Instructions
All candidates must complete Boxes A and B. Candidates who receive contributions or incur expenses must complete Boxes C, D, Schedule 1 and Schedule 2 as appropriate. Candidates who receive contributions or incur expenses in excess of $10,000 must also attach an Auditor's Report.

All surplus funds (after any refund to the candidate or their spouse) shall be paid immediately over to the clerk who is responsible for the conduct of the election.

For the campaign period from (day candidate filed nomination) 2018 05 01 to 2018 12 31

☑ Initial filing reflecting finances to December 31 (or 45 days after voting day in a by-election)
☐ Supplementary filing including finances after December 31 (or 45 days after voting day in a by-election)

Box A: Name of Candidate and Office
Candidate's name as shown on the ballot
Last Name or Single Name Grice-Uggenti
Given Name(s) Karen
Office for which the candidate sought election Councillor
Ward name or no. (if any) 7
Municipality Hamilton
Spending Limit - General $ 32,732.10
Spending Limit - Parties and Other Expressions of Appreciation $ 3,273.21

☐ I did not accept any contributions or incur any expenses. (Complete Boxes A and B only)

Box B: Declaration
I, Karen Grice-Uggenti, declare that to the best of my knowledge and belief that these financial statements and attached supporting schedules are true and correct.

Signature of Candidate

Date Filed (yyyy/mm/dd) Time Filed Initial of Candidate or Agent (if filed in person) Signature of Clerk or Designate
2019/03/20 1:27pm ku

2019/03/14
### Box C: Statement of Campaign Income and Expenses

#### LOAN
Name of bank or recognized lending institution
Amount borrowed $ _______________________

#### INCOME
Total amount of all contributions (from line 1A in Schedule 1) $ 17,009.50
Revenue from items $25 or less $ _______________________
Sign deposit refund $ _______________________
Revenue from fundraising events not deemed a contribution (from Part III of Schedule 2) $ 251.40
Interest earned by campaign bank account $ _______________________
Other (provide full details)
   1. $ _______________________
   2. $ _______________________
   3. $ _______________________
   4. $ _______________________
   5. $ _______________________
Total Campaign Income (Do not include loan) $ 17,260.90 C1

#### EXPENSES (Note: include the value of contributions of goods and services)

**Expenses subject to general spending limit**
Inventory from previous campaign used in this campaign (list details in Table 4 of Schedule 1) $ 2,130.05
Advertising $ 2,579.79
Brochures/flyers $ 4,374.03
Signs (including sign deposit) $ 9.15
Meetings hosted $ 1,537.23
Office expenses incurred until voting day $ 152.78
Phone and/or internet expenses incurred until voting day $ 98.50
Salaries, benefits, honoraria, professional fees incurred until voting day $ 389.64
Bank charges incurred until voting day $ 940.14
Interest charged on loan until voting day $ 370.27
Other (provide full details)
   1. Campaign office grand opening $ 610.20
   2. "Vote Karen" T-shirts $ 1,000.00
Total Expenses subject to general spending limit $ 14,191.78 C2

**Expenses subject to spending limit for parties and other expressions of appreciation**
   1. $ _______________________
   2. $ _______________________
   3. $ _______________________
   4. $ _______________________
   5. $ _______________________
Total Expenses subject to spending limit for parties and other expressions of appreciation $ _______________________

---

9503P (2018/04)
### Expenses not subject to spending limits

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting and audit</td>
<td>+ $ 600.00</td>
</tr>
<tr>
<td>Cost of fundraising events/activities (list details in Part IV of Schedule 2)</td>
<td>+ $ 1,380.26</td>
</tr>
<tr>
<td>Office expenses incurred after voting day</td>
<td>+ $ 410.14</td>
</tr>
<tr>
<td>Phone and/or internet expenses incurred after voting day</td>
<td>+ $ 29.38</td>
</tr>
<tr>
<td>Salaries, benefits, honoraria, professional fees incurred after voting day</td>
<td>+ $ 105.81</td>
</tr>
<tr>
<td>Bank charges incurred after voting day</td>
<td>+ $ 29.38</td>
</tr>
<tr>
<td>Interest charged on loan after voting day</td>
<td>+ $ 29.38</td>
</tr>
<tr>
<td>Expenses related to recount</td>
<td>+ $</td>
</tr>
<tr>
<td>Expenses related to controverted election</td>
<td>+ $</td>
</tr>
<tr>
<td>Expenses related to compliance audit</td>
<td>+ $</td>
</tr>
<tr>
<td>Expenses related to candidate's disability (provide full details)</td>
<td>+ $</td>
</tr>
<tr>
<td>1.</td>
<td>+ $</td>
</tr>
<tr>
<td>2.</td>
<td>+ $</td>
</tr>
<tr>
<td>3.</td>
<td>+ $</td>
</tr>
<tr>
<td>4.</td>
<td>+ $</td>
</tr>
<tr>
<td>5.</td>
<td>+ $</td>
</tr>
<tr>
<td>Other (provide full details)</td>
<td>+ $</td>
</tr>
<tr>
<td>1.</td>
<td>+ $</td>
</tr>
<tr>
<td>2.</td>
<td>+ $</td>
</tr>
<tr>
<td>3.</td>
<td>+ $</td>
</tr>
<tr>
<td>4.</td>
<td>+ $</td>
</tr>
<tr>
<td>5.</td>
<td>+ $</td>
</tr>
<tr>
<td><strong>Total Expenses not subject to spending limits</strong></td>
<td>=$ 2,525.59</td>
</tr>
</tbody>
</table>

**Total Campaign Expenses (C2 + C3 + C4) = $ 16,717.37**

---

### Box D: Calculation of Surplus or Deficit

1. **Excess (deficiency) of income over expenses (Income minus Total Expenses)**  
   
   **(C1 - C5)**  
   
   + $ 543.53 \( D1 \)

2. **Eligible deficit carried forward by the candidate from the last election**  
   
   (applies to 2018 regular election only)  
   
   - $ \( D2 \)

   **Total (D1 - D2)**  
   
   = $ 543.53 \( D3 \)

3. **If there is a surplus, deduct any refund of candidate's or spouse's contributions to the campaign**  
   
   - $ 543.53 \( D3 \)

   **Surplus (or deficit) for the campaign**  
   
   = $ \( D3 \)

   If line D3 shows a surplus, the amount must be paid in trust, at the time the financial statements are filed, to the municipal clerk who is responsible for the conduct of the election.
Schedule 1 - Contributions

Part I - Summary of Contributions

Contributions in money from candidate and spouse  + $ 6,553.19
Contributions in goods and services from candidate and spouse (include value listed in Table 3 and Table 4)  + $

Total value of contributions not exceeding $100 per contributor
• Include ticket revenue, contributions in money, goods and services where the total contribution from a contributor is $100 or less (do not include contributions from candidate or spouse).  + $ 2,025.00

Total value of contributions exceeding $100 per contributor (from line 1B on page 5; list details in Table 1 and Table 2)
• Include ticket revenue, contributions in money, goods and services where the total contribution from a contributor exceeds $100 (do not include contributions from candidate or spouse).  + $ 8,431.31

Less: Contributions returned or payable to the contributor
Contributions paid or payable to the clerk, including contributions from anonymous sources exceeding $25

Total Amount of Contributions (record under Income in Box C) = $ 17,009.50

Part II - Contributions exceeding $100 per contributor - individuals other than candidate or spouse

Table 1: Monetary contributions from individuals other than candidate or spouse

<table>
<thead>
<tr>
<th>Name</th>
<th>Full Address</th>
<th>Date Received</th>
<th>Amount Received</th>
<th>Amount $ Returned to Contributor or Paid to Clerk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grice, Donna</td>
<td>115 East 42nd St</td>
<td>2018/07/08</td>
<td>1,000.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Hamilton, ON L8T 3A2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grice, Donna</td>
<td>115 East 42nd St</td>
<td>2018/07/31</td>
<td>200.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Hamilton, ON L8T 3A2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cooke, Joan</td>
<td>60-3333 New St</td>
<td>2018/07/20</td>
<td>200.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Burlington, ON L7N 1N1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grice, Earl</td>
<td>115 East 42nd St</td>
<td>2018/07/31</td>
<td>1,200.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Hamilton, ON L8T 3A2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Feierabend, Clement</td>
<td>34 Dundurn St N</td>
<td>2018/09/03</td>
<td>600.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Hamilton, ON L8R 3C7</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Campbell, Brenda</td>
<td>457 Miles Rd</td>
<td>2018/09/05</td>
<td>750.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Hannon, ON L0R 1P0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Millar, John</td>
<td>54 Bluebell Cres</td>
<td>2018/09/12</td>
<td>750.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ancaster, ON L9K 1G4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>McPherson, Kirk R</td>
<td>1329 Winterberry Dr</td>
<td>2018/09/23</td>
<td>300.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Burlington, ON L7P 4S7</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>See attached</td>
<td></td>
<td></td>
<td>1,801.00</td>
<td></td>
</tr>
</tbody>
</table>

☑ Additional information is listed on separate supplementary attachment

Total 6,801.00
# KAREN GRICE-UGGENTI CAMPAIGN

May 1, 2018 to December 31, 2018

Form 4, Part II, Table 1 - Addendum

<table>
<thead>
<tr>
<th>Name</th>
<th>Full Address</th>
<th>Date Received</th>
<th>Amount Received $</th>
</tr>
</thead>
<tbody>
<tr>
<td>Paolone Dilanni, Gina</td>
<td>24 Spartan Crt, Stoney Creek, ON L8E 6A4</td>
<td>2018/10/17</td>
<td>150.00</td>
</tr>
<tr>
<td>Ahmed, Zak</td>
<td>177 Templemead Dr, Hamilton, ON L8W 3G4</td>
<td>2018/10/18</td>
<td>150.00</td>
</tr>
<tr>
<td>Ludica, Massimo</td>
<td>7105 Twenty Rd E, Hannon, ON L0R 1P0</td>
<td>2018/10/22</td>
<td>250.00</td>
</tr>
<tr>
<td>Fortino, Angela</td>
<td>790 Brigadoon Dr, Hamilton, ON L9C 7S2</td>
<td>2018/10/21</td>
<td>750.00</td>
</tr>
<tr>
<td>Chaudri, Gurcharan Channa</td>
<td>10 Rockaway Crt, Hamilton, ON L8V 4Z8</td>
<td>2018/07/07</td>
<td>51.00</td>
</tr>
<tr>
<td>Chaudri, Gurcharan Channa</td>
<td>10 Rockaway Crt, Hamilton, ON L8V 4Z8</td>
<td>2018/10/17</td>
<td>50.00</td>
</tr>
<tr>
<td>Nusca, Beverly</td>
<td>503-666 Mohawk Rd E, Hamilton, ON L8V 2K3</td>
<td>2018/07/16</td>
<td>100.00</td>
</tr>
<tr>
<td>Nusca, Beverly</td>
<td>503-666 Mohawk Rd E, Hamilton, ON L8V 2K3</td>
<td>2018/10/17</td>
<td>50.00</td>
</tr>
<tr>
<td>Grice, Brian</td>
<td>115 East 42nd St, Hamilton, ON L8T 3A2</td>
<td>2018/10/17</td>
<td>50.00</td>
</tr>
<tr>
<td>Nusca, Julie</td>
<td>740 Ridge Rd, Stoney Creek, ON L8J 2Y8</td>
<td>2018/10/17</td>
<td>200.00</td>
</tr>
</tbody>
</table>

**Total** 1,801.00
Table 2: Contributions in goods or services from individuals other than candidate or spouse
(Note: must also be recorded as Expenses in Box C)

<table>
<thead>
<tr>
<th>Name</th>
<th>Full Address</th>
<th>Description of Goods or Services</th>
<th>Date Received (yyyy/mm/dd)</th>
<th>Value $</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cooke, Toni</td>
<td>c/o 77 Reno Ave</td>
<td>&quot;Vote Karen&quot; t-shirts</td>
<td>2018/08/27</td>
<td>610.20</td>
</tr>
<tr>
<td></td>
<td>Hamilton, ON L8T 2S5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grice, Brian</td>
<td>115 East 42nd St</td>
<td>Website design and maintenance</td>
<td>2018/09/21</td>
<td>1,000.00</td>
</tr>
<tr>
<td></td>
<td>Hamilton, ON L8T 3A2</td>
<td></td>
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</tr>
<tr>
<td>Nusca, Beverly</td>
<td>503-666 Mohawk Rd E</td>
<td>Lunch for campaign meeting</td>
<td>2018/08/28</td>
<td>20.11</td>
</tr>
<tr>
<td></td>
<td>Hamilton, ON L8V 2K3</td>
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</tbody>
</table>

Total: 1,630.31

Total for Part II - Contributions exceeding $100 per contributor
(Add totals from Table 1 and Table 2 and record the total in Part 1 - Summary of Contributions)

$ 8,431.31

Part III - Contributions from candidate or spouse

Table 3: Contributions in goods or services
<table>
<thead>
<tr>
<th>Description of Goods or Services</th>
<th>Date Received (yyyy/mm/dd)</th>
<th>Value $</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

☐ Additional information is listed on separate supplementary attachment

Total

Table 4: Inventory of campaign goods and materials from previous municipal campaign used in this campaign
(Note: value must be recorded as a contribution from the candidate and as an expense)

<table>
<thead>
<tr>
<th>Description</th>
<th>Date Acquired (yyyy/mm/dd)</th>
<th>Supplier</th>
<th>Quantity</th>
<th>Current Market Value $</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

☐ Additional information is listed on separate supplementary attachment

Total
### Schedule 2 - Fundraising Events and Activities

**Fundraising Event/Activity**
Complete a separate schedule for each event or activity held

- [ ] Additional schedule(s) attached

**Description of fundraising event/activity** Fundraiser

**Date of event/activity (yyyy/mm/dd)** 2018/10/17

---

#### Part I - Ticket revenue

**Admission charge (per person)**
(If there are a range of ticket prices, attach complete breakdown of all ticket sales)

<table>
<thead>
<tr>
<th>Number of tickets sold</th>
<th>Admission charge (per person)</th>
<th>Total Part I (2A x 2B)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$ 50.00</td>
<td>$ 2,000.00</td>
</tr>
</tbody>
</table>

#### Part II - Other revenue deemed a contribution
(e.g. revenue from goods sold in excess of fair market value)

Provide details

1. 
2. 
3. 
4. 
5. 

Total Part II (include in Part 1 of Schedule 1)

#### Part III - Other revenue not deemed a contribution
(e.g. contribution of $25 or less; goods or services sold for $25 or less)

Provide details

1. Pass the Hat
    + $ 251.40
2. 
3. 
4. 
5. 

Total Part III (include under Income in Box C)

#### Part IV - Expenses related to fundraising event or activity

Provide details

1. Pizza/buns
    + $ 645.00
2. Balloons
    + $ 452.00
3. Plastic table cloths
    + $ 88.00
4. Plates, cutlery
    + $ 25.76
5. Hall rental
    + $ 169.50
6. 
7. 
8. 

Total Part IV Expenses (include under Expenses in Box C)

= $ 1,380.26
Auditor’s Report

Municipal Elections Act, 1996 (Section 88.25)

A candidate who has received contributions or incurred expenses in excess of $10,000 must attach an auditor’s report.

Professional Designation of Auditor
CPA, CA

Municipality
Hamilton

Date (yyyy/mm/dd)
2019/03/13

Contact Information

Last Name or Single Name
Feierabend

Given Name(s)
Clement

Licence Number
1-15632

Address
Suite/Unit No.
222
Street No.
1104
Street Name
Fennell Ave E

Municipality
Hamilton

Province
ON

Postal Code
L8T 1R9

Telephone No. (including area code)
905 385-3254

Email Address
clement@cfca.ca

The report must be done in accordance with generally accepted auditing standards and must:

• set out the scope of the examination
• provide an opinion as to the completeness and accuracy of the financial statement and whether it is free of material misstatement

☑ Report is attached

Personal information, if any, collected on this form is obtained under the authority of sections 88.25 and 95 of the Municipal Elections Act, 1996. Under section 88 of the Municipal Elections Act, 1996 (and despite anything in the Municipal Freedom of Information and Protection of Privacy Act) documents and materials filed with or prepared by the clerk or any other election official under the Municipal Elections Act, 1996 are public records and, until their destruction, may be inspected by any person at the clerk’s office at a time when the office is open. Campaign financial statements shall also be made available by the clerk in an electronic format free of charge upon request.
March 13, 2019

INDEPENDENT AUDITOR'S REPORT

To Karen Grice-Uggenti, Candidate, and Janet Pilon, Acting City Clerk for The City of Hamilton

Opinion
I have audited the campaign period financial statement of Karen Grice-Uggenti which comprises of the statement of income and expenses for the campaign period from May 1, 2018 to December 31, 2018. The financial statement has been prepared by the candidate based on the financial reporting provisions of Section 88.25 of the Ontario Municipal Elections Act, 1996 and guidance issued by the Ontario Ministry of Municipal Affairs.

In my opinion, except for the possible effects of the matter described in the Basis for Qualified Opinion section of my report, the accompanying financial statement presents fairly, in all material respects, the income and expenses of Karen Grice-Uggenti for the campaign period from May 1, 2018 to December 31, 2018 in accordance with the financial reporting provisions of Section 88.25 of the Ontario Municipal Elections Act, 1996 and the guidance issued by the Ontario Ministry of Municipal Affairs.

Basis for Qualified Opinion
Due to the inherent nature of the transactions of organizations of this type, the completeness of the various categories of income and expenses is not susceptible to satisfactory audit verification. Accordingly, my verification of income and expenses was limited to the amounts recorded in the records of Karen Grice-Uggenti and I was not able to determine whether any adjustments might be necessary to income, expenses and period surplus/deficit for the period from May 1, 2018 to December 31, 2018.

I conducted my audit in accordance with Canadian generally accepted auditing standards. My responsibilities under those standards are further described in the Auditor’s Responsibilities for the Audit of the Financial Statement section of my report. I am independent of Karen Grice-Uggenti in accordance with the ethical requirements that are relevant to my audit of the financial statement in Canada, and I have fulfilled my other ethical responsibilities in accordance with these requirements. I believe that the audit evidence that I have obtained is sufficient and appropriate to provide a basis for my qualified opinion.

Responsibilities of Management and Those Charged with Governance for the Financial Statement
The Candidate is responsible for the preparation and fair presentation of this financial statement in accordance with the financial reporting provisions of Section 88.25 of the Ontario Municipal Elections Act, 1996 and guidance issued by the Ontario Ministry of Municipal Affairs and for such internal control as she determines is necessary to enable the preparation of the financial statement that is free from material misstatement, whether due to fraud or error.

The Candidate is responsible for overseeing the financial reporting process.

Auditor’s Responsibilities for the Audit of the Financial Statement
My objectives are to obtain reasonable assurance about whether the financial statement as a whole is free from material misstatement, whether due to fraud or error, and to issue an auditor’s report that includes my opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with Canadian generally accepted auditing standards will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of this financial statement.
March 13, 2019

Karen Grice-Uggenti and Janet Pilon, Acting City Clerk for the City of Hamilton

As part of an audit in accordance with Canadian generally accepted auditing standards, I execute professional judgement and maintain professional skepticism throughout the audit. I also:

- Identify and assess the risks of material misstatement of the financial statement, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for my opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Candidate’s internal control.
- Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by the Candidate.

I communicate with the Candidate regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that I identify during my audit.

Clement Feierabend, CPA, CA

CLEMENT FEIERABEND PROFESSIONAL CORPORATION
Authorized to practise public accounting by Chartered Professional Accountants of Ontario