



## STEP-BY-STEP GUIDE TO FILING DAY

The purpose of this checklist is to guide you through Filing Day procedures. Before moving forward, the campaign must enter all financial activity in C-SMART.

### C-SMART Help

View [C-SMART Help Contents](#) for step-by-step instructions on which C-SMART functions to use during your filing.

### C-SMART Reports

Generate these reports to review your financial activity before you file. For descriptions and instructions on generating each report, view C-SMART Help: [Reports](#).

## Step 1. Review and reconcile all financial activity in C-SMART.

### All Campaigns

- Review the Compliance Reports in C-SMART for any potential compliance issues, such as contributions that are over the limit or from prohibited sources.
- Disclose any intermediaries, fundraising events, and subcontractors in C-SMART, if applicable.
- Generate a draft of your disclosure statement and reconcile the draft against your bank statements, accounting records, and backup documentation.

### C-SMART Help

- ❖ Learn how to generate a draft: [CFB Submission](#)
- ❖ Learn more about other financial activity: [Fundraising Events](#), [Subcontractors](#)

### C-SMART Reports

- ❖ Review your contributions to ensure basic compliance: use Cash Contributions Over the Limit, Contributions Over the Limit, and Prohibited Contributions to screen for contributions that are over the limit or from prohibited sources.
- ❖ Review for any missing contributor information: use Missing Address Information and Missing Employment Information to see a list of contributors that are missing required information.



### COMPLIANCE ALERT

If a contribution is prohibited or over-the-limit and has already been deposited, the amount must be refunded promptly by bank or certified check. This should be done by the filing deadline, and a copy of the refund check should be submitted to the CFB with the documentation for the filing.

*Begin the review process at least 2 days before you plan to submit in order to give yourself time to correct any discrepancies.*

- ❖ Review your expenditures: use the Itemized Expenditures report to see a list of all expenditures made, and the Check Register report to see a list of all checks issued. **Note:** All outstanding liabilities must be entered even though they have not yet been paid.
- ❖ Reconcile your financial activity: use Itemized Contributions, Itemized Expenditures, and Cash Flow to assist with your reconciliation. **Note:** The Cash On Hand line in your Cash Flow report should represent your campaign's bank balance if all activity has been posted to your bank account(s) AND accurately entered into C-SMART.

### NYC Votes Contribute Users

- Complete the upload process from your campaign's account page on [www.nycvotes.org](http://www.nycvotes.org).
- Review the NYC Votes Contributions Report and claim eligible contributions for match in C-SMART.
- Merge duplicate name records, if applicable.



### *C-SMART Help*

- ❖ Learn how to upload your NYC Votes Contributions: [NYC Votes Contribute Upload Guide](#)
- ❖ Learn how to merge duplicate name records: [Merge Duplicate Names](#)

### *C-SMART Report*

- ❖ Review your NYC Votes Contributions: NYC Votes Contributions Report

### Program Participants

Uploading your contribution backup documentation to C-SMART is HIGHLY recommended.

- Review your monetary contributions to ensure that all eligible contributions from individual NYC residents have been claimed for match and that your contribution backup documentation has been uploaded to C-SMART.

If you do **not** wish to upload your documentation, then you **must** submit it by hand or mail.

- Organize and label copies of your contribution backup documentation ordered by Transaction ID.
- Submit copies of your contribution backup documentation no later than 5pm on the statement's due date if submitting by hand, or postmarked no later than the statement's due date if submitting by mail, along with your bank records and other financial documentation as explained in the next step.

### *C-SMART Help*

- ❖ Learn how to upload contribution backup documentation: [Monetary Contributions](#) and [Upload Documentation \(Bulk\)](#)

### *C-SMART Reports*

- ❖ Review whether you have claimed contributions for match: Itemized Contributions
- ❖ Review contributions claimed for match that are missing documentation: Missing Documentation

## Step 2. Organize and submit your bank records and other financial documentation to the CFB.

### All Campaigns

- Organize copies of your bank records, including the following (if applicable):
  - ✦ Bank statements (all pages and up to the most recent statement received)
  - ✦ Itemized deposit slips
  - ✦ Merchant account statements (if accepting credit card contributions outside of NYC Votes Contribute)
  - ✦ Credit card statements (if using a campaign credit card to make expenditures)
- Organize copies of required documentation with each disclosure statement (if applicable):
  - ✦ Loan documentation
  - ✦ Intermediary statements
  - ✦ Payroll records (pay stubs, payroll processor documentation, etc.)
  - ✦ List of fundraising agents used
  - ✦ Documentation for segregated bank account
- Once the above is organized, submit copies of your bank records and other documentation using one of the following methods on the statement's due date:
  - ✦ C-SMART
  - ✦ Hand
  - ✦ Mail



### COMPLIANCE ALERT

In order to receive a public funds payment within a four-day turnaround period, your documentation must be received no later than 5:00 pm on the statement's due date.

*Submitting documentation by mail is not recommended. But if you do choose to mail your documentation, get a dated receipt and a tracking number from the post office or delivery service provider and choose express or overnight delivery.*

### Step 3. Submit your disclosure statement and any amendments for modified statements to the CFB.

#### All Campaigns (candidate or treasurer ONLY)

- Verify and submit your disclosure statement using the Submit CFB Disclosure feature in C-SMART.

**Note:** On the first tab of the Submit CFB Disclosure feature in the top right corner of the screen, note if any disclosure statements have been modified since the last submission (see picture below).



#### CONTACT US

Submit your filing during regular business hours, in case you require assistance from your CSU liaison.

CFB Disclosure Statement

1 Statement 2 Review Draft 3 Submit Final

← Prev Next →

Last Disclosure Statement Submitted: Statement #7

\*Statement #: [dropdown]

\*Committee: Sophia for Council [dropdown]

Submit with your next disclosure statement filing or review response.  
Statement(s) With Modified Transactions: 6 - 01/17/2017

Unitemized Amounts [dropdown]

Termination Report [dropdown]

Initial Summary Information [dropdown]

- If you have modified any transactions for previous statements, verify and submit disclosure statement amendments for those statements using the Submit Amendment feature in C-SMART.

#### *C-SMART Help*

- ✦ Learn how to submit disclosure statements and amendments to the CFB: [CFB Submission](#)

#### *C-SMART Reports*

- ✦ Review transactions that have been modified or deleted since the last disclosure statement submission: Modified Statements

## Step 4. Submit your BOE Disclosure.

### All Campaigns

- Have your State BOE Filer ID and PIN on hand.
- Generate and download your BOE disclosure using the Generate BOE Disclosure feature in C-SMART.
- Email the submission file to [efsfilings@elections.ny.gov](mailto:efsfilings@elections.ny.gov). Do not change the name of the file before sending.

### *C-SMART Help*

- ◆ Learn how to submit to the BOE: [BOE Submission](#)

Your Filing Day is complete! Make sure to check your email and C-Access for any messages from the CFB regarding your disclosure statement.

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