



Summary of Final Board Determination

William Ruiz

Candidate, 2013, Council District 32

Program participant: \$0 public funds received

1. Failing to provide bank statements \$500

Campaigns are required to provide copies of all bank and merchant account statements for accounts used for each election. See Admin. Code §§ 3-703(1)(d), (g), (11); Board Rule 4-01(f). The Campaign did not provide bank account statements from December 2013 to the present.

The Board assessed a penalty of \$500 for this violation.

2. Failing to demonstrate compliance with cash receipts reporting and documentation requirements \$85

Campaigns are required to report all cash receipts, deposit them into the bank account listed on the candidate's filer registration and/or certification, and provide the deposit slips for the account to the Board. See Admin. Code §§ 3-703(1)(d), (g), (6), (10), (11), (12); Board Rules 1-04(a), (b), 2-06(a), 3-03(c), 4-01(a), (b)(1), (3), (f). The Campaign reported cash receipts of \$4,144, but only provided deposit slips or bank statements showing that \$3,802 was deposited into the Campaign's account, a difference of \$342 (an 8% variance).

The Board assessed a penalty of \$85 for this violation.

3. Failing to demonstrate compliance with reporting requirements for disbursements \$125

Campaigns are required to demonstrate compliance with reporting requirements and are required to provide bank records, including bank statements and deposit slips. See Admin. Code §§ 3-703(1)(d), (g), (6), (11), (12); Board Rules 1-09, 3-03(e), 4-01. The Campaign reported disbursements of \$8,386.16, but the Campaign's bank statements showed disbursements of \$7,708.08, a difference of \$678.08 (a disbursements variance of 8%).

The Board assessed a penalty of \$125 for this violation.



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4. Failing to report and document basic campaign functions/activities \$500

Campaigns are required to report and document all financial transactions, including basic categories of expenditures such as postage, printing, rent, and petitioning. See Admin. Code §§ 3-702(8), 3-703(1)(d), (g), (6), (11), (12); Board Rules 1-04(g), 1-08(a), (b), (c), (h), 3-02, 3-03(e), 4-01. The Campaign did not report or document any expenses with the purpose code “OFFICE.” The absence of such expenditures in the Campaign’s reporting indicates that these items may have been provided free of charge or paid for by a third party.

The Board assessed a penalty of \$500 for this violation.

5. Late response to audit documentation and information requests \$250 (Initial Documentation Request)

Campaigns are required to maintain records, such as copies of checks, invoices, and bank records, to verify financial transactions reported in disclosure statements, and campaigns are required to provide such records to the Board upon request and to respond to specific questions regarding compliance with the Act and Rules. See Admin. Code §§ 3-703(1)(d), (g), (6), (11), (12), 3-708(5), 3-710(1); Board Rules 1-09(a), 4-01, 4-05(a). The Campaign filed its response to the post-election Initial Documentation Request, due on December 27, 2013, on January 15, 2014, 18 days late.

The Board assessed a penalty of \$250 for this violation.

6. Failing to respond to audit documentation and information requests \$500 (Draft Audit Report)

Campaigns are required to maintain records, such as copies of checks, invoices, and bank records, to verify financial transactions reported in disclosure statements, and campaigns are required to provide such records to the Board upon request and to respond to specific questions regarding compliance with the Act and Rules. See Admin. Code §§ 3-703(1)(d), (g), (6), (11), (12), 3-708(5), 3-710(1); Board Rules 1-09(a), 4-01, 4-05(a). The Campaign’s response to the DAR was due on December 12, 2014. The Campaign did not respond.

The Board assessed a penalty of \$500 for this violation.