



Summary of Final Board Determination

Inez Dickens

Candidate, 2013, Council District 9

Did not participate in matching funds program

1. Filing a late disclosure statement \$100

Campaigns are required to file complete and timely disclosure statements on scheduled dates. See N.Y.C. Charter § 1052(a)(8); Admin. Code §§ 3-703(6), (12), 3-708(8), 3-719(1); Board Rules 1-09, 3-02.

The Campaign filed Statement 12, due September 20, 2013, two days late.

The Board assessed a penalty of \$100 (\$50 per day late) for this violation.

2. Failing to demonstrate compliance with subcontractor reporting and documentation requirements \$50

If a campaign makes an expenditure to a vendor that relied on subcontractors to provide the goods or services to the campaign, and the cost of the subcontracted goods or services provided by a single subcontractor exceeds \$5,000, the campaign must report, in addition to the expenditure, the name and address of the subcontractor, the amount(s) of the expenditure(s) to the subcontractor, and the purpose(s) of the subcontracting. The candidate must also obtain and maintain documentation from each vendor that used subcontractors. *See* Admin. Code §§ 3-703(1)(d), (g), (6), (11), 3-719(1); Board Rules 3-03(e)(3), 4-01(h).

The Campaign did not report or properly document subcontractors used by Morningside Solutions (paid \$11,489.73), nor did it provide documentation of its attempts to contact the vendor.

The Board assessed a penalty of \$50 for this violation.

3. Accepting over-the-limit contributions \$2,500

Campaigns are prohibited from accepting contributions in excess of the applicable contribution limit. *See* Admin. Code §§ 3-702(8), 3-703(1)(f), (11), 3-719(2); Board Rules 1-04(c)(1), (h), 1-07(c). In addition, campaigns may not accept contributions in excess of the “doing business” contribution limits from individuals or entities that have business dealings with the City: \$250 (for candidates for City Council). *See* Admin. Code §§ 3-702(8), (18), (20), 3-703 (1-a), (1-b), 3-719(2); Board Rules 1-04(c)(1), (h).

The Campaign accepted three over-the-limit contributions and seven over-the-limit doing business contributions. The Campaign refunded each of the contributions after the deadline set by the CFB in its notification of the violations.

The Board assessed total penalties of \$2,500 for these violations.



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4. Accepting contributions from corporations, partnerships, or limited liability companies \$300

Campaigns may not accept, either directly or by transfer, a campaign contribution or loan, or guarantee or other security for such loan, from any corporation, limited liability company (LLC), or partnership. *See* N.Y.C. Charter § 1052(a)(13); Admin. Code §§ 3-702(8), 3-703(1)(1), 3-719(2)(b); Board Rules 1-04(c)(1), (e), (g), 1-05.

The Campaign accepted a \$100 contribution from 103 East 125th St Realty Corp on June 8, 2012 and a \$100 contribution from Seven Brown on December 17, 2012. The Campaign refunded both contributions after the deadline.

The Board assessed total penalties of \$300 for these violations.

5. Failing to document transactions \$200

Campaigns are required to document all financial transactions, including loans, in-kind contributions, and joint expenditures. *See* Admin. Code §§ 3-703(1)(d), (g), (11), (12), 3-715, 3-719(1)(b); Board Rules 1-09, 4-01(a), (c), (g), (k), 4-03.

The Campaign reported, but failed to adequately document, in-kind contributions of \$932.53 and \$500, both on May 20, 2013.

The Board assessed total penalties of \$200 for these violations.

6. Failing to demonstrate compliance with intermediary reporting and documentation requirements No penalty

Campaigns are required to report the intermediary for each contribution that was delivered or solicited by an intermediary. In addition, campaigns are required to provide a signed intermediary affirmation statement for each intermediated contribution. *See* Admin. Code §§ 3-703(1)(d), (g), (6), (11), 3-719(1); Board Rules 3-03(c)(7), 4-01(b)(5).

The Campaign did not submit an intermediary affirmation statement for Deryl McKissack.

The Board did not assess a penalty for this violation.



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7. Late response to audit documentation and information requests \$350

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), 3-719(1)(b); Board Rules 1-09(a), 4-01, 4-05(a).

The Campaign responded to the Initial Documentation Request on March 31, 2014, seven days after the March 24, 2014 deadline.

The Board assessed a penalty of \$350 for this violation.