



There are three different types of transfers. This document explains the reporting and documentation requirements for two types of transfers—those between your campaign committee and a political party (Type 1) and those between two committees for a candidate for the same election (Type 2a). For a description of the reporting and documentation requirements for the type of transfer between two committees supporting the same candidate in different elections (Type 2b)—please refer to the “[Transfers Guidance Document](#).”

### TYPE 1 TRANSFER

A transfer is an exchange of funds between political committees. Transfers of funds should be made by check or electronic funds transfer. A **Type 1** transfer is an exchange of money between your campaign and a constituted political party committee (i.e., a local or national political party). Your campaign can accept a transfer-in from, or make a transfer-out to a constituted political party committee. Transfers-in are subject to your campaign’s applicable [contribution limits](#) and are not matchable with public funds.

If you are a Program participant, transfers-out made by your campaign will count against the [expenditure limit](#) in effect at the time of the transfer (i.e., out-year, primary, or general expenditure limit). In addition, transfers-out may result in a reduction in the amount of public funds you are eligible to receive. Transfers-out will be deemed to consist of matchable contributions, unless (1) you make the transfers from a segregated account set up and maintained in accordance with [Rule 5–01 \(n\) \(2\)](#), or (2) the total amount you transfer-out and contributions to other political committees is no more than:<sup>1</sup>

- \$3,000 for City Council candidates
- \$5,000 for Borough President candidates
- \$10,000 for Mayor, Public Advocate, and Comptroller candidates

#### How will you report and document a Type 1 transfer?

You must report each Type 1 transfer and submit copies of bank records or other required documentation with the next disclosure statement due after the transfer takes place. Enter the transfer as either a “Committee Transfers In” or a “Committee Transfers Out” in C-SMART (see pages 3–5). **Note: Contributions to or from political action committees (PACs), including other candidates’ committees are not transfers. Such transfers are considered contributions or expenditures respectively.**

### TYPE 2 TRANSFER

A **Type 2** transfer is an exchange of money between two committees supporting the same candidate. There are two sub-categories for this type of transfer: Type 2a and 2b. This document addresses Type 2a transfers. For information on Type 2b transfers, please refer to the [Transfers Guidance Document](#).

The transfer of money between two committees supporting the same candidate in the same election is a **Type 2a** transfer. If you are a Program participant, you are prohibited from making this type of transfer because you can only have **one** active committee for the current election cycle.

<sup>1</sup> See [Admin. Code 3–705 \(8\)](#) and [Rule 5–01 \(n\)](#)

For a Type 2a transfer (**non-participants only**) you must:

1. Disclose both committees to the CFB.
2. Enter the transfer-in as a “Committee Transfer In” by one committee, and
3. Enter the transfer-out as a “Committee Transfer Out” by the other committee.
4. Submit copies of bank records or other documentation that substantiates the transfer.

#### **IMPORTANT POINTS TO REMEMBER:**

- ★ Contributions to or from political action committees, including other candidate committees are not considered transfers
- ★ Program participants are prohibited from making a Type 2a transfer

#### **WHERE TO FIND IT:**

- ▶ Transfers: Campaign Finance Act §3–702(9); §3–703(14)
- ▶ Transfers: CFB Rules 1–02; 1–07; 1–08(o); 3–03(c)(2); 4–01(b)(8)
- ▶ Public Funds Reductions: Campaign Finance Act §3–705(8) & CFB Rule 5–01(n)

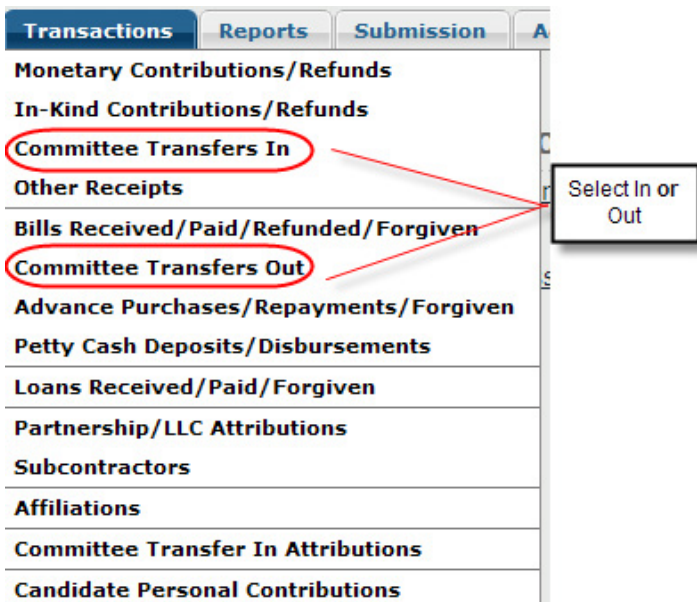
# STEP-BY-STEP:HOW TO ENTER TRANSFERS IN C-SMART

## TYPE 1 TRANSFER

To enter a Type 1 transfer in C-SMART, you must report the lump sum amount transferred.

### Committee Transfer In/Out

1. Click the Transactions tab and select “Committee Transfers In” or “Committee Transfers Out.”



2. In the transaction screen, select the transferor committee’s name from “Select Committee” drop-down. If the transferor committee’s name is not in C-SMART, click “Add New Name.”

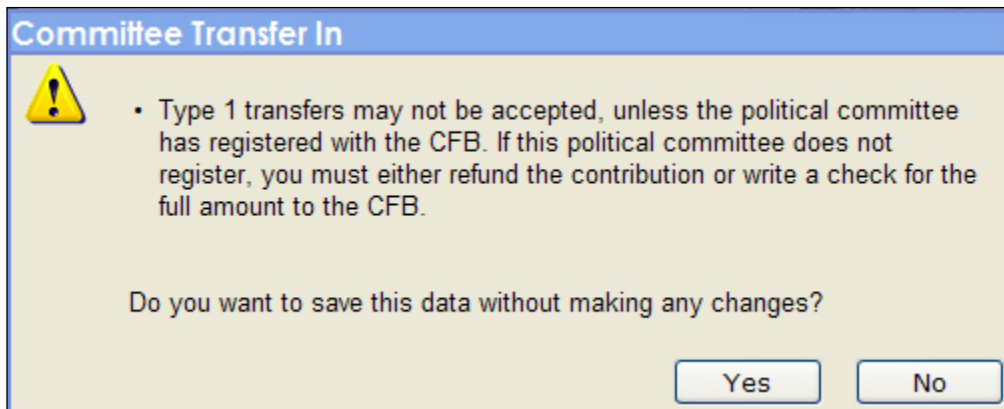
3. To add a Type 1 transfer:

- Click “Add Transfer In”
- Enter the date of the transfer
- Enter the amount of the transfer
- Enter the check number
- Select “Type 1” transfer
- Click Save

The image shows a screenshot of the 'Transfer In' form in the C-SMART application. The form is titled 'Transfer In' and includes the following fields and options:

- Statement No: Transaction ID: 493
- \* Committee: Sophia 2013 (dropdown menu)
- \* Transfer Date: 09/05/2012 (calendar icon)
- \* Amount: 1000.00
- \* Check Number: 101
- Runoff/Rerun:  Segregated:
- Type 1 (selected radio button): Funds received from a party or constituted committee (subject to Campaign Finance Act contribution limits).
- Type 2 (unselected radio button):
  - A Transfers from a committee solely supporting the same candidate in the same election.
  - B Transfers from a committee solely supporting the same candidate in another election.
- Notes: (text area)
- \*Required fields (red text)
- Save and Cancel buttons

4. When you enter a transfer in, a warning will appear reminding you that the transferor committee must be registered with the CFB before you can accept the transferred funds (see the [Registered Political Committee List](#) on the CFB's website).



On this screen, click "Yes" or "No" to save the changes.

If you are entering a transfer out, enter the check number of the committee check used to make the transfer.

The image shows a screenshot of the "Transfer Out" form. On the left side, there are links for "Add Transfer Out", "Modify", and "Delete". The main form area contains the following fields and options:

- Statement No: (empty)
- Transaction ID: (empty)
- \*Committee: Sophia 2013 (dropdown menu)
- \*Transfer Date: 09/10/2012 (calendar icon)
- \*Amount: 1000 (text input)
- \*Check Number: 865 (text input, circled in red)
- Runoff/Rerun:  Segregated:
- Bank Account: Smart Savings(\*\*\*)3521 (dropdown menu)
- Type 1:  Funds disbursed to a party or constituted committee (subject to Campaign Finance Act contribution limits).
- Type 2:  A Transfers to a committee solely supporting the same candidate in the same election.  
 B Transfers to a committee solely supporting the same candidate in another election.
- Notes: (text area)
- \*Required fields (text)
- Save (button)
- Cancel (button)

## TYPE 2A TRANSFER

Entering a Type 2a transfer in C-SMART is a two-step process (A & B). You must report a transfer out by one committee and a transfer in by the other committee.

*Note: If you have more than one committee supporting your candidacy in the same election (prohibited for participants), each committee must register and file disclosure statements with the CFB. Contact your CSU liaison for guidance on how to register multiple committees and how to enter the information in C-SMART.*

### A. Committee Transfer Out

1. Click the Transactions tab and select “Committee Transfers Out.”

Transactions	Reports	Submission	A
<b>Monetary Contributions/Refunds</b>			
<b>In-Kind Contributions/Refunds</b>			
<b>Committee Transfers In</b>			
<b>Other Receipts</b>			
<b>Bills Received/Paid/Refunded/Forgiven</b>			
<b>Committee Transfers Out</b>			
<b>Advance Purchases/Repayments/Forgiven</b>			
<b>Petty Cash Deposits/Disbursements</b>			
<b>Loans Received/Paid/Forgiven</b>			
<b>Partnership/LLC Attributions</b>			
<b>Subcontractors</b>			
<b>Affiliations</b>			
<b>Committee Transfer In Attributions</b>			
<b>Candidate Personal Contributions</b>			

2. In the transaction screen, select the transferor committee’s name from “Select Committee” drop-down. If the transferor committee’s name is not in C-SMART, click “Add New Name.”
3. To add a Type 2a transfer out:
  - Click “Add Transfer Out”
  - Enter the date of the transfer
  - Enter the amount of the transfer
  - Enter the check number
  - Select “Type 2a” transfer
  - Click Save

Transfer Out

Statement No: Transaction ID:

\*Committee: Sophia 2013

\*Transfer Date: 09/10/2012 \*Amount: 2750

\*Check Number: 301 Runoff/Rerun:  Segregated:

Bank Account: Smart Savings(\*\*\*\*\*3521)

Type 1 Funds disbursed to a party or constituted committee (subject to Campaign Finance Act contribution limits).

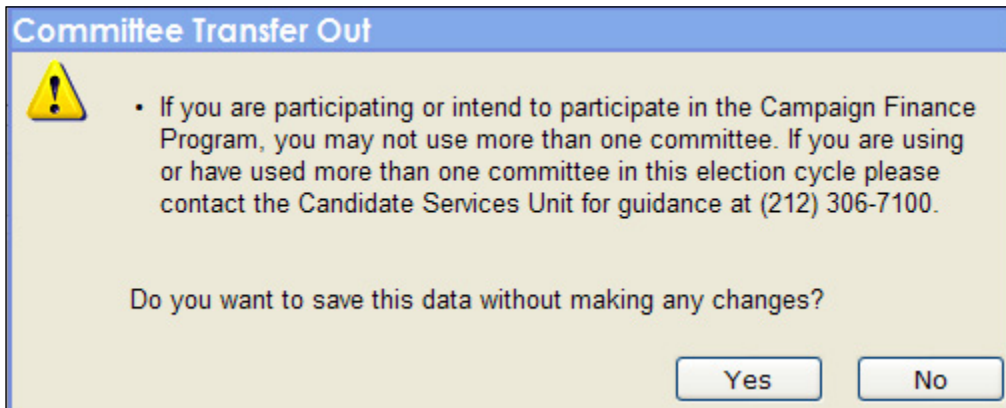
Type 2  A Transfers to a committee solely supporting the same candidate in the same election.  
 B Transfers to a committee solely supporting the same candidate in another election.

Notes:

\*Required fields

Save Cancel

4. When you enter a transfer in, a warning will appear reminding you that Program participants can only have one committee open per election cycle. If you are a participant, you cannot make a Type 2a transfer.



On this screen, click “Yes” or “No” to save the changes.

## B. Committee Transfer In

1. Click the Transactions tab and select “Committee Transfers In.”

Transactions	Reports	Submission	A
<b>Monetary Contributions/Refunds</b>			
<b>In-Kind Contributions/Refunds</b>			
<b>Committee Transfers In</b>			
<b>Other Receipts</b>			
<b>Bills Received/Paid/Refunded/Forgiven</b>			
<b>Committee Transfers Out</b>			
<b>Advance Purchases/Repayments/Forgiven</b>			
<b>Petty Cash Deposits/Disbursements</b>			
<b>Loans Received/Paid/Forgiven</b>			
<b>Partnership/LLC Attributions</b>			
<b>Subcontractors</b>			
<b>Affiliations</b>			
<b>Committee Transfer In Attributions</b>			
<b>Candidate Personal Contributions</b>			

2. In the transaction screen, select the committee that is **giving** the money from the Select Committee drop-down. If the name of the committee is not in C-SMART, click “Add New Name.”
3. To add a Type 2a transfer in:
  - Click “Add Transfer In”
  - Enter the date of the transfer
  - Enter the amount of the transfer
  - Enter the check number
  - Select “Type 2a” transfer
  - Click Save

Transfer In

[Add Transfer In](#)  
[Modify](#)  
[Delete](#)

Statement No:      Transaction ID:

\*Committee: Sophia 2013

\*Transfer Date: 09/10/2012      \*Amount: 2750

\*Check Number: 301      Runoff/Rerun:  Segregated:

Type 1 Funds received from a party or constituted committee (subject to Campaign Finance Act contribution limits).

Type 2  A Transfers from a committee solely supporting the same candidate in the same election.  
 B Transfers from a committee solely supporting the same candidate in another election.

Notes:

\*Required fields

Save      Cancel

Note: The transfer information added for the transfer out and the transfer in will be the same. You must file disclosure statements for all your committee supporting you in the same election.

If you have any questions, contact your Candidate Services liaison at 212-409-1800 or [CSUmail@nyccfb.info](mailto:CSUmail@nyccfb.info).