

**Political Contributions**

One of the topics covered on last week’s Principal/OSJ call with Securities America was political contributions.  When one of the items mentioned was news to and caused discord in the Rees household, we took that as a strong indication that we needed to address the topic for the field this week.

Do you volunteer to make phone calls or knock on doors for a candidate?  If those calls are made using a business phone, or the activity is conducted during normal business hours, it may move from volunteer activity to reportable political contribution.

Does your spouse make contributions to political parties/candidates?  You have to disclose those, same as if you made the contribution yourself.

Do you plan on hosting an event for a local candidate?  Picking up costs of refreshments for an event hosted by someone else?  Both of these may be considered political contributions.

Within Compliance Questionnaires you have the option to select Political Contributions Request which will take you to Political Contributions Questionnaire.  Simply answer the questions and submit.  I am attaching the Pay to Play chapter from the current compliance guide.  This includes a set of charts that will identify any donation limits and whether pre-approval is required rather than post disclosure.  If, in reviewing the attachment, you discover you should have previously submitted something for pre-approval, complete the Political Contributions Questionnaire and then let Mike know it was submitted for post approval immediately upon learning of the requirement.

As always, if you have any questions, please let us know.