**This file is the document FECFile User Manual for Candidate Committees. To learn more about the Federal Election Commission, Electronic Filing Program, or find this document by Section, follow the following links:**

**WWW.FEC.GOV >. EFILING >. FECFILE FILING SOFTWARE**

# FECFile User Manual for Candidate Committees

This manual is designed to help political committees use FECFile software and to assist with the filing of disclosure reports. The format for this manual is user-friendly and contains step-by-step instructions, along with screen shots, in an effort to help users maneuver through the software. Some of the areas found in this manual include: How to enter transactions on each line, How to upload a report, How to file a miscellaneous electronic submission and How to make sense of some common error codes.

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- NICT—Technical Questions

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# A. FECFile Introduction

The Federal Election Commission provides **FECFile** for political committee computer users who intend to file electronically, but do not have other software applications that support authorized electronic filing. With several commercial electronic filing computer applications available, the outside user community has several different options available. However, **FECFile** is provided, free of charge, to the electronic filing community, and is intended as an automated tool for reporting FEC financial activity.

The term “electronic filing” as discussed here, is defined as sending information, as per FEC guidelines, from the user, to the FEC, via computer. **FECFile** supports a variety of Internet connections including proxy. SLL, or modem connection for filing. Once a report and necessary information has been entered in, **FECFile** encrypts the data, based upon a proper password, and transfers the report to the FEC. While discouraged, users may also use **FECFile** to submit filing data on a diskette or compact disk (CD), which shall be discussed later in the text.

# Important Numbers and Referral Information

## Technical FECFile Questions, Unofficial Electronic Filings, Web Questions and Passwords:

NIC Technologies, Electronic Filing Office (202) 694-1642 - for the External community

## Reporting Questions:

Reports Analysis Division (202) 694-1130

## Reporting Requirements:

Information Division at (800) 424-9530 or the appropriate Campaign guide

## Passwords:

NIC Technologies, Electronic Filing Office (202) 694-1642 -***External community***

## Website Referral:

Please find the Electronic Filing web page at http://www.fec.gov/elecfil/electron.shtml f or the following information:

- ✓ The FECFile download page, (to download software)

- ✓ Common errors
- ✓ Mandatory electronic filing information
- ✓ Electronic filing FAQs
- ✓ Information for software developers
- ✓ Statistics
- ✓ The FECFile user's manual
- ✓ Password information

The specifics on FEC reporting may be found at http://www.fec.gov/reporting.html, for the following information:

- ✓
- ✓ Rules and regulations of FEC financial reporting

# Who Can Use FECFile And How They Can Obtain It?

## Who Can Use FECFile?

Any committee required to create federal campaign finance reports may use **FECFile.**

Senate committees must file on paper with Secretary of the Senate and *can only use FECFile to file voluntary **unofficial** electronic reports. Senate committees may use the software to create and maintain a report database and render a usable paper report image. The FEC has an unofficial web site for Senate committees to view their information on the Internet located at http://disclose.nictusa.com/senate/.*

## How Can FECFile Be Obtained?

**FECFile** is provided free of charge, and can be obtained by the following methods:

- Downloaded at the FEC website http://www.fec.gov/elecfil/updatelist2.html
- By mail , 1-800-424-9530 to receive a copy

**NOTE: Once receiving FECFile, the user must obtain a password from the Electronic Filing Office. See the following page for instructions.**

# Passwords – (Who Can Obtain Them and How They are Obtained)

In order to file electronically, the committee user **must** have an electronic filing password. This password is provided by the FEC Electronic Filing Office. For electronic filings, the password acts in the same way as a signature on a paper report, and indicates that the electronic filing originated with the committee in whose name it is filed. After it is issued the password is encrypted, and **FECFile** uses the password and the FEC committee ID number to identify the filing, ensuring proper origination.

## Who Can Obtain A Password?

The committee's official treasurer or assistant treasurer must be the requestor of an electronic filing password.

If an additional password is requested for an assistant treasurer, the treasurer and assistant must sign the request.

**(If the treasurer has changed and the FEC has not been officially notified, the filer must file an amended Statement of Organization prior to receiving a new password for the new treasurer.)**

## How Is A Password Obtained?

The treasurer or assistant treasurer must fax or mail a request letter to the Electronic Filing office, at 202-219-0674,

Electronic Filing, Federal Election Commission,
999 E Street, N.W.,
Washington, D.C. 20463.

Committee letterhead should be used, if available, and must include:

- ✓ The committee name or nine-digit FEC ID number
- ✓ Treasurer's name
- ✓ Phone number

- ✓ Treasurer's signature

- ✓ Identical information is also required for the assistant treasurer (if requested)

**(If only the assistant treasurer is to receive a password, the assistant and the treasurer must sign the request).**

**The following information (exact phrase) must be included in the request for a password:**

**"I represent that I am the duly appointed treasurer and have authority as such to sign FEC reports for the above committee".**

A sample password letter may be found on the FEC Website, at:

http://www.fec.gov/elecfil/sample_letter.htm

Upon verification by the Electronic Filing office, typically within a few hours, the password will be provided via telephone.

## What Happens If A Password Is Forgotten?

If a password is forgotten, the committee must request a new password, following the same steps as requesting an original password, faxing or mailing the Electronic Filing office, at 202-219-0674.

# FECFile Installation and Setup

Before creating reports and filing electronically with FECFile, the software must be installed on the computer. Installation and setup of the committee using the FECFile setup program may be accomplished quickly, but prior to installation, the system must meet the minimum requirements shown below:

## Minimum System Requirements

PC type computer system
8 megabytes of RAM
Microsoft Windows 5, 8, XP, ME or NT 4, 2000 operating system
3.5 High Density Floppy Diskette Drive and/or CD Drive
Modem or Network Internet Connection (to file electronically and download software)

**PLEASE NOTE: No other operating system is currently supported.**

**PLEASE NOTE: It is has been found that selecting an installation directory other than the default can cause the program to operate abnormally. Therefore, it is <u>required</u> that you use the default installation path when installing the software.**

**PLEASE NOTE: It is has been found running more than one version of FECFile at a time may cause the program to operate abnormally. Therefore, it is strongly advised that you uninstall a previous version(s) of FECFile prior to installing the current version of FECFile. Uninstalling FECFile does not remove data files that have been created. It is always best practice to back up all data files. This especially true when changing applications. Data files are saved in the default directory, unless you save them in another location upon creation.**

## Installation Procedures

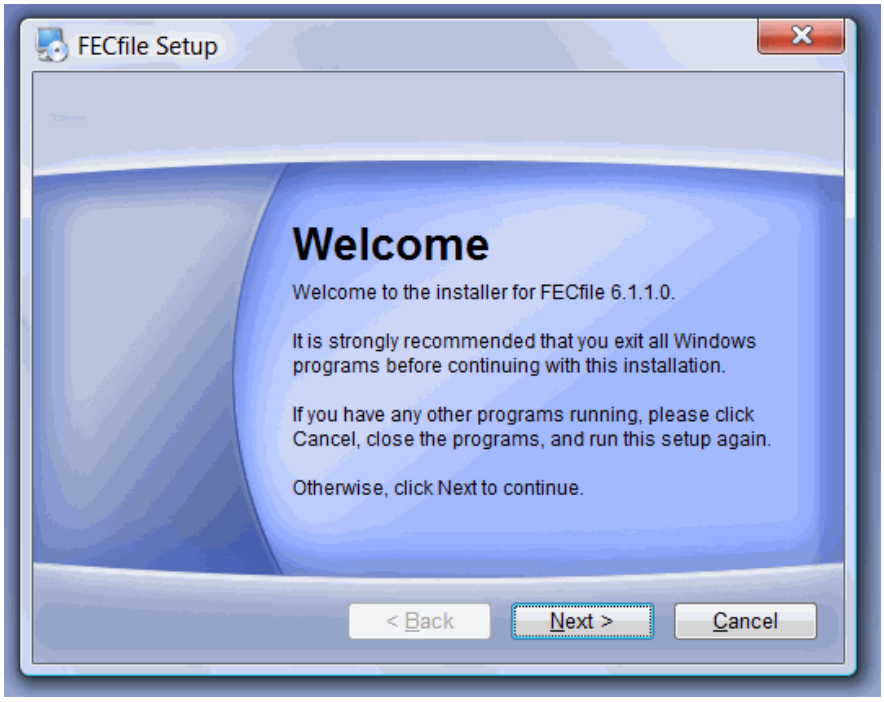
✓

**From CDROM if you received a FECFile Installation CD:**

- ✓ Close any open applications on the computer.
- ✓ Insert the Installation CD into the CD drive.
- ✓ From the Start menu, select Run and then type **[Drive]:\setup,** where [Drive] = the drive letter assigned to the CD drive on the system where the CD is loaded.
- ✓ For example, if the CDROM drive used drive letter "E" on the system, enter **E:\setup** in the command-line box, and click ***OK.***
- ✓ As an alternative, double click the "My Computer" Icon on the Windows Desktop. The window will open.
- ✓ Double click on the CD Drive icon. Then find and double click on the **setup.exe** file.
- ✓ Go to Finalize Installation (below).

**From download:**

- ✓ Download FECFile from http://herndon1.sdrdc.com/cgi-bin/fecfile
- ✓ Save the file to a place selected on the hard drive.
- ✓ When the download is complete, Double click on the **setup.exe** file.
- ✓ Go to Finalize Installation (below).




**Finalize Installation:**

- ✓ Follow the instructions provided during the setup process. Do not install on a network drive.
- ✓ When the installation is complete the screen will display “FECFile Setup is complete and your software is now installed”.
- ✓ FECFile has now been installed!
- ✓

# FECFile – A Brief Overview

Before getting into the details of FECFile, we provide a summary view of how FECFile works and how you can use it to electronically file your reports to the FEC. While FECFile support different committee types, reporting periods, and transaction types, the pattern for using FECFile remains the same and is fairly straight forward..

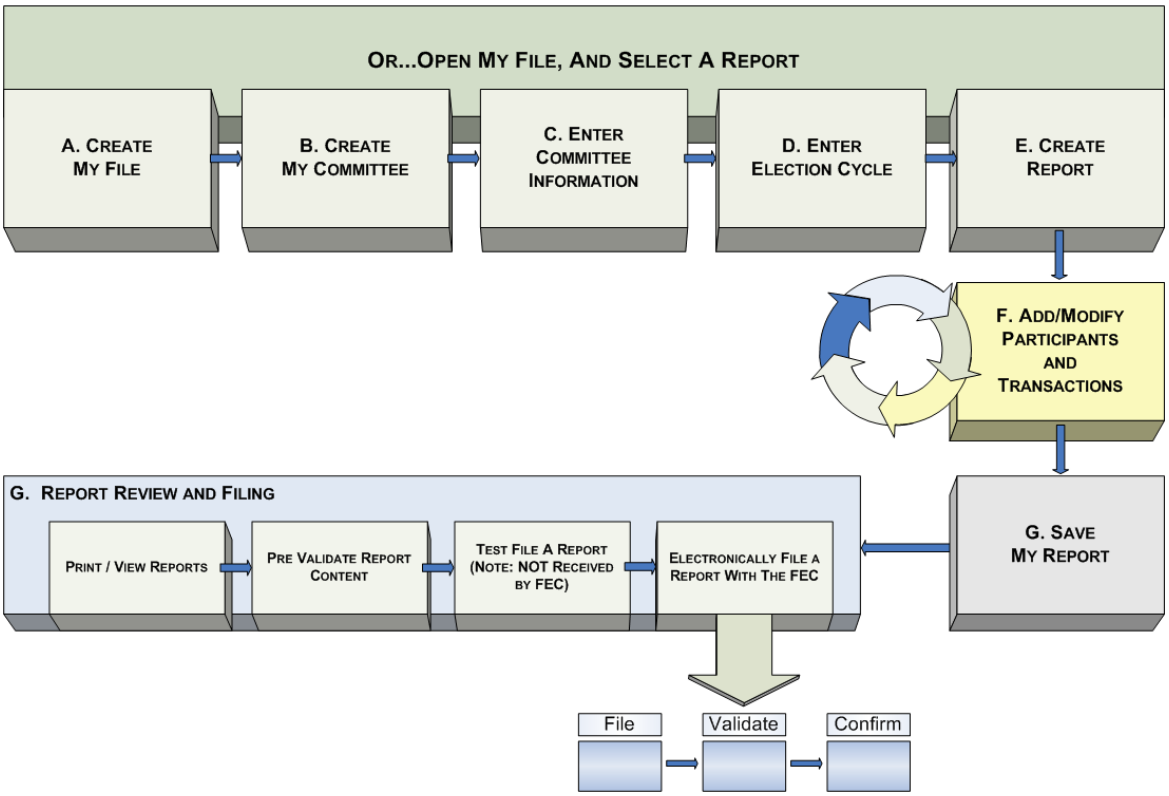
## Process flow for FECFile

The flow for using FECFile, follows the normal filing process for the FEC. It includes:

- Set up a file
- Create a committee – enter committee information
- Create a report
- Enter transaction(s) into the report period
- File the report
    1. Use Upload to send the filing
    2. The FEC Validates the filing
    3. You are notified of problems or confirmation of a successful filing

The following diagram shows the general flow for using FECFile:

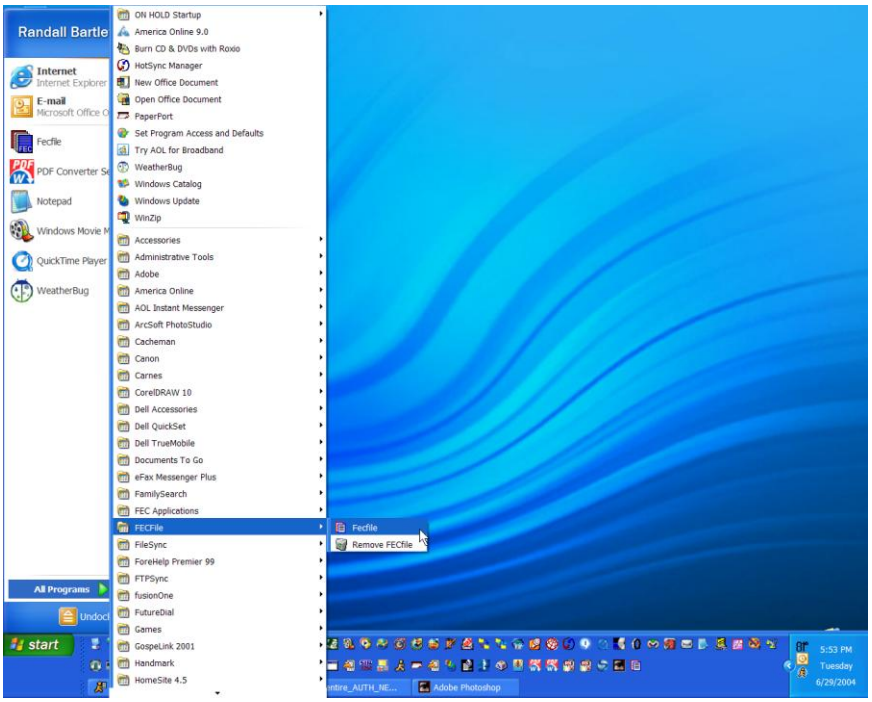
# FECFile Process Overview




In this manual, the above processes are addressed in detail, as follows:

- Create File – Section B
- Create Committee – Section C
- Create Report – Section D
- Transactions – Section E
- Save Report – Section E
- Report Review and Filing – Sections G & H
- Amending Reports – Section I

# *B. Starting FECFile And Retrieving The Candidate Database*




## Opening Fecfile

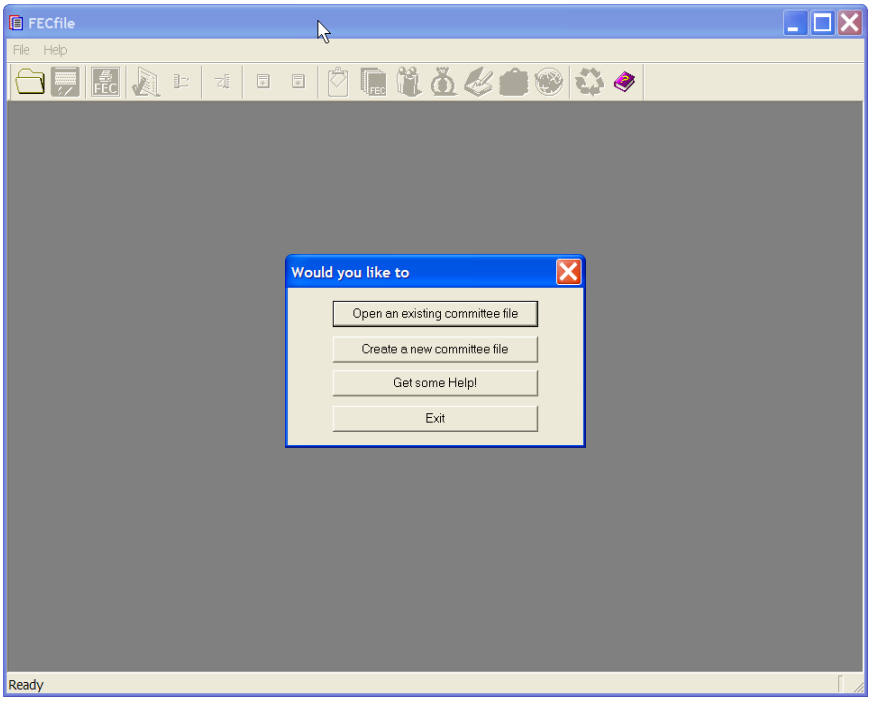
To open the FECFILE application, you must launch the software application.

- ✓ Click the Start button on the Taskbar and move up to select Programs.
- ✓ Select Programs and then move across, highlighting FECFile.
- ✓ Select FECFile, from the menu selection.
- ✓ The application will launch, and FECFile will open.

- ✓ The application will prompt the user for the operation needed to perform, or select File Open, choosing the candidate database.

## Getting Started With Fecfile

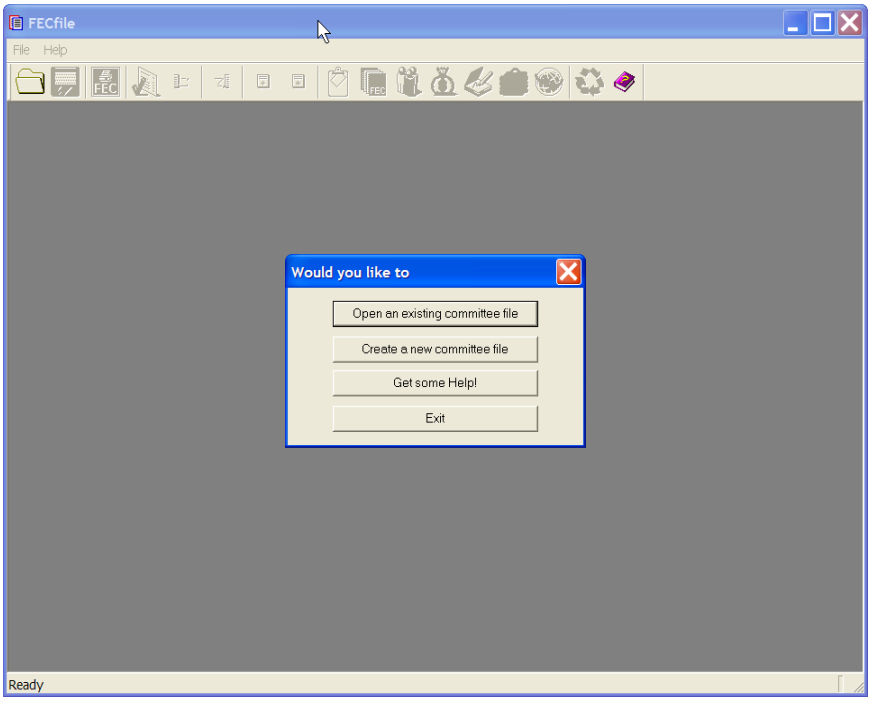
Once launching FECFile, there are several options from which to choose:




- ✓ Open and existing committee file – allows the user to access committee information and reports already created and saved
- ✓ Create a new committee file – allows the user to create a new committee file where all information and reports for the committee will be stored
- ✓ Getting Some Help – shows the user a step-by-step diagram of the electronic filing process
- ✓ Exiting – closes the application

All of these options will be explained in the following text.

## Retrieving the Candidate Database



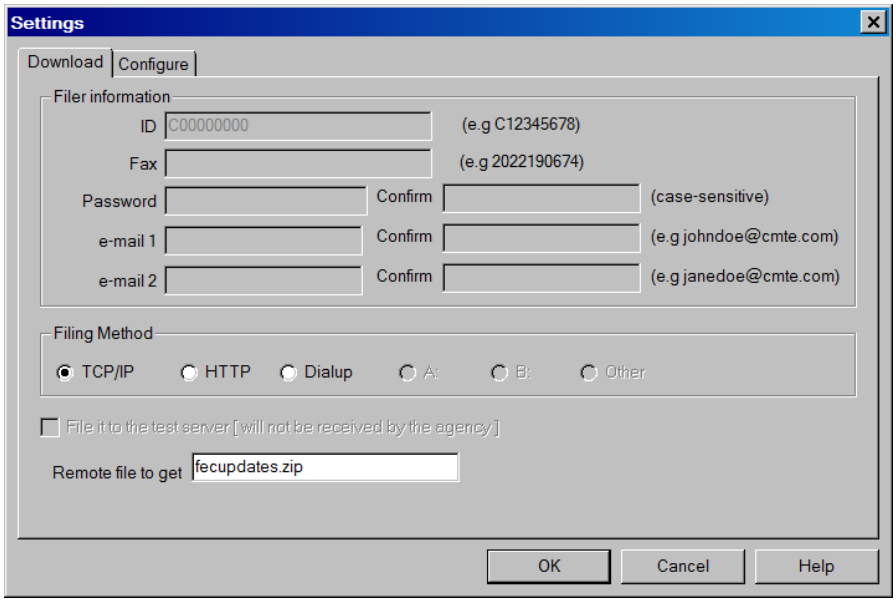

## Updating and Downloading the Lookup File

FECFile uses a standard file called a Lookup file to identify, or “lookup” candidate and committee ID information. As part of the ongoing process of assigning these ID’s, the FEC updates the master list and changes it everyday. The FECFile application will notify the user when it is more than 30 days old.

The FEC’s master list is part of the FECFile installation (in a file called export2.cm). The FECFile software is designed to notify the user every 30 days. However, the user may download a recent copy of the file at any time. This is done by selecting the menu item “Get Committee List/Contribution Limits” under the File Menu. As the application is initially installed, it is recommended to download a new copy at that time.

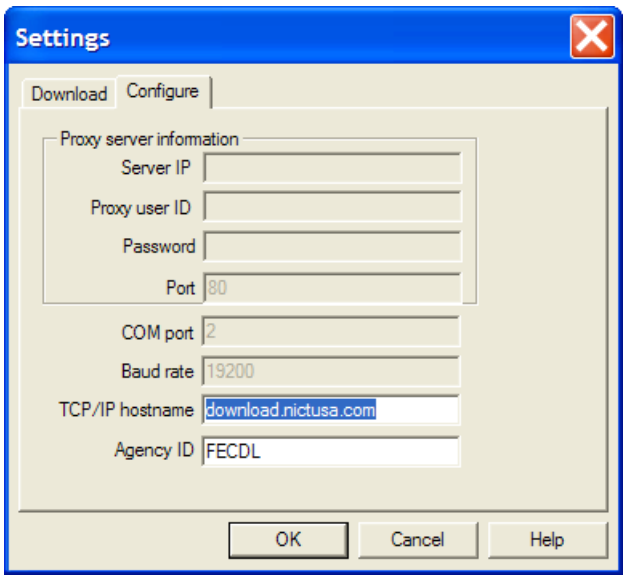
## Notification

Upon opening the FECFile application and the user's file, the application will notify asking to download a copy of today's database, including the current contribution limits, if the Lookup table is older than 30 days. There are two options here. By selecting *No*, the file will not be updated but transactions may be entered into FECFile. However, by selecting *Yes*, the FECLoad Settings window will appear asking to select the filing method (i.e., the communication method used to download the latest file).



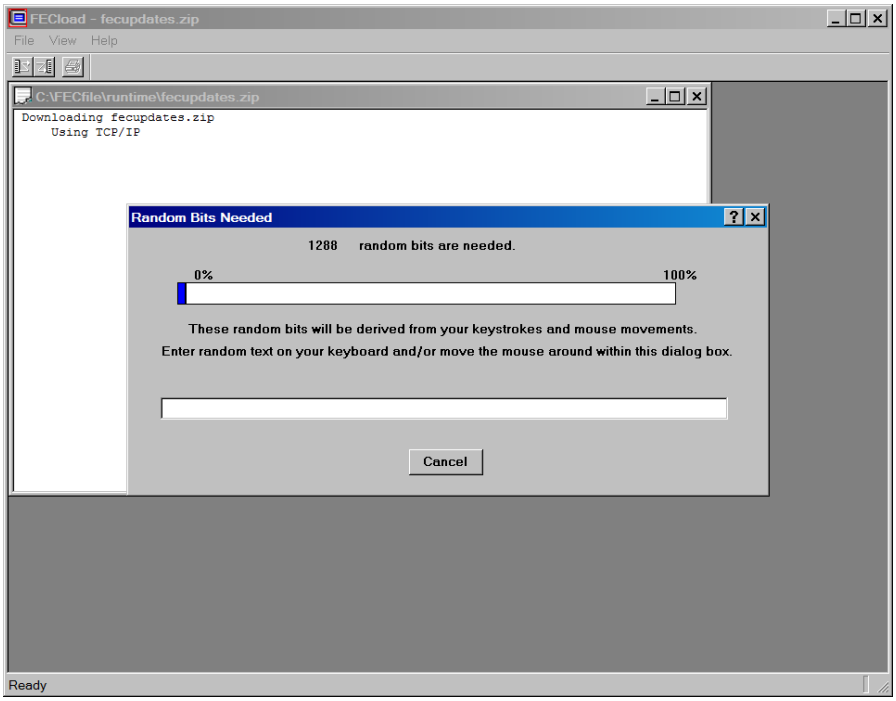

The options from the Download screen are: TCP/IP (an Internet connection); HTTP; or, Dialup (a modem connection). All other fields on this screen will be inactive (shaded gray). The HTTP connection is an option for those behind a proxy server. The proxy IP address must be entered in the configuration along with the username and password, if applicable.

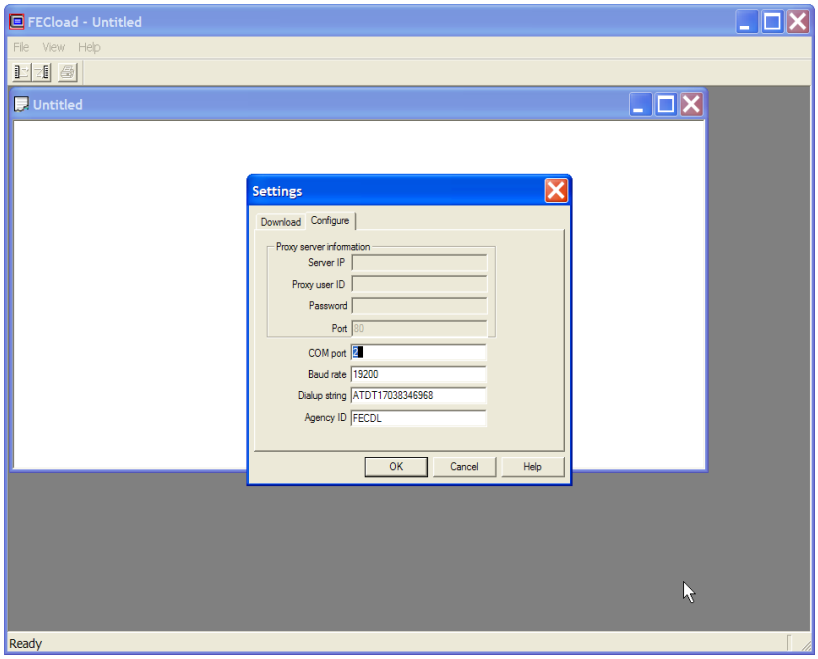
The configuration screen will vary according to the filing method selected.



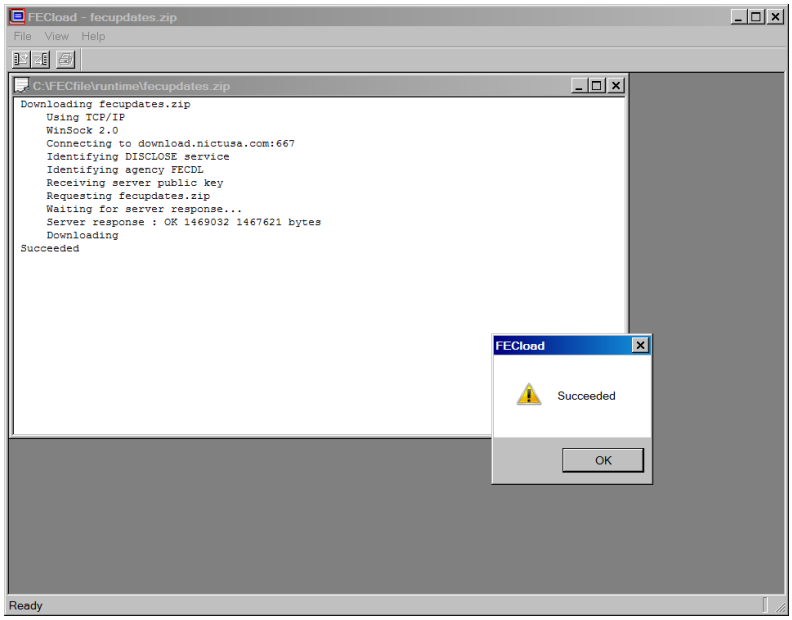

If TCP/IP is selected on the Download screen, the screen will have download.nictusa.com as the hostname (the name of the server that has the export2.cm file available for download) and the Agency ID will be FECDL. Internet connection must be made, prior to the download.

If *Dialup* is selected from the Download screen, the Configure screen will have the COM port set as 2; the Baud rate set as 1 200; the Dialup string as ATDT17038346 68 and Agency ID as **FECDL.**



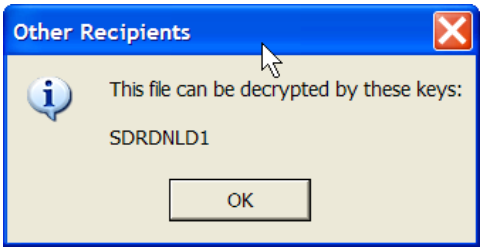



The COM port is the communication port that runs the computer's modem (i.e., your computer's modem). If connection cannot be made with this setting, check the comport # attached to your modem in your computers control panel. If a different COM port is used, change the COM port number in this field (possibilities COM port 1, COM port 2, COM port 3 or COM port 4). The same holds true when using a different Baud rate, the settings must change as well. The program defaults to the two settings noted, as they are the most frequently utilized. The Dialup string and Agency ID should not be modified unless instructed by the software's technical support staff, at the number noted in the beginning of this guide.



During the download, the screen will display FECload in the upper left corner. Inside FECload, a window displays the download results. The program will display several messages, informing you it is about to download. The program will pause, state “Requesting export2.cm”; then the process continues. The following message appears, “Server response”, and in the bottom right corner, a number displaying the file as it is downloading (the number represents the bytes being transferred). The process speed is dependent upon connectivity. As it is near completion, a window displays it is “Working”.

The next dialog screen reads, “The file can be decrypted by these keys:



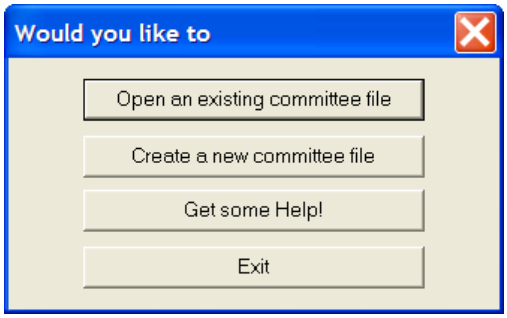

SDRDNLD1.” – At this point click OK.

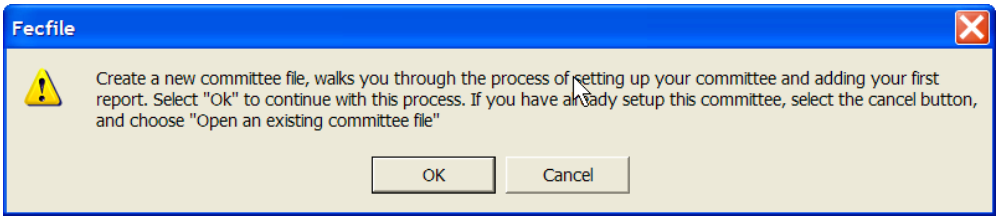
Processing will occur and a final screen should show that the import has succeeded – At this point click OK.

:

## *C. Filing Types and Creating a New Committee File*

When you start the system, it gives you the option to open an existing committee, create a new committee, open help, or simply exit from the action box. The following Pop-up screens help you through those options:




The following provides assistance in selecting the committee/filing types and setting up for creating reports for that filing type.

## Filing Types

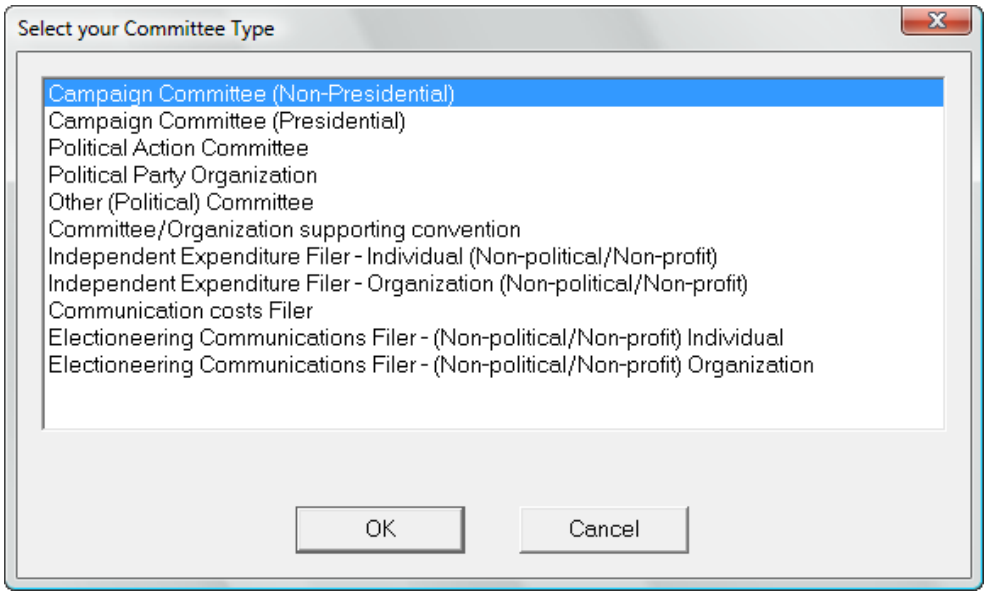
When beginning the process of entering information into FECFile, the question of committee type is critical because the answer provided will determine the FEC form that will be used by the FECFile application, and the associated reports. These committee options include:

| ✓ FILING TYPE | COMMITTEE CATEGORY |
|---|---|
| ✓ Campaign Committee (Non-Presidential) | For Use By Authorized Committees |
| ✓ Campaign Committee (Presidential) | |
| ✓ Political Action Committee | ✓ |
| ✓ Political Party Organization | ✓ |
| ✓ Other(Political) Committee | ✓ |
| ✓ Committee/Organization Supporting Convention | ✓ |
| ✓ Independent Expenditure Filer-Individual (Non-political/Non-profit) | ✓ For Use By Unauthorized Committees |
| ✓ Independent Expenditure Filer-Organization (Non-political/Non-profit) | |
| ✓ Communication Costs Filer | |
| ✓ Electioneering Communications Filer-Individual (Non-political/Non-profit) | |
| ✓ Electioneering Communications Filer-Organization (Non-political/Non-profit) | |

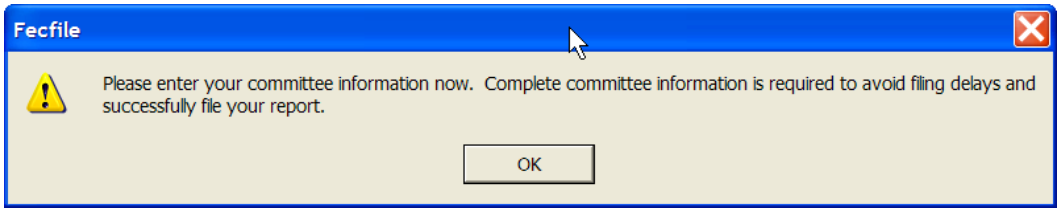
If the committee is unclear or uncertain about the committee type, refer to the most recent Statement of Organization (FEC Form 1). If the committee type cannot be determined, the committee must contact the Reports Analysis Division of the FEC at (202) 694-1130.

If this is the first time the committee has entered the program (or the first time they have created a file for a new committee), OK is selected. If, however, they have created a file for their committee previously, Cancel is selected; and, “Open an Existing Committee File” is selected.

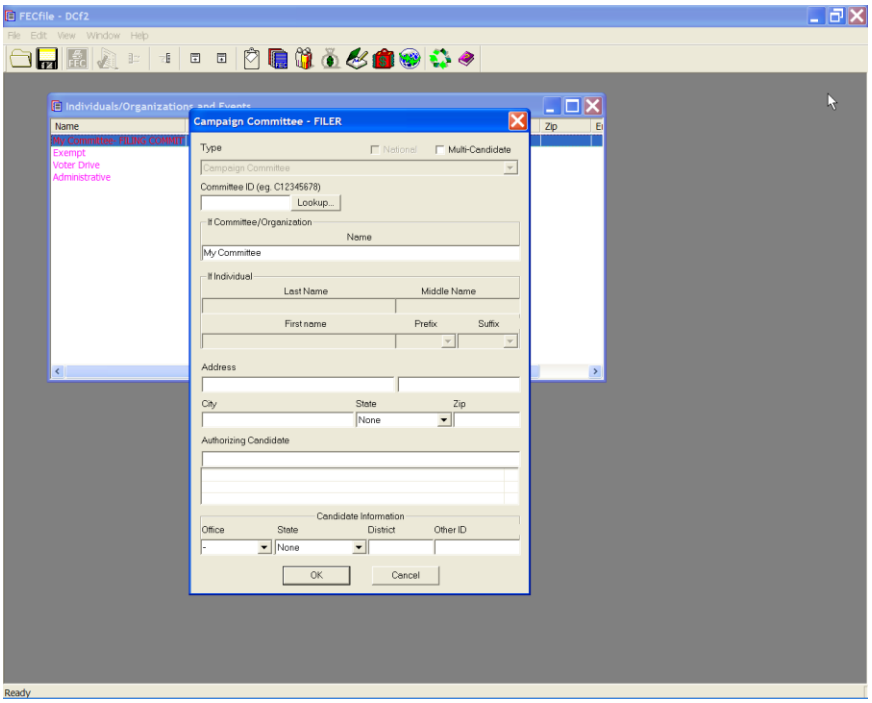
At the FECFile application requests, select the committee type by clicking on it with the mouse; then select OK




This will bring up a dialog screen that asks you to enter your Committee information. It is very important for the committee to enter their information. Reports submitted without this information will experience problems/delays in having the report processed. OK is selected.



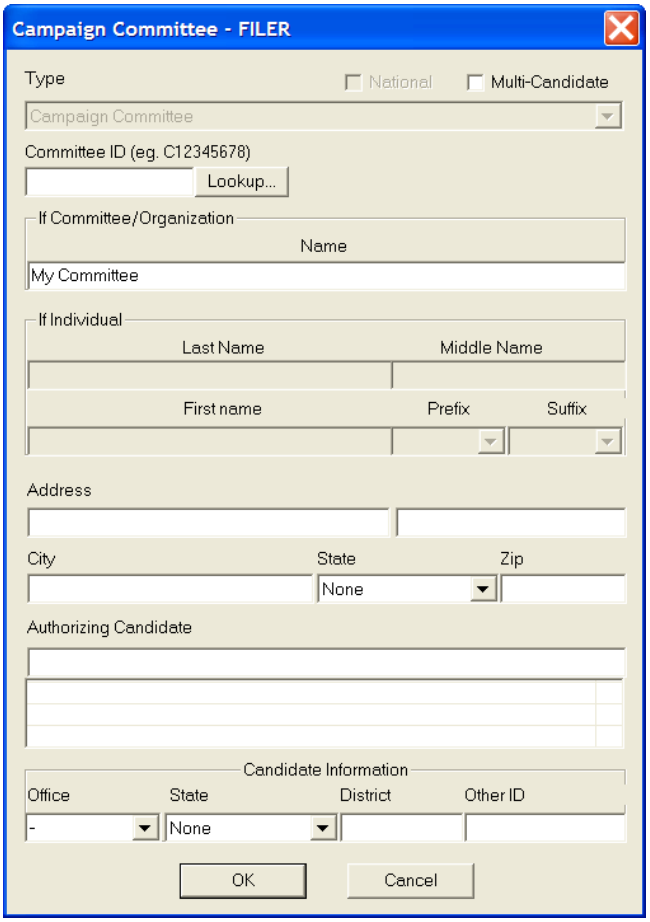

This opens the Committee Information screen. Complete the requested information as follows.




## Note: Authorized committees have an additional step.

Once completing the zip code, the Authorized Committees must enter in the Candidate's name in the Authorizing Candidate field, last name first.

- ✓ Once entered, press the tab key, which then allows for the separate Individual/Organization screen to enter the candidate address information.

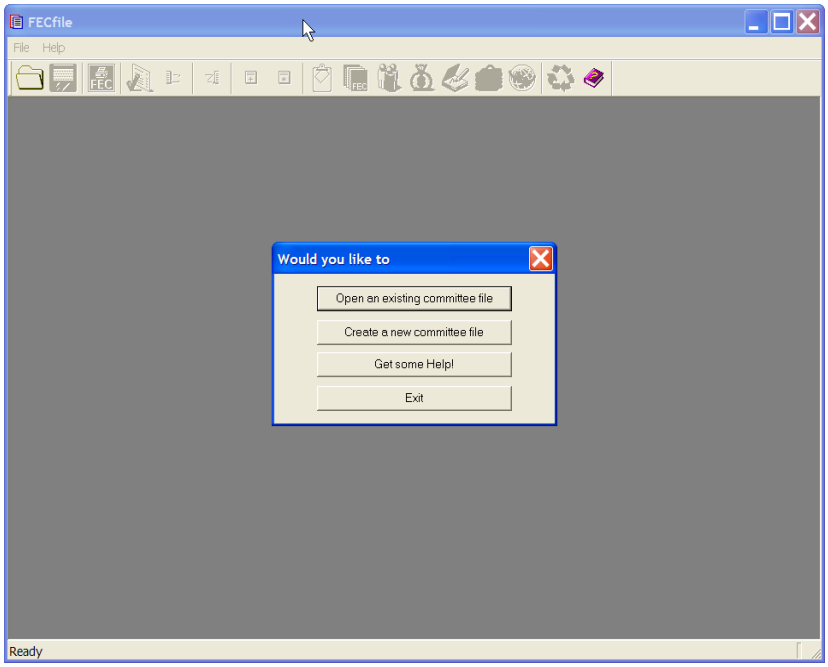



- ✓ The Individual/Organization information may then be entered, by tabbing from field to field. All information should be entered as complete as possible to avoid validation errors, which could lead to failure during the upload process.

- ✓ Additional candidate information may now also be entered.

- ✓ The lookup feature may also be used at this point.

- ✓ Select OK, upon completing entry of all required information.




**If the committee is unclear or uncertain about the committee type, refer to the most recent Statement of Organization (FEC Form 1). If the committee type cannot be determined, the committee must contact the Reports Analysis Division of the FEC at (202) 694-1130.**

## Create a New Committee File

All initial users of the **FECFile** application must select the **Create a New Committee File** option upon the first use of the software. Typically this option is only selected one time, the initial time the committee information is entered into the FECFile application. After entering the information initially, the committee file is created. All following entries, when the committee will add new reports, or open files for use, the **Open an Existing Committee File** option will be the option selected.

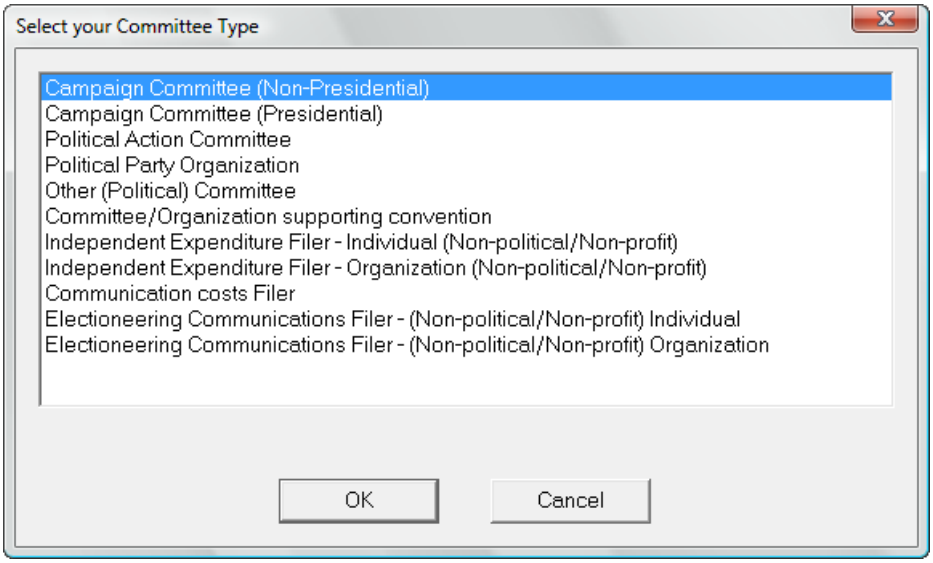
For your first session, after selecting the *Create a New Committee File* option, the program will ask you, in a dialogue box, if you are sure you wish to create a new file.

✓ Select create a new committee file to perform the new committee execution.

**The application will ask if you wish to create a new committee file, or cancel to open an existing committee file.**

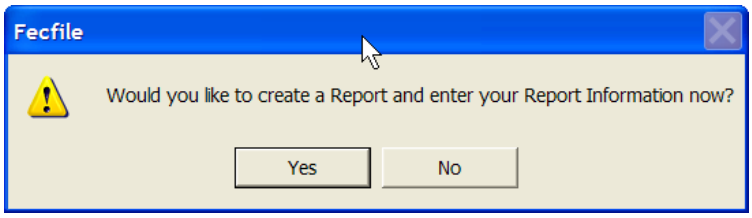
✓ Click OK, to create a new committee file.

✓ Click on the appropriate committee type and click OK.



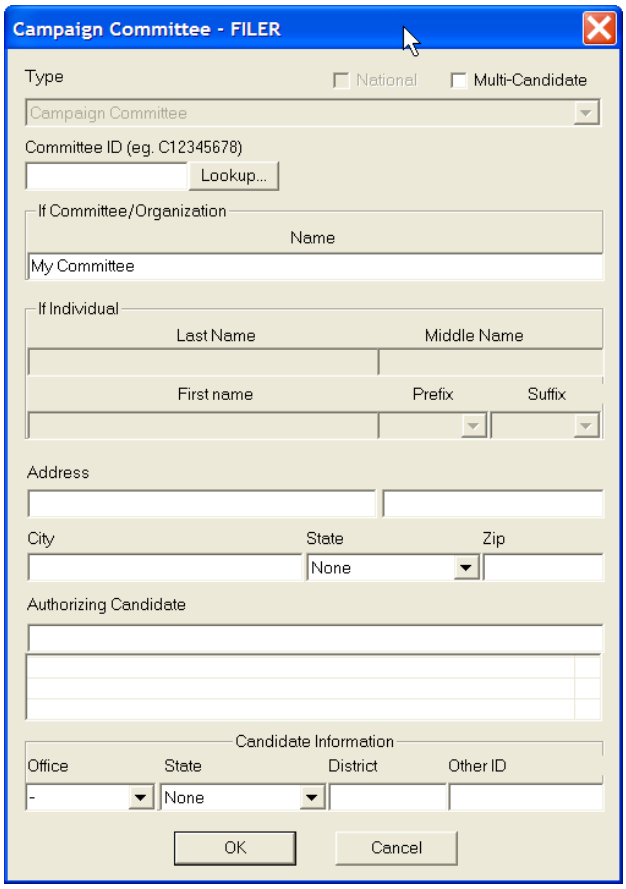

✓ The application will ask "Would you like to enter your Committee Information now?"

✓



✓ Select yes, then tab from field to field to fill in the following information:

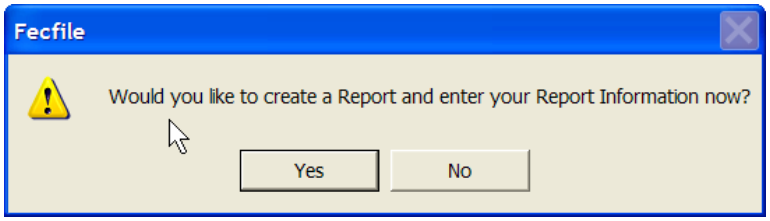
- The committee name
- The committee id (as it was issued to the committee)
- Address
- City
- State
- Zip code




✓ After completing the entry of the committee information, the application will ask “Would you like to create a Report and enter your Report Information now?”

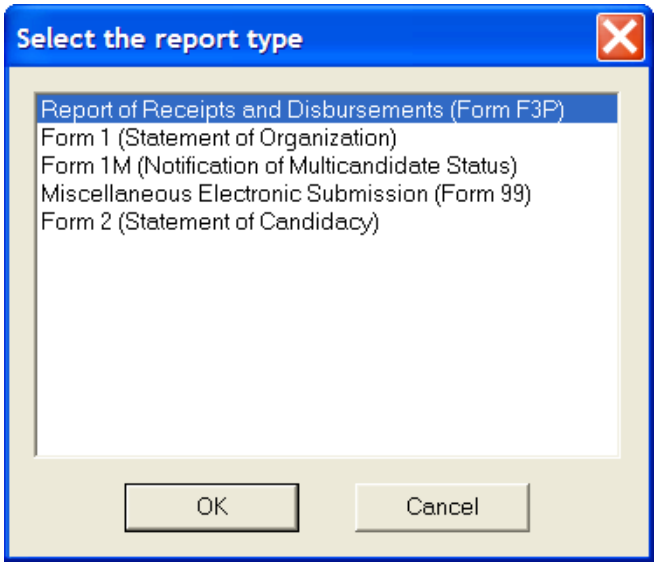
**This will also occur if the user selected no, when asked if information entry was required.**

- ✓ Select yes, and reference the “Creating a Report” text now….



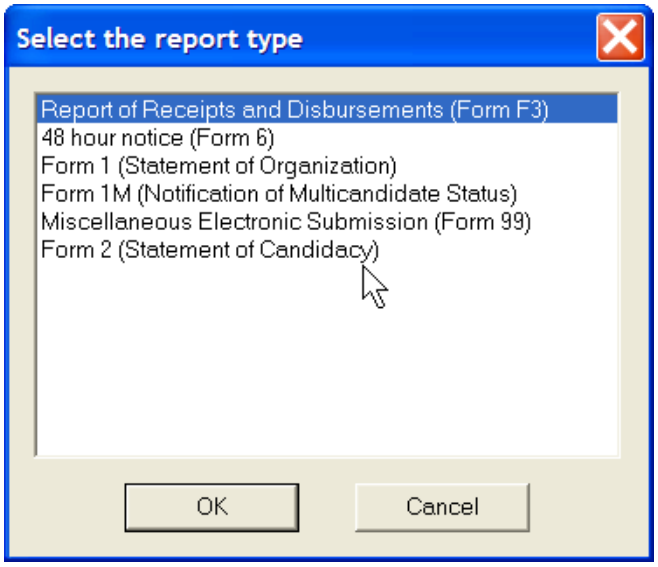
# D. Reports

Presidential




OR

Non-Presidential



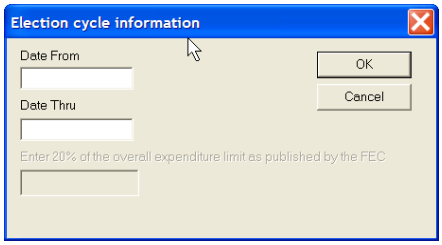
## Reports

The FECFile generates several different kinds of reports. These reports can include:

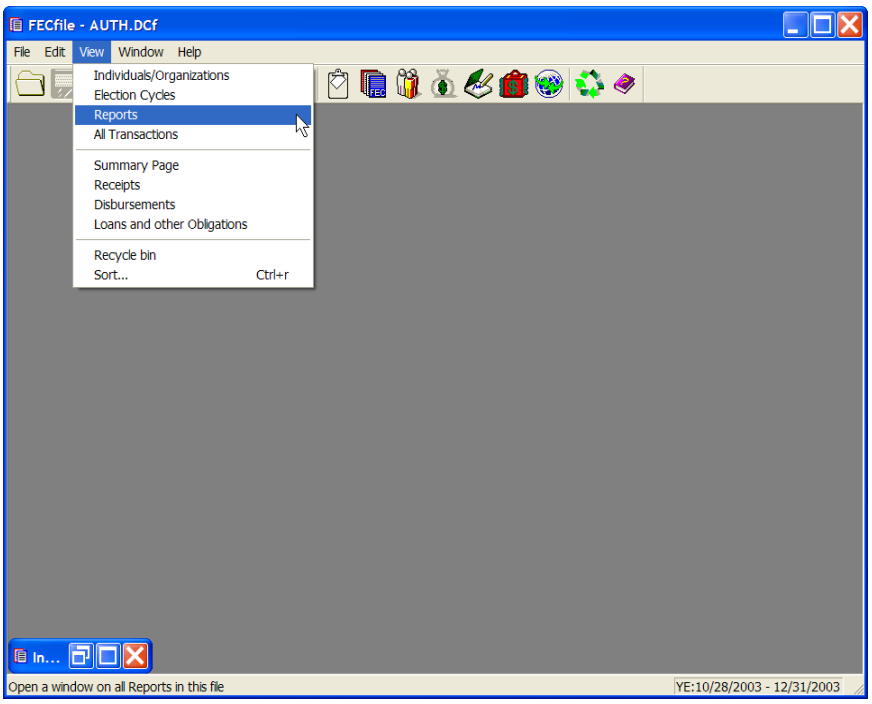
- Report of Receipts and Disbursements (Form 3P) **This is for Presidential Candidate Committees**
- Report of Receipts and Disbursements (Form 3) **This is for Non-Presidential Candidate Committees**
- Report of Receipts and Disbursements (Form 3X) **This is for PACS, Parties, State and Local Parties**
- 48 Hour Notice (Form 6)
- Statement of Organization (Form 1)
- Notification of Multicandidate Status (Form 1 M)
- Miscellaneous Electronic Submission

## Election Cycle

The election cycle is entered before a committee creates the first report. When the committee begins to enter in report information, it prompts the user to first enter an election cycle. The election cycle is the day after the previous General Election through the day of the upcoming General Election.




If the cycle is entered in correctly, the Post Election Detailed Summary page will not appear until it's necessary. Each software package uses a different method to remedy the problem. The Post Election Detailed Summary Page for Primary losers will appear on their Year End Report.




✓ To select the Reports window in FECFile, select view from the drop down menu bar and select Reports.

The “Reports” window displays a history of all reports contained in the committee file. By selecting “View” on the menu bar and selecting “Reports”, the automatic sort feature is visible. The sort is based on the report coverage dates (i.e., Date from and Date to) and the Filed on date. The user does not have the opportunity to change the order of reports in this view. The user can, however, modify the size of the columns by dragging, wide or narrow, permitting more information to be easily viewed.

There are several things the user can do to a report:

- Create
- Modify
- Delete
- Close
- Amend
- Validate
- Upload

The following text will review the different reports available using FECFile.

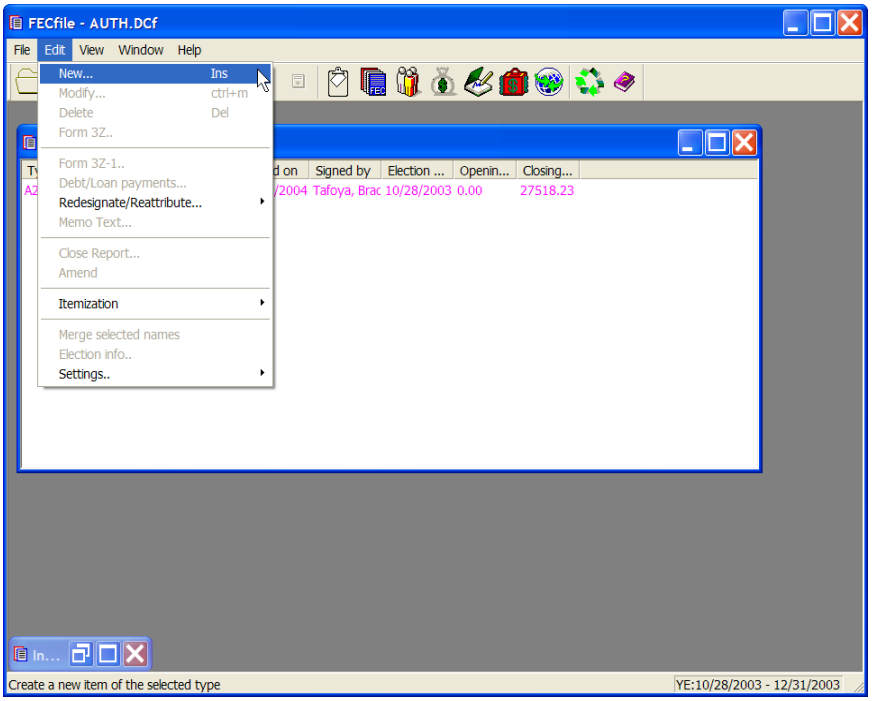
## Creating A Report Of Receipts And Disbursements (Form 3 For Non-Presidential Candidate Committees) or (Form 3P For Presidential Candidate Committees)

- ✓ Upon launching FECFile, select the appropriate candidate or committee information option.

- ✓ As the application asks “Would you like to create a Report and enter your Report Information Now”, select OK.

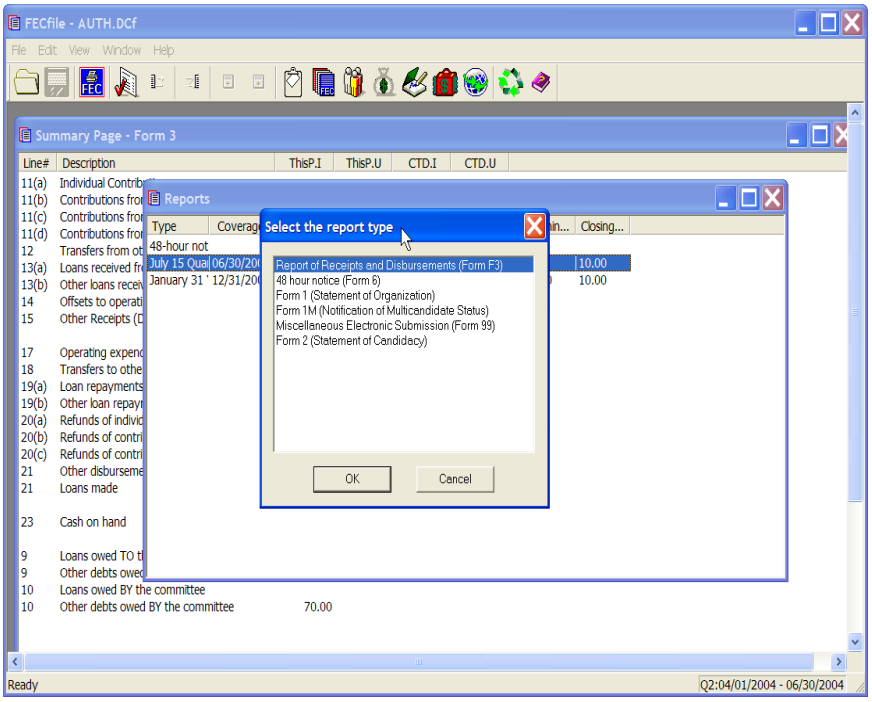
- ✓ Select View, from the menu bar and select Reports.

Select Edit from the menu bar and then select New.

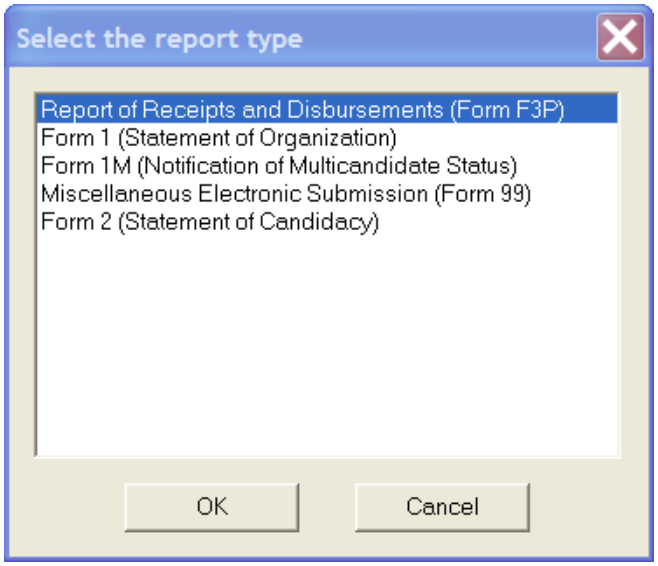


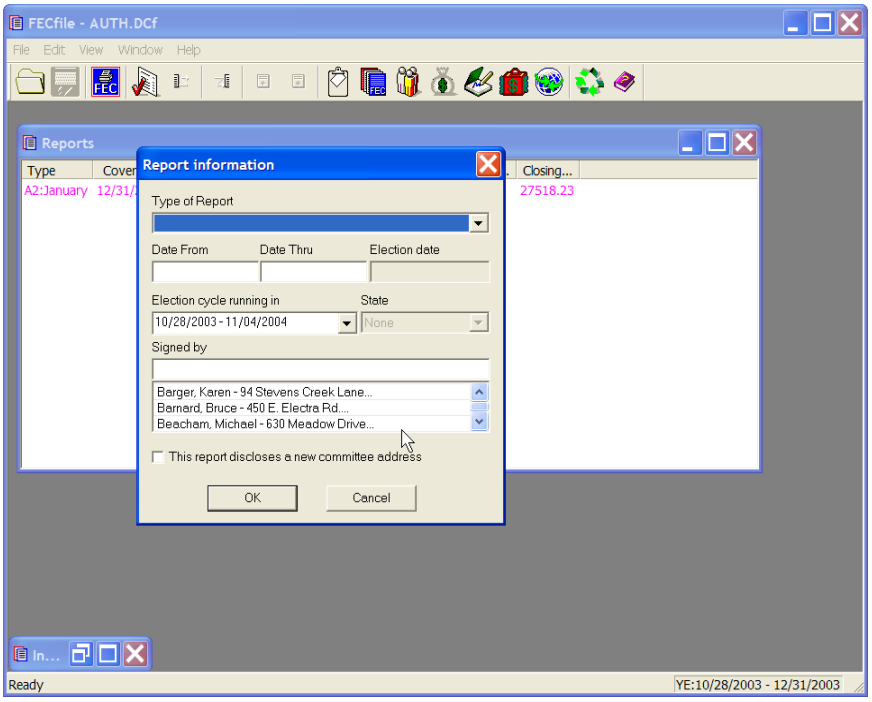

**Shortcut!** **(Right-click and select New, or use the Ins key on your keyboard with the Report window highlighted!)**

**NOTE: The first time you create a report, and your cash on hand is not zero ($ 0.00)—The first transaction you enter in the report should be the “Cash on Hand” Transaction to enter the initial balance. Subsequent transactions will modify the balance. See the transactions section for instructions.**




✓ Select Report of Receipts and Disbursements --Form 3 (Note: for presidential committees it will be Form 3P, as shown below) and click on OK.






- ✓ The Receipts and Disbursements Report has several options. Select the report required from the "Type of Report" drop-down menu.

- ✓ Point and click inside the "Date From" field and enter in the date required.

**Note: Due to the nature of the report selected, some date fields will be automatically populated by the FECFile application.**
**Point and click inside the "Date Thru" field, and enter in the date required. Again, this is necessary if the date field was not automatically generated.**

**Note: You may accept the default dates, or change them if necessary. Caution is required when changing the default dates. Pre-Primary reports, Pre-General reports and Post-General reports can alter the coverage dates of adjacent reports. If there is uncertainty about report coverage dates, users must check with an FEC representative prior to changing the default dates.**

**Date formats should be entered as follows:**

- m/d (1/1)
- mm/dd (01/01)
- mm/dd/yy (01/01/00)
- mm/dd/yyyy (01/01/2000).

**PLEASE NOTE THAT IF THE YEAR IS NOT PROVIDED, THE SOFTWARE DEFAULTS TO THE CURRENT YEAR.**

**ADDITIONALLY, ON THE FORM 3/3P, THE ELECTION CYCLE RUNNING IN MUST BE CORRECTLY FILLED IN.**

- ✓ The treasurer's name may be selected from the Individuals/Organizations list. **Note:** If the treasurer's name is not listed, it must be entered in the same manner as a standard individual.

- ✓ If the committee's address has been changed on the Individuals/Organizations list, check the box reading, "This report discloses a new committee address".

- ✓ Click on OK.

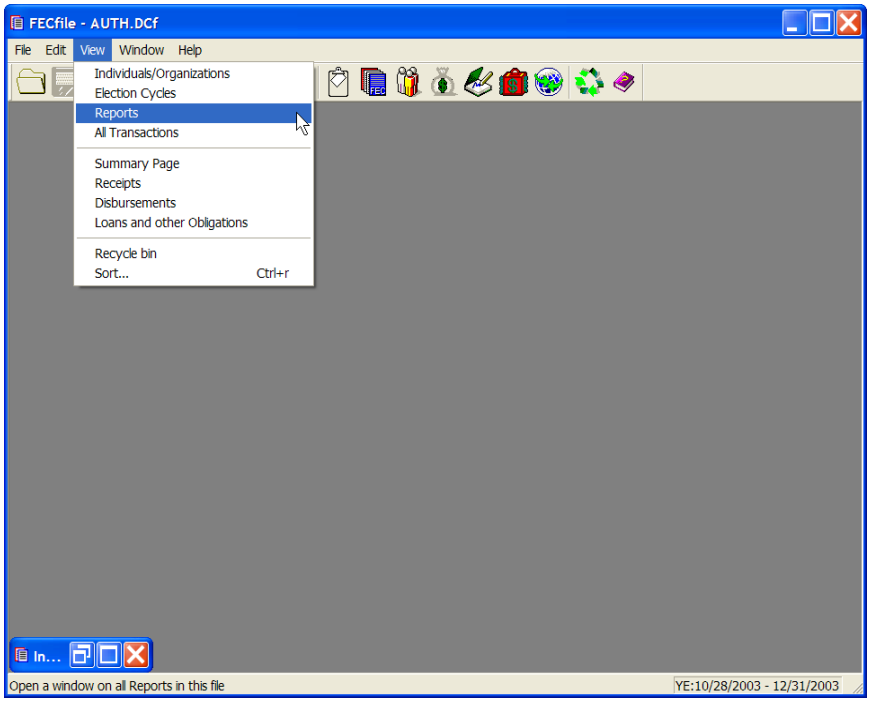
- ✓ The Reports table will appear.

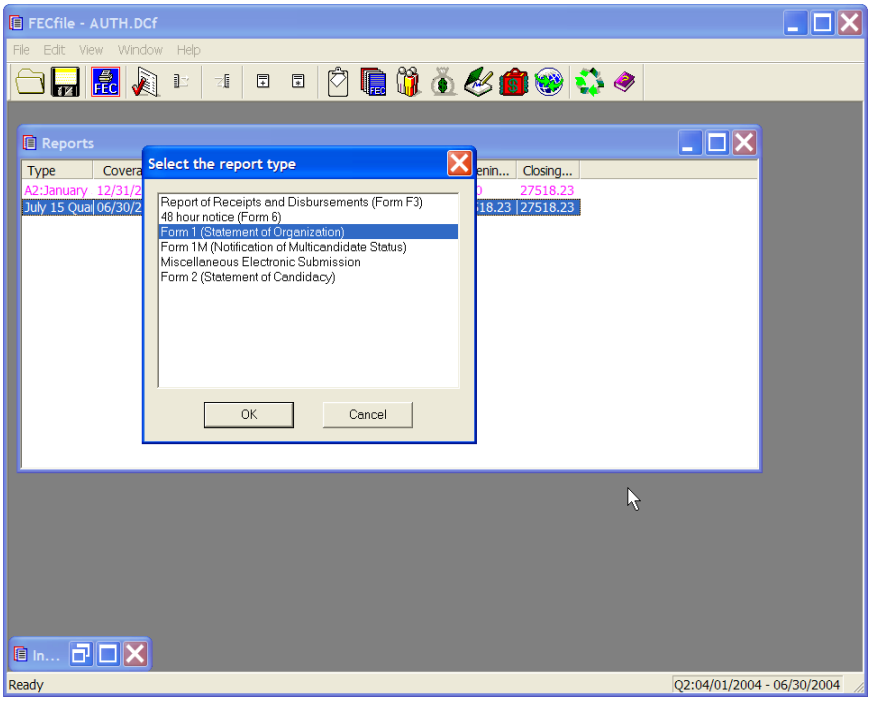
## Creating a Statement of Organization, (Form 1)

- ✓ Upon launching FECFile, select the appropriate candidate or committee information option.

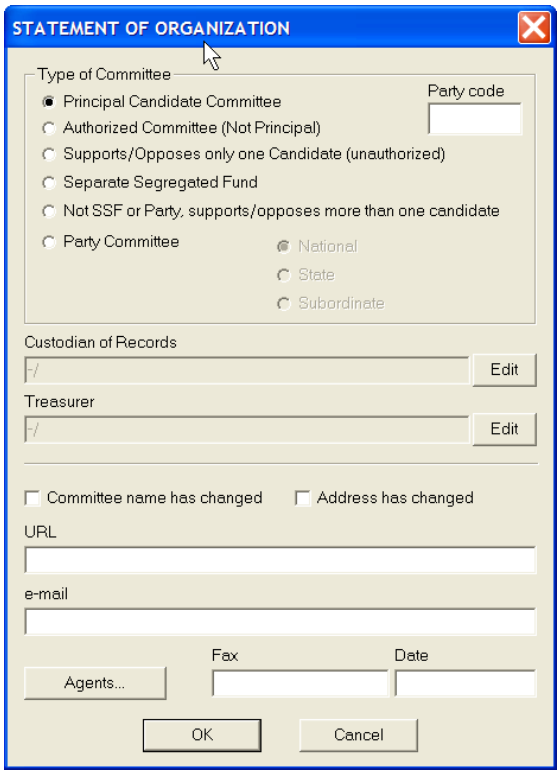
- ✓ As the application asks “Would you like to create a Report and enter your Report Information Now”, select OK.

- ✓ Select View, from the menu bar and select Reports.

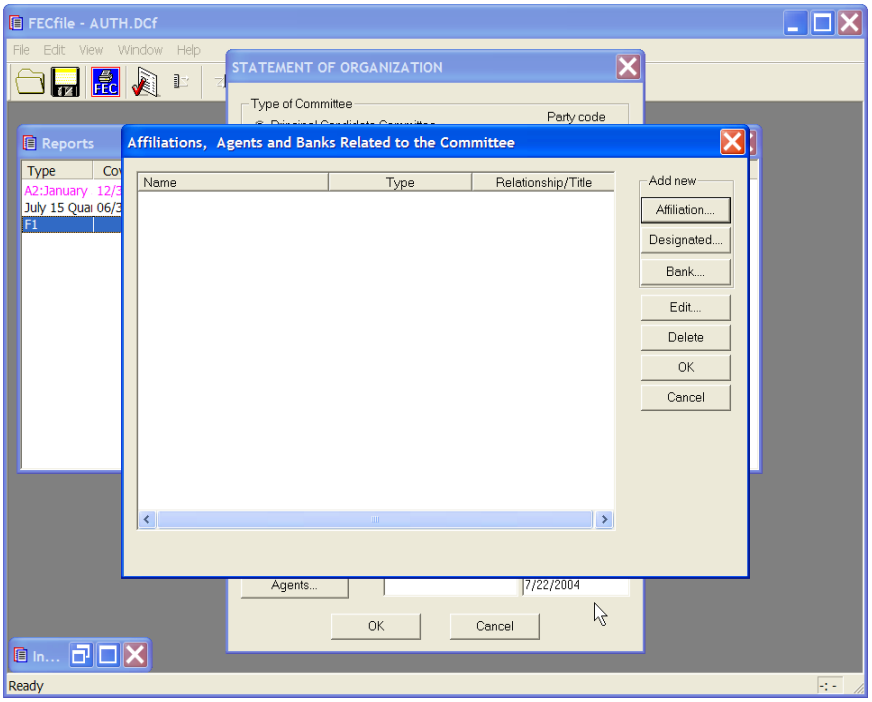





✓ Select Form 1, Statement of Organization, including presidential committees, and select OK.



✓ The Statement of Organization dialog box appears. Enter in: the type of Candidate Committee; the URL, and the e-mail address; and, the date.




✓ Click on the Agents button, and the Affiliations, Agents and Banks Related to the Committee dialog box appears. Enter in the pertinent data and click on OK.

✓ When FECFile asks to save changes, click on OK.

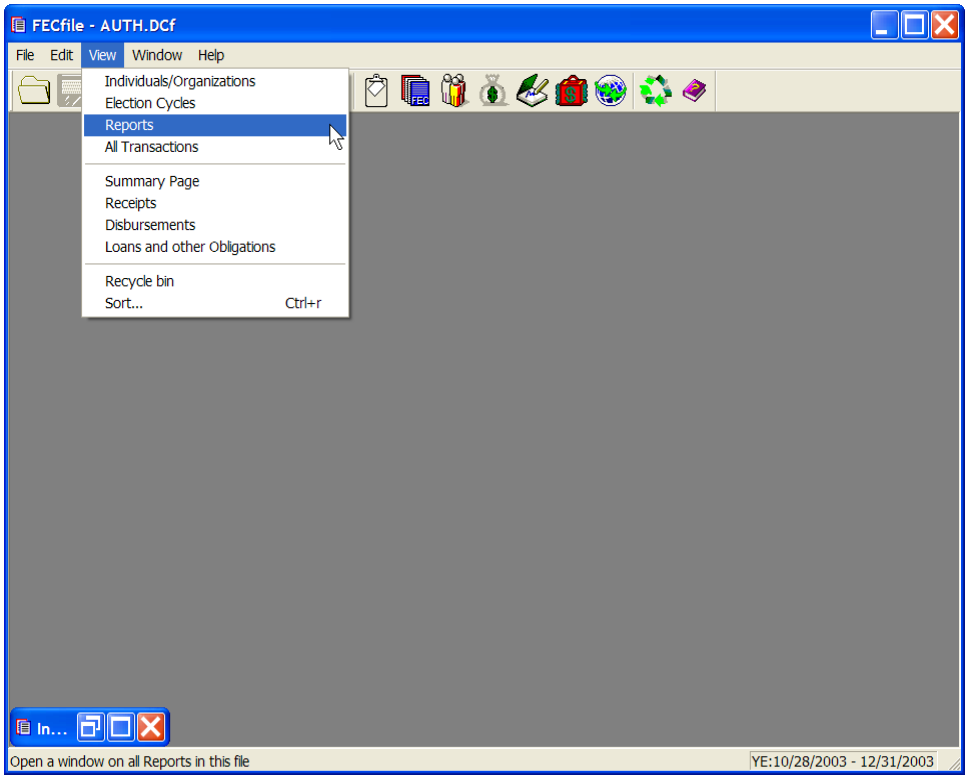
✓ The application returns to the Statement of Organization dialog box. Click on OK.

# Miscellaneous Electronic Submission (Form 99)

- ✓ Upon launching FECFile, select the appropriate candidate or committee information option.

- ✓ As the application asks “Would you like to create a Report and enter your Report Information Now”, select OK.

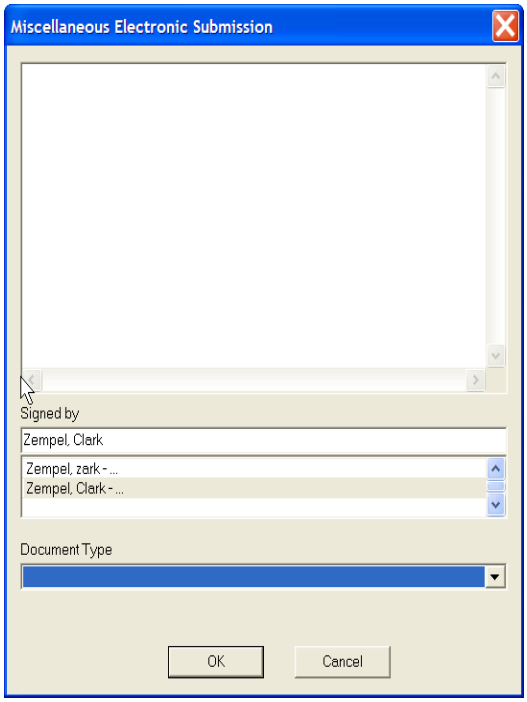
- ✓ Select View, from the menu bar and select Reports.




- ✓ Select Edit from the menu bar and then select New.

**Note:**
**Committees filing electronically should always file a complete amendment when they are adding, deleting, or changing information from the original report that is required on the appropriate schedule, summary, or detailed summary page. These items cannot be amended using a Form 99. Examples include, but are not limited to, occupation/employer, addresses, complete names of PAC’s, & loan terms.**

**Committees can use a Form 99 when filing an amendment to clarify/explain a certain situation that does not change the data submitted in the original report (i.e. a best efforts statement).**

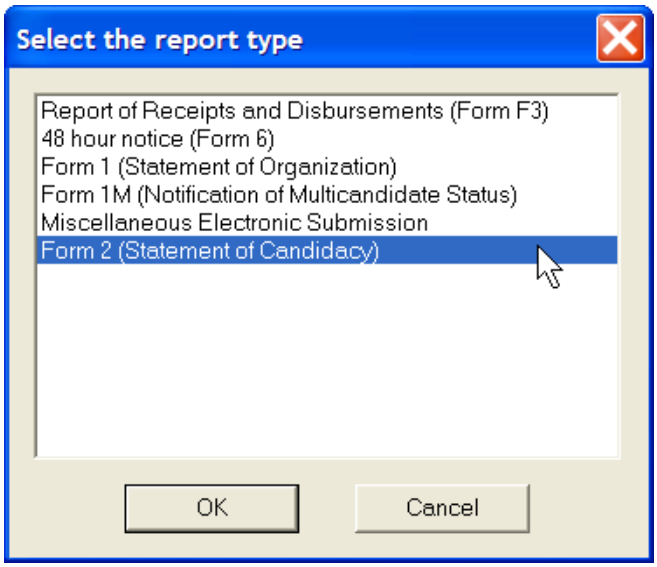



- ✓ The Miscellaneous Electronic Submission dialog box appears. Type in the appropriate information, select the signed by option, selecting the name of the individual signing the report, and select OK.

- ✓ Once the F99 is completed, the election cycle may still need to be entered. This can be done by left clicking on the word “view” on the menu bar and then left clicking on the “election cycle” option. In the election cycle window there will be blank entries. Double left click on them and the correct dates may then be entered.

## Creating a Statement of Candidacy (Form 2) (This is for Candidate Committees including Presidential)

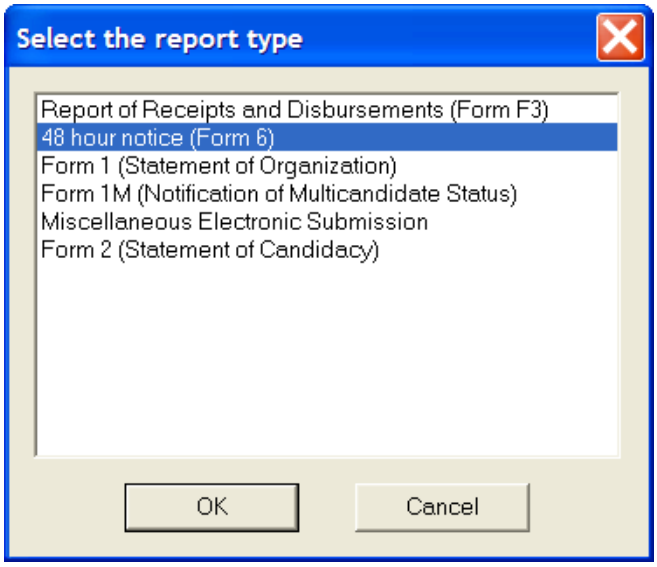
- ✓ Upon launching FECFile, select the appropriate candidate or committee information option.
- ✓ As the application asks “Would you like to create a Report and enter your Report Information Now”, select OK.
- ✓ Select View, from the menu bar and select Reports
- ✓ Select Edit from the menu bar and then select New
- ✓ Select Form 2, Statement of Candidacy, and enter in all pertinent information, then select OK



## 48 Hour Notice (Form 6)

**Only Candidate Committees report a 48 Hour Notice to the FEC. If filing a Form 3 electronically, the option to select 48 hour Notice, (Form 6) is available from the Reports view. If using the Form 3X, this report type is not available, as it is not applicable.**

- ✓ Upon launching FECFile, select the appropriate candidate or committee information option.
- ✓ As the application asks “Would you like to create a Report and enter your Report Information Now”, select OK.
- ✓ Select View, from the menu bar and select Reports.




- ✓ Select Edit from the menu bar and then select New. Select 48 Hour Notice (Form 6), from the Report list. Enter the information, state, where the committee is registered, the date of the election, and the name of the individual signing the report. Select OK.
- ✓ Select view from the menu bar, and select Reports. Highlight the Form 6 that was just created.

- ✓ Select view from the menu bar, and select All Transactions. Highlight the contribution that should appear on the 48 hour notice.

- ✓ Right click on the desired transaction, and select add to Form 6. Any information in the transaction may now be changed, however the information should remain the same. Note the memo box has a check mark. It is important to record these Transactions as Memo items, so the committee's total contributions are not inflated. The software, however, automatically generates a memo item of that transaction. Also, remember the receipt will also be submitted in the next report. The transaction for the Form 6 will be listed in red in the receipts window.

- ✓ These steps are repeated for each transaction to be reported.

**Note: Prior to attaching transactions to a 48 hour notice, the transactions must be generated in the report to be filed.**

# *E. Transactions*

## Non Presidential

Summary Page - Form 3

| Line# | Description | ThisP.I | ThisP.U | CTD.I | CTD.U |
|---|---|---|---|---|---|
| 11(a) | Individual Contributions | | | | |
| 11(b) | Contributions from political party committees | | | | |
| 11(c) | Contributions from other political committees | | | | |
| 11(d) | Contributions from the candidate | | | | |
| 12 | Transfers from other authorized committees | | | | |
| 13(a) | Loans received from the candidate | | | | |
| 13(b) | Other loans received | | | | |
| 14 | Offsets to operating expenditures (refunds, re | | | | |
| 15 | Other Receipts (Dividends, Interest, etc.) | | 10.00 | | 10.00 |
| 17 | Operating expenditures | | | | |
| 18 | Transfers to other authorized committees | | | | |
| 19(a) | Loan repayments made to the candidate | | | | |
| 19(b) | Other loan repayments made | | | | |
| 20(a) | Refunds of individual contributions | | | | |
| 20(b) | Refunds of contributions from political party c | | | | |
| 20(c) | Refunds of contributions from other political c | | | | |
| 21 | Other disbursements | | | | |
| 21 | Loans made | | | | |
| 23 | Cash on hand | | | | |
| 9 | Loans owed TO the committee | | | | |
| 9 | Other debts owed TO the committee | 1990.00 | | | |
| 10 | Loans owed BY the committee | | | | |
| 10 | Other debts owed BY the committee | 70.00 | | | |

## Presidential

Summary Page - Form 3P

| Line# | Description | ThisP.I | ThisP.U | CTD.I | CTD.U |
|---|---|---|---|---|---|
| 6 | Cash on hand | | 21755.17 | | |
| 16 | Federal Funds | | | | |
| 17(a) | Individual Contributions | 15733.00 | | 18033.00 | |
| 17(b) | Contributions from political party committees | | | | |
| 17(c) | Contributions from other political committees | | | | |
| 17(d) | Contributions from the candidate | | | | |
| 18 | Transfers from other authorized committees | | | | |
| 19(a) | Loans received from the candidate | 20000.00 | | 60000.00 | |
| 19(b) | Other loans received | | | | |
| 20(a) | Offsets to operating expenditures (refunds, re | 0.70 | | 0.70 | |
| 20(b) | Offsets to fundraising expenditures (refunds, | | | | |
| 20(c) | Offsets to legal and accounting expenditures | | | | |
| 21 | Other Receipts (Dividends, Interest, etc.) | | | | |
| 31 | Item on hand to be liquidated | | | | |
| 23 | Operating expenditures | 51093.60 | | 71638.43 | |
| 24 | Transfers to other authorized committees | | | | |
| 25 | Fundraising disbursements | | | | |
| 26 | Exempt legal and accounting disbursements | | | | |
| 27(a) | Loan repayments made by the candidate | | | | |
| 27(b) | Other loan repayments made | | | | |
| 28(a) | Refunds of contributions from individuals | | | | |
| 28(b) | Refunds of contributions from political party c | | | | |
| 28(c) | Refunds of contributions from other political c | | | | |
| 29 | Other disbursements | | | | |
| 11 | Loans owed TO the committee | | | | |
| 11 | Other debts owed TO the committee | | | | |
| 12 | Loans owed BY the committee | 60000.00 | | | |
| 12 | Other debts owed BY the committee | 192.00 | | | |
| 13 | Expenditure Subject To Limitation | | | 71637.73 | |

## Transactions

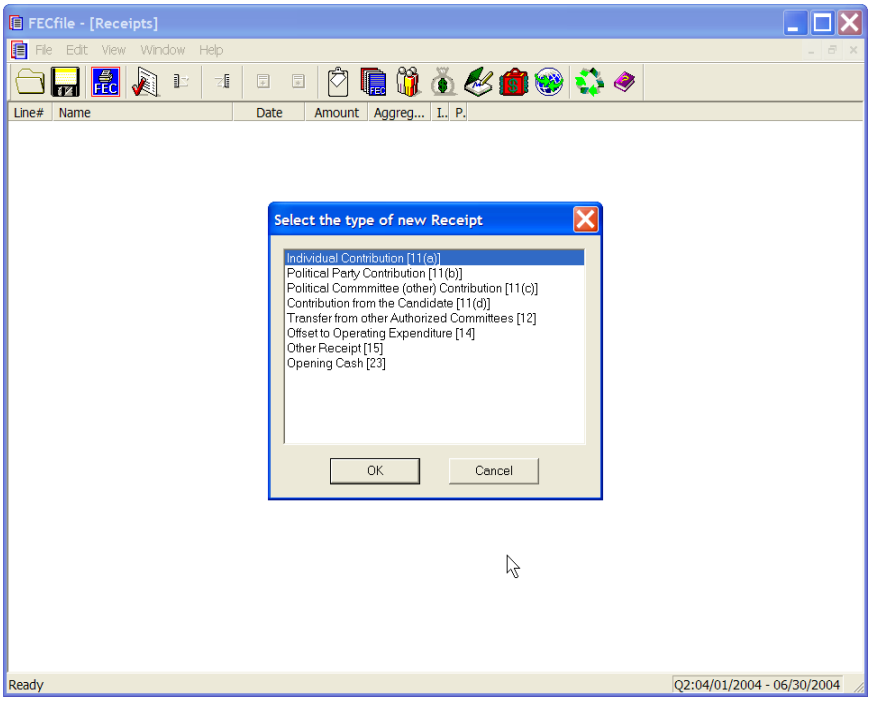
Once an FEC report has been created, users may enter financial activity by going to the Summary page of the report. The transactions, as they are defined, are individual entries of financial activities of the committee. Transactions may be created by launching the Summary view in FECFile. Once selected, the Summary page view permits the user to select the line number of the transaction type to create, or to enter a transaction by category.

As an example, if the committee wishes to enter receipts first, they may select the Receipts View, right click within the active window, and select from a list of Receipt types.

**Notes:**
**The transactions available are shown on the Summary Page, and are usually accessed by double clicking on the transaction line. Presidential filers have a different Summary page, See Above. However, most transactions are equivalent, in function, and format but have a different form number. For convenience in this manual, we show the operation of non-presidential forms and indicate the equivalent form number for presidential filers. For example. Cash on Hand is entered using form 23. Presidential filers use form 6, however the process and methods for each form are equivalent.**

**The Summary page is launched by selecting view from the FECFile menu bar, and selecting Summary page.**

**Form 3 users note that an election designation and date must be entered to avoid errors in uploading the file.**
**FEC ID#'s are not required for Party Committees or PAC Contributions.**




This system option functionality is also seen in the following views:

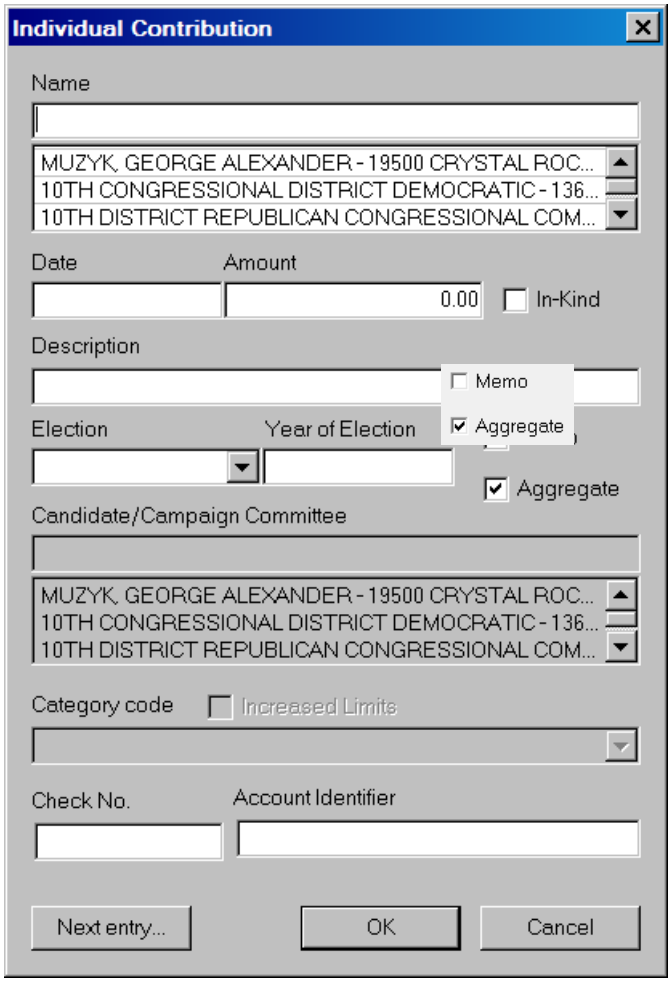
- Disbursements view
- Loans and Debts
- Individuals/Organizations
- All Transactions View

A discussion of specific transactions will follow in the text below. However, after entering a number of transactions, the filer will see a very similar pattern for most transactions. This pattern is as follows:

- Click on the VIEW menu and select SUMMARY PAGE
- Note the list of transactions in the SUMMARY PAGE and double click on the one desired
- IF the Entity is NEW the proper Transaction Entry Screen pops up – Use the selection list to select a name/committee or enter a new name/committee and PRESS TAB KEY.
- The proper Entity Entry Screen pops up to allow you to enter the specific information for a new Entity – Complete it and CLICK OK – you return to the Transaction Entry Screen
- Fill out any further information needed in the Transaction Entry Screen (Date, Dollar Amount, Description, etc.) And CLICK OK.

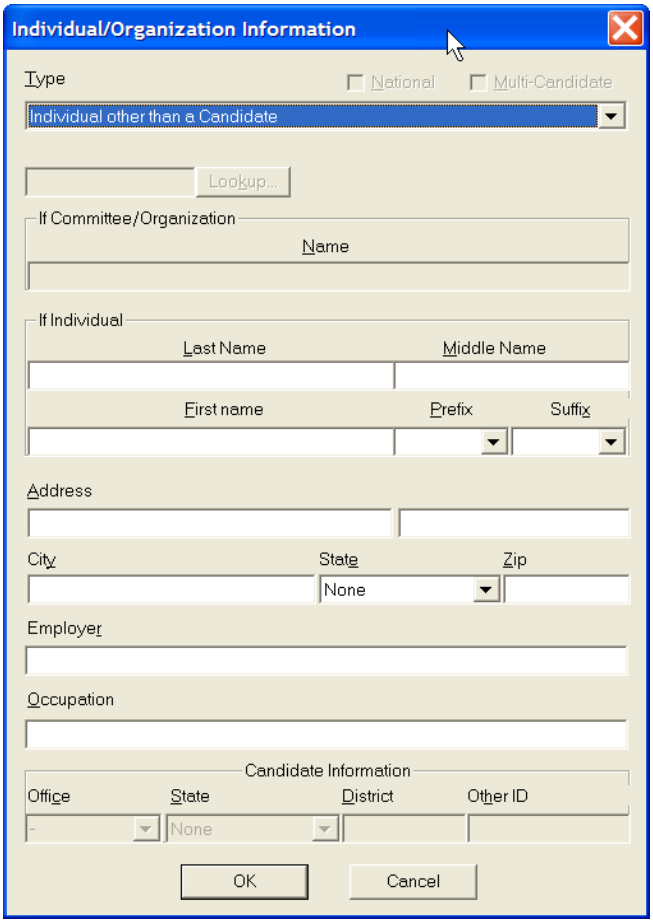
## Receipts from Individuals Line 11(a) for F3 [17(a) for F3P]

✓ Double-click on Line 11(a) / 17(a) of the Summary Page.




✓ The individual contribution dialog box appears.

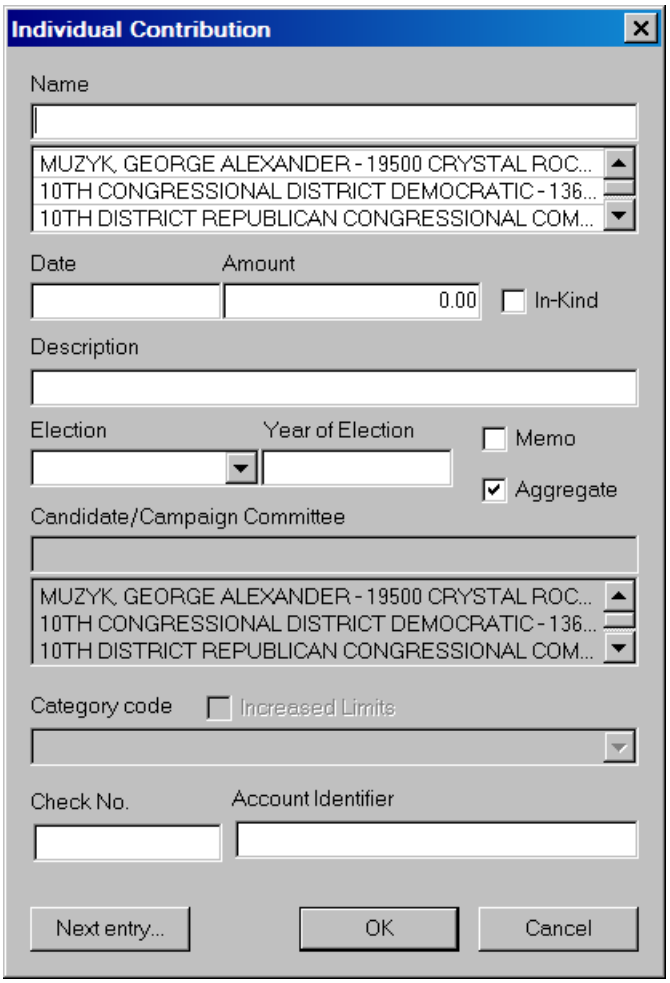
- Enter the individual's last name in the text area within the dialog box, under Name.
- Press the Tab key, to launch the Individual/Organization Information dialog box.




- ✓ In the text area, Type, select Individual Other than a Candidate, from the drop down menu.

- ✓ Type the individual's First Name, any Prefix, any Suffix, Address, City, State, Zip, Employer, and Occupation in the text areas, using the tab key to navigate from field to field.

- ✓ Click OK.

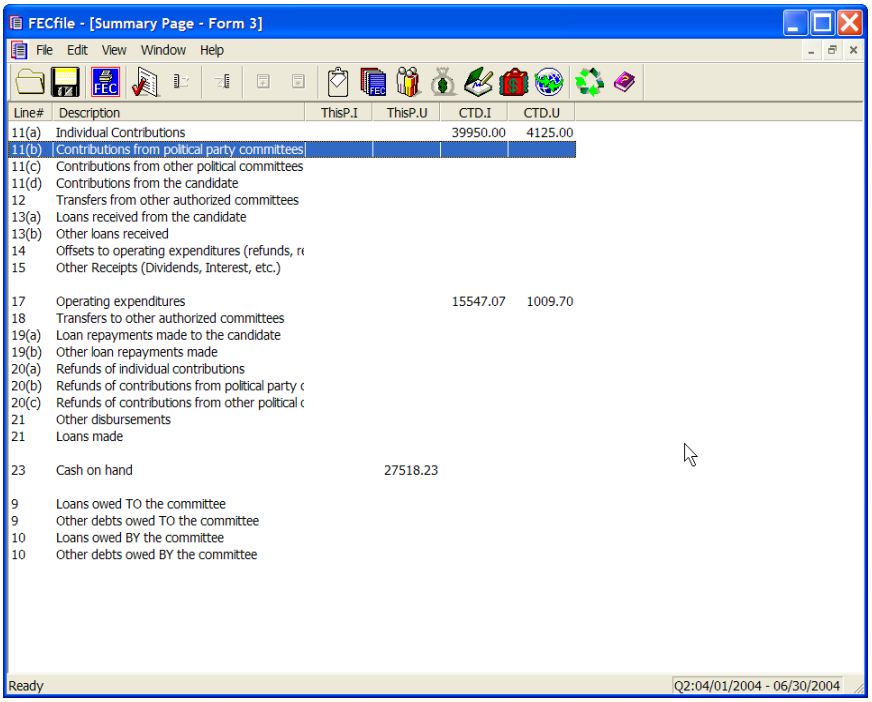



- ✓ The Individual contribution dialog box will appear. Insert the date and the dollar amount in the dialog box text area.

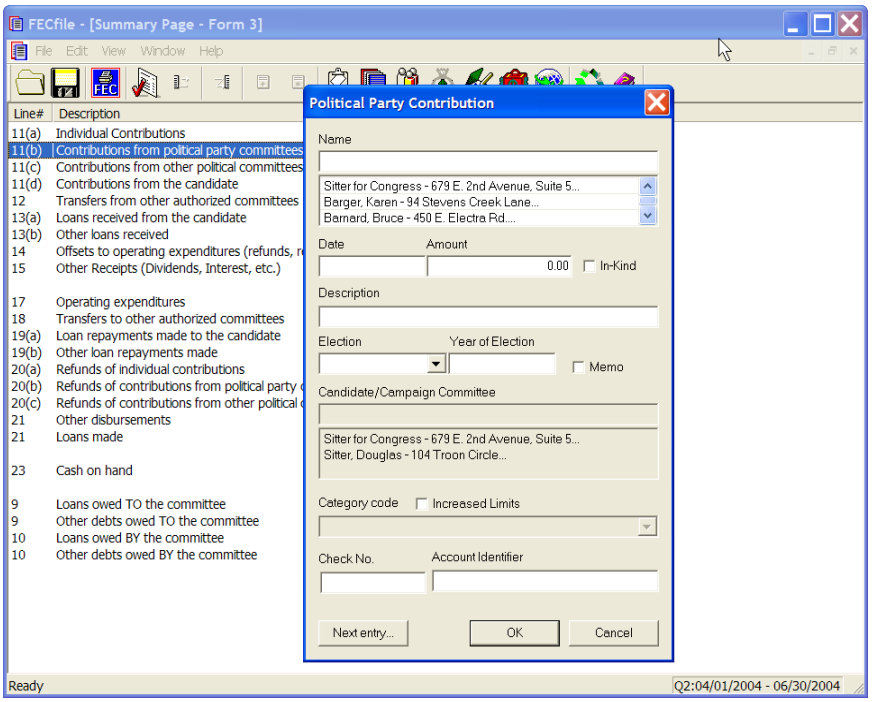
- ✓ If necessary, add a description in the description text area in the dialog box. By selecting next entry, you may quickly add additional individual contributions, without having to return to the Summary page.

- ✓ Click OK and the contribution information is added to the file, and reflected on the Summary Page totals.

## Receipts From Political Parties Line 11(b) for F3 [17(b) for F3P]

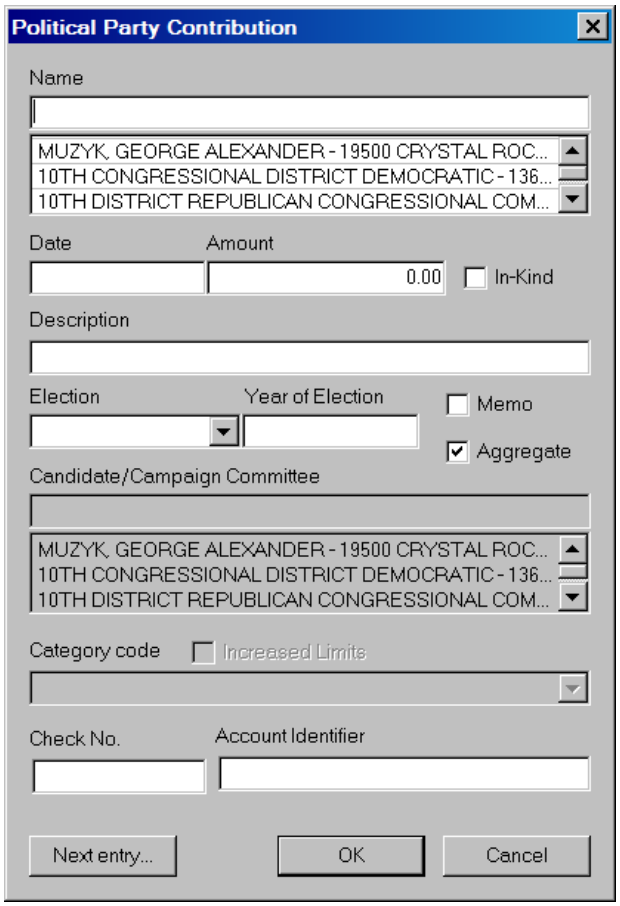



✓ To add contributions from Political Parties, double-click on Line 11(b) / 17(b) of the Summary Page

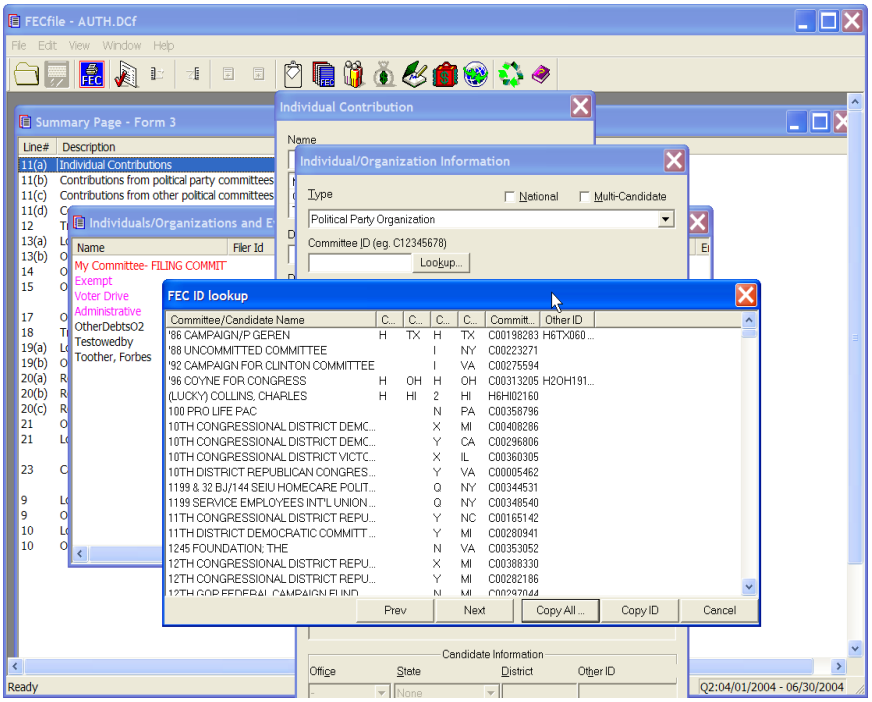


- ✓ Enter the political party's name in the dialog box text area.

- ✓ Press the Tab key or the Insert key.

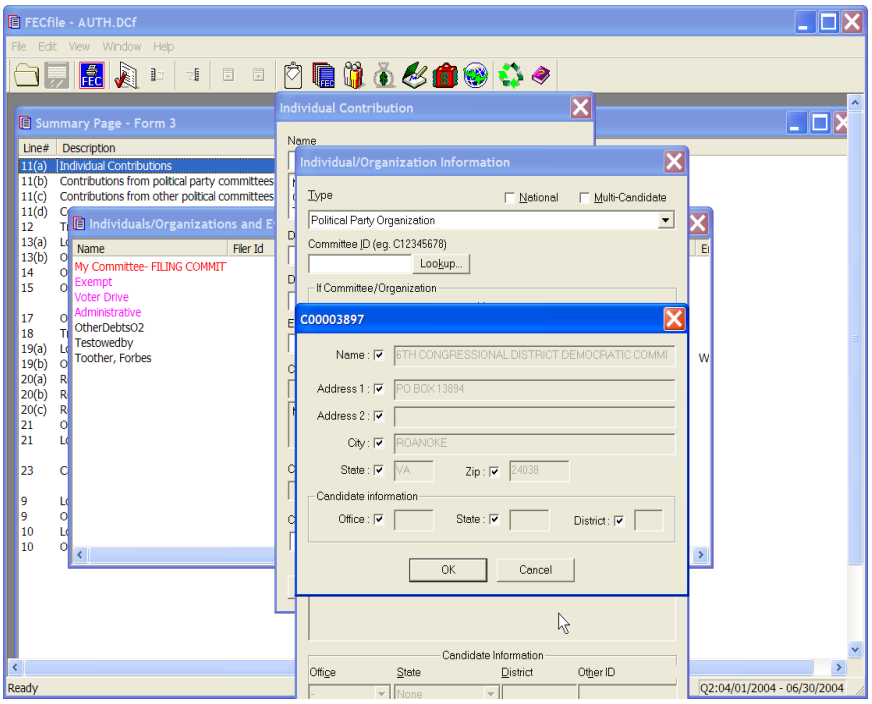



- ✓ Within the dialog box, select the drop down menu under Type, and select Political Party Organization.



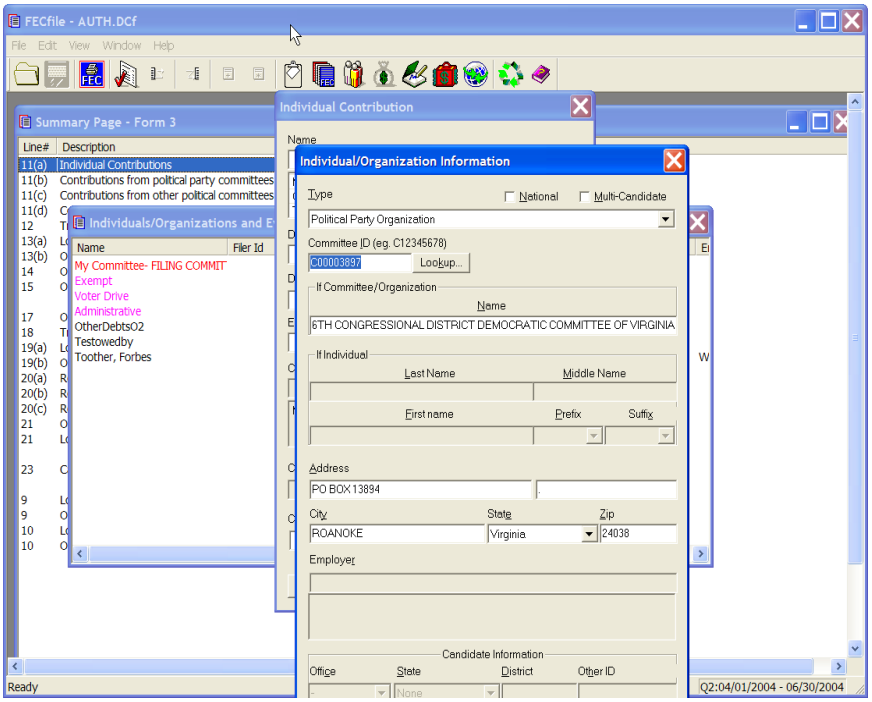

✓ Click on the Lookup button in the dialog box.

✓ Select the proper committee by highlighting it with the mouse, and select the Copy All button.

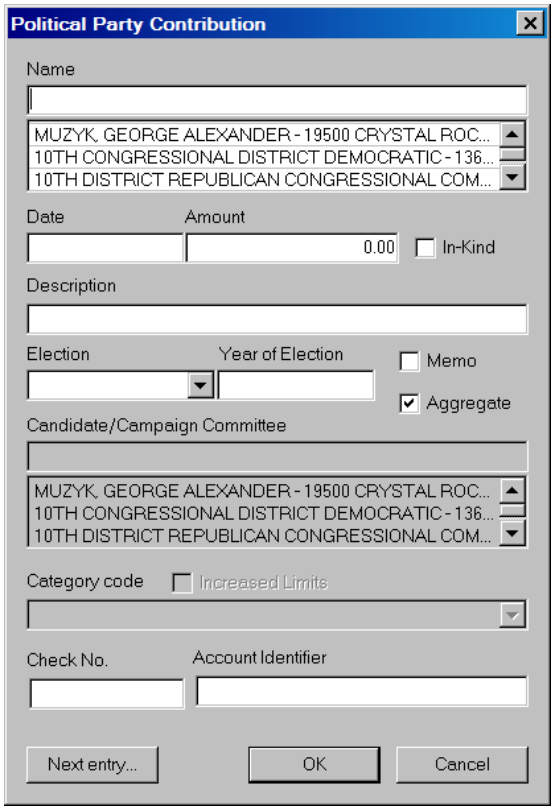


- ✓ A dialog box will appear with information about the committee, select OK.

- ✓ An additional dialog box will appear, automatically inserting the correct Committee ID number.

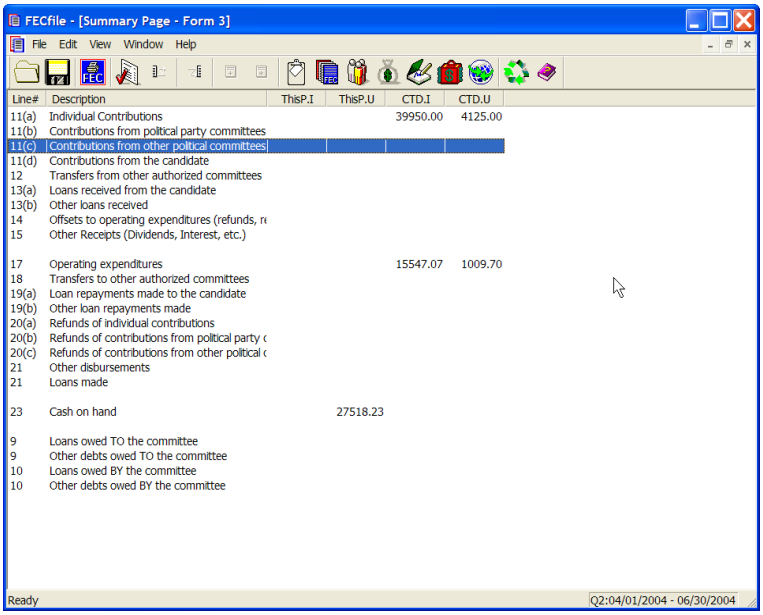



- ✓ . Select OK.

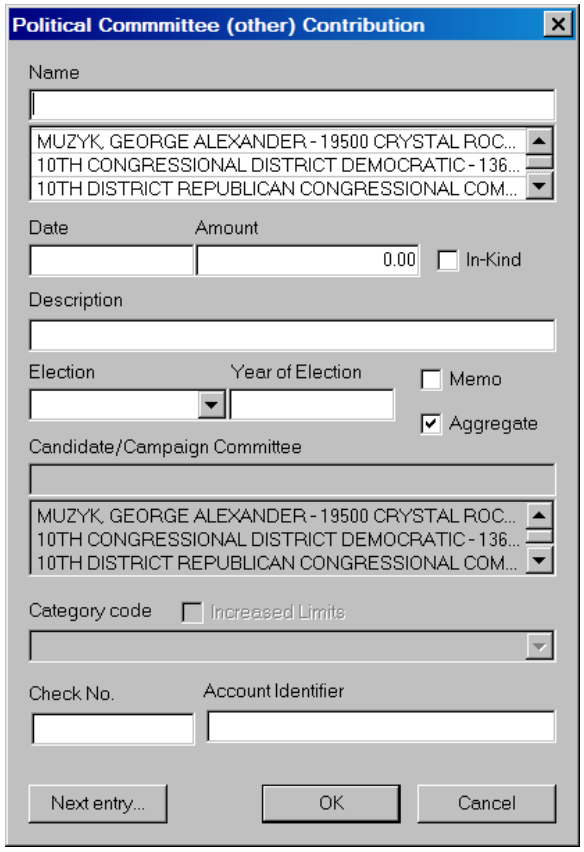



✓ Insert date and amount in the dialog box. The Click on OK, and note the added total in the Summary Page.

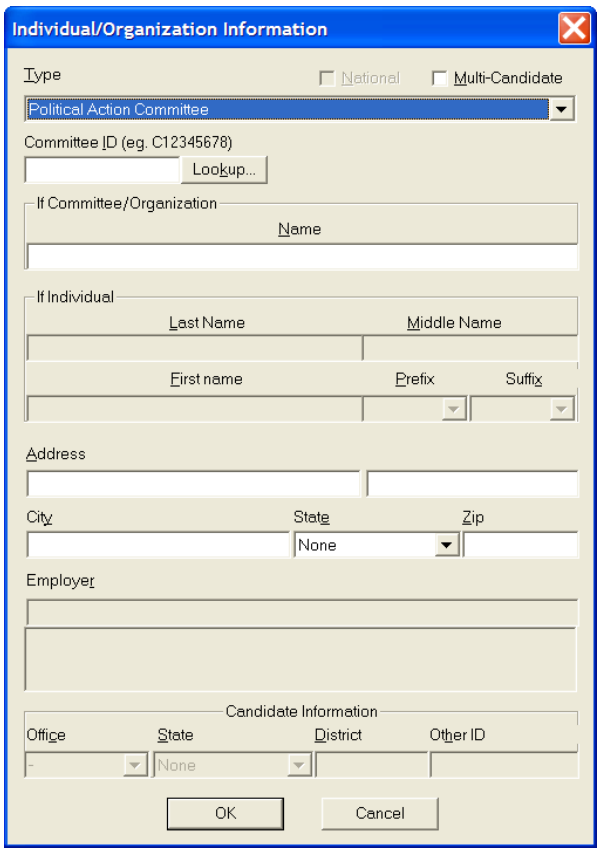
## Receipts from Other Political Committees Line 11(c) for F3 [ Line 17(c) for F3P]




✓ Double-click on Line 11(c)/17(c) of the Summary Page.

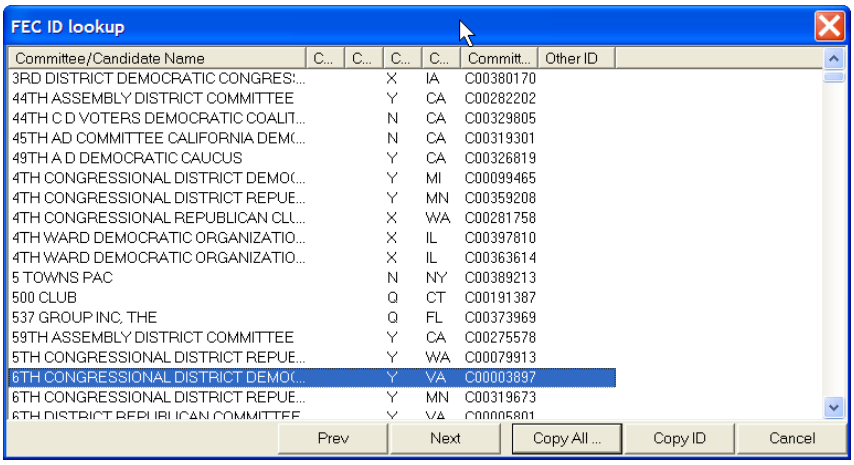



- ✓ Enter the Political Action Committee's name in the dialog box text area.
- ✓ Press the Tab key or the Insert key.

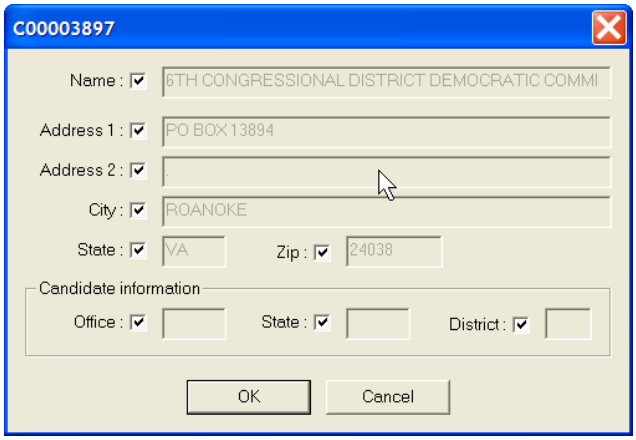



- ✓ In the Type text area, use the drop down menu to locate Political Action Committee, and select it.

- ✓ Click on the Lookup button in the dialog box.

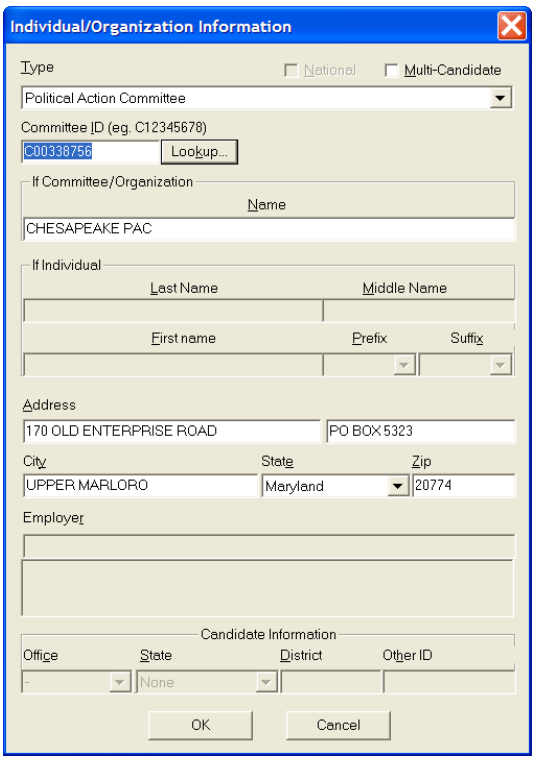


✓ Select the specified committee by highlighting it, and click on the Copy All button in the dialog box.



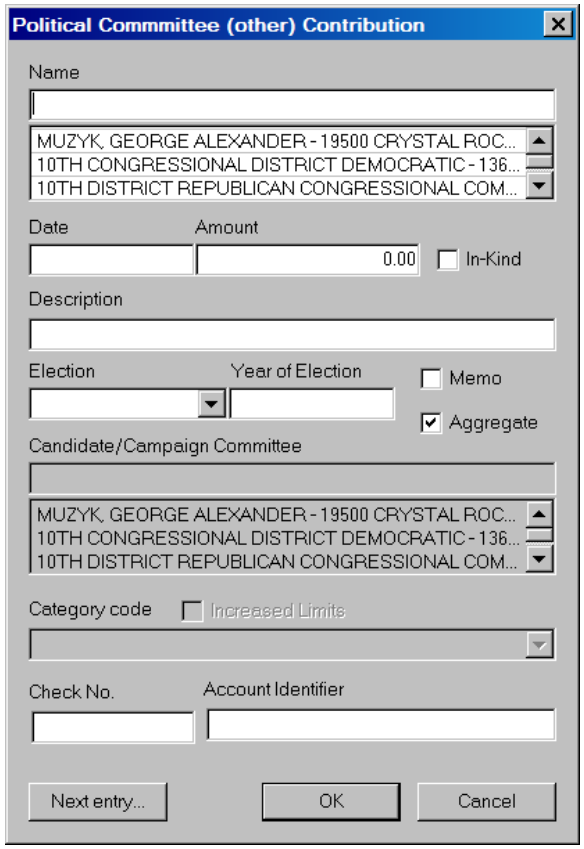

✓ FECFile will launch a dialog box, showing the proper committee's information.

✓ Select OK in the dialog box.




✓ Note, that the Committee ID is now loaded in the ID text area, within the dialog box.

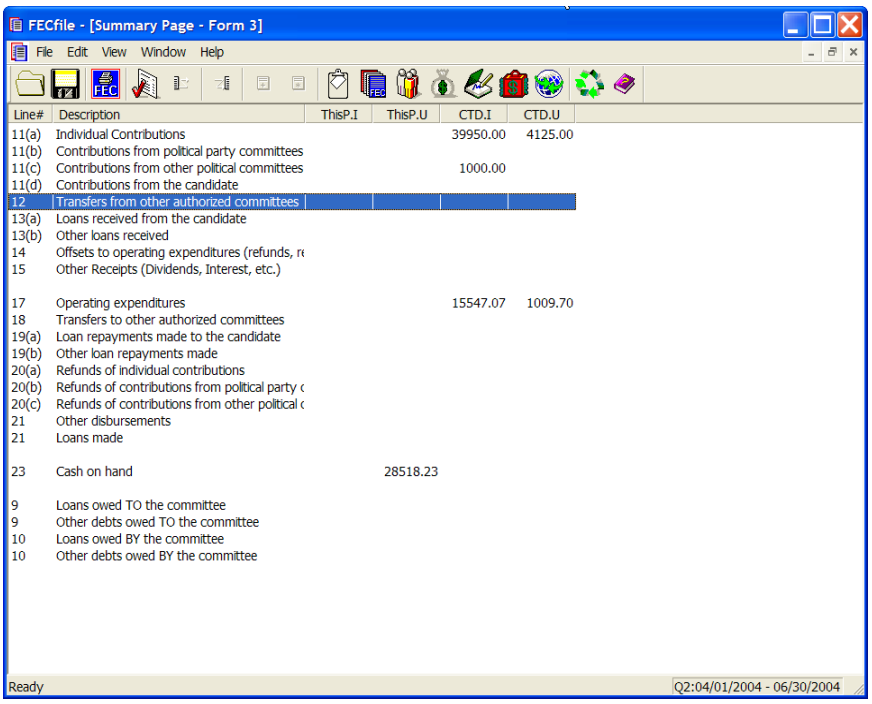
✓ Click on OK, within the dialog box.




✓ Type in the date and amount within the text areas in the Political Committee (other) Contribution dialog box.

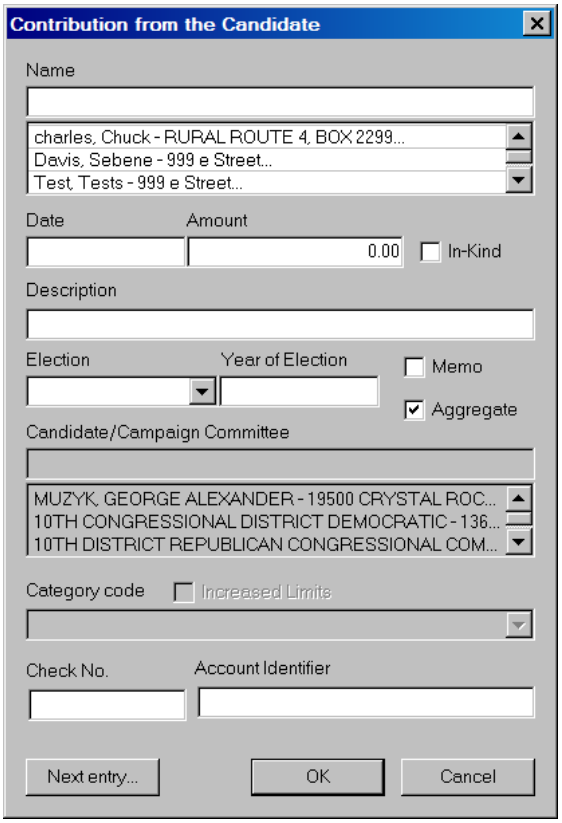
✓ Click on OK, and note the added total on the Summary Page.

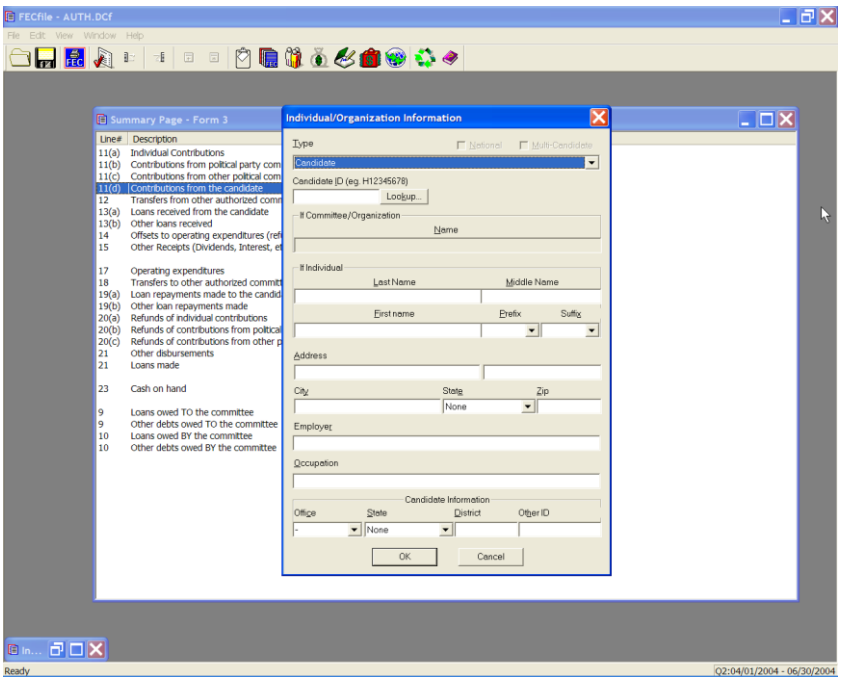
## Contributions From The Candidate – Line 11(d) for F3 [Line 17(d) for F3P]




| Line# | Description | ThisP.I | ThisP.U | CTD.I | CTD.U |
|---|---|---|---|---|---|
| 11(a) | Individual Contributions | | | 39950.00 | 4125.00 |
| 11(b) | Contributions from political party committees | | | | |
| 11(c) | Contributions from other political committees | | | 1000.00 | |
| 11(d) | Contributions from the candidate | | | | |
| 12 | Transfers from other authorized committees | | | | |
| 13(a) | Loans received from the candidate | | | | |
| 13(b) | Other loans received | | | | |
| 14 | Offsets to operating expenditures (refunds, r | | | | |
| 15 | Other Receipts (Dividends, Interest, etc.) | | | | |
| 17 | Operating expenditures | | | 15547.07 | 1009.70 |
| 18 | Transfers to other authorized committees | | | | |
| 19(a) | Loan repayments made to the candidate | | | | |
| 19(b) | Other loan repayments made | | | | |
| 20(a) | Refunds of individual contributions | | | | |
| 20(b) | Refunds of contributions from political party c | | | | |
| 20(c) | Refunds of contributions from other political c | | | | |
| 21 | Other disbursements | | | | |
| 21 | Loans made | | | | |
| 23 | Cash on hand | | 28518.23 | | |
| 9 | Loans owed TO the committee | | | | |
| 9 | Other debts owed TO the committee | | | | |
| 10 | Loans owed BY the committee | | | | |
| 10 | Other debts owed BY the committee | | | | |

✓ Double-click on Line 11(d)/17(d) of the Summary Page.

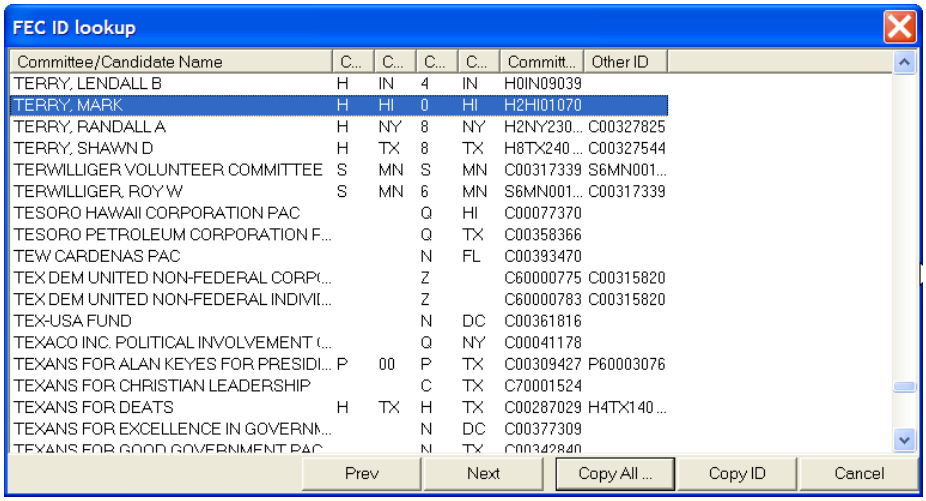

Contribution from the Candidate
Name
charles, Chuck - RURAL ROUTE 4, BOX 2299...
Davis, Sebene - 999 e Street...
Test, Tests - 999 e Street...
Date
Amount
0.00
In-Kind
Description
Election
Year of Election
Memo
Aggregate
Candidate/Campaign Committee
MUZYK, GEORGE ALEXANDER - 19500 CRYSTAL ROC...
10TH CONGRESSIONAL DISTRICT DEMOCRATIC - 136...
10TH DISTRICT REPUBLICAN CONGRESSIONAL COM...
Category code
Increased Limits
Check No.
Account Identifier
Next entry...
OK
Cancel


FECfile - AUTH.DCf
Summary Page - Form 3
Individual/Organization Information
Type
Candidate
Candidate ID (eg. H12345678)
Lookup...
If Committee/Organization
Name
If Individual
Last Name
Middle Name
First name
Prefix
Suffix
Address
City
State
Zip
Employer
Occupation
Candidate Information
Office
District
Other ID
OK
Cancel
Ready

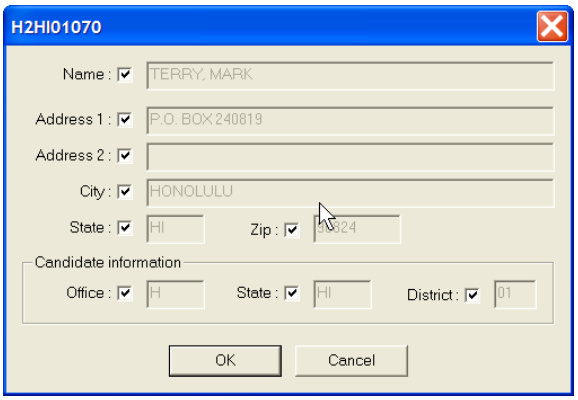
Type in the Candidate's name in the dialog box text area and press the Tab key.

- ✓ Note that in the drop down, type "Candidate" is already selected.

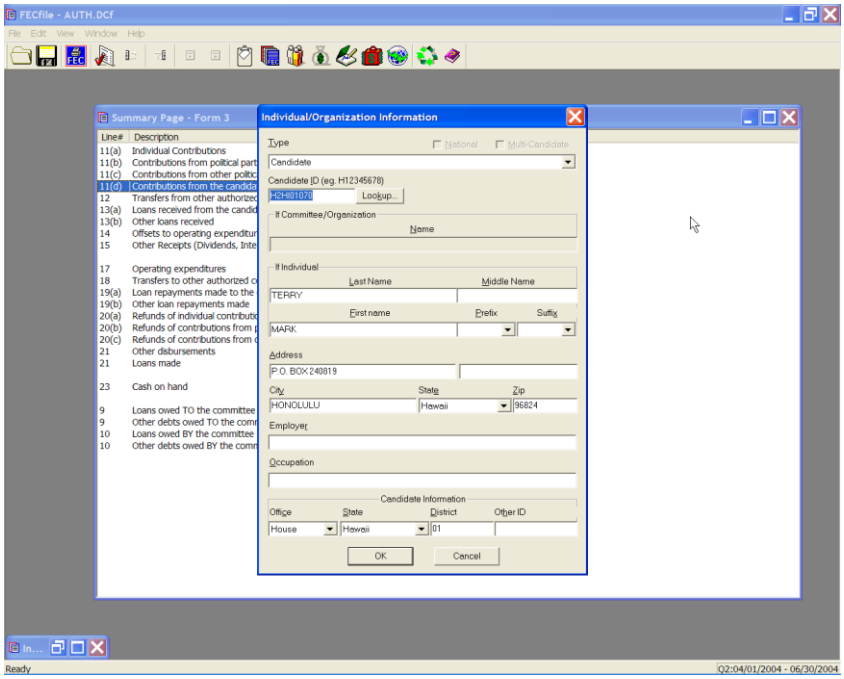
- ✓ Click on the Lookup button in the dialog box.




- ✓ Highlight the proper candidate, click on the Copy All button.



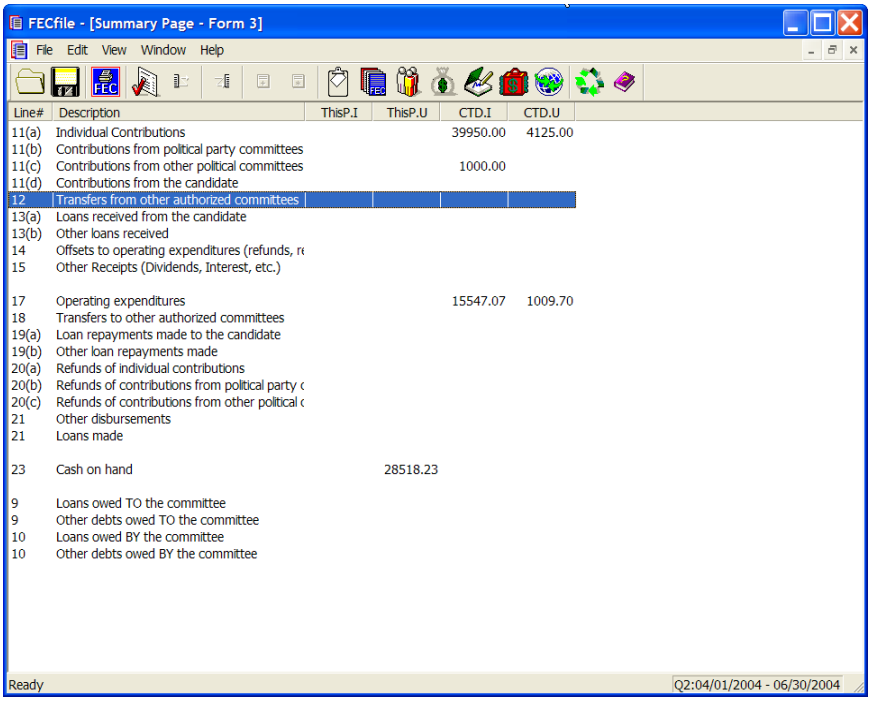

- ✓ As proper Candidate is then loaded into the dialog box, click on OK.




- ✓ As the Candidate ID is automatically loaded into the Individual Organization Information dialog box, select OK.

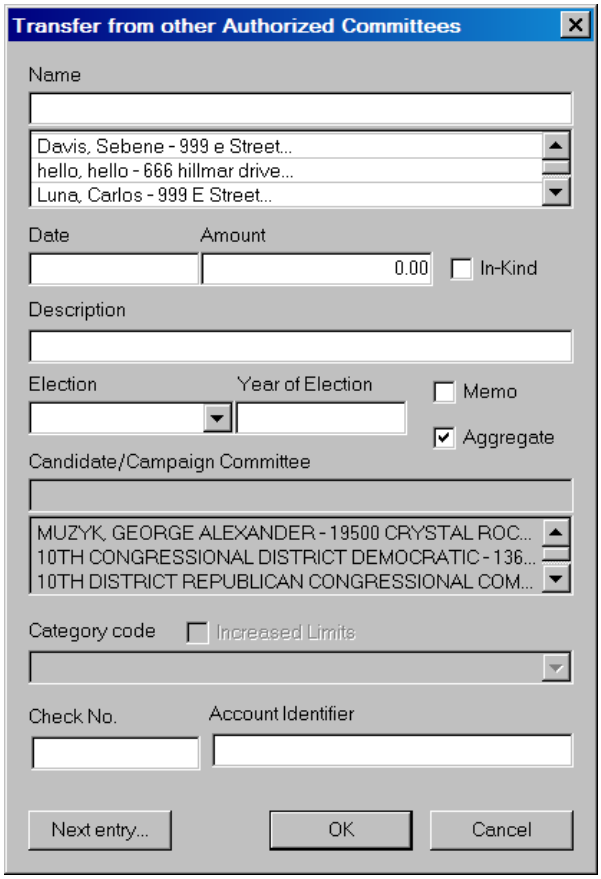
- ✓ Type in the correct date and amount in the dialog box and click OK. Note the information is then reflected in the Summary Page.

## Transfers from Affiliated/Other Party Committees Line 12 For F3 [ Line 18 for F3P ]

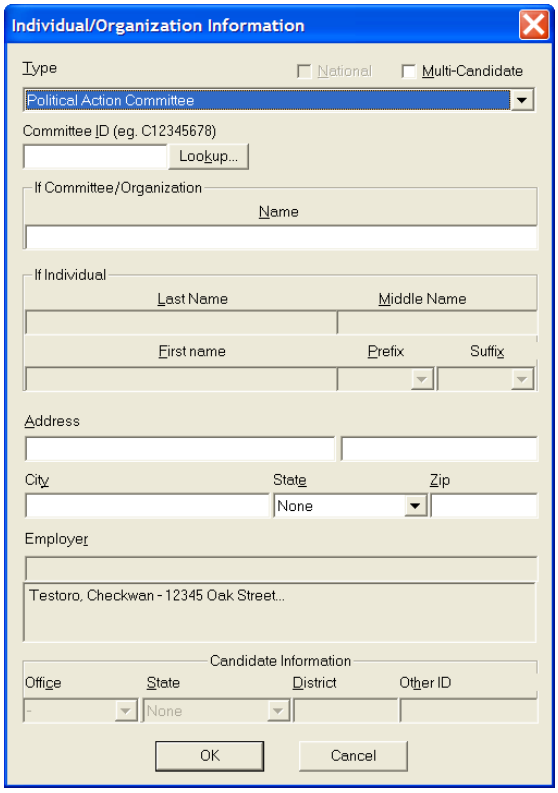



| Line# | Description | ThisP.I | ThisP.U | CTD.I | CTD.U |
|---|---|---|---|---|---|
| 11(a) | Individual Contributions | | | 39950.00 | 4125.00 |
| 11(b) | Contributions from political party committees | | | | |
| 11(c) | Contributions from other political committees | | | 1000.00 | |
| 11(d) | Contributions from the candidate | | | | |
| 12 | Transfers from other authorized committees | | | | |
| 13(a) | Loans received from the candidate | | | | |
| 13(b) | Other loans received | | | | |
| 14 | Offsets to operating expenditures (refunds, r | | | | |
| 15 | Other Receipts (Dividends, Interest, etc.) | | | | |
| 17 | Operating expenditures | | | 15547.07 | 1009.70 |
| 18 | Transfers to other authorized committees | | | | |
| 19(a) | Loan repayments made to the candidate | | | | |
| 19(b) | Other loan repayments made | | | | |
| 20(a) | Refunds of individual contributions | | | | |
| 20(b) | Refunds of contributions from political party c | | | | |
| 20(c) | Refunds of contributions from other political c | | | | |
| 21 | Other disbursements | | | | |
| 21 | Loans made | | | | |
| 23 | Cash on hand | | 28518.23 | | |
| 9 | Loans owed TO the committee | | | | |
| 9 | Other debts owed TO the committee | | | | |
| 10 | Loans owed BY the committee | | | | |
| 10 | Other debts owed BY the committee | | | | |

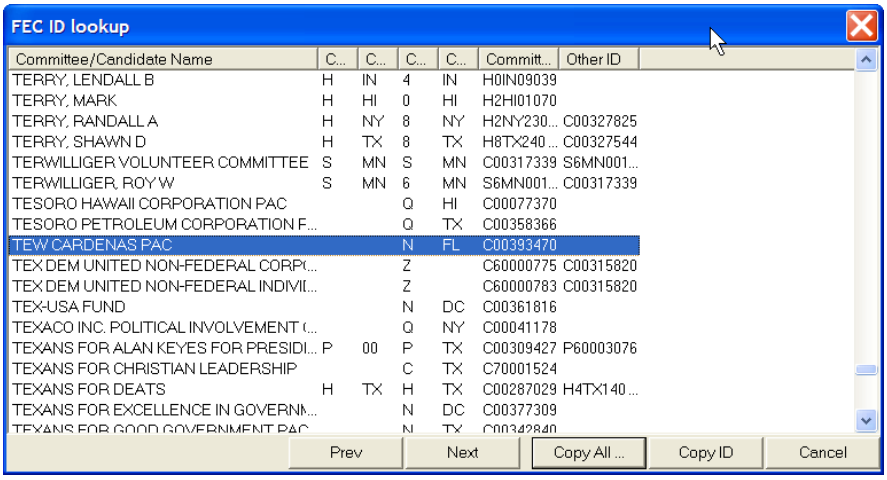
✓ Double-click on Line 12/18 of the Summary Page.



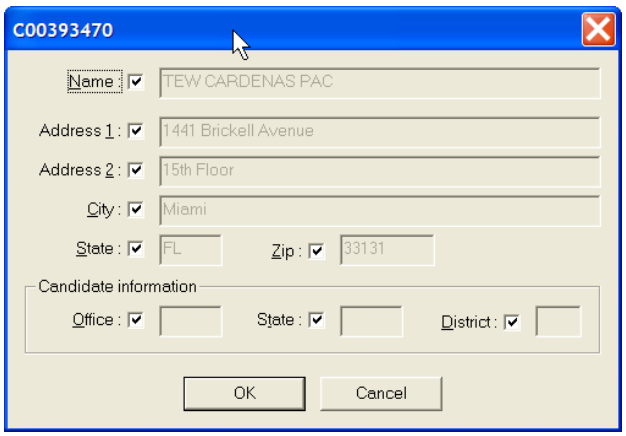

- ✓ Type in the Political Action Committee's name in the dialog box text area.
- ✓ Press the Tab key.
- ✓ Select the Type drop down, and change the selection to the appropriate Political Action Committee or Political Party Organization.




✓ Click on the Lookup button in the dialog box.




✓ Highlight the proper committee, click on the Copy All button.

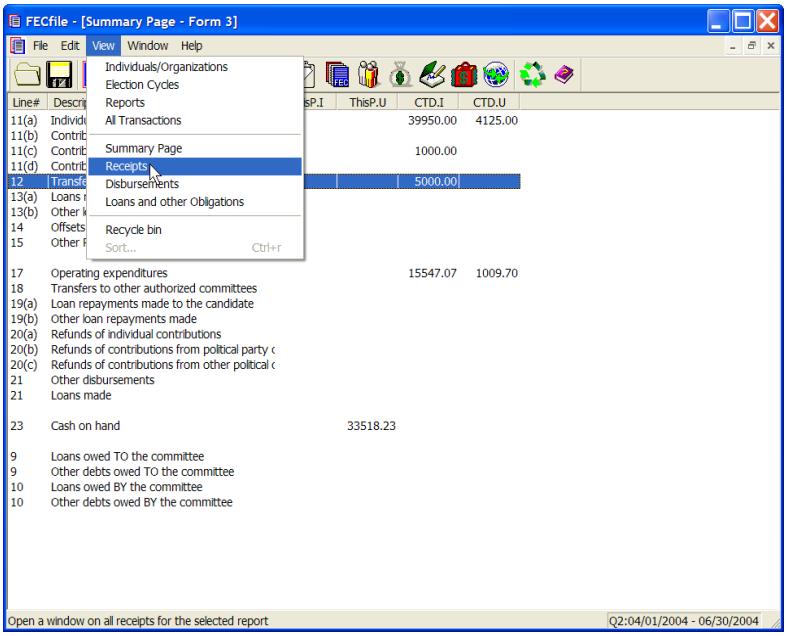



- ✓ As proper committee is then loaded into the dialog box, click on OK.

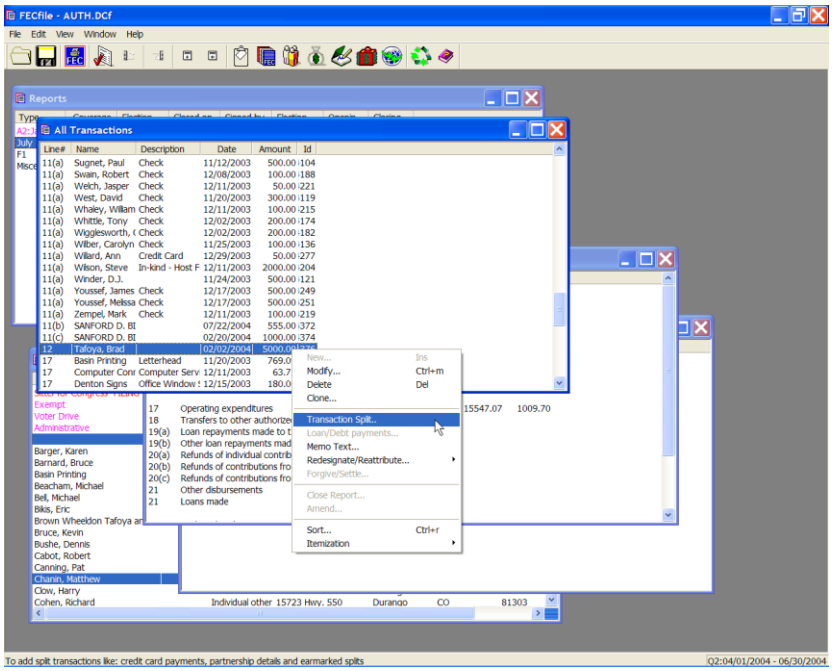
- ✓ If the PAC is a multi-candidate committee, check the box at the top.

- ✓ As FEC ID is automatically loaded into the Individual Organization Information dialog box, select OK.

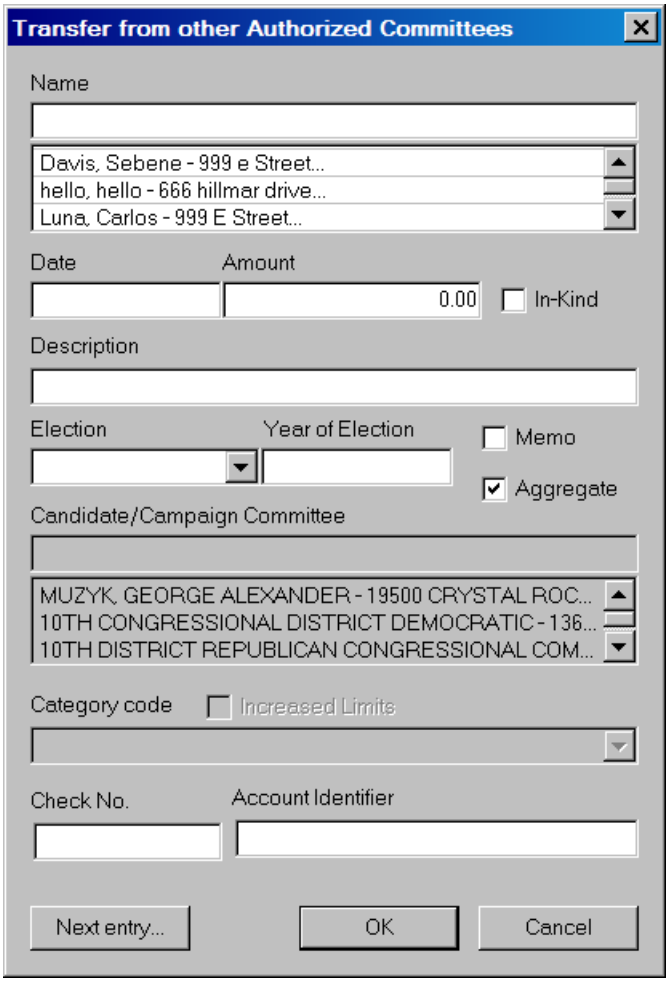
- ✓ Type in the correct date and amount in the dialog box and click OK. Note the information is then reflected in the Summary Page.




✓ Select View from the menu bar, and select Receipts View or All Transactions View.

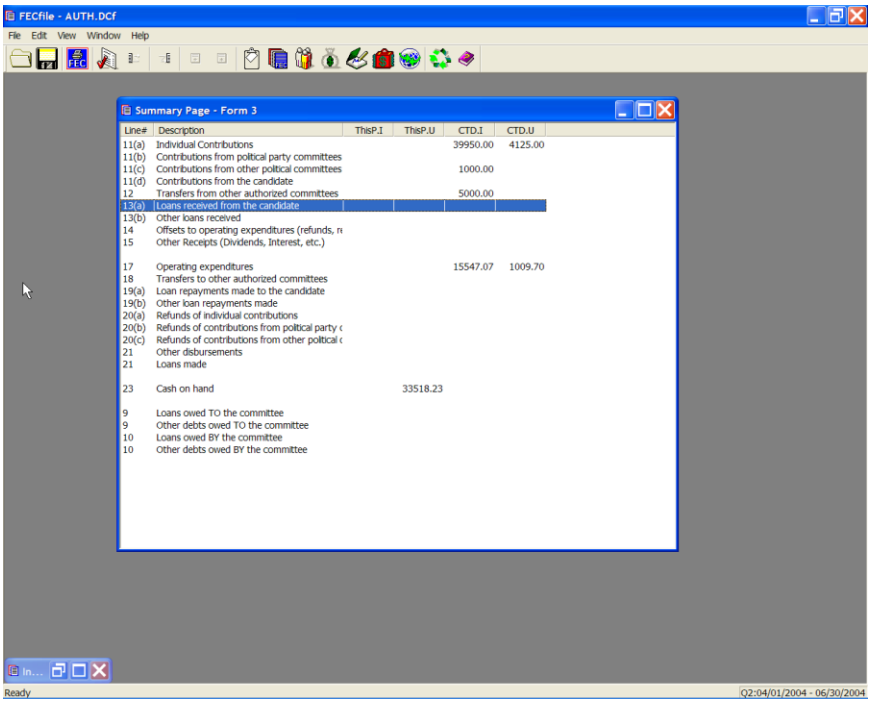



✓ Right click on the transfer and select transaction split, and add new.



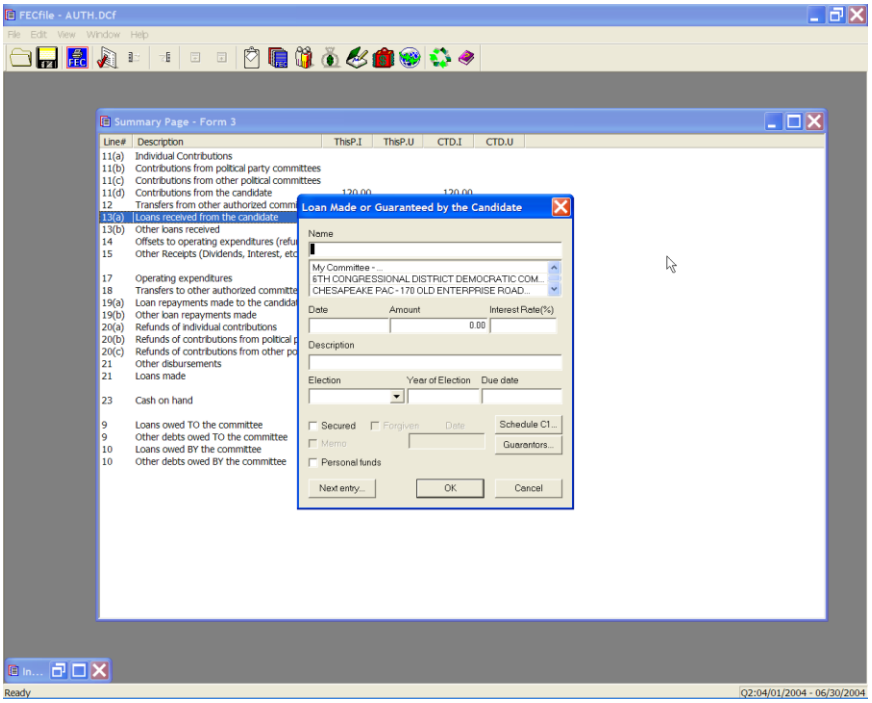

✓ Enter in the information for original contributors that make up the total transfer.

## Loans Received From The Candidate Line 13 (a) for F3 [ Line 19(a) for F3P ]

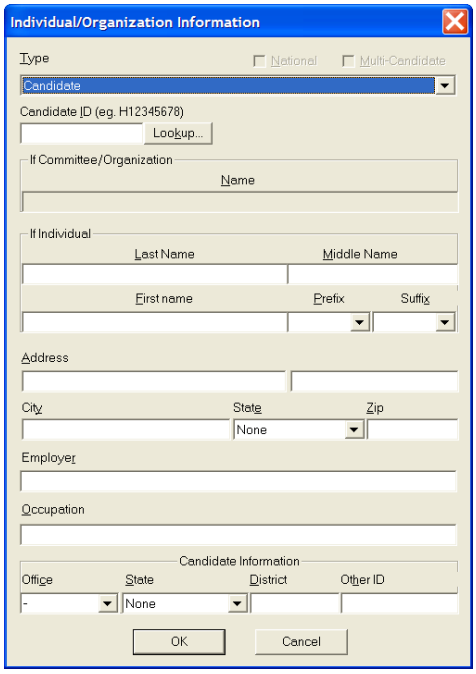



✓ Double-click on Line 13(a)/ 19(a) of the Summary Page.

Type the name of the Candidate in the text area of the dialog box, under name. The Proper Format to enter this information is: [LastName, FirstName]. If no comma is entered, all information goes in the Last Name field of the system.

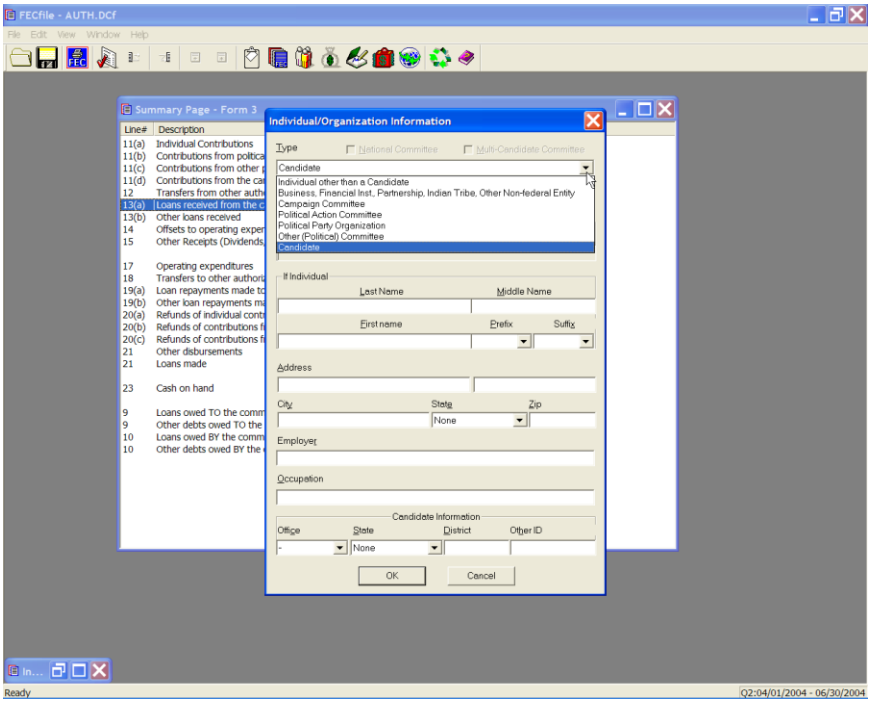



✓ If a record for the creditor does not exist, press the Tab key or the Insert key/Enter key

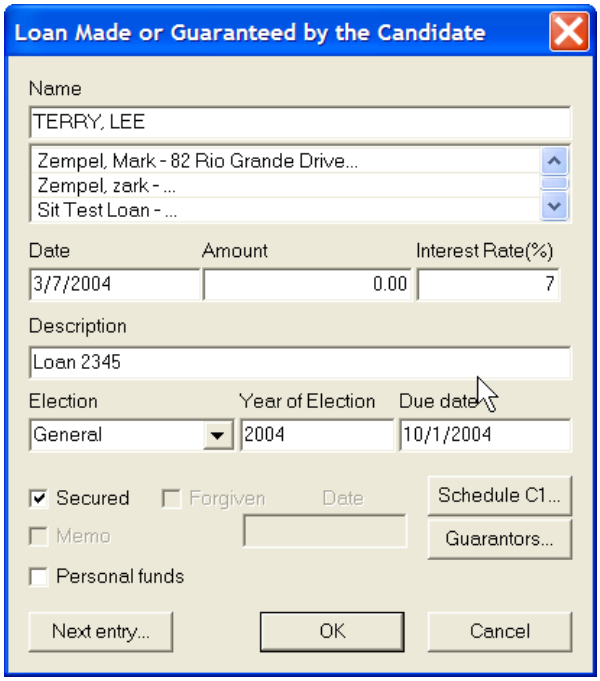



✓ An additional dialog box is now launched. Within the Type text area, select the drop down menu and select Candidate if not already selected.

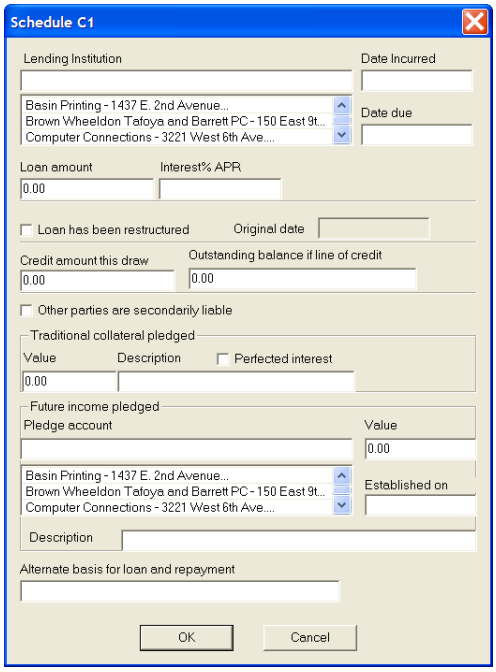
✓ Continue within the dialog box, and enter Candidate's Address, City, State and Zip, and select OK.



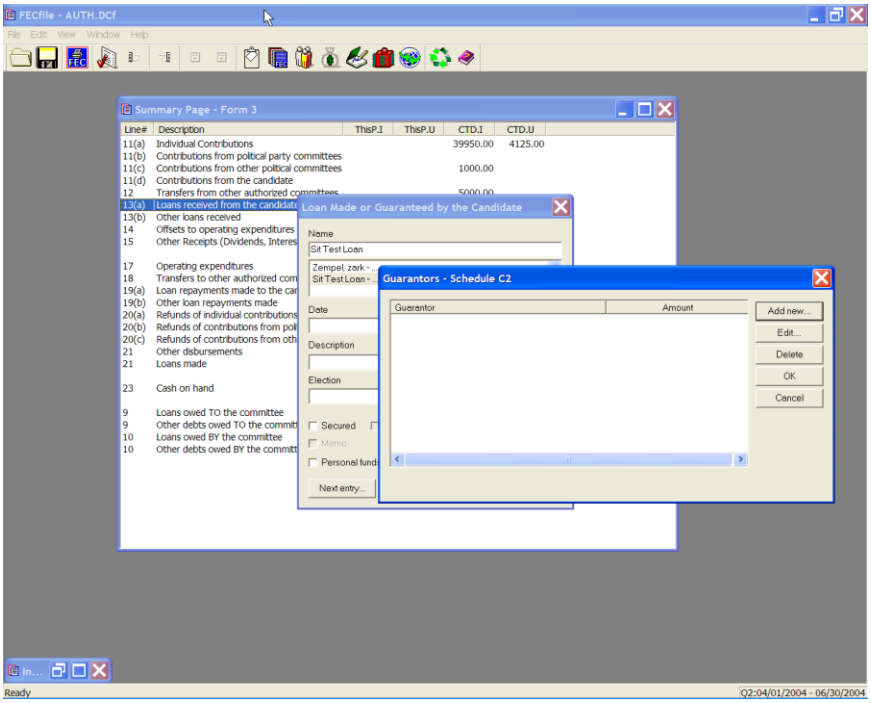

✓ The loan received dialog box is launched. Select the date field and enter the date the loan was incurred, the amount of the loan, and the interest rate. Additionally, use the check box next to the Secured text, to indicate a secured loan or non-secured loan.



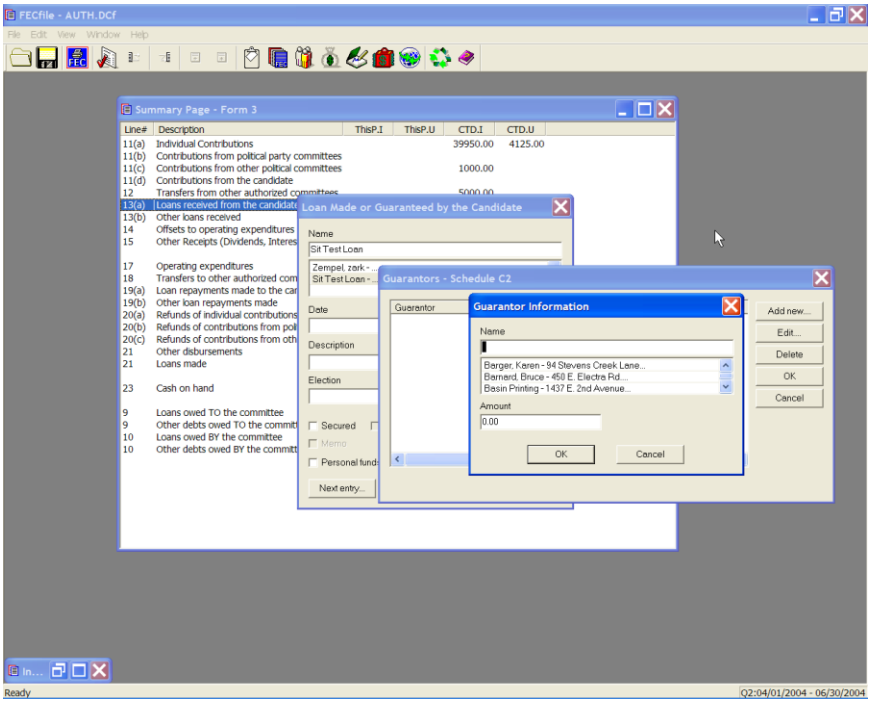

✓ Click on the Schedule C-1 button and tab from field to field, entering all necessary information, as applicable, and selecting OK.




✓ The FECFile application returns to the Loans received dialog box. Click on Guarantors button the Guarantors dialog box will launch.




**Select the Add new button to enter guarantor information, or select Edit, if the guarantor has already been added.**



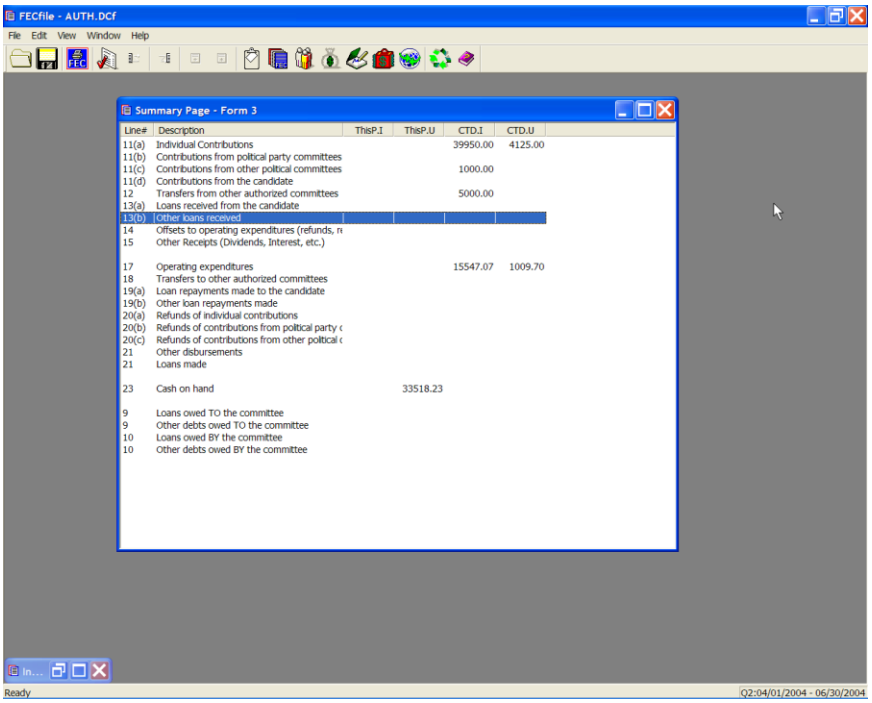

✓ Enter the information on the guarantor, and the amount, and click on OK.

- ✓ Click on OK, a second time, and select Yes to save any changes.

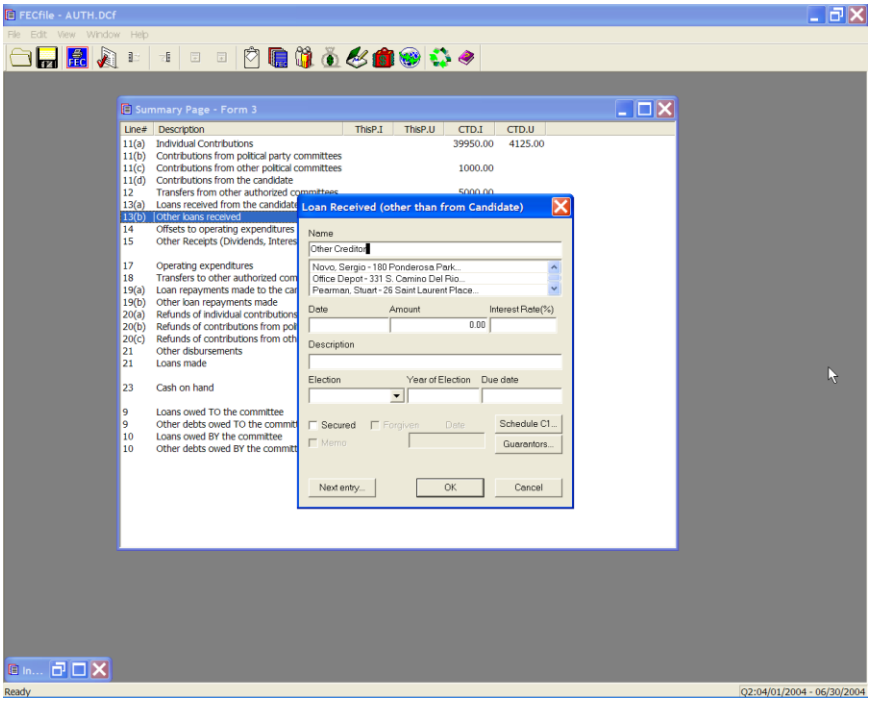
- ✓ The Loan received dialog box returns, and select OK, to return to the Summary page.

- ✓ Schedule A supporting Line 13 (a) and Schedule C supporting Line 10 will **both** be automatically created/adjusted, and will be reflected on the Summary Page. Similarly, changes will be reflected in the F3P

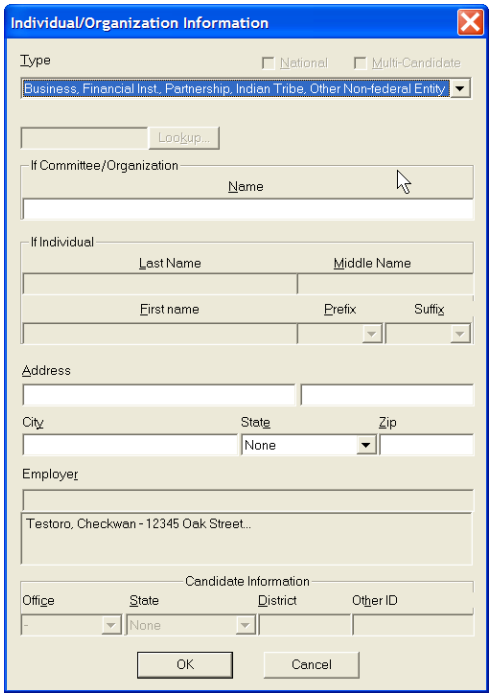
## Other Loans Received Line 13 (b) for F3 [ Line 19(b) for F3P ]




✓ Double-click on Line 13(b)/19(b) of the Summary Page.



- ✓ Type the name of the creditor in the text area of the dialog box, under name.

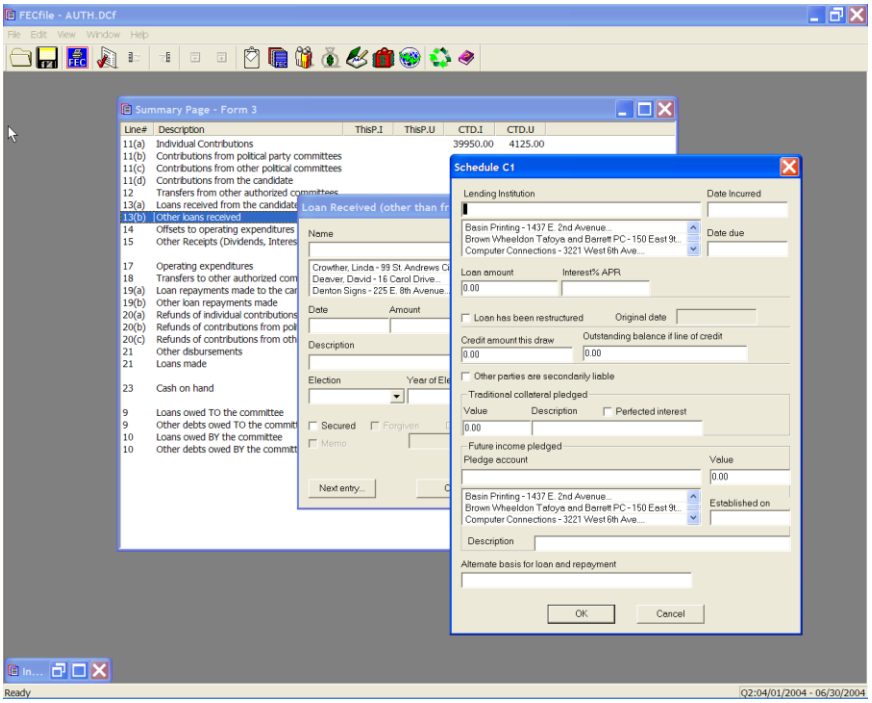



- ✓ If a record for the creditor does not exist, press the Tab key or the Insert key.

- ✓ An additional dialog box is now launched. Within the Type text area, select the drop down menu and select Business, Financial Inst., Partnership, Indian Tribe, or Other Non-Federal.

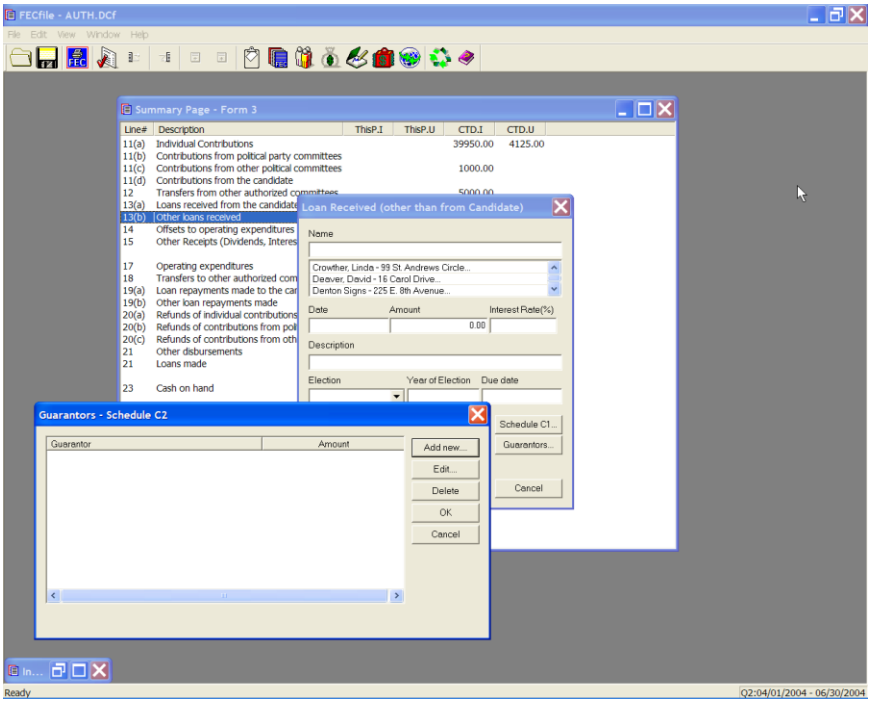
- ✓ Continue within the dialog box, and enter creditor's Address, City, State, and Zip, and select OK.

- ✓ The system returns to the loan received dialog box. Select the date field and enter the date the loan was incurred, the amount of the loan, and the interest rate. Additionally, use the check box next to the Secured text, to indicated a secured loan or non-secured loan.

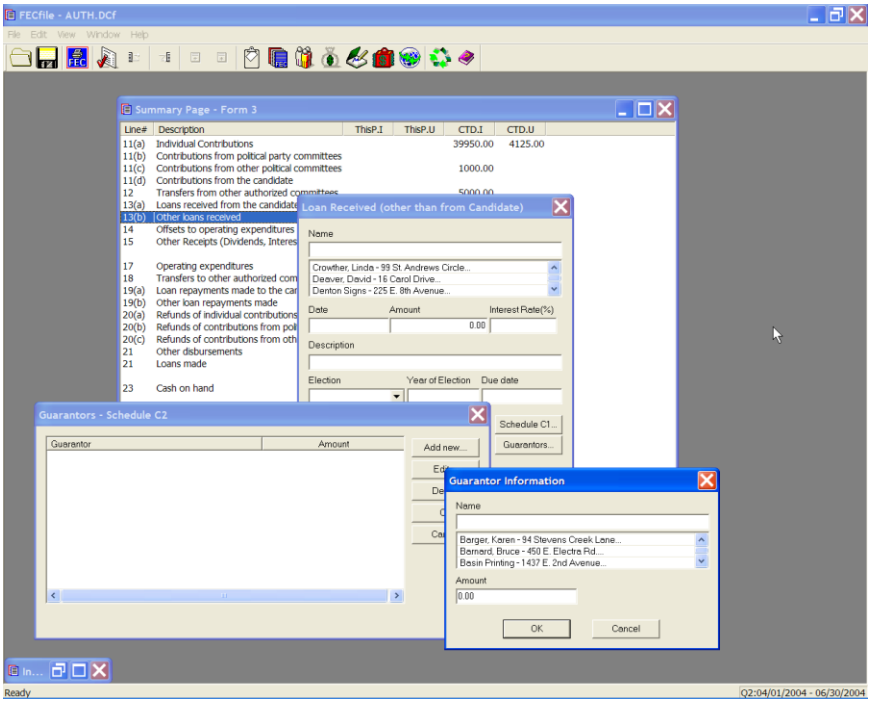



1. Click on the Schedule C-1 button and tab from field to field, entering all necessary information, as applicable, and selecting OK.

2. The FECFile application returns to the Loans received dialog box. Click on Guarantors button the Guarantors dialog box will launch.



- ✓ Select the Add new button to enter guarantor information, or select Edit, if the guarantor has already been added.



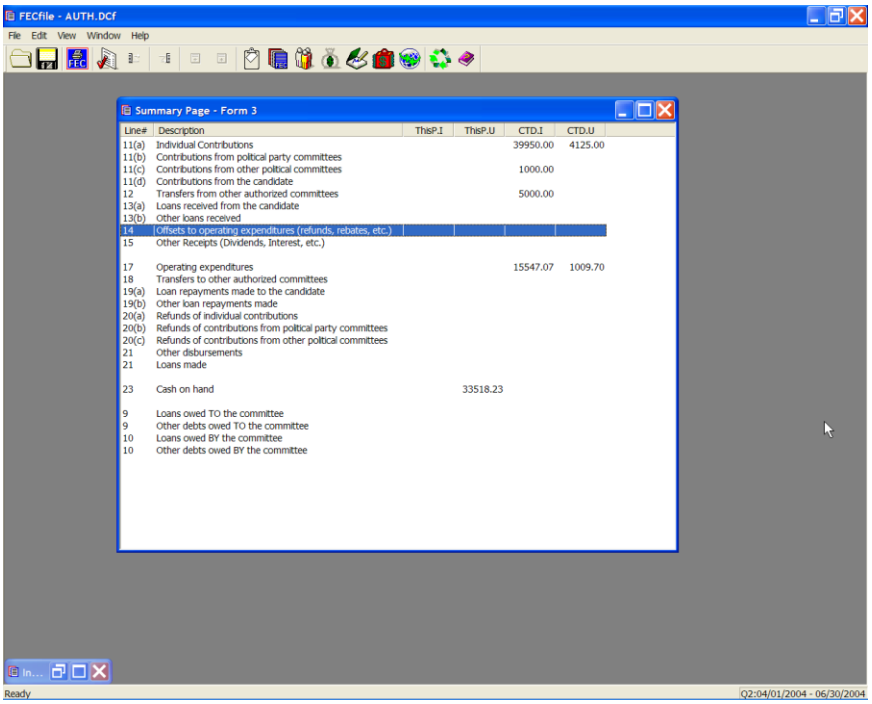

- ✓ Enter the information on the guarantor, and the amount, and click on OK.

- ✓ Click on OK, a second time, and select Yes to save any changes.

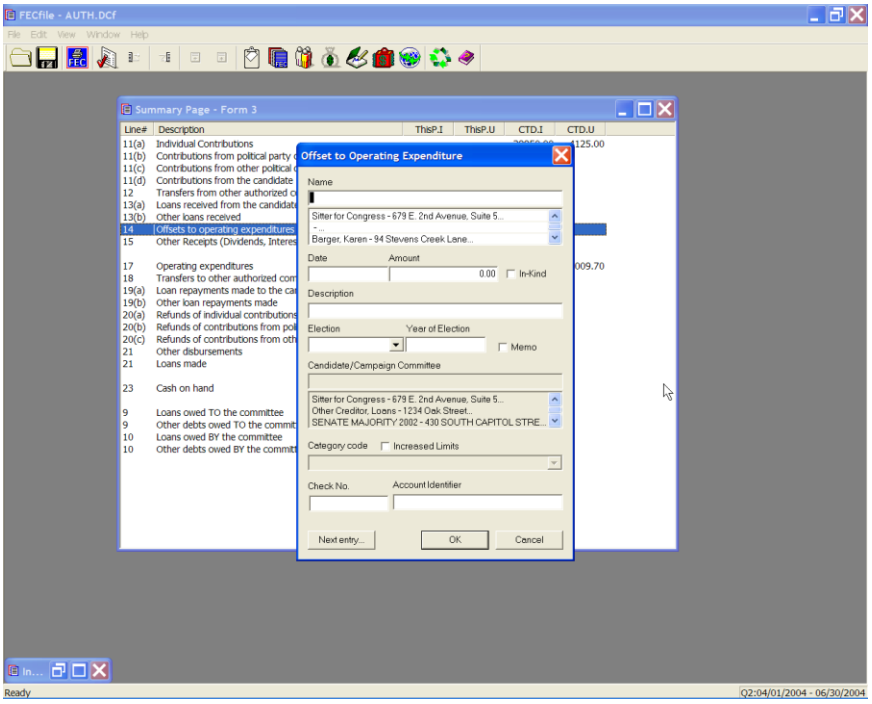
- ✓ The Loan received dialog box returns, and select OK, to return to the Summary page.

- ✓ Schedule A supporting Line 13 (b) and Schedule C supporting Line 10 will *both* be automatically created/adjusted, and will be reflected on the Summary Page. Similarly changes will be reflected in the 3P.

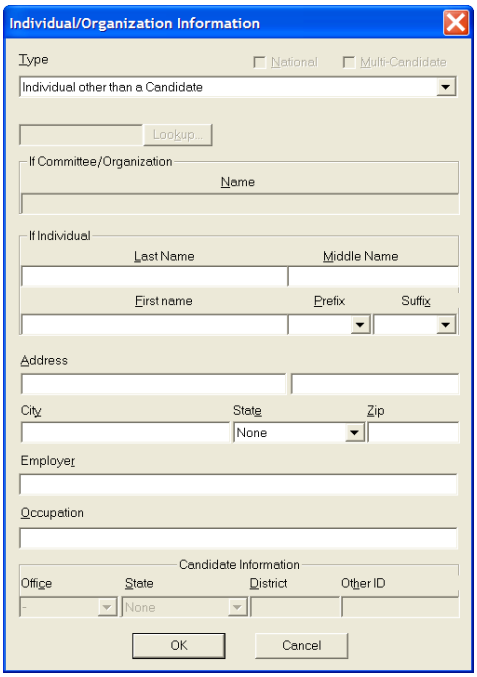
## Offsets To Operating Expenditures(refunds, rebates, etc.) Line 14 for F3 [Line 20(a) operating expenditure offsets; 20(b) Fundraising expenditure offsets; or 20 (c) legal, accounting expenditure offsets for F3P]




✓ Double-click on Line 14 / 20(a/b/c) of the Summary Page.

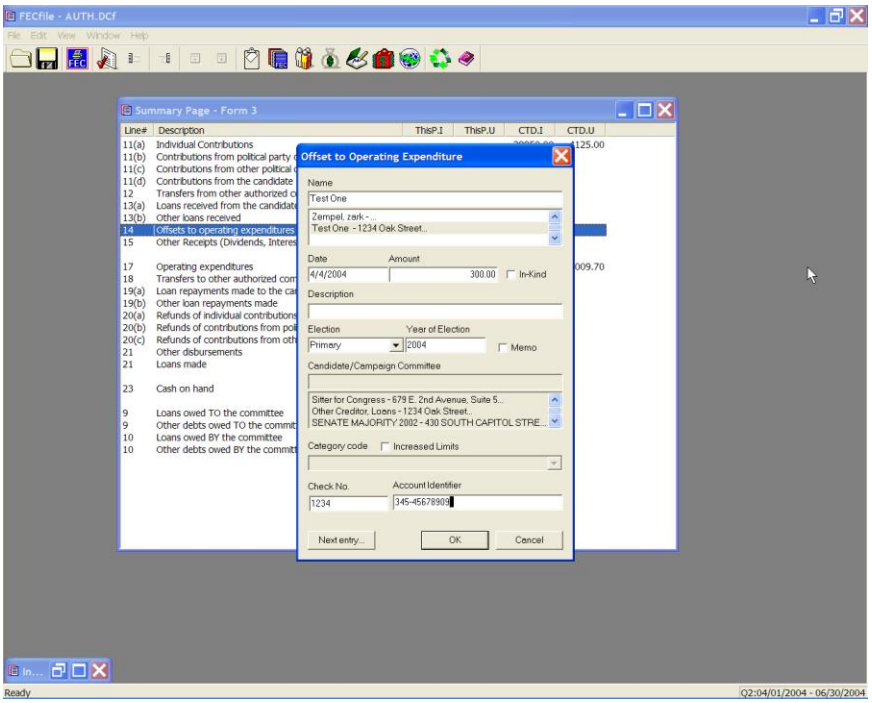



✓ The Offset to Operating Expenditure dialog box is launched. Enter the vendor's name in the name text area and press the Tab key or the Insert key.



- ✓ Under the Type text area, click on the drop down menu and highlight Business, Financial Inst., Partnership, Indian Tribe, Other Non-federal.

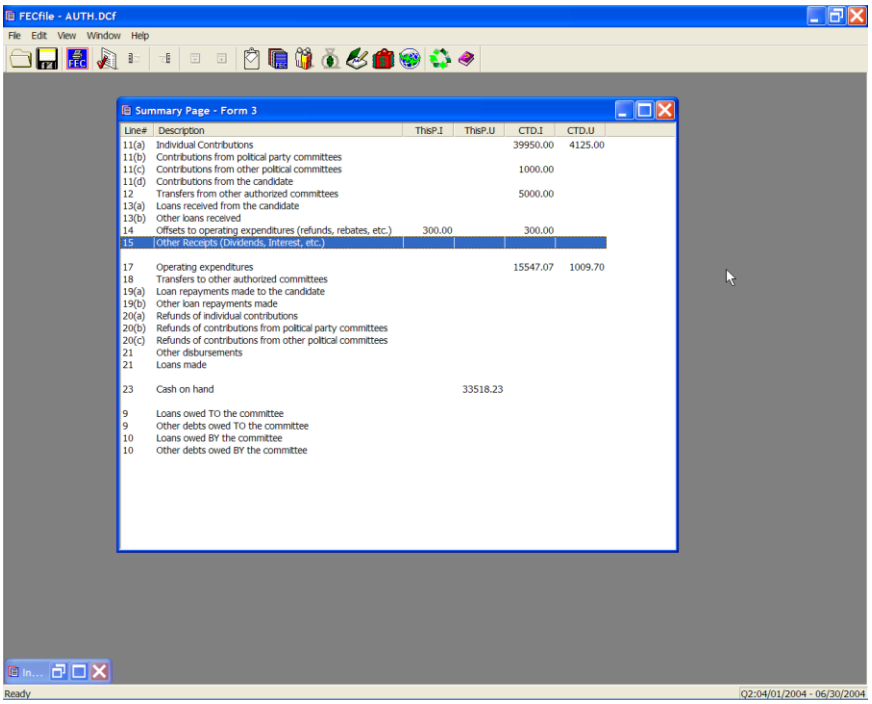
- ✓ Enter vendor's Address, City, State, and Zip, and click on OK.



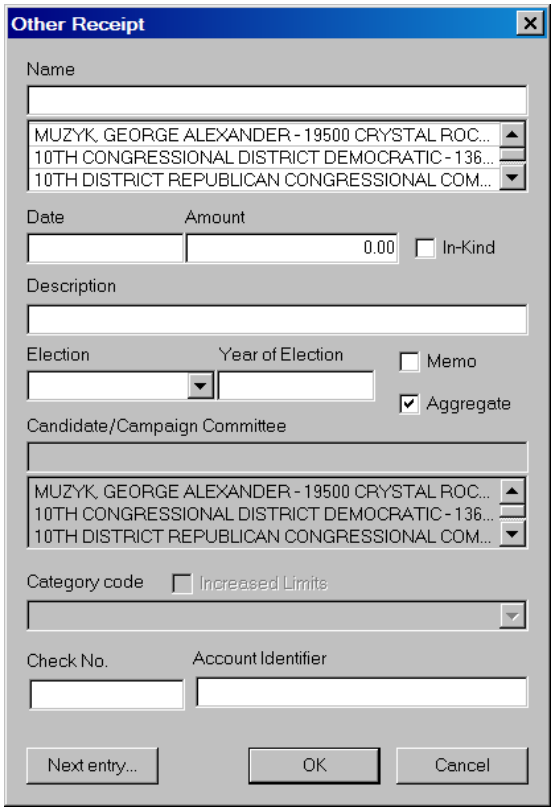

- ✓ In the Offset to Operating Expenditures dialog box, enter the Date, Amount, and Description, and click on OK.

- ✓ The totals are reflected on the Summary Page, on line 14 / 20(a/b/c), Offsets to Operating Expenditures, (refunds, rebates, etc.)

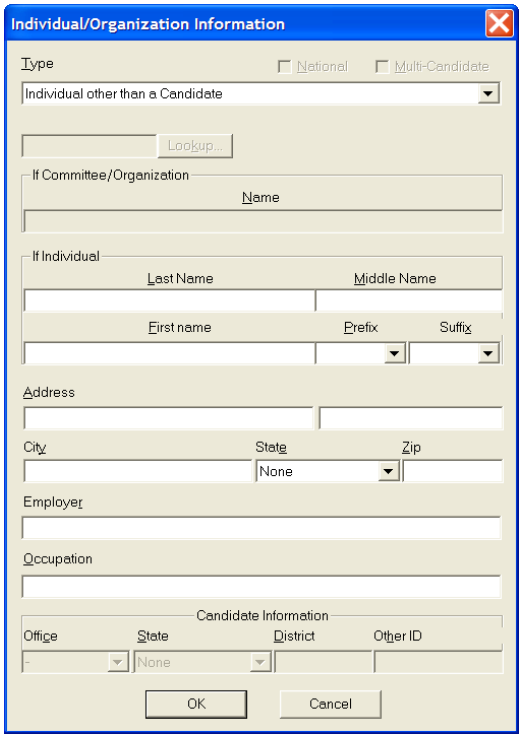
## Other Federal Receipts (Dividends, Interest Etc...) Line 15 for F3 [ Line 21 for F3P ]




✓ Double click on Line 15 / 21 of the Summary Page.

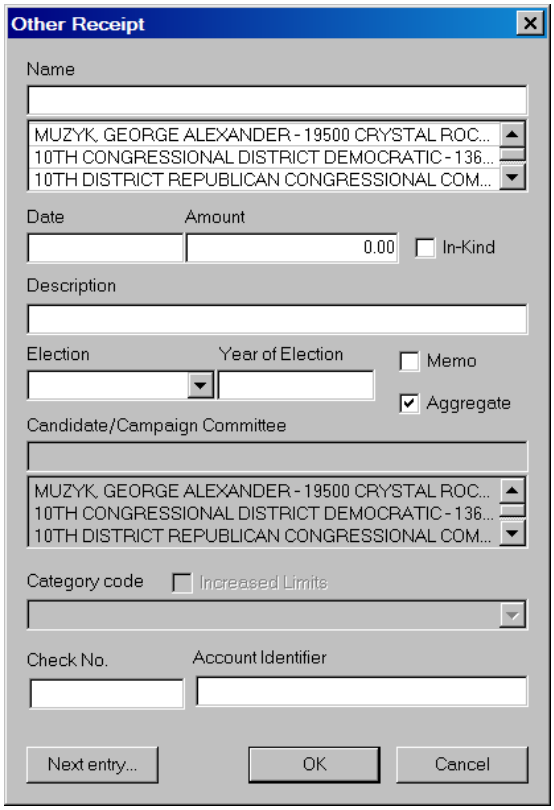



✓ In the Federal Receipt dialog box, enter in the name, if not previously entered, and press the Tab key or the Insert key.




- ✓ In the Individual/Organization Information dialog box, select the appropriate type by using the drop down menu.

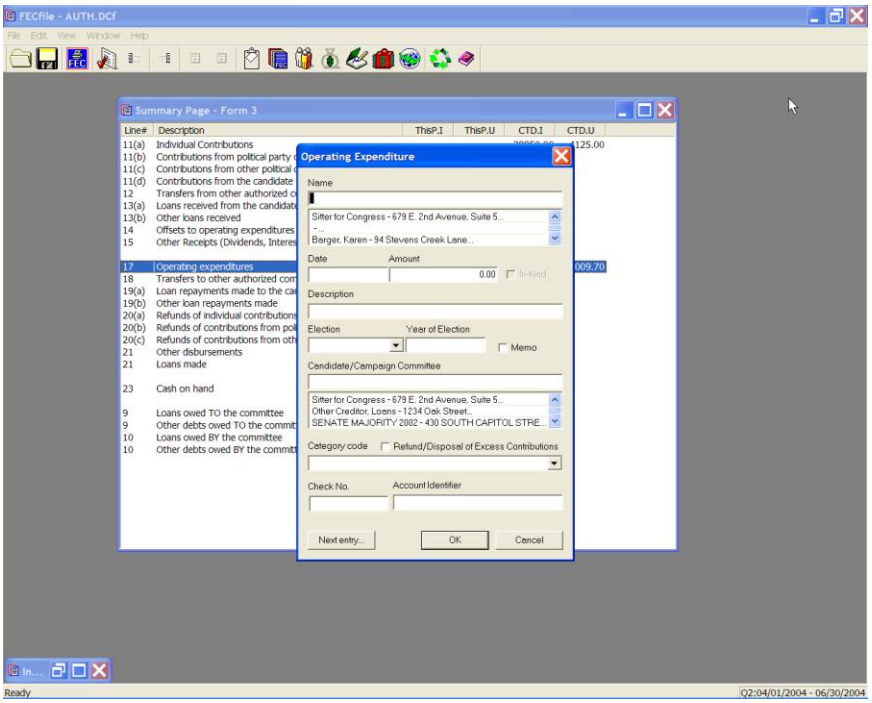
- ✓ Enter the Address, City, State and Zip, and select OK.



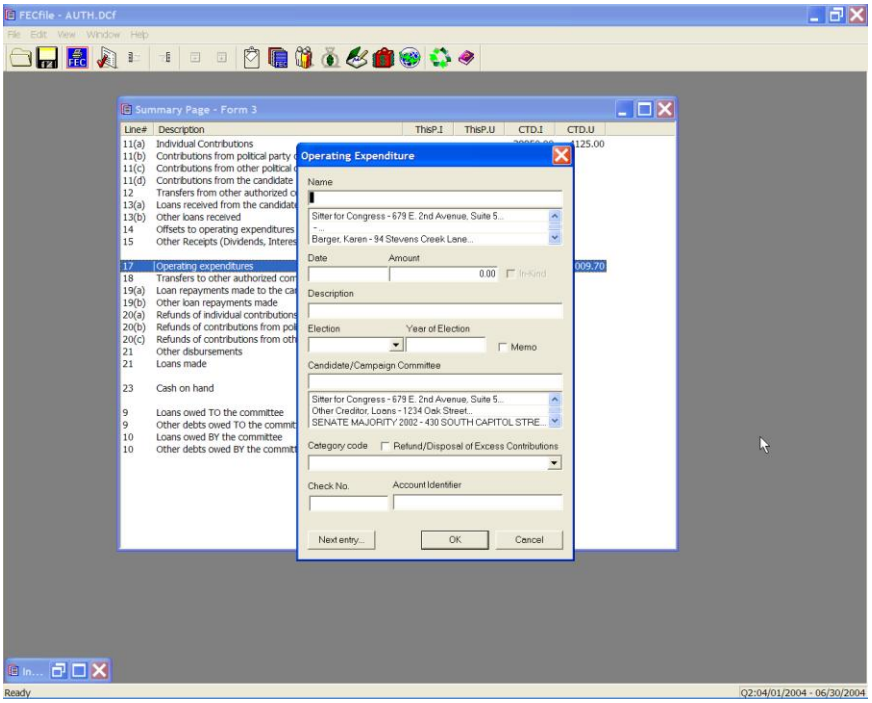

- ✓ In the other Receipt dialog box, enter in the Date, Amount, and Description, then click on OK.

- ✓ Note the total reflected on line 15 / 21 on the Summary Page.

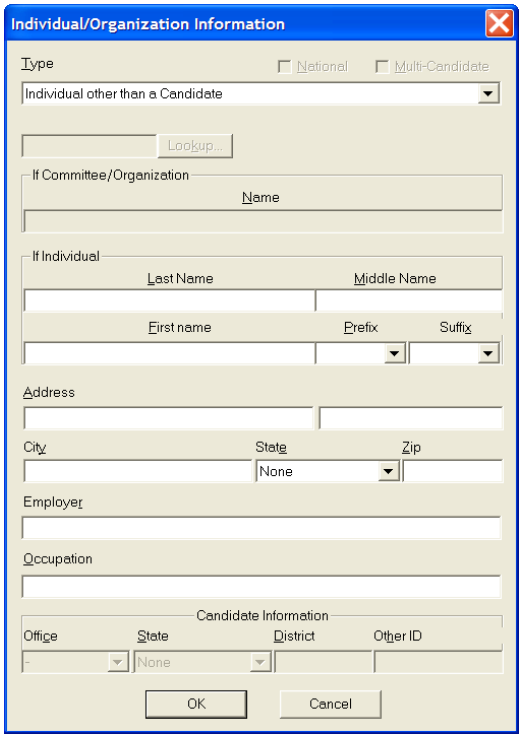
## Operating Expenditures Line 17 for F3 [ Line 23 for F3P ]




✓ Double click on 17/23 of the FECFile Summary Page.

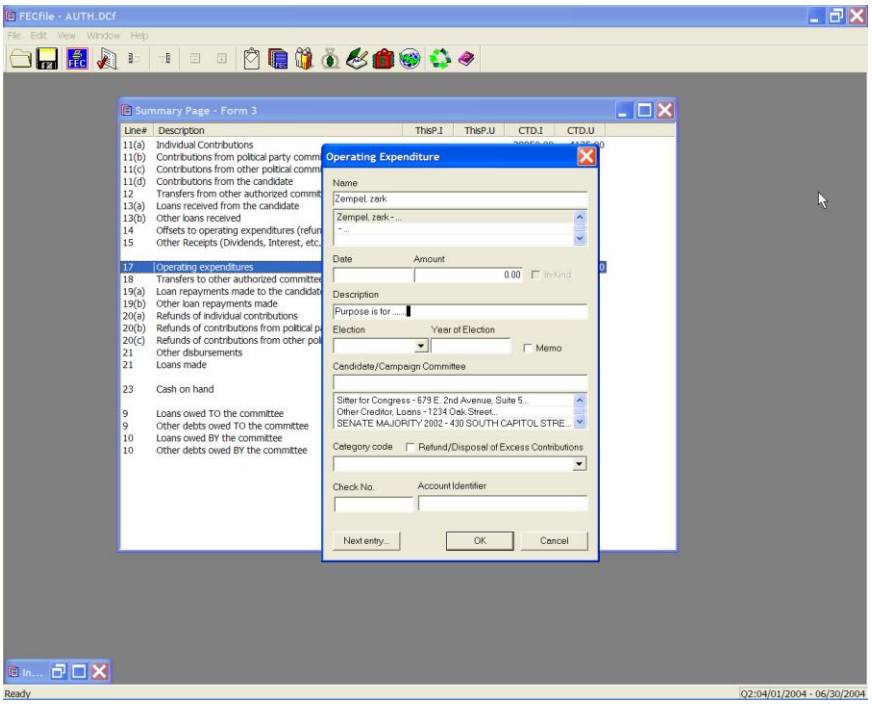



✓ The Operating Expenditure dialog box appears. Type in the name of the vendor or individual in the dialog box and press the tab key.



- ✓ The Individual/Organization Information dialog box appears. Click on the down arrow next to the type drop down menu to highlight the appropriate element, ie: Business, Financial Inst., Partnership, Indian Tribe, Other Non-Federal Entity.

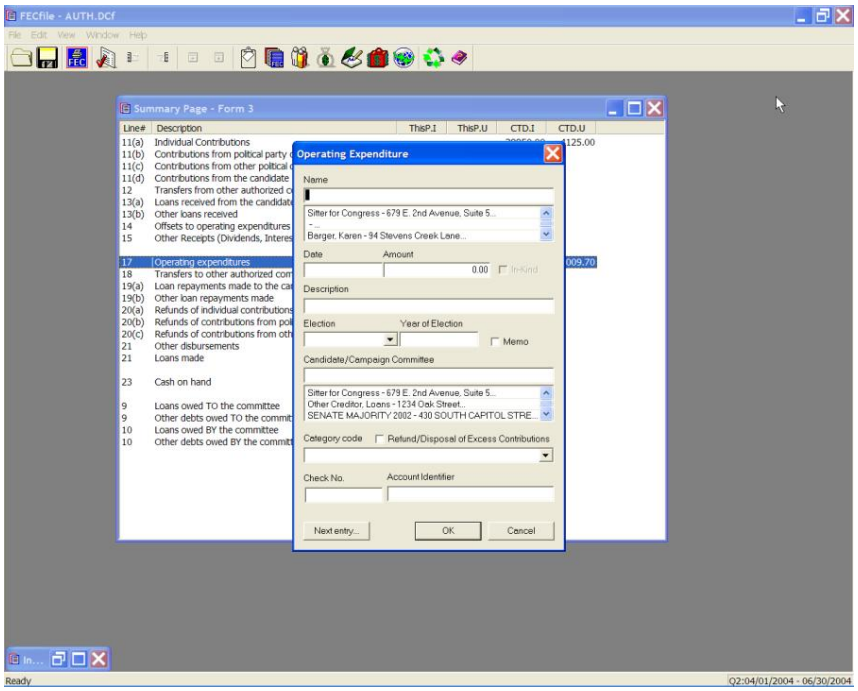
- ✓ Enter the address, city, state and zip by pointing and clicking inside of each text area. Select OK once the entry is completed.



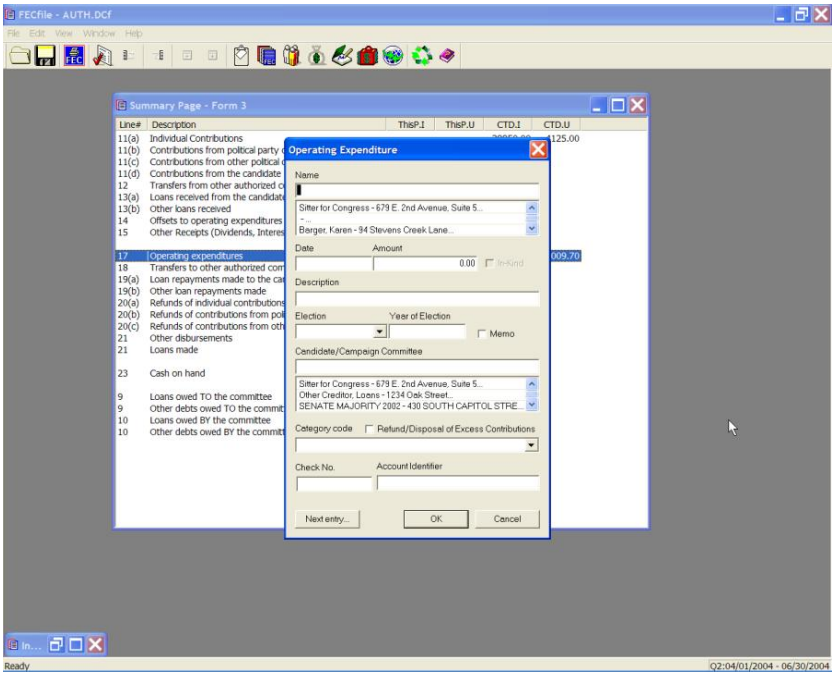

- ✓ The Operating Expenditure dialog box appears, with the appropriate text areas populated. Point and click inside the date field and enter the date, followed by entering in the dollar amount.

- ✓ Type in the description or purpose, and click on OK.

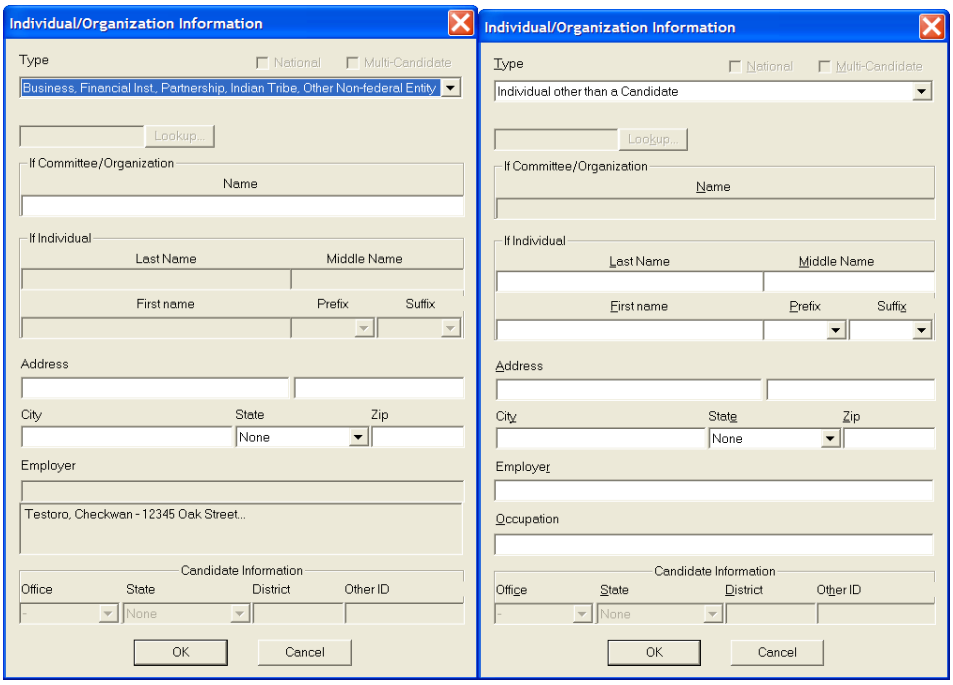
## Credit Card Payments




✓ From the FECFile main menu, double click on Line 17 / 21 of the Summary page.



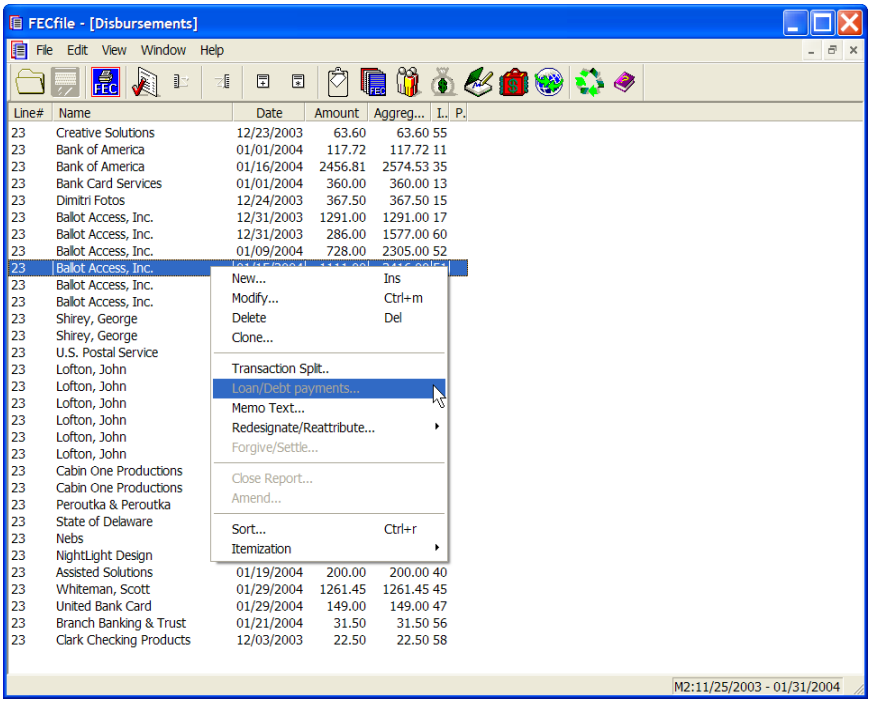
✓ The Operating Expenditure dialog box appears. Enter the name of the credit card company, and press the Tab key.



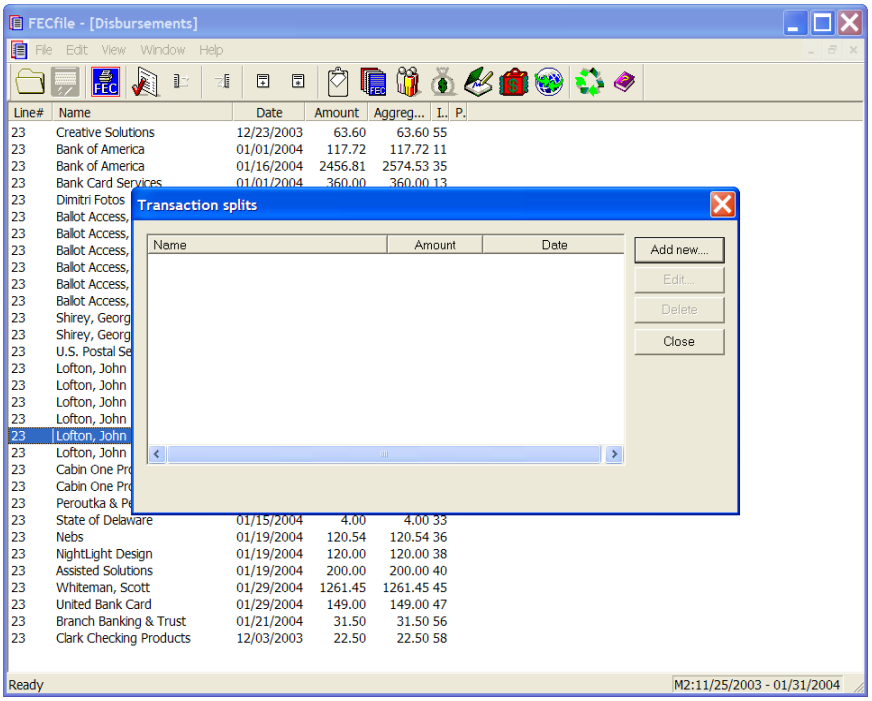

✓ The Individual/Organization Information dialog box appears. Enter in the address and company information, and select OK.

✓ FECFile returns to the initial dialog box, enter in the date, amount, and description and click OK.

✓ Select View from the menu bar and click on Disbursements.

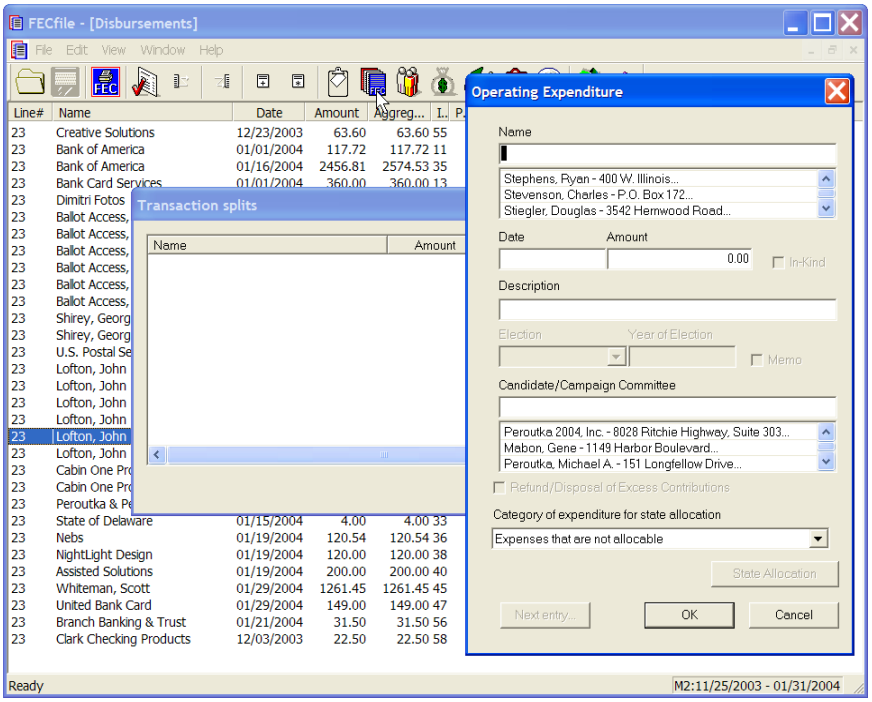



✓ As the Disbursement screen is shown, right click on the appropriate disbursement. As the drop down menu appears, click on Transaction Split.




✓ The Transaction split dialog box appears. Click on Add new, and enter in the vendor information. Repeat the addition of transaction splits as

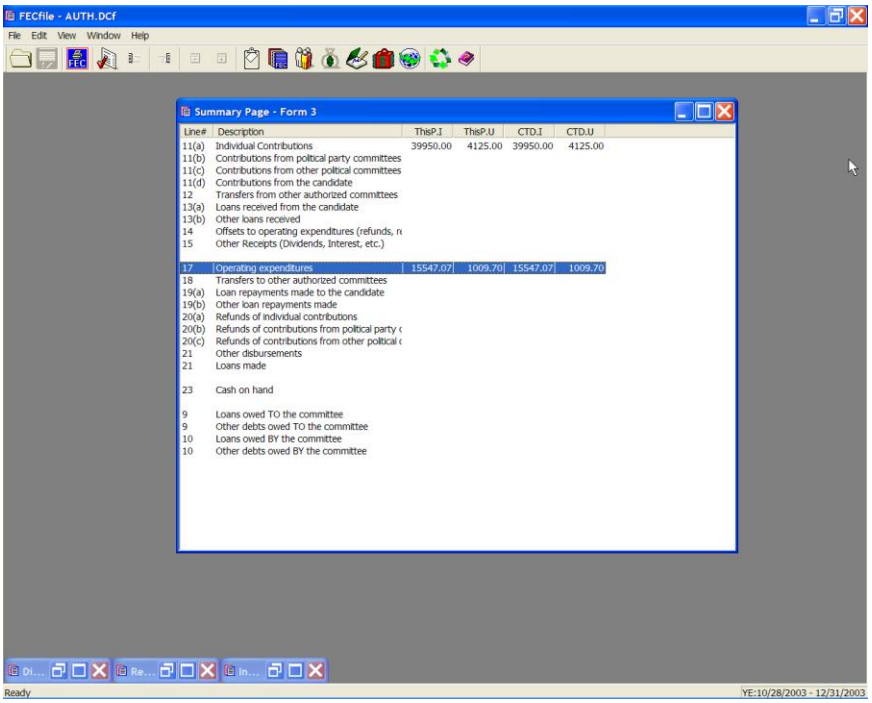
appropriate.



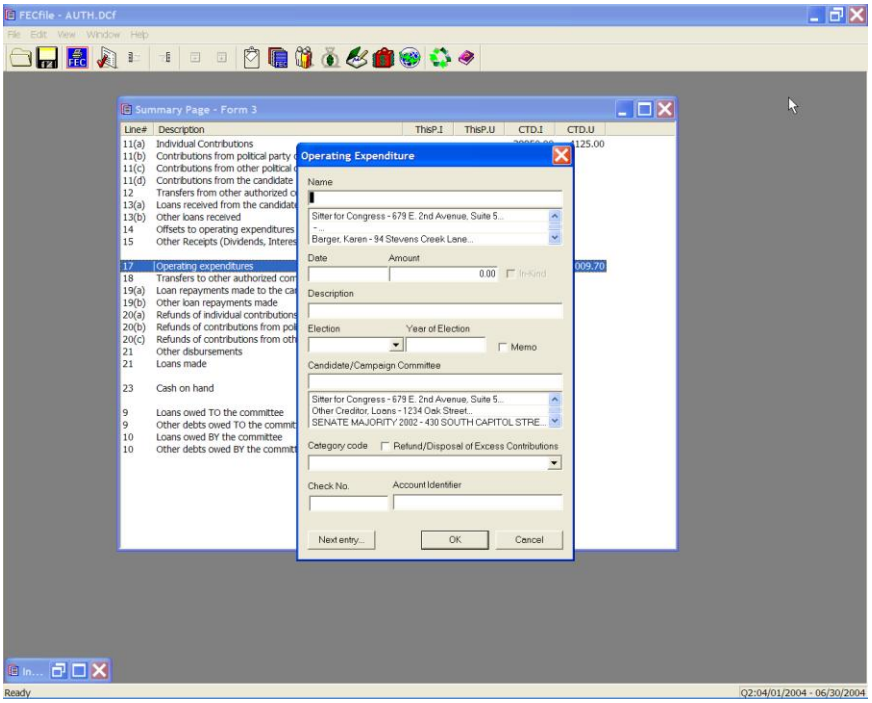

✓ Enter and Click on OK. Note added items on the Transaction Split screen.

✓ Click on close.

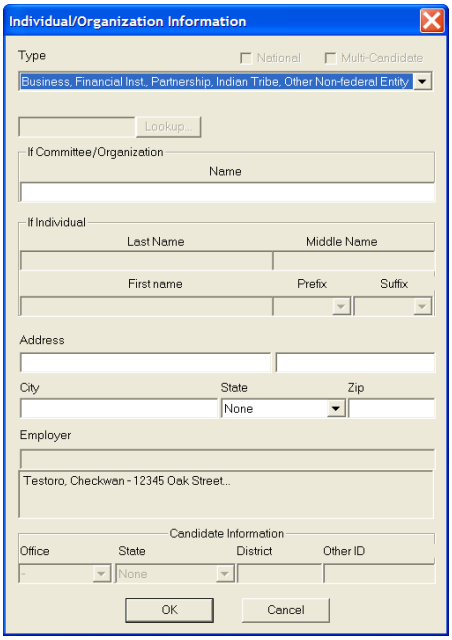
## Reimbursements To Individual (Non-Travel)




✓ From the FECFile main menu, double click on Line 17 / 23 of the Summary page.



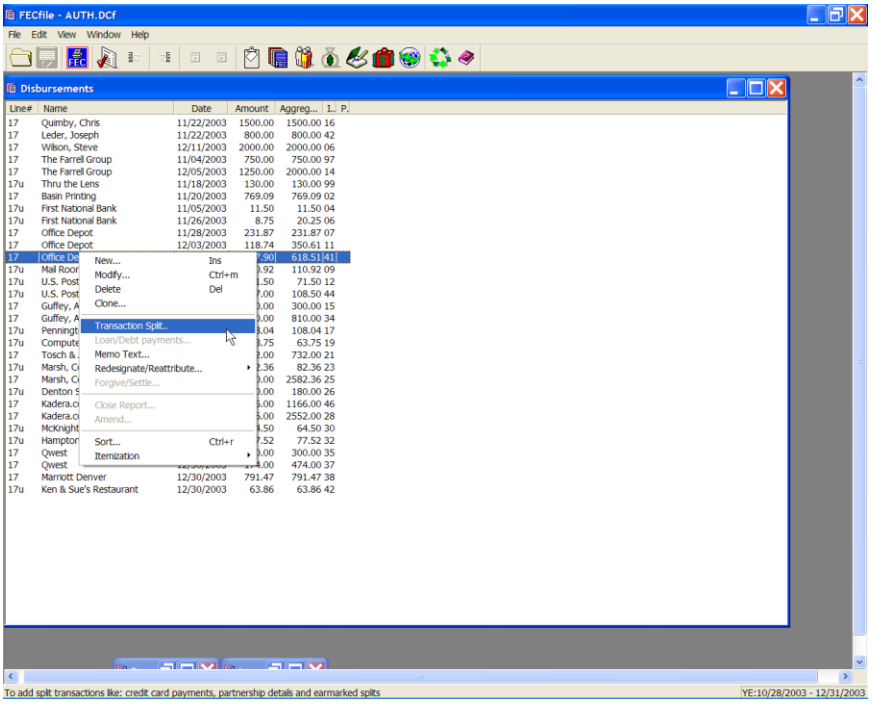

✓ The Operating Expenditure dialog box appears. Enter the name of the individual being reimbursed, and press the Tab key.



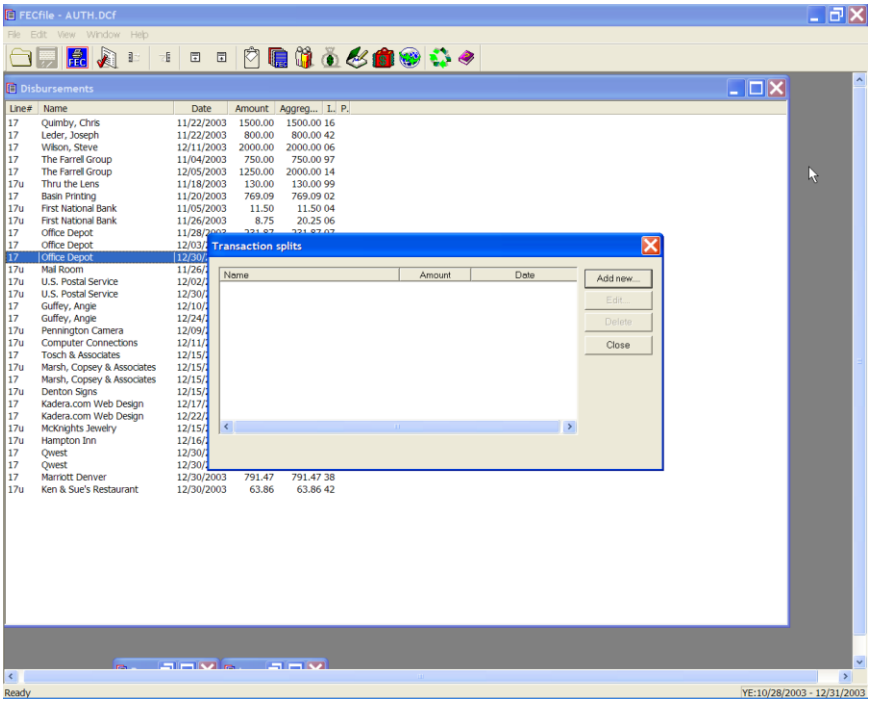

✓ The Individual/Organization Information dialog box appears. Enter in the address and information, and select OK.

- ✓ FECFile returns to the initial dialog box, enter in the date, amount, and description and click OK.

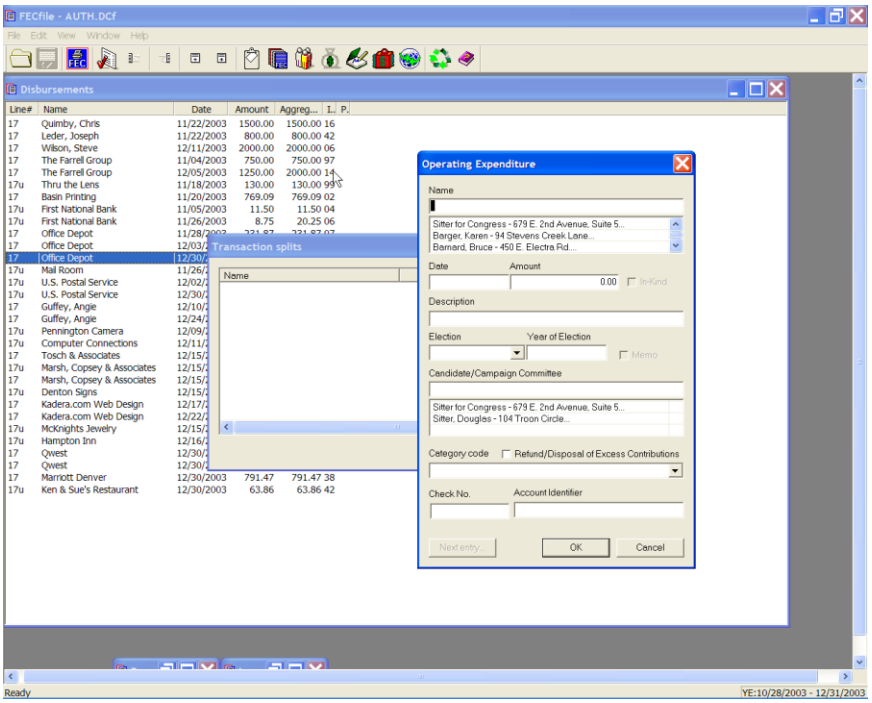
- ✓ Select View from the menu bar and click on Disbursements.




- ✓ As the Disbursement screen is shown, right click on the appropriate disbursement. As the drop down menu appears, click on Transaction Split.




✓ The Transaction split dialog box appears. Click on Add new, and enter in the vendor information. Repeat the addition of transaction splits as appropriate.

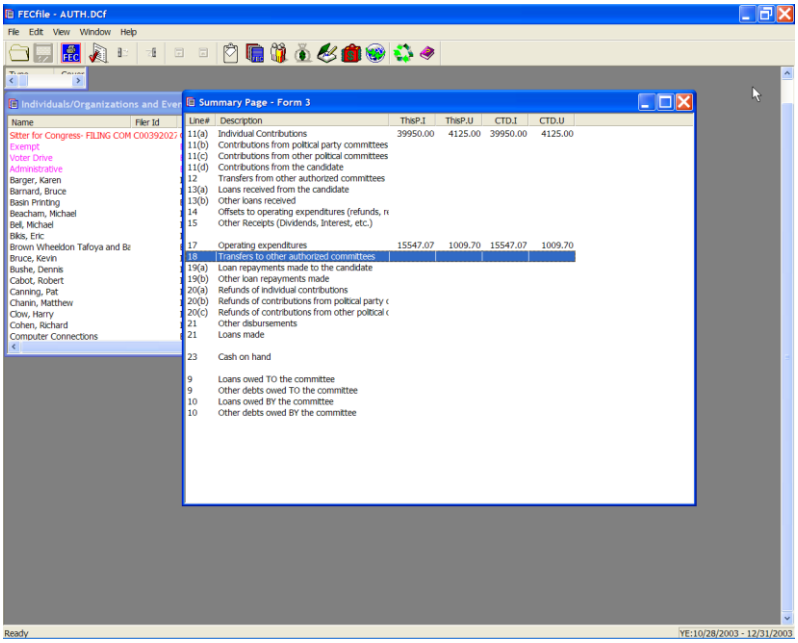



✓ Enter and Click on OK. Note added items on the Transaction Split screen.

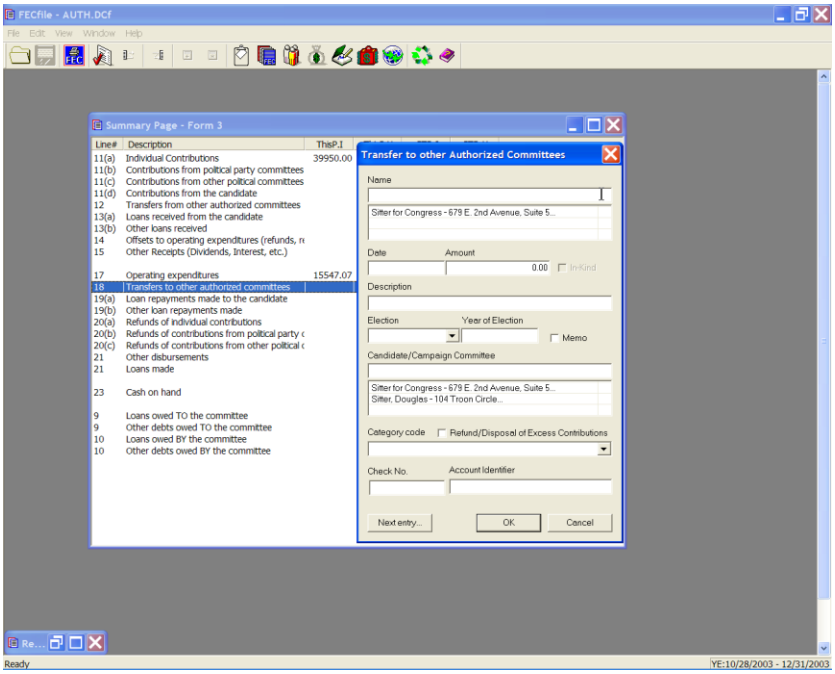
- ✓ Click on close.

**Note: Travel related reimbursements are entered in the same as a regular operating expenditure on line 17 / 23. No memo entries are necessary.**

## Transfers To Other Authorized Committees Line 18 for F3 [ Line 24 for F3P ]

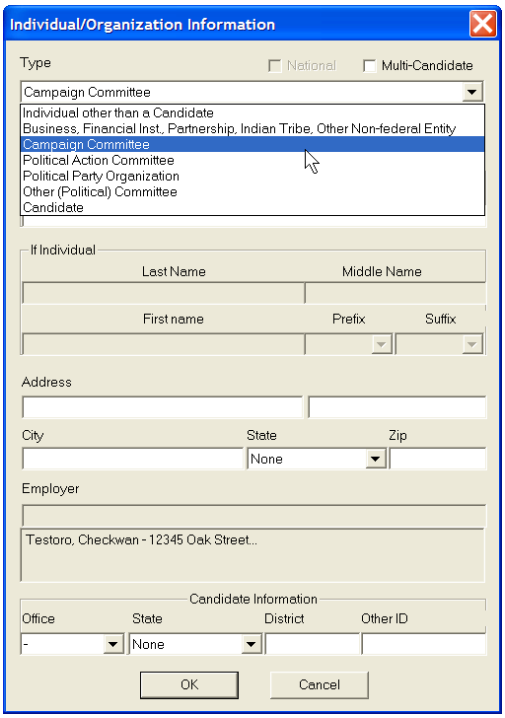



✓ Double click on line 18 / 24 of the FECFile Summary Page.

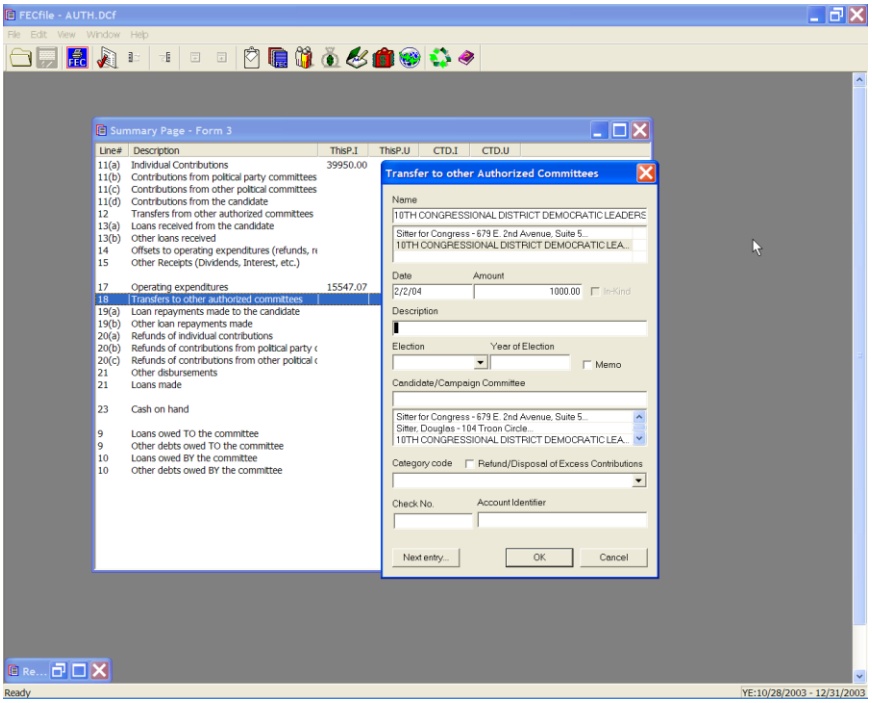


- ✓ The Transfer to other Authorized Committees dialog box appears.

- ✓ Enter the committee name, if it does not currently appear, and press the tab key. If the committee name does appear, tab to the address field and continue entry.



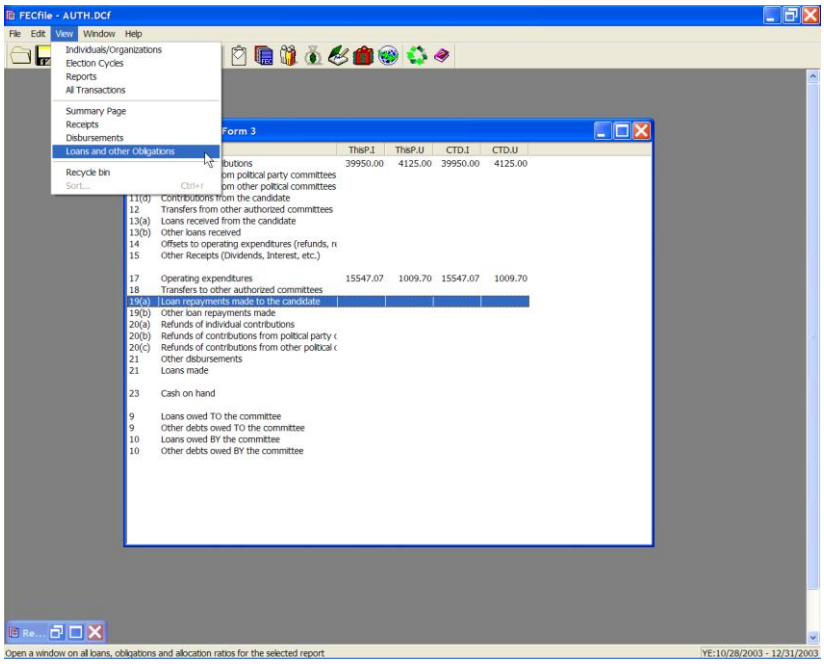

- ✓ If the committee name does not appear, once selecting the tab key, the Individual/Organization Information dialog box appears. Enter in the address, cit y, state and zip, and select OK



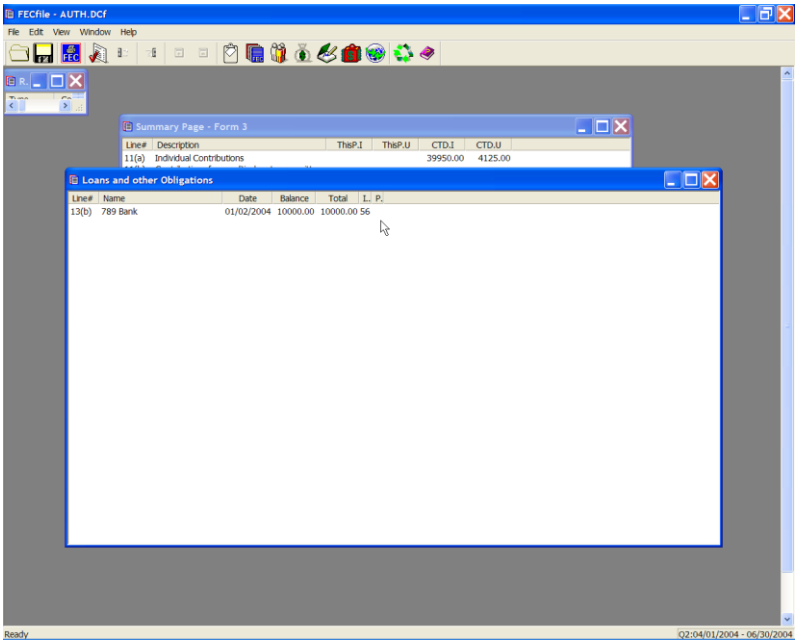

- ✓ The Transfer to other Authorized Committees dialog box appears. Point to the date field, and enter in the date, amount and description.

- ✓ Click on OK.

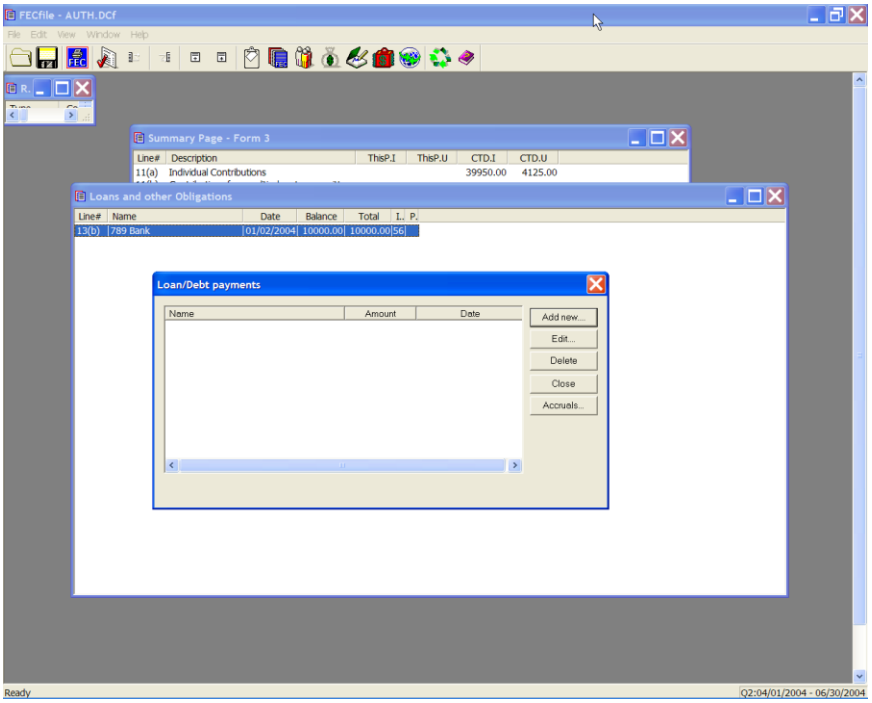
## Loan Repayments Made Lines 19 (a)/9 (b) for F3
## [ Lines 27(a)/27(b) for F3P ]



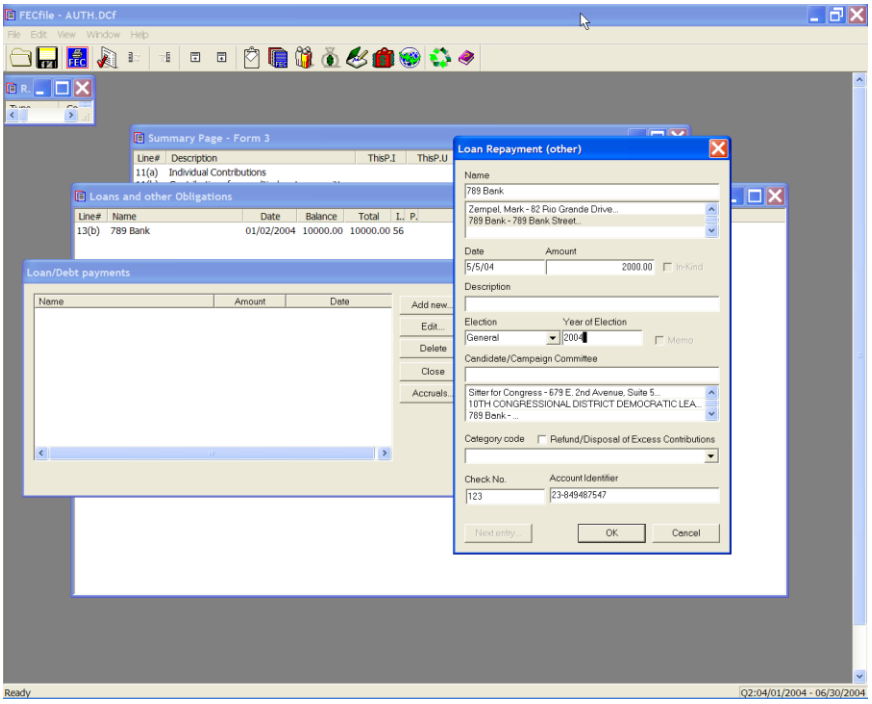

✓ From the FECFile menu bar, select View, and select Loans and other Obligations.



✓ Reviewing the listing of loans shown, select the loan for which repayment is being made, and click on the right mouse button.




✓ The drop down menu will appear, select Loan/Debt repayments.



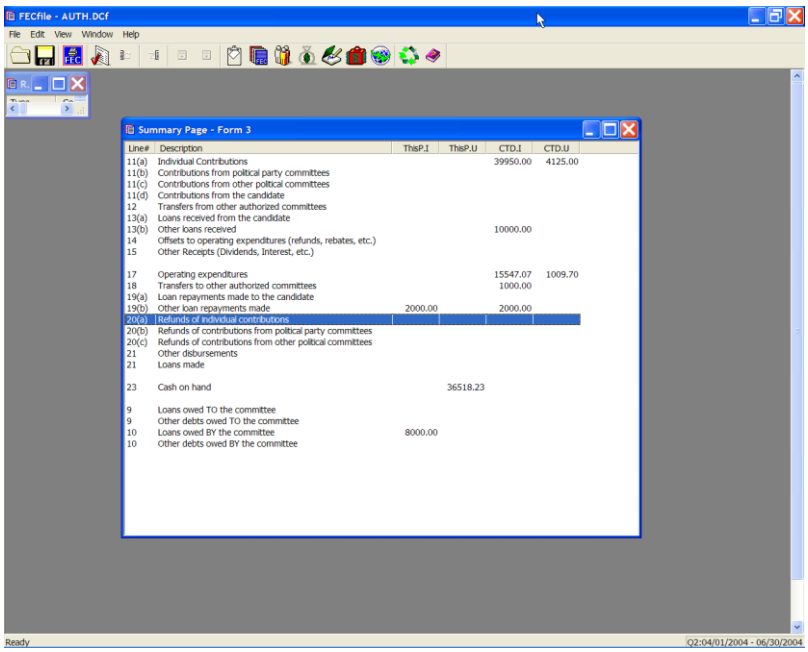
- ✓ The Loan/Debt payments dialog box appears. Click on Add new.

**NOTE:**
**This process may also be used to edit loan repayments entered in error. In this circumstance, as the Loan/Debt payments screen is shown, select Edit, as opposed to the Add New option.**

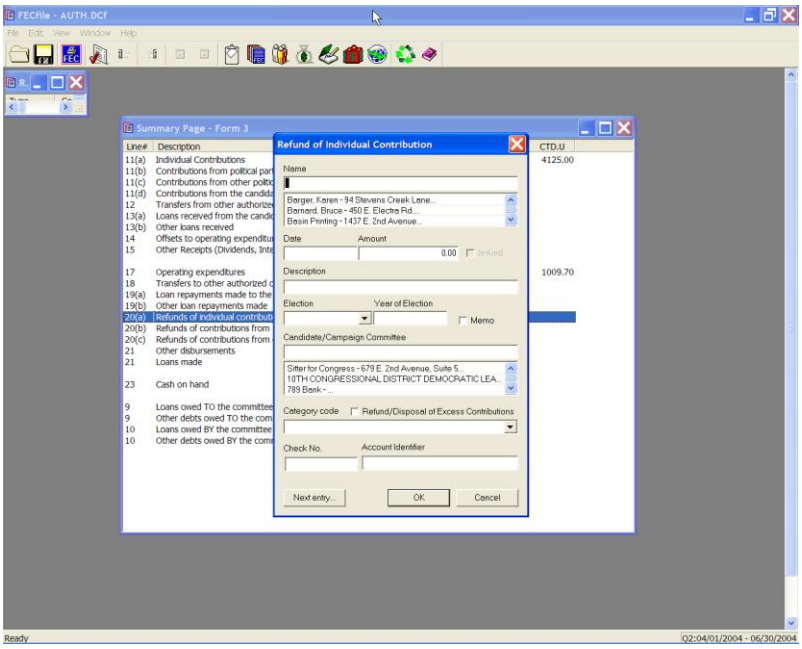
- ✓ Schedule B supporting Line 26 and Schedule C, supporting Line 10 will both be *AUTOMATICALLY* created and adjusted.

- ✓ If the repayment is being made on a loan originally reported on a paper report, the committee will have to create a *"dummy report"* for the previous reporting period in which the loan will be created. As the numbers are all that is required from the loan, the committee will not need to enter Schedule C-1 or guarantor information.

## Refunds Lines 20 (a), 20 (b), and 20 (c) for F3
## [ Lines 28(a), 28(b), 28(c) for F3P ]

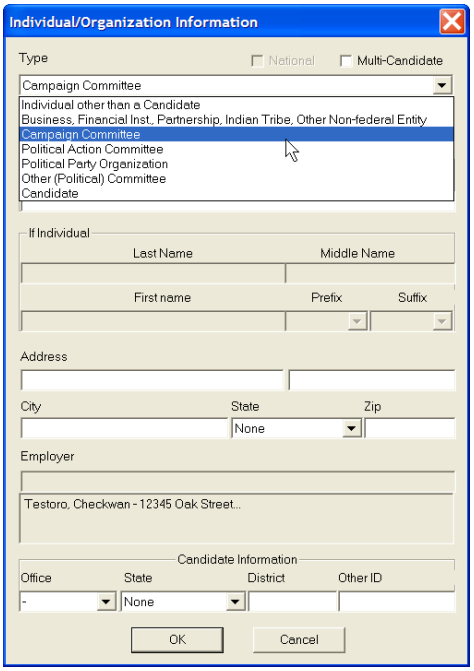



✓ Select the Summary Page in FECFile. Double click line 20(a) / 28(a), Refunds of individual contributions.

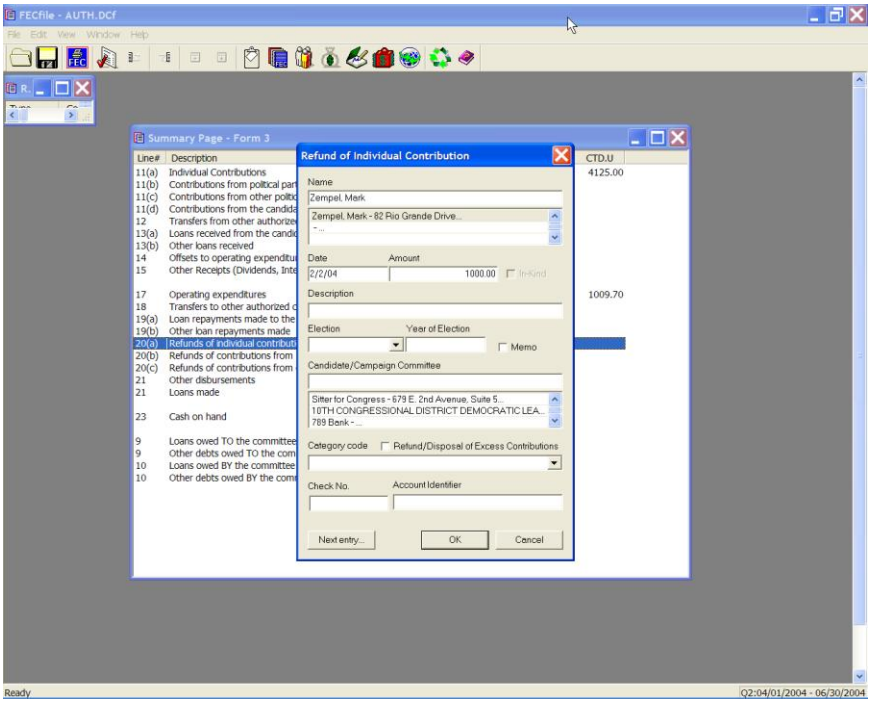


- ✓ The Refund of Individual Contribution dialog box appears. Select the name of the individual to whom your committee will be sending a refund. Enter in the date and the amount, and select OK.

- ✓ For Refunds of Contributions from Political Party Committees, select Line 20(b)/28(b) from the Summary Page.

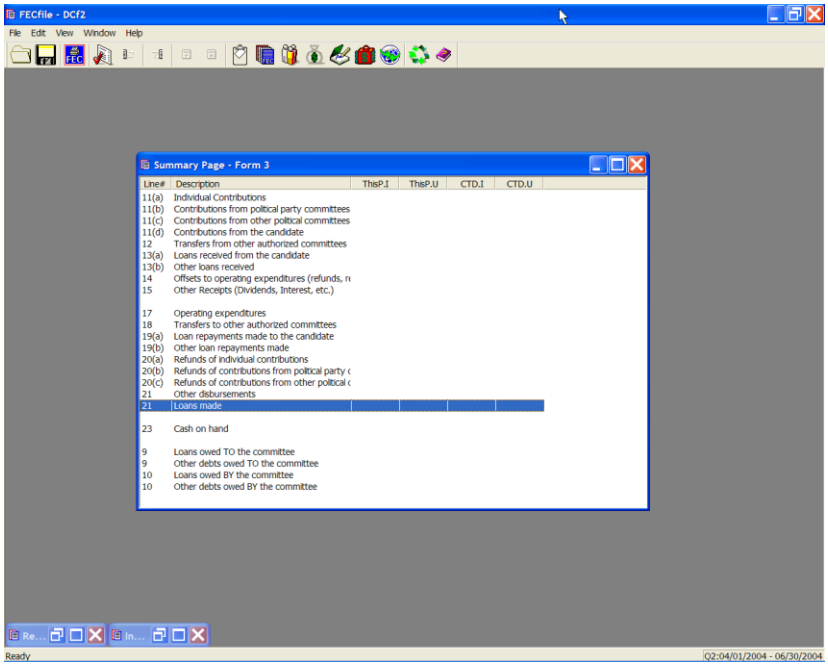



- ✓ The Refund of PAC Contribution dialog box appears. Select the Name of the Political Party Committee to whom your committee is sending a refund. Enter the Date and Amount, and select OK.

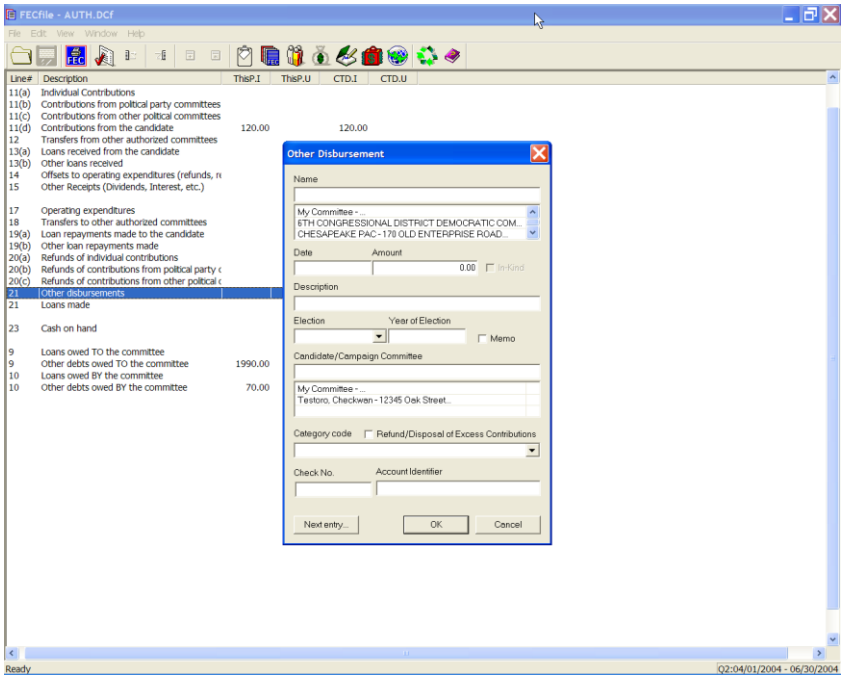



✓ For Refunds of Contributions from other Political Committees, select Line 20(c)/28(c) from the Summary Page. The Refund of other Political Committee Contribution dialog box appears.

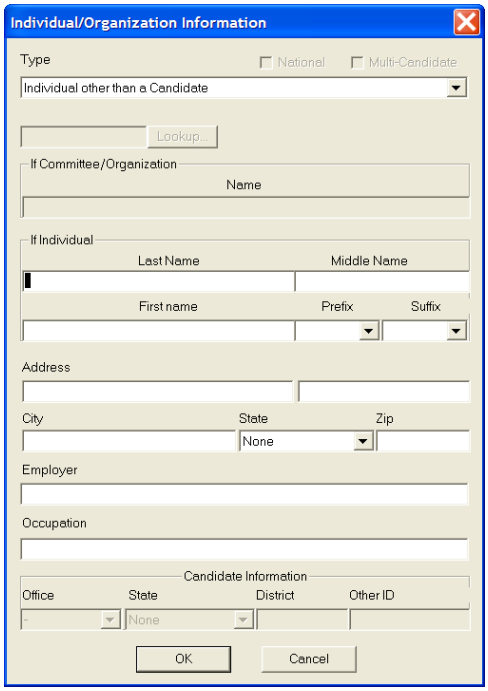
## Loans Made Using Other Disbursements Line 21 for F3 [ Line 29 for F3P ]



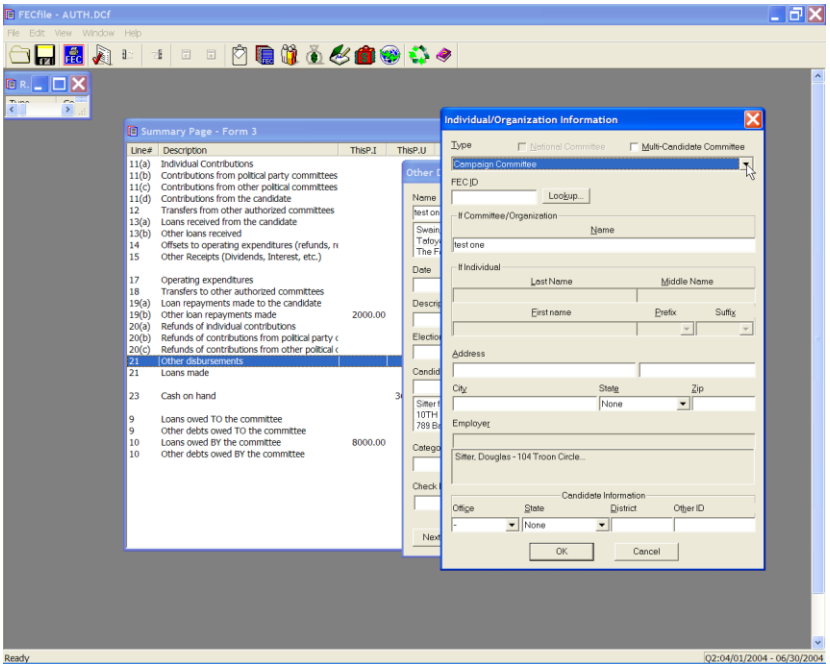

✓ Select the Summary Page in FECFile, and double click on Line 21/29, Other Disbursements.



✓ The other Disbursement dialog box appears. Select the name text box, and enter the name of the recipient. Press the Tab key.

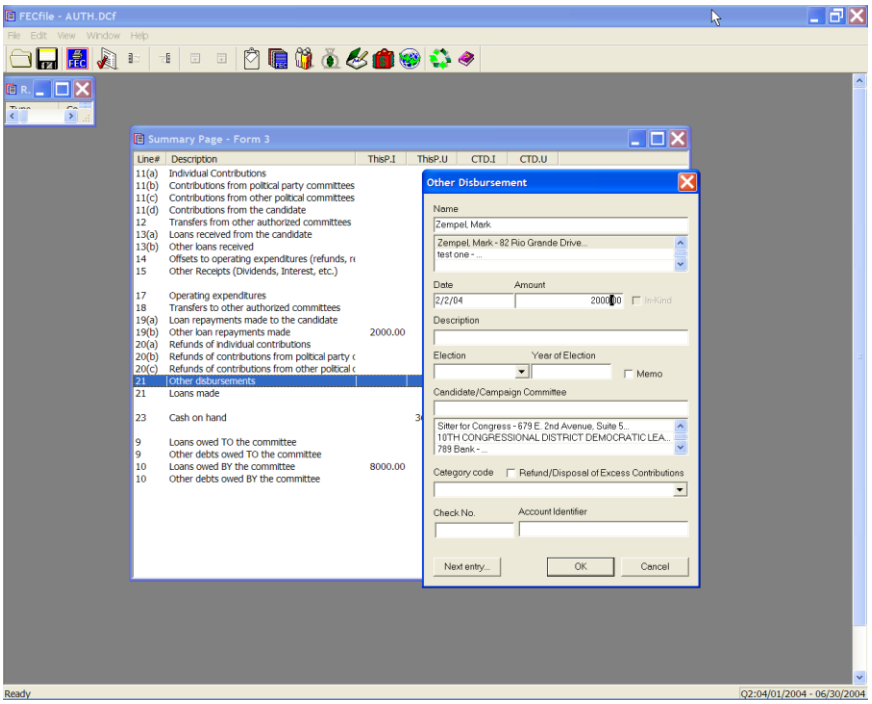



The Individual/Organization Information dialog box appears. Select the drop down arrow next to type, and select the proper category.



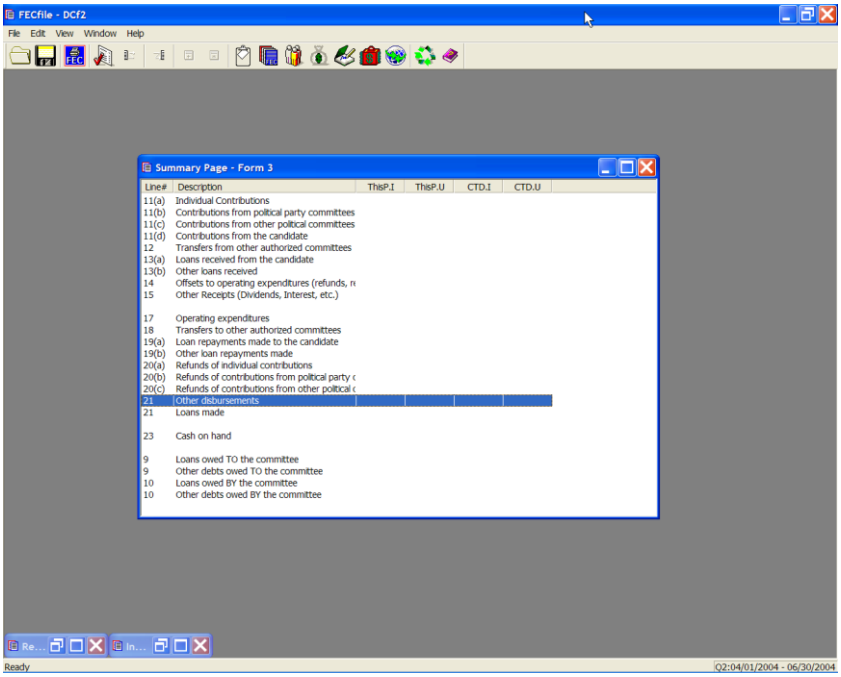
✓ **Note: If Candidate Committee or other political committee is selected, select Lookup, Copy All, and OK however;**

If a Name is selected, enter the Name, Address, Employer and Occupation information, and OK.

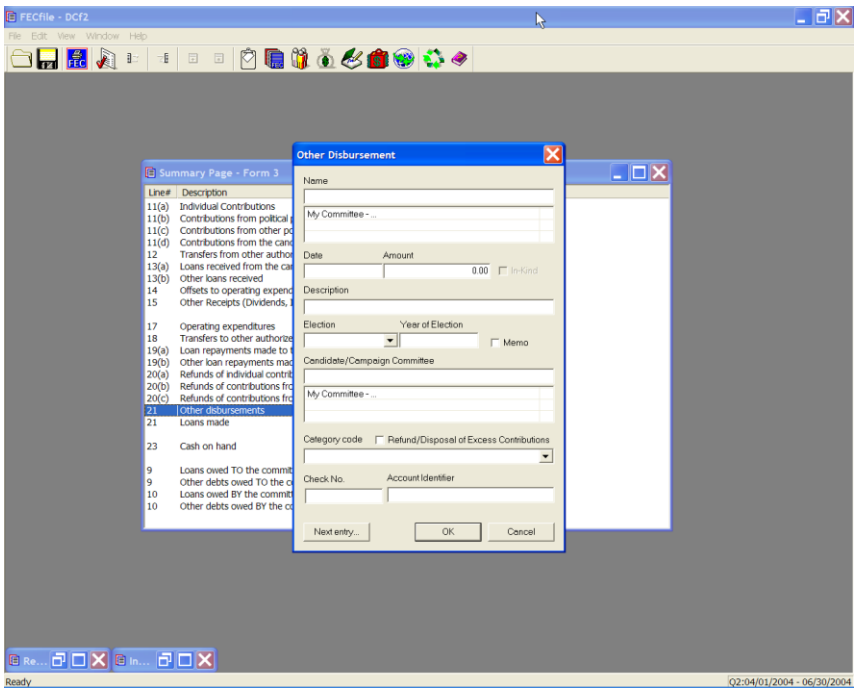



✓ The other Disbursement dialog box reappears. Enter the Date, Amount and select OK.

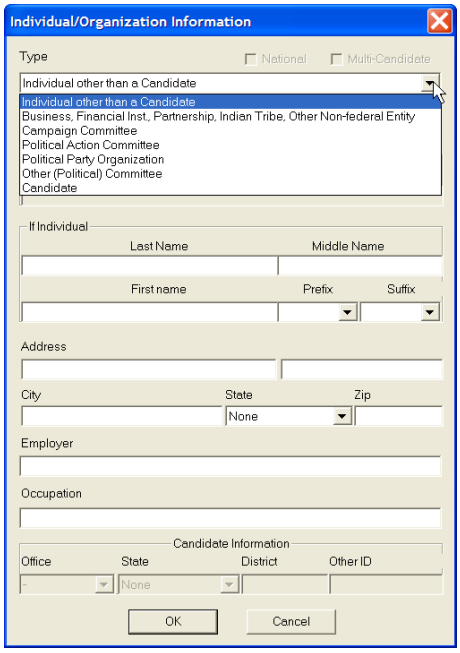
## Other Disbursements Line 21 for F3 [ Line 29 for F3P ]



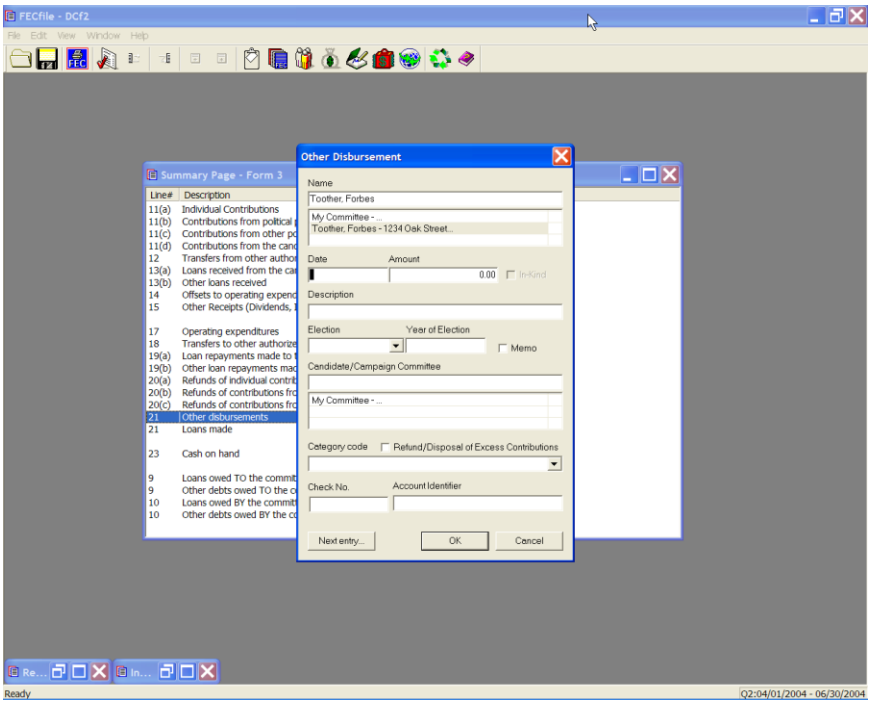

✓ Double-click on Line 21 On the summary page in FECFile



✓ The Other Disbursement dialog box appears. Enter in the vendor name and press the Tab key.




✓ The Individual/Organization Information dialog box appears. Enter the Type from the drop down menu, the Address, City, State, Zip and click OK.

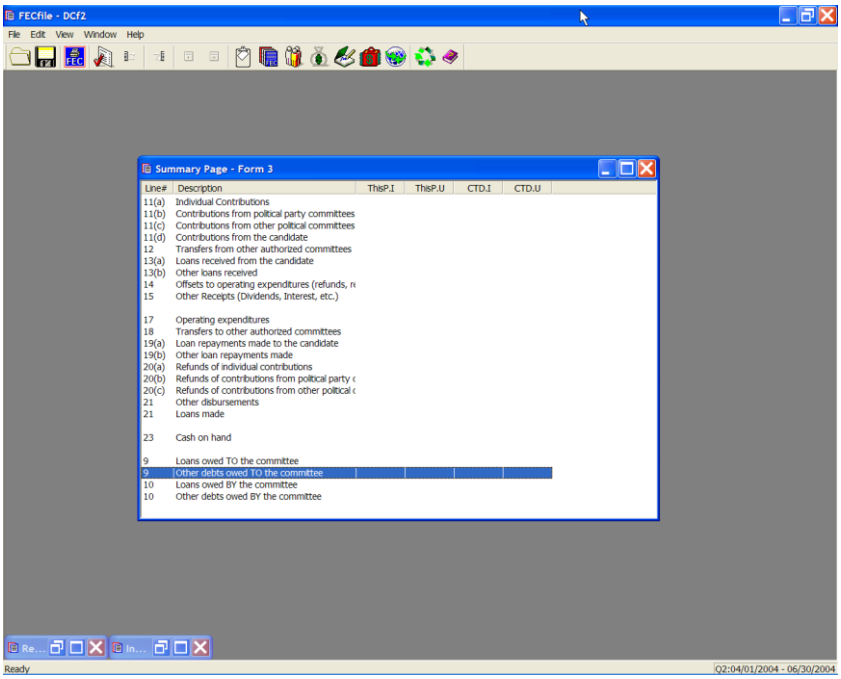


- ✓ The Other Disbursement dialog box appears. Enter in the Date, Amount and Description and select OK.

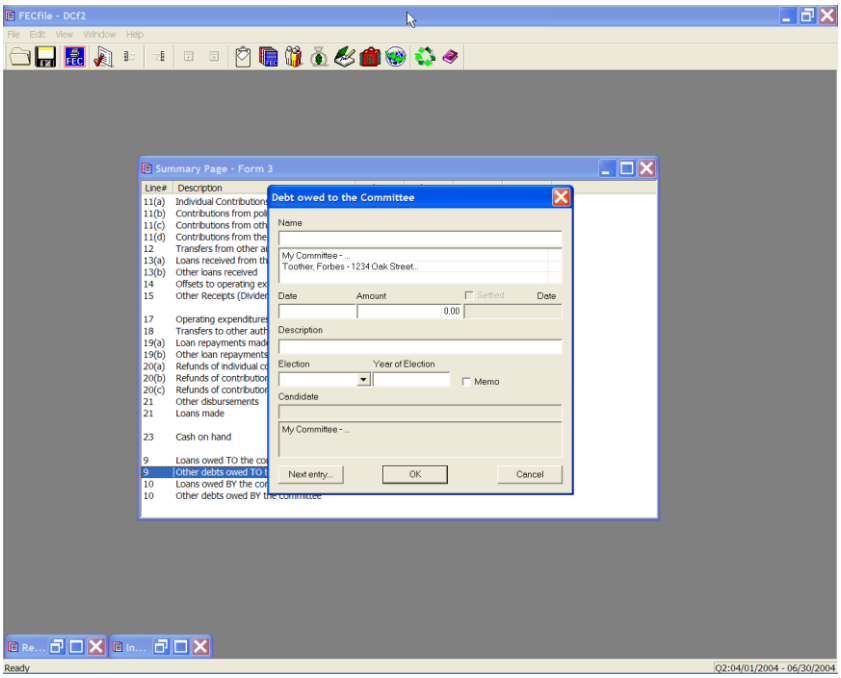
## Loans Owed TO The Committee Line 9 for F3 [ Line 11 for F3P ]

- ✓ Within the FECFile Application, as line  , Loan Owed TO the Committee is selected, no action will take place. To change this amount, click on one of the other loan lines, as applicable.

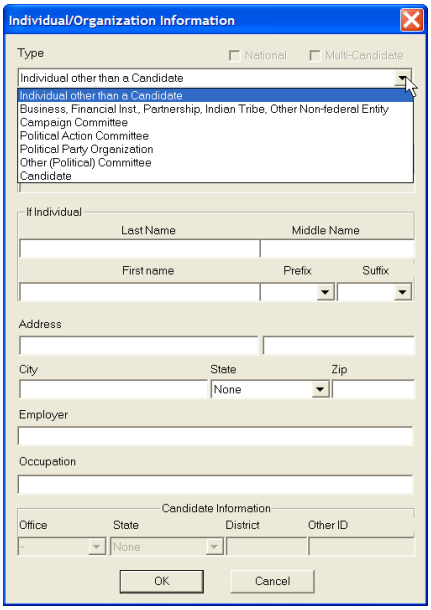
## Other Debts Owed TO The Committee Line 9 for F3
## [ Line 11 for F3P ]




✓ Within the FECFile application, open the Summary page and double click on Line, Other Debts Owed to the Committee, to add a new debt owed to the Committee.

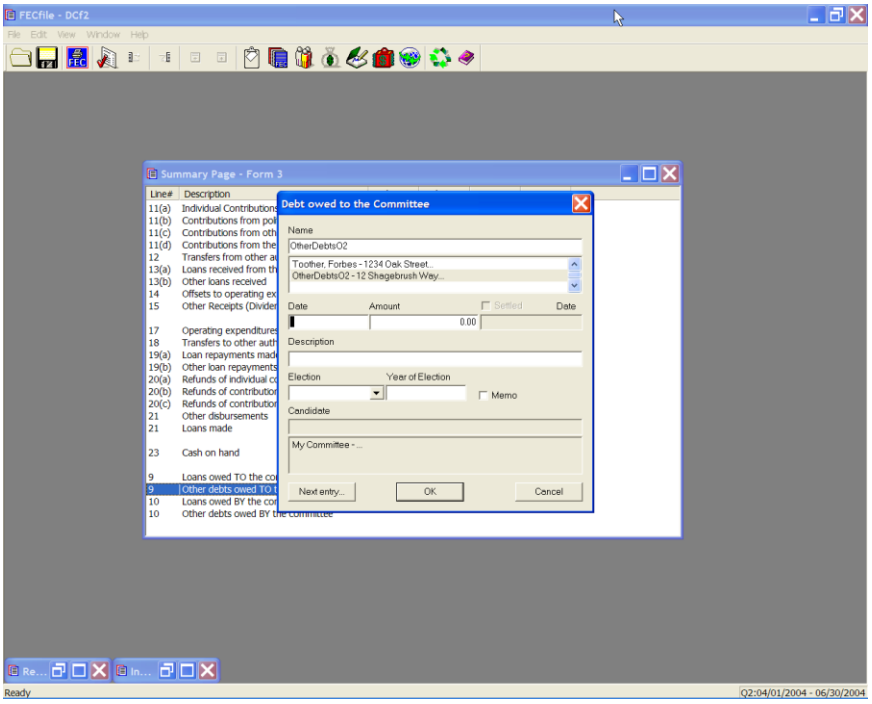


- ✓ The Debts owed to Committee dialog box appears. Enter the name of the vendor in the name field and press the TAB key

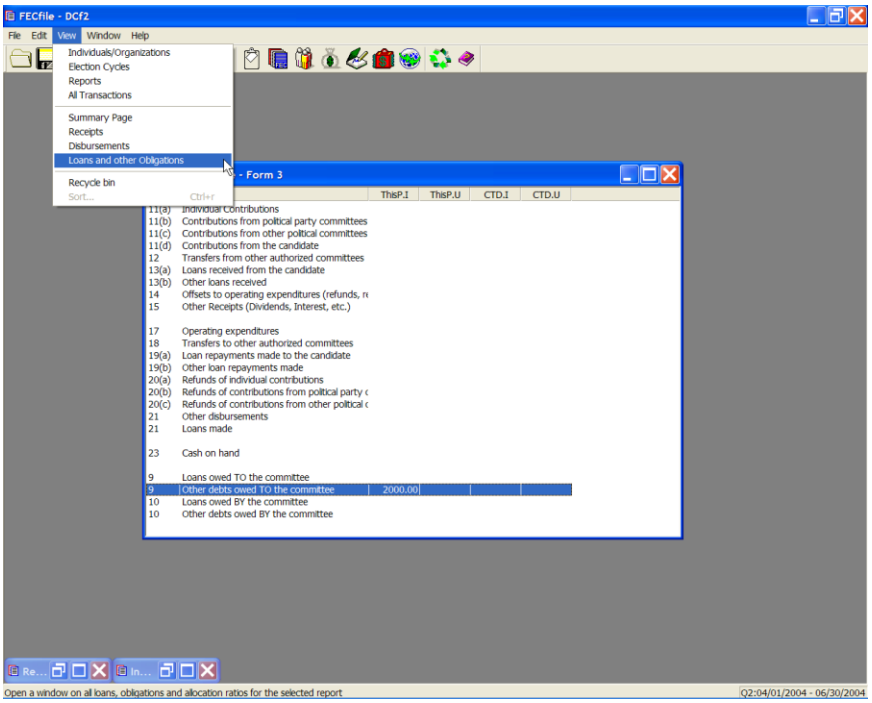



- ✓ The Individual/Organization Information dialog box appears. Under the type field, highlight Business, Financial Inst., Partnership, Indian Tribe, Other Non-federal Entity.

- ✓ Select the address field, and type in the address, city, state and zip, and click on OK.

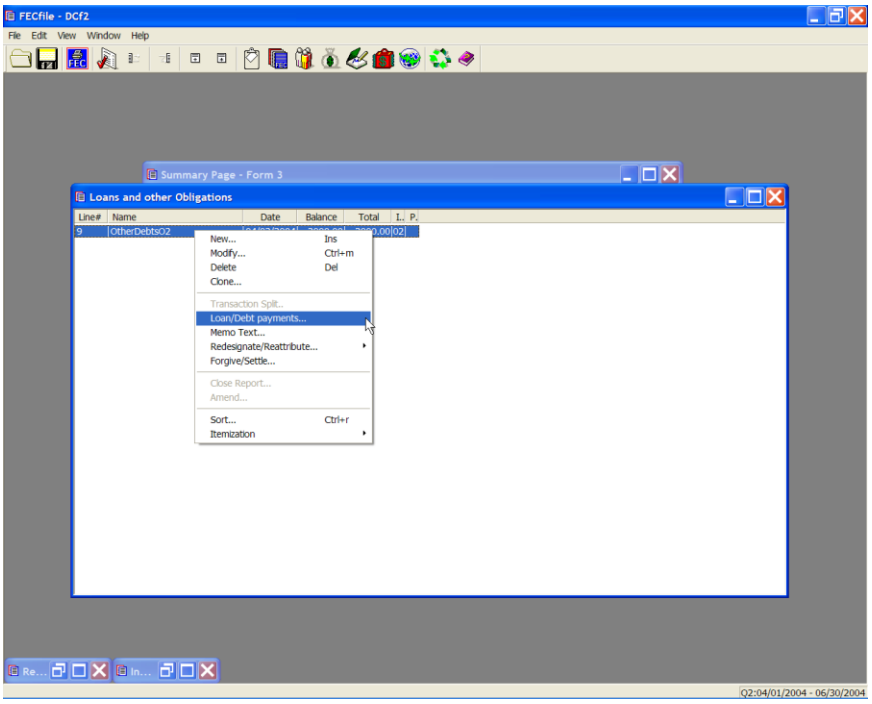



✓ The Debts owed to Committee dialog box appears. Enter in the date, amount, and the purpose of the debt, in the description text area, and click on OK. The data is accepted, and FECFile returns to the Summary page.

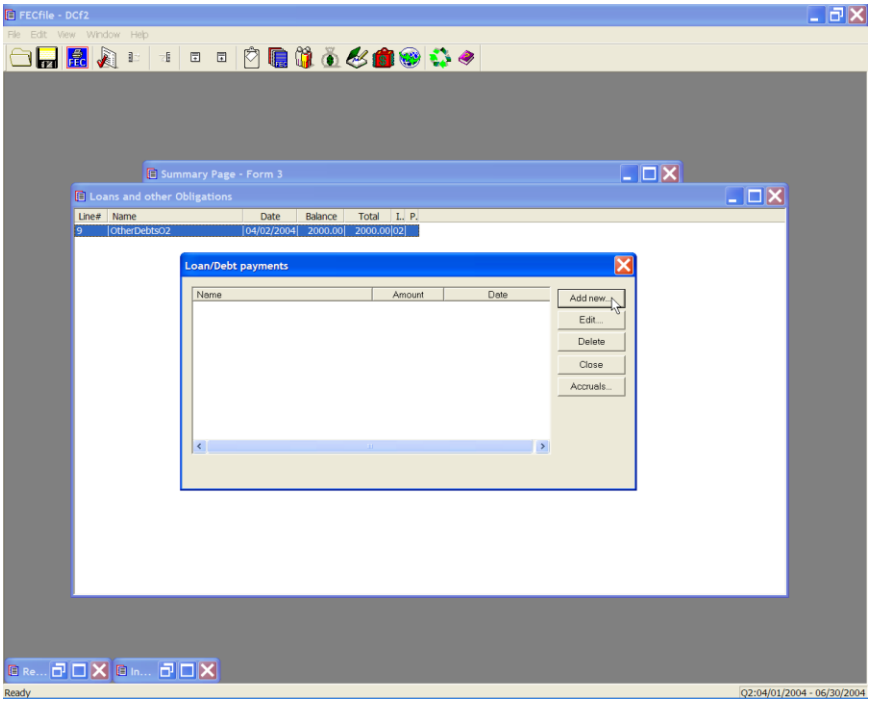



✓ Select View from the menu bar, and Loans and other Obligations. The

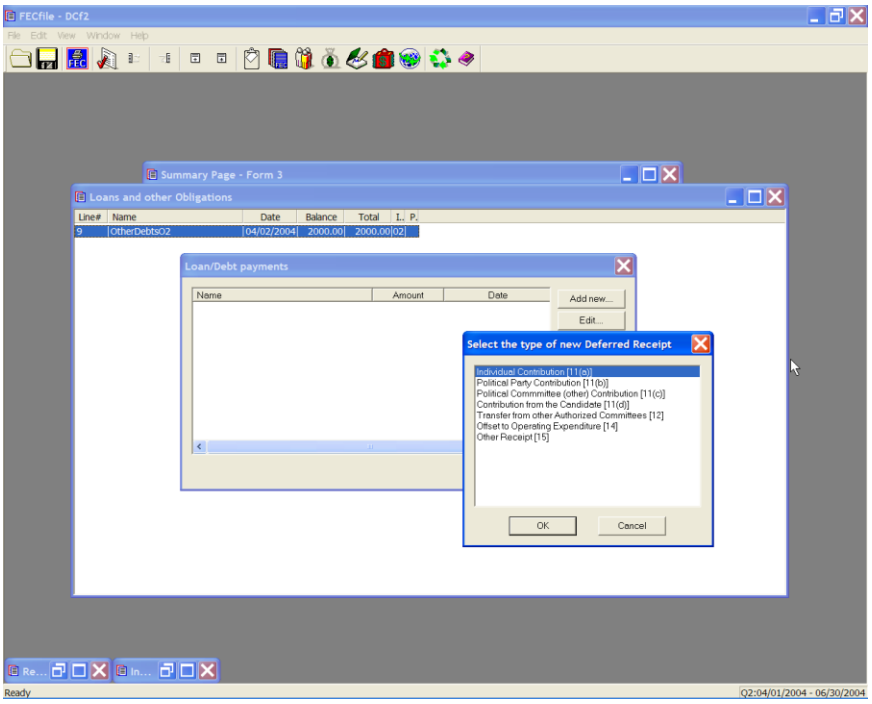
screen changes to include only Loans and other Obligations. Right click on the debt on which a repayment is being made.



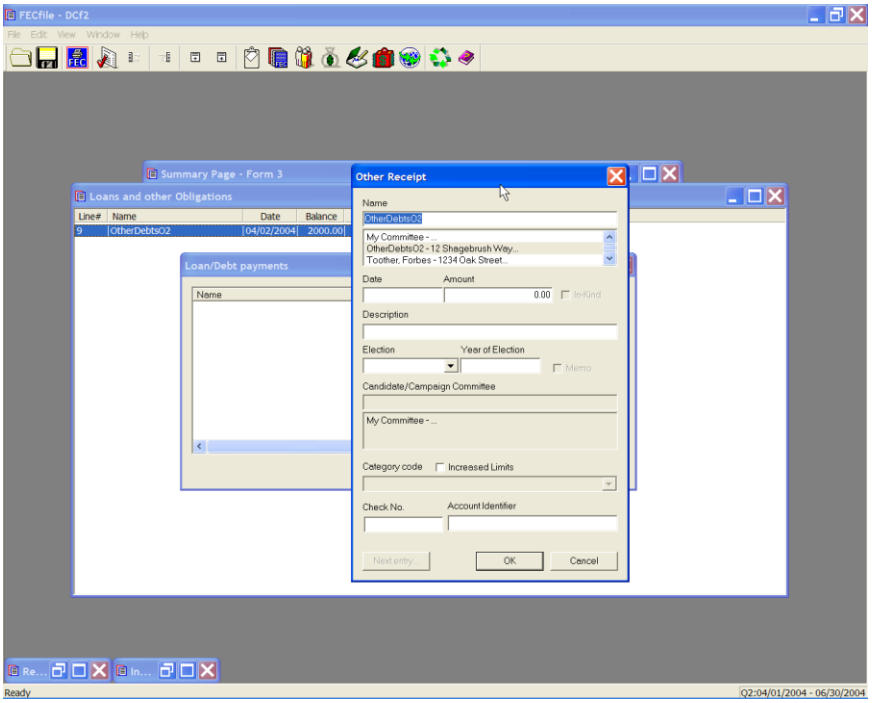

✓ The drop down menu appears with a number of options, select Loan/Debt Repayments.




✓ The Loan/Debt repayments dialog box appears. Click on the Add new button, an additional dialog box will appear for entry.



✓ The Loan Repayment made dialog box appears. Enter the name of the debtor, the date, the amount, and the purpose of the receipt, in the description, and select OK.

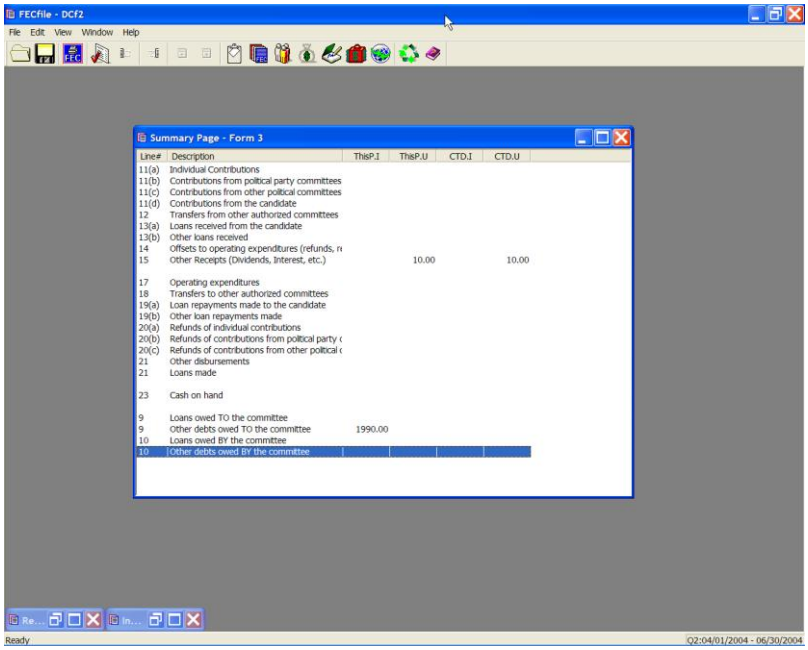



✓ The Loan/Repayment dialog box appears once again, click on close.

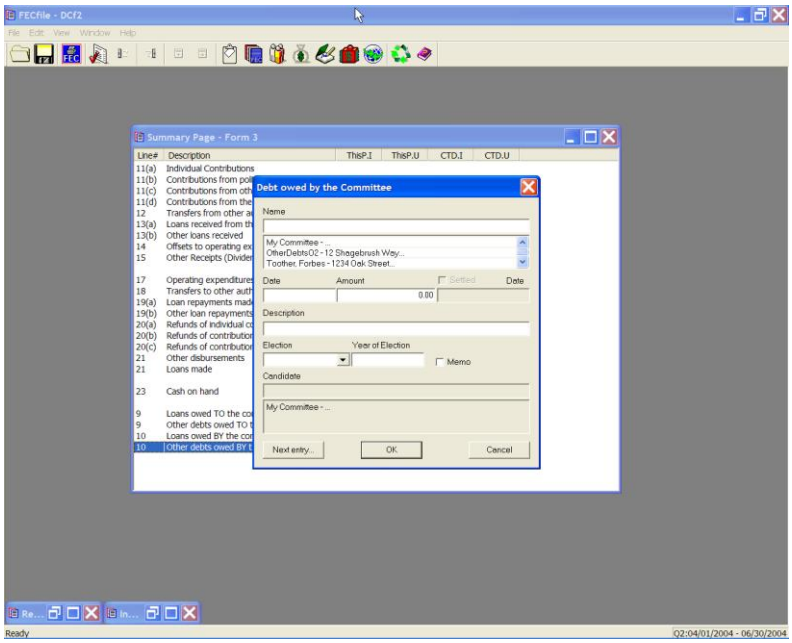
## Loans Owed BY The Committee Line 10 for F3 [ Line 12 for F3P ]

- ✓ Selecting line 10 on the Summary Sheet, is inactive, and will give the user no response. To change this amount, click on another applicable line.

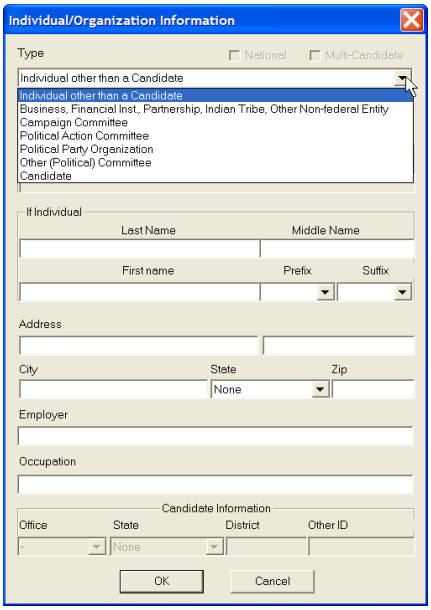
## Other Debts Owed BY The Committee Line 10 for F3 [ Line 12 for F3P ]



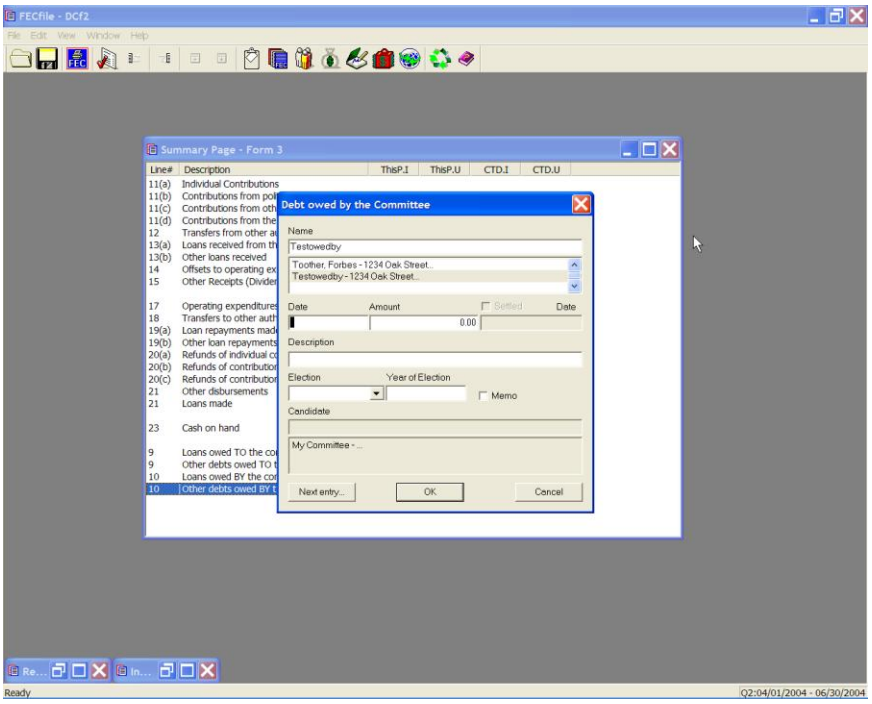

- ✓ To add a new debt owed by the committee, double click on Other debts owed BY the committee, on line 10/12. A dialog box appears, Debts owed by Committee.



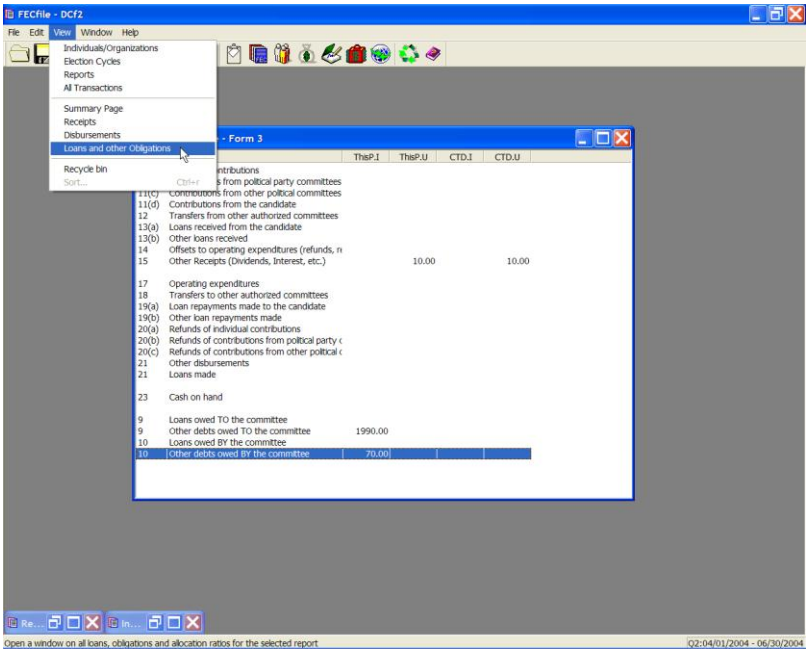
✓ Select the name field, and enter the name of the vendor, and press the Tab key. The Individual/Organization dialog box appears.



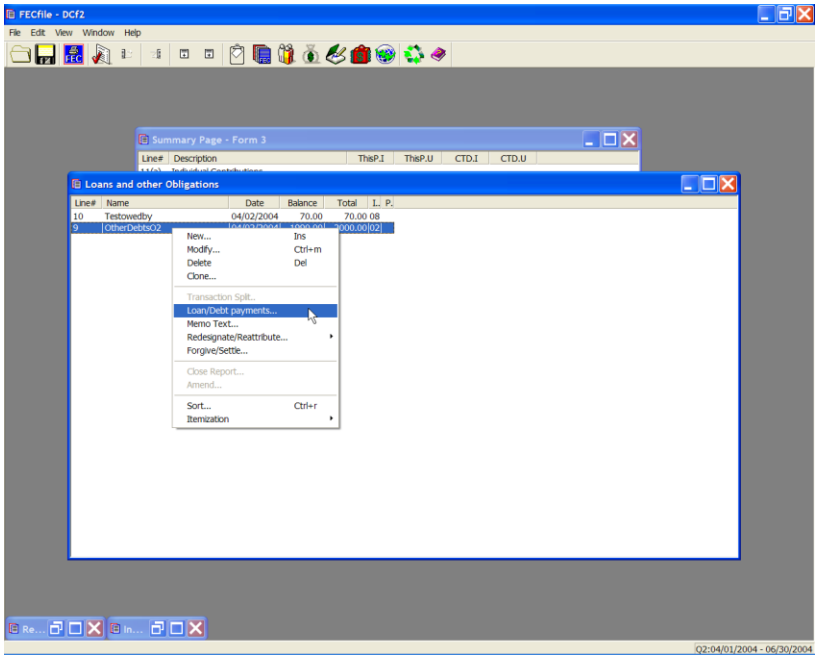

✓ In the type field, select Business, Financial Inst., Partnership, Indian Tribe, Other non-federal entity. Select the address field, and enter the address, city, state, and zip, and select OK.



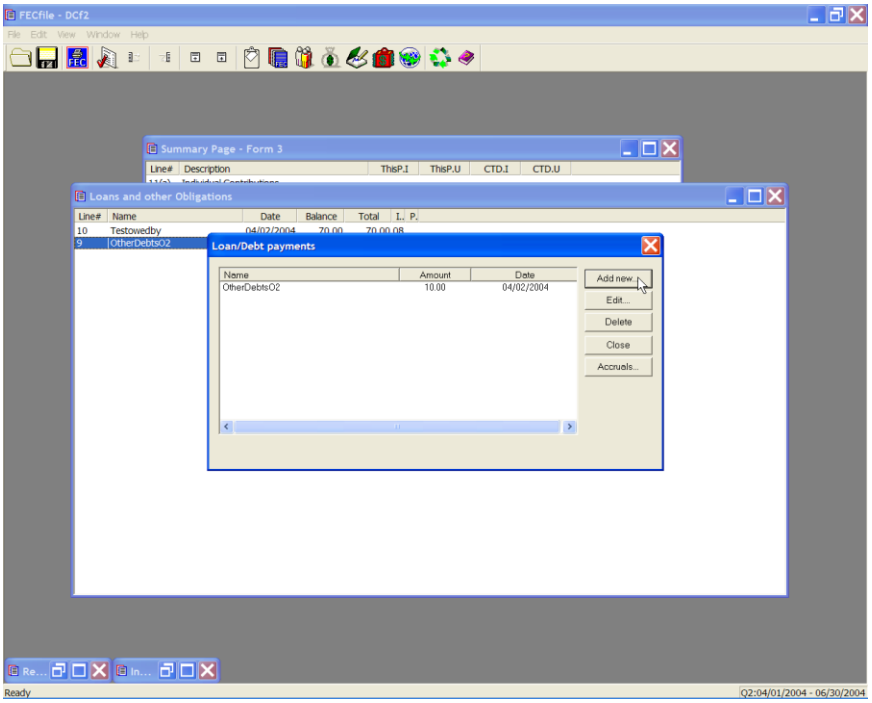
✓ The Debts owed by Committee dialog box appears. Enter in the date, the amount, and the purpose of the debt, in the description field. Click on OK.



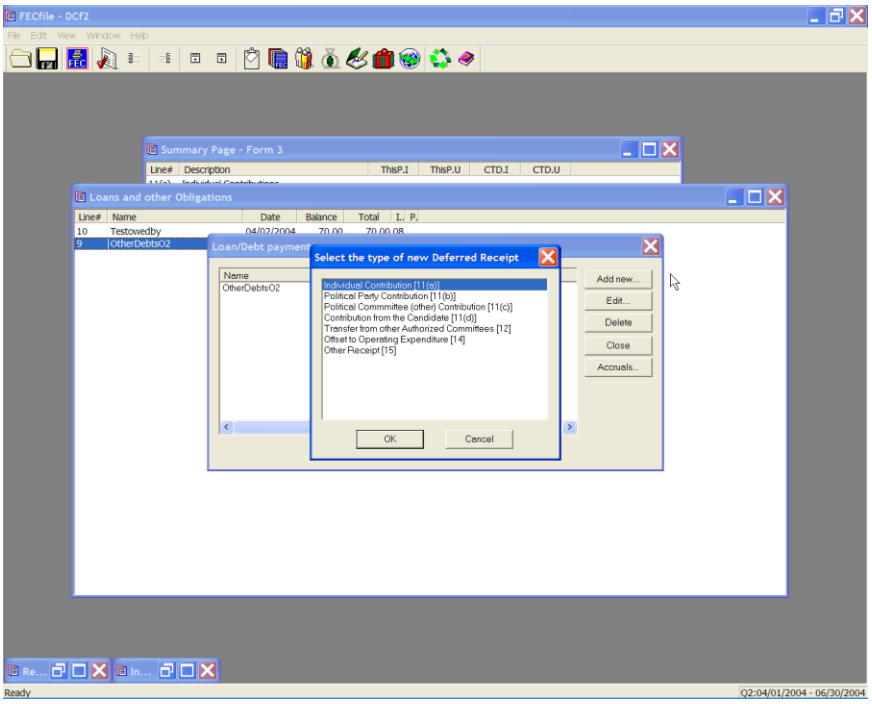

✓ The application returns to the FECFile Summary page. To add debt repayments, select View from the menu bar, and select Loans and other Obligations. The screen changes to reflect the Loans and other Obligations screen.



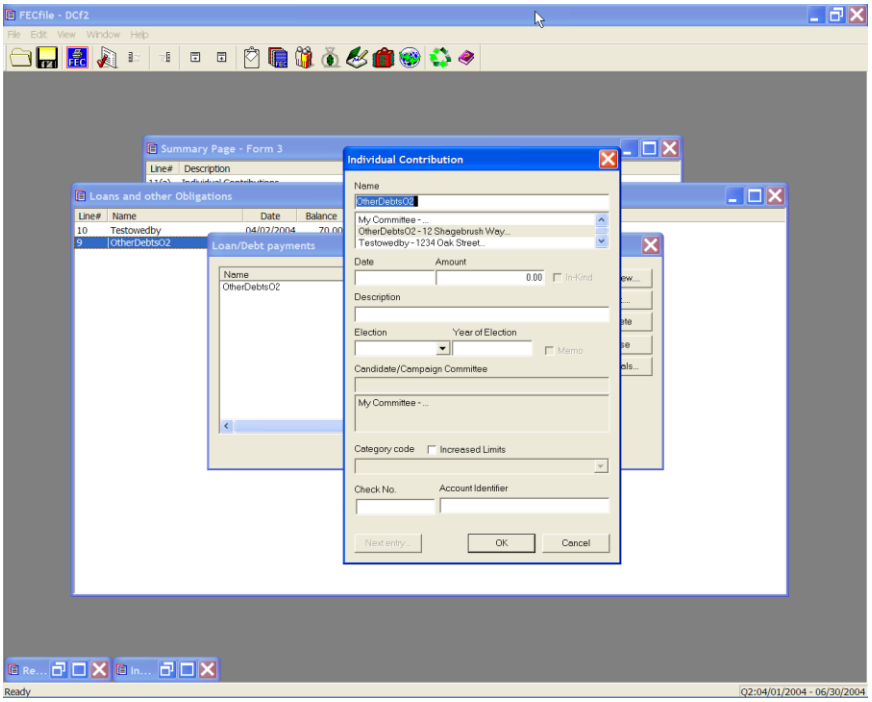
✓ Right click on the debt on which a repayment is being made, and a drop down menu will appear.




✓ Select Loan/Debt payments. The Loan/Debt payments dialog box will appear.

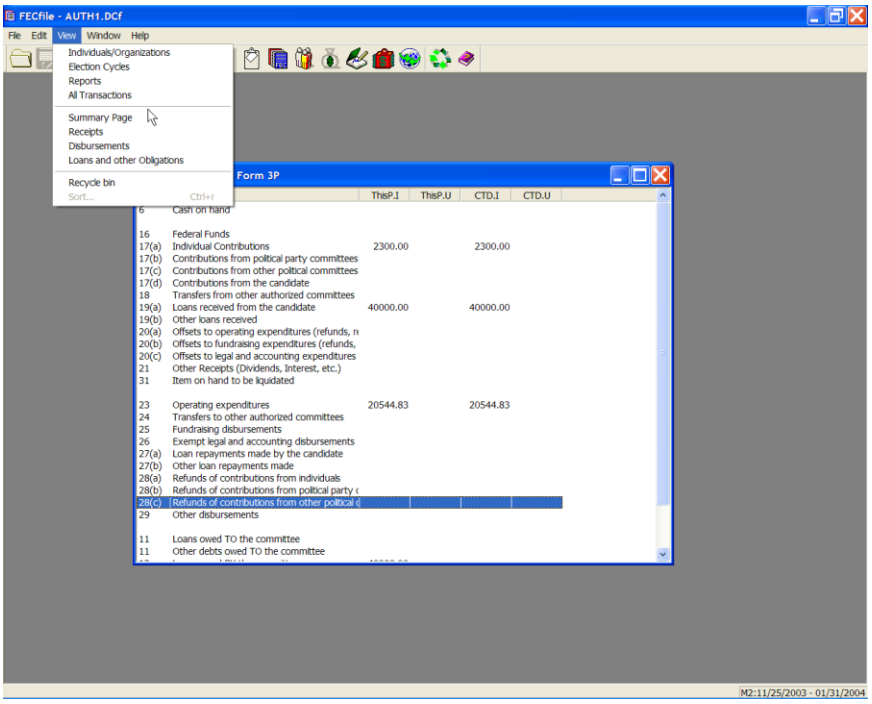


- ✓ Click on Add new, and the New Deferred Disbursement made dialog box will appear. Select the type of new Deferred Disbursement and select OK. The corresponding dialog box will appear. Enter the name of the vendor, the date, the amount, and the purpose of the disbursement, in the description text box.

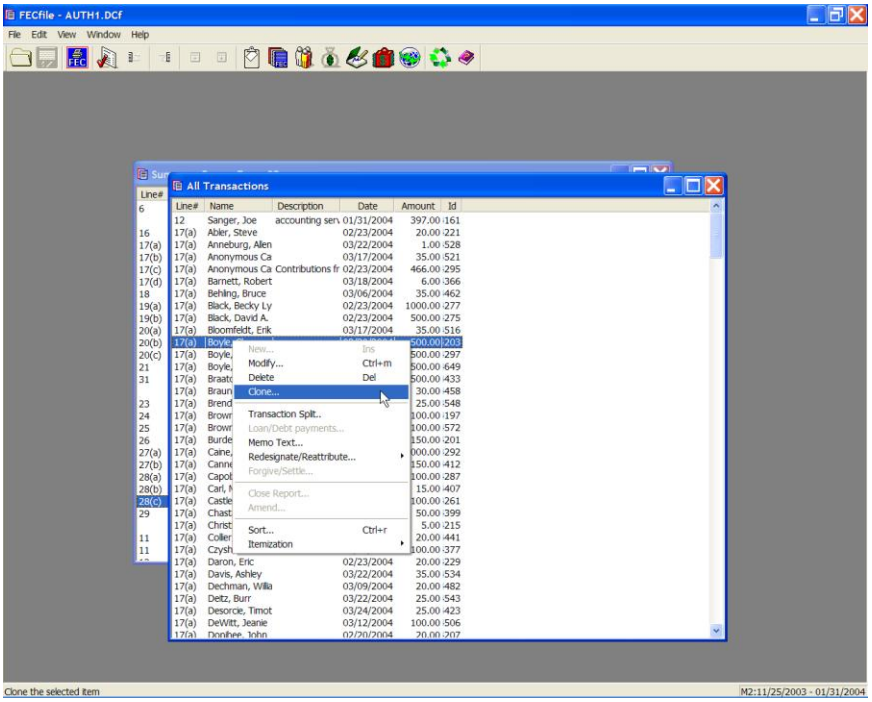



- ✓ Click on OK. The Loan/Debt payments dialog box appears, and click on Close.

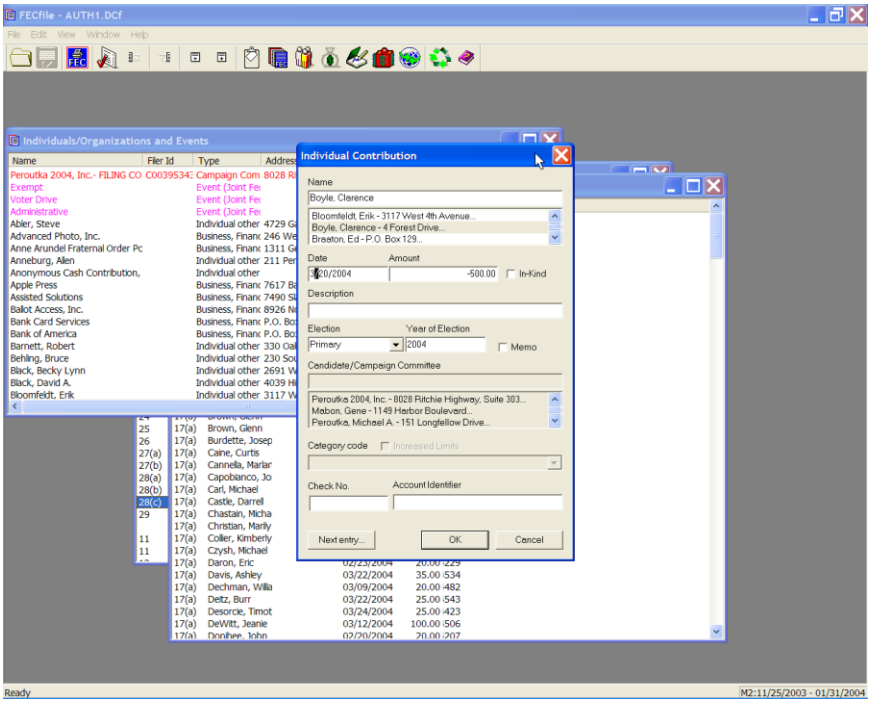
## Lost and Voided Checks




✓ From the FECFile main menu, select View, and All Transactions.

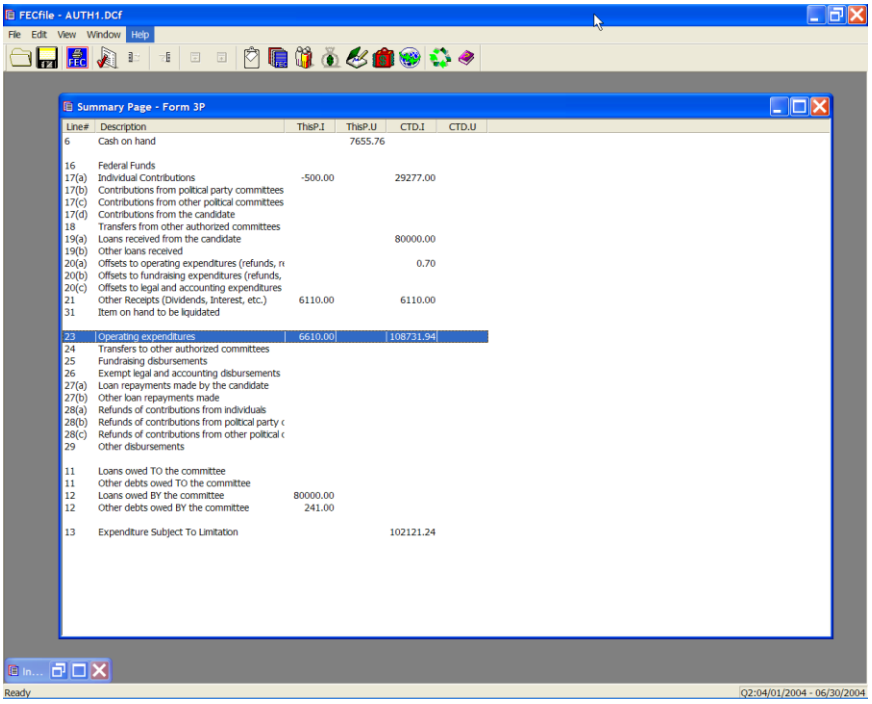


✓ Right click on the appropriate transaction, and the drop down menu appears. Select Clone.

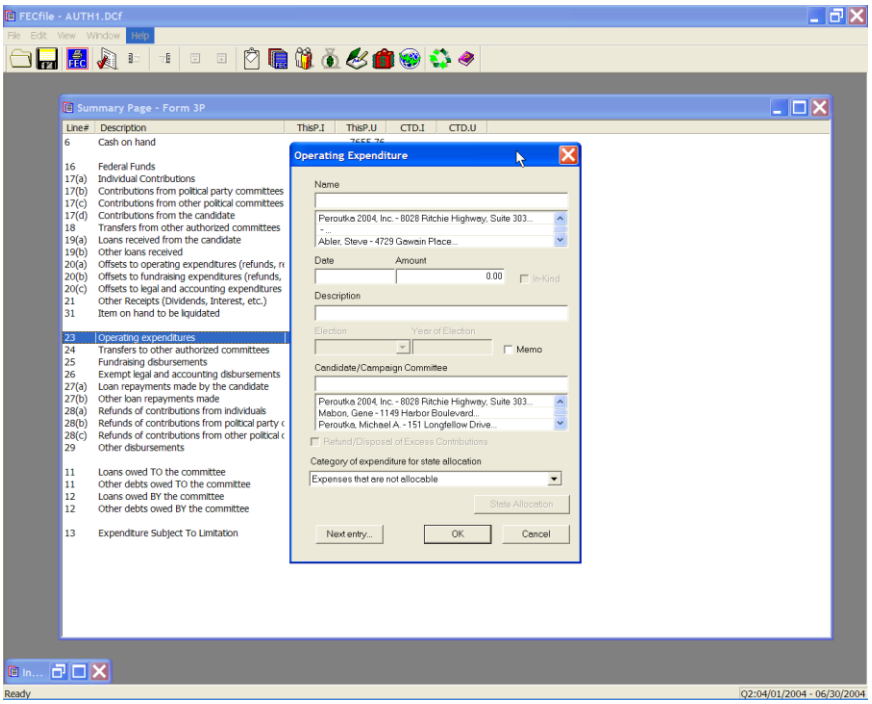



✓ As the dialog box appears, insert the date of the record to the “void” or “stop payment” date, insert a negative sign in front of the amount, and in the description field, type in voided check. Click on OK.

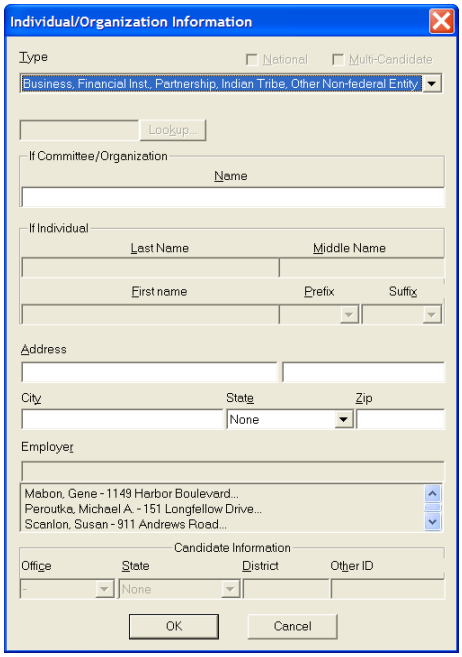
## In-Kind Disbursement/Contribution
## (You provide/disburse In-kind to others)



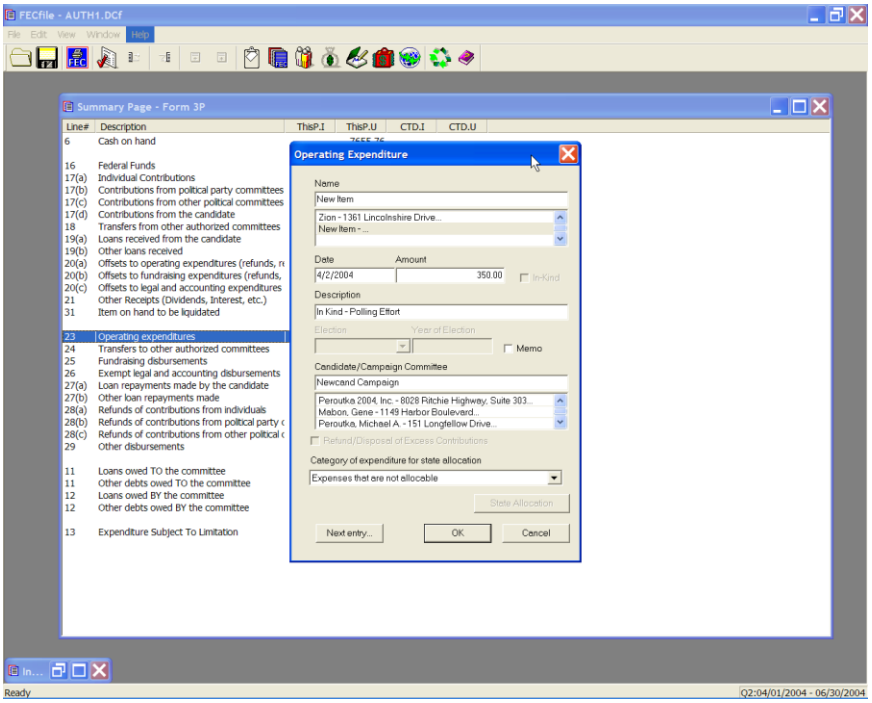

1. From the FECFile summary sheet, double click on line 17/23 for F3P (Presidential shown in this transaction set for comparision).



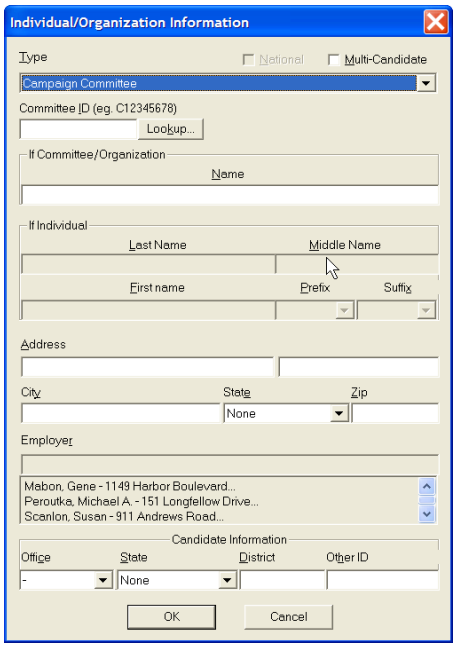
✓ The Contribution to Federal Candidate/Political Committee dialog box appears. Type in the name of the vendor, and press the Tab key.



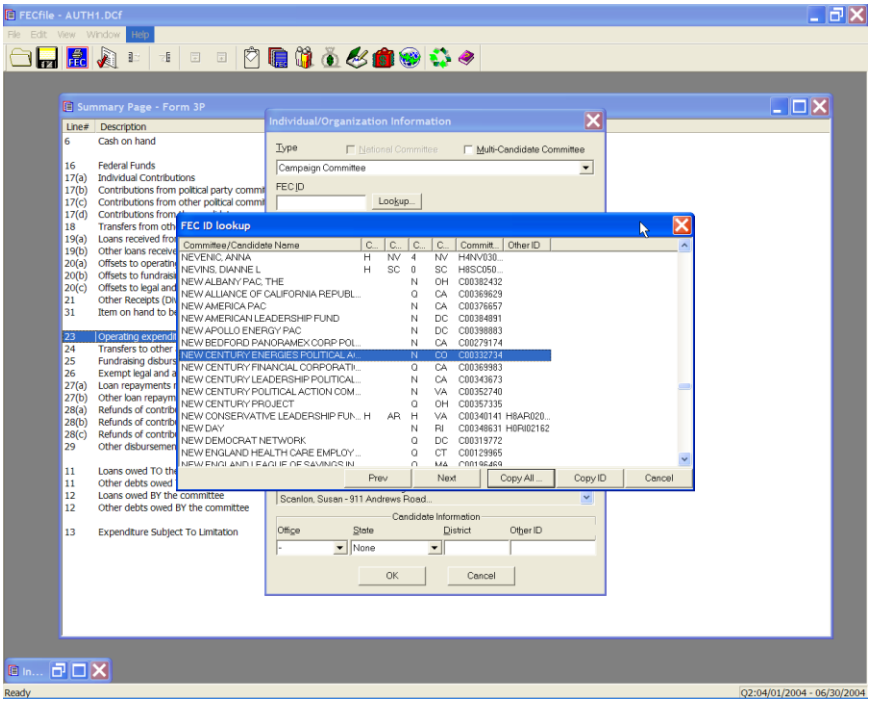

✓ The Individual/Organization Information dialog box appears. In the type field, select Business, Financial Inst., Union, Nonfederal Entity, <u>and select OK.</u>



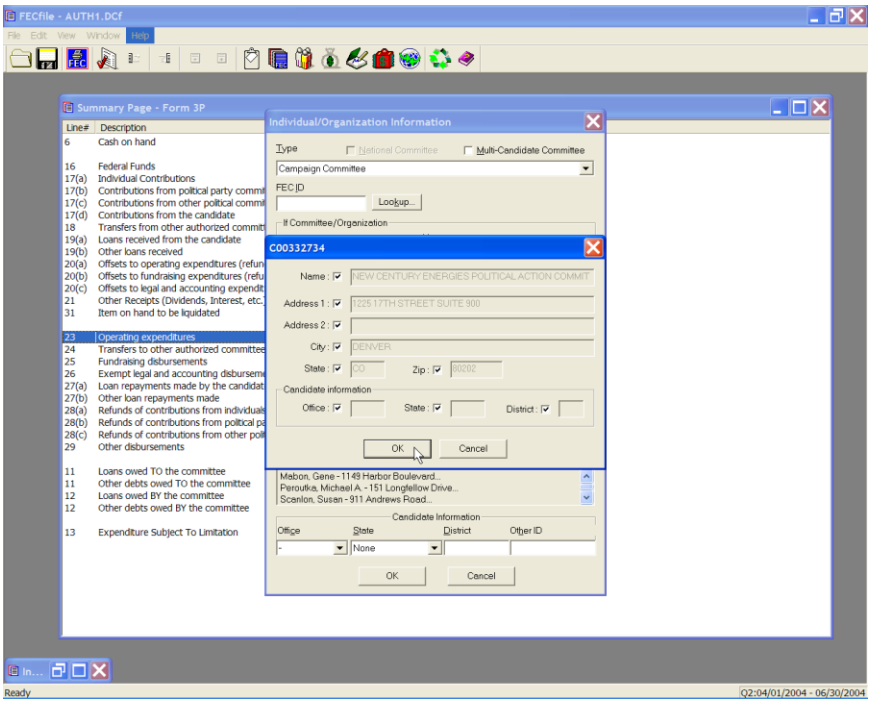

✓ The Contribution to Federal Candidate/Political Committee dialog box appears. Enter in the date, amount, and in the description field, enter “In-kind”, and any additional information, such as office supplies. Enter in the election and the year of the election, along with the candidate name and press the TAB key.



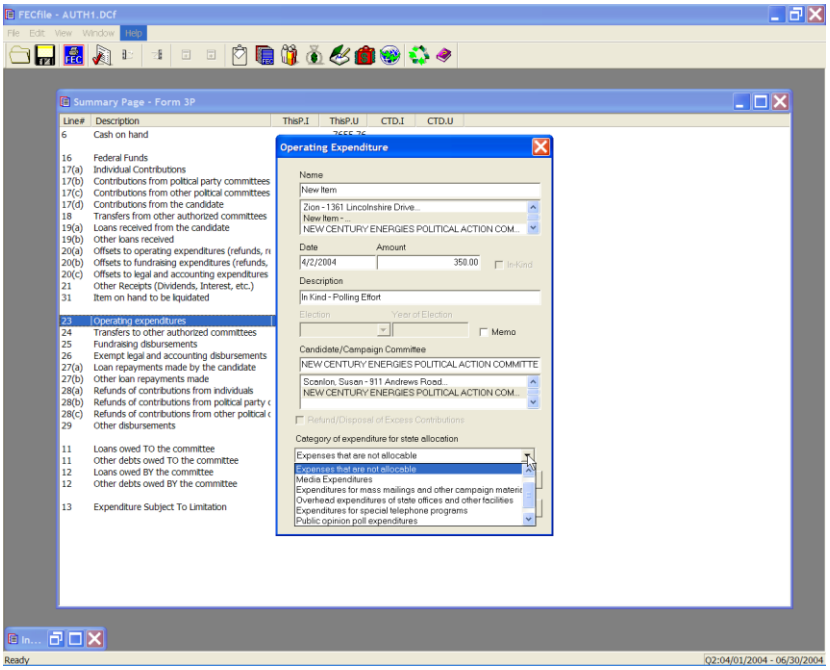
✓ The Individual/Organization Information dialog box appears. Enter in the candidate name in the type field, and click on the Lookup button.



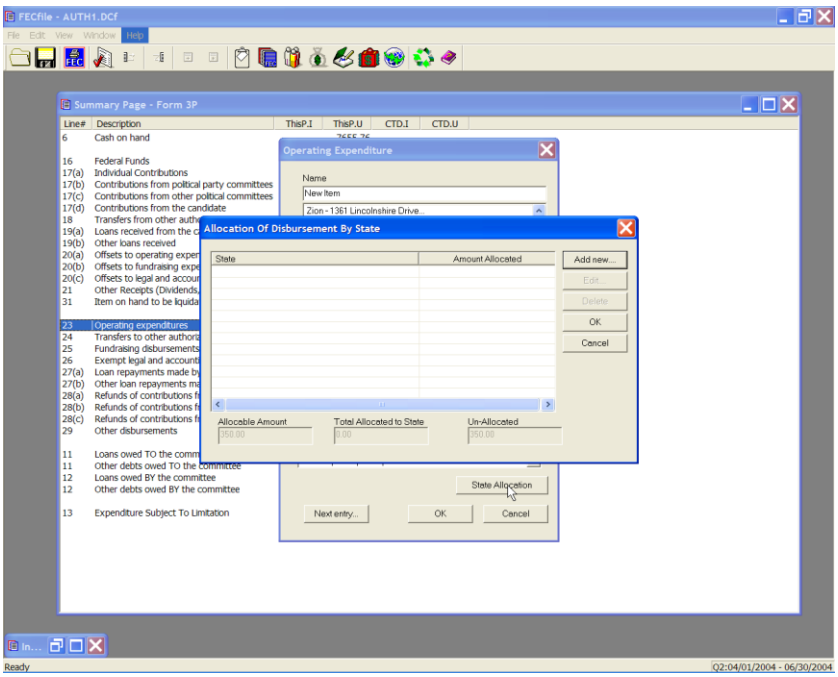

✓ The FEC ID lookup dialog box appears. Select the proper ID, and the select Copy All.



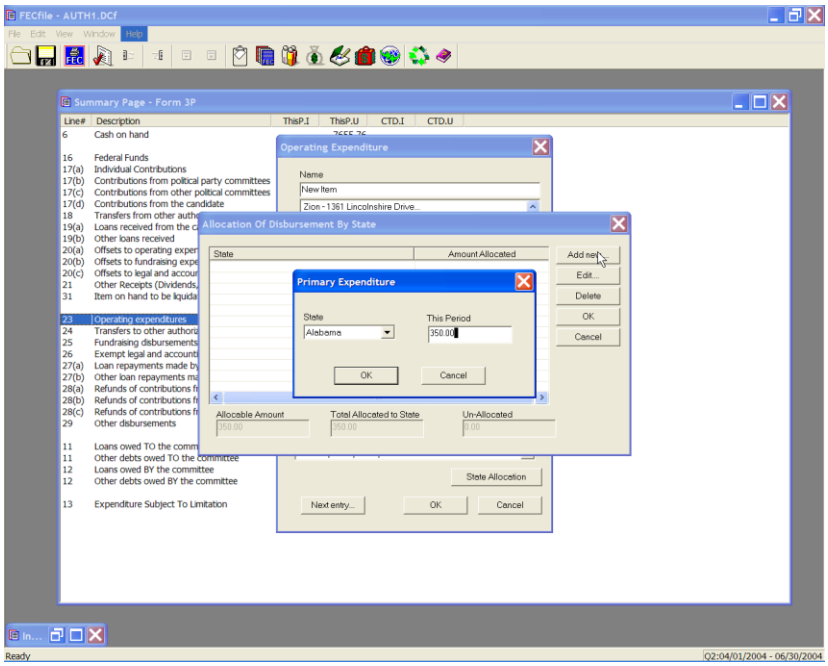
✓ The candidate ID information appears, select OK. Then select OK, as the dialog box returns to the Individual/Organization Information dialog box.



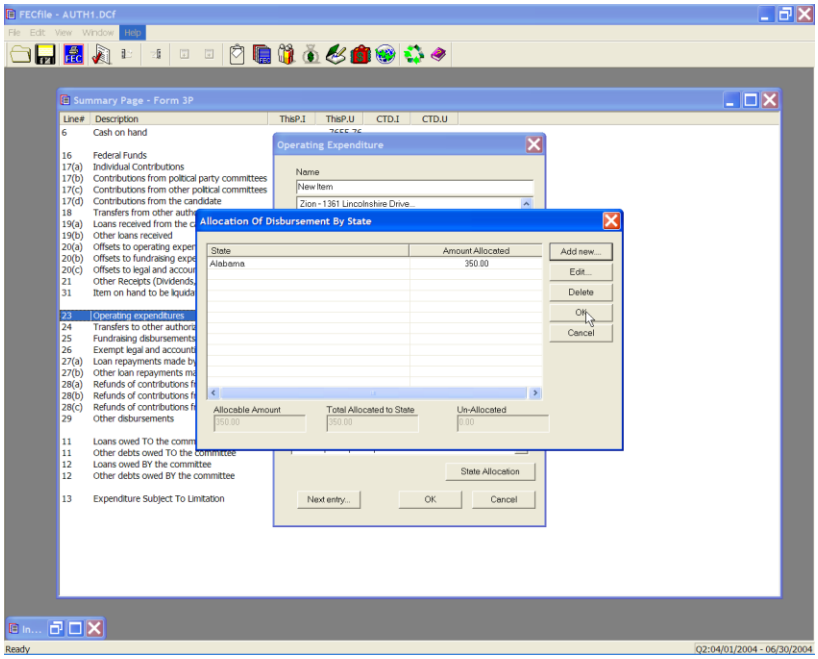

✓ IF State allocations need to be recorded, Select the drop down list of "Category of expenditure for state allocation" and pick the appropriate category.



✓ The Allocation of Disbursement by state dialog box appears. Click on “Add New” button.



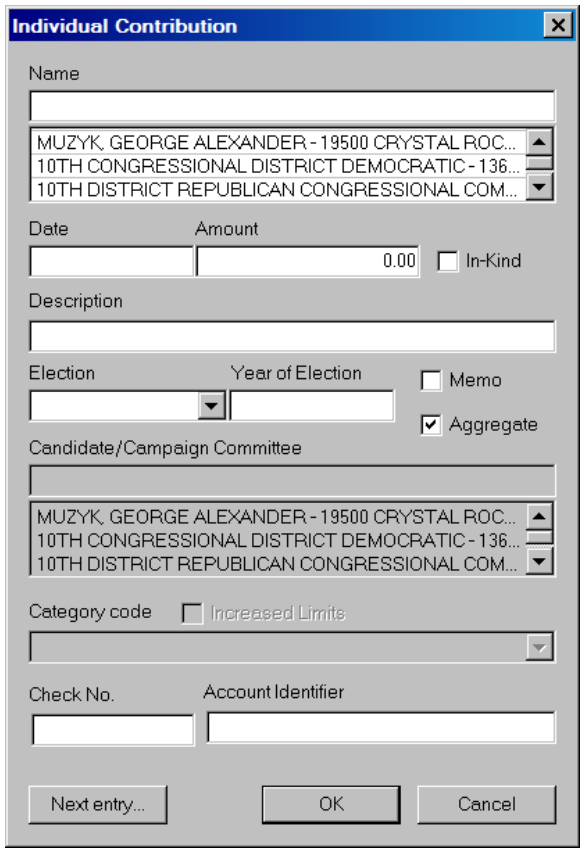

✓ Enter one or more allocation transactions to allocate the amount. Select state, enter amount, Click OK.



- ✓ Repeat until allocations entry is complete. Click on OK to return to Operating expenditure dialog box, and once more to complete.

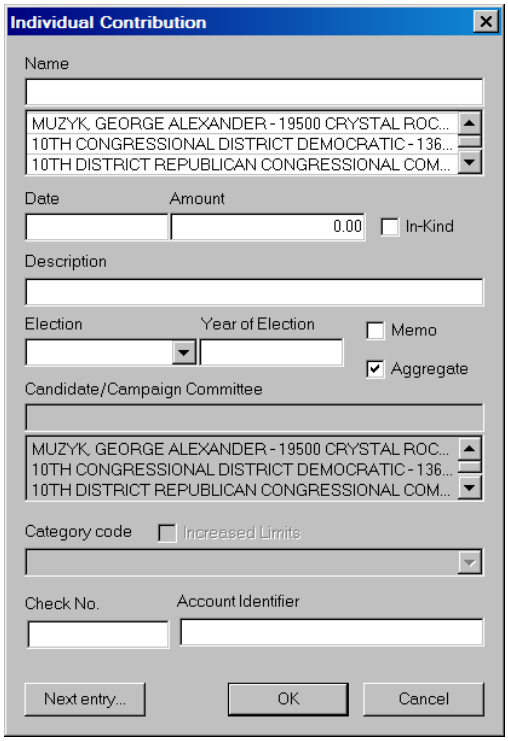
## In-Kind Receipts (You receive In-kind from others)

- ✓ Double click on the appropriate line, 11(a), 11(b), 11(c), 11(d) for F3 [17(a), 17(b), 17(c), 17(d) for F3P ].
- ✓ Enter in the contributor's name, and press the Tab key.
- ✓ Enter in the name, address, city, state and zip, and continue to add the employer occupation, and press OK.
- ✓ Enter in the date information, and the amount, and click on the In-kind check box.

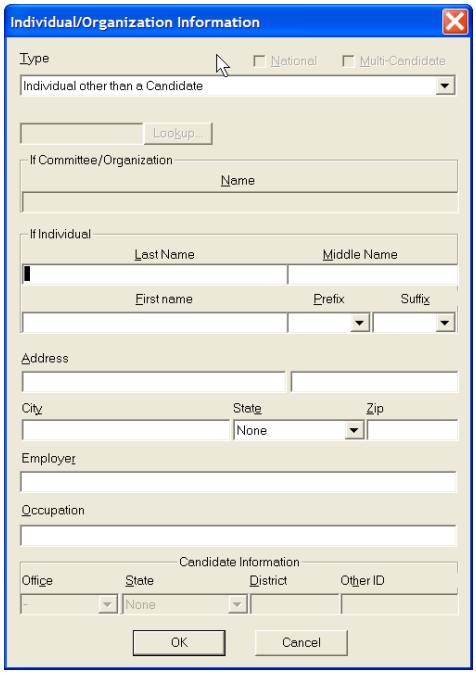



**Note: The In-kind amount is automatically entered on line 17 (b) to avoid inflating receipt totals.**

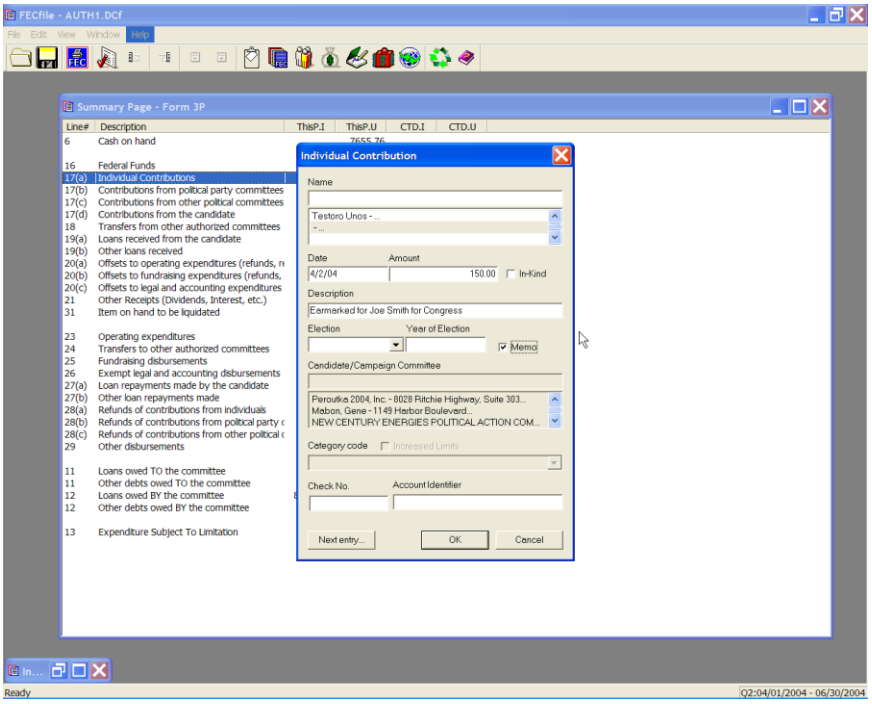
## Earmarked Contributions Reported By a Recipient Committee




✓ On the FECFile Summary Page, double click on line 11(a)/17(a) to launch the Individual Contribution dialog box. Enter the individual's name and press the Tab key.



- ✓ The Individual/Organization Information dialog box appears. In the type field, change to Individuals other than a Candidate. Type in the individual's name, address, city, state and zip, (if over $200.00 in the cycle), employer, occupation, and select OK.




- ✓ The Individual contribution dialog box appears. Enter in the date, amount, and enter the Campaign Committee designated by the contributor as the recipient in the Description text area. For example, "Earmarked to Joe Smith for Congress".

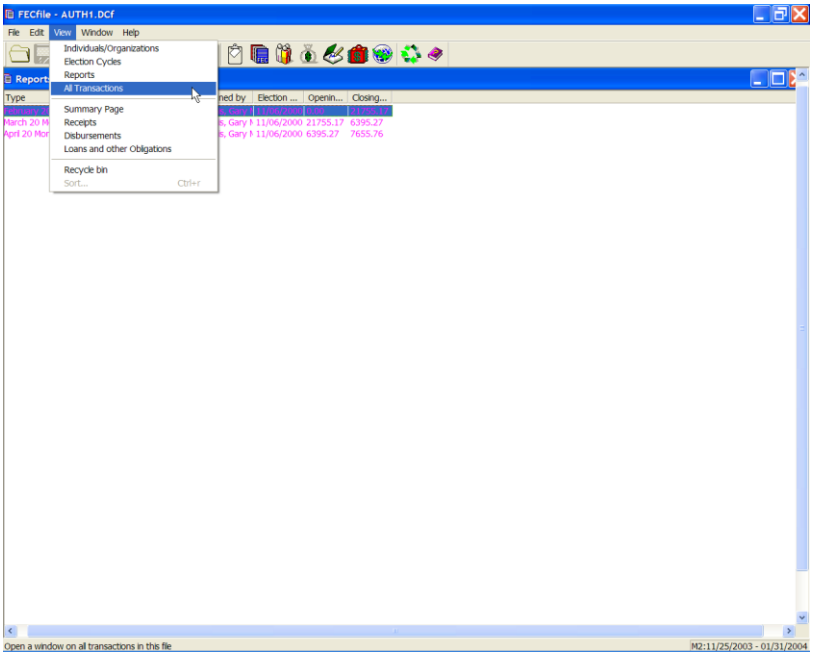
**NOTE: The description field may once accept 38 characters. Additionally, if the contribution was not deposited in the conduit's bank account, CHECK THE MEMO CHECKBOX.**

- ✓ Click on OK.

- ✓ Enter a contribution (individual, PAC, etc. ) as you would a standard contribution, but in the description field enter in "earmarked - (conduit name".

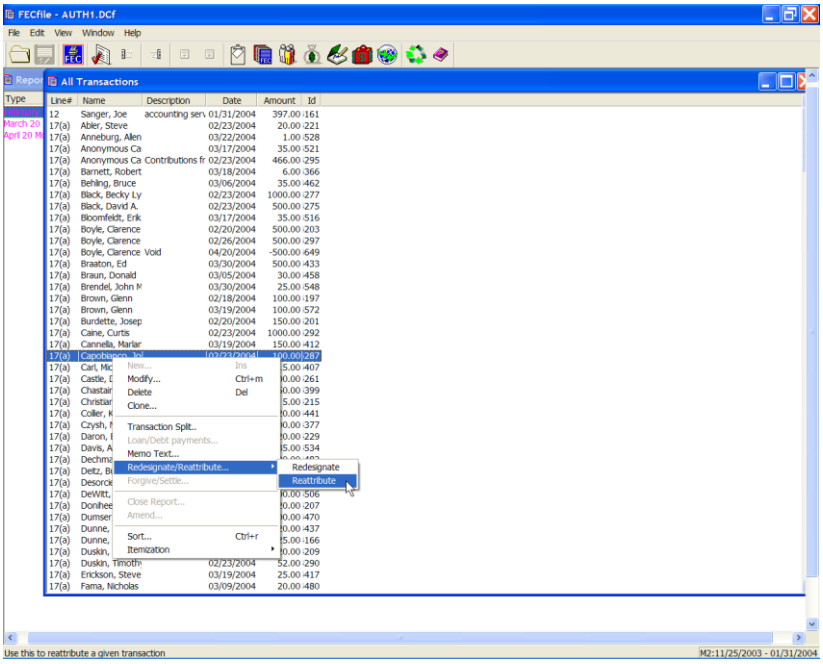
- ✓ Right click contribution and select “transaction splits”.
- ✓ Click on “add new”.
- ✓ Enter information for conduit committee, name, date, amount, election etc., and in the description field enter “Conduit – earmarked contributions”.
- ✓ Click OK.

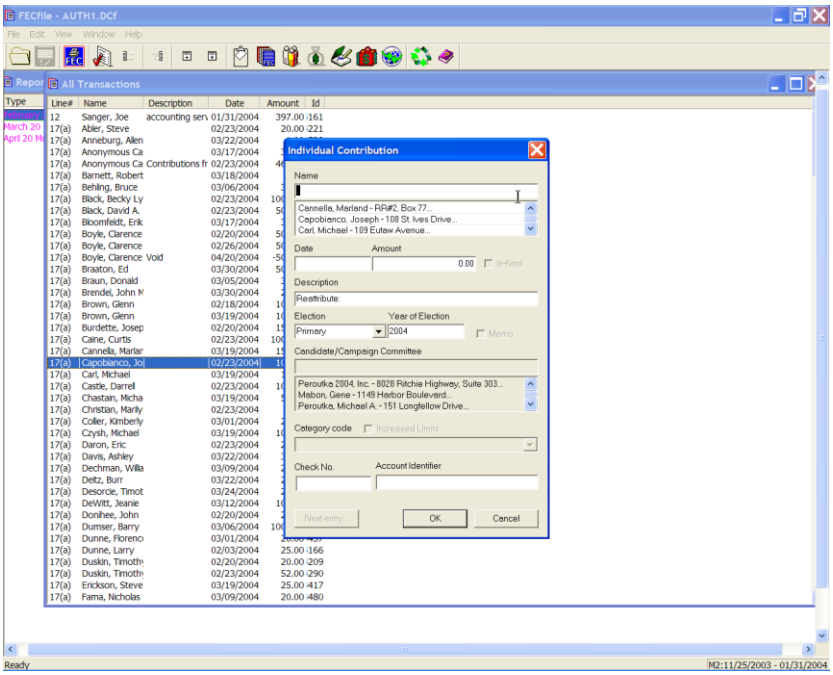
## Reattribution Involving Two Reporting Periods



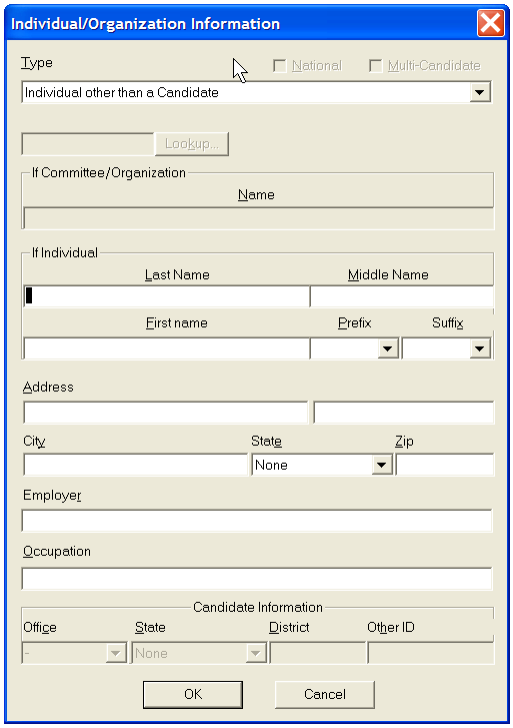

- ✓ From the FECFile main menu, select View, and then All Transactions, from the drop down menu.

- ✓ Select the transaction to be reattributed and right click on it. A drop down menu will appear, select redesignate/reattribute, and then drag over to reattribute.

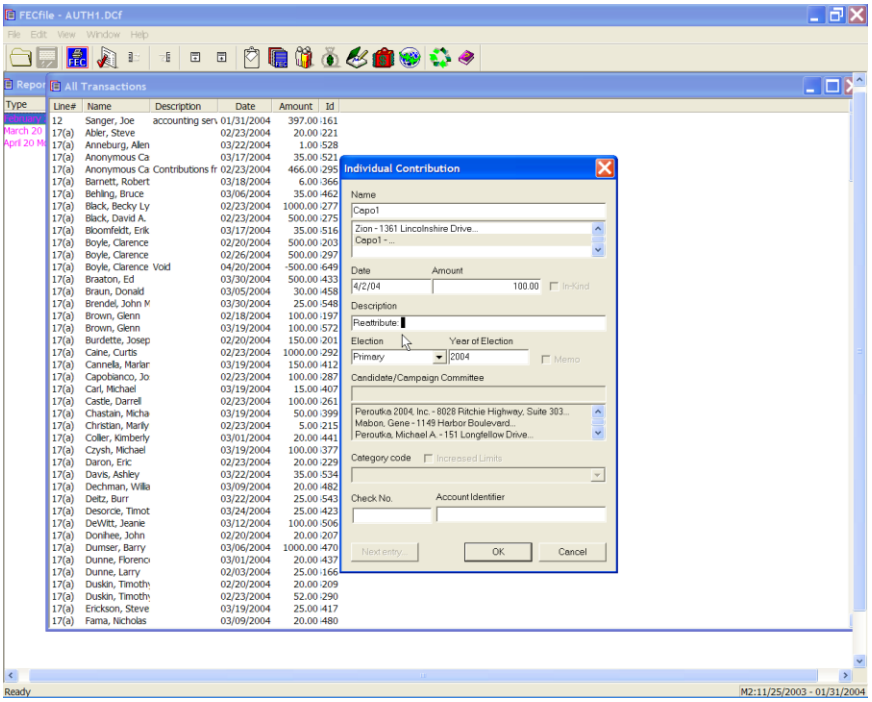



✓ The Individual Contribution dialog box will appear. Enter the name, and press the Tab key.




✓ The Individual/Organization Information dialog box appears. Type in the address, city, state and zip, in addition to the employer and occupation for the new contributor, and click on OK.



- ✓ The Individual contribution dialog box appears. Enter the date and amount, and click OK to complete the transaction.

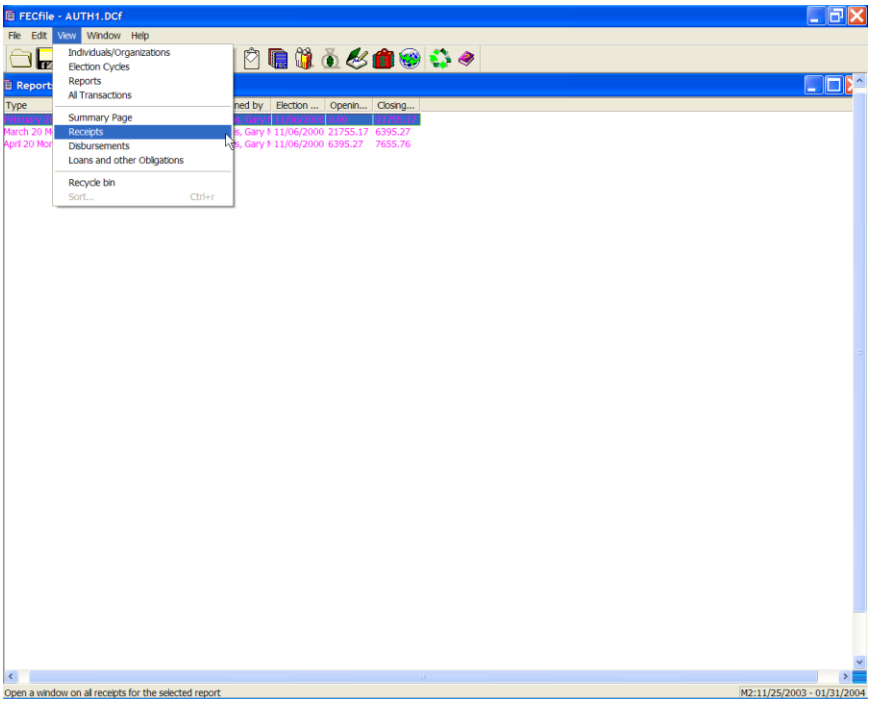
**NOTE: FECFile will automatically create two transactions, one will be a negative entry from the original contributor, and the second will be a memo entry from the new contributor.**

## Redesignation

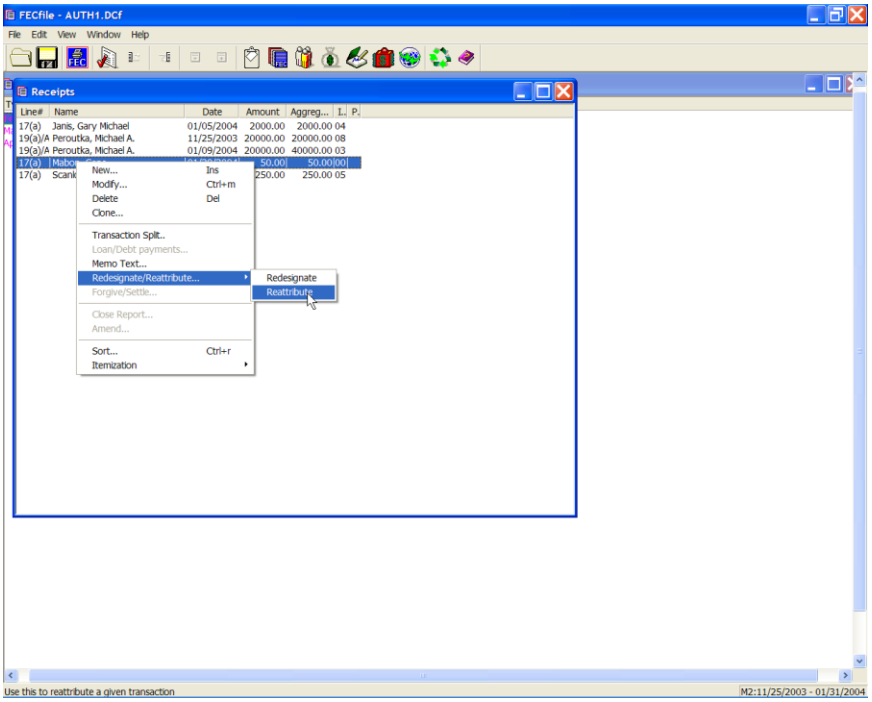
- ✓ Select contribution to be redesignated from “All Transactions” view.
- ✓ Right click contribution and select redesignate.
- ✓ Enter redesignation information including the name of the contributor, date of redesignation, amount redesignated, and election amount is being designated to.
- ✓ Click on OK.

This process is the same for redesignations in one report and between two reports. For a redesignation between two reports, three memo entries are created with this process, one showing the original contribution information, one showing a negative entry for the amount being redesignated, and one showing a positive entry with the amount being designated for a different election. For a redesignation in one report, only the second two memo entries will appear since the original contribution is on that report.

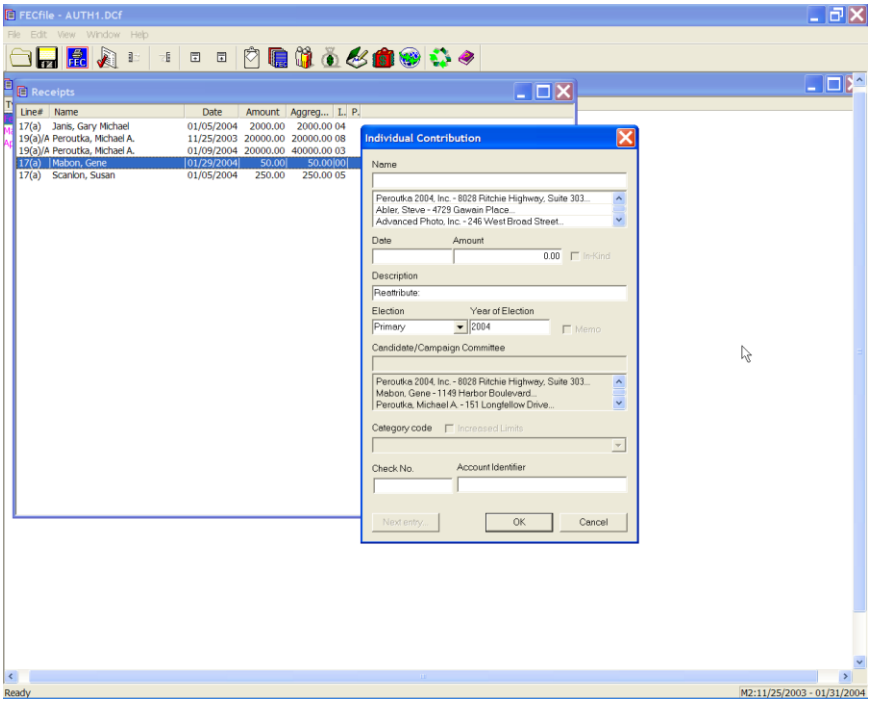
## Reattribution Involving One Reporting Period




✓ From the FECFile main menu, select View, and then select Receipts from the drop down menu.

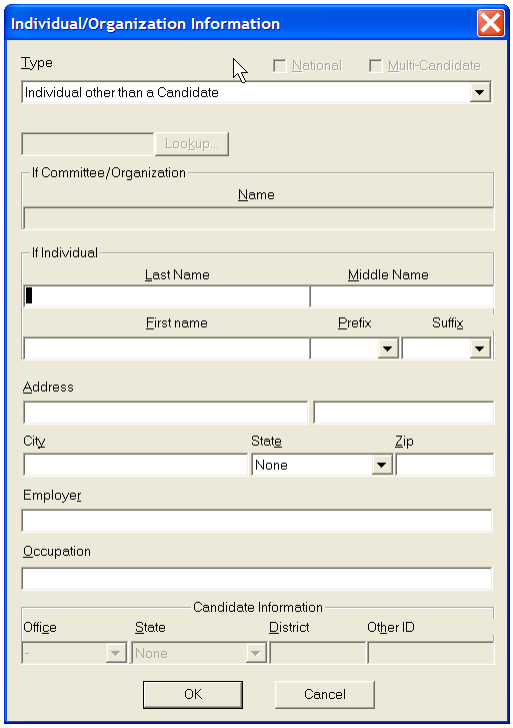


✓ The Receipts dialog box appears. Locate the transaction to be reattributed, right click on it, and select reattribute.




✓ The Individual contribution dialog box appears. Enter the name of the new contributor, and press the Tab key.

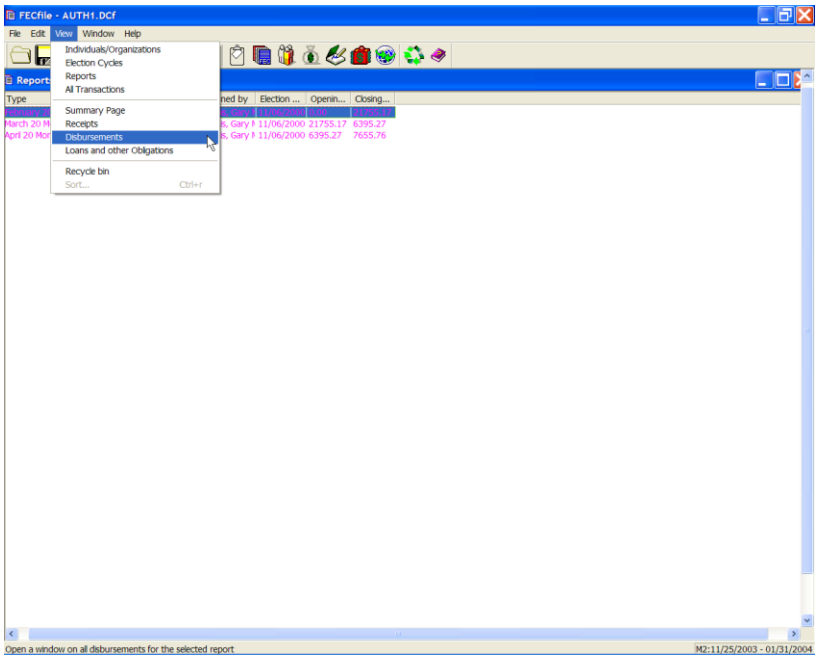
✓ The Individual/Organization Information dialog box appears. Enter in the address, city, state, zip, employer and occupation for the new contributor and select OK.



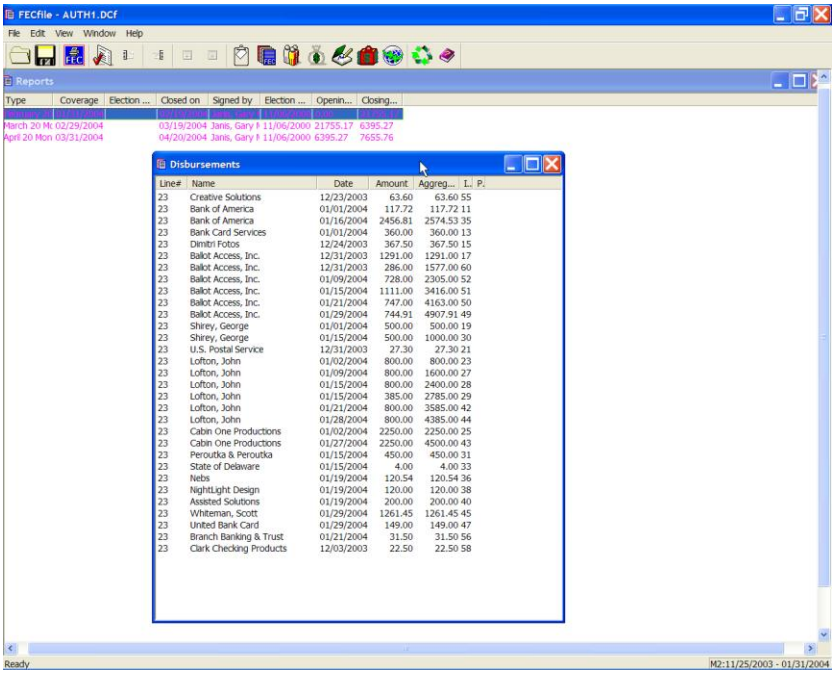

- ✓ The Individual contribution dialog box appears. Enter the date and the amount. Click on OK to complete the transaction. FECFile will automatically create two transactions, one will be a negative entry from the original contributor, and the second will be an entry from the new contributor.

- ✓ Click on the X to close the Receipts window.

## Redesignations Involving One Reporting Period




✓ From the FECFile main menu, select View from the menu bar, and select Disbursements from the drop down menu.

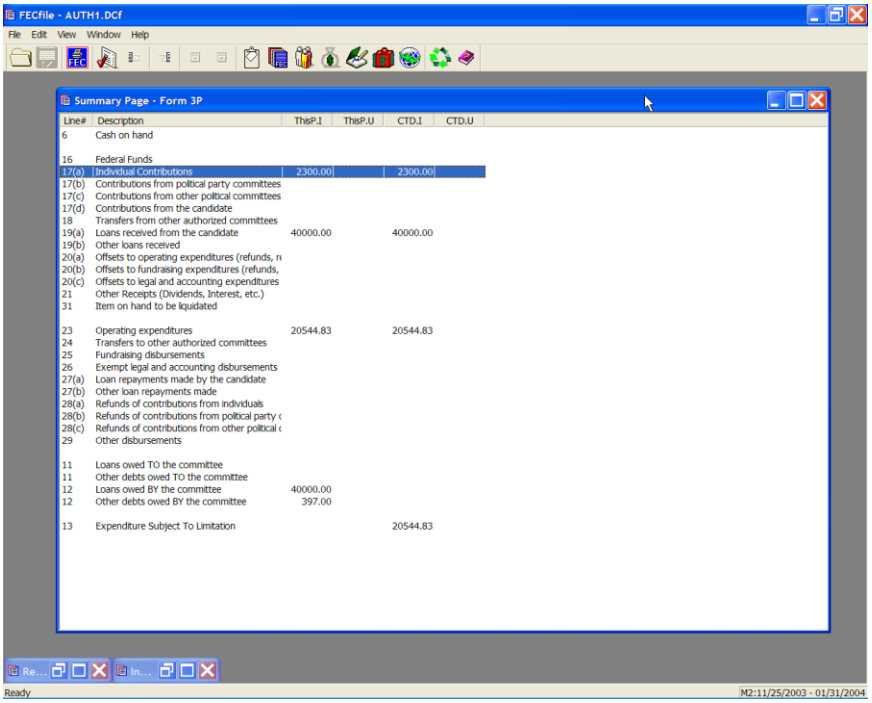


- ✓ The Disbursements dialog box appears. Select the appropriate transaction, right click on it, and select the Redesignate/Reattribute option,

- ✓ Dragging across to select redesignate.

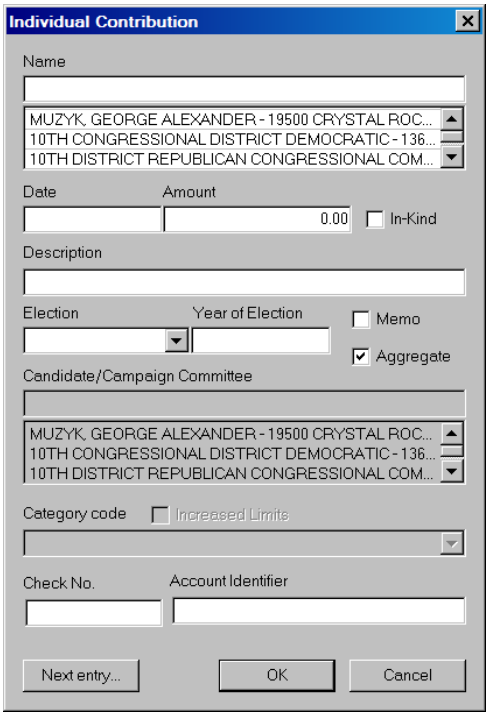
- ✓ A dialog box appears. Enter in the name, and select OK. The main Summary page will reflect the change.

## Partnership Contributions

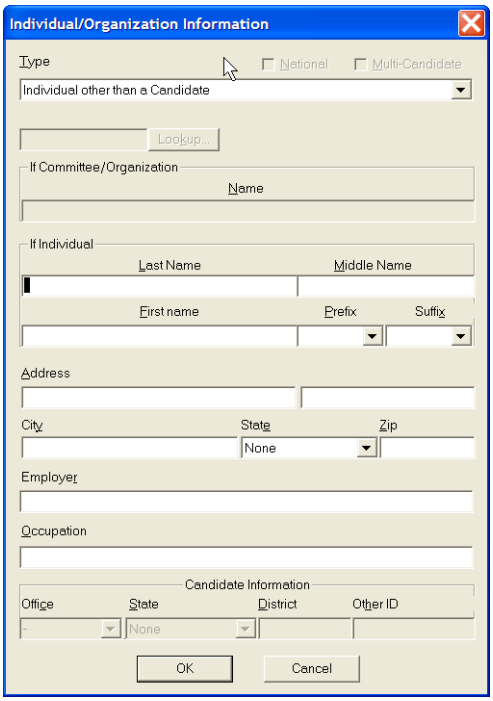



- ✓ From the FECFile Summary page, double click on line 11(a)/17(a)

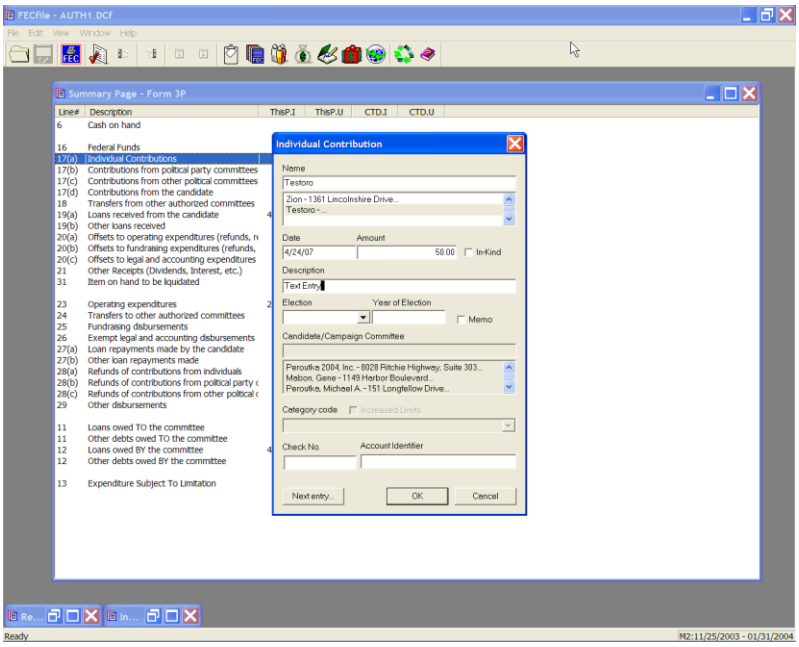
- ✓ The Individual contribution dialog box appears. Enter the partnership's name in the text field, and press the Tab key.



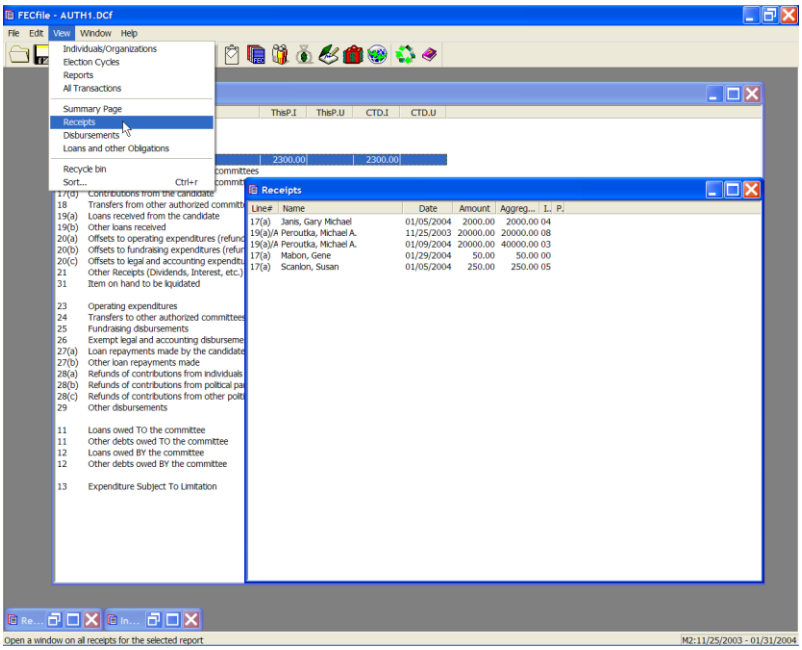

✓ The Individual/Organization Information dialog box appears. In the type field, select Business, Financial Inst., Partnership, Indian Tribes, Other non-federal entities. Type in the partner's name, address, city, state and zip and click on OK.



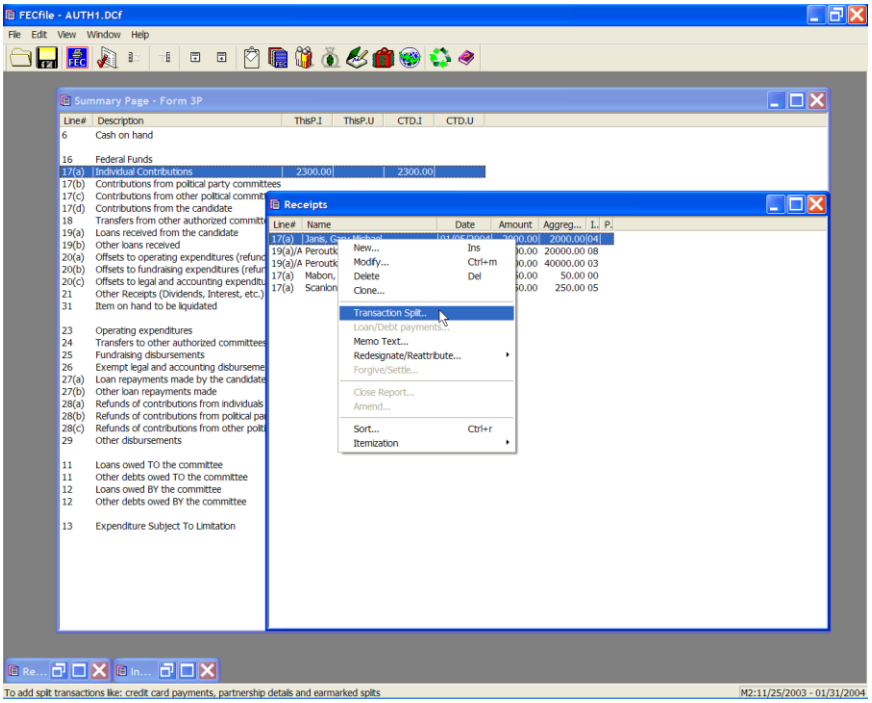
✓ The Individual contribution dialog box appears. Enter in the date, amount and enter “Partnership” in the text area for the description. Click on OK.



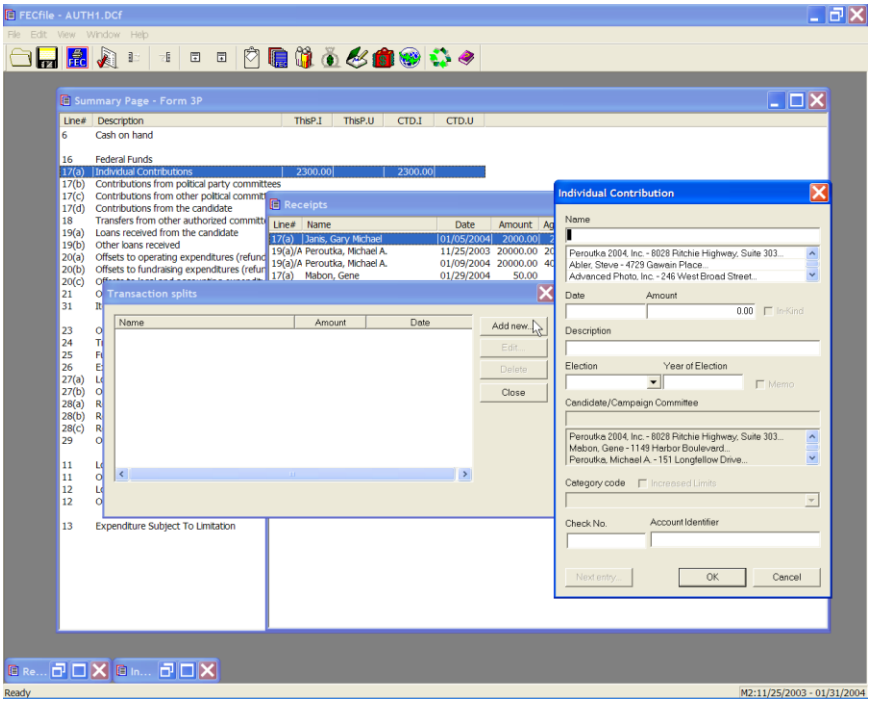

✓ Select View from the menu bar, and select Receipts. The Receipts window appears.



✓ Right click on the appropriate transaction, and select Transaction splits. The Transaction splits window appears.



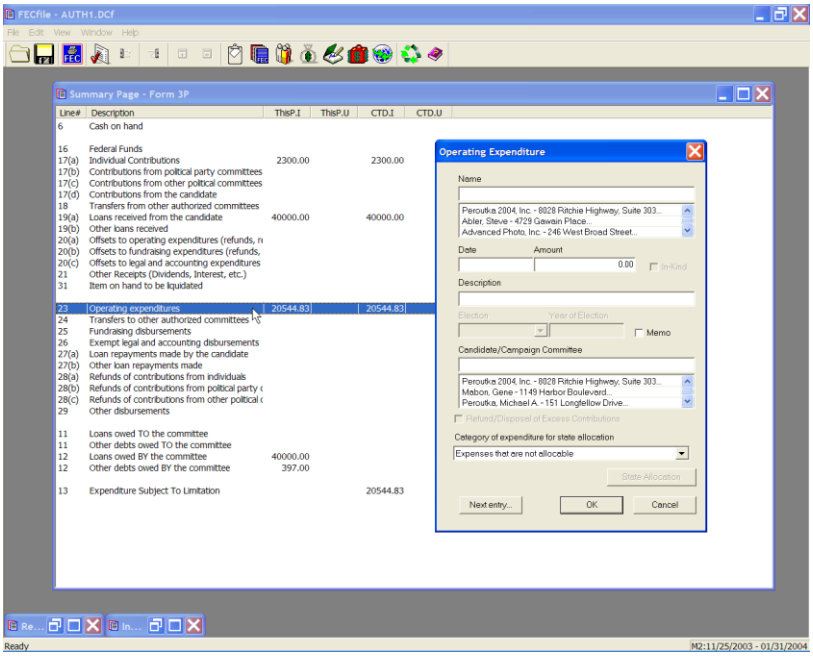

✓ Click on Add new, and enter the individual information.



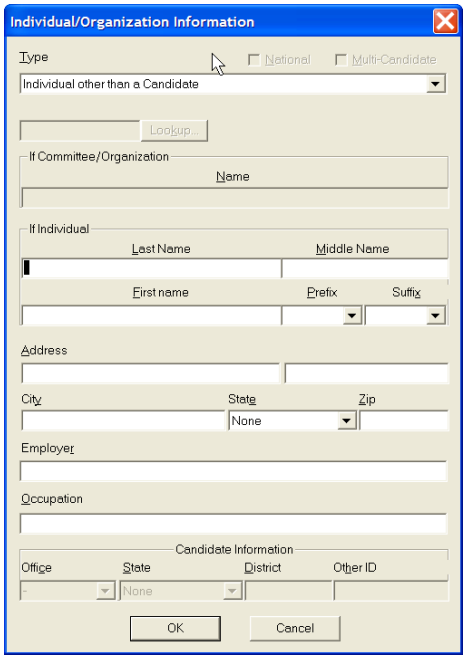
- ✓ Repeat entering additional information as required. Each entry is added to the Transaction Split Screen. When done adding, Click on close.

## Debt Retirement

✓ From the FECFile Summary page, double click on line 17/23.

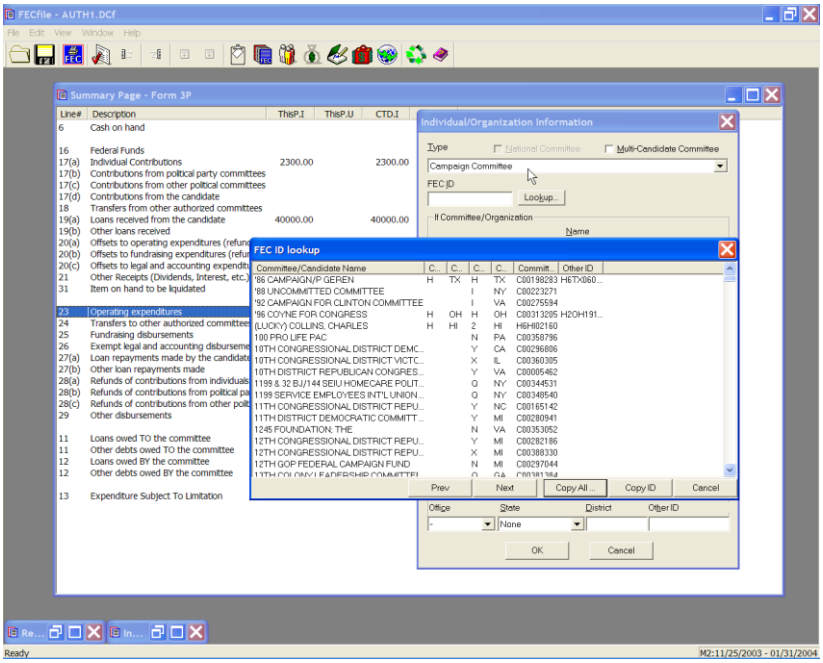


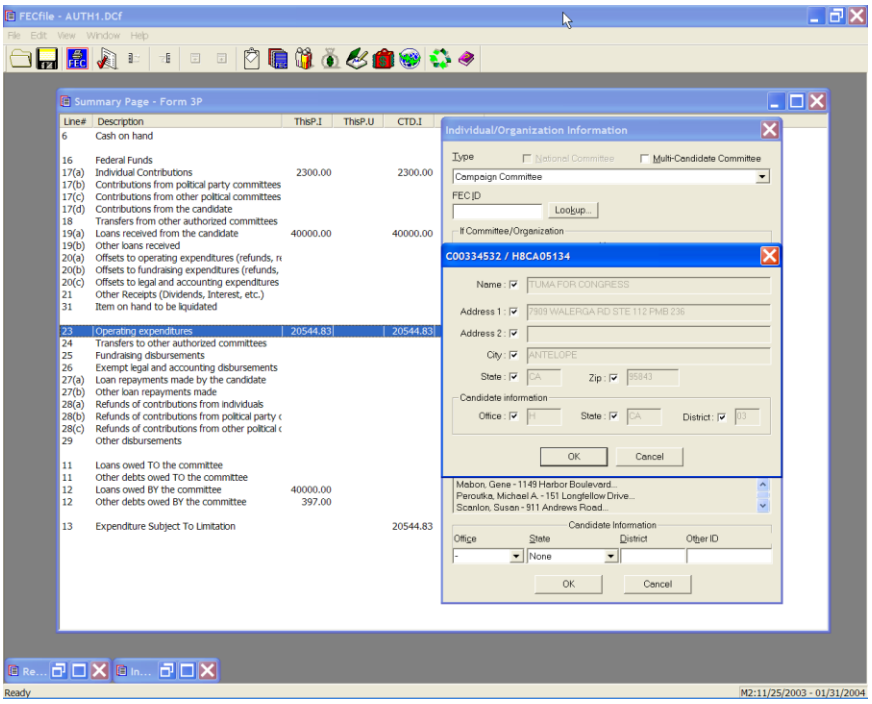

✓ The Contribution to Federal Candidate/Political Committee dialog box appears. Enter the name of the committee, and press the Tab key.



✓ The Individual/Organization Information dialog box appears. In the Type field, select Campaign Committee, and select the Lookup button.

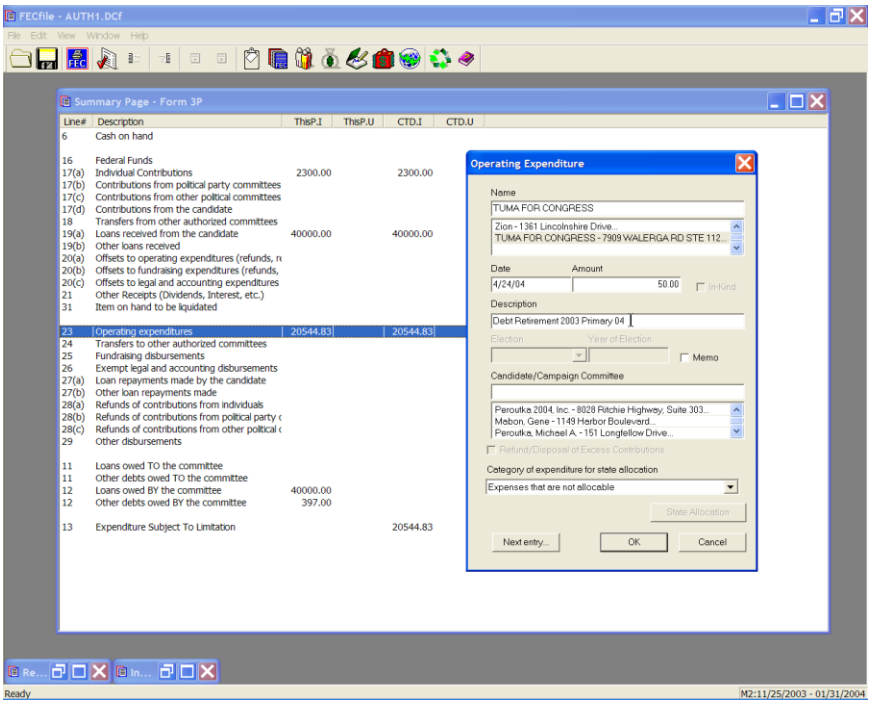
✓



- ✓ The FEC ID dialog box appears. Select the Candidate Committee, and select Copy All. As the ID dialog box appears, select OK.

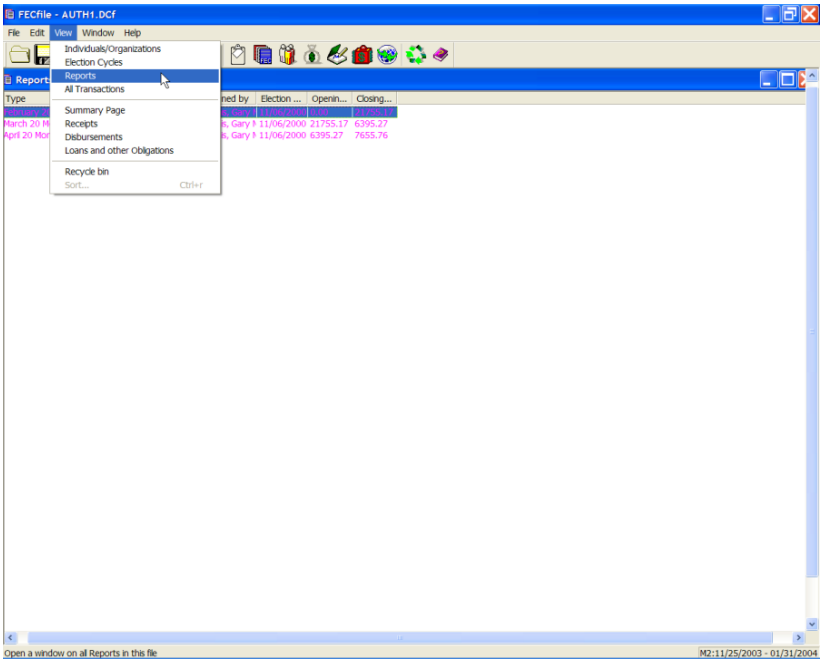
- ✓ The Individual/Organization Information dialog box appears, select OK.



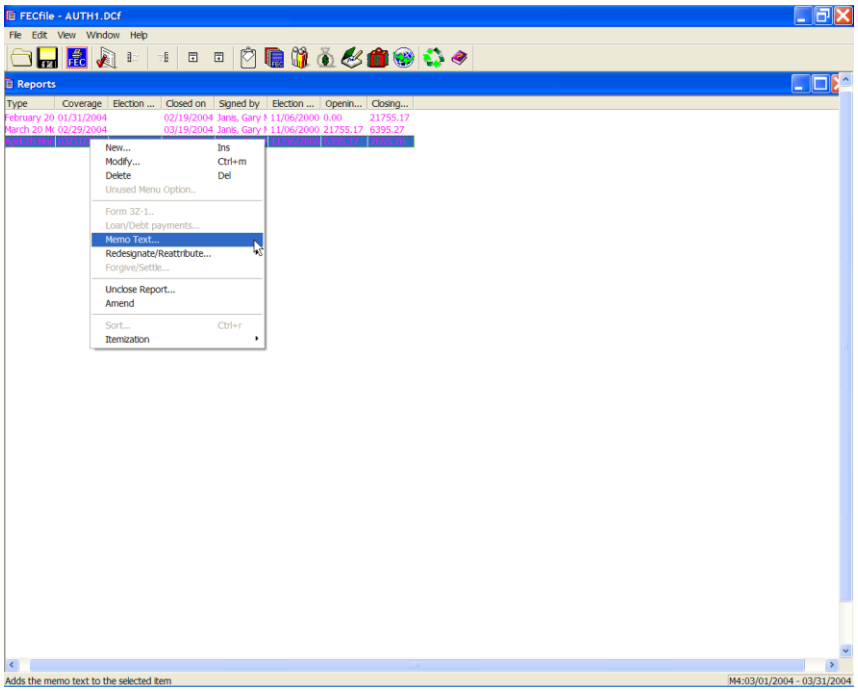

- ✓ The Contribution to Federal Candidate/Political Committee dialog box appears, enter the date and amount, and in the description field, enter in “Debt Retirement”, year and election. (The year must be entered in the description field to be seen in the print function.)

- ✓ Click on OK.

## Memo Text - (Information about a specific transaction within a report)

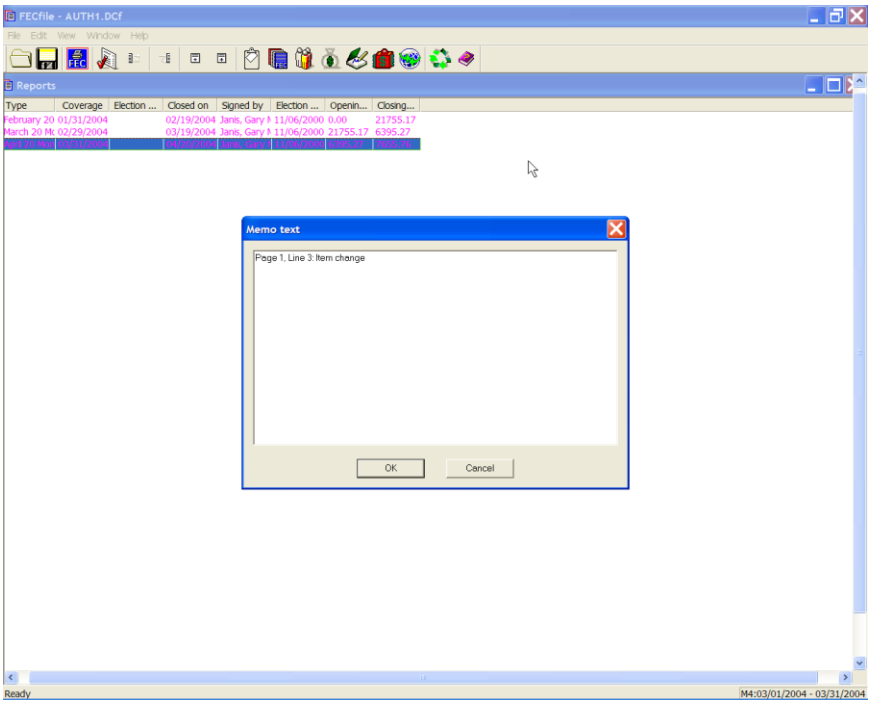



✓ Select View, Reports on the menu bar from the FECFile main menu.



- ✓ Right click on the transaction to which the memo text will be attached.

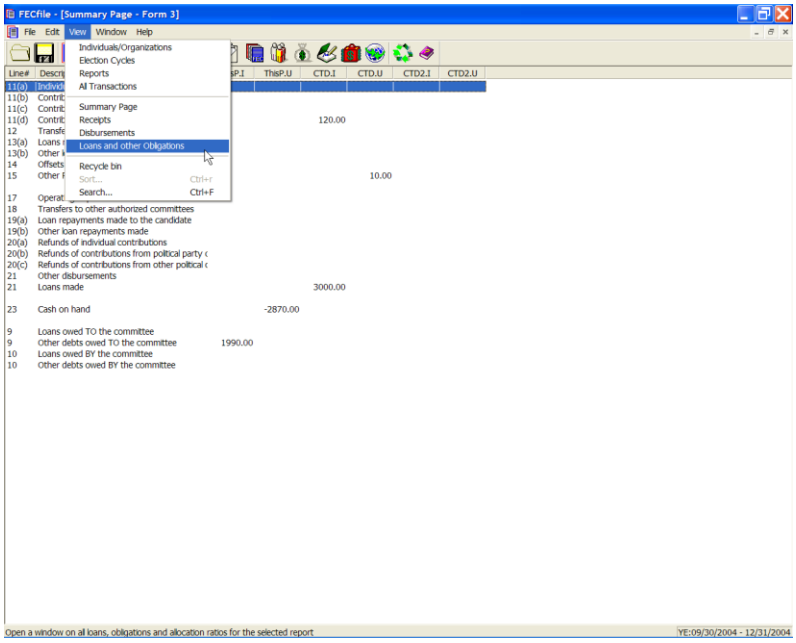
- ✓ Select memo text and left click.



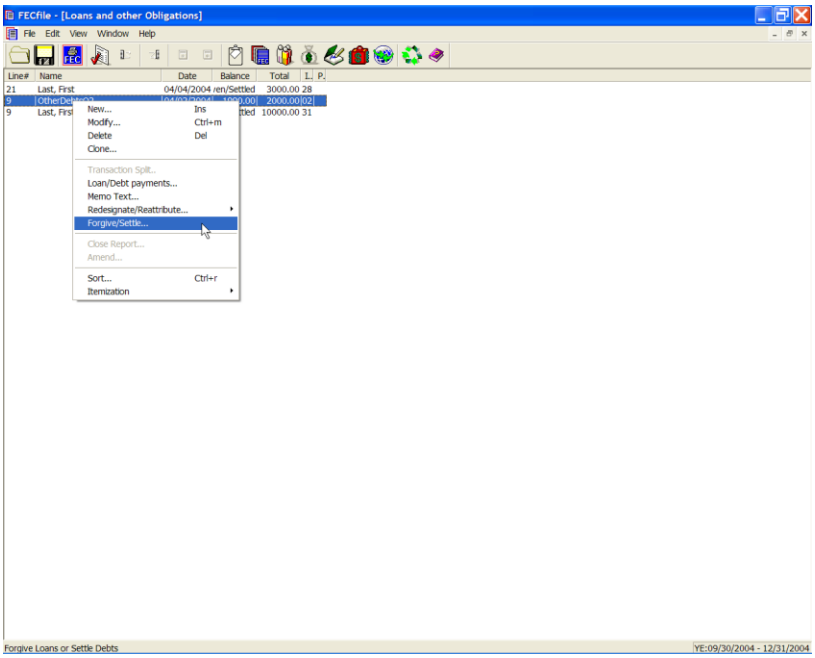

- ✓ Enter in the memo text and select OK.

## Memo Text - (Automatic Memo Generation)

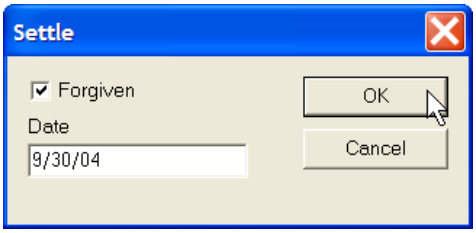
A memo text entry will be created when a loan is forgiven, or a forgiveness is rescinded. To see this, do the following:




✓ Click on the View Menu, and select “Loans and Other Obligations”

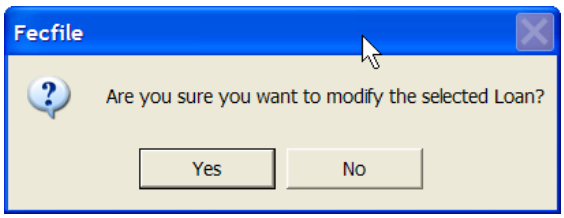


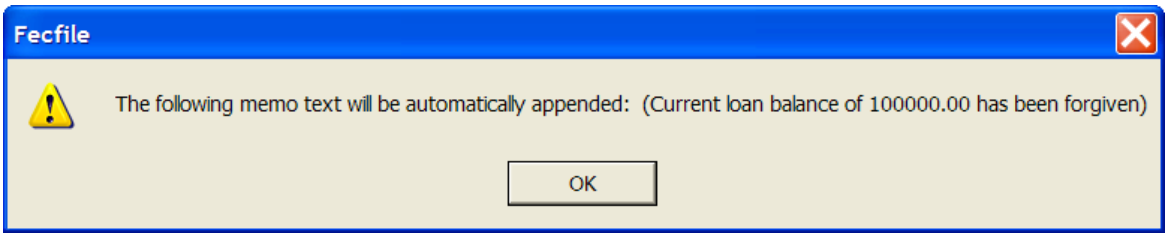
- ✓ Right click on the affected loan an select Forgive/Settle from the selection box.



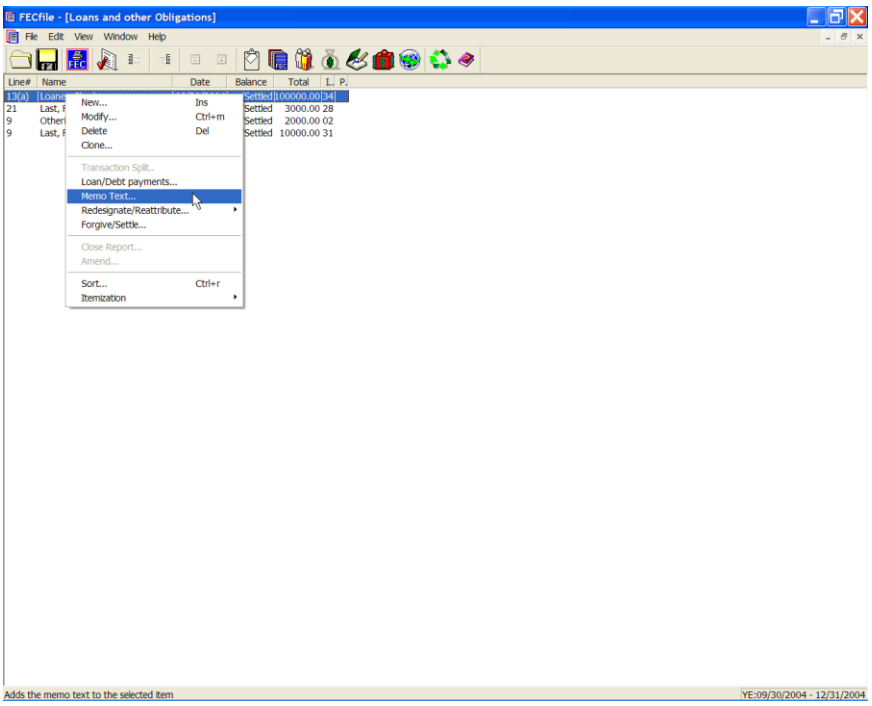

- ✓ Check the Forgiven box, enter the date for the loan forgiveness, and click the OK button.

- ✓ Respond to the "Are you sure…" box and click the Yes button.

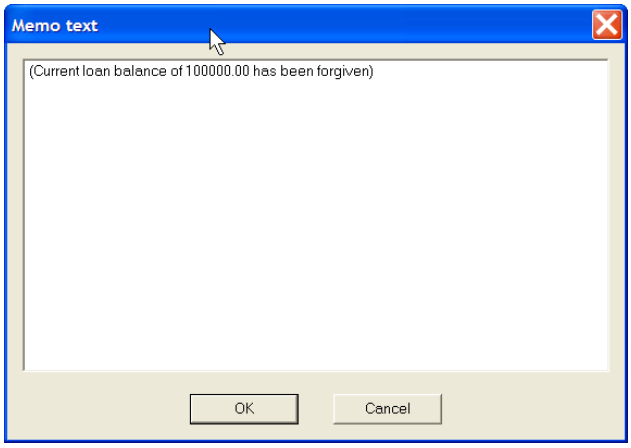



- ✓ FECFile notifies you that an auto memo text will be created. This entry is appended to any memo text information that may already exist.



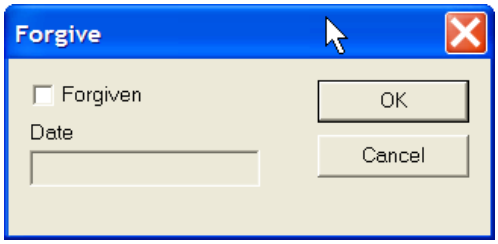

✓ To see the resulting memo, right click on the affected loan transaction, and select Memo Text… from the selection menu.



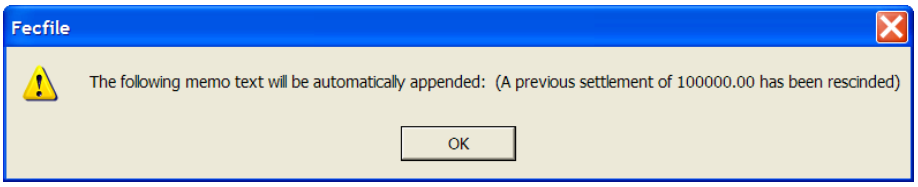

✓ The memo text content is shown.

✓ A similar memo is generated if a previous loan forgiveness is rescinded.

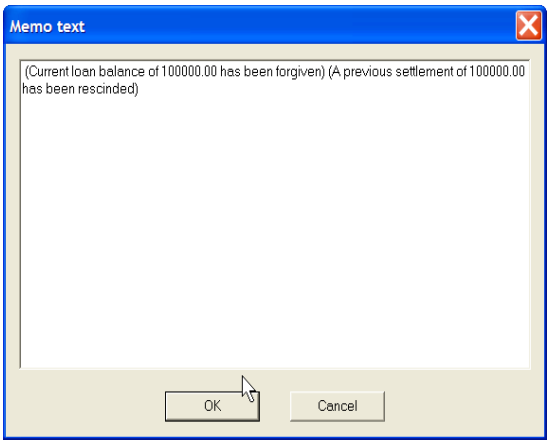
✓ Right click on the forgiven loan…and click on the Forgiven  check box…the check that was there and the date that was entered, is cleared…



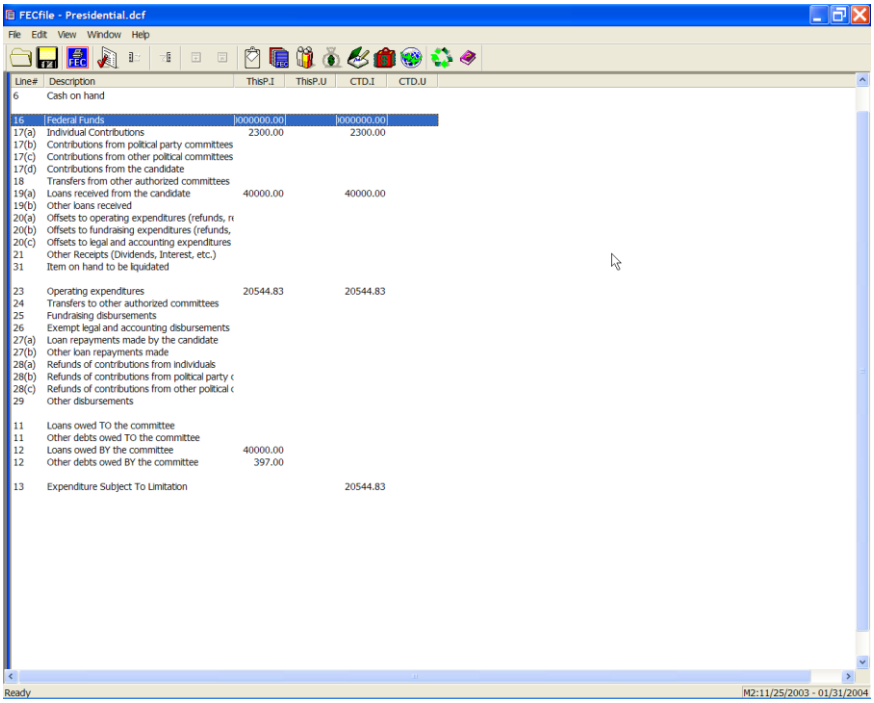

✓ Click on OK…



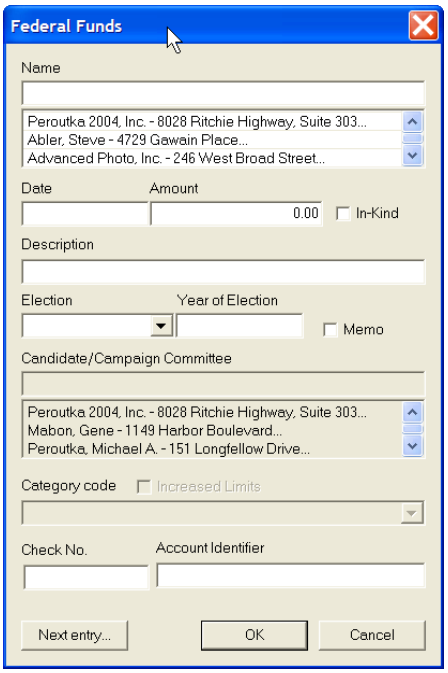

✓ FECFile notifies you of the memo information that will be appended. In looking at the memo text…we see that the memo of the rescinded forgiveness is appended to the memo text content.



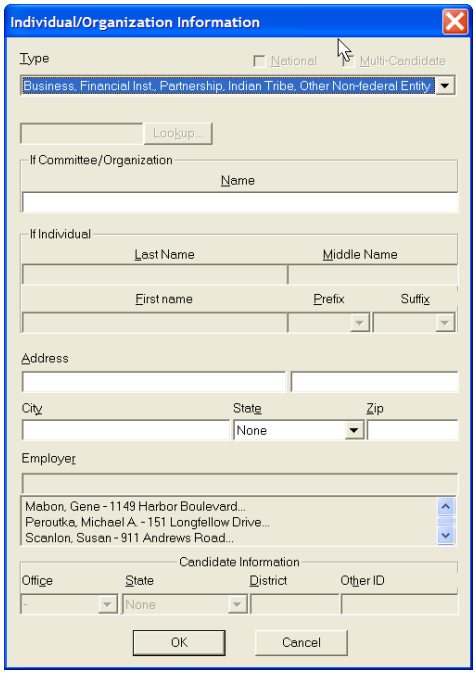
## Reporting Federal Funds (Line 16 - F3P Only)



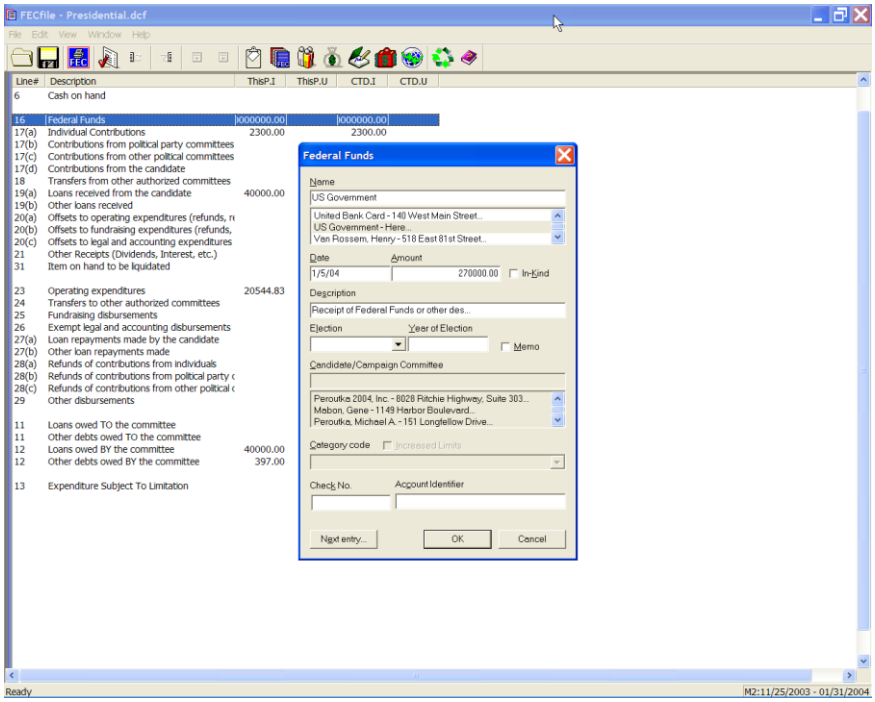

✓ In the Presidential filing Summary Page, double click on line 16 Federal Funds.



✓ The Federal Funds Entry screen appears. Enter /Select the appropriate name, and press TAB.

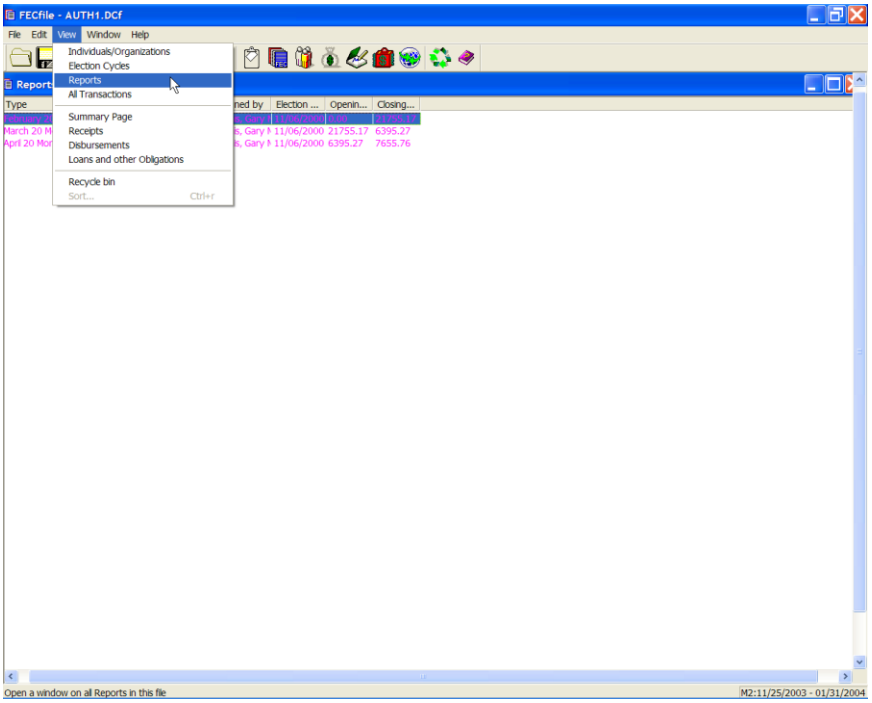



✓ Select the Business, Financial Inst…… item in the drop down box and enter name, address and other information.

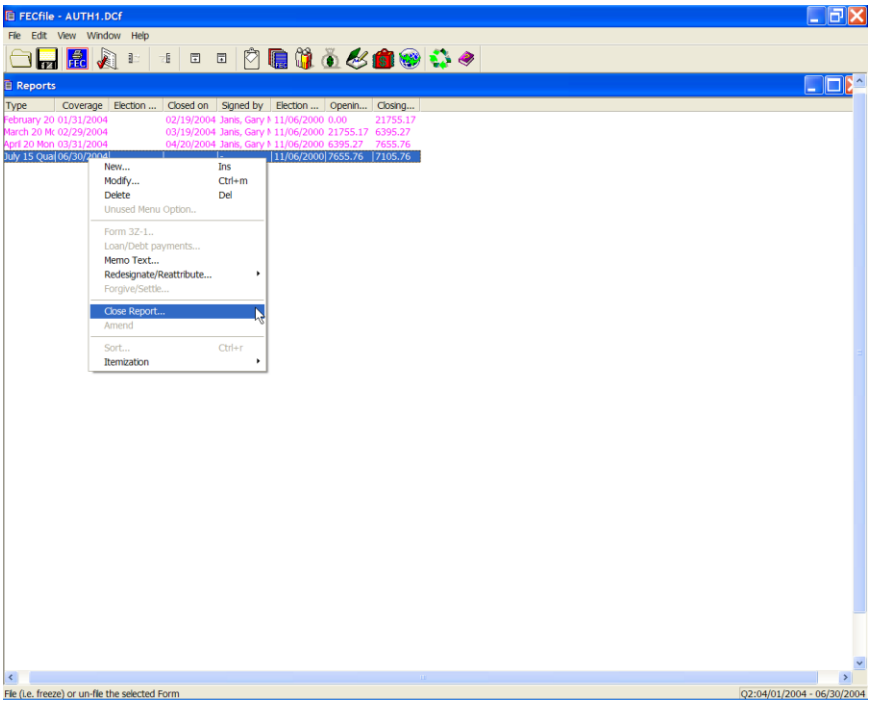


- ✓ Enter the date, amount, description and select OK. Note the balance update in line 16 on the Summary Page.

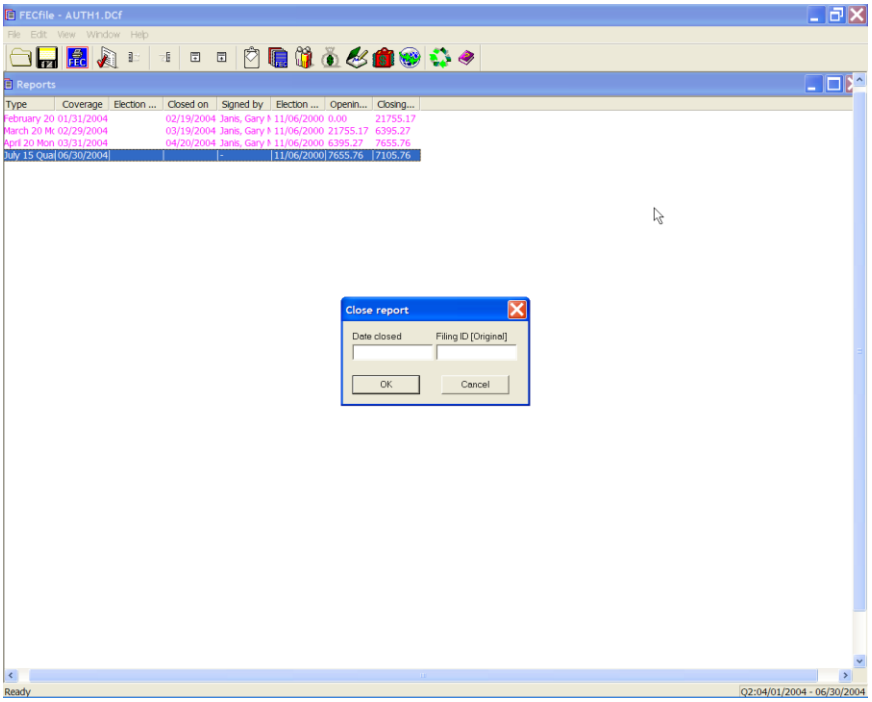
## Closing a Report




✓ Select View, Reports on the menu bar from the FECFile main menu. Right click on the appropriate report.

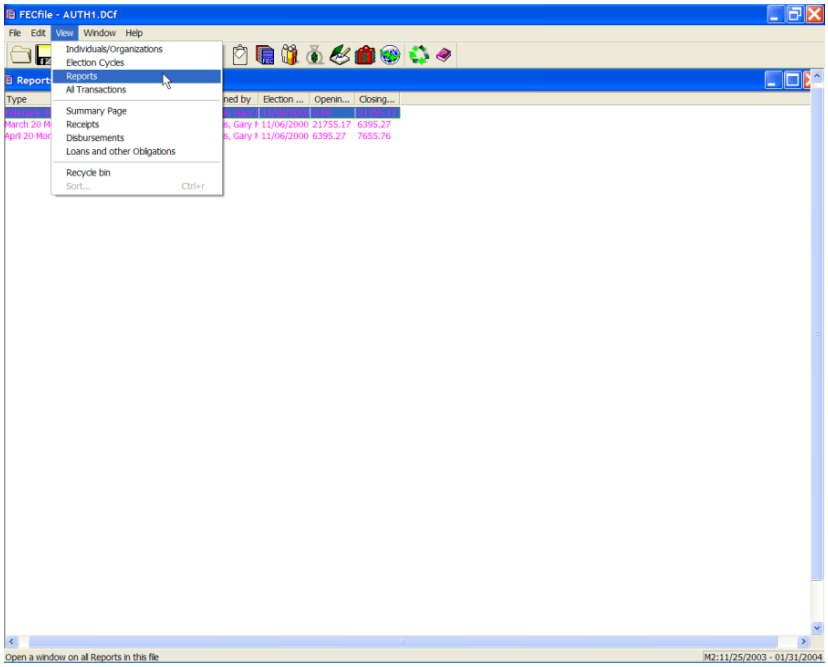


✓ Click on the close report option.

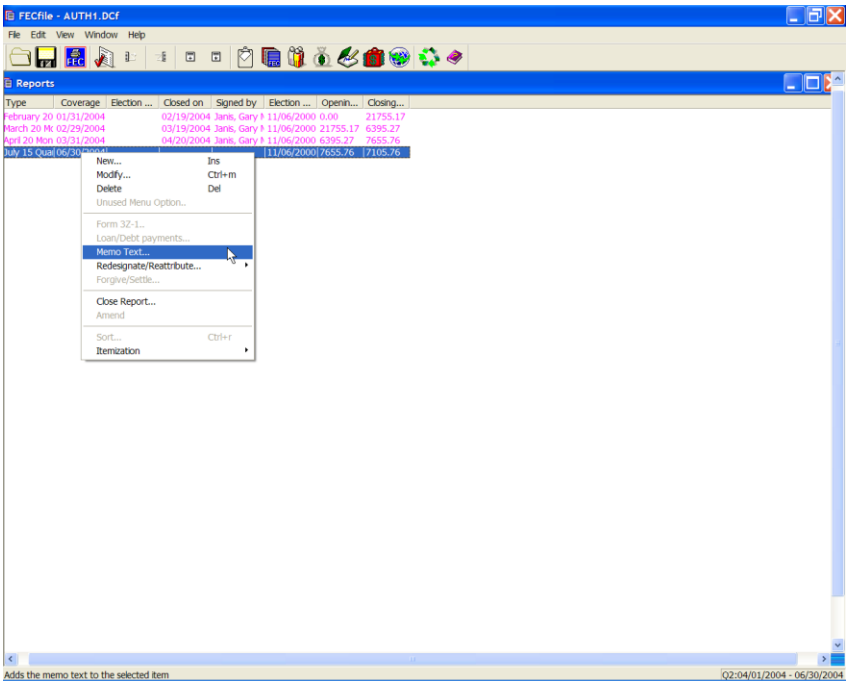



✓ The Close report dialog box appears. Enter in the date closed, (to be outside the coverage date) and click on OK. The Filing ID is only required when amending the report and the software will automatically fill the field.

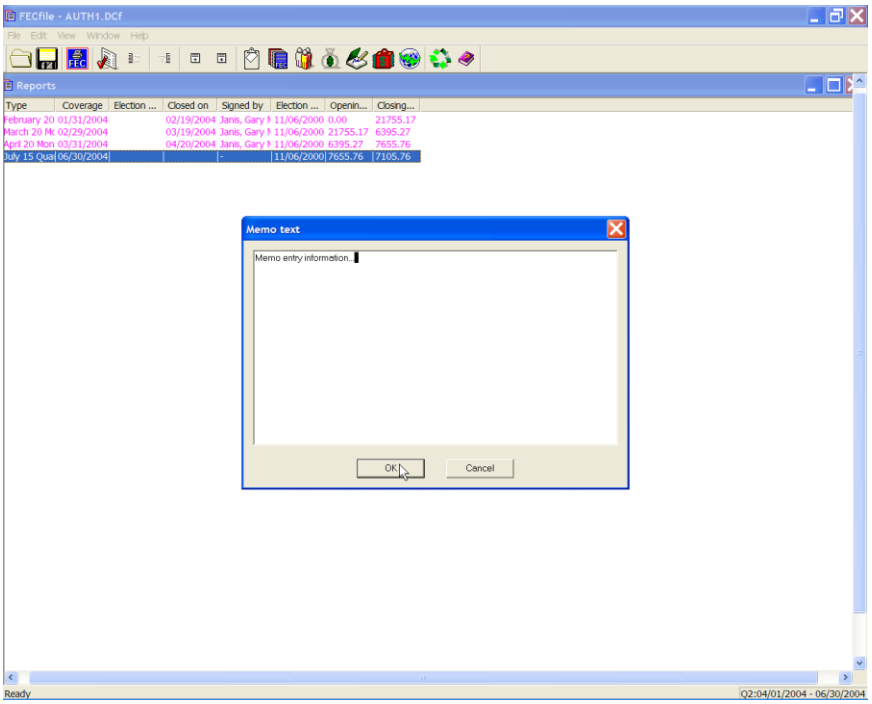
## Text Record - (A cover letter attached to a specific report at the end)




✓ Click on View and Reports from the FECFile drop down menu. Right click on the appropriate report.



✓ Highlight the Memo text option, and left click.

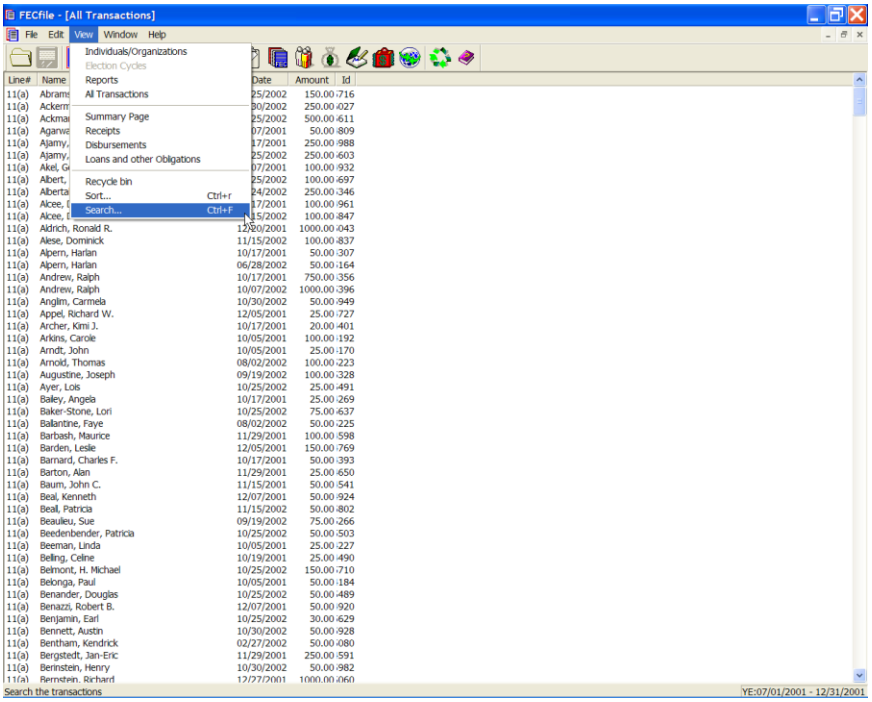



✓ Enter the memo in the Memo Text field and click on OK.

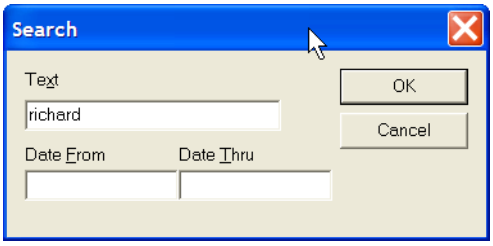
# *F. Special Features*

## Search Feature

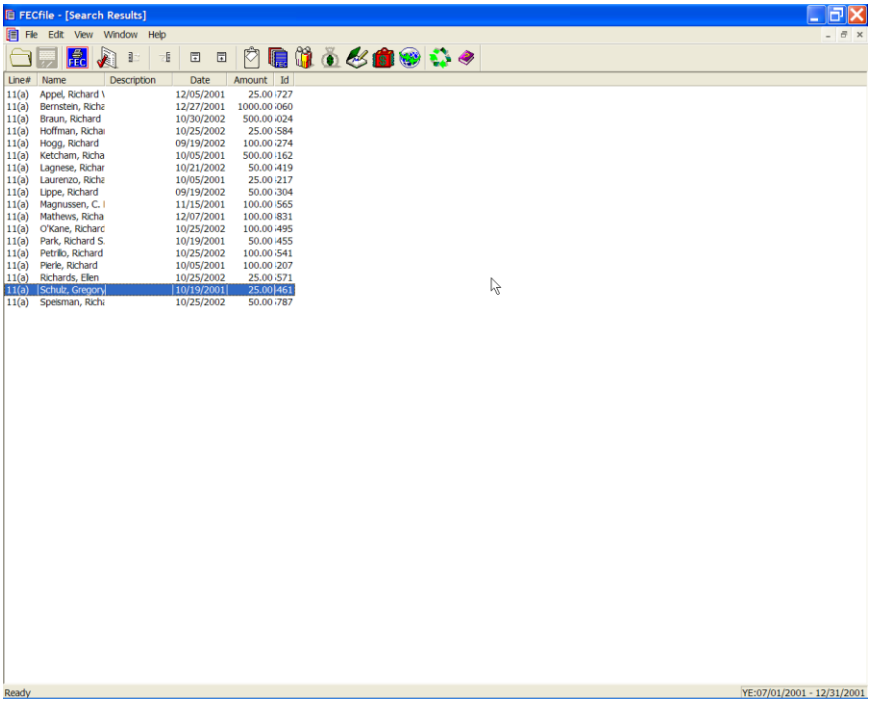
Where there are a large number of transactions in the All Transactions window, the Search feature in FECFile can be used to limit the number of transactions you need to look through. To use this feature:




- ✓ From the all transactions window click on the View Menu and select Search…or simply press the Control and F keys at the same time. This will open the Search interface.




✓ Enter a text word or phrase and/or a date range. Then click on OK

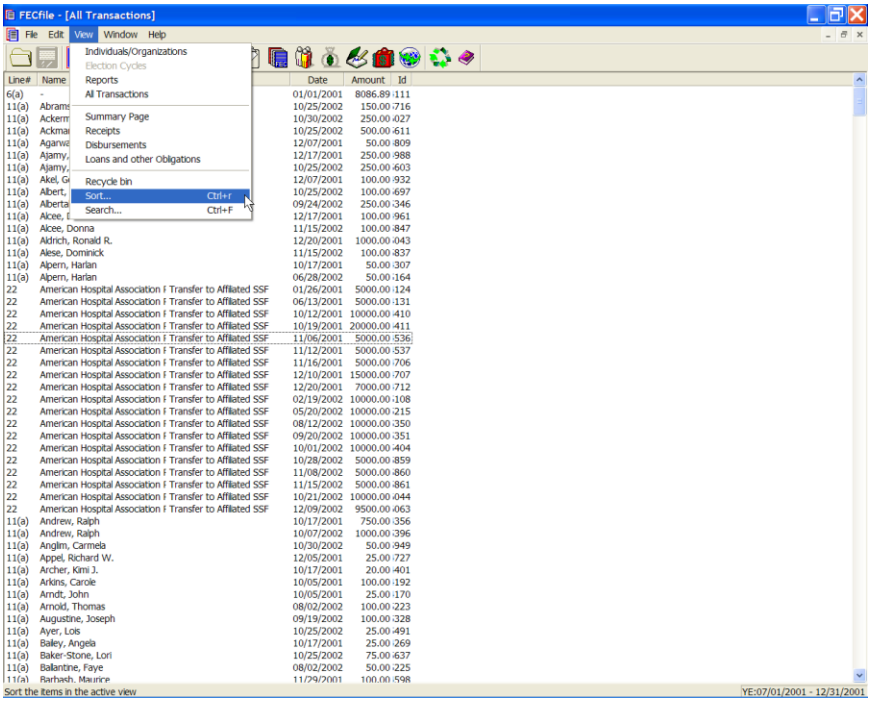



✓ The results of the search are displayed in the Search Results window. Note, the search looks for the text you seek in the Name, description, address, and memo text. As an example: Greg Schultz, above…lives on Richards Road.

**NOTE: Use the resulting transactions as if they were in the all transactions window. Also, only one search results is displayed at a time.**

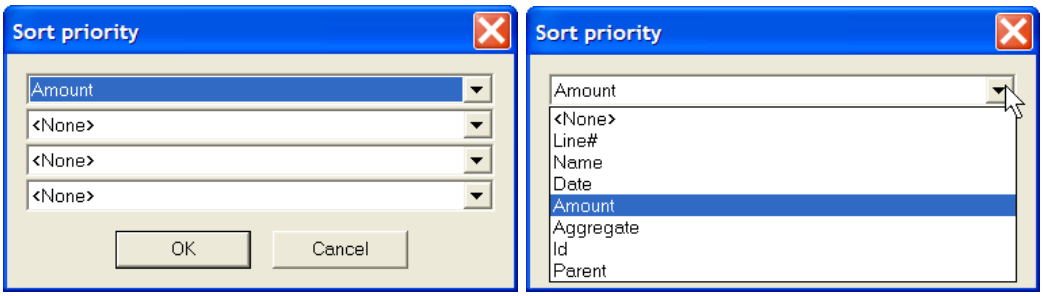
# Sort Feature

In a window, the user can sort the transactions in a useful order by using the Sort Function a Follows.




- ✓ From any transactions window click on the View Menu and select Sort. …or simply press the Control and R keys at the same time. This will open the Sort interface.

**NOTE: Each transaction window can have its sort preferences set independently. Set up your sour preferences for each window.**

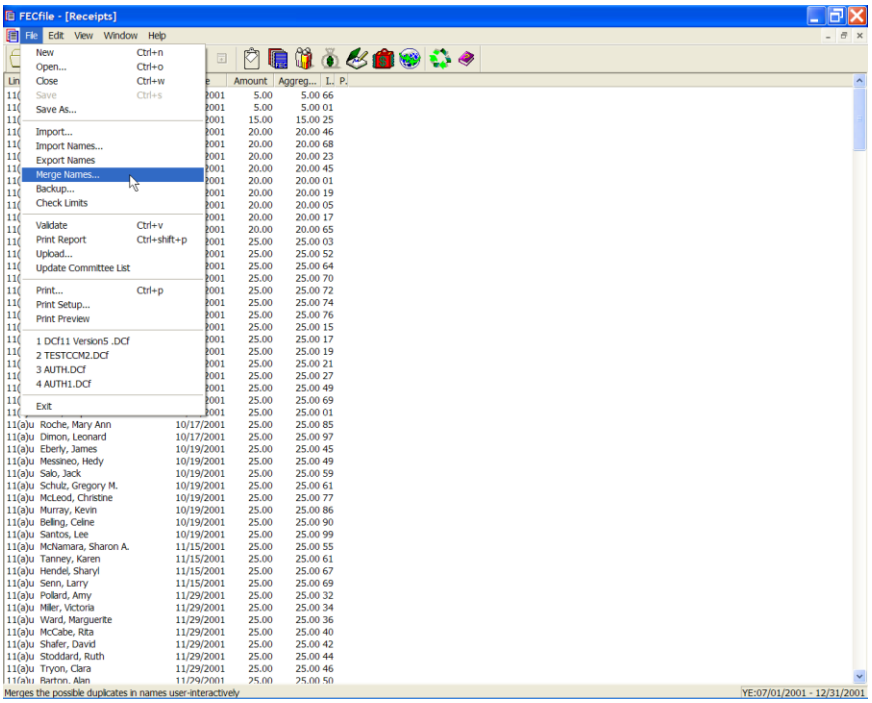



- ✓ .There are four levels of sorting available. The top box sorts first, then the second box and so forth

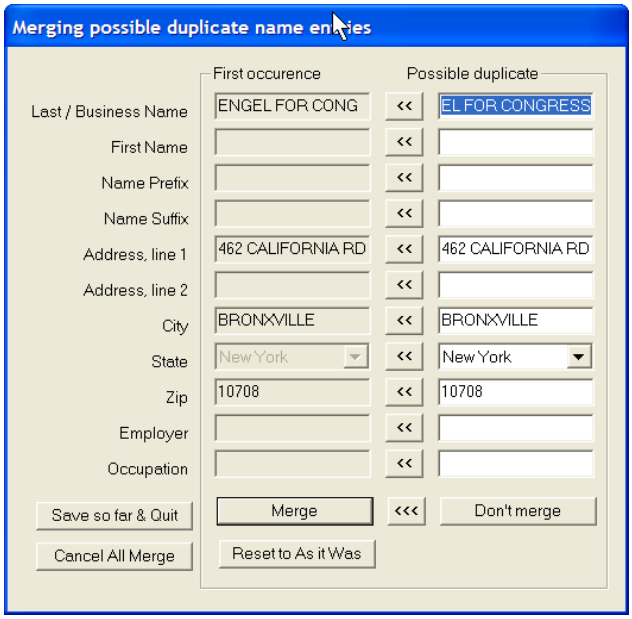
- ✓ The options for sorting are shown above, and are from low to high.

## Merge Feature

When there are multiple entries for a single unique contributor, you can use the Merge Function to merge multiple entries into one entry for a unique contributor. This helps improve tracking and reporting of aggregate totals for contributors.



- ✓ From any transactions window click on the File Menu and select Merge Names. …This will open the Merge interface.



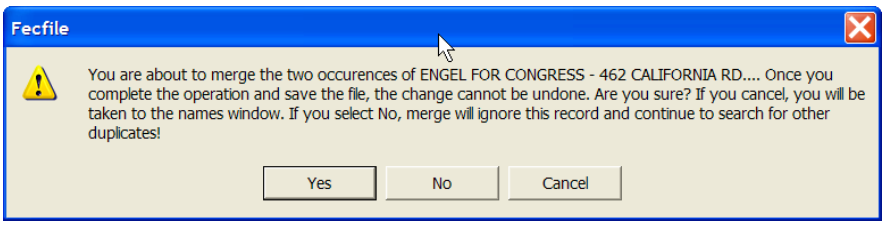

- ✓ The system shows the first occurrence of a possible duplicate name in the left column. In the right column it shows the next occurrence of a possible duplicate.

- ✓ If the right column information is correct you can update the left column by clicking on the arrowed buttons. The << buttons will update individual data items. The <<< button replaces all left column data with all the right column field values.

- ✓ When the left column data is correct, selecting the Merge Button uses the left column information for the Merge of both.

- ✓ If the records are not duplicate, select the Don't Merge button

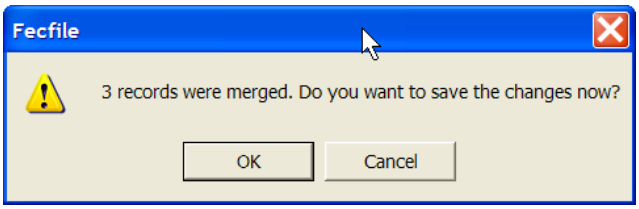
- ✓ When you select the Merge button, the following message is shown.




- ✓ When you select the Merge Button the system provides a notice to confirm the action. Select Yes, and you are returned to Merge interface, and the next comparison is shown.

- ✓ If you become confused for a given merge transaction, press the reset button to return to the start of that transaction. If you desire to stop the whole merge process select the Cancel All Merge button.

- ✓ When all merges have been processed, the following is shown. It shows the number of merged names and provides the option to save the changes done.




**NOTE: If you select Cancel…All the merge selections are deselected, and you will have to start over again.**

- ✓ If, in the middle of the work (you are not completed with the merge process) but want to save the work so far, press the Save so far and Quit button. You will keep the merged items. The function can be run again at a later time to address the additional duplicate names.

# *G. Recovering DCF's and Deleting Transactions*

## Recovering DCFs or Lost Data

The following steps provide instructions for rebuilding DCF files or lost data/reports using the importing function of the software:

1. Access the FEC Electronic Filing Report Retrieval web page: http://www.fec.gov/finance/disclosure/efile_search.shtml/
(See Figure A)

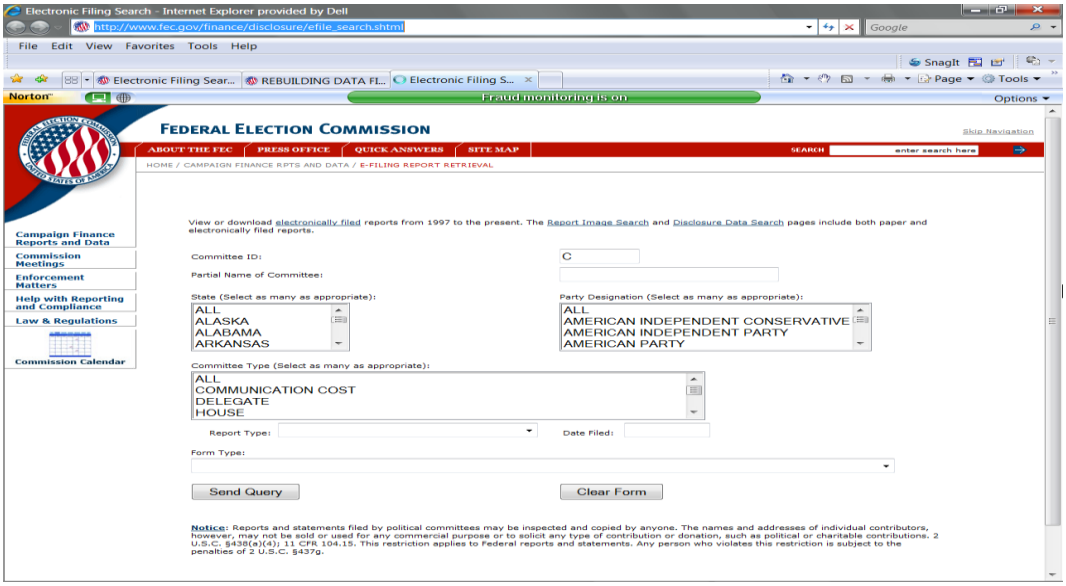



Figure A1

2. Enter the Committee ID in the corresponding field and (L) click on the 'Send Query' button. This should retrieve a web page listing all of the electronic filings the committee has successfully uploaded to the FEC. Figure A1 provides an example of options shown:

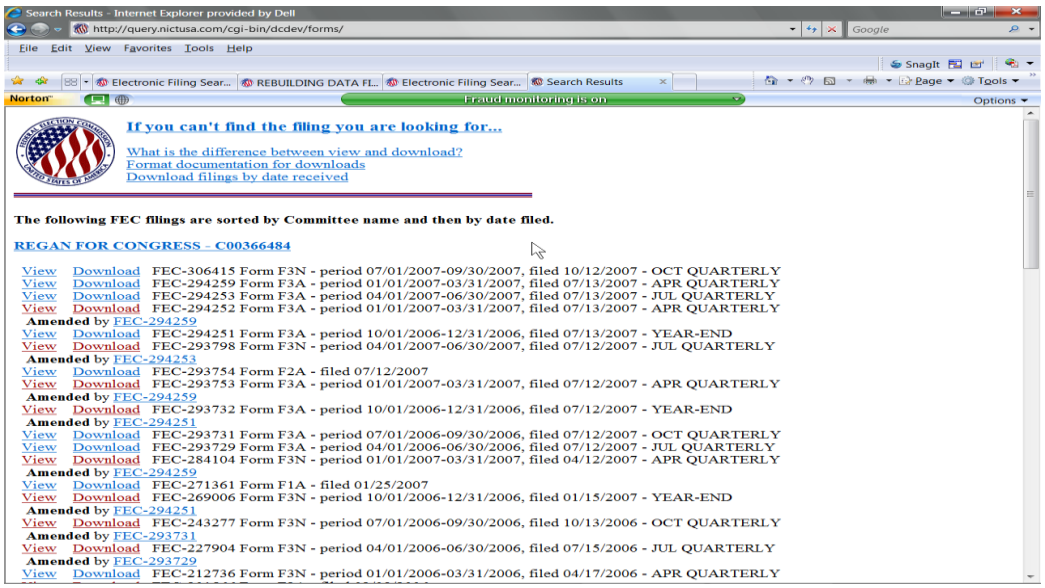



Figure A1

3. Locate the reports necessary. Then (L) click on the Download' link for each of the corresponding report(s). For Unauthorized Filers necessary reports are those in the current year to date, to provide proper aggregation totals. For Authorized Filers necessary reports are those in the current election cycle to date for proper aggregation totals.

**NOTE 1:** If the report being downloaded has amendments, then the latest amendment must be downloaded only. This will prevent importing duplicate transactions.

**NOTE 2:** If the report being downloaded is version 5.3 then simply save the report to your hard drive. If the report being downloaded is version 6.0 or greater, then you will be presented with an option screen. See Figure A2 below. The screen provides the ability to download the file in the new ASCII 28 delimited format, or the same filing delimited with commas. Version 6.0+ must be downloaded in ASCII 28 format only. This will assure proper handling of the newer filings.

Figure A2

4. Once the report is selected for download, a pop-up window should appear prompting to save to a disk or computer (depending on the Operating System.) (L) Click on the Save' button. (Figure B)

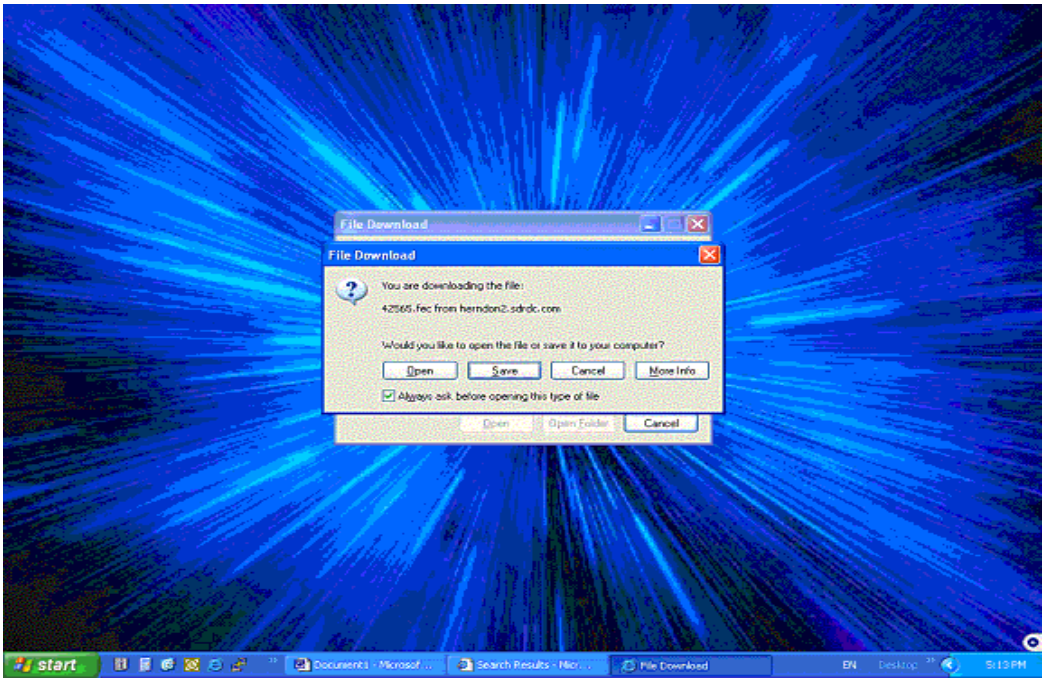



Figure B

5.The next pop-up window should be a ’Save As' window. In the ‘Save in:' field, make sure the desktop is selected. In the File Name:' enter the type of report downloading (e.g.Q2_2002_import.fec') and (L) click the ‘Save' button. (Figure C)

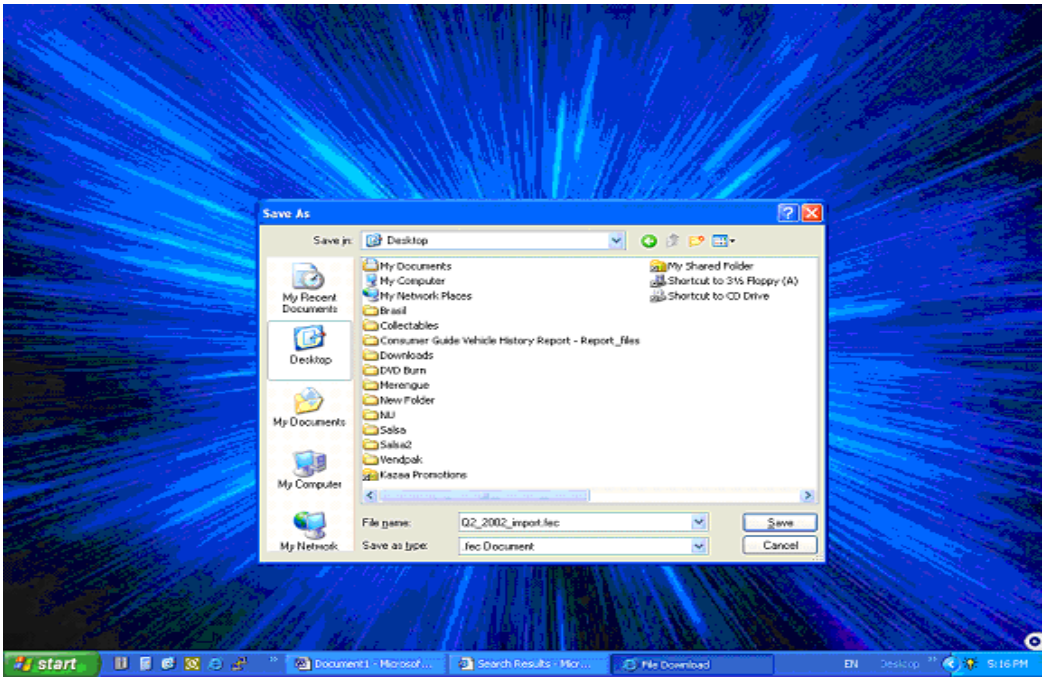



Figure C

6. Once complete, (L) click on the ‘Close' button and go to the desktop by minimizing all active windows. Holding the ‘Shift' key down on the keyboard, (R) click on the downloaded .FEC file located on the desktop. A list of options should appear. (L) Click on the ‘Open With' option. Locate and select the WordPad application.

NOTE 3: If the checkbox ‘Always use selected program to open this kind of file' is checked, then the next .fec file can be opened by just double (L) clicking on the file.

7. DELETE FIRST TWO LINES: Delete the 1st two lines of this file. They begin with “HDR” and “F3N” (PACs will have “F3XN” and amended report will have an ‘A' instead of an ‘N'. e.g. – “F3A” or “F3XA”). Delete these two entire lines. Do this for each report downloaded.

8. SAVE AS TEXT FILE: Select the ‘’Save As' option under the FILE menu and the change the file extension from .fec to .txt and then (L) click ‘’Save.' Do this for each report downloaded.

9. OPEN UP FECFILE: You can now use FECFile to import the downloaded reports that have had their first two lines deleted and saved as .txt files.

NOTE 4: It is a good practice to process each report individually, from oldest to newest.

10. CREATE THE REPORT: Create a report to be imported (MY, YE, Q2, etc.) (Figure D)

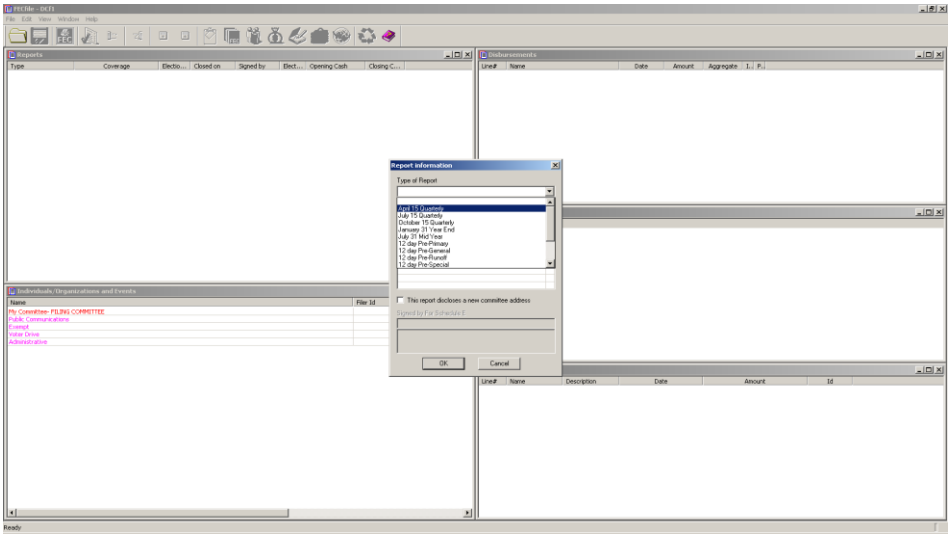


Figure D

11. IMPORT TRANSACTIONS FROM THE DOWNLOADED FILE: With the REPORT highlighted, select “Import” from the FILE menu. (Figure E)

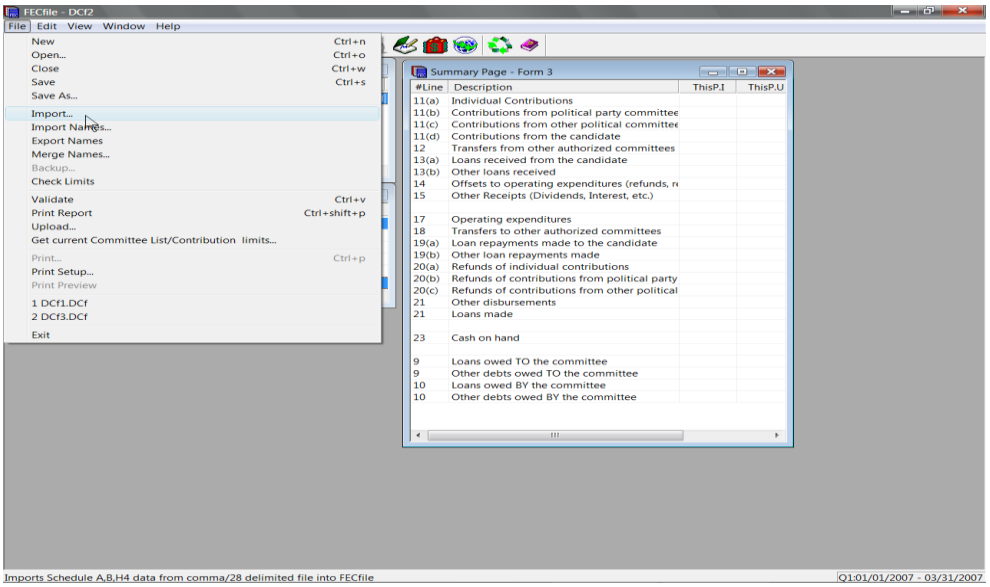



Figure E

12. SELECT THE TEXT FILE: Select the .txt file (from step 8) in the dialog box, which should be located on the desktop. (Figure F)

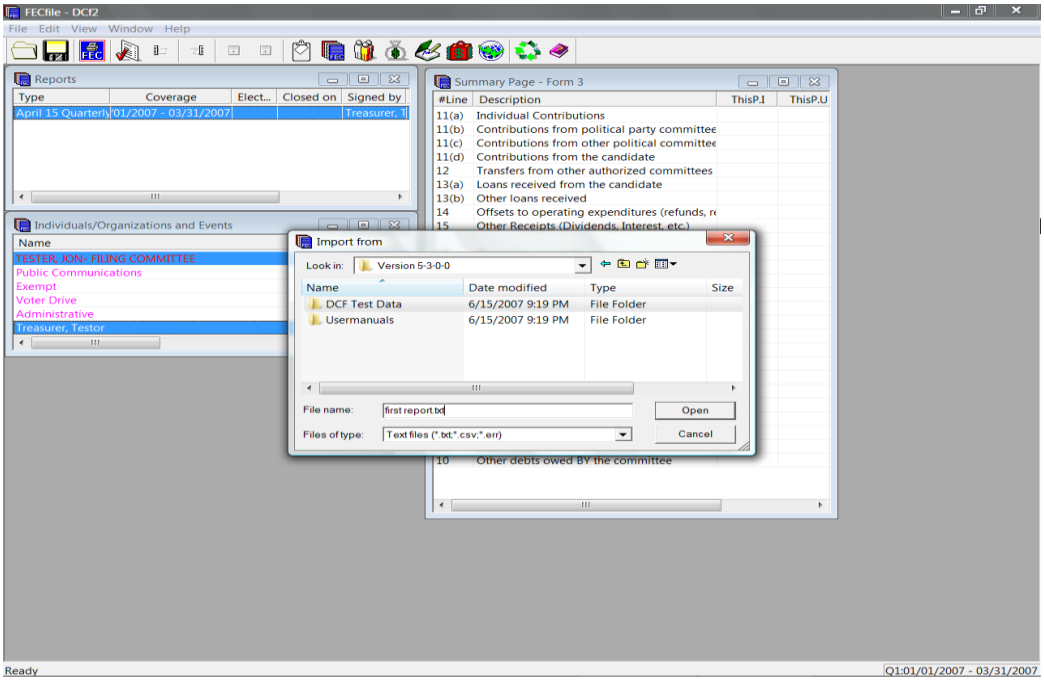



Figure F

START: (L) Click on the 'Start' button on the next dialog screen. (Figure G)

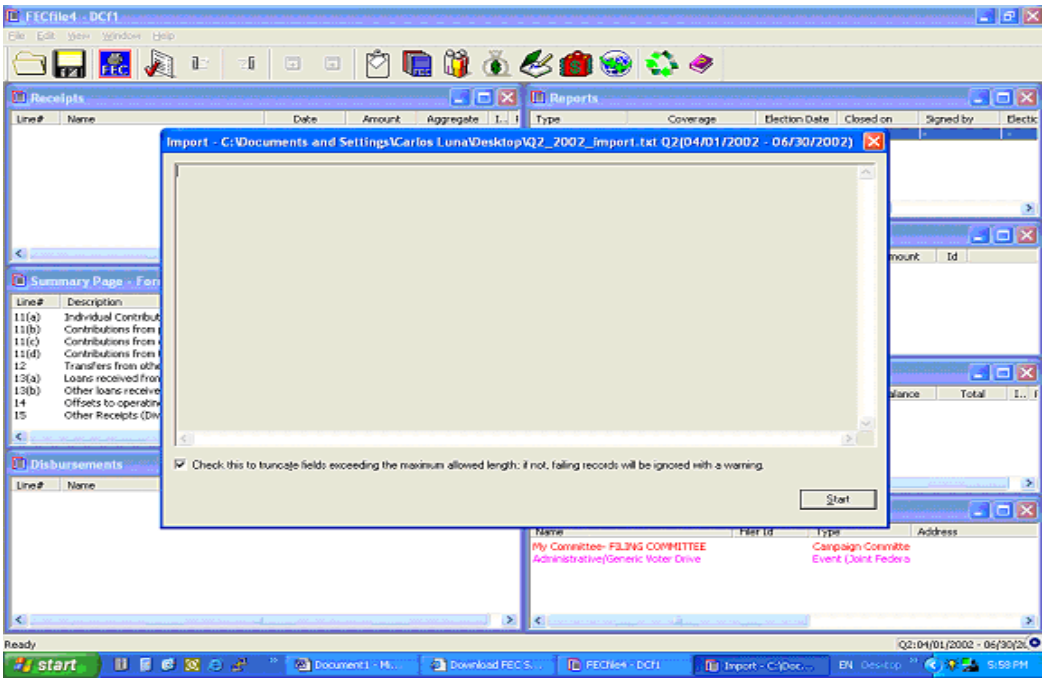



Figure G

NOTE 5: Deleting the first two lines (the file Header and the Summary Page Totals) of the downloaded report, leaves the file with the transactions that were successfully uploaded to the FEC in an importable format. However, the only importable transactions are Schedule A, B and H4s. All other transactions will need to be entered into FECFile manually. Also, since un-itemized transactions are not sent to the FEC, these will also have to be entered in manually.

NOTE 6: After recovery is complete and the reports are reflecting the correct totals, the original reports should be uploaded to a blank diskette or hard drive (which can be erased) to simulate that they have been uploaded to the FEC. In the case of amendments: Once the original is uploaded to a blank diskette or hard drive, the report needs to be amended and uploaded again to a blank diskette or hard drive. Repeat this step until the amendment status of the report reflects the same number of amendments posted on the FEC web site. This will prevent future errors when uploading amendments.

## Uploading to the Hard Drive

1. With the report highlighted in the Reports Window, (L) click on “Upload” option from the menu bar of the FECFile. (Figure H)

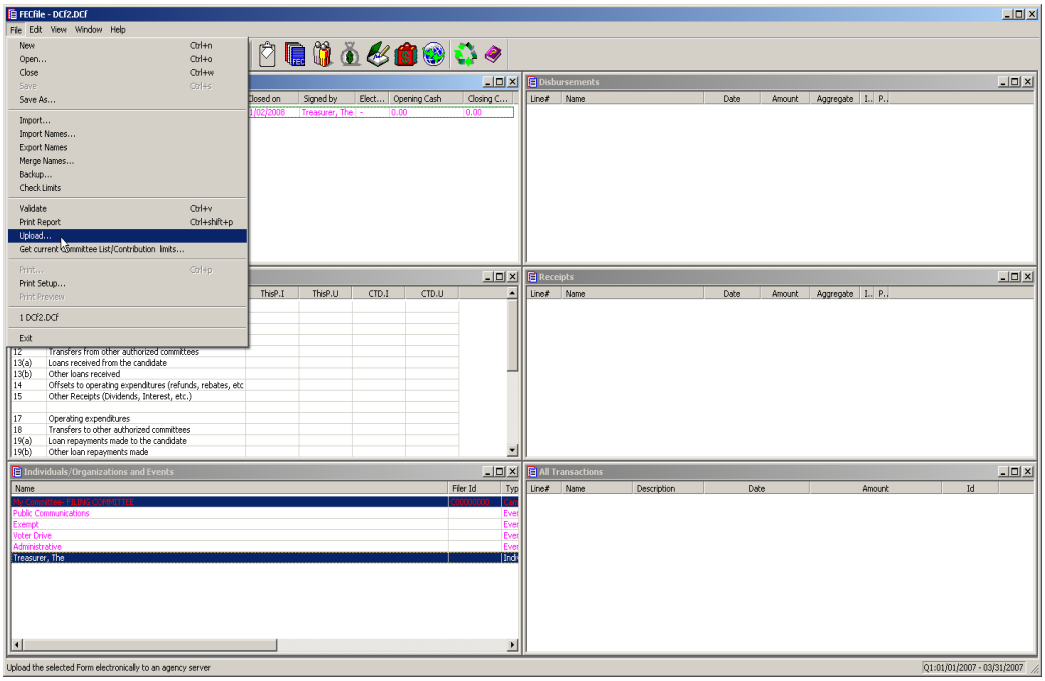



Figure H

2. When the ‘Settings' dialog box appears, select ‘Other' as the Filing Method and (L) click on the ‘Configure' tab. (Figure I)

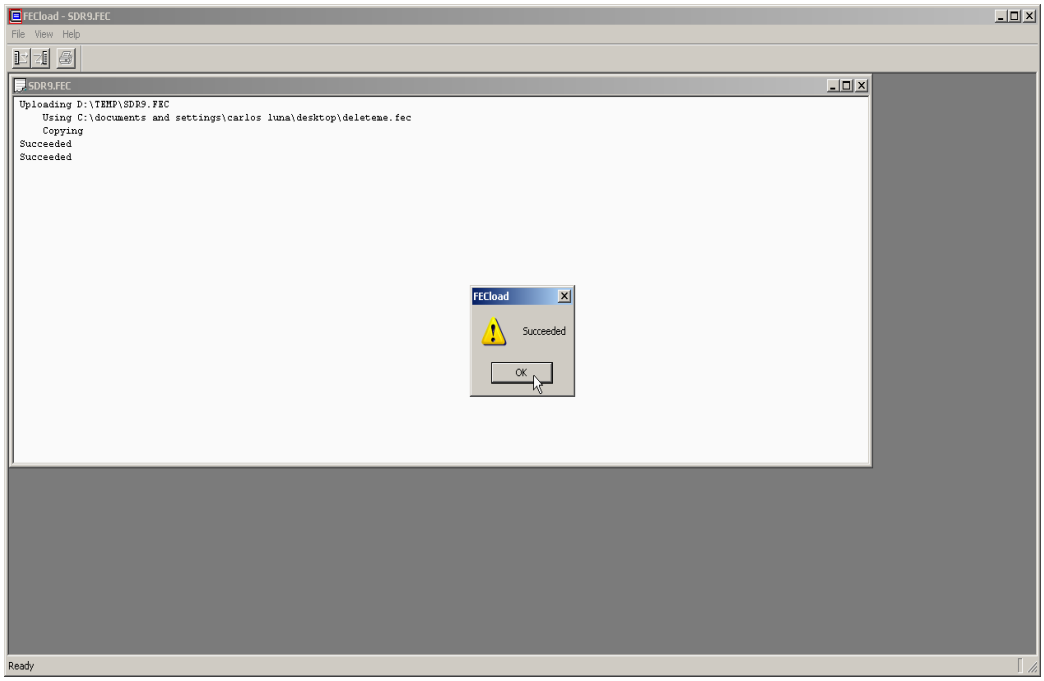



Figure I

3. The path and file name need to be enter into the ‘Disk File' field. For easy removal, the recommend path is the desktop (Figure I). Based on the Operating System (OS), the complete path name will vary. Depending on the OS, the paths should be as follows:

a. Windows 95,98 & ME:
C:\windows\desktop\deleteme.fec
b. Windows NT:
C:\wnnt\profiles\'LOGIN NAME'\desktop\deleteme.fec
c: Windows 2000 & XP:
C:\documents and settings\'LOGIN NAME'\desktop\deleteme.fec.
d. Windows Vistas:
C:\users\'LOGIN NAME'\desktop\deleteme.fec.

NOTE 7: The LOGIN NAME is the username used to login to computer and or network.

4. Once the path and file name have been entered, (L) click on the ‘Ok' button to begin the upload. (Figure J)

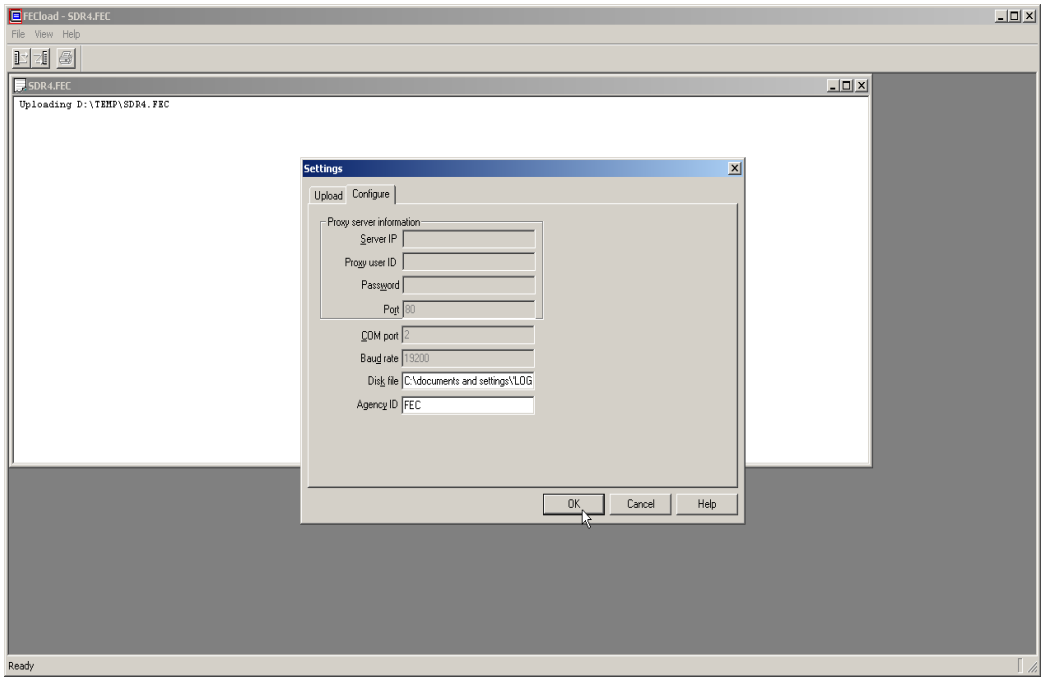



Figure J

5. If the file name already exists or the path is invalid, the upload will fail. (Figure K)

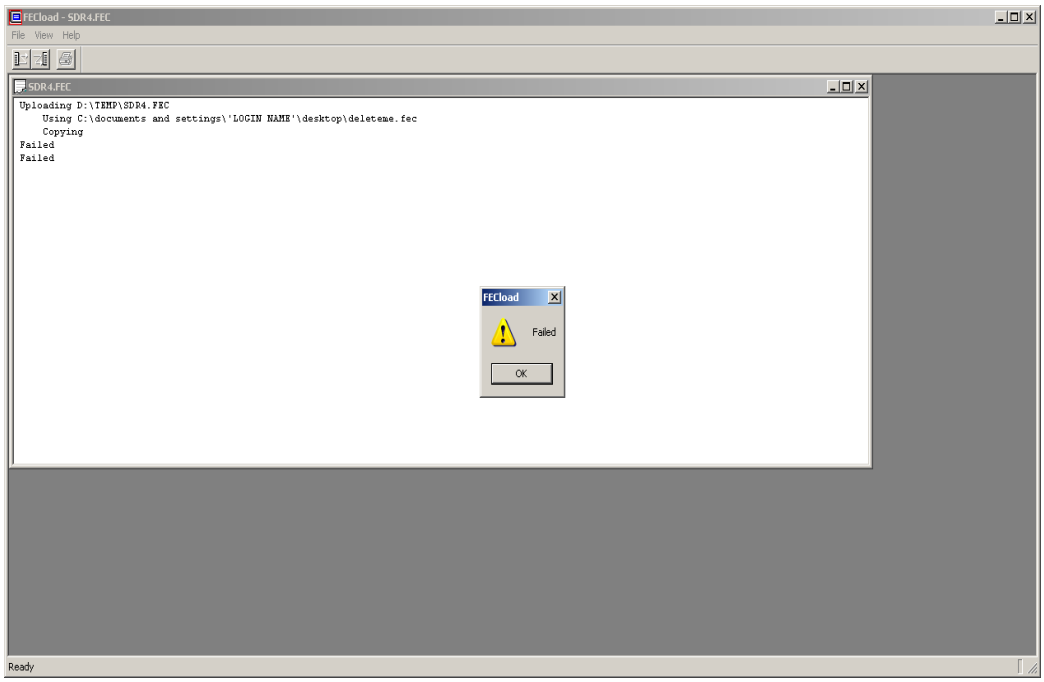



Figure K

6. If the file name is unique and the path is valid, the upload will succeed. (Figure L)

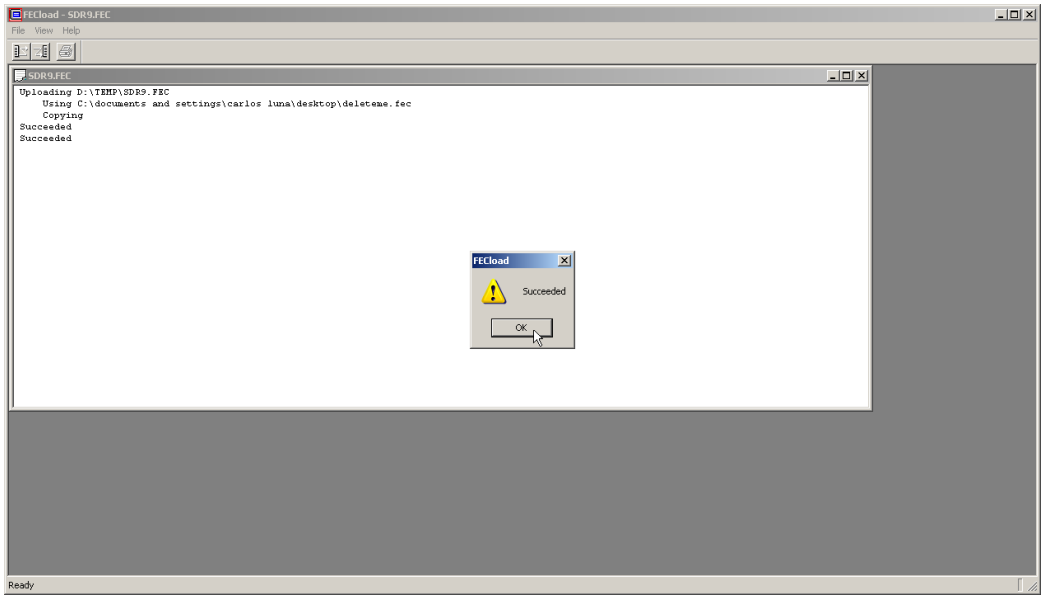



Figure L

7. At the ‘Successfully uploaded the report' Window (L) click the ‘OK' button. (Figure M)

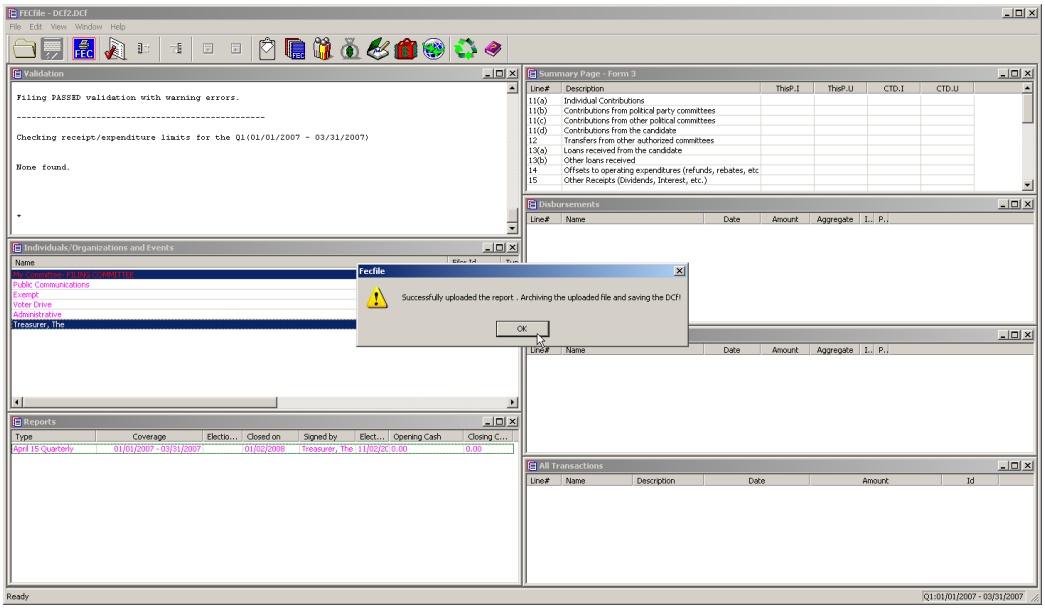



Figure M

9. If in the FILE menu the ‘Save' option is available and not grayed out, (L) click on it to save your uploaded changes. (Figure N)

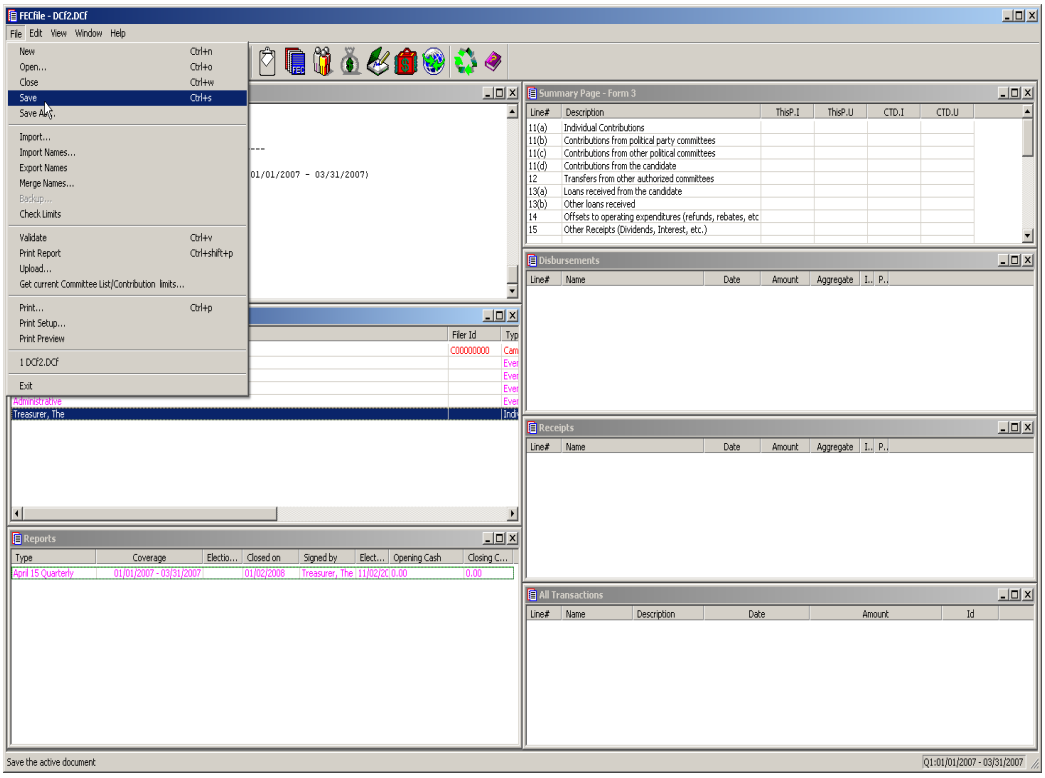

FECFile - DCF2.DCF
File Edit View Window Help
New Ctrl+n
Open... Ctrl+o
Close Ctrl+w
Save Ctrl+s
Save As...
Import...
Import Names...
Export Names
Merge Names...
Backup...
Check Limits
Validate Ctrl+v
Print Report Ctrl+shift+p
Upload...
Get current Committee List/Contribution limits...
Print... Ctrl+p
Print Setup...
Print Preview
1 DCF2.DCF
Exit
01/01/2007 - 03/31/2007)
Filer Id
C00000000
Administrative
Treasurer, The
Reports
Type
Coverage
Closed on
Signed by
Opening Cash
Closing C...
April 15 Quarterly
01/01/2007 - 03/31/2007
01/02/2008
Treasurer, The
0.00
Summary Page - Form 3
Line#
Description
ThisP.I
ThisP.U
CTD.I
CTD.U
11(a) Individual Contributions
11(b) Contributions from political party committees
11(c) Contributions from other political committees
11(d) Contributions from the candidate
12 Transfers from other authorized committees
13(a) Loans received from the candidate
13(b) Other loans received
14 Offsets to operating expenditures (refunds, rebates, etc
15 Other Receipts (Dividends, Interest, etc.)
Disbursements
Name
Date
Amount
Aggregate
Receipts
All Transactions
Description
Id
Save the active document
Q1:01/01/2007 - 03/31/2007

Figure N

# *H. File Submission, Uploading the Report and Error Messages*

## File Submission

When all transactions have been entered for a report, and the deadline for reporting is imminent, the final details must be collected in order to file electronically. There are several different ways a user may file, and with detailed information following.

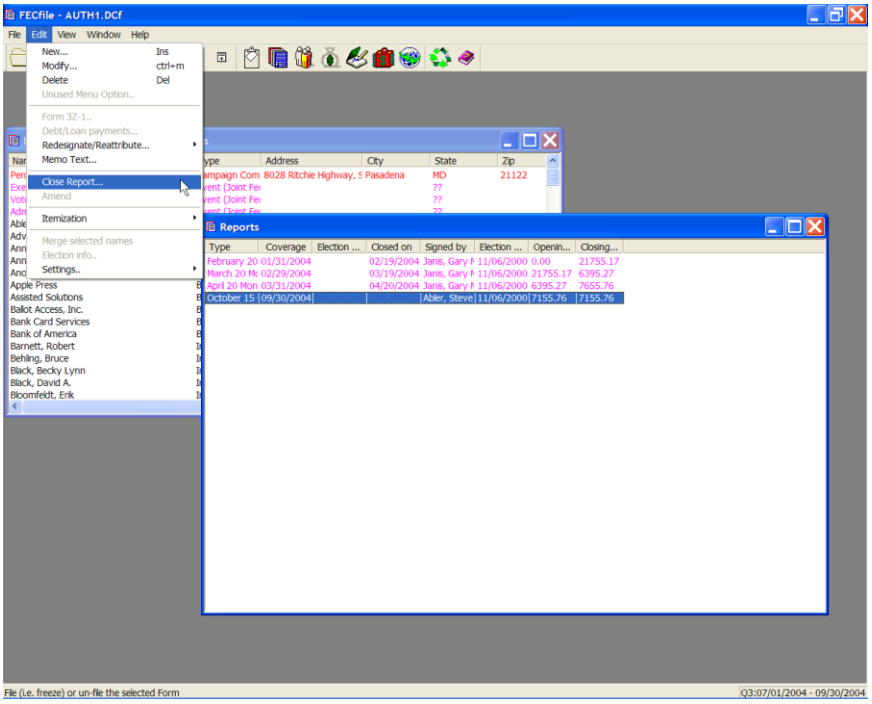
## Filing Requirements

- ✓ **The user must have an FEC electronic filing password.** This is REQUIRED. They must contact the FEC electronic filing office if they do not have a password, or if it has been forgotten.

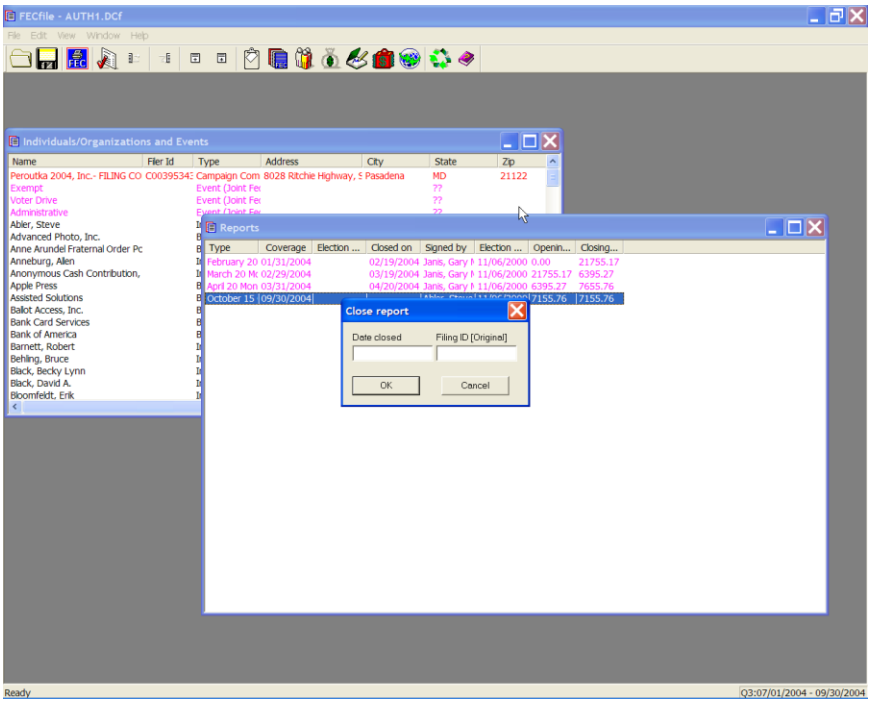
**The user must have a modem and phone line connection for dial up, or a network connection to the Internet. (When no other option is available, filing on diskette or CD is an option). The report must pass validation.**

## Signing and Dating the Report

If the report is not properly signed and dated, the validator will note that the information is missing and generate Level 12 (serious level) errors, and uploading will not be possible. If the report is not ready to actually upload, but want to validate it, the user may want to leave the report date blank.

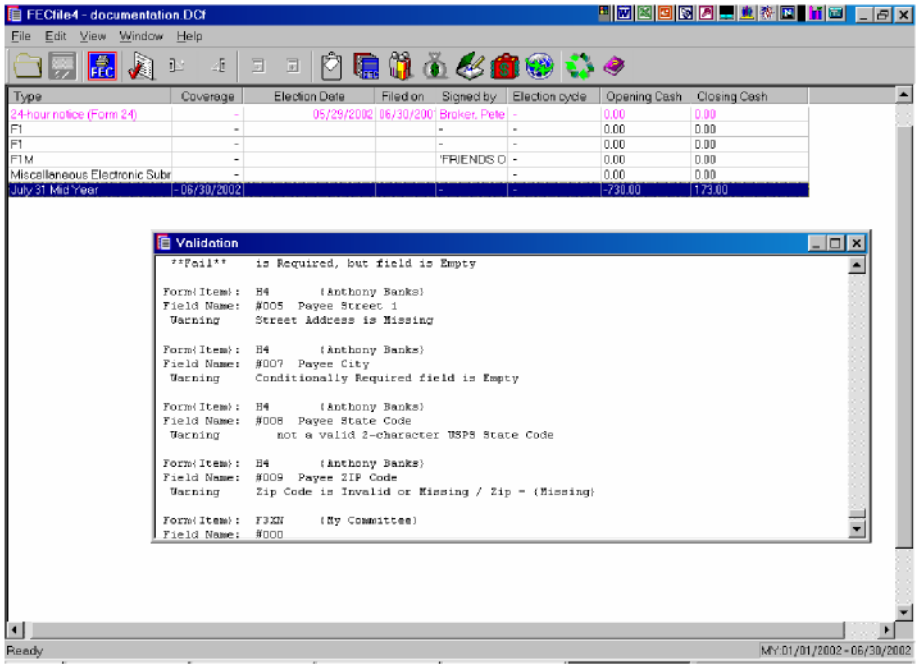



✓ To sign the report, double click on the report type in the Reports Window. This will open the report information window. The Treasurer must be selected in the 'Signed by" field. Date the report, select **Close Report** from the edit menu or right click on the report to close in the **Reports window.** This can only be done with the Reports View active.

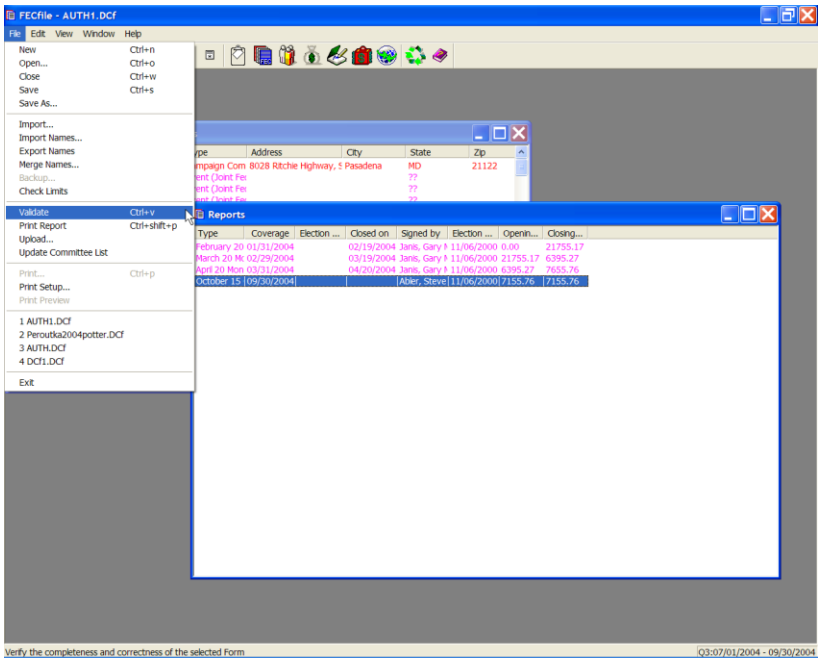


- ✓ Enter the actual date the report will be filed in the **Date closed** field. The **Time field** will be automatically populated.

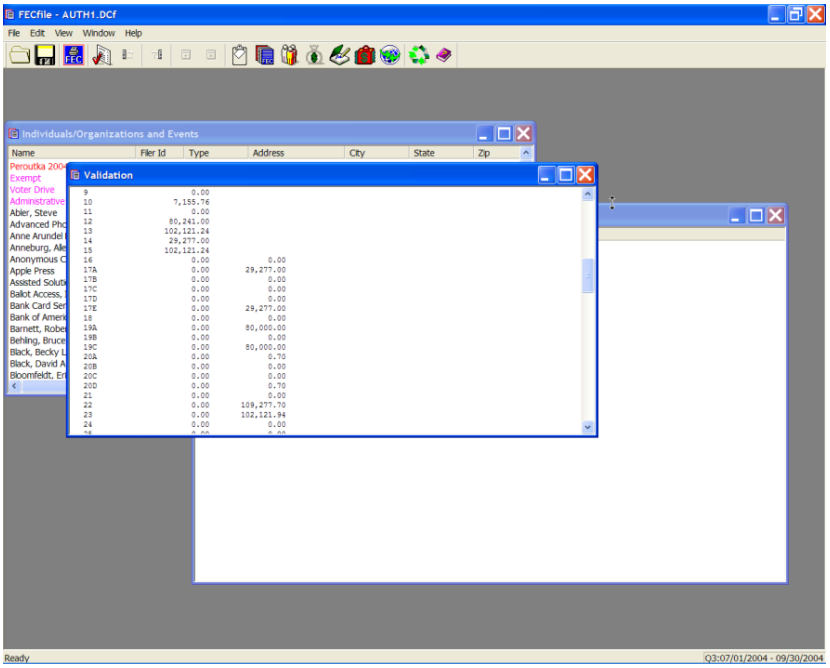
- ✓ The **Filing ID** is only used for amendments, and should be blank for new reports. For amended reports, the filing number of the report being amended should already be displayed.



# Validation

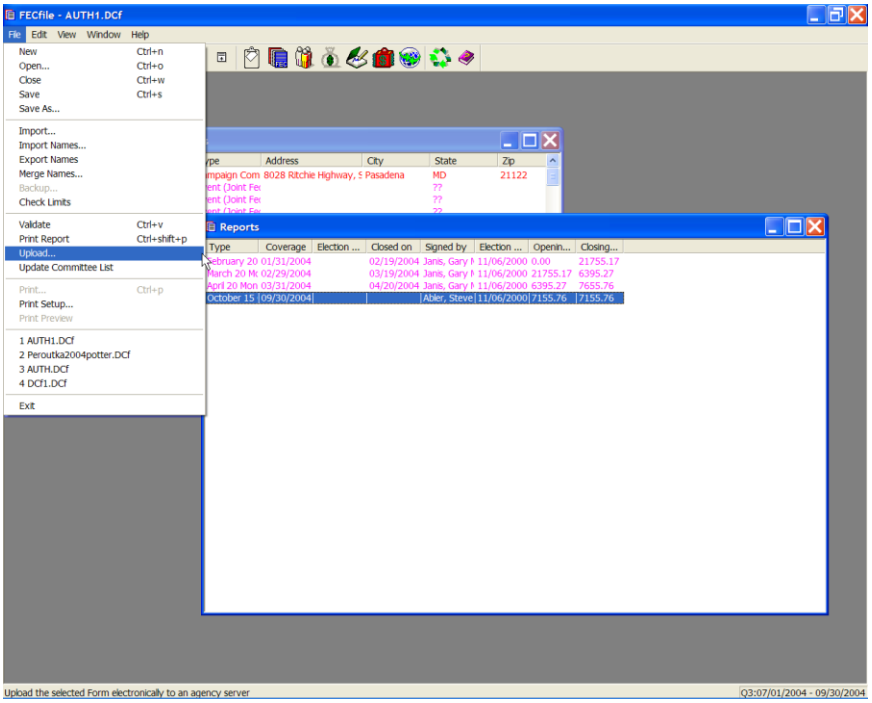



The validation process identifies errors and omissions in the report. It does not evaluate the filing for correct reporting practices, but sends an alert for missing information, such as employers and occupations, or failure to designate a signatory for the report.



- ✓ To validate the report, select **validate** from the File menu or click on the **Validator** button on the toolbar. Once the errors reported by the **Validator** have been resolved, the application is prepared to close and upload the report.

# Uploading the Report Via TCP/IP/Internet




To begin the upload process:

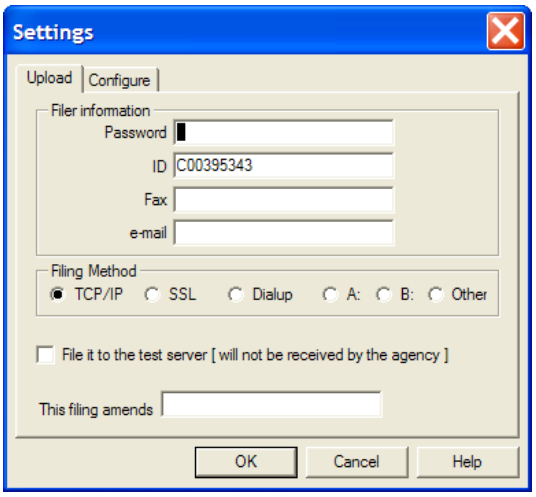
- ✓ Choose Upload from the File menu, or click on the Upload button on the tool bar.
    - The upload process automatically runs the validator.
    - If errors are found that are level 8 or higher, the user will not be allowed to upload the report.
    - If errors are found that are below level 8, a warning message appears on the screen that notifies the user of the errors and asks if the user wishes to continue. It is advisable to correct as many of the errors as possible before filing.
    -

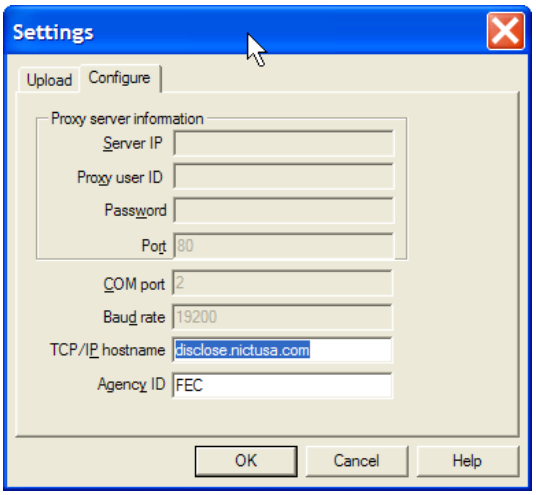
If no errors are found, or the user indicates that they wish to file the report with errors, the Upload Settings screen appears.

- ✓ The Password is required and must be obtained from the FEC electronic filing office.

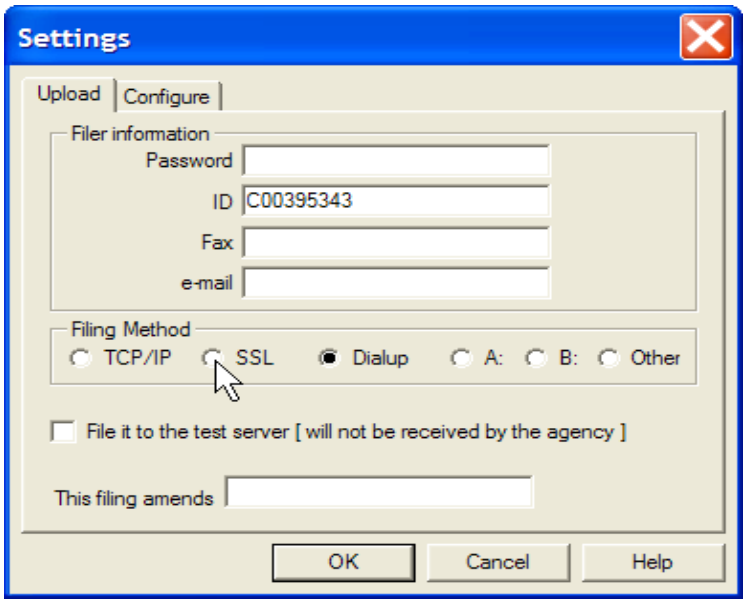
- ✓ The ID is the committee ID which should be reflected, based upon the Lookup file installed. However, if not, enter the  digit committee ID (starting with “C00”).

- ✓ A Fax number and/or Email address is required. This will permit the user to receive confirmation that the report has been received by the FEC. If the user enters both, they will receive both a fax and an email.  The TCP/IP option sends the report to the Commission via the Internet. This is the simplest way to send the report if connected to the Internet and no security measures are in place that would prevent the user from uploading via the Internet. The configure tab has information the software uses to communicate with the FEC electronic filing system. The **TCP/IP** host name should be **disclose.nictusa.com** (all lower case), and the Agency ID should be **FEC** (all upper case). The software defaults to these settings. If settings are changed, they must be reset to the defaults in order to upload the report properly. XXXX  Add  NEW SELECTION SHOWING DUAL EMAIL AND ADD TEXT TO EXPLAIN

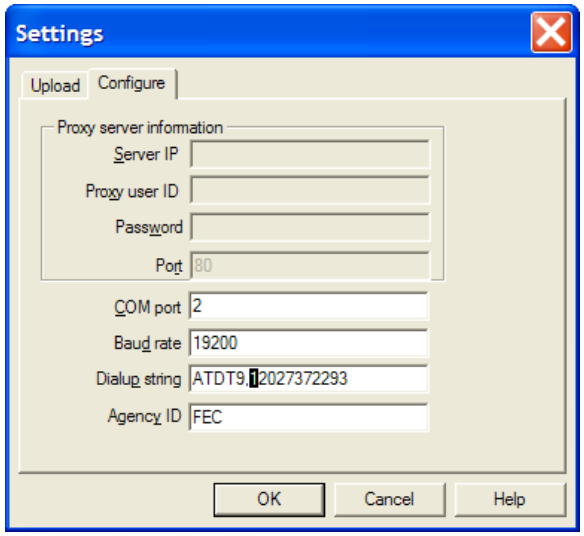


## Dialup Option

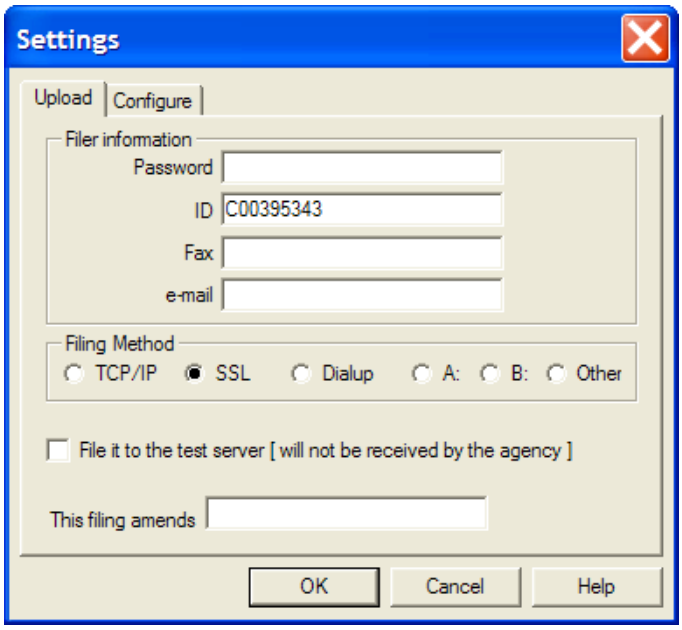



The Dialup option utilizes a direct modem-to-modem communication between the users computer and the FEC electronic filing system. It is slightly less convenient than TCP/IP because it requires some special information on the configuration tab that may not be readily available, as seen below. This option can be used for filers who have no Internet connection or those who have special firewall or proxy server restrictions against uploading files via the Internet.



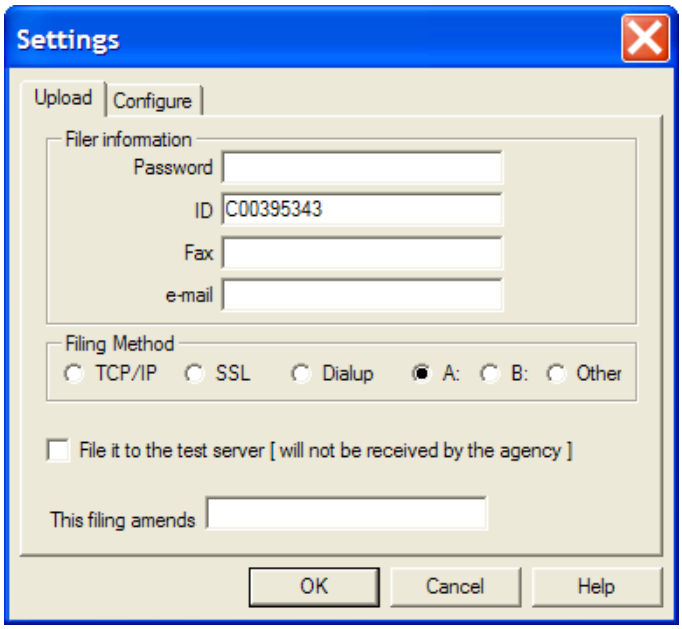
**NOTE: The Dialup string shown includes a "9," in the setup string. If you are dialing from a location that requires a nine or other access number to obtain an outside line, you must include it at the start of the dialup string. The comma provides for a pause to allow the system to obtain dial tone. If you do not have to dial a special access code from the line you use to dial up, you can omit the "9,"**

## SSL




**This option also sends the user's report to the Commission via the Internet. The SSL option allows users that are behind a firewall or proxy server to file their report securely. They may need assistance from their network administrator in order to use this option. The configure tab has information the software uses to communicate with the FEC electronic filing system. The https host name should be https://webforms.nictusa.com/cgi-bin/disclose_ssl/upload (all lower case), and the *Agency ID* should be FEC (all upper case). The software defaults to these settings. If they are changed, they must be reset to the defaults in order to upload the report. The user's Network administrator can supply them the proxy server information.**

## Diskette (A: or B:)




If, for whatever reason, the Internet or a phone line is not available, the report may be submitted on diskette. The filing must be submitted on a single 3.5" 1.44MB diskette and may contain only one report and no other files; the only exception to this is, (on the same diskette), a second file containing a digitized copy of the signed summary page**.** PLEASE READ the following instructions and NOTES completely before you begin:

1. Insert a blank diskette 3.5”. 1.44 MB diskette in the diskette drive and from the “Settings” screen select option A: or B: from the “Filing Method”, whichever corresponds to the floppy disk drive of the computer. If the diskette is not blank, the upload of the file will fail.

2. Select “OK”.

- The report will now be uploaded to the diskette. Check your diskette to verify that the file on the diskette has a **“.fec”** file extension. Any other format will be rejected (**including .dcf**)

- Be sure to label your diskette with:
  - Your email address (so a filing receipt can be sent to you)
  - Your committee ID number (C00123456)
  - Your report type (Year-End 2004)

- The Diskette must be mailed along mailed along with a **signed**

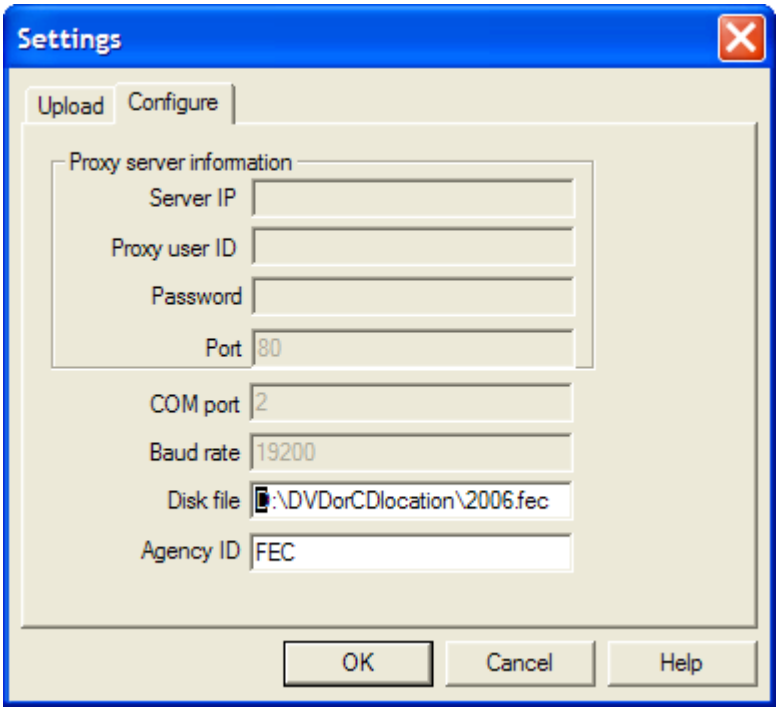
paper hard copy of the report signature page (report cover page), (page 1 of the report, not the complete report), to the FEC. Diskette filings require an actual Report Cover page and signature, as there is no way to transmit the password via diskette. The mailing address is:

**Electronic Filing Office**
**Federal Election Commission**
**999 E Street, NW**
**Washington, DC 20463**

**NOTE: Diskette filings are subject to the same deadlines as paper filings! Diskette filings mailed to the FEC without a signed report cover page will be rejected! The printed Report Cover Page MUST be exactly the same as the one in the filing (i.e., printed from the submitted filing and signed) Each diskette may contain only one report and may contain no other files. The only exception to this rule, is a second file containing a digitized copy of the signed summary page. Outside of that scenario, each diskette should contain only one file, to be successfully accepted.**

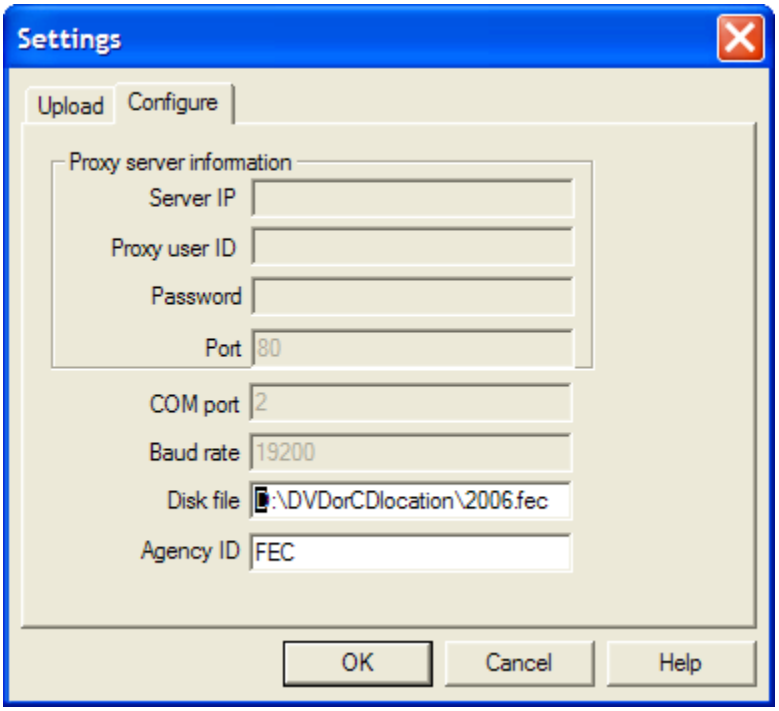
**Please include with your diskette your email address or fax number so that you will receive a filing confirmation receipt.**

## Other (For Writeable Media)




The other option allows the user to specify a specific directory on their computer to create a copy of the report by entering in the complete path and file name with '.fec' as the extension in the 'disk file' field of configuration section of the upload utility. Notice that this will direct the file to any writeable media on your system

## CD




Use the "Other filing method" to facilitate submission on a CD. Note that you will have to create the .fec file on your hard drive, or other writeable media, and use a CD creation utility to "burn" the file onto the CD.

If, for whatever reason, the Internet or a phone line is not available, the report may be submitted on a compact disk (CD). The filing must be submitted on a single CD and may contain only one report and no other files; the only exception to this is, (on the same CD), a second file containing a digitized copy of the signed summary page**.** PLEASE READ the following instructions and NOTES completely before you begin:

1. Insert a blank CD. In the "Upload Settings" screen select "Other" from the Filing Method.
2. Click on the Configuration Screen, and select a writeable media to send your report to (Such as a hard drive) .
3. Select "OK".
   - The report will now be uploaded to the writeable media/location you selected. Check the file to verify that the file created has a **".fec"** file extension. Any other format will be rejected (**including .dcf**)
   - Then, use whatever CD creation utilities you prefer, to "burn"

the file onto your blank CD. Re-verify that the file on the CD has a **".fec"** file extension. Any other format will be rejected (**including .dcf**)

- Be sure to clearly and legibly label your CD with:
  - Your email address (so a filing receipt can be sent to you)
  - Your committee ID number (C00123456)
  - Your report type (Year-End 2004)

- The CD must be mailed along with a **signed** paper hard copy of the report signature page (report cover page), (page 1 of the report, not the complete report), to the FEC. As with Diskette filings, CD filings require an actual Report Cover page and signature, as there is no way to transmit the password via CD. The mailing address is:

**Electronic Filing Office**
**Federal Election Commission**
**999 E Street, NW**
**Washington, DC 20463**

**NOTE: CD filings are subject to the same deadlines as paper filings! CD filings mailed to the FEC without a signed report cover page will be rejected! The printed Report Cover Page MUST be exactly the same as the one in the filing (i.e., printed from the submitted filing and signed) Each CD may contain only one report and may contain no other files. The only exception to this rule, is a second file containing a digitized copy of the signed summary page. Outside of that scenario, each CD should contain only one file, to be successfully accepted.**

**Please include with your CD your email address or fax number so that you will receive a filing confirmation receipt.**

# Additional Upload Instructions, Settings and Features

## Filing to a Test Server

Test reports can be filed using **Dialup, TCP/IP or SSL.** The test-filing server is a duplicate of the actual server. The purpose of test filing is to verify that the user can use the chosen method to file the actual report.

**TEST FILING WILL SIMULATE THE LIVE FILING ENVIRONMENT. FILING A TEST REPORT IS FOR DIAGNOSTIC PURPOSES ONLY. TEST FILING OF REPORTS WILL NOT FULFILL THE FILING REQUIREMENTS IN ANY CASE. THE FEDERAL ELECTION COMMISSION WILL NOT SEE REPORTS FILED TO THE TEST SERVER. THE TEST REPORT WILL EVENTUALLY BE DELETED FROM THE TEST SERVER.**

Additional information about filing test reports is available from technical support.

## Proxy Server information

Allows the user to configure FECload to file reports through a proxy server. The user's network administrator can supply the *server id, proxy user id, and password.*

## COM Port

The *Com port* setting defaults to port 2. This is the most common port used by modems. If the user's modem does not use com port 2, they may change it to the correct com port.

## Baud Rate

The default *Baud rate* is 1 200. This is an indication of the speed with which the modem transfers data. It can be set to match the connection speed but not set higher.

## Dialup String

The *Dialup string* is a series of letters followed by a phone number. This information is passed to the user's modem to enable it to connect with the FEC modem pool.

## Agency ID

This information is used to direct the filing to the proper part of the electronic filing system. The default entry is FEC. There is no need to edit this entry.

## During The Filing Process

When OK is selected, the file is uploaded to the FEC electronic filing server. On the screen a series of messages appears detailing what is occurring. If at any point during the process, something is found to be incorrect, the process will be terminated and the word *FAILED* will appear at the bottom of the screen.

**The most common failures are:**

- incorrect passwords (The password *IS* case sensitive) and
- uploading without first connecting to the Internet (TCP/IP only). If the
- upload process generates a *FAILED* message at any point, call Tech
- Support.

**If the password is correct, and there are no other reasons to reject the file (the Validator usually eliminates most other problems), the last line of the message is Succeeded. At this point the user is notified that the file has been received by the FEC.**

## This does not mean that the file has been accepted!

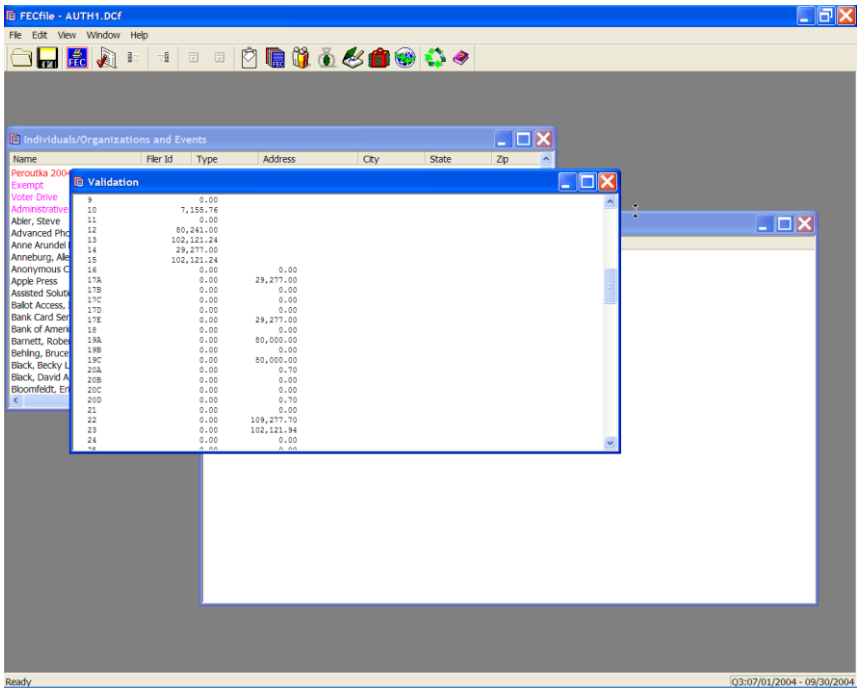
**If the file is accepted, the user receives a fax or email within a few minutes notifying them that the filing was accepted. If they do not receive this notification, they should call the electronic filing office immediately.**

When the user receives notification they will recognize it as the same printout that the validator provided. It should in fact be nearly identical. The MD5 Checksum number should match exactly.

**Example:**

**The only difference between this notification and the one printed from the validator is the addition of a block of information about filing date and time and a Filing ID number. This number is assigned when the report is received and it is important. If it is found that the report must be amended, the user must provide the Filing ID of the original report. The Filing Id is automatically saved inside the user's file, after they upload. They may look up the Filing Id by activating the Reports View, Selecting Edit, and clicking Unclose Report. There is a field that will hold the Filing Id of the report.**

**NOTE: The Faxed or emailed receipt is the official receipt and should be kept just as the user would keep a certified mail receipt. This is proof that they filed the report.**




## Interpreting Validation Error Codes/Description Of The Validator Program

A committee will receive two types of validation error codes when mistakes are made or omissions are present in the report, Error and Warning.

The Error message will not allow the committee to file the report, automatically until the errors are corrected.

The Warning message will only cause a report to fail if the committee has 32,000 errors, or more.

### The Error indicator will look like the following in the Validator printout:

Form{Item}: SB23

Field Name: #002 FEC Committee ID Number

*Error* is Required, but the field is Empty

Form{Item}: identifies the schedule and line on which the Error entry occurs. In this case the error occurs on Schedule B supporting Line 23 of the Summary Page.

Field Name: identifies the aspect of the transaction that is in error.

***Error* identifies the failure. In this example the committee's identification number was not supplied.**

**The Warning indicator will look like the following in the Validator printout:**

| | |
|---|---|
| Form{Item}: | SA11A1 {Smith,John} Field Name: |
| Field Name: | #17 Contributor ZIP Code |
| Warning | Zip Code is Invalid or Missing / Zip = {Missing} |

Form{Item}: identifies the schedule and line on which the Warning entry occurs. In this case the Warning occurs on Schedule A supporting Line 11(a) of the Summary Page.

Field Name: identifies the aspect of the transaction that is in error.

"Warning" identifies the warning. In this example, the zip code is missing.

## Other Errors

### "FEC Committee ID Number Is Required, But Field Is Empty" Error

When a committee finishes their report, they must run the Validator program. Committees may then receive the following error message: **"FEC Committee ID Number is required, but field is empty."** This will prevent the committee from uploading its report. The problem can be fixed by the following steps:

Instruct the committee to open FECFile (but not any particular report), click View and highlight Individuals/Organizations.

Double-click on the entry that displays its own committee (this entry will appear in red).

Instruct the committee to input their FEC identification number directly under FEC ID and click OK.

This will correct the error message listed above and allow the committee to file their report, assuming no other serious problems exist in the report.

# Validator Error and Warning Messages Defined

## Error Messages

**1. HDR record must be First in File** -- Usually means that the file is not in the proper format. Often it is a version 2 file being validated with a version 3 Validator. It is usually a private vendor's software, not an FECFile problem.

**2. "Cover" (e.g. F3A, F3XN, ...) must be 2nd in File** -- Usually means that the file is not in the proper format. Often it is a version 2 file being validated with a version 3 Validator. It is usually a private vendor's software, not a FECFile problem.

**3. Filing must be an "FEC" Type of filing** -- Indicates the user is submitting a report that is not in the ".fec" format.

**4. Filing FORMAT must be FEC Version 6.1** -- Indicates the user is using an old version of FECFile. The Committee will need to download a copy of the latest version of the software from the FEC's web page (http://www.fec.gov/elecfil/electron.html).

**5. Amended filing must have an ID of the "Original"** -- An amended report is given a code once filed at the FEC. In order to amend the report the Committee must use this number. It can be found on the Raw Data Page (http://herndon2.sdrdc.com/cgibin/dcdev/) and should be entered in the following format: FEC-12345.

**6. Amended filing must have an "Amended Number"** -- Each amendment is numbered beginning with 1. If the same report is amended a second time, the amended number is 2. etc.

**7. Header (HDR) inconsistent with Orig/Amend status** -- The Header indicates that the file has been amended but the form name of the report (F3N, F3A, F3XN, F3XA etc) does not.

**8. Unrecognized form Type / Record Ignored** -- The first field in a transaction indicates form type (F3X, SA11AI, SB17, etc.). This message indicates the use of an improper form type.

**9. Schedule does not belong with Form _____** -- Indicates the user is attempting to file an invalid schedule with a particular form.

**10. Validation Terminated! – over 32,000 Problems Found!** -- If 32,000 messages for problems are found in a single filing, the validation routine will stop checking any further. This situation should never come close to happening, but the stop processing step is taken to prevent run-away error messaging on huge filings.

**11. ID #_____ NOT Correct FEC ID# Format** -- Indicates that the Committee is using a number that is not in the FEC ID format (C00XXXXX).

**12. ID #_____ NOT SAME AS Cover Page ID# _____** -- Each transaction

carries the committee ID and it must match the committee ID on the Cover Page of the report.

**13. Report Type is Missing or Invalid** -- Indicates the user has either failed to enter the report type or is using a report type inconsistent with FEC report types.

**14. {field} exceeds maximum length of _____** -- Indicates the user has exceeded the maximum number of characters in a particular field.

**15. {field} is Required, but field is Empty** -- Indicates the user has failed to enter information in a particular field.

**16. Multi-Form Filings are NOT Allowed** -- Each filing must consist of a single form (Form 3X, Form 1, Form 6, etc...). The files cannot be bundled into one filing.

**17. Extraneous data follows last field** -- Indicates a technical problem where software is adding extra delimited fields following the last one defined for the format of that record.

**18. Invalid double-quote surround text field** – This message is given if a text field begins with a double-quote (“) but does not end with a double-quote character.

**19. Embedded double-quotes (“) are not allowed** -- Double quotes are typically used by standardized export routines in many kinds of software. In previous “comma-delimited” versions of the FEC filing format, it was necessary to surround text that contained a comma with double-quotes so the comma would not be confused with a true comma delimiter. In the interest of keeping processing simple, double-quotes were only to be used to surround text in a field – never to occur within the text. For example an address coded as “123 “K” Street” is not acceptable – however, “123 ‘K’ Street” is OK.

**20. Illegal character(s) found in text field** -- All characters found on a computer keyboard are acceptable in text fields. Additionally, foreign language characters defined in the ASCII character set are also acceptable.

**21. Illegal character(s) found in text line #____** -- As with delimited text fields, only keyboard and foreign language characters are allowed in the text of an F99 filing. This message helps the user locate the line of text with the problem character by indicating the line of text the offending character appears on. {This message pertains only to F99 filings.}

**22. Body of text exceeds maximum of 20,000 characters** -- The body of text included in an F99 filing is limited to 20,000 characters (including spaces).

**23. Leading Blanks {e.g. “ Text”} not allowed** -- Data cannot begin with blanks. As an example, [“123 White Street ”] is OK, but [“ 123 White Street”] is not.

**24. Bad Date _____not YYYYMMDD format** -- Indicates the user has enter the date in an improper format.

**25. Not a Real Date or Outside 1960-2099** -- Indicates that the user has entered an invalid date or a date that does not fall between 1 60 and 20 .

**26. Invalid Amount format: _____** -- Indicates the amount is something other than numbers and decimals. Dollar signs and commas are not allowed.

**27. Non-numeric data in Numeric Field** -- Indicates characters that are other than numbers entered into a field that should contain only numbers.

**28. ____ is an Invalid Year (CCYY) Format** -- Indicates the user has entered the year in an incorrect format. Year should be coded Century+Year as in 2008 for example.

**29. Wrong Report Type with this Form** -- Many filings have a "Report Type" on their cover page, but different filings have different sets of valid report type codes. If a Report Type (that may be perfectly OK to use on one kind of filing) is used with a filing that does not include the value in its set of valid choices, this error message will occur.

**30. District "___" is not 2-digit Numeric format** -- Indicates the user has failed to enter the Congressional District as two digits. Note that districts 1 – 9 must be coded 01 – 09.

**31. Tran ID is NOT UNIQUE - This one is same as other(s)** -- Each transaction in an electronic filing (and all of its amendments) must have a unique transaction id.

**32. No Match Found for Back-Reference to Schedule/Tran ID** – A transaction's cross or back reference to a related transaction (e.g. a Schedule B transaction that's related to a Schedule A transaction) is erroneous. The transaction and/or its Transaction ID is not actually included in this filing, so the cross reference is incomplete.

**33. No Schedules have been provided with Filing ____** -- If any F24, F5 – F10, or F13 filing has no accompanying schedule, the filing will be rejected by the FEC.

***The next set of messages pertain to specific filings and schedules.***

**34. Schedule H1 contains Redundant Sections** -- Schedule H1 has Section A and Section B. Only one of them is to be used.

**35. Invalid Rate format: ____** -- Percentage rates below 100% are coded to 4 decimal places. For example: 25% is coded .2500 and 12-1/2% is coded .1250. 100% is coded 1.000

**36. Admin H3 Reference TranID should match the TranID** -- The Back Reference Tran ID (field #4) of any H3 record should reference the Tran ID (field #3) of the Administrative (AD) H3 record. Note that the Back Reference Tran ID of an AD record should refer to itself (i.e. the field #3 Tran ID).

**37. Activity {__} Invalid – OK Vals: [AD|GV|DF|DC|EA|PC]** -- There are 6 valid codes that can be used to identify a type of activity described on an H3 record.

**38. Database Account # does not link to any Schedule L {or I}** -- Schedules A and B are used to itemize details in Schedules I and L. When so used, they must indicate to which Schedule I or Schedule L they are supplying supporting detail.

**39. F3Z-1 Report Type [__] is invalid (use J30 or D31)** -- F3Z-1 filings are for either

June 30th (J30) or December 31st (D31).

**40. 24/48-hour code must be "24" or "48" not "__"** – F5 filings are designated as either 24-hour reports or 48-hour reports.

**41. C7 committees only file F7 reports** – C7 type committees file no reports with the FEC other than their own special F7 reports. Should a C7 committee attempt to file any other report, it will be rejected by the FEC.

**42a. An FEC "C9xxxxxxx" ID must be used to file Form 5** -- {see 42c below}

**42b. An FEC "C7xxxxxxx" ID must be used to file Form 7** -- (see 42c below}

**42c. An FEC "C3xxxxxxx" ID must be used to file Form 9** -- Form 5's are filed by "C9" committees; Form 7's are filed by "C7" committees; and Form 9's are filed by "C3" committees. When a type of committee files a report that does not pertain to that committee, any attempt to electronically file the wrong report will be rejected by the FEC.

**43. Filing must have [BEGINTEXT] followed by text** -- F99 filings differ from the formats of all other "delimited" electronic files. The free-form text is bracketed by special [BEGINTEXT] and [ENDTEXT] records.

**44. Text is NOT bracketed by [BEGINTEXT] & [ENDTEXT]** -- F99 filings differ from the formats of all other "delimited" electronic files. The free-form text is bracketed by special [BEGINTEXT] and [ENDTEXT] records.

## Warning Messages

**1. Entity Type [___] is not an acceptable value** -- Entitiy codes used by the FEC to identify types of committee are: IND, CAN {an individual or candidate}; CCM, COM {a Candidate Committee or a [non-Candidate] Committee}; ORG, PAC {an Organization or PAC}; or a PTY {Political Party}. Not all entity type codes are valid with an Entity in every Form or Schedule.

**2. Conditionally Required field is empty** -- Indicates the user has failed to enter data in a particular field when circumstances (because of values of related data) require it.

**3. __{date}__ is outside of range of 1960 – 2099** -- Although the date may be coded correctly and represents a valid date in the calendar, FEC filings must use "current" dates after 1960 through 2099.

**4a. Subtotal {_____} not supported by other lines** -- Summary amount should be the total of other lines on the summary, but is not (total contributions do not match all the contribution lines added together).

**4b. Subtotal {_____} not support by Schedule** ____ -- Summary Page amount does not match the aggregate total from all non-memo transactions in the supporting schedule.

**4c. FYI → {_____} accumulated on Schedule** ___ -- If warning number 4b

appears, this error is provided for the user's information.

**5a. Election Code invalid: ___ {description}** -- Indicates that the user has failed to adequately indicate an election (primary, general, special or runoff) towards which a contribution was made.

**5b. Election Code missing: ___ {description}** -- Indicates that the user has failed to indicate an election (primary, general, special or runoff) towards which a contribution was made.

**6. Street Address is Missing** -- Indicates the street address for a particular entry is missing.

**7. Single-line Address NOT in 1st delimited field** -- Indicates that the user has entered a one-line address in the second address field.

**8. ___ not a valid 2-character USPS State Code** -- Indicates that the user has failed to enter the two digit state code.

**9. Zip Code is invalid or Missing / Zip =_____** -- Indicates the user has failed to supply the zip code or has supplied too few or too many digits.

**10. Invalid Area Code/Phone Number _____** -- Indicates the user has entered a phone number containing too few or too many numbers.

**11. Office Code "_" Invalid (Valid Codes: H, S, P)** -- Indicates that the user has entered an office code that does not fit the format of H (House), S (Senate), or P (President).

**12. Committee Type "_" is Invalid for this Form** -- Indicates that the user has entered an invalid committee type on Form 1, 1M or 4.

**13. Organization Type "_" is Invalid for this Form** -- Indicates that the user has entered an invalid organization type on Form 1 or 7.

**14. ___ not a valid 3-character Party Code** -- Indicates that the user has entered a code on Form 1 that does not correspond to a recognized political party.

**15. ___ not a valid Party Type (NAT, STA, SUB)** -- Indicates that the user has entered a code on Form 1 that does not fit the party type and format of NAT (National), STA (State), or SUB (Local).

**16. ___ not a Valid Itemized Transaction** -- A Schedule B Expenditure Transaction Code is not one recognized by the FEC {refer to list of allowable Expenditure Transaction codes in the format documentation}.

**17. ___ not a Valid 3-digit itemized Category Code** -- A Schedule B Expenditure Category Code is not one recognized by the FEC {refer to list of allowable Expenditure Category codes in the format documentation}.

**18. Value "__" is Invalid for this Yes/No field** -- Indicates that the user has entered something other than "yes" or "no" in a field that requires one of those responses.

**19. Value "__" is Invalid for "Checkbox=X" field** -- Indicates that the user has entered something other than a check in the checkbox.

**20. Superfluous Data in field not used with this Filing** -- Sometimes, use of certain data fields in a given schedule are inappropriate, either because of the type of filing, or because of the values of other fields in the schedule deem the field unnecessary. For example: Schedule A's "Increased Limit" check-box (field #25) only pertains to Form 3 filings; if used, the field is superfluous on Form 3X and 3P filings.

**21. Invalid reference to Summary Page Receipts Line#** -- Schedules such as A, B and C have Record Types that include the summary page line# the schedule supports. For example Form 3 can have Schedules: SA11AI; SA11B; SA11C; SA11D; SA12; SA13A; SA13B; SA14 and SA15. (Form 3X has a different set of summary page line numbers.) This message occurs when a Schedule has the wrong line# for the type of filing in the Record Type field (field #1).

***The next set of messages pertain to specific filings and schedules.***

**22. Choose one or more "Ratios Apply…" checkboxes** – If committee uses Section B on Schedule H1, one or more or the three checkboxes under the "This ratio applies to" heading must contain an "X".

**23. Choose either flat or specified allocation ratios** – If committee uses Section B on Schedule H1, either the checkbox indicating "a flat minimum of 50% federal funds" must have an "X", OR the percentage rates for federal and nonfederal funds must be specified.

**24. Federal/Nonfederal Percents not = 100%** -- If the percentage rates for federal and nonfederal funds are specified (on Schedule H1 or H2), their sum must = 1.000 (100%).

**25. Ratio Code "___" Invalid (Valid Codes: N, R, S)** -- indicates that the user has entered a ratio code that does not fit the format to indicate if it is: N (New); R (Revised); or S (Same).

**26. Some H3 Transfer $ Aggregates not equal Dollar Total** – Sum of all Schedule H3 Breakdowns of Transfer Amounts must equal the sum of all H3 Total Transferred Amounts.

**27. H5 Transfer Total not equal sum of Dollar Breakdowns** – The sums of each Schedule H5 itemization of the "Breakdowns of this Transfer" must equal the "Total Amount Transferred".

**28. Select only one checkbox among this group** – On Schedules H4 and H6, one (and only one), Type of Activity/Event checkbox should be marked with an "X". (More than one found.)

**29. Choose one (1) Activity/Event allocation code** -- On Schedules H4 and H6, one (and only one), Type of Activity/Event checkbox should be marked with an "X". (None found.)

**30. Total Amt not equal sum of Federal & NonFed Shares** – Schedule H4's aggregate sum of Federal and Nonfederal amounts is not equal to the Total Amount for the itemization.

**31. Total Amount not equal sum of Federal & Levin Shares** -- Schedule H6's aggregate sum of Federal and Levin amounts is not equal to the Total Amount for the itemization.

**32. Sup/Opp Code "___" Invalid (Valid Codes: S, O)** -- Indicates that the user has entered a code that does not fit the format of S (Support) or O (Oppose) on Schedule E.

**33. Communication Code "__" Invalid. (Valid: DM, TP, TM, O)** -- Indicates that a Form 7 (Report of Communication Costs) does not disclose the code for the type of communication in the category of DM (Direct Mail), TP (Telephone), TM (Telegram), or O (Other).

**34. Communication Target "_" Invalid. (Valid: E, S, M)** -- Indicates that a Form 7 (Report of Communication Costs) does not disclose the correct code for the class of recipient, in the category of E (Executive/Administrative Personnel), S (Stockholders), or M (Members).

**35. ___ Invalid Creditor (ICV,UCV,CAN,EMP,OTH)** – The type of creditor code that identifies the creditor on a Form 8; Part II (F82) or a Part III (F83) is not one of the values recognized by the FEC.

**36. Cycle Total not = {Prev Aggregate + Report Total}** – On a Form 10 filing, the sum of the "Previous Aggregate Expenditures" and the "Total Expenditure this Notice" must equal the amount specified for the "Total Expenditures Election Cycle to Date" aggregate.

**37. Net Donations not equal sum of Receipts – Refunds** – On a Form 13 filing, the sum of the amount specfied for "Net Donations" is not equal to "Receipts" minus "Refunds".

**38. F99 filing categorization code {___} is not valid** – An F99 filing must be identified as being a "MSI" (Disavowal Response), a "MSM" (Filing Frequency Change Notice), or a "MST" (Miscellaneous Report).

**39. Duplicate Accounts on two or more Schedule L {or I} found** – Schedules I and L are identified by an Account Name and a 9-character Account ID (the ID is not on the paper form, but is part of the layout formats for SI and SL records). The Account ID coded on each Schedule I (SI) record and each Schedule L (SL) record must be unique.

**40. F3Z Primary Committee Name Not Equal F3 Filer Name** – Form F3Z's (consolidation report) filer name must be the same as the committee name given on the Form 3.

**41. F3Z Coverage Date Not Equal F3 Coverage Date** – Form F3Z's (consolidation report) coverage date must be the same as the coverage date given on the Form 3.

42. **Valid F3Z filing has 1 PCC, 1+ Auth & 1 Totals Form** – When a consolidation report accompanies an F3 filing, there must be one F3Z record for the Principal Candidate Committee (PCC), one or more records for each Authorized Candidate Committee, and one F3ZT (Totals) record.

## Error Codes

There is a long list of possible error codes that can be displayed in the validator (see above Errors and Warnings). Most of these do not apply to FECFile, but are necessary to provide information to other programmers who support electronic filing. To correct an error, go to the transaction indicated by the error message, and make the necessary changes.

The Validator screen indicates if an error is a “Warning” or if it is a “Fail” error. A typical Validation error will appear like this:

**Example 1:**

Form (Item): SE24 (Johnson, Dave)

Field Name: #015 Payee City

Warning Conditionally Required Field is Empty

To understand what information this error is providing us, we begin by looking at the *Form (Item).* This information helps you identify where the problematic transaction is located. In our example, the *Form (Item)* is SE24, which stands for Schedule E Line 24. The name on this particular line item will read Dave Johnson. We need to look for a Schedule E transaction with the name Dave Johnson.

The second step is to look at the *Field Name.* The *Field Name* tells us what part of the transaction is in error. In this case the *Field Name* reads, “Payee City” which tells us that there is an error in the field where the city is entered in for Dave Johnson’s address.

The third step is to look at what the Warning description. In our example, the Warning reads, “Conditionally Required field is empty.” This means we did not fill in the name of the city that Dave Johnson lives in, and we should go back and enter it now.

**Example 2:**

Form (Item): F3XN

Field Name: #22 Treasurer’s Signature Date

*Error* is required but field is empty

*First***,** we look at the *Form (Item),* which reads Form 3X (The N=New Filing). Form 3X refers to the cover page of the 3X filing. **Note: This would read 'F3N (Form 3) if we were a Candidate Committee.** We know the error is not related to a particular transaction, but to field #22 in the cover page of the report itself.

*Secondly*, we look at the Field Name, which reads "Treasurer's Signature Date." This refers to the date we "Closed" the report as we prepared to upload it. We reach the "Closed Date" screen, by right clicking on the *Reports View* and selecting *Close.*

*Thirdly*, we see that we received an "*Error*" message and that our description reads, "Is required but field is empty" which tells us we need to go back and enter in the date we closed the report.

The difference between a *Warning* and an **Error** message is that reports containing only warnings may still be uploaded, while a report with an **Error** message cannot be uploaded.

# I. AMENDING REPORTS AND NOTICES

There are three types of reports produced by FECFile that are related to the Form 3 and Form 3x reports. An amended report is based on a previously filed report, a 48-hour is a special report that contains information that will be reported on the next Form 3 report filed. In FECFile, both require that a current or previous report be available on the Reports View.

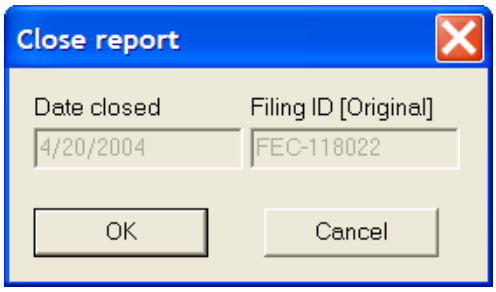
## Amendments

ONLY ELECTRONICALLY FILED REPORTS CAN BE AMENDED ELECTRONICALLY!

She

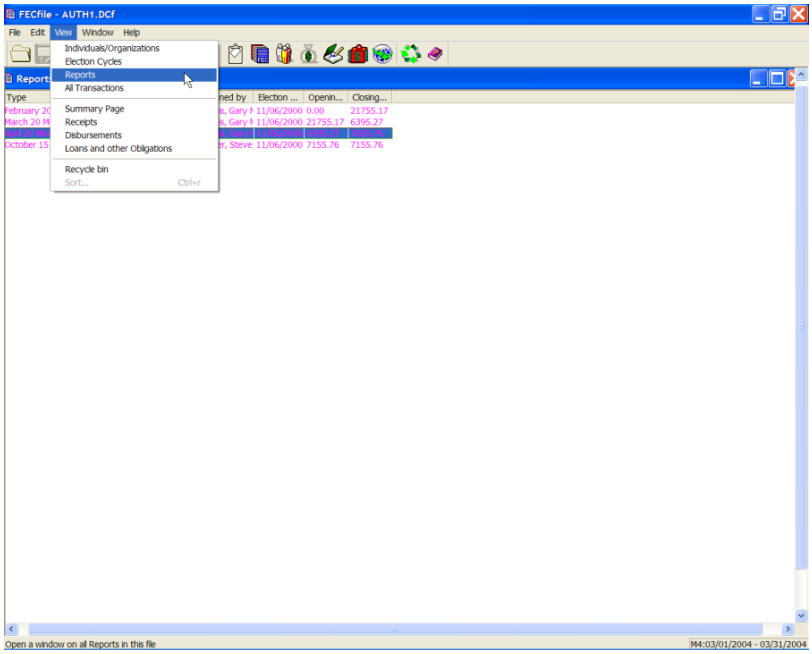
**If the report being amended was originally filed on paper, it cannot be amended electronically.**

**When the original report was filed electronically, a faxed or emailed confirmation from the FEC that included a Filing ID number was sent. The Filing ID is in the format "FEC-XXXX" where the Xs represent numbers. This number is automatically saved for the user upon a successful filing, making the amendment process easier. Notice that the filing id field is grayed out. This id cannot be altered.**

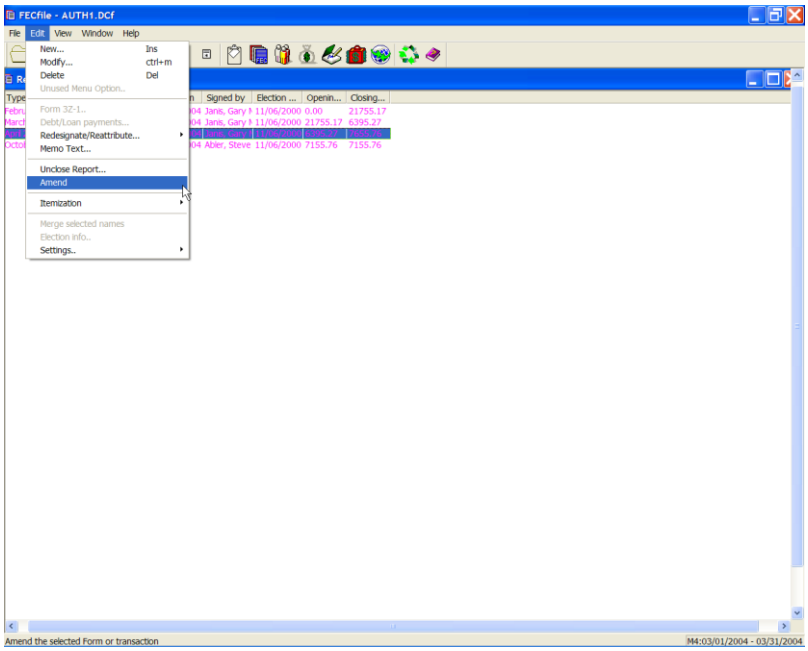


## Creating An Amendment

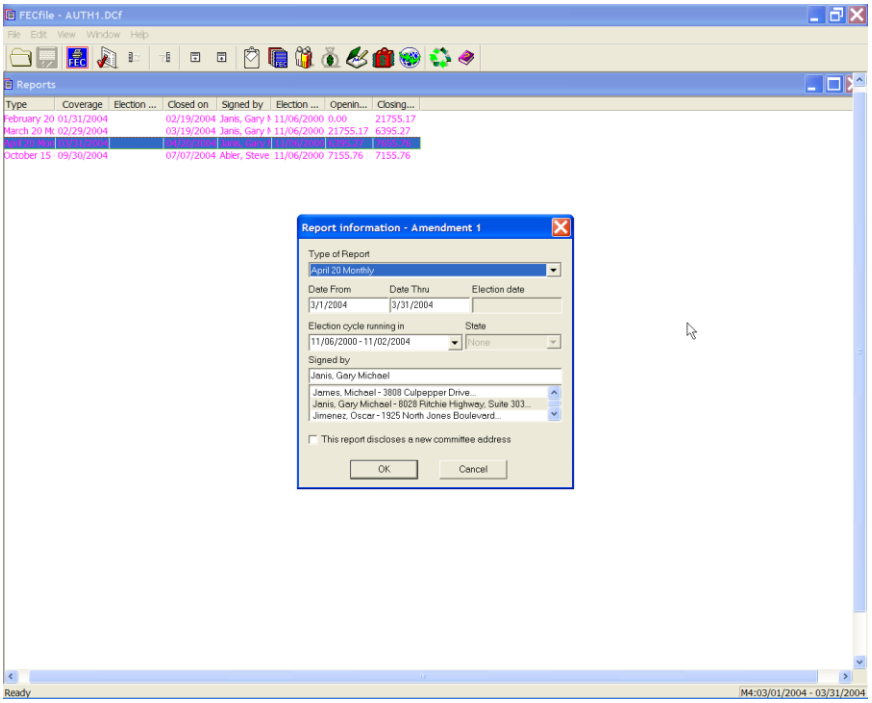
✓ Select View from the menu bar, and Reports.




✓ Right click on the report to amend and select Amend. The report screen that opens should contain most information.



- ✓ If the treasurer's name is being modified as part of the amendment, it is modified at this point.




- ✓ Choose OK to create the amended report. Select Yes to modify the selected report.

The report will now have an A1, A2… in front of it; A1 is for the first amendment A2 is for the second amendment. Any subsequent amendments will have "A" and the appropriate corresponding number of the amendment. If the user has any reports that were already closed and filed, FECFile will automatically generate amendments for those reports.

Example:

- **There are three reports filed to date. The Quarter 1 dated 1/1/01 to 3/31/01, the Quarter 2 dated 4/1 /01 6/30/01 and the Quarter 3 dated 7/1 /01 to  /30/01. All three reports are closed and have been filed electronically. The user needs to amend the Quarter 1 report, after filing the amendment for this report all the subsequent filed reports will generate automatic amendments. To find out if they need to file any of these automatically generated amendments; contact the Reports and Analyst Division at the Federal Election Commission**.

## Modifying Transactions For The Amendment

Transactions that were incorrectly reported in the original report can now be corrected.

- ✓ Go to the view that contains the incorrect transaction (e.g. Receipts, Disbursements), and find the transaction that requires editing.
- ✓ Double click on the transaction requiring editing.
- ✓ Make the necessary changes to the transaction and select OK. The altered transaction appears; the original transaction resides in an archived file of the original filing.

## Adding new transactions for the amendment

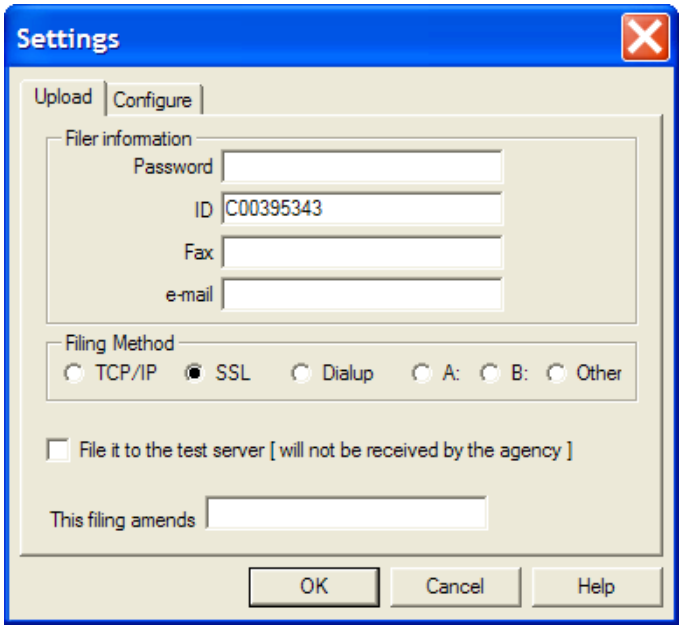
Adding new transactions to an amended report is completed as adding new transactions to an original report. Go to the Summary Page View and double click on the line that represents the new transaction.

## Deleting transactions from an amended report

To delete a transaction from an amended report, go to the view that displays the transaction, single click on the transaction, and choose Delete from the Edit menu.

## Filing an amended report

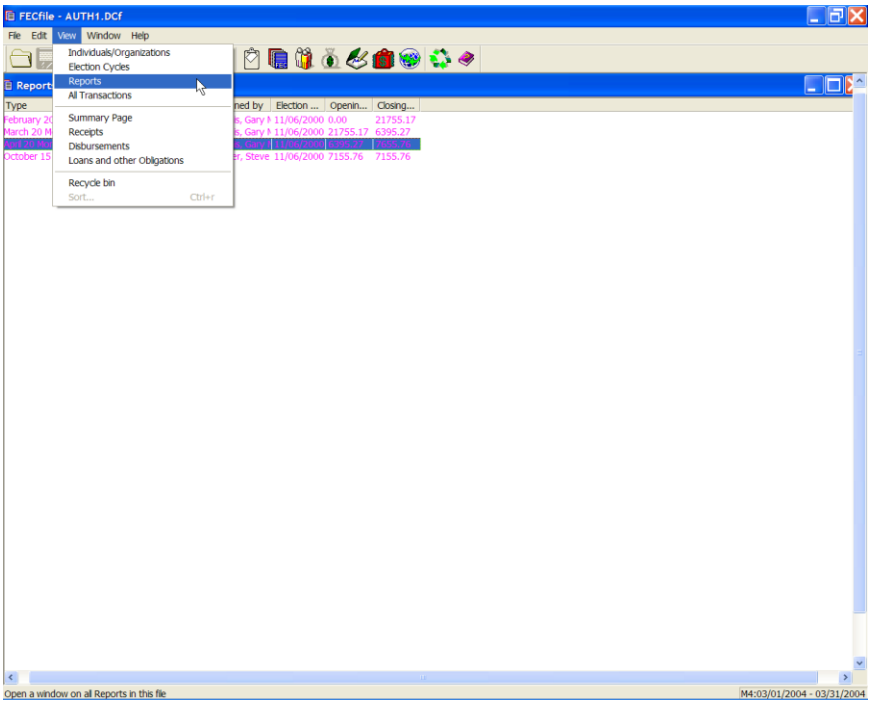
**An amended report is filed like a new report (choose Upload from the File menu). The necessary filing id required to amend the report is already entered in the box labeled "This filing amends"**




## Previewing original and amended reports

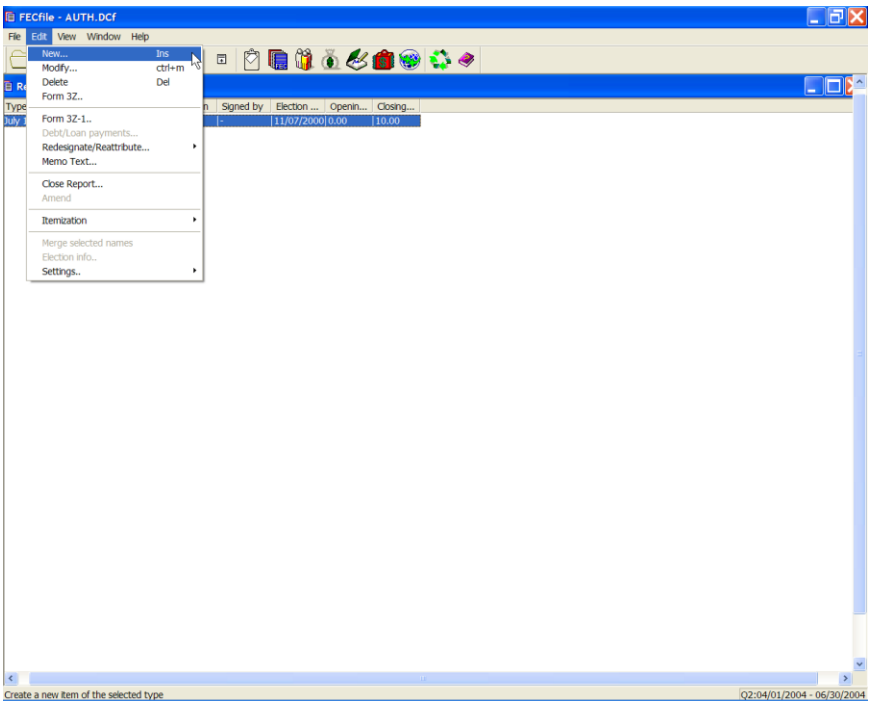
FECFile now creates an archived file of filed reports. To view a report, select the one to preview from the reports view. Select print archived report from the file menu. Choose current, original or amendment 1, 2, or 3. Choosing current previews the report that is selected in the reports view. Original previews the original report that was filed or the current report if no report has yet been filed. Any of the amendment options preview the corresponding amendment.

# 48 Hour Notices

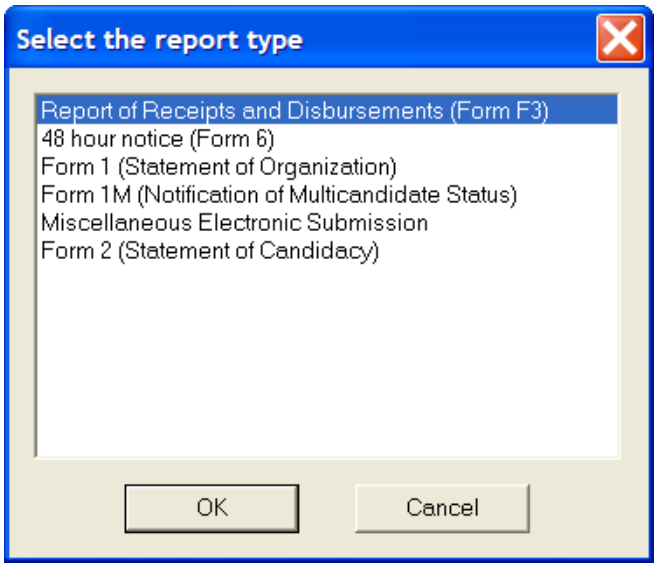



Create the next report (i.e. Q1) and the transaction(s) that will be reported on that report and the 48 Hour Notice. This report and subsequent transaction will be reported to the FEC at some point following the submission of the 48-Hour Notice.

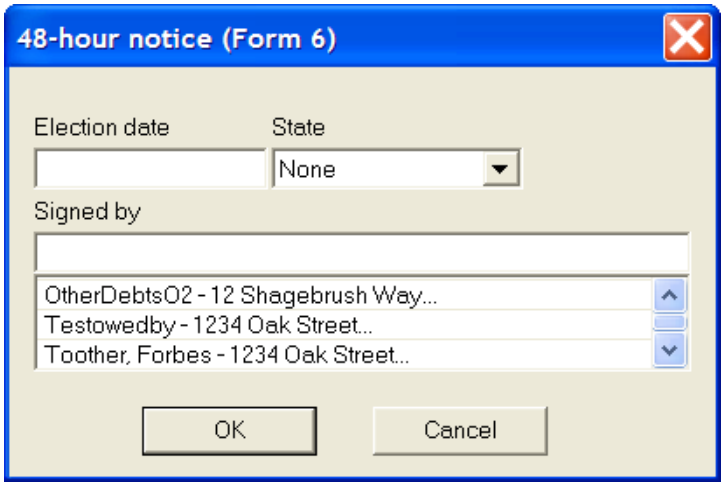
- ✓ Select View from the menu bar and click on Reports




✓ Select Edit from the menu bar and click on New. A dialog box will appear



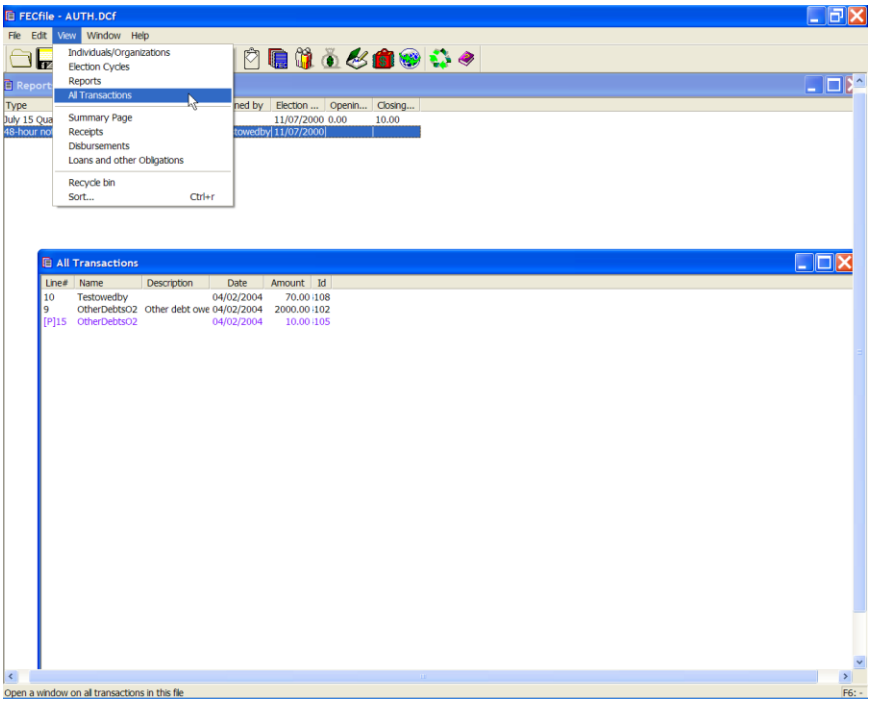

✓ Select 48 Hour Notice in the dialog box and click on OK.




- ✓ Enter the date of the election in the Election date field.

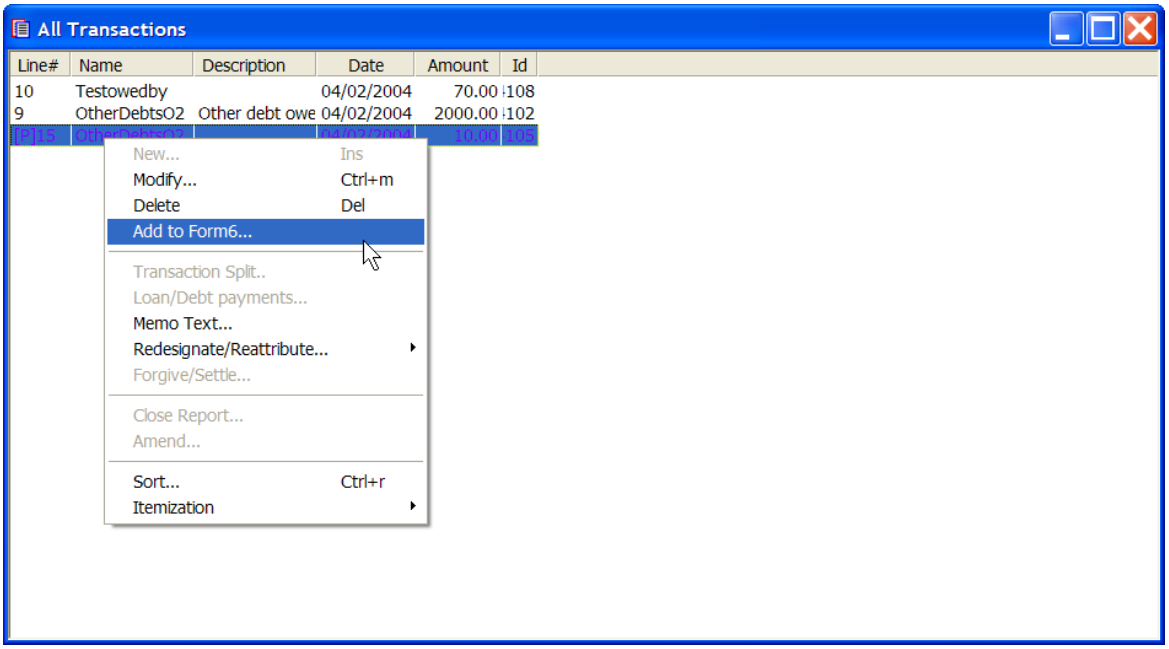
- ✓ Click on the drop down menu and select the state in which the candidate is running for election.

- ✓ Select the Treasurer or Assistant Treasurer from below the Signed by field. Their name will now appear in the Signed by field. Click on OK.




- ✓ Select the 48 hour notice line in the Reports View, highlighting it. Select

View from the menu bar and select All Transactions.

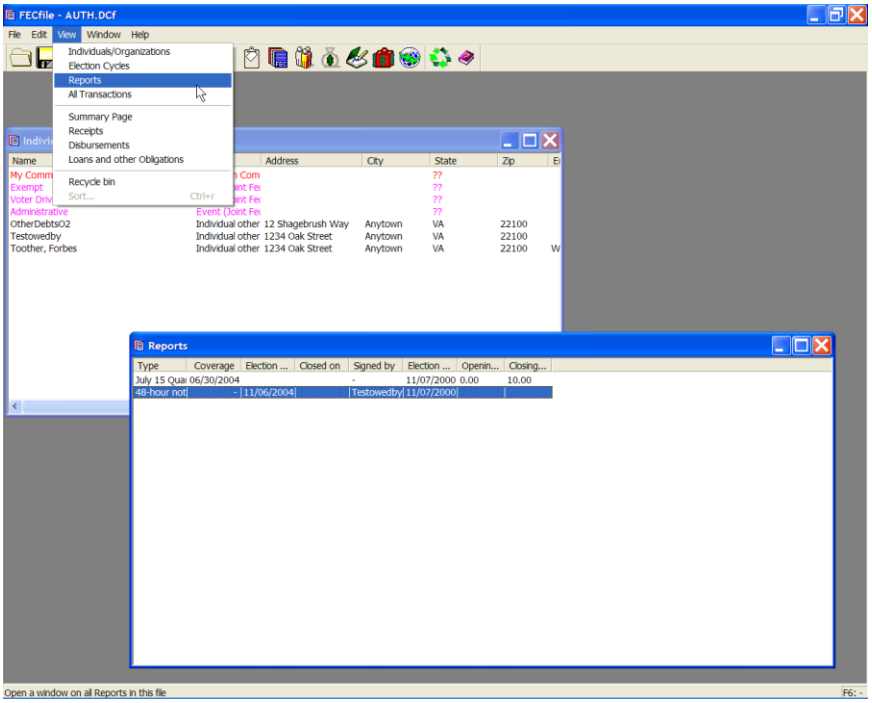



- ✓ Right click on the appropriate transaction, from step 1, that you would like to add the 48 Hour Notice. Select Add to Form 6 from the drop down menu. The transaction has now been successfully added to the 48 Hour Notice highlighted on the Reports screen from previous step.

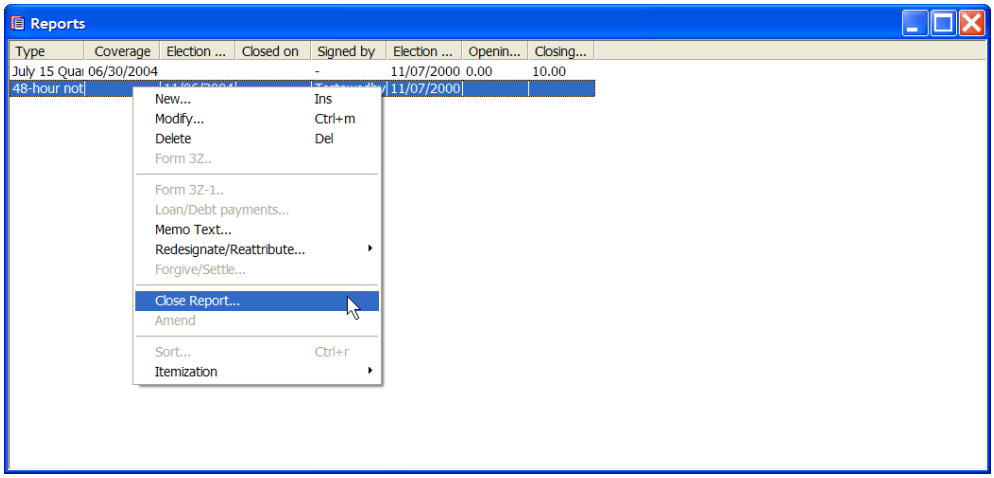
- ✓ If additional transactions are required to add to the same 48 Hour Notice, repeat the previous step for each transaction.

**Note: The transaction must be previously created in the next report in order to be attached to the Form 6.**

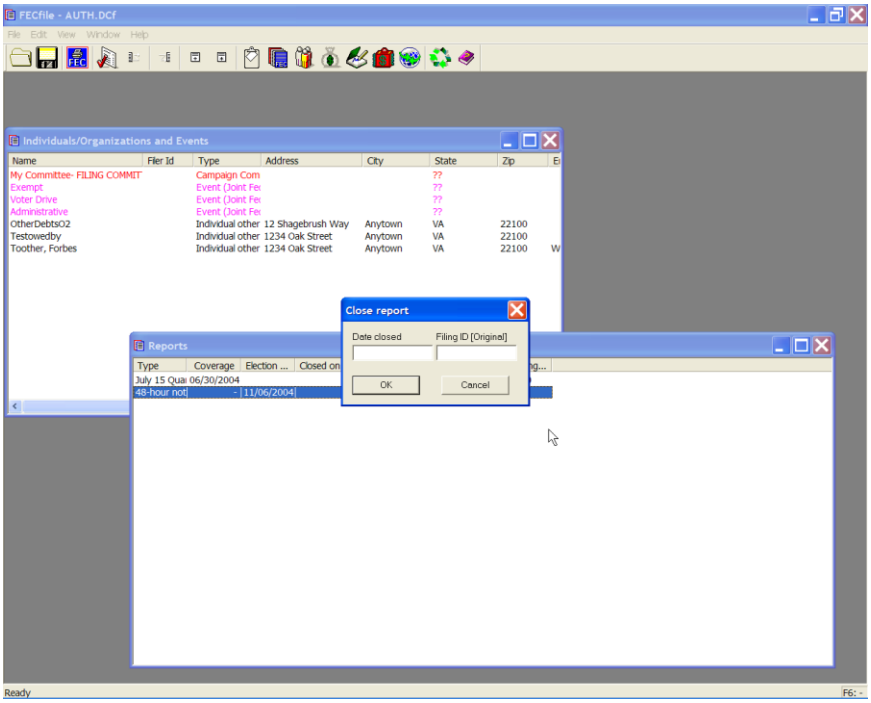
- ✓ Select View from the menu bar and click on Reports.




✓ Right click on the 48 Hour Notice and select Close Report.

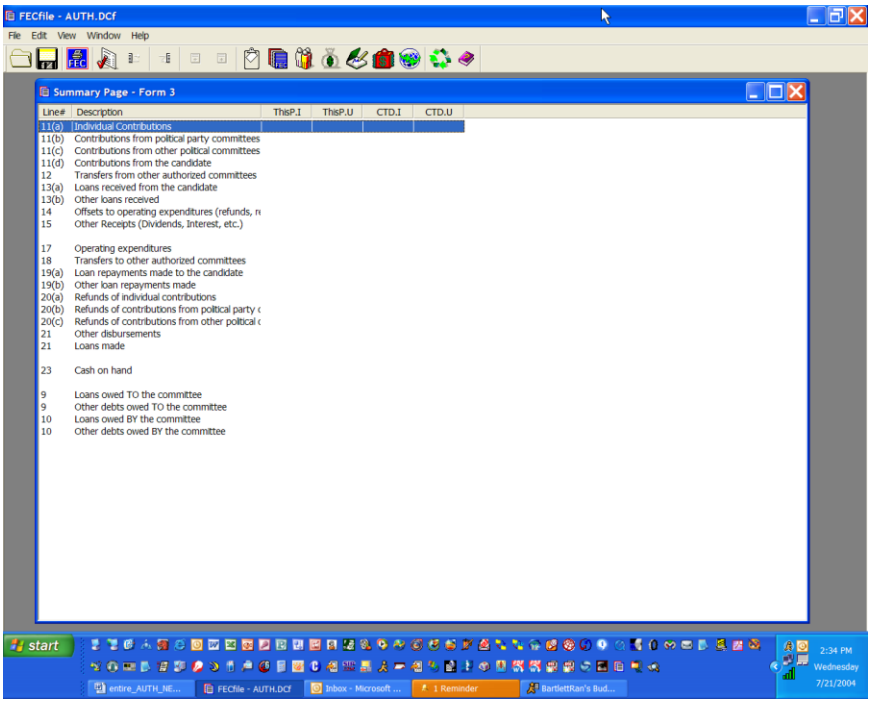



✓ Enter in the current date in the Date Closed field, and click on OK.



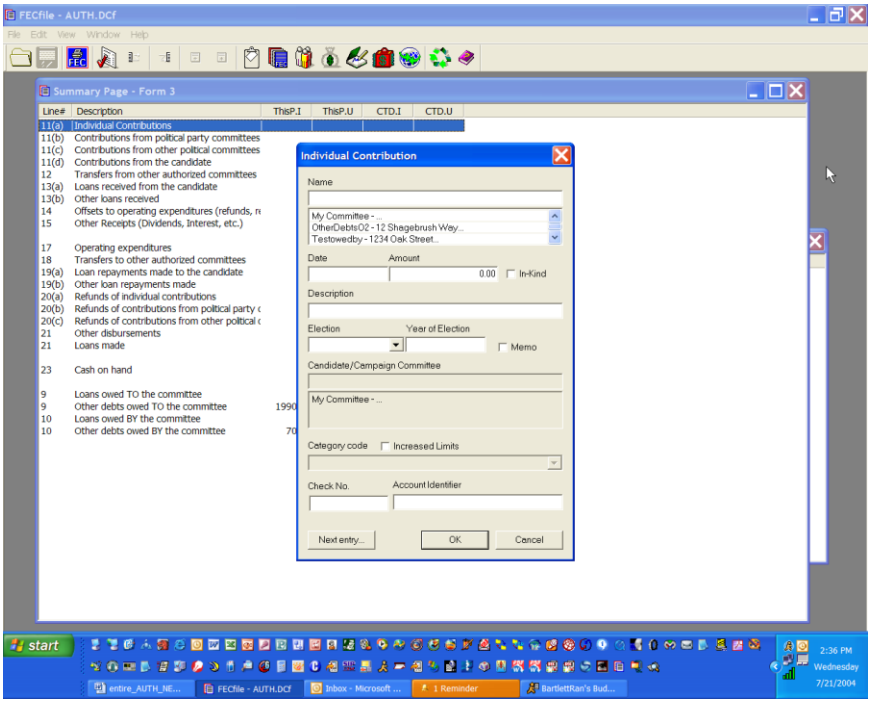

✓ Upload the report as per submission instructions.

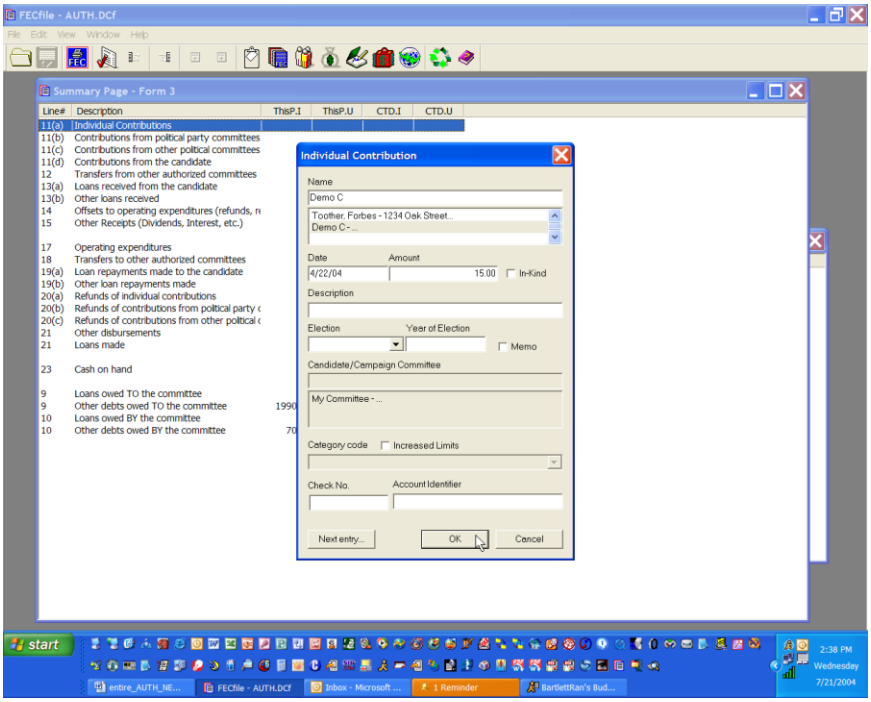
# Partnership Contributions




- ✓ From the FECFile Summary page, double click on line 11(a).

- ✓ The Individual contribution dialog box appears. Enter the partnership's name in the text field, and press the Tab key.


FECfile - AUTH.DCf
File Edit View Window Help
Summary Page - Form 3
Line# Description ThisP.I ThisP.U CTD.I CTD.U
11(a) Individual Contributions
11(b) Contributions from political party committees
11(c) Contributions from other political committees
11(d) Contributions from the candidate
12 Transfers from other authorized committees
13(a) Loans received from the candidate
13(b) Other loans received
14 Offsets to operating expenditures (refunds, r
15 Other Receipts (Dividends, Interest, etc.)
17 Operating expenditures
18 Transfers to other authorized committees
19(a) Loan repayments made to the candidate
19(b) Other loan repayments made
20(a) Refunds of individual contributions
20(b) Refunds of contributions from political party c
20(c) Refunds of contributions from other political c
21 Other disbursements
21 Loans made
23 Cash on hand
9 Loans owed TO the committee
9 Other debts owed TO the committee 1990
10 Loans owed BY the committee
10 Other debts owed BY the committee 70
Individual Contribution
Name
My Committee - ...
OtherDebts02 - 12 Shagebrush Way...
Testowedby - 1234 Oak Street...
Date Amount
0.00 In-Kind
Description
Election Year of Election
Memo
Candidate/Campaign Committee
My Committee - ...
Category code Increased Limits
Check No. Account Identifier
Next entry... OK Cancel
start
2:36 PM
Wednesday
7/21/2004


FECfile - AUTH.DCf
File Edit View Window Help
Summary Page - Form 3
Line# Description ThisP.I ThisP.U CTD.I CTD.U
11(a) Individual Contributions
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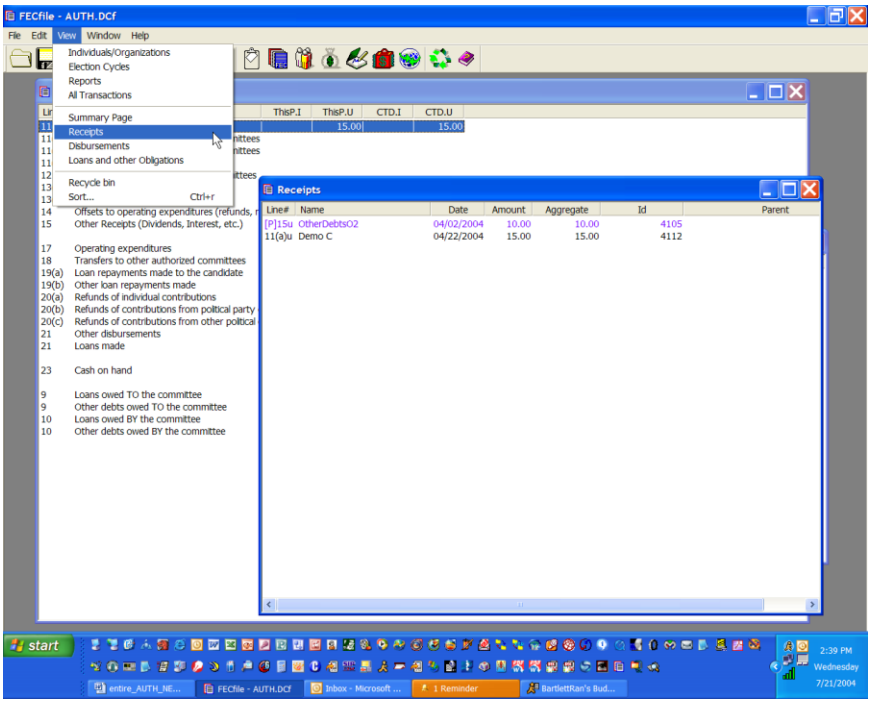
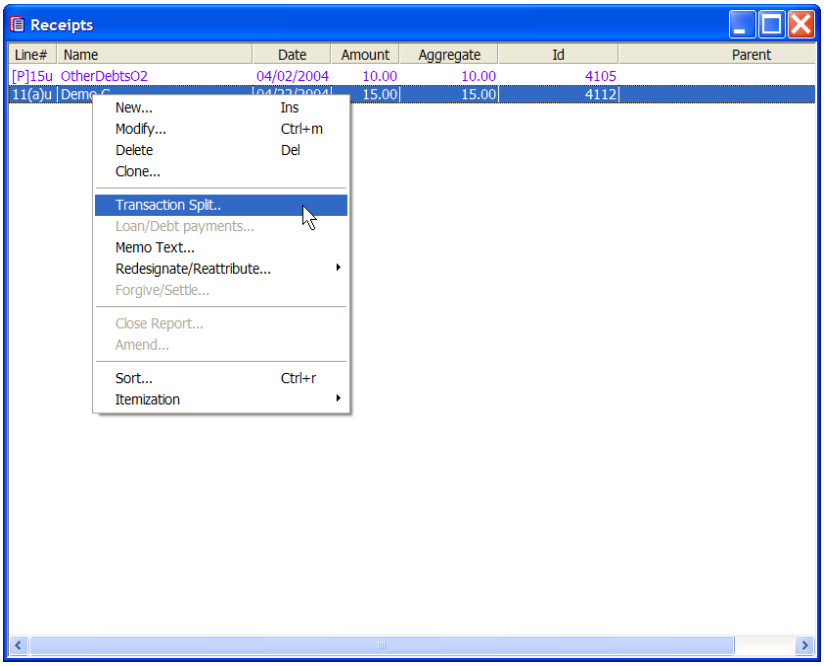
15 Other Receipts (Dividends, Interest, etc.)
17 Operating expenditures
18 Transfers to other authorized committees
19(a) Loan repayments made to the candidate
19(b) Other loan repayments made
20(a) Refunds of individual contributions
20(b) Refunds of contributions from political party c
20(c) Refunds of contributions from other political c
21 Other disbursements
21 Loans made
23 Cash on hand
9 Loans owed TO the committee
9 Other debts owed TO the committee 1990
10 Loans owed BY the committee
10 Other debts owed BY the committee 70
Individual Contribution
Name
Demo C
Toother, Forbes - 1234 Oak Street...
Demo C - ...
Date Amount
4/22/04 15.00 In-Kind
Description
Election Year of Election
Memo
Candidate/Campaign Committee
My Committee - ...
Category code Increased Limits
Check No. Account Identifier
Next entry... OK Cancel
start
2:38 PM
Wednesday
7/21/2004

- ✓ The Individual/Organization Information dialog box appears. In the type field, select Business, Financial Inst., Partnership, Indian Tribes, Other non-federal entities. Type in the partner's name, address, city, state and zip and click on OK.

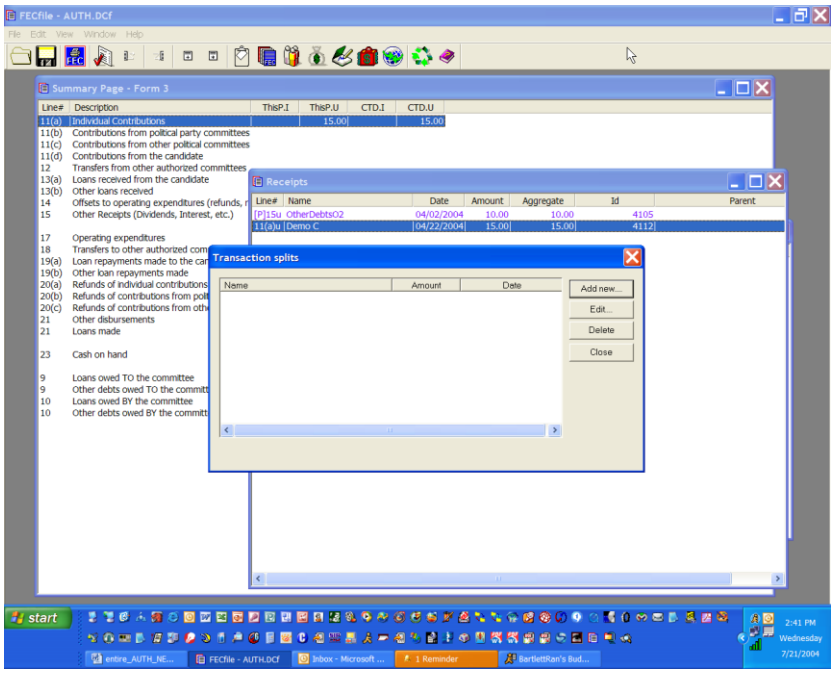
- ✓ The Individual contribution dialog box appears. Enter in the date, amount and enter "Partnership" in the text area for the description. Click on OK.




- ✓ Select View from the menu bar, and select Receipts. The Receipts window appears.




Right click on the appropriate transaction, and select Transaction splits.




- ✓ The Transaction splits window appears. Click on Add new, and enter the individual information. Repeat entering additional information as required.

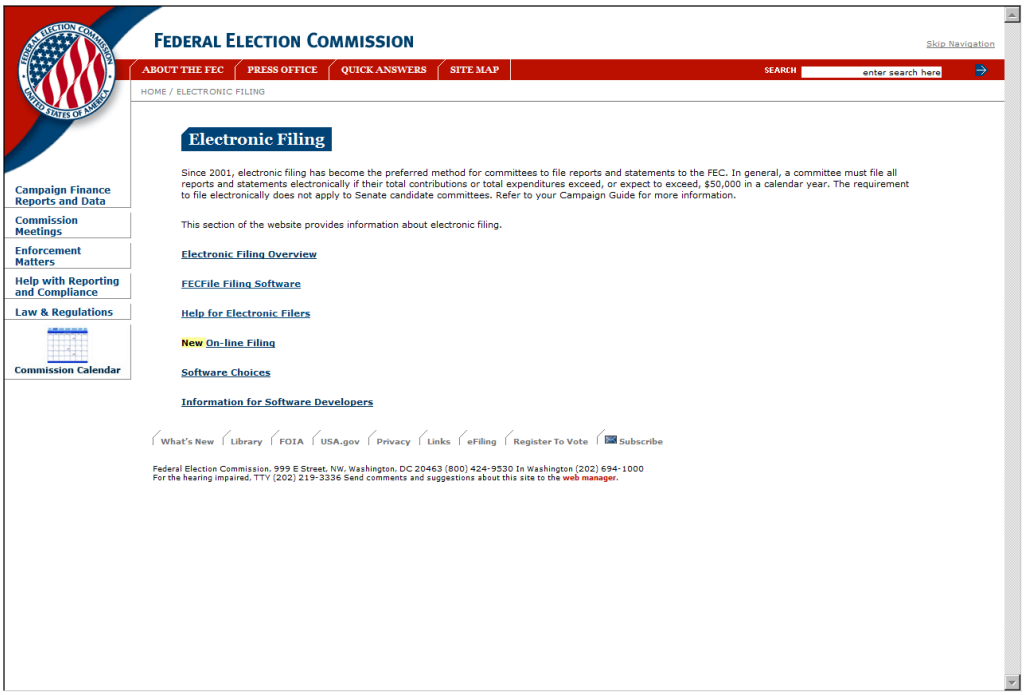
- ✓ Click on close.

# J. Navigating the FEC Website

*The Federal Election Commission has it's own website available to all who have Internet access. The site has a wealth of information on Campaign Finance information, Reports, Forms to name a few.*

- ✓ Using any Internet browser, type http://www.fec.gov in the address bar and launch the FEC website.
- ✓ The Federal Election Commission homepage will appear, and permit the user to navigate to various areas on the site.
- ✓ On the main page, move the mouse to the Electronic Filing option tab at the base of the main page, and click once to move to the page.

✓ The FEC Electronic Filing page is loaded.




✓ Select an option from the list of options and click once to move to that option.

**Options here include:**

- Electronic Filing Overview
- Download FECFile Software
- Help for Electronic Filers
- File 48 and 24 Hour Notices On-line
- Software Choices
- Information for Software Developers

✓ Upon selecting any of these options, the page will load, and additional information becomes available.

- ✓ Moving the mouse to move over terms and text, the pointer becomes a hand, indicating that additional information is available on the subject matter. Pointing and clicking on the subject matter will launch the additional information, or JUMP to the particular section.

- ✓ On selecting a page, the user may scroll up and down the section, or use the browser navigation buttons to move back to the previous section.

- ✓ In addition, the options in the banner, and associated “fly-outs” provide direct access to key areas of the FEC Web Site.