

**121.120 Duties and powers of registry -- Appointment of certain employees --  
Electronic reporting system.**

- (1) The registry may:
  - (a) Require by special or general orders, any person to submit, under oath, any written reports and answers to questions as the registry may prescribe;
  - (b) Administer oaths or affirmations;
  - (c) Require by subpoena, signed by the chairman, the attendance and testimony of witnesses and the production of all documentary evidence, excluding individual and business income tax records, relating to the execution of its duties;
  - (d) In any proceeding or investigation, to order testimony to be taken by deposition before any person who is designated by the registry and has the power to administer oaths and, in those instances, to compel testimony and the production of evidence in the same manner as authorized under paragraph (c);
  - (e) Initiate, through civil actions for injunctive, declaratory, or other appropriate relief, defend, or appeal any civil action in the name of the registry to enforce the provisions of this chapter through its legal counsel;
  - (f) Render advisory opinions under KRS 121.135;
  - (g) Promulgate administrative regulations necessary to carry out the provisions of this chapter;
  - (h) Conduct investigations and hearings expeditiously, to encourage voluntary compliance, and report apparent campaign finance law violations to the appropriate law enforcement authorities;
  - (i) Petition any court of competent jurisdiction to issue an order requiring compliance with an order or subpoena issued by the registry. Any failure to obey the order of the court may be punished by the court as contempt; and
  - (j) Conduct random audits of receipts and expenditures of committees which have filed registration papers with the registry pursuant to KRS 121.170.
- (2) No person shall be subject to civil liability to any person other than the registry or the Commonwealth for disclosing information at the request of the registry.
- (3) The registry may appoint a full-time executive director, legal counsel, and an accountant for auditing purposes, all of whom shall serve at the pleasure of the registry. The registry may also appoint such other employees as are necessary to carry out the purposes of this chapter. All requests for personnel appointments shall be forwarded by the registry directly to the secretary of the Personnel Cabinet and shall be subject to his review and certification only.
- (4) The registry shall adopt official forms and perform other duties necessary to implement the provisions of this chapter. The registry shall not require the listing of a person's Social Security number on any form developed by the registry. Without limiting the generality of the foregoing, the registry shall:
  - (a) Develop prescribed forms for the making of the required reports;

- (b) Prepare and publish a manual for all candidates, slates of candidates, and committees, describing the requirements of the law, including uniform methods of bookkeeping and reporting, requirements as to reporting dates, and the length of time that candidates, slates of candidates, and committees are required to keep any records pursuant to the provisions of this chapter;
- (c) Develop a filing, coding, and cross-indexing system;
- (d) Make each report filed available for public inspection and copying during regular office hours at the expense of any person requesting copies of them;
- (e) Preserve all reports for at least six (6) years from the date of receipt. Duly certified reports shall be admissible as evidence in any court in the Commonwealth;
- (f) Prepare and make available for public inspection a summary of all reports grouped according to candidates, slates of candidates, committees, contributing organizations, and parties containing the total receipts and expenditures; and
  1. For each contribution made by a permanent committee of any amount to a candidate or slate of candidates, the date, name, and business address of the permanent committee, the amount contributed, and a description of the major business, social, or political interest represented by the permanent committee;
  2. For each contribution in excess of one hundred dollars (\$100) made to a candidate or slate of candidates for a statewide-elected state office, to a campaign committee for a candidate or slate of candidates for a statewide-elected state office, the date, name, address, occupation, and employer of each contributor and the spouse of the contributor or, if the contributor or spouse of the contributor is self-employed, the name under which he is doing business, and the amount contributed by each contributor, listed alphabetically; and
  3. For each contribution in excess of one hundred dollars (\$100) made to any candidate or campaign committee other than those specified in subparagraph 2., the date, name, address, occupation, and employer of each other contributor or, if the contributor is self-employed, the name under which he is doing business, and the amount contributed by each contributor, listed alphabetically;
- (g) Prepare and publish an annual report with cumulative compilations named in paragraph (f) of this subsection;
- (h) Distribute upon request, for a nominal fee, copies of all summaries and reports;
- (i) Determine whether the required reports have been filed and if so, whether they conform with the requirements of this chapter; give notice to delinquents to correct or explain defections; issue an order, if appropriate, as provided in KRS 121.140; and make public the fact that a violation has occurred and the nature thereof;

- (j) Conduct random audits of receipts and expenditures of candidates running for city, county, urban-county government, charter county government, and district offices. When the registry audits the records of any selected candidate, it shall also audit the records of all other candidates running for the same office in the selected city, county, urban-county government, charter county government, or district office;
  - (k) Conduct audits of receipts and expenditures of all candidates or slates of candidates running for statewide office;
  - (l) Require that candidates and slates of candidates shall maintain their records for a period of six (6) years from the date of the regular election in their respective political races;
  - (m) Initiate investigations and make investigations with respect to reports upon complaint by any person and initiate proceedings on its own motion; and
  - (n) Forward to the Attorney General or the appropriate Commonwealth's or county attorney any violations of this chapter which may become the subject of civil or criminal prosecution.
- (5) All policy and enforcement decisions concerning the regulation of campaign finance shall be the ultimate responsibility of the registry. No appointed or elected state officeholder or any other person shall, directly or indirectly, attempt to secure or create privileges, exemptions, or advantages for himself or others in derogation of the public interest at large in a manner that seeks to leave any registry member or employee charged with the enforcement of the campaign finance laws no alternative but to comply with the wishes of the officeholder or person. Registry members and employees shall be free of obligation or the appearance of obligation to any interest other than the fair and efficient enforcement of the campaign finance laws and administrative regulations. It shall not be considered a violation of this subsection for an officeholder or other person to seek remedies in a court of law to any policy or enforcement decision he considers to be an abridgement of his legal rights.
- (6) If adequate and appropriate agency funds are available, the registry shall:
- (a) Develop or acquire a system for electronic reporting for use by individuals and entities required to file campaign finance reports with the registry under this chapter. The registry shall promulgate administrative regulations under KRS Chapter 13A which provide for a nonproprietary standardized format or formats, using industry standards, for the transmission of data required under this chapter;
  - (b) Accept test files from software vendors and persons wishing to file reports electronically for the purpose of determining whether the file format complies with the nonproprietary standardized format developed under paragraph (a) of this subsection and is compatible with the registry's system for receiving the data;
  - (c) Make all paper or electronic reports filed with the registry pertaining to candidates for the General Assembly and statewide office available on the Internet free of charge, in an easily understood format that allows the public to

browse, search, and download the data contained in the reports by each of the reporting categories required by this chapter, including, but not limited to:

1. The name of each candidate or committee;
  2. The office sought by each candidate;
  3. The name of each contributor;
  4. The address of each contributor;
  5. The employer or business occupation of each contributor, or if the contributor is a permanent committee, a description of the major business, social, or political interest represented by the permanent committee;
  6. The date of each contribution; and
  7. The amount of each contribution.
- (d) Make all data specified in paragraph (c) of this subsection available on the Internet no later than ten (10) business days after its receipt by the registry. If a contribution or expenditure report is filed late with the registry, that data shall be made available on the Internet within twenty-four (24) hours of the registry's receipt of the data;
- (e) Make filer-side software available free of charge to all individuals or entities subject to the reporting requirements of this chapter;
- (f) Establish a training program on the electronic reporting program and make it available free of charge to all individuals and entities subject to the reporting requirements of this chapter; and
- (g) Maintain all campaign finance data pertaining to legislative and statewide candidates on-line for twenty (20) years after the date the report containing the data is filed, and then archive the data in a secure format.
- (7) In conjunction with the program of electronic reporting set out in subsection (6) of this section, the registry may:
- (a) Develop or acquire a computer system that provides for on-line Internet submission of the reports required by this chapter utilizing security procedures to ensure the integrity of the data transmitted; and
  - (b) Provide procedures for verifying electronic signatures placed upon reports under this chapter.

**Effective:** March 16, 2005

**History:** Amended 2005 Ky. Acts ch. 105, sec. 4, effective March 16, 2005. -- Amended 2000 Ky. Acts ch. 398, sec. 3, effective July 14, 2000. -- Amended 1998 Ky. Acts ch. 154, sec. 75, effective July 15, 1998. -- Amended 1996 Ky. Acts ch. 155, sec. 2, effective July 15, 1996; ch. 240, sec. 1, effective July 15, 1996; and ch. 252, sec. 1, effective January 1, 1997. -- Amended 1994 Ky. Acts ch. 458, sec. 6, effective July 15, 1994. -- Amended 1993 (1st Extra. Sess.) Ky. Acts ch. 4, sec. 56, effective November 3, 1993. -- Amended 1992 Ky. Acts ch. 288, sec. 44, effective July 14, 1992. -- Amended 1988 Ky. Acts ch. 341, sec. 41, effective July 15, 1988. -- Amended 1986 Ky. Acts ch. 100, sec. 2, effective July 15, 1986. -- Amended 1980 Ky. Acts ch. 292, sec. 4, effective July 15, 1980. -- Created 1974 Ky. Acts ch. 130, sec. 186.