

By the People: The New York City Campaign Finance Program in the 2013 Elections

The New York City Campaign Finance Board 2013 Post Election Report

Notes on the Appendices

All data for candidates in the Report and in its appendices are from the New York City Campaign Finance Board's [Searchable Database](#), as of February 13, 2014. Information and calculations are as reported to the CFB by the campaigns, and may not reflect conclusions about the data reached during the audit and enforcement process. Information in the online database is subject to change as a result of ongoing audits, additional amendments to filings received from campaigns, and potential post-election public funds payments or repayments.

All schedules cover candidates for the 2013 elections only. Data in the schedules are cumulative for all committees for a given campaign.

[Appendix A: Candidates in the 2013 Elections](#)

Appendix A is a list of all the candidates in the 2013 election. The appendix shows the candidate's name, classification status with the Campaign Finance Program (i.e. participant or non-participant), and the office sought. Candidates are sorted alphabetically by office. A plus (+) sign indicates the candidate was an incumbent in the office sought.

[Appendix A-1: Campaign Finance Program Participants in the 2013 Elections](#)

Appendix A-1 is an alphabetical list of participants by office sought for the 2013 election. An asterisk (*) indicates that the participant was on the ballot in either the primary or general elections. A plus (+) sign indicates the candidate was an incumbent in the office sought. An exclamation point (!) signifies the candidate terminated their candidacy during the election or was deemed terminated by the CFB.

[Appendix B: Totals for Candidates Appearing on the Primary Election Ballot](#)

Appendix B includes data through September 16, 2013 for all candidates appearing on the primary election ballot. The report does not necessarily reflect expenditures attributable only to the primary election, because of potential adjustments made during the audit process. The appendix shows the candidate's name, classification status within the Campaign Finance Program (i.e. participant or non-participant), net contributions, net expenditures, public funds payments for the primary to participants, and votes received in the primary election. Candidates are grouped by the party whose nomination they sought in the primary. Candidates participating in more than one primary appear accordingly, although contribution, expenditure, and public funds data are cumulative for all primary activity. A plus (+) sign indicates that the campaign filed its disclosure statements for the primary period as a small campaign, certifying minimal activity. N/A denotes no filing from the candidate or that the column does not apply. Specific information about the data is indicated by "Notes," listed at the end of the appendix.

Net contributions includes itemized and unitemized monetary contributions, in-kind contributions, transfers received from a party or constituted committee (“Type 1”), outstanding advances, and forgiven loans, less refunds through September 16, 2013. Net contributions does not include any surplus funds from previous elections; transfers from non-covered committees which are reported as lump sum amounts (“Type 2”); any loans that are deemed contributions because they are outstanding after the last election, taken out after the election, or paid back by a third party; or any bills that are deemed contributions because they are outstanding for more than 90 days, paid back by a third party, or forgiven.

Net expenditures includes itemized and unitemized expenditure payments, in-kind contributions, and transfers to a party or constituted committee, less expenditure refunds.

CFB payments consists of public funds disbursed for the primary election, less returned funds.

Notes (.pdf only): The numeral “1” indicates a candidate who did not file all required statements with the Board; the numeral “2” indicates candidates who certified with the Board that they would have minimal campaign activity.

[Appendix C: Totals for Candidates Appearing on the General Election Ballot](#)

Appendix C includes data for all candidates appearing on the general election ballot. It includes all data through January 11, 2014, which is the last day of the 2013 election cycle. It shows the candidate’s name, party line(s), classification status within the Campaign Finance Program (i.e. participant or non-participant), cumulative net contributions, cumulative net expenditures, cumulative public funds payments to participants, and votes received in the general election. The financial transactions are cumulative over the entire election cycle for a candidate regardless of whether the candidate participated in a primary. A plus (+) sign indicates the campaign filed all its disclosure statements as a small campaign, certifying minimal activity. “N/A” denotes no filing from the candidate, or that the column does not apply. Specific information about the data is indicated by “Notes,” which are listed at the end of the appendix.

Net contributions includes itemized and unitemized monetary contributions, in-kind contributions, transfers received from a party or constituted committee (“Type 1”), outstanding advances, and loans forgiven, less refunds for the entire election cycle. Net contributions does not include any surplus funds from previous elections; transfers from non-covered committees which are reported as lump sum amounts (“Type 2”); any loans that are deemed contributions because they are outstanding after the last election, taken out after the election, or paid back by a third party; or any bills that are deemed contributions because they are outstanding for more than 90 days, paid back by a third party, or forgiven.

Net expenditures includes itemized and unitemized expenditure payments, in-kind contributions, and transfers to a party or constituted committee, less expenditure refunds.

CFB payments consists of public funds disbursed for the primary and general elections.

Notes (.pdf only): The numeral “1” indicates a candidate who did not file all required statements with the Board; the numeral “2” notes candidates who certified with the Board that they would have minimal campaign activity. A “3” indicates candidates who were opposed, while a “4” notes

candidates who were unopposed in the primary but eligible for the primary election spending limit due to another party having a primary for that same office.

Appendix D: Contributions and Other Receipts

Appendix D gives a detailed breakdown of candidates' contributions and other receipts and totals by office. It shows the candidate's name, classification status within the Campaign Finance Program (i.e. participant or non-participant), itemized contributions, unitemized contributions, refunds, net contributions, miscellaneous receipts, funds from prior elections, and totals.

Itemized contributions includes itemized monetary and in-kind contributions, transfers received from a party or constituted committee, outstanding advances, and forgiven loans.

Unitemized contributions includes contributions of \$99, or less for which campaigns are not required to report detailed information.

Refunds represents contributions refunded by the campaign.

Net contributions is the sum of itemized and unitemized contributions, less refunds.

Other receipts shows total income derived from sources other than contributions or loans, such as interest and proceeds from sales or leases, but does not include public funds payments.

Funds from prior elections shows each campaign's reported opening balance on its first disclosure statement filed for the 2013 election cycle, but does not reflect monies transferred from past elections.

Total represents the sum of total net contributions, other receipts, and funds from past elections.

Appendix E: Contributions by Type of Contributor

Appendix E shows the candidate's name, classification status within the Campaign Finance Program (i.e. participant or non-participant), itemized monetary, in-kind contributions, outstanding advances, and forgiven loans, less refunds by type of contributor as reported by campaigns. Contributor types are:

- Individuals, including the candidate and the candidate's family members
- Corporations
- Employee organizations, including unions and guilds
- Political committees, including party committees, political action committees, candidate committees, and the PACs of unions and corporations
- Partnerships/LLCs
- Other organizations, denoting entities that campaigns did not assign to one of the preceding categories

Program participants were prohibited from accepting contributions from corporations after December 31, 1998, and nonparticipants prohibited from accepting corporate contributions after December 15, 2004. Contributions from partnerships and LLCs were banned after January 1, 2008. The data as reported may not reflect audit findings of misreporting by campaigns.

This appendix does not include surplus funds from previous elections; transfers from non-covered committees; loans that are deemed contributions because they are outstanding after the last election or paid back by a third party; or bills that are deemed contributions because they are outstanding for more than 90 days, paid back by a third party or forgiven.

[Appendix F: Loans](#)

Appendix F reports total loans made and the number of lenders to a candidates' campaign. Advances to a campaign are reported separately from loans, and are not accounted for in this appendix.

Classification represents the candidate's participation status within the Campaign Finance Program (i.e. participant or non-participant).

Number of lenders identifies the number of individuals or other entities that made loans to the campaign.

Total loans represents the total dollar amount of loans received.

Loans forgiven represent the total dollar amount of loans forgiven by the lender.

Aggregate amount outstanding is the total loans, less any principal and interest repayments. Negative aggregate outstanding amounts can result from the extent to which accrual of interest causes loan repayments to exceed the original loan amounts.

[Appendix G: Total Expenditures by Expenditure Limit Period](#)

Appendix G reports expenditures as reported by the campaigns, totaled by expenditure limit periods. Expenditures are broken up into *non-exempt* and *exempt* subtotals and grouped by expenditure periods. *Exempt* expenditures are those expenditures not included when calculating spending limit compliance, and are subject to review during the audit process. Expenditure periods include all expenditures incurred *prior to the election year* (< 2013), *election year to the primary* (1/1/2013 - 9/10/2013), *post primary to the general election* (9/11/2013 - 11/5/2013), and *post general election to the end of the election cycle reporting period* (11/6/2013 – 1/11/2014). Expenditures containing dates outside of this range are reported in the *prior to election year total*. Outstanding bills as of the last disclosure statement submitted are included in the period in which that statement covers.

[Appendix H: Candidate Payments Summary \(Participants Only\)](#)

Appendix H lists public funds disbursed to participating candidates in the primary and general elections, and totals by candidate, office, and election type. It does not include funds returned to the CFB. Amounts may reflect withholdings from public funds in lieu of penalty payments made by a campaign.

[Appendix I: Candidates' Financial Summary](#)

Appendix I summarizes contributions, expenditures, public funds payments, and other campaign activity.

Classification represents the candidate's participation status within the Campaign Finance Program (i.e., participant or non-participant).

Net contributions include itemized and unitemized monetary contributions, in-kind contributions, transfers received from a party or constituted committee ("Type 1"), outstanding advances, and forgiven loans, less refunds. Net contributions do not include any surplus funds from previous elections; transfers from non-covered committees which are reported as lump sum amounts ("Type 2"); any loans that are deemed contributions because they are outstanding after the last election, taken out after the election, or paid back by a third party; or any bills that are deemed contributions because they are outstanding for more than 90 days, paid back by a third party or forgiven.

Number of contributors is the number of distinct individuals and other entities that have made itemized contributions to the campaign.

Miscellaneous receipts is the total income derived from sources other than contributions, loans, or public funds payments, such as interest and proceeds from sales or leases. It also includes any transfer from a committee solely supporting the same candidate that is not taking part in this election. *Public funds payments* lists funds disbursed to candidates for the primary and general elections.

Public funds returned is the total amount of public funds returned, not including penalty payments.

Loans received is the total dollar amount of loans received.

Loans paid includes all payments of loan principal and interest and any loans forgiven.

Net expenditures (except outstanding) is the total itemized and unitemized expenditure payments, in-kind contributions, transfers to a party or constituted committee, and advances, less expenditure refunds.

Outstanding bills consists of the outstanding bills reported on the last disclosure statement filed.