursuant to § 17103 of this Chapter and shall contain the following information, which is to be current through the fifteenth (15th) calendar day prior to the election or primary:

- (a) the aggregate sum of all contributions received;
- (b) the amount and date of deposit of the contribution and the name and address of each donor who contributes an aggregate of more than One Hundred Dollars (\$100.00);
- (c) all expenditures made, incurred, or authorized by or for a candidate, including the name and address of each payee and the amount, date, and purpose of each expenditure; and
- (d) a current statement of the balance on hand or deficit.

§ 17117. Registration and Taxation of Campaign Funds.

Any political candidate, committee, or party, which raises contributions or other things of value for campaign or political purposes, shall not be required to register with the Department of Revenue and Taxation nor file any tax returns with the Department of Revenue and Taxation unless liable for the Territorial Income Tax. There shall be no business privilege tax imposed on campaign contributions or money or things of value raised from fund-raising activities if later reported to the Election Commission, whether or not required to do so under any provision of this Title.

§ 17118. Final and Supplemental Reports.

- (a) Each candidate whether or not successful in a primary or special primary election, or authorized person in the case of a party, or campaign treasurer in the case of a committee, shall file a final primary report not later than the tenth (10th) day after the primary or special primary election, certified pursuant to § 17103 of this Chapter. The report shall include:
 - (1) a statement of the total contributions received;
 - (2) the amount and date of deposit of the contribution, and the name and address of each donor who contributes more than One Hundred Dollars (\$100.00); and
 - (3) a statement of all expenditures made or incurred by or for a candidate, including the name of each payee and the amount, date, and purpose of each expenditure.
- (b) Each candidate, or authorized person in the case of a committee, shall file a final general report with the Election Commission not later than the twentieth (20th) day after a general or special election, certified

pursuant to § 17103 of this Chapter, and reporting all items prescribed in Subsection (a) of this Section. A candidate who is unsuccessful in a primary or special primary election need not file a final general report.

(c) Deficit. In the event of a deficit, the candidate or authorized person in the case of a committee shall, every three (3) months until the deficit is eliminated, file a supplemental report, the first of which shall be due not later than sixty (60) days following the election.

(d) Surplus. In the event of a surplus, the candidate or authorized person in the case of a committee shall:

- (1) maintain the cash surplus in a financial depository; and
- (2) every six (6) months, until he or she becomes a candidate again, file supplemental reports reporting all items prescribed in Subsection (a) of this Section. The first report shall be due not later than sixty (60) days after the election.

(e) A candidate, party, or committee that receives no contributions or makes no expenditures shall nevertheless file preliminary, final, and supplemental reports as required by law.

§ 17119. Disposition of Funds.

(a) All candidates who withdraw or cease to be candidates, or committees directly associated with these candidates, or persons who receive contributions but fail to file for nomination, or committees or parties which discontinue their activities covered in this Chapter, shall return any residual contributions to the political party of the person or candidate or to the campaign committee of a person of the same party who is a candidate for the same office as the person who has ceased to receive contributions or to be a candidate.

(b) Upon dissolution, the candidate or campaign treasurer shall file a report with the Election Commission reporting the amounts distributed under this Section and the manner of disposition.

§ 17120. Advertising.

(a) No person shall cause or submit any advertisement in support of a candidate to be published, broadcasted, televised, posted on-line, mass-mailed, canvassed, or otherwise circulated and distributed, except under the following conditions:

- (1) the advertisement shall contain a notice in a prominent location that the literature or advertisement for any medium is published, broadcasted, televised, posted on-line, mass-mailed, canvassed, or otherwise circulated with the approval and authority of the candidate; provided, that in the event that the literature or advertisement is paid for by a candidate or committee directly associated with a candidate, the notice of approval and authority need not be included; or
- (2) the advertisement shall contain a notice in a prominent location that the literature or advertisement for any medium is published, broadcasted, televised, posted on-line, mass-mailed, canvassed or otherwise circulated without the approval and authority of the candidate.

(b) All advertisements mentioned in Subsection (a) above, and all other advertisements of a political nature, shall contain the true name and address of the candidate, committee, person or political party paying for same.

(c) In the case of video advertisements of a political nature for any medium, the advertisement shall contain an audio statement that identifies the candidate and states that the candidate either has approved the communication, or the communication is being circulated without the approval and authority of the candidate. Such statement shall be conveyed by the following:

- (1) for approved communications, an unobscured, full-screen view of the candidate making the statement, or the candidate in voiceover, accompanied by a clearly identifiable photographic or similar image of the candidate; or
- (2) for non-approved communications, a statement in voiceover that the communication is being circulated without the approval and authority of the candidate.

(d) In advertisements of a political nature, such approval or non-approval statement shall also appear in writing at the end of the communication in a clearly readable typeface, with a reasonable degree of color contrast between the background and the printed statement, for a period of at least four (4) seconds.

(e) Every person who willfully causes, produces, provides funding for, or assists in the production of a message of a political nature which the person knows to be incorrect or purposefully misleading and in which a candidate, rather than an issue, is the target; or which is in violation of this § 17120, shall be subject to a civil penalty of not more than Five Thousand Dollars (\$5,000) per each separately produced message.

(f) The penalty herein shall be deposited in the General Fund for the use of the Guam Election Commission, subject to appropriation by I Liheslaturan Guåhan. A report of all penalties shall be submitted quarterly to I Maga'lahen Guåhan and I Liheslaturan Guåhan.

§ 17121. Complaints and Investigation.

(a) Complaints of violations of this Chapter against any person shall be filed with the Election Commission. The complaint shall be in writing, signed under oath by the complainant, and shall be notarized.

(b) The Election Commission shall give notice of receipt of the complaint together with a copy of the complaint to the person cited and shall afford him or her an opportunity to address or otherwise respond to the complaint. The GEC may also cause an investigation to be made of the complaint, pursuant to § 17102 of this Chapter.

(c) Upon hearing the response of the person cited, if he or she elects to respond to the complaint, and upon completion of any investigation, the Election Commission shall make a prompt determination as to whether probable cause exists that a violation has been committed.

(1) Any person who appears before the Election Commission shall have all of the rights, privileges, and responsibilities of a witness appearing before the courts of Guam, and shall testify under oath.

(2) The Election Commission shall cause a record to be made of all proceedings pursuant to this Subsection. At the conclusion of proceedings concerning an alleged violation or upon receiving a report from its investigating officer, the Election Commission shall immediately begin deliberations and then proceed to determine by majority vote of the members whether probable cause exists that a violation has been committed.

(d) Until the determination of probable cause by the Election Commission, all proceedings, including the filing of the complaint, investigation, and hearing shall be confidential, unless the person complained against, requests an open session. In the event the Election Commission determines that probable cause does not exist, the complaint shall be dismissed and the entire records of the proceedings shall be kept confidential at the option of the person complained against.

(e) The Election Commission shall give written notice to the person complained against and to the complainant as to whether probable cause of a violation exists or whether the complaint has been dismissed.

(f) In the event a determination is made that probable cause of an unintentional violation exists, the Election Commission shall issue a confidential order that may require the violator to:

(1) temporarily cease and desist violation of this Chapter;

(2) file a report, statement, or other information as required by this Subsection; or

(3) pay any fines assessed by the Commission.

(g) The Commission shall refer matters to the Attorney General when it finds that probable cause of willful violation exists.

(h) Proof payment of any fines assessed by the Commission shall be presented to the GEC within thirty (30) days of the assessment. The Guam Election Commission shall set fines for non-compliance with this Title, and the Public Official Financial Disclosure Act.

§ 17122. Administrative Fines; Relief.

(a) Any person willfully violating any provision of this Chapter shall, unless otherwise expressly stated, be punishable in the manner prescribed as follows:

(1) if a natural person, that person shall be guilty of a misdemeanor and shall be subject to fines and/or the penalties specified therefore; or

(2) if a corporation, organization or association, it shall be punishable by a fine not exceeding Ten Thousand Dollars (\$10,000.00) per offense and the penalties specified therefore; and

(3) whenever a corporation, organization, or association violates this Chapter, the violation shall be deemed to be also that of the individual directors, officers or agents of the corporation, organization or association who have knowingly authorized, ordered or participated in any of the acts constituting the violation.

(b) any person may sue for injunctive relief to compel compliance with the Chapter.

For ease of reference, listed below are Rules and Regulations relative to Election Campaign Contributions and Expenditures enumerated in Chapter 3 of Title 6, Guam Administrative Rules and Regulations.

Chp. 3 Election Campaign Contributions and Expenditures

- § 3101. Purpose and Scope of Rules.
- § 3102. Dissolutions of Organizations.
- § 3103. Contents of Report.
- § 3104. Complaints, Investigation and Rule Amendments.
- § 3105. Fines.
- § 3106. Specific Instructions for Organizational Report and Campaign Contributions and Expenditures Report.

§ 3101. Purpose and Scope of Rules. Purpose.

The purpose and intent of these rules and regulations are to implement Chapter 17 of 3 GCA, as amended, cited as Election Campaign Contributions and Expenditures.

§ 3102. Dissolution of Organizations.

- (a) When to dispose after dissolution. Candidates, committees or political parties shall dispose any organizational residual contributions by the twentieth (20th) day after activities cease.
- (b) How to dispose. Any organization or candidate not affiliated with a political party shall escheat any residual contributions to the Government of Guam. Each candidate, committee or organization official shall file their disposition with the Guam Election Commission using the Organizational Report Form. This report shall be a detailed accounting of all funds expended and returned.

§ 3103. Contents of Report.

Pursuant to 3 GCA Chapter 17, and the Administrative Adjudication Law, the Organizational Report and Election Campaign Contributions and Expenditures Report forms, and accompanying instructions thereto, are herein incorporated as Appendix A and B, respectively, to these rules and regulations. Said appendices, not in conflict or inconsistent with 3 GCA Chapter 17 shall govern the contents of reports filed pursuant to the Election Campaign Contributions and Expenditure Chapter.

§ 3104. Complaints, Investigation and Rule Amendments.

- (a) Correction of Report. Correction of information contained in a report filed pursuant to the Election Campaign Contributions and Expenditures Chapter may be made at any time upon the findings by the Guam Election Commission that the correction is not the product of a knowing or willful misrepresentation or omission made in a prior report.
- (b) Investigation. The Guam Election Commission may conduct investigations on the alleged violation and may subpoena any person, documents, or relevant materials pertaining to the case.
- (c) Appeal of Findings. The appeal of any finding made by the Guam Election Commission relative to the filing of a report may be made by an interested party. The complaint shall be in writing and shall be signed under oath by the complainant.
- (d) Confidential. Until the determination of probable cause by the Election Commission, all proceedings, including the filing of the complaint, investigation, and hearing shall be confidential, unless the person complained against, request an open session. In the event the Election Commission determines that probable cause does not exist, the complaint shall be dismissed and the entire records of the proceedings shall be kept confidential at the option of the person complained against.
- (e) Informal Hearing. All interested party(s) shall be granted an informal hearing within fifteen (15) days from receipt of a complaint, on any matter relevant to the filing of the report.
- (f) Formal Hearing. Should an informal hearing prescribed in § 3104(e) of this chapter fail to resolve a matter, a formal hearing shall be granted within twenty (20) days thereafter.

- (g) **Advisory Opinion.** Any person may request in writing for an advisory opinion regarding compliance with the requirements of this Chapter.
- (h) **Petition for Adoption of Rules.** Any person may petition the Guam Election Commission requesting the promulgation, amendment, or repeal of any rule. Said petition shall be in writing and should fully state reasons and factual basis for such a request. The adoption of any promulgation, amendment, or repeal of any rule shall be in accordance with the Administrative Adjudication Process 5 GCA Chapter 9.
- (i) **Public Hearing.** In the event a petition made is granted a public hearing on the matter shall be conducted within thirty (30) days of receipt of such petition as provided by Administrative Adjudication Law (5 GCA Chapter 9, Article 3).

§ 3105. Fines.

Any person, corporation, organization, or association who willfully violates any provisions in 3 GCA Chapter 17 shall be fined not less than one thousand dollars (\$1,000). Fines collected under this section shall be payable to the Treasurer of Guam to be deposited into the Guam Election Commission revenue account.

§ 3106. Specific Instructions for Organizational Report and Campaign Contribution and Expenditures Report.

- (a) **Name of Candidate, Committee, or Party.** The name of a candidate or the official name of a committee, political party, or association should be clearly indicated. [3 GCA § 17107]
 - (1) A candidate is an individual who seeks nomination or election into office by filing nomination papers or consents to have a declaration of nomination for office held on his behalf; receives contributions of more than one hundred dollars (\$100.00) or incurs any expenditures to bring about his nomination or election to office; or gives consent to any other person to receive contributions or makes expenditures to aid his nomination or election to office. [3 GCA § 17101(c)]
 - (2) A committee is any individual, partnership, corporation, association, or organization that accepts contributions or makes expenditures for or against any individual, candidate or group of candidates or any question or issue which is to appear on the ballot at the next applicable election. [3 GCA § 17101(e)]
 - (3) A political party is an organization that has filed with the Guam Election Commission under uniform regulations required by Title 3 GCA.
- (b) **Treasurers.** Each organization shall appoint one (1) official campaign treasurer and may appoint up to five (5) deputy campaign treasurers. Each treasurer shall be authorized to receive contributions or make expenditures on behalf of the candidate, committee, or political party. A candidate may also be a campaign treasurer. [3 GCA §§ 17107(a)(2) and 17108(a)]. All transactions received or expended must be recorded and accounted for, in the report format required by the Guam Election Commission. [3 GCA § 17108(c)]
- (c) **Chairpersons.** The chairperson and deputy chairperson shall serve as the two (2) highest ranking officials of the organization.
- (d) **Financial Institutions.** Each organization shall keep a comprehensive financial record of its transactions with any number of financial institutions it does business with. A detailed accounting of all transactions, safety deposit boxes, deposits, loans, and all applicable account numbers shall be reported to the Commission. [3 GCA § 17109]. All monetary contributions shall be promptly deposited in a financial depository duly authorized to do business in Guam such as a bank, savings and loan or industrial loan company, or similar financial institution, in the name of the candidate, committee, or political party, whichever is applicable. [3 GCA § 17107(a)(4) and § 17109(a)]
- (e) **Contributions.** Means a gift, subscription, loan, advance, deposit of money or anything of value, or cancellation of a debt or legal obligation, or payment or compensation for personal services which are rendered without charge or at an unreasonably low charge (not including volunteer campaign services), or a contract, promise, or agreement to make a contribution for the purposes of influencing a candidate's campaign or an issue's outcome. [3 GCA § 17101(f)]
 - (1) **Cash Contributions.** All monetary contributions shall be promptly deposited in a financial institution. Each candidate or organization shall establish an itemized record showing the names, addresses and dates of every individual who donates a cumulative amount of one hundred dollars (\$100.00) or more. No candidate or organization shall accept Two Hundred Fifty Dollars (\$250.00) in cash without issuing a

receipt and keeping a record of the transaction. [3 GCA § 17109 (a)(b) and (d)]. Each candidate or organization shall report the names, dates and addresses of each individual who has donated a cumulative amount of at least one-hundred dollars (\$100.00) or more to the campaign. (Do not include multi-candidate contributions in this section). [3 GCA § 17109(b)]

- (2) Aggregate Contributions. Each candidate or organization shall report fundraising activities, wherein the cost per person or ticket is not more than twenty-five dollars (\$25.00). Each such aggregate contribution shall be reported by the cash amount received, description of the means (i.e., birthday, rallies, etc.), method (i.e., cost of one ticket, etc.), place and date. [3 GCA § 17109(b)]
- (3) Other Cash Contributions. All other monetary contributions received and not reported in the aforementioned categories shall be reported in accordance with this section. Each such contribution shall be reported by the cash amount received, description of the means (i.e., birthday, rallies, etc.), method (i.e., cost of one ticket, etc.), place and date. [3 GCA § 17109(b)]
- (4) Non-monetary Contributions. Non-monetary contributions are all gifts, subscriptions, cancellations of debt, contracts, promises or agreements to make a contribution other than cash, or the payments, by any person other than a candidate or committee, or compensation for the personal services of another person, which are rendered to the candidate or committee without charge or at an unreasonably low charge, or a discount not offered to any other candidate or committee other than volunteer campaign services. [3 GCA § 17101(f) and § 17109(b)]. All non-monetary contributions shall be reported based on the fair-market value of the contribution exceeding one hundred dollars (\$100.00) along with the name and address of the donor, nature of contribution and date. [3 GCA § 17109(b) and (c)]
- (5) Earmarked Contributions. Earmarked contributions are all cash or non-monetary contributions received by the candidate or organization on the condition that the funds are contributed to only certain candidates, issues, or questions. [3 GCA § 17109(f)]. All earmarked contributions shall be reported by the total amount earmarked, the ultimate receipt of earmarked funds, the name and address of the donor, the description of the contribution, date and name(s) of sharing candidates, issues, or questions. [3 GCA § 17109(e)]

(f) Expenditures. Means any purchase, transfer of money or anything of value, promise or agreement to purchase or transfer money or anything of value, payment incurred or made, consumption of any non-monetary contribution, or the payment by any person other than a candidate or committee, of compensation for the personal services of another person which are rendered to the candidate or committee for the purpose of influencing a candidate, committee, or political party's campaign. [3 GCA § 17101(h)]

- (1) Funds Expended. Every candidate or organization shall record all cash transactions spent in aid of their campaign. The record shall be an itemized accounting of the cash amount spent, name and address of the payee and the date and purpose for the expenditure. [3 GCA § 17114(a)]
- (2) Incurred Expenditures. Every candidate or organization shall make a detailed accounting of all promises or agreements to purchase. The most current balance of all monetary liabilities (short and long term) shall be recorded in accordance with this section. [3 GCA § 17116(c) and § 17118(a)(3)]
- (3) Non-monetary Expenditures. Non-monetary expenditures are gifts, consumption or use of non-monetary contributions, promises or agreements to make expenditure other than cash, or payments, by any person other than a candidate or committee, or compensation for the personal services of another person, which are rendered to the candidate or committee without charge other than volunteer campaign services. [3 GCA § 17101(h)(1)]
- (4) Earmarked Expenditures. All cash or non-monetary expenditures made by the candidate or organization on the condition that funds be expended for certain candidates, issues, or questions. [3 GCA § 17109(f)]. All earmarked expenditures shall be reported by the total amount earmarked, the ultimate receipt of earmarked funds, the name and address of the donor, the description of the contribution, date and name(s) of sharing candidates, issues or questions. [3 GCA § 17109(e)]

Appendix A

Sample of Completed Organizational Report, Form EC-1A

| | | |
|---|--|---|
| GUAM ELECTION COMMISSION Kumision Ileksion Guahan 2nd Floor, Ste. 200 GCIC Building 414 W. Soledad Ave., Hagatna, Guam 96910 Website: www.gec.guam.gov □ E-mail: vote@gec.guam.gov Tel: (671) 477-9791 Fax: (671) 477-1895 | |   |
| ORGANIZATIONAL REPORT | | Date: <u>1/6/20</u> |
| Name of Candidate, Party, Organization, or Committee: <u>Mariquita A. Cruz</u> | | |
| Elected Office Sought and Election Year: <u>Senator 2020</u> | | |
| Purpose, Question, or Issue: <u>n/a</u> | | |
| Address: <u>123 Kalachucha Drive</u> <u>Hagåtña, Guam</u> | Political Party: <u>Independent</u> | |
| Tel No: <u>(671) 555-5555</u> | Fax No: <u>(671) 444-4444</u> | Email: <u>mariquita4senator2020@gmail.com</u> |
| CAMPAIGN TREASURER / DEPUTY TREASURERS | | |
| Campaign Treasurer: <u>Matthew B. Cruz</u> | Tel No.: <u>(671) 333-3333</u> | |
| Address: <u>P.O. Box 22222 Hagåtña, Guam 96932</u> | Email: <u>mariquitastreas2020@gmail.com</u> | |
| Deputy Campaign Treasurer: <u>Mariquita A. Cruz</u> | Tel No.: <u>(671) 555-5555</u> | |
| Address: <u>123 Kalachucha Drive Hagåtña, Guam 96910</u> | Email: <u>mariquita4senator2020@gmail.com</u> | |
| Deputy Campaign Treasurer: _____ | Tel No.: _____ | |
| Address: _____ | Email: _____ | |
| Deputy Campaign Treasurer: _____ | Tel No.: _____ | |
| Address: _____ | Email: _____ | |
| Deputy Campaign Treasurer: _____ | Tel No.: _____ | |
| Address: _____ | Email: _____ | |
| CAMPAIGN CHAIRPERSON / DEPUTY CHAIRPERSON | | |
| Campaign Chairperson: <u>Diana C. Gumataotao</u> | Tel No.: <u>(671) 999-9999</u> | |
| Address: <u>P.O. Box 99999 Hagåtña, Guam 96932</u> | Email: <u>mariquitaschair2020@gmail.com</u> | |
| Deputy Campaign Chairperson: _____ | Tel No.: _____ | |
| Address: _____ | Email: _____ | |
| SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT | | |

FINANCIAL INSTITUTION

| STARTING BALANCE | BANK NAME AND ADDRESS | ACCOUNT NUMBER | ENDING BALANCE |
|------------------|---|----------------|----------------|
| \$ - | Bank of Hagåtña 222 W O'Brien Dr. Hagåtña, GU 96910 | 2020-123456 | \$ 2,050.00 |
| \$ - | | | \$ - |
| \$ - | | | \$ - |
| \$ - | | | \$ - |

CONTRIBUTIONS

"Contributions" means a gift, subscription, loan, advance, deposit of money, or anything of value, or cancellation of a debt or legal obligation, as defined in 3 GC/17101(f). **ALL corporate contributions shall be reported regardless of amount.**

(Use additional sheets if needed.)

I. CASH CONTRIBUTIONS

Contributions of more than \$100 received from individuals **Contributions from fundraisers that cost more than \$100 per ticket must be itemized in this section.**

| AMOUNT | NAME OF INDIVIDUAL DONOR | ADDRESS OF DONOR | DATE RECEIVED | DATE DEPOSITED |
|------------------|--|----------------------------------|---------------|----------------|
| \$ 300.00 | Tammy Atalig | P.O. Box 44444 Hagåtña, GU 96932 | 12/25/19 | 12/27/19 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | See A-8 Attachment I. - Cash Contributions | | | |
| \$ 300.00 | (1) Total amount of Cash Contributions this reporting period | | | |
| \$ - | (1a) Cumulative Total of Cash Contributions from last report | | | |
| \$ 300.00 | (1b) Sub-Total of Cash Contributions (1 + 1a = 1b) | | | |

II. AGGREGATE CONTRIBUTIONS FROM FUNDRAISING EVENTS \$25 OR LESS

| AMOUNT | FUNDRAISING EVENT, DATE, AND TICKET PRICE | LOCATION | DATE RECEIVED | DATE DEPOSITED |
|--------------------|--|-------------|---------------|----------------|
| \$ 1,500.00 | New Year's Eve w/Mariquita, 12/31/19, \$15/ticket | Venue, Guam | 12/31/19 | 1/3/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ 500.00 | See A-9 Attachment II. - Fundraising Events \$25 or Less | | | |
| \$ 2,000.00 | (2) Total Aggregate Contributions this reporting period. | | | |
| \$ - | (2a) Cumulative Total of Aggregate Contributions from last report. | | | |
| \$ 2,000.00 | (2b) Sub-Total of Aggregate Contributions (2 + 2a = 2b) | | | |

III. AGGREGATE CONTRIBUTIONS FROM FUNDRAISING EVENTS OF MORE THAN \$25

AND \$100 OR LESS

| AMOUNT | FUNDRAISING EVENT, DATE, AND TICKET PRICE | LOCATION | DATE RECEIVED | DATE DEPOSITED |
|--------|--|----------|---------------|----------------|
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | See A-10 Attachment III - Fundraising Events More Than \$25 and \$100 or Less | | | |
| \$ - | (3) Total Aggregate Contributions this reporting period. | | | |
| \$ - | (3a) Cumulative Total of Aggregate Contributions from last report. | | | |
| \$ - | (3b) Sub-Total of Aggregate Contributions (3 + 3a = 3b) | | | |

Initials

IV. NON-MONETARY PERSONAL SERVICES CONTRIBUTIONS

All personal and related services, contract, promise or agreement to make contribution for personal services of \$100.00 or more.

V. NON-MONETARY GOODS AND/OR CONTRACTS CONTRIBUTIONS

All goods or contracts, promise, or agreement to make contribution of goods more than \$100 in value.

VI. EARMARKED CONTRIBUTIONS

Contributions received from donors designated for specified campaign expenses.

Initials

VII. Pursuant to 3 GCA § 17109(c), persons who have made a contribution of his/her own money or property or money of another person totaling more than \$100 at this time and not previously reported.

Initials

EXPENDITURES

"Expenditures" means any purchase or transfer of money or anything of value or promise or agreement to purchase or transfer of money or anything of value, or payment incurred or made, or the use or consumption of a non-monetary contribution for the purposes prescribed under 3 GCA § 17101(h)(A)(B)(C). **Expenditures by a candidate of his or her own funds for the purposes prescribed under 3 GCA § 17101(h)(A)(B)(C) must also be reported herein.**

I. FUNDS EXPENDED

| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|------------------|---|--------------------------------|--------------------------|----------|
| \$ 150.00 | The Venue Guam | 395 Route 8 Hagåtña, GU 96910 | Fundraiser venue cost | 12/31/19 |
| \$ 100.00 | Brittney Franquez | P.O.Box 9876 Hagåtña, GU 96932 | Fundraiser entertainment | 12/31/19 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | See A-11 Attachment I. - Funds Expended | | | |
| \$ 250.00 | (1) Total Funds Expended this reporting period. | | | |
| \$ - | (1a) Cumulative Total of Funds Expended from last report. | | | |
| \$ 250.00 | (1b) Sub-Total of Funds Expended (1 + 1a = 1b) | | | |

II. INCURRED EXPENSES

Pending payments for services rendered/products received in aid of a campaign.

| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|-------------|--|------------------|---------|------|
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | See A-12 Attachment II. - Incurred Expenses | | | |
| \$ - | (2) Total Incurred Expenditures this reporting period. | | | |
| \$ - | (2a) Cumulative Total of Incurred Expenditures from last period. | | | |
| \$ - | (2b) Sub-Total of Incurred Expenditures (2 + 2a = 2b) | | | |

III. NON-MONETARY PERSONAL SERVICES EXPENDITURES

The consumption of all personal and related services, contracts, promises, or agreements expended for personal services in aid of a campaign.

| ESTIMATED VALUE | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|--------------------|--|------------------|---------|------|
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | See A-13 Attachment III. - Non-Monetary Personal Expenses | | | |
| \$ - | (3) Total Non-Monetary Expenditures this reporting period. | | | |
| \$ - | (3a) Cumulative Total of Non-Monetary Expenditures from last period. | | | |
| \$ - | (3b) Sub-Total of Non-Monetary Expenditures (3 + 3a = 3b) | | | |

Initials

IV. NON-MONETARY GOODS AND/OR CONTRACTS EXPENDITURES

The consumption of all goods or contracts, promise, or agreement expended for goods in aid of a campaign.

| ESTIMATED AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|---------------------|---|------------------|---------|------|
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | (4) Total Non-Monetary Expenditures this reporting period. | | | |
| \$ - | (4a) Cumulative Total Non-Monetary Expenditures from last report. | | | |
| \$ - | (4b) Sub-Total of Non-Monetary Expenditures (4 + 4a = 4b) | | | |

V. EARMARKED EXPENDITURES

Disbursement of earmarked contributions for use as specified.

| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|--------|---|------------------|---------|------|
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | (5) Total Non-Monetary Expenditures this reporting period. | | | |
| \$ - | (5a) Cumulative Total Non-Monetary Expenditures from last report. | | | |
| \$ - | (5b) Sub-Total of Non-Monetary Expenditures (5 + 5a = 5b) | | | |

CONTRIBUTIONS AND EXPENDITURES SUMMARY

| | | |
|-----------------------|--------------------|---|
| CONTRIBUTIONS: | \$ 300.00 | (1b) Sub-Total Cash Contributions. |
| | \$ 2,000.00 | (2b) Sub-Total Aggregate Contributions (\$25 or less) fundraising events. |
| | \$ - | (3b) Sub-Total Aggregate Contributions (>\$25 and \$100 or less) " " . |
| | \$ - | (4b) Sub-Total Personal Services Contributions. |
| | \$ - | (5b) Sub-Total Goods and/or Contracts Contributions. |
| | \$ - | (6b) Sub-Total Earmarked Contributions. |
| | \$ 2,300.00 | GRAND TOTAL CONTRIBUTIONS (1b + 2b + 3b + 4b + 5b + 6b) |

| | | |
|----------------------|------------------|--|
| EXPENDITURES: | \$ 250.00 | (1b) Sub-Total Funds Expended. |
| | \$ - | (2b) Sub-Total Incurred Expenditures. |
| | \$ - | (3b) Sub-Total Personal Services Expenditures. |
| | \$ - | (4b) Sub-Total Goods and/or Contracts Expenditures. |
| | \$ - | (5b) Sub-Total Earmarked Expenditures. |
| | \$ 250.00 | GRAND TOTAL EXPENDITURES (1b + 2b + 3b + 4b + 5b) |

SURPLUS / DEFICIT: \$ **2,050.00** **GRAND TOTAL CONTRIBUTIONS MINUS GRAND TOTAL EXPENDITURES (Negative=Deficit / Positive=Surplus)**

\$ - Balance Brought Forward from _____ Election

Initials _____

AFFIRMATION AND SIGNATURE OF TREASURER

I, Matthew B. Cruz do hereby swear that I have used all reasonable diligence in preparing this ORGANIZATIONAL REPORT, and that it is a true, full, and explicit accounting of all contributions received and expenses incurred to date in aid of the campaign/support of a candidate(s), purpose of organization, or ballot question or issue.

MBCruz

SIGNATURE OF TREASURER

Subscribed and Sworn to before me on this

3rd day of January, 20 20

Elizabeth Santos

NOTARY PUBLIC in and for Guam:

My Commission expires:

4/30/21

AFFIRMATION AND SIGNATURE OF CANDIDATE / SPONSOR/CHAIRPERSON

I, Mariquita A. Cruz do hereby swear that I have used all reasonable diligence in preparing this ORGANIZATIONAL REPORT, and that it is a true, full, and explicit accounting of all contributions received and expenses incurred to date in aid of my campaign/support of a candidate(s), purpose of organization, or ballot question question or issue.

MariquitaA.Cruz

SIGNATURE OF CANDIDATE / SPONSOR/CHAIRPERSON

Subscribed and Sworn to before me on this

3rd day of January, 20 20

Elizabeth Santos

NOTARY PUBLIC in and for Guam:

My Commission expires: 4/30/21

CONTRIBUTIONS Attachment I. CASH CONTRIBUTIONS

CORPORATE CONTRIBUTIONS

Corporate contributions received for fundraisers at which the cost was more than \$100 per ticket.

\$ - **TOTAL** (*To be placed on page A-2 item I. Cash Contributions*)

SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT

Initials

CONTRIBUTIONS Attachment II. AGGREGATE CONTRIBUTIONS FROM FUNDRAISING EVENTS \$25 OR LESS

CORPORATE CONTRIBUTORS

\$ 500.00 TOTAL

(To be placed on page A-2 item II, Aggregate Contributions from Fundraising Events \$25 or Less)

SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT

Initials

CONTRIBUTIONS Attachment III. AGGREGATE CONTRIBUTIONS FROM FUNDRAISING EVENTS OF MORE THAN \$25 AND \$100 OR LESS

CORPORATE CONTRIBUTORS

\$ **-** **TOTAL** *(To be placed on page A-2 item III. Aggregate Contributions from Fundraising Events of More than \$25 and \$100 or less)*

SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT

Initials

EXPENDITURES Attachment I. FUNDS EXPENDED

\$ - TOTAL (To be placed on page A-4 item I. Funds Expended)

SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT

Initials

A-11

EXPENDITURES Attachment II. INCURRED EXPENSES

\$ - TOTAL (To be placed on page A-4 item II. Incurred Expenses)

SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT

Initials

EXPENDITURES Attachment III. NON-MONETARY PERSONAL SERVICES EXPENDITURES

\$ - **TOTAL** (To be placed on page A-4 item III. Non-Monetary Personal Services Expenditures. All personal and related services, contracts, promises, or agreements expended for personal services in aid of campaign)

SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT

Initials

Appendix B

Sample of Completed Primary Election Preliminary Report, Form EC-1B



GUAM ELECTION COMMISSION

Kumision Ileksion Guahan
414 W. Soledad Ave. • GCIC Bldg. Ste. 200• Hagatna, Guam 96910
Website: www.gec.guam.gov □ E-mail: vote@gec.guam.gov



ELECTION CAMPAIGN CONTRIBUTIONS AND EXPENDITURES REPORT

| | | | | | |
|---|--|--|--|--|--|
| <p>Name of Candidate, Party, Organization, or Committee: Mariquita A. Cruz</p> <p>Elected Office Sought/Purpose/Ballot Question or Issue: Senator 2020</p> <p>Address: 123 Kalachucha Drive Political Party: Independent</p> <p>Hagåtña, Guam Zip Code: 96910</p> <p>Tel No: (671) 555-5555 Fax No: (671) 444-4444 E-mail: mariquita4senator2020@gmail.com</p> | | | | | |
| <p>This report is for (check appropriate boxes): ELECTION YEAR: 2020</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; text-align: center;"> <input checked="" type="checkbox"/> PRIMARY ELECTION <input checked="" type="checkbox"/> Preliminary Report <input type="checkbox"/> Final Report <input type="checkbox"/> Supplemental Report </td> <td style="width: 33%; text-align: center;"> <input type="checkbox"/> GENERAL ELECTION <input type="checkbox"/> Preliminary Report <input type="checkbox"/> Final Report <input type="checkbox"/> Supplemental Report </td> <td style="width: 33%; text-align: center;"> <input type="checkbox"/> SPECIAL ELECTION <input type="checkbox"/> Preliminary Report <input type="checkbox"/> Final Report <input type="checkbox"/> Supplemental Report </td> </tr> </table> | | | <input checked="" type="checkbox"/> PRIMARY ELECTION <input checked="" type="checkbox"/> Preliminary Report <input type="checkbox"/> Final Report <input type="checkbox"/> Supplemental Report | <input type="checkbox"/> GENERAL ELECTION <input type="checkbox"/> Preliminary Report <input type="checkbox"/> Final Report <input type="checkbox"/> Supplemental Report | <input type="checkbox"/> SPECIAL ELECTION <input type="checkbox"/> Preliminary Report <input type="checkbox"/> Final Report <input type="checkbox"/> Supplemental Report |
| <input checked="" type="checkbox"/> PRIMARY ELECTION <input checked="" type="checkbox"/> Preliminary Report <input type="checkbox"/> Final Report <input type="checkbox"/> Supplemental Report | <input type="checkbox"/> GENERAL ELECTION <input type="checkbox"/> Preliminary Report <input type="checkbox"/> Final Report <input type="checkbox"/> Supplemental Report | <input type="checkbox"/> SPECIAL ELECTION <input type="checkbox"/> Preliminary Report <input type="checkbox"/> Final Report <input type="checkbox"/> Supplemental Report | | | |
| <p>I, Mariquita A. Cruz, do hereby swear that I have used all reasonable diligence in preparing the foregoing ELECTION CAMPAIGN CONTRIBUTIONS AND EXPENDITURES REPORT, and that it is a true, full, and explicit accounting of all contributions received and expenses incurred to date in aid of my campaign/support of a candidate(s), purpose of organization, or ballot question or issue.</p> <p style="text-align: center;"><i>Mariquita A. Cruz</i></p> <p style="text-align: center;">SIGNATURE OF CANDIDATE/CHAIRPERSON</p> <p>Subscribed and Sworn to before me on this 19th day of August, 20 20</p> <p style="text-align: center;"><i>Elizabeth Santos</i></p> <p>NOTARY PUBLIC in and for Guam. My Commission expires: 4/30/21</p> | | | | | |
| <p>I, Mariquita A. Cruz, do hereby swear that I have used all reasonable diligence in preparing the foregoing ELECTION CAMPAIGN CONTRIBUTIONS AND EXPENDITURES REPORT, and that it is a true, full, and explicit accounting of all contributions received and expenses incurred to date in aid of the campaign/support of a candidate(s), purpose of organization, or ballot question or issue.</p> <p style="text-align: center;"><i>Mariquita A. Cruz</i></p> <p style="text-align: center;">SIGNATURE OF TREASURER</p> <p>Subscribed and Sworn to before me on this 19th day of August, 20 20</p> <p style="text-align: center;"><i>Elizabeth Santos</i></p> <p>NOTARY PUBLIC in and for Guam. My Commission expires: 4/30/21</p> | | | | | |
| SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT | | | | | |

FINANCIAL INSTITUTION

| STARTING BALANCE | BANK NAME AND ADDRESS | ACCOUNT NUMBER | ENDING BALANCE |
|---------------------|---|----------------|----------------|
| \$ 2,050.00 | Bank of Hagåtña 222 W O'Brien Dr. Hagåtña, GU 96910 | 2020-123456 | \$ 19,750.00 |
| \$ - | | | \$ - |
| \$ - | | | \$ - |
| \$ - | | | \$ - |

CONTRIBUTIONS

"Contributions" means a gift, subscription, loan, advance, deposit of money, or anything of value, or cancellation of a debt or legal obligation, as defined in 3 GCA § 17101(f). **ALL corporate contributions shall be reported regardless of amount.**

(Use additional sheets if needed.)

I. CASH CONTRIBUTIONS

Contributions of more than \$100 received from individual donors **Contributions from fundraisers that cost more than \$100 per ticket must be itemized in this section.**

| AMOUNT | NAME OF INDIVIDUAL DONOR | ADDRESS OF DONOR | DATE RECEIVED | DATE DEPOSITED |
|-------------|---|---------------------------|---------------|----------------|
| \$ 400.00 | Helen Ramirez | POBox 98765 Hagatna 96932 | 7/15/20 | 7/19/20 |
| \$ 800.00 | Tanya Pangelinan | POBox 2345 Hagatna 96932 | 8/1/20 | 8/2/20 |
| \$ 1,000.00 | Isabel Diaz | POBox 3029 Hagatna 96932 | 8/2/20 | 8/2/20 |
| \$ 1,000.00 | Annie Tedtaotao | POBox 2041 Hagatna 96932 | 8/2/20 | 8/2/20 |
| \$ - | See B-7 Attachment I. Cash Contributions | | | |

\$ 3,200.00 (1) Total amount of Cash Contributions this reporting period.

\$ 300.00 (1a) Cumulative Total of Cash Contributions from last report.

\$ 3,500.00 (1b) **Sub-Total of Cash Contributions (1 + 1a = 1b)**

II. AGGREGATE CONTRIBUTIONS FROM FUNDRAISING EVENTS \$25 OR LESS.

| AMOUNT | FUNDRAISING EVENT, DATE, AND TICKET PRICE | LOCATION | DATE RECEIVED | DATE DEPOSITED |
|-------------|--|----------|---------------|----------------|
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | See B-8 Attachment II. Fundraising Events \$25 or Less | | | |
| \$ - | (2) Total Aggregate Contributions this reporting period. | | | |
| \$ 2,000.00 | (2a) Cumulative Total of Aggregate Contributions from last report. | | | |
| \$ 2,000.00 | (2b) Sub-Total of Aggregate Contributions (2 + 2a = 2b) | | | |

III. AGGREGATE CONTRIBUTIONS FROM FUNDRAISING EVENTS OF MORE THAN \$25 AND \$100 OR LESS

| AMOUNT | FUNDRAISING EVENT, DATE, AND TICKET PRICE | LOCATION | DATE RECEIVED | DATE DEPOSITED |
|--------------|--|------------------------------|---------------|----------------|
| \$ 15,000.00 | Birthday Fundraiser, 3/1/20, \$100/ticket | Phoenix Center, Mangilao, GU | 2/15/20 | 2/19/20 |
| \$ 10,000.00 | Birthday Fundraiser, 3/1/20, \$100/ticket | Phoenix Center, Mangilao, GU | 3/1/20 | 3/4/20 |
| \$ - | | | | |
| \$ 2,000.00 | See B-9 Attachment III. Fundraising Events More Than \$25 and \$100 or Less | | | |
| \$ 27,000.00 | (3) Total Aggregate Contributions this reporting period. | | | |
| \$ - | (3a) Cumulative Total of Aggregate Contributions from last report. | | | |
| \$ 27,000.00 | (3b) Sub-Total of Aggregate Contributions (3 + 3a = 3b) | | | Initials |

IV. NON-MONETARY PERSONAL SERVICES CONTRIBUTIONS

All personal and related services, contracts, promises or agreements to make contribution for personal services of \$100.00 or more.

| ESTIMATED VALUE | NAME OF DONOR | ADDRESS OF DONOR | DESCRIPTION OF CONTRIBUTION | DATE RECEIVED |
|--------------------|---|---------------------------|--------------------------------|---------------|
| \$ 500.00 | Albert San Agustin | POBox 88990 Hagatna 96932 | Video Ad Production | 1/20/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ 500.00 | (4) Total Non-Monetary Contributions this reporting period. | | | |
| \$ - | (4a) Cumulative Total of Non-Monetary Contributions from last report. | | | |
| \$ 500.00 | (4b) Sub-Total of Non-Monetary Contributions (4 + 4a = 4b) | | | |

V. NON-MONETARY GOODS AND/OR CONTRACTS CONTRIBUTIONS

All goods or contracts, promises, or agreements to make contribution of goods of \$100.00 or more.

| ESTIMATED VALUE | NAME OF DONOR | ADDRESS OF DONOR | DESCRIPTION OF CONTRIBUTION | DATE RECEIVED |
|--------------------|---|-------------------------|--------------------------------|---------------|
| \$ 1,000.00 | George Edquilane | POBox 837 Hagatna 96932 | Lumber for signs | 3/1/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ 1,000.00 | (5) Total Non-Monetary Contributions this reporting period. | | | |
| \$ - | (5a) Cumulative Total of Non-Monetary Contributions from last report. | | | |
| \$ 1,000.00 | (5b) Sub-Total of Non-Monetary Contributions (5 + 5a = 5b) | | | |

VI. EARMARKED CONTRIBUTIONS

Contributions received from donors designated for specified campaign expenses.

| AMOUNT | NAME OF DONOR | ADDRESS OF DONOR | PURPOSE OF CONTRIBUTION | DATE RECEIVED |
|-------------|---|--------------------------|----------------------------|---------------|
| \$ 1,000.00 | Jean Franquez | POBox 9580 Hagatna 96932 | Banner printing cost | 3/1/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ 1,000.00 | (6) Total Non-Monetary Contributions this reporting period. | | | |
| \$ - | (6a) Cumulative Total of Non-Monetary Contributions from last report. | | | |
| \$ 1,000.00 | (6b) Sub-Total of Non-Monetary Contributions (6 + 6a = 6b) | | | |

Initials

VII. Pursuant to 3 GCA § 17109(c), persons who have made a contribution of his/her own money or property or money of another person of more than \$100

SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT

R-4

Initials

EXPENDITURES

"Expenditures" means any purchase or transfer of money or anything of value or promise or agreement to purchase or transfer of money or anything of value, or payment incurred or made, or the use or consumption of a non-monetary contribution, as defined in 3 GCA § 17101(h) **Expenditures by a candidate of his or her own funds for the purposes prescribed under 3 GCA § 17101(h) must also be reported herein.**

I. FUNDS EXPENDED

| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|---------------------|---|---------------------------------------|-----------------------------------|---------|
| \$ 5,500.00 | Fr. Duenas Memorial School | 119 Duenas Lane Chalan Pago, GU 96910 | Venue for birthday fundraiser | 3/1/20 |
| \$ 2,400.00 | Party Catering Company | POBox 91039 GMF, GU 96921 | Birthday fundraiser catering cost | 3/1/20 |
| \$ 4,500.00 | Guam Cable Co. | POBox VDO GMF, GU 96921 | 2-week cable ad spot | 7/10/20 |
| \$ 100.00 | Guam Printing | POBox P GMF, GU 96921 | Fundraiser ticket printing | 2/15/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | See B-10 Attachment I. Funds Expended | | | |
| \$ 12,500.00 | (1) Total Funds Expended this reporting period. | | | |
| \$ 250.00 | (1a) Cumulative Total of Funds Expended from last report. | | | |
| \$ 12,750.00 | (1b) Sub-Total of Funds Expended (1 + 1a = 1b) | | | |

II. INCURRED EXPENSES

Pending payments for services rendered/products received in aid of a campaign.

| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|--------------------|--|-----------------------|--------------------------|---------|
| \$ 1,000.00 | Guam Website Co. | POBox W GMF, GU 96921 | Campaign website hosting | 7/31/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | See B-11 Attachment - II. Incurred Expenses | | | |
| \$ 1,000.00 | (2) Total Incurred Expenditure this reporting period. | | | |
| | (2a) Cumulative Total of Incurred Expenditures from last period. | | | |
| \$ 1,000.00 | (2b) Sub-Total of Incurred Expenditures (2 + 2a = 2b) | | | |

III. NON-MONETARY PERSONAL SERVICES EXPENDITURES

The consumption of all personal and related services, contracts, promises, or agreements expended for personal services in aid of a campaign.

| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|------------------|---|-------------------------------|---------------------|---------|
| \$ 500.00 | [Albert San Agustin] | POBox 88990 Hagatna, GU 96932 | Video Ad Production | 1/24/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | See B-12 Attachment III. Non-Monetary Personal Services Expenditures | | | |
| \$ 500.00 | (3) Total Non-Monetary Expenditures this reporting period. | | | |
| | (3a) Cumulative Total of Non-Monetary Expenditures from last period. | | | |
| \$ 500.00 | (3b) Sub-Total of Non-Monetary Expenditures (3 + 3a = 3b) | | | |

Initials

IV. NON-MONETARY GOODS AND/OR CONTRACTS EXPENDITURES

The consumption of all goods or contracts, promise, or agreement expended for goods in aid of a campaign.

| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|-------------|---|-----------------------------|-------------------------|--------|
| \$ 1,000.00 | [George Edquilane] | POBox 837 Hagatna, GU 96932 | Use of lumber for signs | 3/1/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ 1,000.00 | (4) Total Non-Monetary Expenditures this reporting period. | | | |
| \$ - | (4a) Cumulative Total Non-Monetary Expenditures from last report. | | | |
| \$ 1,000.00 | (4b) Sub-Total of Non-Monetary Expenditures (4 + 4a = 4b) | | | |

V. EARMARKED EXPENDITURES

Disbursement of earmarked contributions for use as specified.

| AMOUNT | NAME OF PAYEE | ADDRESS OF PAYEE | PURPOSE | DATE |
|-------------|---|-----------------------------------|-----------------|--------|
| \$ 1,000.00 | Guam Banner Co. | 555 Chalan San Antonio Tam. 96913 | Banner printing | 3/1/20 |
| \$ - | | | | |
| \$ - | | | | |
| \$ - | | | | |
| \$ 1,000.00 | (5) Total Non-Monetary Expenditures this reporting period. | | | |
| \$ - | (5a) Cumulative Total Non-Monetary Expenditures from last report. | | | |
| \$ 1,000.00 | (5b) Sub-Total of Non-Monetary Expenditures (5 + 5a = 5b) | | | |

CONTRIBUTIONS AND EXPENDITURES SUMMARY

| | | |
|----------------------|---------------------|---|
| CONTRIBUTION: | \$ 3,500.00 | (1b) Sub-Total Cash Contributions. |
| | \$ 2,000.00 | (2b) Sub-Total Aggregate Contributions (Fundraising Events \$25 or less). |
| | \$ 27,000.00 | (3b) Sub-Total Aggregate Contributions (" >\$25 and \$100 or less). |
| | \$ 500.00 | (4b) Sub-Total Personal Services Contributions. |
| | \$ 1,000.00 | (5b) Sub-Total Goods and/or Contracts Contributions. |
| | \$ 1,000.00 | (6b) Sub-Total Earmarked Contributions. |
| | \$ 35,000.00 | GRAND TOTAL CONTRIBUTIONS (1b + 2b + 3b + 4b + 5b + 6b) |

| | | |
|----------------------|---------------------|--|
| EXPENDITURES: | \$ 12,750.00 | (1b) Sub-Total Funds Expended. |
| | \$ 1,000.00 | (2b) Sub-Total Incurred Expenditures. |
| | \$ 500.00 | (3b) Sub-Total Personal Services Expenditures. |
| | \$ 1,000.00 | (4b) Sub-Total Goods and/or Contracts Expenditures. |
| | \$ 1,000.00 | (5b) Sub-Total Earmarked Expenditures. |
| | \$ 16,250.00 | GRAND TOTAL EXPENDITURES (1b + 2b + 3b + 4b + 5b) |

SURPLUS/ DEFICIT: **\$ 18,750.00** GRAND TOTAL CONTRIBUTIONS MINUS GRAND TOTAL EXPENDITURES (Negative=Deficit / Positive=Surplus)

\$ _____ - Balance Brought Forward from _____ Election

Initials _____

CONTRIBUTIONS Attachment I. CASH CONTRIBUTIONS

CORPORATE CONTRIBUTORS

Corporate contributions received for fundraisers at which the cost was more than \$100 per ticket.

TOTAL (To be placed on page B-2 item **I. Cash Contributions**)

SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT

Initials

CONTRIBUTIONS Attachment II. AGGREGATE CONTRIBUTIONS FROM FUNDRAISING EVENTS \$25 OR LESS

CORPORATE CONTRIBUTORS

TOTAL (To be placed on page B-2 item II. Aggregate Contributions from Fundraising Events \$25 or Less)

SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT

Initials

CONTRIBUTIONS Attachment III. AGGREGATE CONTRIBUTIONS FROM FUNDRAISING EVENTS OF MORE THAN \$25 AND \$100 OR LESS

CORPORATE CONTRIBUTORS

\$ 2,000.00 **TOTAL** (To be placed on page B-2 item III. Aggregate Contributions from Fundraising Events of More than \$25 and \$100 or Less)

SUMBIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL COPY

Initials

EXPENDITURES Attachment I. FUNDS EXPENDED

TOTAL (To be placed on page B-5 item I. Funds Expended)

SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT

Initials

EXPENDITURES Attachment II. INCURRED EXPENSES

TOTAL (To be placed on page B-5 item II. Incurred Expenses)

SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT

Initials

EXPENDITURES Attachment III. NON-MONETARY PERSONAL SERVICES EXPENDITURES

TOTAL (To be placed on page B-5 item III. Non-Monetary Personal Services Expenditures) .

SUBMIT ONE ORIGINAL AND ONE ELECTRONIC EXCEL FORMAT

Initials

Notes

Notes

Before you file a report...

Certification

- ⇒ Is my report certified by both the candidate and treasurer (or deputy treasurer)? Is it notarized?
- ⇒ If using GEC notaries, are both the candidate and treasurer (or deputy treasurer) available to go to GEC to certify the report by the deadline?

Financial Institution

- ⇒ Are all campaign bank accounts, applicable account numbers, and balances reported?

Contributions

- ⇒ Are all donors adequately identified in the appropriate sections?
- ⇒ Have any donors (individual or corporate) exceeded contribution limits?
- ⇒ Are any corporate contributions received absent of a fundraiser?
- ⇒ Is the information regarding fundraising events accurate and complete?
- ⇒ Were all monetary contributions promptly deposited into the campaign bank account?
- ⇒ Are all non-monetary and earmarked contributions valued over \$100 adequately reported in the appropriate sections?
- ⇒ Does the amount of total contributions in the report match the campaign's records?

Expenditures

- ⇒ Are all payees adequately identified in the appropriate sections?
- ⇒ Are there any questionable or seemingly inappropriate expenditures listed in the report?
- ⇒ Are all reimbursements to individuals in excess of \$100 also reported as a contribution?
- ⇒ Does the amount of total expenditures in the report match the campaign's records?

Filing

- ⇒ Did I email the Excel file of my report to eccer@gec.guam.gov?