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ANNUAL REPORT

Missouri Ethics Commission



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Missouri Ethics Commission – Annual Report

Commission Overview: Authority and Mission

The Missouri Ethics Commission was established by the Missouri General Assembly in 1991 with the passage of SB 262 (§§105.955 – 105.963, RSMo). The MEC consists of 6 members, 3 Republicans and 3 Democrats, who are appointed by the Governor with the advice and consent of the Senate. Each member is appointed for a four year term.

The MEC acts through its Executive Director and a full-time professional, non-partisan staff. Under state statute, the MEC is responsible for the following:

- Lobbyist registration and reporting of lobbyist expenditures
- Campaign finance reporting for those committees filing reports with the MEC
- Receiving Personal Financial Disclosure Statements (Financial Interest Statements) and maintaining an up-to-date list of required filers

The MEC has the authority to receive complaints and conduct audits and investigations to ensure that lobbyists, committees, and public officials are properly filing reports. The MEC also may investigate complaints relating to the conflict of interest laws (§§105.450 to 105.468, RSMo), provisions of the Missouri Constitution or a statute or local order, ordinance or resolution relating to the official conduct of public officials or employees.

The MEC is actively engaged in training public officials and candidates, particularly relating to the campaign finance laws in Chapter 130, RSMo, lobbying, personal financial disclosure, and conflict of interest laws.

In November 2016, the voters passed an amendment to the Missouri Constitution, MO. Const. Article VIII, §23, commonly referred to Amendment 2. The amendment went into effect on December 8, 2016. This report has limited information related to this law, and future reports will have additional information.

The MEC staff has adopted its current Strategic Plan which includes the following Mission Statement:

The MEC serves the public interest by promoting and maintaining transparency, accountability, and compliance with campaign finance, lobbying, and conflict of interest laws. We educate and assist the citizens of Missouri, public officials, lobbyists, and those participating in public elections by increasing awareness and understanding of the law. We investigate and enforce these laws consistently.

We hope that you get a better idea of the work the MEC does by reviewing this Annual Report. If you are interested in learning more about the MEC and the work we do, please visit our website at www.mec.mo.gov.

Missouri Ethics Commission

Campaign Finance

Introduction & Purpose

Campaign Finance Disclosure is required when individuals, groups, and entities receive money (contributions) and/or spend money (makes contributions or expenditures (paid or incurred)) to support or oppose a candidate or ballot measure. The law requires record-keeping and, in most instances, reporting of this activity. The purpose for these disclosure requirements is to provide accountability, transparency, and enforceability. See Chapter 130, RSMo for more information.

Commission staff members assist filers in complying with the statutes via telephone inquiries, e-mail inquiries, and statewide training seminars. The individuals required to file committee disclosure reports are a person or any combination of persons, who accept contributions or make expenditures exceeding certain dollar thresholds for the purpose of attempting to influence the action of voters. Staff receives, processes, and, if necessary, audits the reports. The number of reports received varies depending on the election year. The even numbered calendar years will contain six to eight reporting deadlines, while the odd numbered calendar years will contain only four to five reporting deadlines.

A **campaign finance committee** is a person or group of persons who accept money from others (contributions received) or spends or incurs money (expenditures made) to influence the action of voters for or against candidates and/or ballot measures, or to pay a campaign debt. See §130.011, RSMo for full definition of “committee” and “person.” Once the money spent or received exceeds certain dollar amounts, a campaign finance committee must be formed and registered.

A candidate committee is the most common type of campaign finance committee. The type of office a candidate is running for, the amount of money accepted (contributions received), and the amount of money spent or incurred (expenditures made) by the candidate determines his/her level of reporting and whether or not the candidate has to form and register a campaign finance committee. In general, committees are required to register and file disclosure reports with the MEC. Only campaign committees formed to support or oppose a local ballot issue have the option of registering and reporting with either the MEC or their local election authority (county clerk or board of election commissioners).

Missouri Constitution Article VIII, §23, commonly referred to Amendment 2, went into effect on December 8, 2016. The constitutional amendment imposed contribution limits on candidates for statewide and judicial office as well as the general assembly. The amendment also contains limitations and restrictions on corporate, labor, and candidate committees contributions to certain committees.

For purposes of this report, data is compiled from reports from committees that are registered with the MEC and subsequently file their reports with the MEC; local committees filing only with their local election authorities are not included.

🔗 See [When to Form and Register a Committee](#) for specifics.

Information provided as of January 29, 2017, and is based upon data as reported to the Missouri Ethics Commission

Campaign Finance

2016 Statistics

Total Campaign Finance Activity as Reported to the MEC in 2016

Category	Amounts*
Total Receipts**	\$245,489,610.16
Total Expenditures	\$176,327,605.16
Total Contributions Made To Other Committees	\$74,225,031.46

* Amounts reflect activity during 2016.

** Receipts included both contributions received and miscellaneous receipts (e.g. Interest, returned checks, refunds).

Registered Campaign Finance Committees: There were 2,790 campaign finance committees actively registered with the MEC during 2016. In addition, there were forty-nine candidates for statewide office, general assembly, and certain municipal offices who received or spent \$500 or less who were exempt from forming a committee and filed a Statement of Exemption with the MEC.

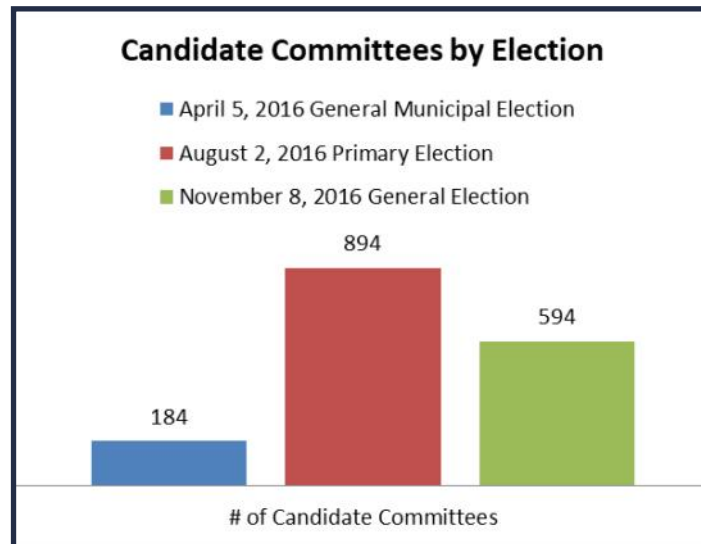
2016 Campaign Finance Committee Types	Number	Definition
Campaign	84	Formed to support or oppose ballot measure(s) in a specific election or for the retention of judges appointed under the nonpartisan court plan.
Candidate	1,602	Formed by a single candidate for office in a specific election. Contributions received are used in the specific election to support the candidacy. The candidate may have only one candidate committee per office sought.
Continuing/ Political Action (PAC)	858	Formed to support or oppose candidate(s) or ballot measure(s), and to remain in existence beyond any one election cycle.
Debt Service	20	Formed to retire a candidate committee's debt as reported on the 30 Day After Election campaign finance disclosure report. May stay in existence no more than 18 months after forming.
Exploratory	3	Formed to receive/spend money to determine whether an individual will seek public office.
Political Party	223	Formed as a committee of a political party. A state, district, county, city, or area committee of a political party, defined in §115.603, RSMo.
TOTAL	2,790	

Information provided as of January 29, 2017, and is based upon data as reported to the Missouri Ethics Commission

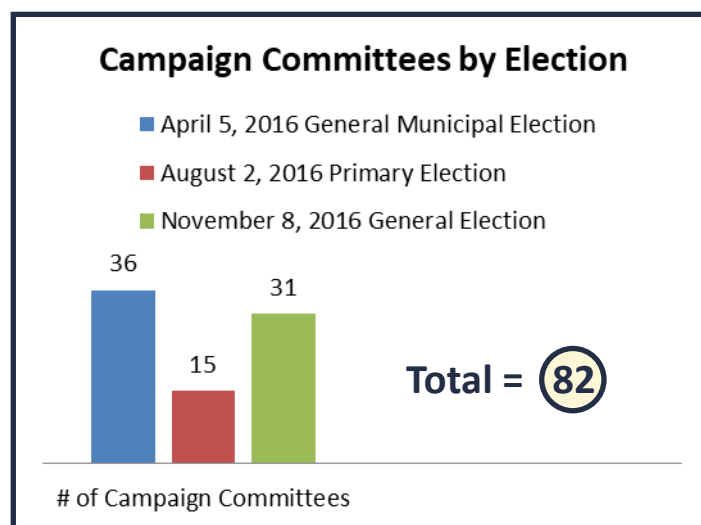
Campaign Finance

2016 Statistics

Candidate Committees participating in 2016 elections, by election date: (Candidate Committees successful in the August 2, 2016 Primary Election also participated in the November 8 General Election. A special Primary Election for House District 78 was held on September 16, 2016. Two candidate committees participated.)



Campaign Committees formed for 2016 elections, by election date:



Information provided as of January 29, 2017, and is based upon data as reported to the Missouri Ethics Commission

Campaign Finance

2016 Statistics

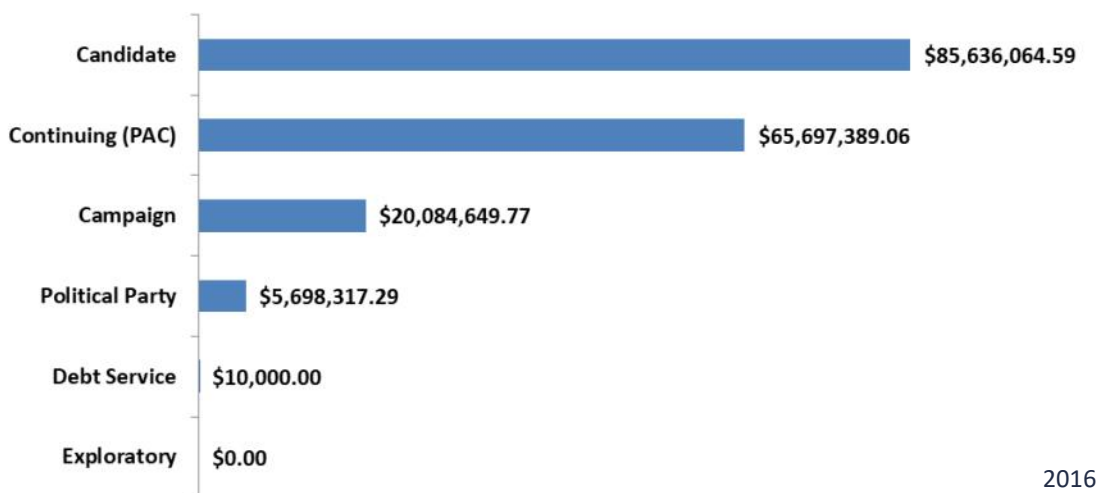
Contributions over \$5,000: Any individual or committee that receives a single contribution (including a loan, see §130.011, RSMo for full definition of contribution) from a contributor in an amount over \$5,000 must electronically report the contribution to the MEC within 48 hours of its receipt and must also report this contribution on the committee’s next filed report. This report is required from all committees, including local committees, who upon receipt of a contribution over \$5,000 must register their committee with the MEC and file the report within 48 hours to avoid late fees.

2016 Reported Contributions Received over \$5,000		Number
# of contributions reported received		2,953
# of committees reporting receiving contribution		377
Total \$ amount reported received in contributions		\$177,126,420.71
Largest \$ contribution reported received		\$4,000,000.00

Type of contributors making large contributions		Number
Committees		1,038
Businesses/Organizations		1,129
Individuals		786

Type of committees receiving contributions		Number
Candidate		183
Continuing (PAC)		157
Campaign		26
Political Party		10
Debt Service		1
Exploratory		0

Total Amount of Contributions over \$5,000 Received by Committee Type

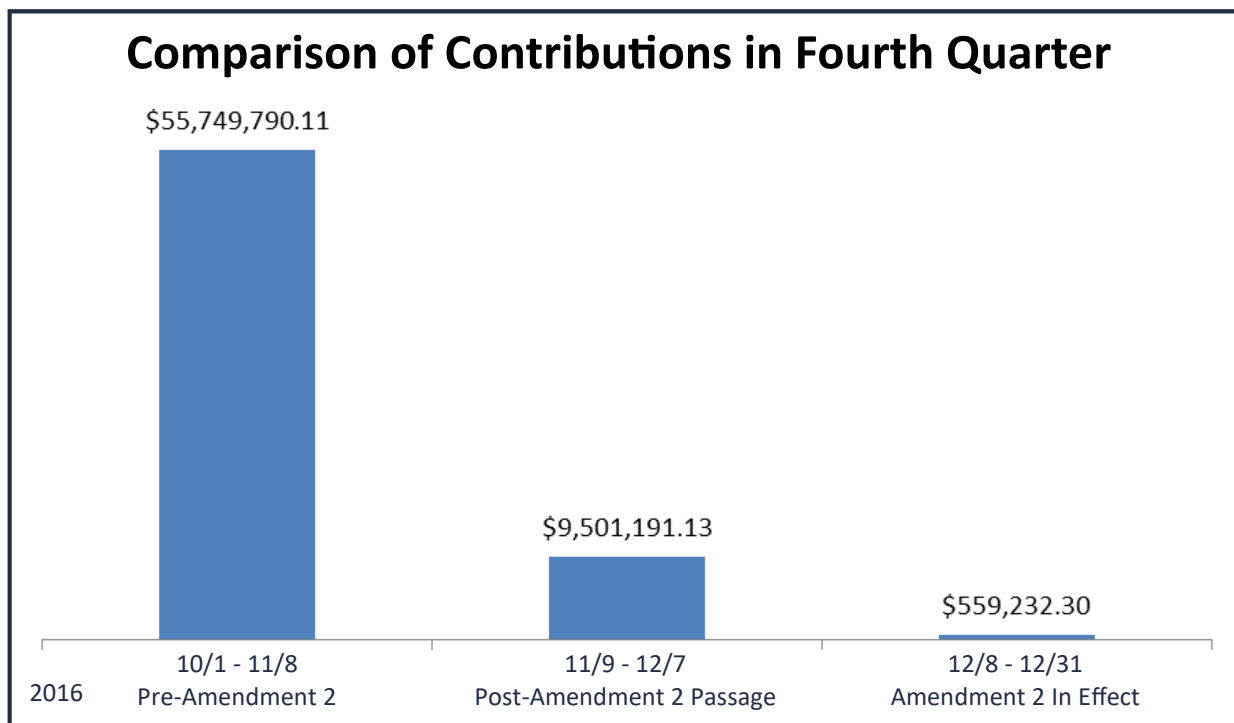
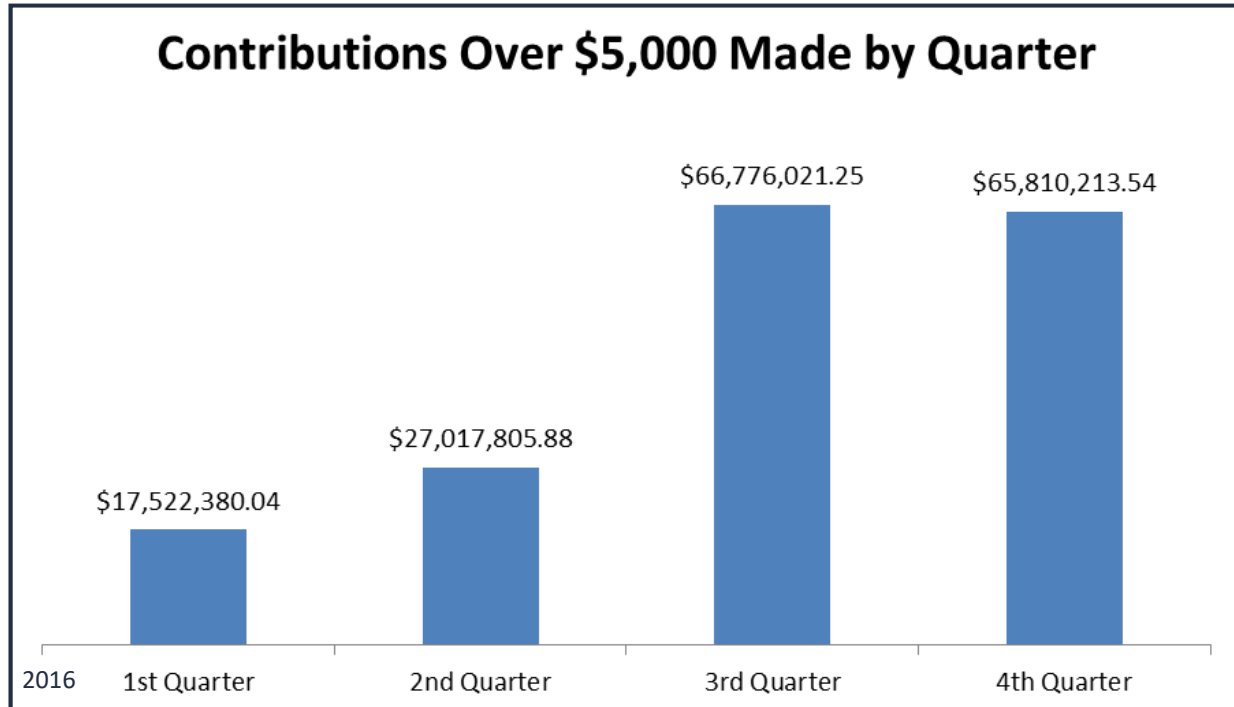


Information provided as of January 29, 2017, and is based upon data as reported to the Missouri Ethics Commission

Campaign Finance

2016 Statistics

Contributions over \$5,000 (continued):



Information provided as of January 29, 2017, and is based upon data as reported to the Missouri Ethics Commission

Campaign Finance

2016 Statistics

Campaign Committees Expending Money to Support/Oppose Ballot Measures:

Contributions and/or expenditures made, as reported by committees. Local committees that register and file their campaign finance reports only with their county clerk or board of election commission are not included in this search.

Ballot Measure	Election Date	Support	Oppose	Pass/Fail	Total Expended
Constitutional Amendment 1 : Soil & Water Conservation and State Parks	11/8/16	\$66,595.43	\$265,544.78	Pass	\$332,140.21
Constitutional Amendment 2 : Campaign Finance	11/8/16	\$56.26	\$290.25	Pass	\$346.51
Constitutional Amendment 3: Tobacco Tax	11/8/16	\$1,008,957.52	\$6,072,442.58	Fail	\$7,081,400.10
Constitutional Amendment 4: Sales/Use Tax	11/8/16	\$5,121,487.04	\$91.60	Pass	\$5,121,578.64
Constitutional Amendment 6: Voter ID	11/8/16	\$0.00	\$346.50	Pass	\$346.50
Proposition A: Tobacco Tax	11/8/16	\$703,031.37	\$282.36	Fail	\$703,313.73

2016

Campaign Finance

2016 Statistics

Total receipts reported by candidate committees for statewide offices and the general assembly.

Office Sought	Total receipts reported
Governor	\$58,532,288.40
Lt. Governor	\$5,891,258.24
Secretary of State	\$2,382,801.74
State Auditor*	\$223,408.48
State Treasurer	\$2,838,979.65
Attorney General	\$16,072,024.80
Undeclared Statewide Offices	\$3,283,308.61
State Senate	\$11,734,327.16
House of Representatives	\$13,285,767.67

2016

*Unlike other statewide offices the state Auditor is elected in 2018 rather than 2016. In the general assembly, all the seats of the Missouri House (163) and half the seats of the Missouri Senate (17) were up for election in 2016.

Total receipts reported for candidate committees for county offices and municipalities with a population over 100,000:

County/Municipality	Total receipts reported
City of St. Louis	\$2,194,729.41
City of Kansas City	\$180,929.68
St. Louis County	\$1,496,800.70
Jefferson County	\$654,558.60
St. Charles County	\$238,598.84
City of Columbia	\$295,726.44
City of Springfield	\$158,784.00
Boone County	\$585,626.54
Jackson County	\$117,466.99
Franklin County	\$194,845.92
Greene County	\$71,005.80
City of Independence	\$102,836.85
Clay County	\$133,623.63
Jasper County	\$46,197.08

2016

Information provided as of January 29, 2017, and is based upon data as reported to the Missouri Ethics Commission

Campaign Finance

2016 Late Fee Assessment

Late Fee Introduction

Sections 105.492 and 105.963, RSMo, give the Executive Director of the MEC the authority to assess late filing fees for reports not filed by the statutory deadline.

Campaign Finance Disclosure Reports (§105.963, RSMo) - Candidates for office and campaign finance committees are required to timely file campaign finance disclosure reports with the MEC. A candidate committee or a campaign finance committee which fails to timely file a campaign disclosure report shall be assessed a late filing fee of ten dollars (\$10) per day for each day the report is not received by the MEC up to a maximum of \$3,000. However, a candidate committee which fails to file an 8-day before the election report shall be assessed a late filing fee of one hundred dollars (\$100) per day for each day the report is not received, until the day after the election, when the late fee accrues at \$10 per day up to a maximum of \$6,000.

Late Fee Assessment in 2016

Committee Type	# of Reports Assessed	\$ Assessed
Candidate		
• Statewide	14	\$1,160.00
• General Assembly	148	\$24,170.00
• Other Candidate Committees Required to File with the MEC	89	\$15,510.00
PAC	147	\$32,990.00
Political Party	27	\$7,650.00
Campaign	12	\$1,940.00
2016 Total	437	\$83,420.00

Report Types	# of Reports	\$ Assessed
Quarterly	200	\$43,480.00
8 Day Before Election	67	\$12,070.00
30 Day After Election	71	\$3,940.00
Large Contribution Over \$5,000	95	\$23,600.00
40 Day Before Election	4	\$330.00
2016 Total	437	\$83,420.00

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Lobbying

Introduction & Purpose

A **lobbyist** is a person who attempts to influence the action of government (see §§105.470-105.478, RSMo for more information). A lobbyist principal is any person, business entity, governmental entity, religious organization, non-profit corporation or association who employs, contracts for pay, or otherwise compensates a lobbyist. There are four types of lobbyists:

- Legislative lobbyist
- Executive lobbyist
- Judicial lobbyist
- Elected local government official lobbyist

A lobbyist may register to lobby any or all of these government branches. Each lobbyist must do the following:

- Register annually with the MEC
- Pay a \$10 annual registration fee
- File monthly reports disclosing any monies spent on elected officials, their spouses, and dependent children, and/or staff, and disclosing business relationships with public officials.

Failure to timely file the monthly statement results in a \$10 per day late fee. A registered lobbyist may terminate their registration at any time. A lobbyist or lobbyist principal must file a List of Principals and Legislative Action report with the MEC by March 15 and May 30 of each year.

Reported Lobbyist Expenditures

Lobbyists report monies spent by the lobbyist principal and/or the lobbyist. They report monies spent on behalf of public officials, their staff and employees, spouses, and dependent children. Lobbyist expenditures include:

- Printing & Publication
- Media & Other Advertising
- Travel
- Entertainment
- Honorariums/Gifts
- Meals/Food/Beverages
- Other

🔗 See [Lobbyist Tutorials & FAQs](#) on our website.

Lobbying

2016 Statistics

Registered Lobbyists: Each lobbyist shall, not later than January fifth of each year or five days after beginning any activities as a lobbyist, file standardized registration forms verified by a written declaration that it is made under penalty of perjury, along with a filing fee of ten dollars, with the MEC. There were 1,122* lobbyists registered with the MEC during the calendar year 2016.

2016 Lobbyist Type	Number
Legislative	667
Executive	621
Judicial	7
*Legislative/Executive/Judicial	291
Elected local government official	553

**One lobbyist may register as more than one type.*

Reported Expenditures:

Each month registered lobbyists electronically report to the MEC their expenditures for the prior month and any direct business relationship, association, or partnership the lobbyist has with a public or elected local government official.

Reported expenditures include data from January 2016 through December 2016, as reported in lobbyists' monthly reports filed through January 2017.

Official Type	Total # of Expenditures	Reported Amount Spent on Official	Reported Amount Spent on Staff	Reported Amount Spent on Family
Representatives	4,473	\$157,214.31	\$9,698.28	\$8,724.94
Senators	2,220	\$41,820.96	\$17,130.77	\$3,557.72
Statewide Elected Officials	6	\$181.60	\$376.14	-
Supreme Court Judges	1	\$30.00	-	-
Local Elected Officials	266	\$17,073.38	-	-
Other Public Officials	3,077	\$3,289.30	\$59,831.57	\$2,002.94
2016 Total	10,043	\$219,609.55	\$87,036.76	\$14,285.60

Information provided as of January 29, 2017, and is based upon data as reported to the Missouri Ethics Commission

Lobbying

2016 Statistics

Reported Expenditures (continued):

Group expenditures are expenditures made on behalf of a group on any single occasion when any of the following groups are invited, in their entirety, in writing: all members of the Senate or House; all members of a Joint Committee of the General Assembly; all members of a Standing Committee of the Senate or House; and, all members of a caucus of the majority or minority party of the Senate or House.

Group	Reported Expenditures
General Assembly	\$192,983.56
Senate	\$50,572.71
House	\$2,466.92
Majority Caucus: House	\$11,856.91
Majority Caucus: Senate	\$2,467.31
Minority Caucus: House	\$7,499.74
Minority Caucus: Senate	\$1,877.44
Standing/Joint Committees	\$14,027.42
2016 Total	\$283,752.01

Information provided as of January 29, 2017, and is based upon data as reported to the Missouri Ethics Commission

Lobbying

2016 Late Fee Assessment

Late Fee Introduction

Sections 105.492 and 105.963, RSMo, give the Executive Director of the MEC the authority to assess late filing fees for reports not filed by the statutory deadline.

Lobbyist monthly expenditure reports (§105.492, RSMo) - Each lobbyist is required to file a monthly expenditure report electronically. The Lobbyist Reports are due the 10th of each month for any activity occurring in the previous month. If the lobbyist made no expenditures, the lobbyist must still file a No Expenditure Report. After the 10th of the month, a lobbyist which fails to file a monthly expenditure report shall be assessed a late filing fee of ten dollars (\$10) per day for each day the report is not received by the MEC.

Late Fee Assessment

Month Report Due	# Assessed	\$ Assessed
January	6	\$310.00
February	14	\$300.00
March	28	\$510.00
April	15	\$530.00
May	16	\$550.00
June	7	\$210.00
July	15	\$260.00
August	17	\$390.00
September	19	\$290.00
October	8	\$180.00
November	15	\$550.00
December	20	\$960.00
2016 Total	180	\$5,040.00

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Personal Financial Disclosure

Introduction & Purpose

Personal Financial Disclosure (PFD) statements are financial interest statements completed and filed by a public official, an employee, or a candidate. The purpose of filing a PFD is to disclose any potential conflicts of interest between the individual and the individual's political subdivision. A subdivision includes subdistricts or special districts of the state. PFD filers must include financial information for themselves, their spouses, and their dependent children. The financial information disclosed includes only sources of income, assets, and other holdings but not dollar amounts. The MEC must retain the statements which are available upon request. See §§105.483—105.492, RSMo for more information.

Staff members of the MEC assist subdivisions and filers in complying with the statutes. PFD statements are reviewed and processed. The individuals required to file a PFD statement include judges, elected and appointed office holders, candidates for elective or appointed offices, administrative assistants to the statewide office holders, members of boards and commissions, and certain employees of state agencies. 8,000 to 12,000 PFD statements are filed each year depending on the number of candidates required to file a PFD.

2016 Subdivisions with officials subject to PFD requirement

Subdivision Type	Number
Cities & Villages	940
Public School Districts, Charter Schools, Colleges & Universities	588
Counties & Townships	415
Water, Sewer, Levee and Drainage Districts	414
Fire Districts	394
Community Improvement Districts	302
Road Districts	241
Transportation Development Districts	210
Ambulance, 911, & Emergency Districts	158
Health Departments, Hospital, Nursing Home Districts	157
Library Districts	126
Statewide Offices, General Assembly, Boards & Commissions, Agencies	48
Senate Bill 40/Developmental Disabilities Districts	72
Other*	62
Total Subdivisions	4,127

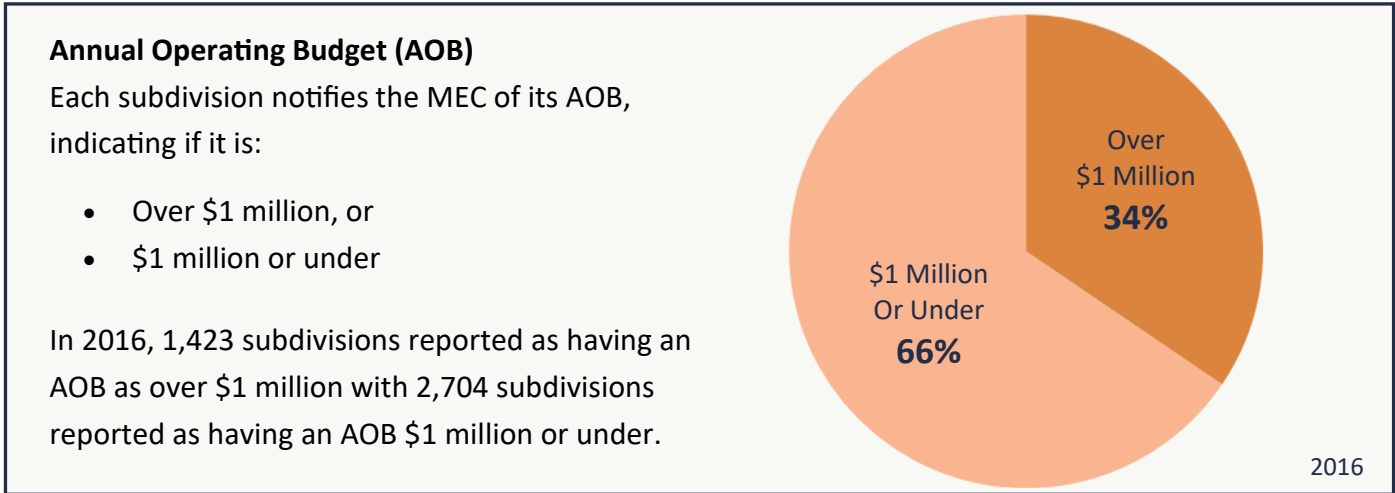
*Other includes Senior Citizens/Services Boards, Senior Citizens Tax Board, Productive Living Boards, Light Districts, Weed/Noxious Weed Control, Johnson Grass Boards, Missouri Botanical Garden, Saint Louis Science Center, Art Museum, Zoological Boards, and other such special purpose districts.

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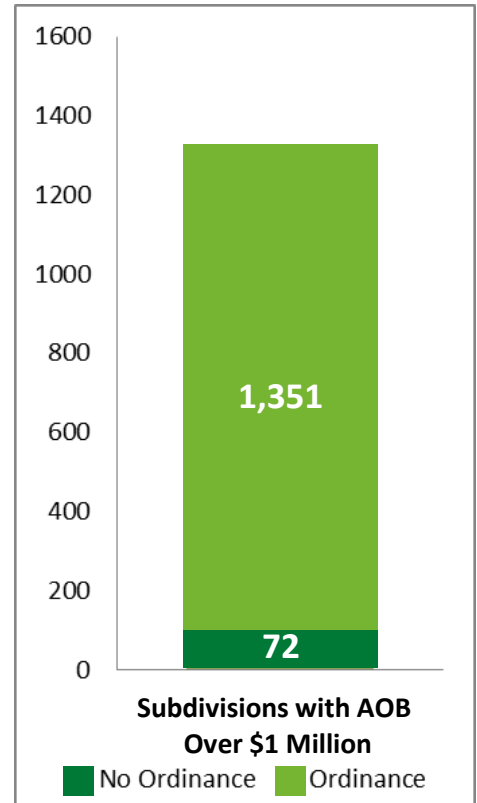
Personal Financial Disclosure

2016 Subdivision Statistics (continued)

The law specifically defines those public officials and candidates (based upon the position they hold with the subdivision or the office they are seeking) required to file a PFD. The law also allows each subdivision the option of adopting its own method of disclosing conflicts of interests and provides minimum requirements. This ordinance, order, resolution, or policy must be adopted or re-adopted biennially by September 15. A certified copy of the ordinance, order, resolution, or policy must be filed with the MEC.



Conflict of Interest Ordinance: Section 105.485.4 , RSMo allows a subdivision to adopt its own ordinance, order, resolution, or policy setting forth which individuals must annually file a PFD and what information must be disclosed (see Sample Ordinance on the MEC website). At a minimum, each official that had a business transaction over \$500 with the subdivision, the chief administrative, and chief purchasing officer(s) are required to file a PFD. The subdivision is responsible for enforcing its ordinance, including imposing any penalties the ordinance may provide for those who fail to file or file late. If a subdivision does not adopt such an ordinance, resolution, or policy, then all public officials must file a PFD. PFDs are due each year by May 1, or if the person is newly appointed or hired, within 30 days of the appointment date, or if a candidate, within 14 days after filing closes for such office. Of the 1,423 subdivisions reporting an AOB over \$1 million, 1,351 have an adopted a conflict of interest ordinance, resolution, or policy on file with the MEC.



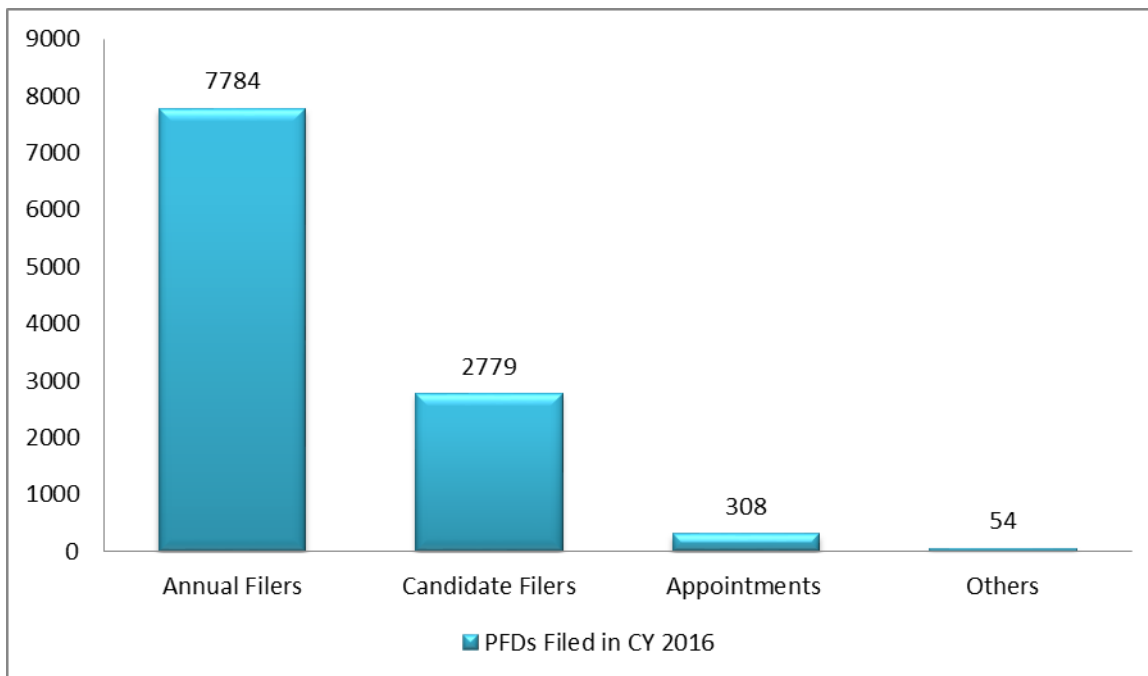
2016

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Personal Financial Disclosure

2016 Statistics

The following chart represents the number of filers submitting a PFD statement to the MEC during the 2016 calendar year. A total of 10,925 PFDs were filed in 2016.



Annual Filers include those required or designated within their state agency or by their subdivision to file a PFD due to the position held. They must file the PFD by May 1.

Candidate Filers include candidates required to file a PFD due to the office they are seeking. They must file the PFD within 14 days of the closing date for candidate filing for the office.

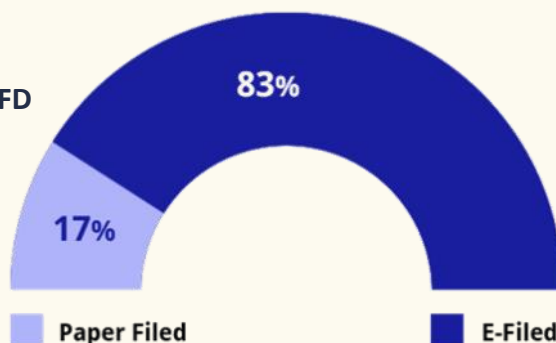
Appointees include those required to file a PFD due to the position, board, or commission to which they have been appointed. They must file within 30 days of their appointment date.

Others includes those required to file a PFD that are not identified above, including new hires, who must file their PFD within 30 days of their hire date.

E-filing is available to all PFD filers and encouraged by the MEC staff. In 2016, approximately 83% of those required to file a PFD did so electronically.

2016

E-File PFD



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Personal Financial Disclosure

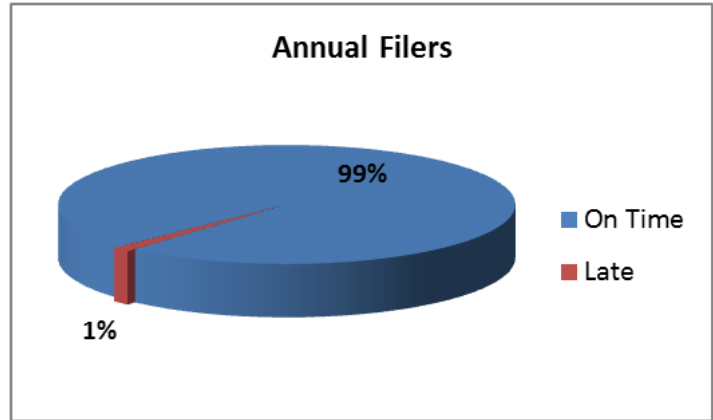
2016 Late Fee Assessment

Sections 105.492 and 105.963 , RSMo, authorize the Executive Director of the MEC to assess late filing fees for reports not filed by the statutory deadlines.

2016 PFD: Late Fee Assessment

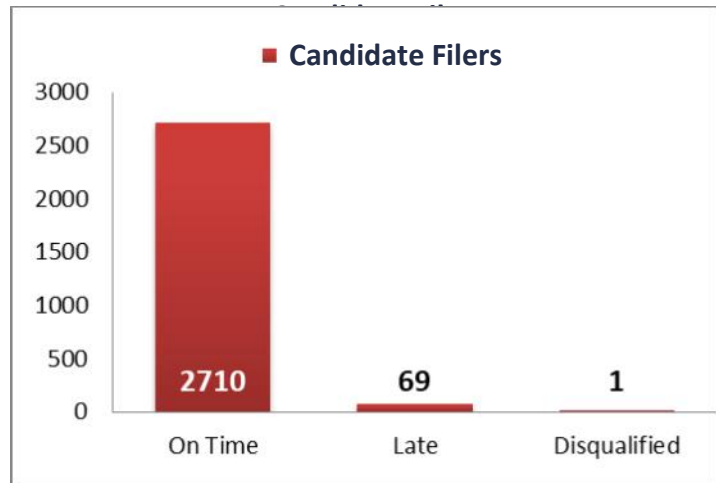
Annual Filers that do not file their PFD by May 1 are assessed a \$10 per day late fee. If the filing is over 30 days late, the fee shall accrue at \$100 per day, up to a maximum of \$6,000. (§105.963.3 RSMo).

A person who fails to file the PFD may also be subject to having compensation withheld until that person files the PFD and may also be subject to suspension from office if the person does not file the PFD within 30 days after receiving notice that the PFD is late. At the request of the MEC, the Attorney General or prosecuting attorney may take necessary legal action to enforce this provision (See §105.492.1, RSMo).



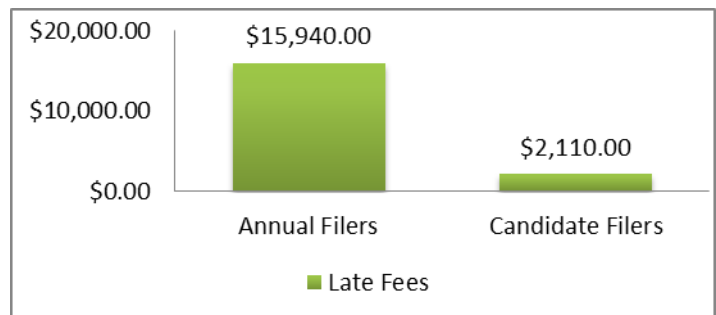
2016

Candidate Filers that do not file their PFD by the 14th day after the close of filing for their election are assessed a \$10 per day late fee, for the first seven days. If the candidate has not yet filed a PFD by the 21st day after the close of filing for their election, the MEC will notify the election official who accepted the declaration of candidacy of the failure to file a PFD. The candidate is disqualified as a candidate and the election authority is required to remove his or her name from the ballot (See §105.492.2, RSMo).



2016

In 2016, total late fees assessed for annual filers was \$15,940.00 and total late fees assessed for candidate filers was \$2,110.00. Late fees are deposited in the State’s general revenue fund.



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2016

Educational Resources & Training

Training

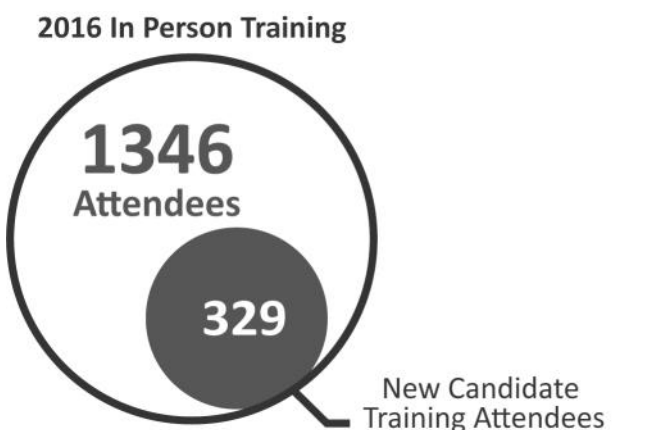
The MEC offers training, in a variety of mediums, to candidates, elected and public officials, legislators, lobbyists, and others wanting to learn about campaign finance laws. Topics include campaign finance, conflicts of interest, personal financial disclosures, and lobbying.

What types of training are offered?

- Trainings/Presentations—as requested from various associations and groups at their events/conferences
- County/Board of Election Commission training - hosted by a particular county or BOEC for the benefit of their candidates and elected officials and located in host county
- Webinars—hosted by the MEC and transmitted over the web
- In-person regional training—hosted by the MEC and presented in Jefferson City
- Self-running tutorials—hosted on the MEC website

Publications and Brochures: Information and Education

- Quarterly MEC e-Newsletter
- Quick reference Fact Sheets on topics including campaign finance, complaints, lobbyist, and personal financial disclosure
- Campaign Materials Identification Requirements brochure (Paid For By)
- Guide to Ethics Law
- Election Deadlines and Reminders publications for candidates
- @MOEthics Twitter account provides news, deadlines, and links to informative content



2016 Webinar Attendees



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Enforcement

Introduction and Purpose

Explanation of Investigative and Audit Processes

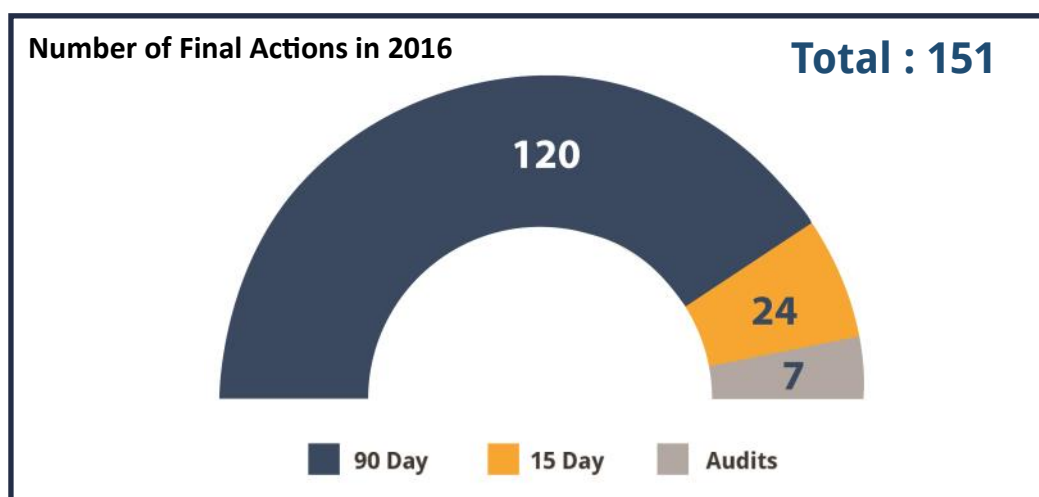
The MEC conducts audits and investigations under §§105.955 to 105.961, RSMo. The MEC may receive a notarized complaint alleging a violation of: Lobbying, Conflict of Interest, and Personal Financial Disclosure (Chapter 105, RSMo); Campaign Finance (Chapter 130, RSMo); provisions of the Missouri Constitution, States Statutes, or Orders, Ordinances, or Resolutions of political subdivisions relating to official conduct of officials or employees. The MEC may only investigate an alleged violation occurring within two years before the complaint is filed.

A complaint is assigned to an investigator who completes the investigation and presents a report to the MEC within 90 days. However, if a complaint is received alleging campaign finance or violations by a candidate within 60 days before an election, the report must be presented to the MEC within 15 business days. Such investigations are limited in scope to the allegations contained in the original complaint.

The MEC reviews the report to determine if there are reasonable grounds to believe a violation has occurred. If the MEC finds reasonable grounds, it refers the report to the MEC Counsel or the appropriate prosecutorial authority for further legal action. If the MEC does not find reasonable grounds, it dismisses the complaint.

An audit can occur as a result of staff review of a committee's campaign finance disclosure reports filed with the MEC or by referral from a local election authority. After review, if there are reasonable grounds to believe that a violation has occurred, the Executive Director shall initiate an audit of the committee. Unlike a complaint, an audit report may take more than 90 days to complete before being presented to the MEC. If the MEC finds reasonable grounds, it refers the report to the MEC Counsel or the appropriate prosecutorial authority for further legal action. If the MEC does not find reasonable grounds, it dismisses the complaint.

Within 5 days of initiating an investigation or audit the MEC notifies the parties. State law requires investigations and audits to remain confidential except for the MEC's final actions, which are posted on the MEC website.



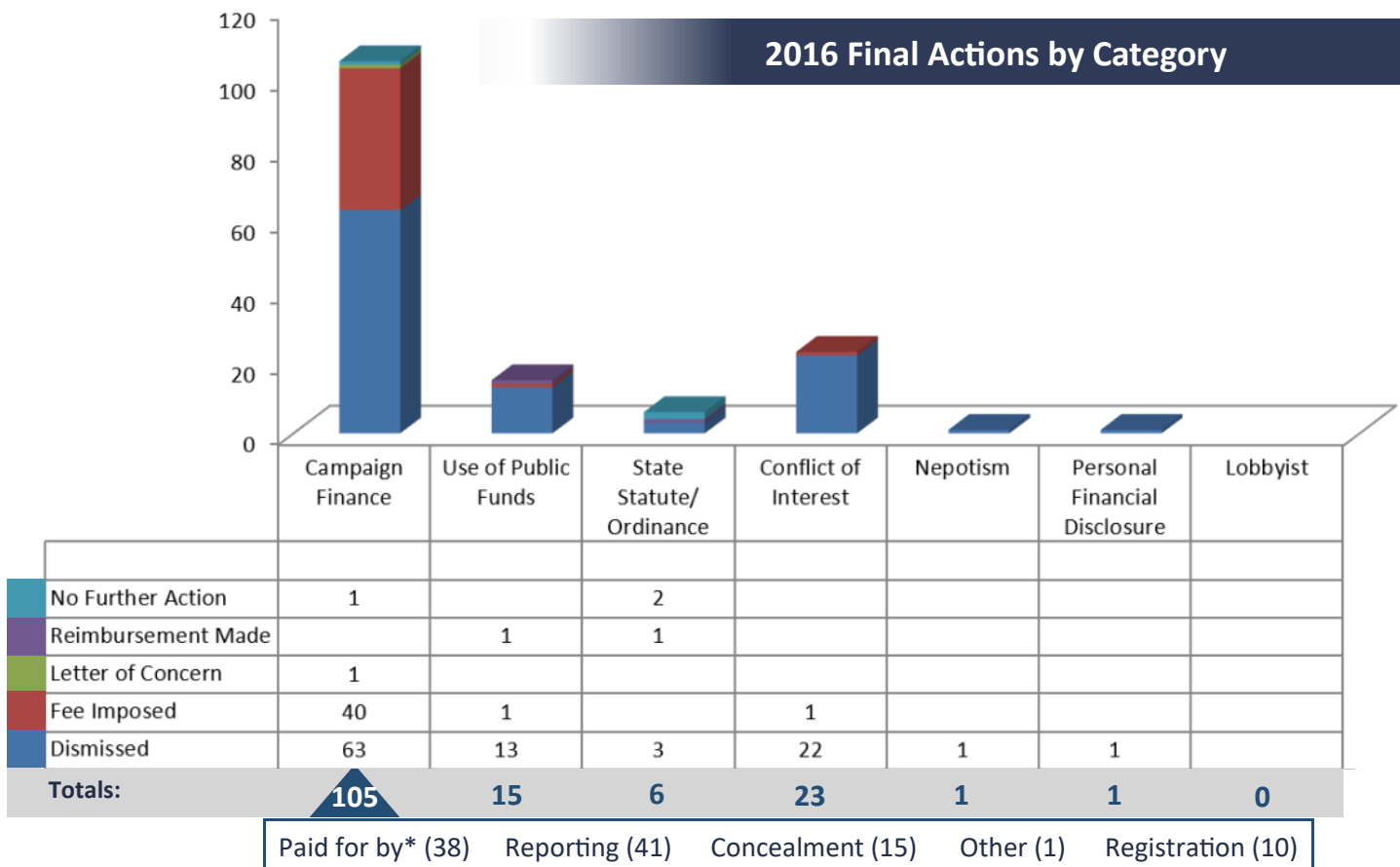
Enforcement

2016 Enforcement: Statistics

Jurisdictional Areas of Investigation

- Campaign Finance:** The campaign finance disclosure requirements are contained in Chapter 130, RSMo. Campaign finance violations may include reporting issues, paid for by violations, and related violations.
- State Statute/Ordinance:** Constitutional provisions, state statutes, orders, ordinances, or resolutions relating to a state or local official’s conduct (including constitutional provision regarding nepotism, and state statutes such as use of public funds).
- Code of Conduct:** Any code of conduct promulgated by any department, division or agency of state government, or by state institutions of higher education, or by executive order.
- Conflict of Interest:** The conflict of interest laws are contained in §§105.450 to 105.468, RSMo and §171.181, RSMo.
- Personal Financial Disclosure:** The financial interest disclosure requirements are contained in §§105.483 to 105.492, RSMo.
- Lobbyists:** The requirements imposed on lobbyists by §§105.470 to 105.478, RSMo.

Investigations must remain confidential, as required by state law, except for the MEC’s final actions.



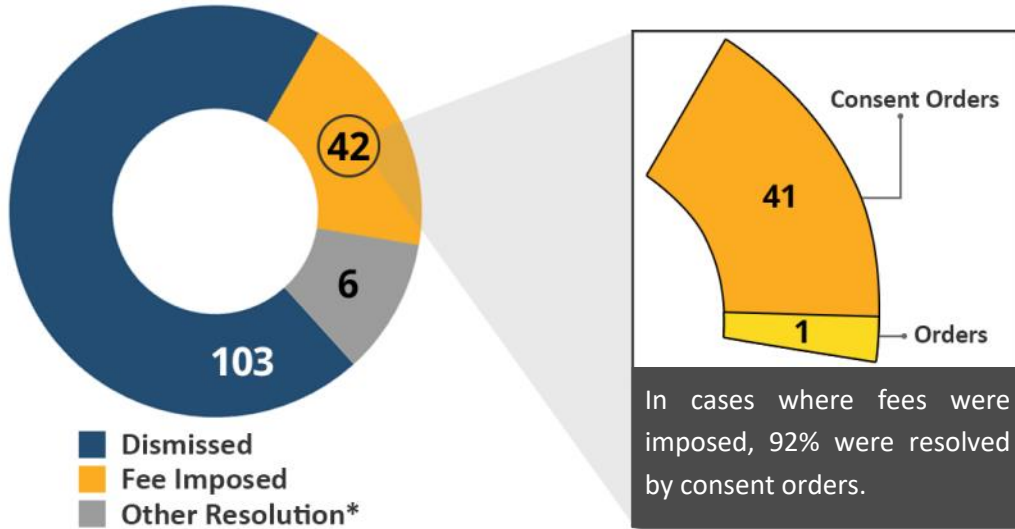
*Paid for by, or campaign material identification requirements require that any person publishing, circulating, or distributing campaign material must have the words "Paid for by" followed by proper identification of the sponsor on the face of the material in a clear and conspicuous manner. §130.031.8, RSMo

Information provided as of January 29, 2017, and is based upon data as reported to the Missouri Ethics Commission

Enforcement

2016 Enforcement: Statistics

Results of Investigations and Audits



2016



***Other Resolution:**

- Letter of Concern (1)
- Reimbursement Made to Political Subdivision—Use of Public Funds (2)
- No Further Action (3)

Information provided as of January 29, 2017, and is based upon data as reported to the Missouri Ethics Commission

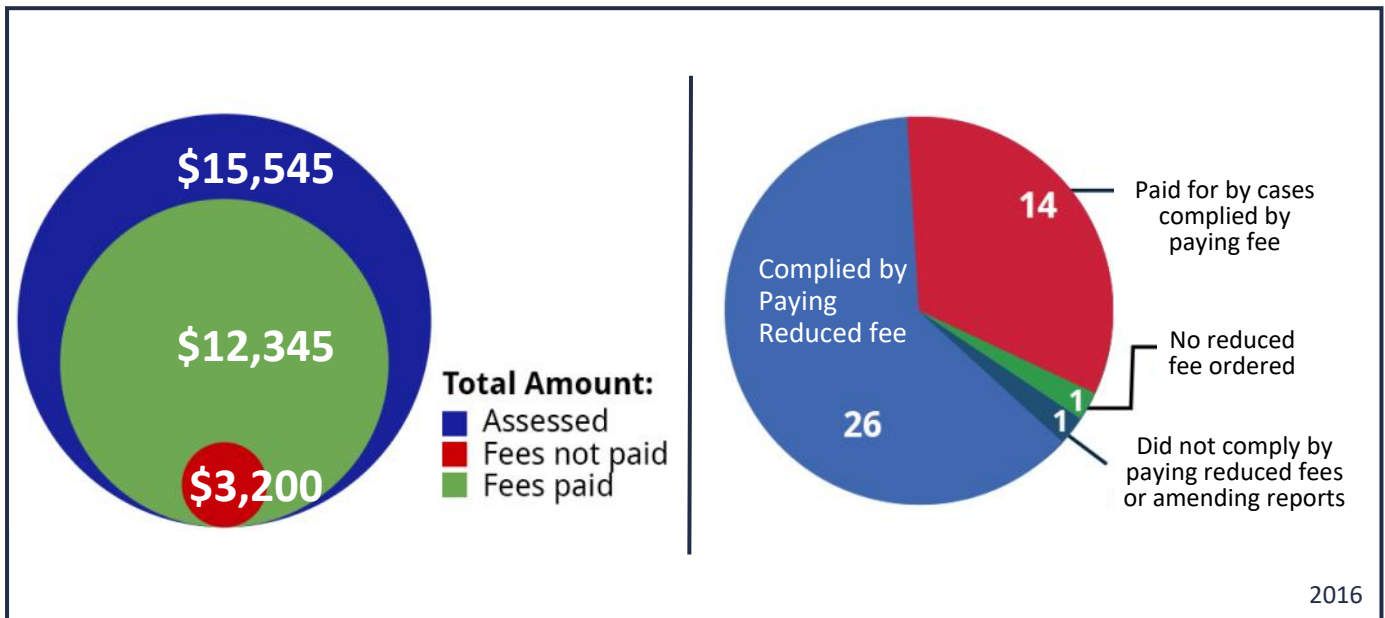
Enforcement

2016 Assessment of Fees for Violations

The MEC has discretion as to whether to assess fees when it finds probable cause to believe a violation or violations have occurred. Specifically, §105.961, RSMo, provides the MEC with various remedies, including the authority to impose fees. The MEC is authorized to assess up to \$1,000 per violation, or double the amount involved in the violation. A case before the MEC may involve one violation or multiple violations.

When the MEC assesses fees, violators may be given the option to pay a percentage (typically 10 percent or 20 percent depending on the severity of the violation) on the condition that no further violations of law will occur within the next two years. Following this approach, the MEC collected \$10,845 in fees from 26 cases during 2016. This approach achieves compliance with the order and also provides a strong incentive for future compliance.

If the parties agree to a reduced fee or the MEC agrees to assess a reduced fee after a hearing, but the party does not comply with the terms of the agreement or order, the MEC will impose the entire fee. In 2016, the MEC imposed \$3,200 in fees in one case where violators did not meet the conditions set out in the agreement or order.



Information provided as of January 29, 2017, and is based upon data as reported to the Missouri Ethics Commission

Missouri Ethics Commission

2016 Commissioners and Staff

Nancy Hagan, Chair

Democrat

7th Congressional District

Term expired March 15, 2018

Bill Deeken, Vice Chair

Republican

3rd Congressional District

Term expired March 15, 2018

Eric L. Dirks

Democrat

5th Congressional District

Term expired March 15, 2018

Kim Benjamin

Democrat

4th Congressional District

Term expires March 15, 2020

George Ratermann

Republican

2nd Congressional District

Term expires March 15, 2020

Don Summers

Republican

6th Congressional District

Term expires March 15, 2020

James Klahr

Executive Director

Stacey Heislen

Assistant Executive Director

Betsy Byers

Director of Business Services
Campaign Finance

Elizabeth (Liz) Ziegler

General Counsel

Della Luaders

Investigator Supervisor

Craig Hollis

Director of IT Services

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