

Findings and Decisions Regarding Investigations Completed in 2017

Dates (Note 1)	Contributor	Recipient	Circumstances (Note 2)	Direct Contribution Amount (Note 3)	Penalty Issued by CEO to the Contributor (Note 4)	Return of Contribution by the Recipient (Note 5)
Commenced: March 2016 Concluded: March 2017	Alberta Social Credit Party	N/A	The Party, proposing to hold a leadership contest, did not promptly file with the Chief Electoral Officer, the statement and application required under section 9.2(1) of the EFCDA.	N/A	An administrative penalty in the amount of \$500 was issued against the Party.	Penalty amount paid April 18, 2017. This information is posted in accordance with section 5.2(3)(a).
Commenced: April 2016 Concluded: March 2017	Chief Financial Officer for the Wildrose Party	N/A	On March 31, 2015, the Party CFO breached section 42(1) of the EFCDA by submitting an annual financial statement for the Party for year 2014 that was significantly not in the form and manner approved by the Chief Electoral Officer.	N/A	An administrative penalty in the amount of \$750 was issued to the contributor.	Penalty amount paid December 19, 2016. This information is posted in accordance with section 5.2(3)(a).
	Wildrose Party	N/A	On March 31, 2015, the Party breached section 42(1) of the EFCDA when it submitted an audited annual financial statement for year 2014 that was significantly not in the form and manner approved by the Chief Electoral Officer.	N/A	An administrative penalty in the amount of \$2,500 was issued against the Party.	Penalty amount paid February 24, 2017. This information is posted in accordance with section 5.2(3)(a).

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Commenced: September 2016 Concluded: March 2017	Alberta Liberal Party Constituency Associations: Calgary-Currie Calgary-Klein Calgary-Mountain View Edmonton-Gold Bar Edmonton-Meadowlark Edmonton-Mill Creek Edmonton-Riverview Lethbridge-East Stony Plain	N/A	During a review of 2015 annual financial statements of the constituency associations (CA's), it came to the attention of Elections Alberta that the CA's may not have reported contributions received during the year on the quarterly return for which they were required to be reported, in breach of section 32(3) of the EFCDA, as they had relied on the Party to file their quarterly returns for them and they were filed incorrectly.	N/A	Letter of Reprimand to each CA	The Finance Manager for the Alberta Liberal Party has set out process changes for 2016. As of Q3 for 2016, each CA has been instructed to report contributions, and to prepare official contribution receipts related to their CA. This information is posted in accordance with section 5.2(3)(a) of the EFCDA.
	Alberta Liberal Party Constituency Associations: Lesser Slave Lake Calgary-Mackay-Nose Hill Calgary-McCall Banff-Cochrane Cypress-Medicine Hat Fort Saskatchewan-Vegreville Grande Prairie-Smoky	N/A	On March 31, 2015, the constituency associations breached section 42 of the EFCDA by failing to file the 2015 annual financial statements as required under section 42, resulting in the cancellation of the registration of the constituency associations under section 10(3).	N/A	An administrative penalty was issued against each CA: Lesser Slave Lake.....\$200 Calgary-Mackay-Nose Hill.....\$100 Calgary-McCall..... \$100 Banff-Cochrane.....\$200 Cypress-Medicine Hat.....\$200 Fort Saskatchewan-Vegreville...\$200 Grande Prairie-Smoky.....\$100	The penalty amount for each CA was paid April 13, 2017, with the exception of Calgary-McCall. This information is posted in accordance with section 5.2(3)(a).
Commenced: November 2016 Concluded: March 2017	Chief Financial Officer for the Alberta Liberal Party	N/A	Polling day for the Calgary-Foothills By-election was September 3, 2015. Campaign period financial statements were due on March 3, 2016. Elections Alberta received a campaign period financial statement on March 17, 2016. The Party breached section 43(1) due to late-filing.	N/A	An administrative penalty in the amount of \$500 was issued against the contributor.	Penalty amount paid May 25, 2017. This information is posted in accordance with section 5.2(3)(a).

Note 1:

Dates shown refer to the commencement and conclusion of the investigation.

The date commenced will reflect the date shown on the initial complaint, if the investigation was initiated by an external source. If the investigation was initiated by the Chief Electoral Officer, the date the decision was made to investigate will appear.

If an allegation regarding an excessive or prohibited contribution is founded, an investigation is commenced to determine whether the recipient violated the EFCDA. In this case, the date concluded will reflect the date that the investigation into the recipient's acceptance of the contribution was completed and appropriate notice was provided to those involved.

If an allegation is unfounded, the date concluded will reflect the date that appropriate notice was provided to those involved.

Note 2:

Disclosure is limited, by law, to violations that occurred on or after December 10, 2009. Results of investigations of alleged violations that occurred prior to that date cannot be disclosed, in accordance with the confidentiality provisions of the *Election Finances and Contributions Disclosure Act* (the Act).

Section references refer to the *Election Finances and Contributions Disclosure Act* (the Act).

Note 3:

*Section 23 of the Act prescribes that if the individual charge for a ticket to a fundraising function is more than \$50, the expense portion is \$25 and the balance is deemed to be a contribution (*effective to December 31, 2012*).

Note 4:

Several criteria were considered in the assessment of penalties, including:

- Materiality/severity
- Number of violations
- Cooperation/self-reporting
- Due diligence/policies established to ensure compliance

Note 5:

Effective April 22, 2010, the Chief Electoral Officer had statutory authority to order a political entity to return prohibited contributions to the contributor, in accordance with section 51.1 of the Act. Prior to that, the political entity was advised to consider the voluntary return of a prohibited contribution.

An order is made when it is determined that a prohibited corporation made a contribution in violation of the Act. An order does not indicate any finding of statutory violation on the part of the political entity by the Chief Electoral Officer.

This information is updated to reflect contributions that have been returned.