CANDIDATE COMMITTEE ONLINE REGISTRATION/REPORTING

The Guardian System

The Guardian System is Oklahoma's state of the art public transparency website for state level campaigns, lobbyist reporting, and other documents filed with the **Oklahoma Ethics Commission.** Campaign and lobbyist filings are immediately available for public viewing once the documents are filed.

Look for this button at www.ethics.ok.gov to file or access filings.

Candidate Committees: Review All Registration and Reporting Requirements Prior to Registering.

This document provides an overview for candidate committees on registration, navigation, data entry, and filing an original or amended report in The Guardian System.

Candidate Committees use The Guardian System to:

1. Register Candidate Committees for Elective State Offices
2. Enter Transactions — All contributions, other funds, and expenditures
3. File Reports
4. Pay Fees
5. View All Filed Reports, Perform Searches, and Download Data

Filing reports with the Ethics Commission is a <u>two-step process</u>.

1) **Enter all transactions: Monetary, Goods, Services, Payments, or Transactions on Behalf of the Committee:** Users will enter all transactions in the Contributions, Expenditures, and Loan sections under the "Financial" tab. <u>Transactions may be entered 24 hours a day, 7 days a week.</u>

2) **File the report:** Once the time to actually file the report begins the user will use the "Filings" tab. Filings are due no later than 11:59:59 p.m. (Central) on the deadline with staff available until 5:00 p.m. to assist.

Filing Deadlines: Election specific reporting calendars are available at www.ethics.ok.gov on the "State Candidate" page with report due dates and should be calendared by the Committee. Those dates are also in The Guardian System once a committee registers. For reports *other than Continuing Reports of Contributions (24-hour reports),* **The Guardian System** automatically sends email reminders to committees with a report due that has not yet been filed during the 7 days prior to the deadline. Notices are sent to the email addresses provided by the Committee on the original, or most recently amended, Statement of Organization.

Need assistance?

Call Commission staff at (405) 521-3451 with quick questions or to schedule more in depth one-on-one training. Plan ahead for any in-depth training on The Guardian System as Commission staff is focused on being available to provide assistance to all filers during the last 5 days of a quarterly or pre-election reporting period.

1. **Access The Guardian System two ways**

   1) www.guardian.ok.gov or

   2) Through the ethics website: www.ethics.ok.gov

   (Click on The Guardian System button on the lower left side of the homepage)

2. **Register in The Guardian System**

   On The Guardian System menu, click the "Registration" tab to begin a Statement of Organization ("SO") and select the type of entity as Candidate Committee, click the red "Registration" button, fill in the required information (red asterisk indicates required items):

   A. Candidate Information

   B. Committee Information (Candidate Committee name must include candidate name + year of the election)

   C. Depository Information (click "add to list" to save each depository's information)

   D. Committee Officers' and Designated Filing Agents' Information.

      1) You must enter each officer's or agent's information, including individual email addresses. Do not use a single email address for multiple people (click "add to list" to save officer or agent information).

   E. Review and check the acknowledgement box

   F. Click "Submit"

   G. Pay registration fee

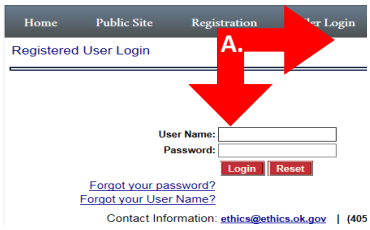
      1) May pay online with credit card (Note: there is an additional processing fee) or by check to the Commission office

   H. Commission staff will review each SO and either accept, conditionally accept, or reject the filing.

   I. When the SO is accepted (fully or upon conditions being met such as payment) each user will receive two emails: one with a username and one with a temporary password that expires in **7 days**.

   J. Set up your permanent password by clicking on "Filer Login" and entering your username and temporary password. You will be prompted to set a permanent password. Do not share credentials with another individual but add them to your account.

   Helpful Tip Add your Guardian username to your contacts list in your phone.



3. **Enter Contributions, Other Funds Accepted and Transfers-In:**

   A. Log in to your account at guardian.ok.gov. Click on the "Filer Login" tab on the menu and enter your username and password.

   B. Committees report contributions by hovering over the "Financial" tab, and selecting the "Contributions/Transfers-In" option.

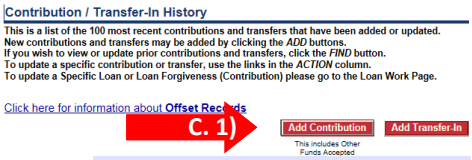
   C. For Contributions:

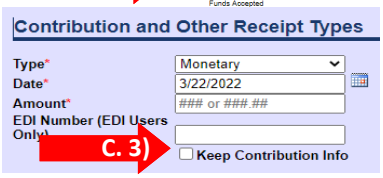
      1) Click the "Add Contribution" button to enter a monetary or in-kind contribution; and

      2) Fill in the required information for each contribution, including contributor type, name, address, occupation and employer.

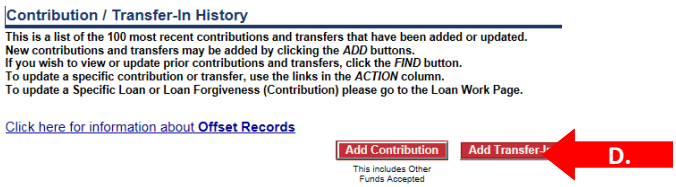
      3) Use the "Keep Contribution Info" checkbox only when the contribution information is the same for multiple entries.

      4) Use the "Keep Contributor Info" checkbox for reporting multiple contributions for the same person, remember to uncheck the box when complete.





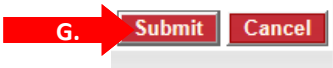
D. For Transfers-In:



1) Click "Add Transfer-In." This is only for state candidate committees that are transferring funds from a prior committee. Assets (equipment purchased with committee funds) may also be transferred in a separate entry. If the committee is closed and not in the dropdown, call the Ethics Commission.

E. Other Funds Accepted is used for things like interest from a depository or refunds.

F. Each entry will populate in a red/white grid.



G. Click the "Submit" button to save the transaction.

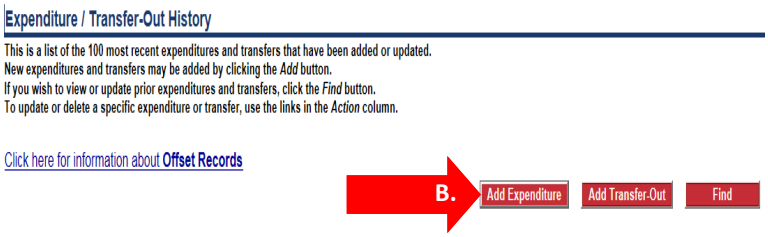
H. For repeat contributors select "Select Previously Entered Individual" from the dropdown list. This populates the contributor information and keeps/shows the running total on the contribution reports.

There are specific short videos about entering contributions, expenditures, loans, and transfers you may access here: http://guardian.ok.gov/PublicSite/Publications.aspx

4. Expenditures

A. Committees report expenditures by hovering over the "Financial" tab and selecting the "Expenditures/Transfers-Out" option.

B. For Expenditures:

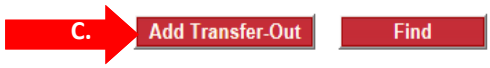


1) Click the "Add Expenditure" button to enter an expense

2) Fill in the required information for each expenditure

3) The system will retain vendor information once entered. Previously entered "Recipient" information is stored and you may pick the business or individual from the dropdown.

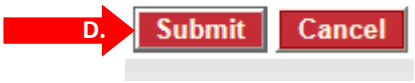
C. For "Transfers-Out." This is only for state candidate committees transferring funds and/or assets to their new state candidate committee. New committees should be registered prior to recording the transfers.



1) Click " Add Transfer-out," enter date, and the amount to be transferred

2) Click committee registered

3) Click the "NEW" committee from the drop-down.



D. Click the "Submit" button to save the transaction.

Each entry will populate in a grid below the buttons.

5. **Candidate Reimbursement**—A candidate who spends personal funds on his/her campaign may be reimbursed from campaign funds but must report both the personal expenditure and the reimbursement. These reimbursements are itemized regardless of the amount.

- **90 day limit.** The reimbursement to the candidate must be made within 90 days of the candidate's purchase using personal funds. If the reimbursement does not occur within 90 days, the expenditure becomes a non-refundable contribution to the candidate committee from the candidate.

- **Timely reporting and sufficient documentation is required**. Documentation must be kept by the committee Treasurer of both the good or service purchased by the candidate and the reimbursement to the candidate.

- **Reporting Candidate Reimbursements**

  - Report candidate's reimbursable transaction (i.e., the original expense) using the "Expenditure Type" option of **"in-kind."** This will show the required details of the purchase just like all other committee purchases, but is reported as "in-kind" because committee funds do not leave the depository.

Recipient	Expenditure or Transfer Type	Expenditure Date	Amount
THE HERITAGE HOUSE	In-Kind ROOM RENTAL	03/22/2022	$320.00

  - Report the reimbursement to the candidate under the "Expenditure Type" option as **"candidate reimbursement,"** and reference the original expenditure.

Recipient	Expenditure or Transfer Type	Expenditure Date	Amount
TEST, JULIE	Candidate Reimbursement REIMBURSED ROOM RENTAL 3/22/2022	03/26/2022	$320.00

  - Report mileage reimbursement with the number of miles, dates, where, and purpose, along with the rate of reimbursement up to amount of the current state rate.

Recipient	Expenditure or Transfer Type	Expenditure Date	Amount
TEST, JULIE	Candidate Reimbursement MILEAGE REIMBURSEMENT FOR 138 @ $.585 FOR CONSTITUENT MEETINGS IN DISTRICT 3/7/22 TO 3/11/22.	03/18/2022	$80.73

6. **Loans**—Required Three-Step Process:

   A. Loan document signed by the Treasurer and Lender; (even if same person) contemporaneously with deposit of funds

   B. Deposit Funds in Campaign Depository

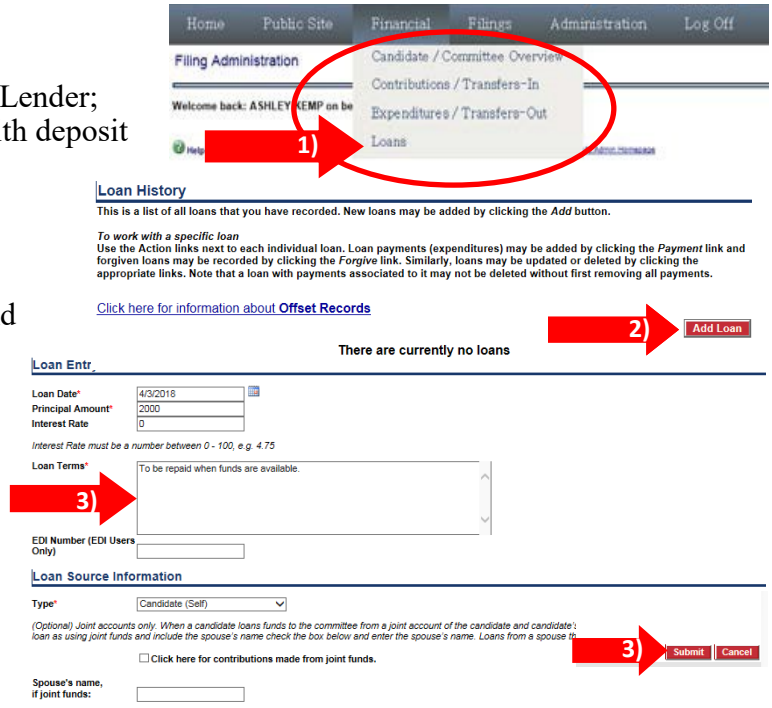
   C. Report the Loan in The Guardian System.

      1) Hover mouse over the "Financial tab" and select "Loans."

      2) Click the red "Add Loan" button.

      3) Enter the loan terms and click "submit" to add the loan to the transaction grid.

      4) All loan activity is reported using the "Loans" page, including payments or forgiveness for each loan listed.



Loan Source	Loan Source Type	Description	Loan Terms	Date of Loan	Original Amount	Current Balance	Offset	Amended	Filed?	Action
TEST, JULIE	Candidate (Self)		TO BE REPAID AS FUNDS ARE AVAILABLE	03/10/2022	$2,000.00	$2,000.00	No	No	No	Update Loan Delete Loan Add Loan Payment Add Loan Forgiveness

7. File a Report

A. Once a filing period opens, all transactions have been entered, and a committee is ready to file a report, click on the "Filings" tab, and select "Financial" from the drop-down menu.

B. On the **"Filing Administration"** page, click the **"View/File"** link next to the report due.

Note: *View/File is only visible once a filing period begins and any conditions related to the filing of the Statement of Organization have been resolved.*

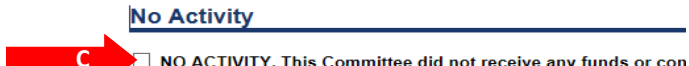
Reports Due

Report	Period Begin	Period End	File Begin Date	Due Date	Status	Action
2022 1ST QUARTER REPORT	1/1/2022	3/31/2022	4/1/2022	4/30/2022	Not Filed	View/File
2022 PRE-PRIMARY REPORT	4/1/2022	6/13/2022	6/14/2022	6/20/2022	Not Filed	
2022 PRE-RUNOFF REPORT	6/14/2022	8/8/2022	8/9/2022	8/15/2022	Not Filed	
2022 PRE-GENERAL REPORT	8/9/2022	10/24/2022	10/25/2022	10/31/2022	Not Filed	
2022 POST-GENERAL REPORT	10/25/2022	12/31/2022	1/1/2023	1/31/2023	Not Filed	

B

C. **Filing a Report with <u>No Activity</u>.**

If the committee had no activity during a reporting period, select the **"No Activity"** box and scroll to the bottom of the page, go to 5) below.



D. **Filing a Report with Activity** in The Guardian System.

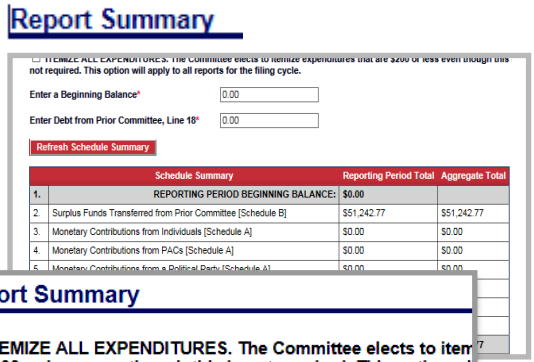
1) The **"Report Summary"** section shows a summary page of the report with all the transactions for the committee, including totals of contributions, transfers, expenditure and loans entered.

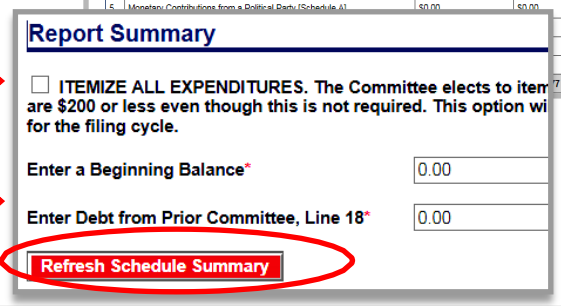
2) **First Report only:** you may opt to itemize all expenditures by checking the "Itemize all expenditures" box, otherwise only expenditures over $200 will be itemized. (**NOTE:** This cannot be reversed)

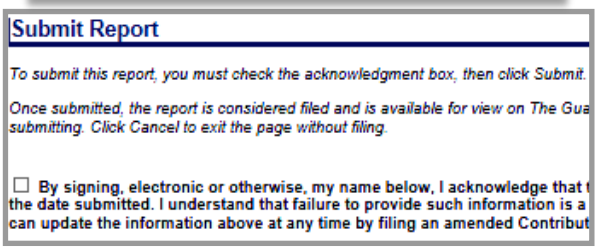
3) **First report only**: For a Candidate Committee, the beginning balance will always be "0." Enter the amount of debt from a prior committee "0." Click **"Refresh Schedule Summary."**

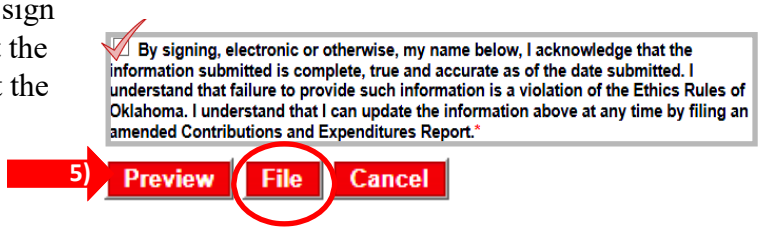
4) **Preview the Report**. Filers/committees may "preview" the report prior to submission to review and ensure the report is ready to be filed. If it is not, the filer can enter, delete, or update transactions until all information is accurate.

5) **File the Report.** Once the information is complete, accurate, and ready to be filed, sign electronically by clicking the checkbox at the end of the page and click "File" to submit the report.

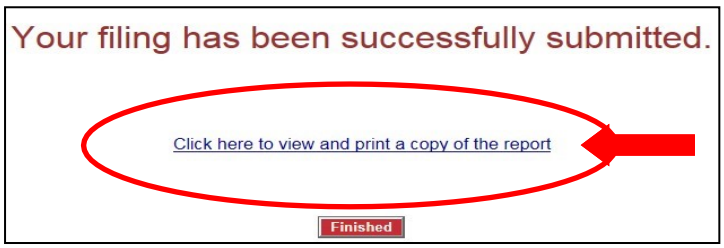




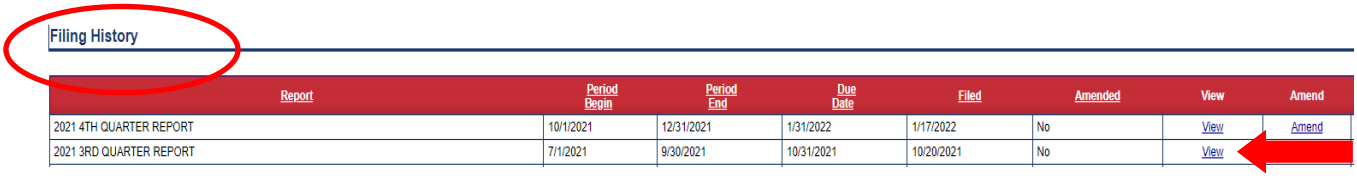




E. **Print and/or Save Filed Report.** Once the report is filed, it may be printed or saved by clicking the "click here to view and print a copy of the report" link. Then click "Finished."



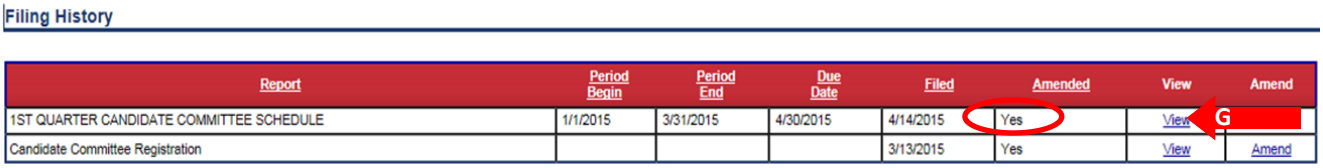
Filed reports will appear in the "Filing History" section under the "Filings" tab. Select the "View" link next to the report to view the filed report, which may be printed or saved for recording purposes. This filing is also available on The Guardian System for the public to review.



Filing History

Report	Period Begin	Period End	Due Date	Filed	Amended	View	Amend
2021 4TH QUARTER REPORT	10/1/2021	12/31/2021	1/31/2022	1/17/2022	No	View	Amend
2021 3RD QUARTER REPORT	7/1/2021	9/30/2021	10/31/2021	10/20/2021	No	View	

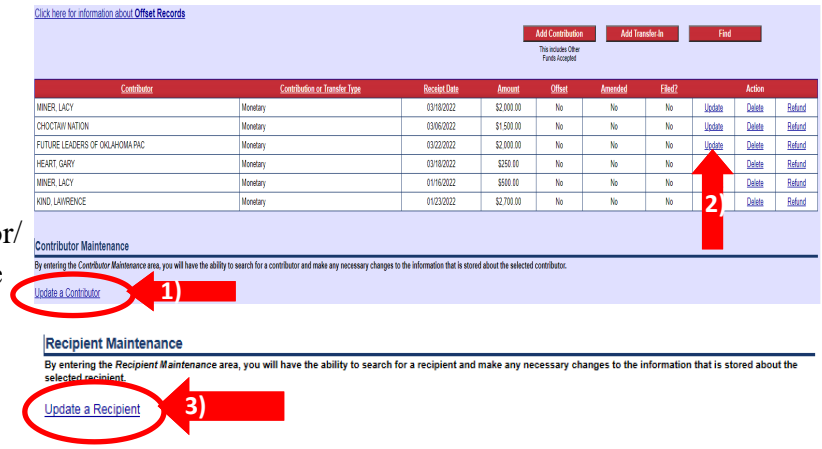
E. Filing an amended report. First delete, add, or update transactions as needed for the amendment from the "Financial" tab. Then return to the "Filings" page and select the "Amend" option in the "Filing History" section next to the report to amend. At that point, the system checks the reporting period and pulls in all transactions for those dates—including the transactions you just added or corrected. File the amendment by the same process as filing any other report. The grid will then indicate that an amendment has been filed by a "Yes" in the amendment column.



Filing History

Report	Period Begin	Period End	Due Date	Filed	Amended	View	Amend
1ST QUARTER CANDIDATE COMMITTEE SCHEDULE	1/1/2015	3/31/2015	4/30/2015	4/14/2015	Yes	View	
Candidate Committee Registration				3/13/2015	Yes	View	Amend

G. Correcting Contributor/Recipient Information. What happens if a contributor or recipient moves, changes their name, or, for an individual contributor, changed employer?



1) To edit previously entered contributor/ recipient information, select "Update a Contributor" or "Update Recipient" at the bottom of the relevant Contributions or Expenditure page under the "Financial" tab. Search for the name, make the corrections and click "Update" to correct. This will correct all **future** entries.

2) After updating the Contributor or Recipient, to correct any **previously** filed entry, find the line item in the contribution grid or use the "Find" button to search by date range, dollar amount, transaction type, or name and click "update" on each entry. When all data entry has been corrected go to the "Filings" tab and amend the corresponding report.