

FECFile



Software

User's Manual



User's manual for Version 3 of **FECFile**

FEC Electronic Filing Software

Federal Election Commission
Washington, DC 20463

Chairman:

Daryl R. Wold

Vice Chairman:

Danny L. McDonald

Commissioners:

Lee Ann Elliot

David M. Mason

Karl J. Sandstrom

Scott E. Thomas

Director:

James A. Pehrkon

General Counsel:

Lawrence M. Nobel

Produced by the Data Systems
Development Division

Director:

Richard L. Hooper

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Chapter 1

Introducing FECFile



The Federal Election Commission is pleased to provide you with the latest version of FECFile, the record keeping and electronic filing software designed specifically for creating and submitting electronic financial disclosure reports. The Commission's ongoing effort to simplify, streamline and improve federal campaign finance reporting has resulted in electronic filing software that is fast, intuitive and less time consuming than the old paper reporting system, and it offers many other advantages as well. The Commission has created FECFile for users who wish to file electronically but do not have other software packages that will allow electronic filing. Strictly designed as a tool for reporting FEC financial disclosure information, FECFile performs only those tasks directly related to filing and does not support unrelated functions such as bank reconciliation or contact management. Since its release in 1997, the program has been successfully employed by many committees of all sizes and types to file their FEC reports. For those requiring broader functionality or integrated software systems, the Commission has worked with commercial software vendors to incorporate electronic filing capability into their government relations and campaign management software packages. Because this is a user manual for FECFile specifically, we will discuss the highlights of electronic filing and the functionality of FECFile only.

Rules and Regulations

It is the purpose of this manual to instruct the user in the data entry and uploading procedures required to create and file an electronic report with the FEC. While some short definitions of transactions are included for clarity, official and more detailed information regarding the rules and regulations of FEC financial disclosure is available in the *Campaign Guides* published by the FEC. These may be obtained in print form from the FEC or in PDF form from the FEC website <http://www.fec.gov>. If you are unsure as to the reporting requirements for a particular transaction, please check the appropriate campaign guide. If further information is necessary, call the FEC Information Division at 800-424-9530 (press 1) or 202-694-1100.

Who can use FECFile?

Any non presidential committee required to file federal campaign finance reports is welcome to use FECFile. Because Senate committees are required to file with the Secretary of the Senate rather than the FEC, and the Senate does not accept electronically filed reports, Senate campaigns must submit their official filings on paper and cannot use FECFile to file official electronic reports. The FEC has created an unofficial web site where Senate committees may display their information on the Internet if they so desire. If you are interested, please contact the FEC's Electronic Filing Office to receive more information about submitting an unofficial electronic

filing with the FEC.

FECFile is distributed solely by the Federal Election Commission and is available free of charge. It may be downloaded from the FEC website, www.fec.gov, or call 1-800-424-9530 to receive a copy by mail.

Forms and Schedules

The forms and schedules included in this program:

- ⇒ Form 3 (House and Senate candidate committees)
- ⇒ Form 3X (PACs and Parties)
- ⇒ Schedules A through H4
- ⇒ Form 6 (48 hour notices)

The software supports all types of special transactions such as In-Kind, Earmarked and Partnership receipts and credit card payments.

Benefits of Using FECFile

- ⇒ automatic aggregation of line items as well as entity year-to-date totals
- ⇒ automatic itemization tracking
- ⇒ contains a database of all basic candidate and committee information
- ⇒ 24x7 tech support
- ⇒ displays information in an FEC form that you can preview or print
- ⇒ alerts the user and/or eliminates some common reporting mistakes (i.e. missing information)
- ⇒ generates 48-hour reports
- ⇒ stores name and address of contributors
- ⇒ generates amended reports with ease
- ⇒ centralized electronic storage of FEC reports

Benefits of Filing Electronically

- ⇒ instant confirmation emailed and/or faxed from the FEC
- ⇒ improved data handling (your data in the permanent record comes directly from you)
- ⇒ structural validation (Checks the necessary fields for data)

- ⇒ prior approval of forms is not necessary - there are no “forms” in an electronic filing
- ⇒ encryption technology guarantees file integrity

Passwords



Passwords replace the official signature on electronically filed FEC reports. “Electronically filed” in this case means filed through direct dial (modem to modem) or over the Internet. FECFile, as well as other FEC-compatible, electronic filing software packages, utilize your unique password and the FEC committee ID number to encrypt and sign your electronic filing, thus ensuring that the filing originated from the actual treasurer or assistant treasurer of the filing committee. You *must* have a password in order to file electronically.

Only the official treasurer and assistant treasurer are permitted to obtain an electronic filing password. The process is simple. Just mail or fax a password request to the FEC electronic filing office. The request must be on official committee letterhead and include the committee name, committee ID number (e.g. C00123456) treasurer and/or assistant treasurer’s name, phone number and signature. See appendix I for Contact information and a sample password request letter.

About this Manual

This manual uses symbols designed to inform the reader as to the importance of the content. These symbols appear in the left margin and indicate the following:



The reader should not proceed without reading and understanding text marked with a stop sign. It indicates steps that must be completed prior to continuing.



Text marked with this sign should be read carefully. It indicates a course that should be followed with caution.



This indicates a process which is not easily reversed. Think before proceeding.



This indicates important information.

Concepts and Terms

Within this manual you will notice certain terms and concepts that must be understood in order to make the most of the information provided. For those who are frequent computer users, these may be entirely familiar, but, for others, a brief definition might prove helpful.

General Computer Terms

Cascade - To arrange open windows one behind the other.

Click - Position the mouse pointer in the desired position and click once with the *left* mouse button.

Double Click - Position the mouse pointer in the desired position and click twice in rapid succession with the *left* mouse button.

Grayed Out - This is the term for an item on a screen that is lighter in color than other items and can be seen but not accessed. This is usually because it is not required in a particular situation though in other circumstances it may be available.

Right Click - Position the mouse pointer in the desired position and click once with the *right* mouse button.

Tile - To arrange open windows side by side or one above the other.

FECFile-Specific Terms

Clone - To create a new transaction by making a copy of an existing one. This can be used to streamline data entry for repeat contributors.

Endorsement tab - Transactions that require related memo entries use the endorsements tab to relate the original transaction to the memo transactions.

Special tab - Some entries into the software require special information and it is entered on the special tab. Examples would be campaign committees that require office, state and district or Joint activities that require and event date.

Upload - The process of filing a report electronically

Validate - Validating a filing checks it for errors that would make it unacceptable to the FEC electronic filing system.

View - A *View* is a screen that displays a certain type of data. For instance the *Receipt View* displays all receipts, the *Summary page View* displays the totals for the summary page.

Contact Information

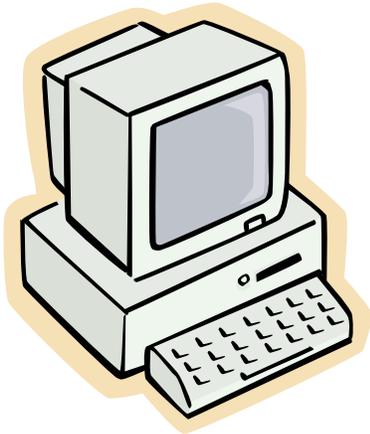
Toll Free FEC Number	-	800-424-9530
Electronic Filing Office	-	202 -694-1293
Technical Support	-	818-889-2000
Email	-	electronic@fec.gov
Web Site	-	www.fec.gov

Federal Election Commission
999 E Street N.W.
Washington, DC 20463



Review - Chapter 1

- 1 Refer to the *Campaign Guides* for official information regarding the rules and regulations.
- 2 Presidential committees cannot use FECFile 3.
- 3 Senate committees can use the software but cannot file electronically.
- 4 You cannot file electronically without a password!



Before you can start creating reports and filing electronically with FECFile, you must install the software on your computer. Installation and setup of your committee using the FECFile setup program are simple and quick, but prior to installation, be sure to check your system to see if it meets the minimum requirements listed below.

System requirements

- ⇒ 8 megabytes of RAM
- ⇒ Microsoft Windows 95, 98 or NT 4
- ⇒ 3.5 High Density Floppy Diskette Drive
- ⇒ Modem or Network Internet Connection (To file electronically)



Installation procedures

From diskette

1. Close any open applications on your computer.
2. Insert the disk labeled Disk 1 of 3 into drive A or drive B.
3. From the Start menu, select Run and then type **A:\setup** or **B:\setup** (depending on the drive you are using) in the command-line box, and click *OK*.

From download

1. Download fecfile from <http://imgsrv.sdrdc.com/cgi-bin/fecfile>
2. Save file to hard drive.
3. Double click on the setup.exe file.

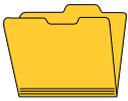
Both methods

4. Follow the instructions provided during the setup process. Do not install on a network drive.
5. When the installation is complete the screen will display “FECFile3 Setup is complete and your software is now installed”.

Starting the program for the first time

If you accepted the defaults during the installation process, you will find a separate Start menu, Program item called FECFile3. This folder will contain shortcuts to:

CSV2DCf	Starts a FECFile data import utility program.
CSV2DCf Help	Starts an importing Help file.
FECFile	Starts FECFile.
FECFile Help	Starts the Help file for FECFile.
Remove FECFile3	Starts the Uninstall program.



Opening FECFile

1. Go to the Start menu, then select the Program item FECFile3.
2. After selecting the FECFile3 folder, select the application FECFile.
3. FECFile should now be open.
4. If you did not accept the installation defaults, open the application, FECFile.exe, from the folder where it was installed.

Setting up your committee/creating your file

When FECFile is open, select *New* from the *File* menu. You will be asked a series of questions in order to determine the Form set (3 or 3X) you need. When prompted, answer the following questions:



1. *Type of new filer* - It is important to answer this question correctly; your answer will determine the FEC form that will be used. The options for committee type: Campaign Committee, Political Action Committee, Political Party Organization, Other (Political) Committee, or Candidate. Highlight the committee type by selecting it with your mouse; then click *OK*.

If you are uncertain about your committee type, check your most recent Statement of Organization (FEC Form 1). If you cannot determine your committee type, please contact the Information Division of the FEC at (202) 694-1100. (If you are completing a report for a candidate campaign committee, you should select “Campaign Committee” rather than “Candidate” because the committee actually files the report.)

2. *Individual/Organization information* - This next step will add your committee's basic information into your file. Click on the *Details* tab (fig. 1.) Enter the committee's name, FEC ID number and address. (Shortcut - You may use the *Lookup* feature to automatically fill in the needed information. Please refer to the section *Using the Lookup feature* in chapter 3.)

If you are setting up a candidate campaign committee, click on the *Special* tab. Enter the office, state, district and name of authorized candidate in the appropriate fields. If you used the *Lookup* feature, the information fills the fields automatically from the FEC's databases.

fig. 1

3. If yours is an *authorized* committee, you have one extra step. Choose the *Special* tab (fig. 2) and right-click in the *Authorizing Candidate* field. This process will enable you to create a record for the candidate as a separate entity. Select *Candidate* from the *Type* tab. Click on the *Details* tab and enter the candidate's information. Click *OK*. This will return you to the *Individual/Organization information* screen for the committee, and the authorizing candidate will now be associated. Select *OK*. A message will appear asking if you want to replace this object; select *Yes*.

fig. 2



4. *Type of new report* - On this screen (fig. 3) you will select an FEC report. The reports are named for the due date (for example, April 15 Quarterly is due on April 15th). It is important here to choose the correct report type because this information can not be edited. If you are starting FECFile at the beginning of the year: Quarterly filers should create an April 15 Quarterly or a July 31 Mid-Year, depending on whether the year is an election year or a non election year. Monthly filers create a February 20 Monthly report. If it is not the beginning of the year but you have not yet filed any reports with the FEC, please choose the report type that represents your next filing.

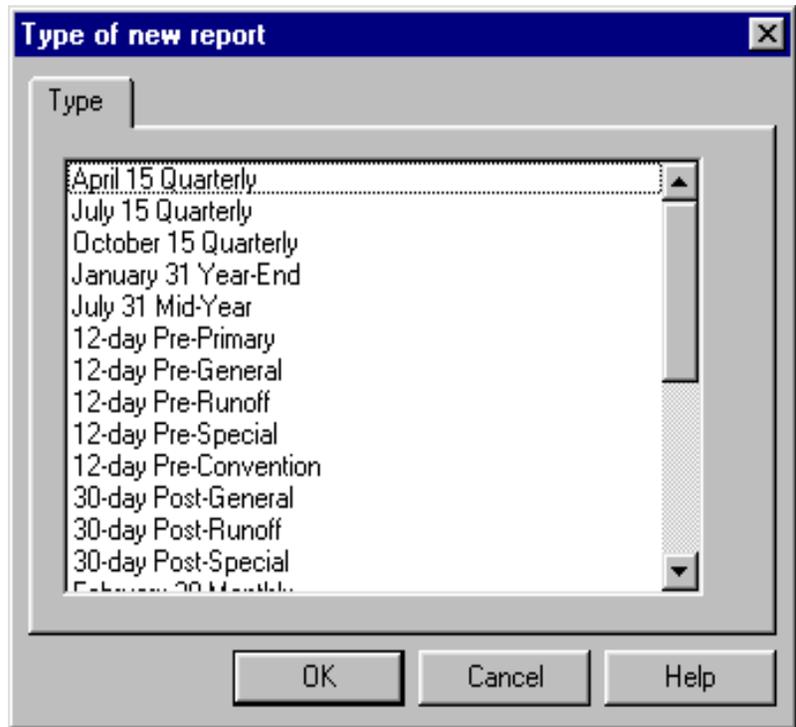


fig. 3



Monthly reports are named for the month they cover! A June Monthly report covers May 1 through May 31! Choosing the incorrect report and coverage dates could result in the need to file an amendment.



If you are starting to use FECFile after the first filing period of the year, **STOP** and read the section in this chapter on adjusting aggregate totals. If you have electronic data for the information that was already filed with the FEC in the current reporting year, **STOP** and read about importing in chapter 8. If you have outstanding loan or debt balances from prior years, **STOP** and read the section in this chapter on Obligations from prior years. If any of these situations apply to your committee, please be sure to read the appropriate section before you choose your report type.

5. After you select your report type, the *Details* tab will open. Enter the report's coverage dates in the *From* and *To* boxes. FECFile does not know if the dates you entered are correct. However, it does check to see whether the dates are actual dates (for example, it will reject 2/31), and it checks to be sure you are not missing dates (for example, if your last report covered 1/1 through 3/31, it will not let you start your next report on 4/3.) You can enter dates by using any of the following formulas: m/d (1/1), mm/dd (01/01), mm/dd/yy (01/01/00) and mm/dd/yyyy (01/01/2000).

6. If applicable, enter the election state and date on the *Details* tab of the *Report Informa-*

tion box. These fields are only available when the report requires election information (for example, 12-day PrePrimary).

7. On the *Details* tab, set the Treasurer's (or Assistant Treasurer's) name in the *Signed by* field. Right-click in the field. This will take you again to the *Individual/Organization Information* View. From the *Type* tab, select the appropriate entity type for your committee's Treasurer (for most committees, this will be "Individual other than a candidate" or it will be "Candidate".) Click

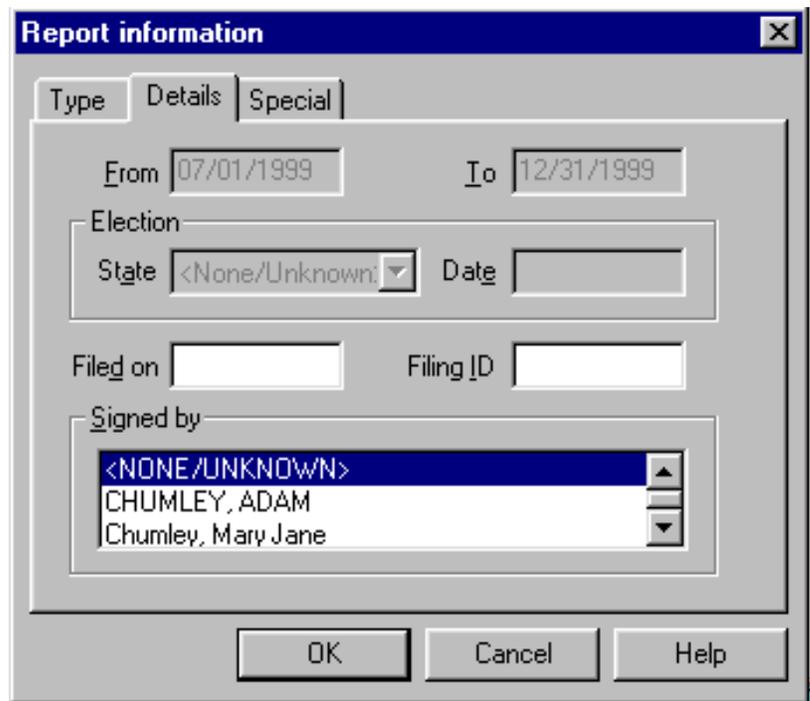


fig. 4

on the *Details* tab (fig. 4) and fill in the necessary information. Click *OK*. This will return you to the Report Information *Details* tab. The Treasurer's name will appear on the FEC report's Summary Page, in the box labeled "Type or Print Name of Treasurer". The address information entered will only appear if the Treasurer also has qualifying transactions that must be reported to the FEC (for example, the Treasurer donates \$200.01 to the committee).

8. The *Special* tab has check boxes for reporting a new committee address, multi-candidate status (Form 3X users only) and election activity (Form 3 users only). Click on the box next to the text if any of these check boxes are applicable. (If they are not applicable, you can skip this tab.) Click *OK*. Click *Yes* to replace this object.

Naming Your File

Go to the *File* Menu and select *Save As*. You can name your file anything you want in the *File Name* field (type the name in that field). It is best to use something you will remember such as the organization's name. All of your reports will be kept in this one file (i.e. Mid Year and Year End reports will be created in this file). The file type will default to Electronic Filings (*.dcf). This is the file extension that can be read by FECFile. Please accept the default. Click on *Save*. Your file will be saved in the FECFile directory on the drive where you installed the program. If you accept the defaults, the file will save in C:\FECFile3.

Adjusting Year-to-Date Aggregates

If you are starting to use FECFile with your first FEC report of the calendar year (coverage date beginning Jan 1) and you have no prior debts, this section does not apply to you.

NOTE: This section does not include detailed data entry instructions. Refer to the detailed information in chapters 3 and 4 before actually entering data.

If you are beginning to use FECFile, and have previously reported transactions to the FEC *this year*, you will need to adjust your aggregate totals to bring the opening cash balance and entity year-to-date figures up to date. In other words, financial activity for the current year must be entered into FECFile so the software can properly track your totals.

Example: You work for a committee that files monthly. One of your contributor's, Anita Job, gave your committee \$150.00 on 1/18/99. This contribution was accounted for in your February 20 report to the FEC. Anita gave an additional \$75 on 2/12/99. This must be accounted for in your March 20 report to the FEC. You began using FECFile to report your April 20 report. Your column B information on the detailed summary must include Anita's \$225 contribution and, if she gave again in March, her aggregate year-to-date amount must include the previous transactions as well.

There are three different methods that can be used to adjust your committee's totals: importing, full entry and lump sum entry. All three require that you create a report with coverage dates beginning Jan. 1 and ending the last day of your previous reporting period. If, for example, your next report is due on January 31 and covers Oct 1 through Dec 31, you would create a report covering Jan 1 through Sept. 30. The purpose of this report is to contain transactions from all previous reports in the current year so that your calendar-to-date totals and individual aggregates will be correct. It is *not* to be submitted to the FEC. See Chapter 4, *Building a Report*, for step-by-step instructions.

NOTE: Once you have created more than one report, it becomes important to make certain you have selected the correct report during data entry. The program will not allow transactions to be entered into a report if they are outside the coverage dates for the report. If you attempt to enter a transaction and find that the date of the transaction is not allowed, go to *Reports* on the *View* menu and click on the correct report for the transaction.

⇒ **Importing** - if you previously maintained your records in an electronic form, you might be able to import the data into FECFile. Please refer to Chapter 8 - Importing.

⇒ **Full entry -The recommended method where practical.** Every transaction from every report filed this year with the FEC is entered into the program. Using the example above, you would create a report covering January (report type February 20th) and enter the contribution from Anita for \$150.00 on 1/18/99. Create a March 20th report for the \$75 contribution. This is the recommended method if it is feasible for the committee. You will be learning how to use FECFile while recreating your old reports. The software will have an accurate history of your committee's activity for the calendar year. If you have the time now, this method will save you time on your next report.

⇒ **Lump Sum entry** - If you have numerous transactions, which are not stored in an electronic form, and the thought of entering them all is overwhelming, you can enter lump sums. However, please remember using this method means you cannot create amendments from FECFile for the reports where you entered lump sums.

For all following lump-sum examples: You just began to use FECFile, you are a Quarterly filer and it is Oct 12 of an election year (this means you file 4 quarterly reports covering the calendar year). Your next report is the Year-end report due January 31.

Example:

- ⇒ Janet Rankin just donated \$200 to your committee.
- ⇒ In the first quarter Janet donated \$100.
- ⇒ She gave nothing in the second quarter.
- ⇒ She gave \$300 in the third quarter.

This means Janet needs to have an aggregate year-to-date total of \$600 in the fourth quarter report. FECFile does not know that Janet previously donated \$400 since those transactions were not entered into the program.

Procedure:

- ⇒ Create a report covering 1/1 through 9/30 (the coverage dates of the 1st Quarter, 2nd Quarter and 3rd Quarter). This report will contain all of the financial activity for the previously reported information.
- ⇒ Enter an individual contribution from Janet Rankin for \$400.00 on 9/30. The date is arbitrary but it must be prior to the current period and within the current year.

The report covering 1/1 though 9/30 is for adjusting your aggregates only. It should never be submitted to the FEC. Now when you enter the \$200 contribution in the fourth-quarter report that you are preparing to submit to the FEC, Janet will have a year-to-date total of \$600.

With regard to operating expenditures, while, in most cases, you are not required to report calendar-to-date amounts, you still must track the total amount per vendor for itemization threshold purposes. They can be treated the same way as the receipts in the previous example. Next to complete data entry, this is the best approach.

Example:

- ⇒ You previously reported spending \$780 at the Office Supply Store, \$900 at the US Postal Service, \$22 at the mug shop and \$1000 at the Print Shop during the calendar year. These are totals and may involve multiple purchases per vendor.
- ⇒ You make a \$100 purchase at the Office Supply Store in October.

Procedure 1 (lump-sum for each vendor):

- ⇒ Create a single lump-sum entry on 9/30 for each vendor for the previously reported amounts (\$780 at the Office Supply Store, \$900 at the US Postal Service etc.).
- ⇒ Create a \$100 disbursement for the Office Supply Store on the correct date in October. (Lets use 10/1).

The new transaction will correctly report as an itemized expenditure because FECFile 3 knows that the year-to-date total for the Office Supply Store is over \$200.



It is possible, though not recommended, to create a single lump-sum entry for all previous operating expenditures regardless of vendor. This is possible because operating expenditures do not report a year-to-date amount per vendor. This method requires you to track disbursement totals per entity until the end of the calendar year. If a vendor eventually receives enough to exceed the itemization threshold, the software will not have enough information to automatically itemize them and you must make adjustments to compensate. If the payment itself is over \$200 it requires no special handling. If it is \$200 or below, and the year-to-date aggregate for that vendor is above \$200 , you must force the transaction to itemize by single clicking on the transaction in the *Disbursements* View and choosing *Itemized* from the *Edit* menu. Use this method only in extreme cases where data entry time is very short and reporting deadlines are very near.

Procedure 2 (single lump sum for all vendors as described above)

- ⇒ Create a single lump sum disbursement for the entire amount of prior operating expenditures this year. (Create a fictitious vendor for the transaction.)
- ⇒ Create a \$100 disbursement for the Office Supply Store on the correct date in October.
- ⇒ Force the \$100 disbursement to itemize by selecting it from the *Disbursements* View and choosing *Itemized* from the *Edit* menu.

You may combine any of the three methods (full entry, Lump sum per vendor, single lump sum) for adjusting aggregates depending on which method best fits your needs. However, it is important that you remember, or take note of, which method was used and when.

Obligations from prior years

Outstanding obligations from prior years must carry forward until they reach zero balance. This means that all active obligations, no matter how old, must be entered into FECFile so they will be reported properly. Because the software will not allow you to create transactions that are outside the date range of the current report, you must create past reports covering the date range during which the obligations were incurred.

Example: Your first electronic filing will be a year-end 2000 report and you have a loan that dates back to June 3, 1998 and another from January 1, 1999.

Procedure:

- ⇒ Create a Year-End report that covers January 1, 1998 to December 31, 1998.
- ⇒ In that report, create an entry for the full amount of the loan on June 3rd.
- ⇒ Create a loan repayment for the entire amount of previous repayments to the loan. This should be done on or after the date the loan was created.
- ⇒ Create a report covering January 1, 1999 to December 31, 1999.
- ⇒ Create an entry for the full amount of the original loan received on January 1.

It is necessary to create two previous reports because reports cannot cross years - one report cannot go from Jan 1, 1998 to Dec 31, 1999. It is recommended that each report be created as a year-end report and cover an entire year. In this case, you would create a year-end report covering 1/1/1998 to 12/31/1998, and another covering 1/1/1999 to 12/31/1999.

Outstanding debts, like loans, must be entered into FECFile. Unlike loans, prior debts need not be created on the actual origination date as that date does not appear on Schedule D. All previous payments on a debt can be created as a single, lump sum payment, made on any date after the obligation was arbitrarily created (but before the current reporting period). Once all the obligations are entered:

- ⇒ Select the report that contains the latest obligation entry that is prior to the current reporting period. In the example above, that would be the year-end 1999 report.
- ⇒ Create a lump-sum repayment for each debt. The amount of each repayment should be the total amount previously paid against each debt.

Follow the detailed instructions in chapter 4 for loan and debt repayments. Remember that the dates of the repayments are arbitrary, and need only be later than the creation date of the obligation and prior to the current reporting year. In the example above, all payments could be dated 12/31/1999 and all subsequent reports would report the obligations correctly. Payments made on these obligations in the current year should be made in the correct reporting period on the correct date.

Quitting the Application



When you are finished with a session of FECFile, be sure to save your work. Go to the *File* menu and select *Save*. If this is a new file, you will be prompted to supply a file name. Go to the *File* menu and select *Close*. This will close your file, not the program. To close FECFile, go to the *File* menu and select *Exit*. If you did not save the file before closing, the program will prompt you to save changes. However, it is best to get in the practice of actively saving you work instead of depending on prompts.

Backing up your file



You must back up your data. Though you may never have a problem that requires restoring from backup, it only takes one electrical spike or hard drive failure to erase many hours of work. The best way to back up any information on a computer is to rely on software that is specifically designed to perform this function. If you are already using such a system, make certain you add the folders containing FECFile 3 and your .dcf files to your backup routine. If you are not using a backup system and don't wish to add one to your system, you can copy your .dcf files to a safe location.

To a floppy, CD or other removable media:

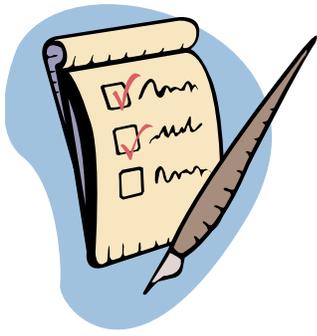
Close FECFile. Put a diskette, CD or cartridge in the appropriate drive. Right click on the Start button and choose "Explore". Find and open the FECFile 3 directory. Find your .dcf file and single click on it with the left mouse button. Select *Copy* from the *Edit* menu. Click on the drive that contains your floppy, CD or removable storage device. Choose *Paste* from the *Edit* menu. This will copy your file to the backup location.

To a network drive:

Close FECFile. Right click on the Start button and choose "Explore". Find and open the FECFile 3 directory. Find your .dcf file and single click on it with the left mouse button. Select *Copy* from the *Edit* menu. Click on the network drive where you intend to store your file. If you are using a particular folder, find and open it. Choose *Paste* from the *Edit* menu. This will copy your file to the network drive.



Make it a habit to have at least a week's worth of sets of backups. For example, use five separate diskettes. On Monday, backup to diskette #1, on Tuesday, back up to diskette #2 etc.. This way, even if a hard drive crash occurs during a backup, you always have a recent backup diskette to fall back on.



Review - Chapter 2

- 1 FECFile requires Windows 95 or higher or NT 4.0 or higher operating system.
- 2 Create a file to contain all of your reports.
- 3 Fill in your committee information.
- 4 Select the report due-date for your next report.
- 5 Save the file.
- 6 If you are starting after the first reporting period of the current year, and you have previous activity in that year, you must create a report for the beginning of the year to hold previous transactions (for aggregating and YTD numbers).
- 7 If you have outstanding obligations from previous years, you must create reports for those years to create the obligations and payment information so that balances will be correct.

Of “Reports” and “File”



Some users are initially confused by the concept of *File* vs. *Report*. It is important to define these concepts correctly to avoid extra work and headaches later.

The first time you use the software, you must create a file in which you will store all of your reports for one committee (see chapter 2). If you are working with multiple committees, you should create a file for each committee. When using the software, you will always begin by opening your file. Files that can be read by the program end in the extension *.dcf* (for example, the file name might be *pac.dcf*).

When your file is open, choose *Reports* from the *View* menu. In the *Reports View*, you will see all of the reports in your file. By creating all of your reports within one file, the software will have the ability to track aggregates, calculate itemization thresholds, etc. If you start a new file for every report, the software will not be able to associate reports. (For example, Janet Rankin gave \$200 in the Mid-year report, which was saved in a file called *midyear.dcf*. Janet gave another \$200 in the Year-end report, which was saved in a file called *yearend.dcf*. Janet’s address information would have to be entered into both files and her aggregate year-to-date total would be incorrect in the year end report.) If the data is entered into separate files, as the example above depicts, merging the data can be a difficult task (especially in the case of loans).

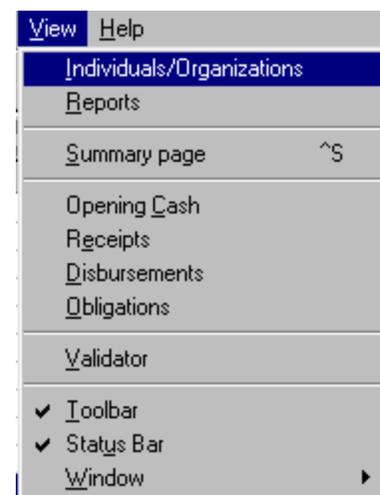
Please be sure to create one file per committee.

NOTE - You do not send the FEC your file (*.dcf). You will be submitting a filing (*.fec). This means unitemized individuals, etc. are stored within your file, but the individual names, etc. will not be sent to the FEC. This will be discussed further in the “Submitting your report” section.

Views

FECFile presents all information in windows, which are also called *Views*. Each View displays objects of a specific type (e.g. the *Individuals/Organizations View* displays a list of individuals and organizations, the *Reports View* displays a list of all reports, the *Receipts View* displays a list of all receipts, etc.). Understanding the

fig. 1



Views will make navigation of the software simple.

When you go to the *View* menu and highlight a View from the list, that window will be activated and open (*fig. 1*).

There are 8 windows that are Views in FECFile:

- 1 **Individuals/Organizations** - all individuals and organizations (and Schedule H events) that have financial interaction with your committee.
- 2 **Reports** - a history of all reports contained in your file.
- 3 **Summary page** - a replica of the Summary Page and Detailed Summary page of the selected form type.
- 4 **Opening Cash** - the amount of cash on hand at the beginning of the year.

Note: You only enter opening cash the first time you use FECFile. The program will automatically carry over closing cash for a previous report as opening cash for the next report, even over multiple reporting years.

- 5 **Receipts** - all money and goods received by a committee (inbound).
- 6 **Disbursements** - all money and goods disbursed by a committee (outbound).
- 7 **Obligations** - all loans, debts and other obligations a committee owes and is owed.
- 8 **Validator** - verifies that all transactions are reported in the correct filing format.

Working with Views

Views serve two basic functions in FECFile. Data entry and data manipulation (sorting, editing, etc). Some Views, such as Reports and Individuals/Organizations, allow the creation of new entries and editing existing ones from the same View. The *Summary page* View allows creation of new transactions and display of total amounts, but editing existing information is not available. Other Views allow sorting and editing of information but, in most cases, do not allow addition of new items.

Views can be customized to suit the user in the following ways:

- ⇒ All View columns can be made wider or narrower. Place your mouse on the line to the right of the column name. You will see a double arrow cursor. Hold the left mouse button down. While holding the left mouse button, move your mouse to the right to make the column wider, and to the left to make the column narrower. FECFile Views remember their window-size and column-width when the program is closed.
- ⇒ Information in most Views can be sorted by clicking on the desired column header. For example, the *Receipts* View can be sorted by contribution date by clicking on the word

Date at the top of the column. Clicking on the *Amount* column header puts the View in amount order from smallest to largest. Click on it again and the order is reversed.

- ⇒ You can automatically arrange numerous open Views. Go to the *View* menu, choose *Windows* and select any of the four options.

Please refer to Concepts and Terms in chapter 1 if you are unfamiliar with cascade, etc.. If you want to close a View, select the FECFile picture on the left of a View and select *Close*. Again you can arrange the Views by going to *View, Window* and selecting the View you want (for example, Tile Horizontal). The Views will be arranged without the View you closed.

The Views, in detail

Individual/Organizations

To activate the Individual/Organization screen, go to *View* on the menu bar and select *Individuals/Organizations*. If you already followed the steps to set up a new committee, you will see your committee name in the View. The *Individual/Organization* View allows both creation of new records and editing of existing ones.

NOTE - There will be brackets around the information in the type column (for example, it might say [PAC]). The brackets indicate the master committee that is associated with this file.

fig. 2

There are three columns: Name, Type and Filer ID. All of these columns can be sorted by clicking on the column name (fig. 2). One click sorts the information from A-Z; a second click sorts from Z-A. In the Type column, ORG indicates an organization such as a vendor or lending institution. IND stands for individual. CCM is Campaign Committee and PTY indicates a political party.

Name	Type	Filer ID
<NONE/UNKNOWN>	ORG	
Chumley, Zachary	IND	
KELSEY FOR CONGRESS	CCM	C00310797
Maryland Federalist Party	PTY	C00000000
ORWELL FOR CONGRESS	CCM	C00313205
Powers' Flowers	ORG	

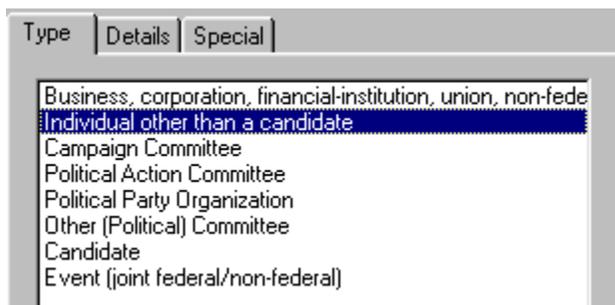
There are three basic things you can do to an entity: create, modify and delete.

Create (New) - This feature allows you to enter new entities into your file.

fig. 3

- ⇒ Go to *Edit* on the menu bar and select *New*.

The first screen requires you to identify the type of entity (for example, business, individual or campaign committee) (fig. 3). It is important to select the correct type as this information is used to properly display the name of the entity.



- ⇒ Select the *Details* tab (fig. 4) and enter the information requested. The name and address information can be entered manually.

If the entity is a registered Federal committee, use the Lookup button to save time and ensure that the information is correct. See the section “Using the Lookup Feature” later in this chapter.

- ⇒ There are three drop down lists available on the Details tab: prefix, suffix and state.

To access the drop down lists, you can either start typing or click on the downward arrow. If your selection cannot be found in the drop down lists of the prefix and suffix fields, you have the ability to type in the text as you would

like it to appear. The *State* field will only allow you to select from the drop down list. If you are entering a country, instead of an American state, you should chose “foreign country” from the list provided. To select a state you can either click on the downward arrow to the right of the field, or you can type the first letter of the state. In the case of multiple states beginning with the same letter, you should continually type the first letter until the state you want is highlighted. For example, if the individual you are entering is from Indiana, you should type “I” three times in the *State* field to get the correct state. If you type “I” one time you will get Idaho. If you type “I” two times you will get Illinois.

- ⇒ The *Special* tab of the Individual/Organization screen is only necessary if you are required to enter federal candidate information (office, state and district) or an event date for a joint federal and non-federal activity.

The candidate information should only be entered if the entity is a federal candidate. That is why you will only see House, Senate and Presidential as options in the office drop down list.

When you are finished with the entity, click on the *OK* button. The entity will then be added to your *Individuals/Organization View*.

Modify - This feature allows you to make changes to an entity that has already been entered into FECFile.

- ⇒ Select the entity from the *Individuals/Organizations View*. With the entity highlighted, go to *Edit* on the menu bar and select *Modify*, or right click on the item and choose *Modify* (Double clicking on an entity is the same as choosing *Modify*).
- ⇒ Click on the tab (Type, Details or Special) that contains the information you would like to edit. After you make the changes, click *OK*. A prompt will ask you if you would like to replace the object; click *Yes*.

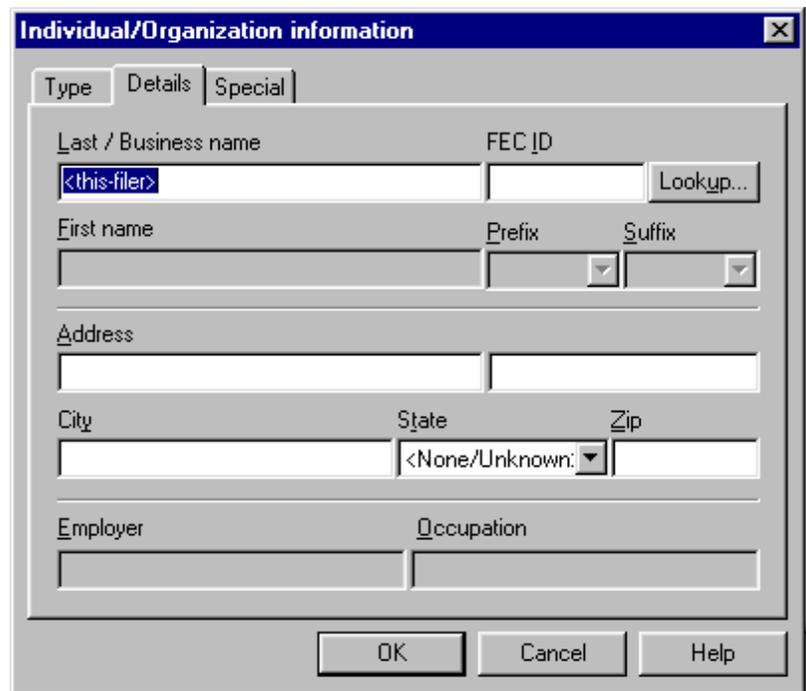


fig. 4

The changes will appear in all reports where the entity had a transaction. In other words, the software will not remember that Jennifer Robinson lived in Aspen, Colorado, when she donated in the Mid-Year report but in the Year-End report she lives in Boulder, Colorado. FECFile will only maintain the latest recorded information.



Entities should only appear once in the Individuals/Organizations screen. If an entity has been entered more than once, the aggregate could be incorrect. It is important to modify an entity when a correction is needed, instead of creating an additional entity. If you enter two individuals named Edward Burke (even with the exact same address information), the software will assume these are two different people.

Delete - This feature allows you to completely remove an entity from your file.

- ⇒ Select the entity from the *Individuals/Organizations View*.
- ⇒ With the entity highlighted, go to *Edit* on the menu bar and select *Delete*.
- ⇒ You will get a prompt asking if you are sure you want to delete the selected object; click *Yes*. The entity will be removed from your file.

You can only remove an entity if there are no transactions associated with it. If you attempt to delete an entity and there are transactions associated, you will be told “This object is required by at least one other object and cannot be deleted.” If the transactions are incorrectly associated with an entity, first delete the transactions. This will make it possible to delete the entity.

Using the Lookup file

Under the *Details* tab of the Individual/Organization information dialogue, there is a button that says Lookup (it will be to the right of the *FEC ID* field). This feature enables you to enter a federal committee or candidate name and the software will fill in the rest of the basic committee information (fig. 5). For example, your committee gave money to Friends of Democracy. All you need to enter is the committee’s name in the *Name* field; then click *Lookup*. This feature saves a lot of data entry time as well as providing you with the necessary information you might not have readily available (i.e. office, state and district). There are times when the Lookup feature is grayed out. If

Committee/Candidate Name	C.	C...	C...	C...	Committe...	Other ID
JOINT COUNCIL OF ALLERGY, ASTHMA & IMMUNC...			Q	IL	C00249961	
JOLLY, CHARLES N	H	TN	6	TN	H4TN03066	C00315366
JON AMORES FOR CONGRESS	H	WV	H	WV	C00346338	H0WV02120
JON CHRISTENSEN FOR CONGRESS COMMITTEE	H	NE	H	NE	C00282434	H4NE02047
JON CORZINE FOR US SENATE EXPLORATORY CI...	S	NJ	S	NJ	C00346320	S8NJ00327
JON KYL FOR U S SENATE	S	AZ	S	AZ	C00279521	S4AZ00030
JON PARUNGAO FOR CONGRESS	H	CA	H	CA	C00340521	H8CA50015
JON WILLIAMS FOR CONGRESS	H	NC	H	NC	C00332692	H8NC03027
JONES FOR US SENATE	S	DE	S	DE	C00315903	S6DE00081
JONES INTERNATIONAL LTD POLITICAL ACTION C...			Q	CO	C00197244	

fig.5

the entity type you have chosen is “Business, corporation, financial-institution, union, non-federal bank account, etc.”; “Individual other than a candidate” or “Event (joint federal/non-federal)” you will not be able to use the lookup.

- ⇒ You can sort the entities in this FEC ID Lookup dialog by clicking on the relevant column header.

This is useful if you want to find a particular candidate or committee using some criterion other than the name. Click the Committee/Candidate Name one time for an A-Z sort or two times for a Z-A sort. All other columns only sort from A to Z or from smallest to largest number (click once on the column header).

- ⇒ All columns can be made wider or narrower by placing your mouse on the line to the right of the column name. You will see a double arrow cursor. Hold the left mouse button down. While holding the left mouse button, move your mouse to the right to make the column wider, or to the left to make the column Narrower.

- ⇒ The Prev (i.e. previous) and Next buttons on the FEC ID Lookup screen can help you locate the proper committee.

When you click *Prev* or *Next*, with a committee/candidate name highlighted, you will cycle through a list of candidates and committees that are related by FEC ID number. For example, you gave money to Melanie Haskell for Congress committee. You entered Melanie Haskell in the *Last Name* field of the *Individual/Organization Information* screen and then clicked *Lookup*. When the file opens you are brought to Melanie Haskell for Congress. If you then click on *Next* or *Prev*, you will see all committees associated with Melanie Haskell. When the committee that received the disbursement appears, click *Copy All* (if you already have the name and address information, you can choose *Copy ID* to add the committee ID).

After you have clicked *Copy All* from the FEC ID Lookup, a screen will appear displaying all of the information that will be copied into your file. The check boxes are automatically checked because all the information is needed for a committee or candidate. However, if you do not want a piece of that information copied you can remove the check by clicking in the check box.

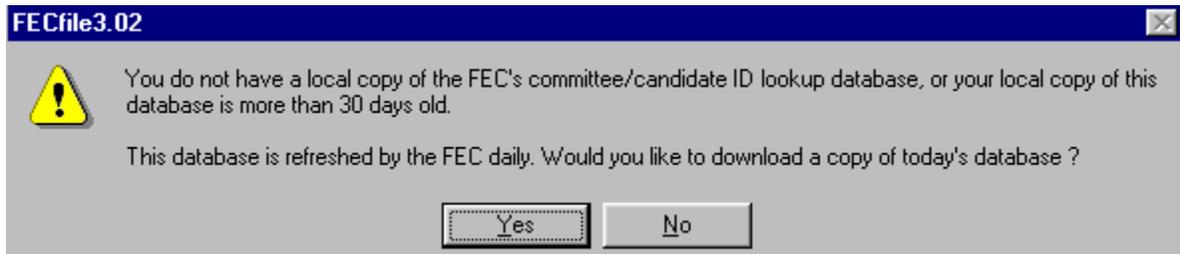
NOTE - if you remove a check from a field when creating an entity, the next time you use the Lookup feature, that checkbox will remain unchecked. To return the check mark in a field, click the box between the field name and the information.

To bring the information into your file, click *OK*. You will be returned to the *Details* tab of the *Individual/Organization Information* screen. If you selected a candidate campaign committee, the necessary fields on the *Special* tab will also be filled automatically. Click the *OK* button to add the entity to your *Individuals/Organizations View*.

Updating (Downloading) the Lookup File

The Lookup file will send a notice to you when it is more than 30 days old. The FEC updates its master list of committees and candidates on a daily basis. The FEC's master list is part of the FECFile installation (a file called export2.cm contains the information). The software is set up to notify you once every 30 days. However, you have the ability to download a recent copy of the file whenever you choose. It is a good idea to do this when you install the program, as the file could be months out of date by the time the program is installed.

fig.6



The notification - When you open your file, if your Lookup table is older than 30 days, you will get a notice on your screen asking if you would like to download a copy of today's database (fig. 6). If you answer by clicking *No*, the file will not be updated but you will be able to enter transactions into FECFile. If you answer by clicking *Yes*, the FECLoad Settings window will appear asking you to choose your filing method (ie., the communication method you will utilize to download the latest file). Your options are TCP/IP (an Internet connection) or Dialup (a modem connection) from the Download tab. All the other fields on this tab will be inactive (shaded gray). The configure tab will vary according to the filing method you chose. If you selected *TCP/IP* on the Download tab, the Configure tab will have **herndon4.sdrdc.com** as the hostname (this is the name of the server that has the export2.cm file available for download) and the Agency ID will be **FECDL**. If you selected *Dialup* from the *Download* tab, the Configure tab will have your COM port set as **2**; the Baud rate set as **19200**; the Dialup string as **ATDT17038346968** and Agency ID as **FECDL**. The COM port is the communication port that runs your modem. If you cannot connect with this setting, or if you know you are using a different COM port, please change the COM port number in this field (possibilities COM port 1, COM port 2, COM port 3 or COM port 4). In addition, if you are using a different Baud rate, please change the setting. The program defaults to these two setting since they are the most commonly utilized. Do not change the Dialup string or Agency ID unless you are instructed by the software's technical support staff.

NOTE - IF you choose *TCP/IP*, you must be connected to the Internet prior to downloading.

When you click *OK* from the settings screen, you will be asked where you want to save the Lookup file (export2.cm). The software should default to the location where the program is installed. It is important to save this file in the same location as the program. The file will default to export2.cm. Do not change the name of this file. Click *OK*. If you are asked "do you want to replace the existing file?", click *Yes*. The download process will begin. It may take several minutes depending on the speed of your modem and/or quality of your Internet connection.

During the download, you should be looking at a screen that says FECLoad in the upper left corner.

Inside FECLoad you will see a window displaying the download results. A few messages will appear on your screen letting you know the program is about to download. The program might pause after it says “Requesting export2.cm”; do not worry, the process should continue. The next message should say “Server response ...” and in the bottom right corner, a number that is growing as the file is downloading (the number represents the bytes being transferred). Currently the file is about 4 megabytes compressed. The speed of the download process is dependent upon your connectivity. When the download is near completion, you may see a window telling you it is “Working”. Afterwards, you will get another window saying “The file can be decrypted by these keys: SDRDNLD1.” (fig. 7) Click *OK*. Again, you may get a window letting you know FECLoad is “Working”, followed by the word “Succeeded” as the last line on your screen.

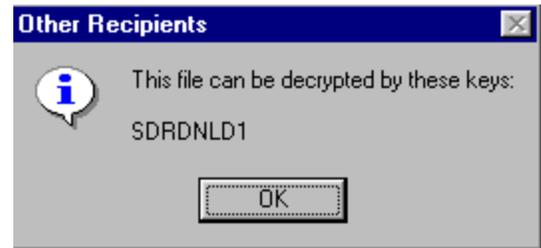


fig.7

Reports

The *Reports* View displays a history of all reports contained in your file (fig. 8). To activate the *Reports* window, go to *View* on the menu bar and select *Reports*. If you have already followed the steps to set up a new committee, you will see one report in the window. All of the information from this View is used to generate the Summary Page of an FEC report.

There are eight columns: Type, Filed on, Date from, Date to, Opening Cash, Election, Signed by and Description. This View has an automatic sort. 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 ability to change the order of reports in this View. However, you do have the ability to size the columns. In other words, all columns can be made wider or narrower. For further explanation refer to the *Individuals/Organizations* View.

fig.8

Type	Filed on	Date from	Date to	Opening ...	Election	Signed by
YE-N		07/01/1999	12/31/1999	101127.30		Chumley, Zachary

There are six things you can do to a report: create, modify, delete, file, amend and purge.

Create (New) - This feature allows you to enter new reports into your file. With the *Reports* View active:

⇒ Go to *Edit* on the menu bar and select *New*.



The first screen requires you to identify the Type of new report. If you are unsure of the report type you should select, please contact the FEC to find out if you are a monthly or quarterly filer. Report types are based on the reports’ due date. **For example, the July 20 Monthly report is due on July 20 and covers June 1 through June 30.** If you know the report type you want to create, select it from the list; then click *OK*.

⇒ Next the *Details* tab will appear. (fig. 9)

Enter the report coverage dates in the *From* and *To* fields. The example above was a March 20 Monthly report, so in the *From* field enter 2/1/2000 and in the *To* field enter 2/28/2000. For more information about date formats, please refer to the section on setting up your committee in Chapter 2.

⇒ The *Election* fields (*State* and *Date*) will be inaccessible unless you are creating an election report (for example, a 30-day Post-General).

If you are creating an election report, select the state of the committee and the date of the election.

⇒ Select the Treasurer in the *Signed by* field. If you have previously entered the Treasurer (or Assistant Treasurer's name) in the *Individuals/Organizations* View, you will be selecting their name from the list provided. Hit tab until the field is activated (you will know the field is active because a name will be highlighted and no other field will have highlighting). Begin typing the individual's name. If you entered the person as an Individual and filled in the fields correctly, the person should appear as last name, first name. The person's name should be highlighted. If the name appears, click *OK*. If the name does not appear, you can use the scroll bar to the right of the *Signed by* field to look for the individual's name.

NOTE - When you are typing a name in the *Individuals/Organizations* fields, FECFile expects all of the letters to be entered consecutively. For example, to get Rankin, Janet - type "RAN". Continue typing letters until the correct name appears. If you type R A N (the dots represent time passing) FECFile will assume each letter is the first letter. The level of data entry speed required is minimal. However, if you notice the scroll constantly takes the letter you are entering to be the first letter, you might want to use the arrows to search for a name instead of typing the name.

If you have not entered the Treasurer's name in the *Individuals/Organizations* View, you can create the individual from the *Signed by* field. With the *Signed by* field active, click your right mouse button (or press Insert on your keyboard) and you will be brought to the *Individuals/Organizations* View. When setting up the Treasurer, select *individual*. (Some committee's Treasurer and candidate are the same person. If you are in this situation, please select candidate.) Enter all of the

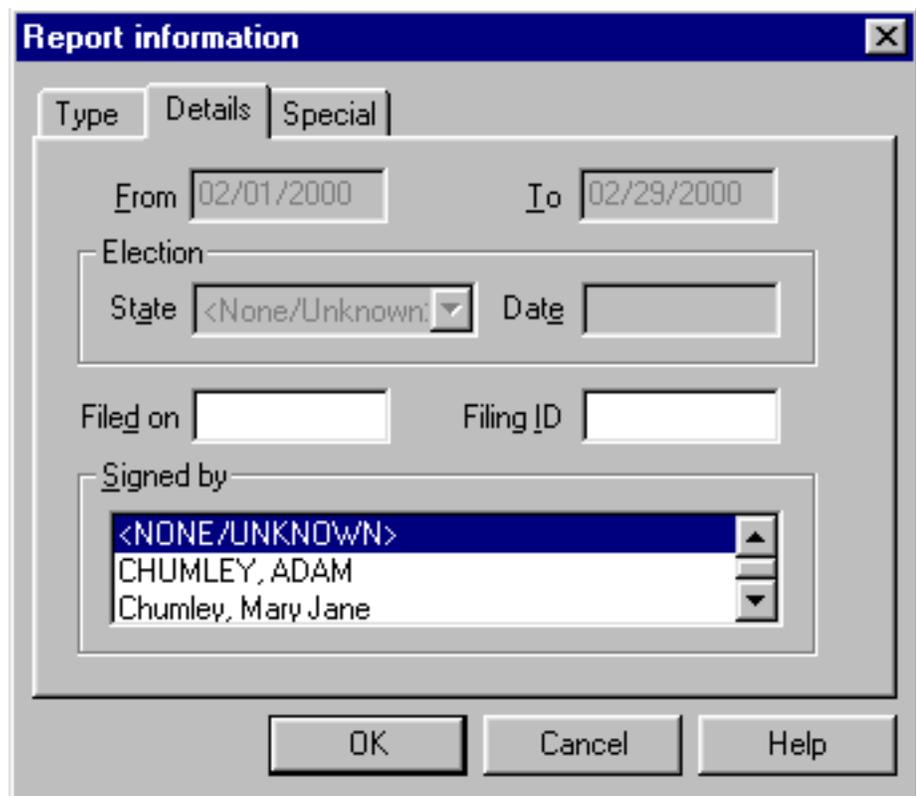


fig.9

information requested on the *Details* tab and, if required, the *Special* tab). When all the information is entered, click *OK*. The program will return you to the *Report Information* tab and your Treasurer's (or Assistant Treasurer's), name will be highlighted. (The entity will also appear in the *Individuals/Organizations* View.) For more detailed information on entering individuals and Organizations, see the section on Individuals and Organizations earlier in this chapter. The *Filed on* and *Filing ID* fields will be grayed out. These fields will be discussed in Chapter 6, Filing Your Report.

NOTE - You can select the person who will sign the report when creating the report, or you can wait until you are ready to file the report. If you select one person, but a different person signs the report, you have the ability to edit the information in this field.

The *Special* tab allows you to check the multi-candidate box status as well as the new committee address box (fig. 10). If you are a candidate committee (Form 3), you will find the election activity designation check boxes on the *Special* tab.



Modify - This feature allows you to make changes to a report's basic information: coverage dates, election state, election date, person who signed the report, identify a change of address, identify multi-candidate status, and designation of election activity.

To modify a report, activate the *Reports* View and select the report you would like to modify. Once the report is highlighted, select *Modify* from the *Edit* menu. All of the fields on the *Details* and *Special* tab that apply to your report will be available for you to make the necessary changes. Please note - FECFile does not allow you to edit the report type.

NOTE - The modify option is disabled on reports with "Filed on" dates. To make changes to a report that was submitted to the FEC, you must file an amended report. Please see the section on Amending Reports in chapter 7 for more information.

Delete - This feature allows you to delete a report from the *Reports* View. Reports can only be deleted if there are no transactions associated.

To delete a report, activate the *Reports* View and select the report you would like to remove. Once the report is highlighted, select *Delete* from the *Edit* menu. A prompt will appear asking if you want to delete the selected object. If you click *Yes*, the report will be deleted.

NOTE - If you have transactions associated with the report you are attempting to delete, you must first remove the transactions from the appropriate View (for example, transactions reported as receipts must be deleted from the *Receipts* View).

File Report - This should be done once all transactions have been entered for a report. When you enter the requested information on this screen, FECFile assumes your report has been filed and you will not be allowed to make any changes to the data. To file the report, activate the *Reports View* and select the report. When the report is highlighted select *File report* from the *Edit* menu. You will have three fields available: Filed on, Filing ID and Signed by. (fig. 11)

NOTE - You have the ability to file the report from all Views (i.e., You do not have to be in the *Reports View*). Go to the *Edit* menu and select *File Report*.

⇒ In the *Filed on* field you enter the date you will be filing the report. The information entered in this field will appear on the Summary Page of an FEC report, in the Date box. Follow the conventions discussed previously for entering the date format (for example, 01/01/00). The date entered must be later than the reports coverage dates.

⇒ If you enter an invalid date, FECFile will highlight the date field when you click *OK*. The software will not allow you to pass this screen until you have entered an acceptable date, or until you have cleared all information from the *Filed on* field.

Once you have a date in the *Filed on* field, the report will be locked. To make corrections or add transactions, you can remove the lock by deleting the date in this field. However, we do not recommend you remove the date on a report that has been submitted to the FEC.

You will not know your filing ID number until you submit the report to the FEC. Please ignore this field until you receive confirmation from the FEC of your electronic filing. A filing ID is unique to every report submitted electronically. The ID will always begin with "FEC-" and it will be followed by a number. For example, the first electronic filing ever received by the FEC has the filing ID of FEC-16. You will need to know the filing ID if you submit an amended filing. The information entered into the *Filing ID* field will carry to the Description column of the *Reports View*.

The *Signed by* field was discussed in the section on creating a new report. The name of the individual who "signs" the report should be highlighted. Click *OK* to save the information entered.

fig.11

The screenshot shows a 'Report information' dialog box with a blue title bar and a close button. It has three tabs: 'Type', 'Details', and 'Special'. The 'Details' tab is selected. The dialog contains the following fields and controls:

- 'From' text box: 02/01/2000
- 'To' text box: 02/29/2000
- 'Election' section with a 'State' dropdown menu (set to '<None/Unknown>') and a 'Date' text box.
- 'Filed on' text box (empty)
- 'Filing ID' text box (empty)
- 'Signed by' list box containing: '<NONE/UNKNOWN>', 'CHUMLEY, ADAM', and 'Chumley, Mary Jane'. 'CHUMLEY, ADAM' is highlighted.
- 'OK', 'Cancel', and 'Help' buttons at the bottom.

Click *Yes* to replace the object.

Purge

Back up your file before purging! The purge function provides a way to easily remove unwanted transactions from a .dcf file. This should not be necessary in the normal course of using the software. It can be handy in cases such as importing incorrect information into a new report. The entire report can be purged rather than each transaction being deleted separately. Actual reports that have been uploaded to the FEC should not be purged as this will make it impossible to amend these reports should it be necessary. Only reports that have been marked with a “Filed on” date may be purged. Purging does not remove loans or Debts, as they may effect future reports. To purge a report, single click on the report in the *Reports View* and choose *Purge* from the *Edit* menu. You will be asked to select a filename. The purged report will be saved as a new file, thus preserving the original file with all transactions intact. The default filename will be the same as the original file. **You must change the file name.**

Summary Page

The *Summary page View* displays the equivalent of the Detailed Summary Page of an FEC report. The lines on this screen will be different depending on the form set you are using. This is the View you will be working on most often, since most transaction data entry is done from this screen. To activate the *Summary Page View*, go to *View* on the menu bar and select *Summary page*.

NOTE - If the Summary Page is blank, you do not have a report activated. Look in the bottom right corner of your screen. You should see the active report’s coverage dates and report type code. If you do not see the information you need, activate the *Reports View*, select the correct report, and then return to the *Summary page View*. Don’t forget: If you have a *Filed on* date on the report, you will not be able to enter transactions.

There are seven columns in the *Summary page View*: Schedule, Line#, Description, THISP.I,

Line#	Description	THISP.I	THISP.U	CTD.I	CTD.U
6(a)	Cash on hand (Jan. 1)		101127.30		101127.30
A 11(a)	Individual Contributions	750.00	888.00	750.00	888.00
A 11(b)	Contributions from political party commitl...				
A 11(c)	Contributions from other political commit ...				
A 12	Transfers from affiliated/other party corr ...				

fig.12

THISP.U, CTD.I and CTD.U. The first three columns remain static. (*fig. 12*)

The columns can not be sorted in the *Summary page View*. However, all columns can be made wider or narrower by placing your mouse on the line to the right of the column name. You will see a double arrow cursor. Hold the left mouse button down. While holding the left mouse button, move your mouse to the right to make the column wider, and to the left to make the column narrower.

The Line# column shows the user the FEC schedule that will be generated if itemization thresholds are met. The schedules are discussed thoroughly in the *Campaign Guide*. You should know and

understand the reporting requirements for the types of transactions you report. **The FECFile software and its documentation are not intended as a guide to FEC reporting, and should not be used as a substitute for the Campaign Guides.**

Here is a quick index of schedules created by FECFile:

Form 3 and 3X

Schedule A: Provides detailed information for each receipt that is required to be itemized.

Schedule B: Provides detailed information for each disbursement that is required to be itemized.

Schedule C: Shows all loans, endorsements, and loan guarantees the committee receives or makes.

Schedule C-1: Shows all loans and lines of credit made by lending institutions to the committee. This schedule requires a bank signature. When filing electronically, you are required to submit a paper copy of Schedule C with the bank signature by mail after you have filed.

Schedule C-2: Lists all guarantors of loans and lines of credit. (C-2 only exists in electronic filings).

Schedule D: Shows debts and obligations owed to or by the committee that are required to be disclosed.

Form 3X (only)

Schedule E: Shows all independent expenditures made during the reporting period. Schedule E may also be used to separately disclose last-minute independent expenditures of \$1,000 or more made between the 20th day and 24 hours before the date of an election. Schedule E also requires submission of a paper copy (notarized and sworn to). This document must be sent to the FEC via traditional means (U.S. Mail, courier, etc.).

Schedule F: Shows all coordinated party expenditures. (Used by party committees only.)

Schedule H1: Shows method of allocation for shared federal and nonfederal administrative expenses and generic voter drive costs.

Schedule H2: Shows allocation ratios for shared federal and nonfederal activity, including individual fund-raising events, exempt activities, and direct candidate support appearing on the report.

Schedule H3: Shows transfers from nonfederal accounts to federal accounts for the purpose of paying allocable expenses.

Schedule H4: Shows disbursements for shared federal and nonfederal activity.

The line number tells the user the line of the Detailed Summary page to which the information will be assigned. Each line number of the Summary Page generates a separate schedule to support the line. Some lines of the Detailed Summary page are not in the *Summary page View*. If you do not see a line, that means the program is generating that information automatically.

NOTE - For more detailed descriptions of the report line numbers, refer to the *Campaign Guide* for

your committee type.

- ⇒ The column THISP.I (this period's itemized totals) is the aggregation of the current reports itemized transactions. On the FEC form, these totals appear in Column A (TOTAL THIS PERIOD) of the Detailed Summary Page. Before you enter any transactions, this column will be blank

NOTE - To see a previous report's itemized totals for a particular line: Go to *View* on the menu bar and select *Report*. Highlight a report. Go to *View* on the menu bar and select *Summary page*. You will see the report's totals for the Detailed Summary page.

- ⇒ The column THISP.U (this periods unitemized totals) is the aggregation of the current report's unitemized transactions. The transactions that aggregate into this column's totals will not generate a Schedule page. On the FEC form, these totals appear in Column A of the Detailed Summary Page. Before you enter any transactions, this column will be blank
- ⇒ The column CTD.I (calendar-to-date itemized totals) is the aggregation of the year-to-date itemized transactions. On the FEC form, these totals appear in Column B (CALENDAR YEAR) of the Detailed Summary Page. This column will be the total of itemized transactions from past reports.
- ⇒ The column CTD.U (calendar-to-date unitemized totals) is the aggregation of the year-to-date unitemized transactions. On the FEC form, these totals appear in column B of the Detailed Summary Page. This column will be the total of unitemized transactions from past reports.
- ⇒ All columns can be made wider or narrower by placing your mouse on the line to the right of the column name. You will see a double arrow cursor. Hold the left mouse button down. While holding the left mouse button, move your mouse to the right to make the column wider, and to the left to make the column narrower.

To create a transaction (e.g. receipt, disbursement, loan, debt, etc.), double-click the line on the Summary Page that represents the transaction (e.g., 11(a), Individual Contributions). The details of data entry for specific transaction types can be found in Chapter 4, *Building a Report*. As transactions are added, the numbers on the *Summary page View* change to reflect those transactions.

To edit the transactions that have been entered into a report, activate the related View. For example, to edit a receipt, you activate the *Receipts View*. This will be explained further in the sections that explain the other Views (*Opening Cash, Receipts, Disbursements, Obligations*). Cloning of transactions (very helpful for payroll deductions) also occurs on the four Views mentioned above. This will be discussed further in the following sections.

Opening Cash

The *Opening Cash* View displays the beginning cash-on-hand entered for the first report in FECFile.



Line#	Date	Individual/Organization	Amount	CTD
6(a)u	07/01/1999		101127.30	0.00

fig.13

This View is only needed if you have to make adjustments to original cash-on-hand. To activate the window, go to *View* on the menu bar, and select *Opening Cash*. (fig. 13)

There are five columns in the *Opening Cash* View: Line#, Date, Individual/Organization, Amount, and CTD. All the information in these columns is directly from the entered data on the *Summary page* View. Line# will tell you the line of the FEC form that discloses the opening cash. Notice a small letter “u” next to the line number. The “u” means this transaction is unitemized. All transactions on the *Opening Cash* View will be unitemized. The *Date* column will tell you the first time cash-on-hand was entered into FECFile. The *Individual/Organization* column should be blank (this field will be grayed-out on the Item Information tab). The *Amount* column will contain the original cash-on-hand amount that was entered on the *Summary page* View. The *CTD* column will be zero during the first report (the original report that started in FECFile). The *CTD* column, in the *Opening Cash* View, will be blank on all future reports.

The columns can be sorted. However, it is highly probable that you will never have more than one entry in this View. As usual, all columns can be made wider or narrower by placing your mouse on the line to the right of the column name. You will see a double arrow cursor. Hold the left mouse button down. While holding the left mouse button, move your mouse to the right to make wider, and to the left to make the column narrower.

The Opening Cash is entered from the *Summary page* View. See Chapter 4, *Building a Report*, for details.

To modify opening cash - activate the *Opening Cash* View. Select the line you wish to edit, go to *Edit* on the menu bar and choose *Modify*. Make the needed corrections on the item information tab that appears. Click *OK*, and *Yes*, to replace the object.

FECFile version 3 automatically carries the beginning and ending cash balance forward from year to year. In other words, if the Year-End report for 1999 had a “cash on hand at close of reporting period” of \$10,000, the first quarter report of 2000 will have \$10,000 for the “cash on hand at beginning or reporting period”. Do not enter cash on hand at the start of every year or your totals will be inflated! FECFile will compute the calculations for you automatically.

Receipts

The *Receipts* View displays a detailed history of all money and goods received by your committee. To activate the Receipts window, go to *View* on the menu bar and select *Receipts*.

Receipts						
Line#	Date	Individual/Organization	Amount	Election	YTD	
11(a)	09/01/1999	MILLER, ROBERT	1000.00		1000.00	
11(a)	10/31/1999	REAGAN, HAROLD	999.00		999.00	
11(a)	11/01/1999	CHUMLEY, ADAM	300.00	G	300.00	
11(a)	11/01/1999	ELLIS, WILLIAM	1000.00	G	1000.00	
13(a)	08/01/1999	LEAPHORN, JOE	10000.00	P	10000.00	

fig.14

There are six columns: Line#, Date, Individual/Organization, Amount, Election and YTD. This View can be sorted by any of the columns (fig. 14). If you click a column name once, the information is sorted one way. If you click the same column again, the sort will be in the opposite order (i.e. One click on Individual/Organization will sort the names A-Z and two clicks will sort the names Z-A). All columns will sort in the order determined by the column chosen (e.g. the transaction will remain intact). You can not sort in more than one order at a time. For example, FECFile will not sort all of the transactions for \$200 on 4/5/99. You can only choose one criteria for the sort. In addition, you can only sort information that appears in the View. So, you could not conduct a sort on the Purpose / Description that was entered for a transaction, since the information is not displayed in the *Receipts* View.

NOTE - You have the ability to size the columns. All columns can be made wider or narrower. For further explanation, refer to the *Individuals/Organizations* View.

There are four basic things you can do in the *Receipts* View: itemize, clone, modify and delete.

Itemize - If the year-to-date total of an individual or an organization is less than the FEC's reporting threshold, the transaction will automatically be counted as unitemized. By default, FECFile automatically categorizes receipts as itemized or unitemized based on the year-to-date figures for the contributor. There may be occasions when you will want to itemize a transaction that would normally be below the threshold, or to unitemize one that is over the threshold. To do this:

- ⇒ Enter the receipt into the system. If it is below the threshold you will notice a lower case "u" next to it in the *Receipts* View.
- ⇒ Single click on the receipt in the *Receipts* View.
- ⇒ Choose *Itemize* from the *Edit* menu.

If the transaction was originally unitemized, it will now be itemized. If it was Itemized, it will now be unitemized.

NOTE - A dialogue box may appear when you select a transaction and change its default itemization. The screen says: "If you itemize or de-itemize this item interactively then the filer program cannot subsequently re-itemize this item automatically. Are you sure you want to [de-]itemize this item?". The message means that if you force the itemization of a transaction, the software will not be able to change the itemization automatically.

Clone - This feature allows you to make copies of a receipt that has already been entered into FECFile. This is useful if you have the same contributors continuously giving money. For example, you might work for a PAC that has payroll deductions. In this situation, the individual might donate the same amount on a regular basis.

- ⇒ Select the last receipt of this individual from the *Receipts* View. (Items are cloned from the *Receipts* View, not the *Summary page* View.)
- ⇒ With the transaction highlighted, go to *Edit* on the menu bar and select *Clone*. A copy of the transaction will appear.
- ⇒ Enter the current contribution's date. If all the other information is the same, click *OK*. If not, make any of the necessary changes in the appropriate fields.

NOTE - The FEC requires a committee to explain "payroll deduction" in the *Purpose/Description* field. If the deductions take place on a time schedule, for example, every two weeks, be sure to type "biweekly payroll deduction" and include the amount deducted.

Modify - This feature allows you to make changes to a receipt that has already been entered into FECFile.

Find and highlight the transaction in need of modification, in the *Receipts* View.

- ⇒ Choose *Edit* from the menu bar, and select *Modify*.
- ⇒ Click on the tab (Details, Endorsement or Schedule C-1) that contains the information you would like to edit.
- ⇒ After you make the changes, click *OK*. A prompt will ask you if you would like to replace the object. Click *Yes*. The changes will be made to the transaction after you click *Yes* to replace the object.

NOTE - Remember, if you must change the address information of an entity, you make the changes in the *Individual/Organizations* View. A change made to the address information of an entity will be carried to all transactions associated to that entity.

Delete - This feature allows you to remove receipts that have been entered into FECFile. If you want to delete, instead of modify, the transaction:

- ⇒ Activate the *Receipts* View.
- ⇒ Locate the receipt you want to delete, and highlight it.
- ⇒ Choose *Edit* from the menu bar and select *Delete*. The delete option will only be available if the transaction was entered in the current reporting period. In other words, you cannot delete contributions from a report that has been filed. To remove transactions from previous reports, refer to the section on Amendments in chapter 7.

When a receipt is deleted from the *Receipts* View (except in the case of amendments), the transac-

Disbursements					
Line#	Date	Individual/Organization	Amount	Election	YTD
21(a)	08/14/1999	Golforama	300.00		300.00
26	08/16/1999	The Bank	240.00	P	240.00
27	08/09/1999	Anne, Karil	2000.00		2000.00

fig.15

tion will be completely removed from your file. The only way to bring a receipt back into the file after it has been deleted is to reenter the transaction.

Disbursements

The *Disbursements* View displays a detailed history of all money and goods disbursed by a committee (outbound). The *Disbursements* View and the *Receipts* View are functionally the same. To activate the disbursements window, go to *View* on the menu bar and select *Disbursements*.

There are six columns: Line#, Date, Individual/Organization, Amount, Election and YTD. This View can be sorted by any of the columns. If you click a column name once, the information is sorted one way. If you click the same column again, the sort will be in the opposite order (i.e. One click on Individual/Organization will sort the names A-Z and two clicks will sort the names Z-A). All columns will sort in the order determined by the column chosen (e.g. the transaction will remain intact) (fig. 15). You cannot sort in more than one order at a time. For example, FECFile will not sort all of the transactions for \$200 on 4/5/99. You can only choose one column for the sort. In addition, you can only sort information that appears in the View columns. So, you could not conduct a sort on the Purpose / Description that was entered for a transaction, because the information is not displayed in the *Disbursements* View.

You have the ability to size the columns. All columns can be made wider or narrower. For further explanation, refer to the *Individuals/Organizations* View.

There are four basic things you can do in the *Disbursements* View: itemize, clone, modify and delete.

Itemize - If the year-to-date total of an individual or an organization is less than the FEC's reporting threshold, the transaction will automatically be counted as unitemized for transactions subject to the itemization threshold. By default, FECFile automatically categorizes disbursements as itemized or unitemized based on the year-to-date figures for the payee. There may be occasions when you will want to itemize a transaction that would normally be below the threshold, or to unitemize one that is over the threshold. To do this:

- ⇒ Enter the disbursement into the system. If it is below the threshold, you will notice a lower case "u" next to it in the *Disbursements* View.
- ⇒ Single click on the disbursement in the *Disbursements* View.
- ⇒ Choose *Itemize* from the *Edit* menu.

If the transaction was originally unitemized, it will now be itemized. If it was itemized, it will now be unitemized.

Clone - This feature allows you to make copies of a disbursement that has already been entered into FECFile. This is useful in cases such as paying monthly bills, or any other regularly occurring disbursement.

- ⇒ Select a previous disbursement to this vendor from the *Disbursements View*. (Items are cloned from the *Disbursements View*, not the *Summary page View*.)
- ⇒ With the transaction highlighted, go to *Edit* on the menu bar and select *Clone*. A copy of the transaction will appear.
- ⇒ Enter the current disbursement date. If all the other information is the same, click *OK*. If not, make any of the necessary changes in the appropriate fields.

Modify - This feature allows you to make changes to a disbursement that has already been entered into FECFile.

- ⇒ Select *Disbursements* from the *View* menu.
- ⇒ Highlight the disbursement you wish to edit.
- ⇒ Select *Modify* from the *Edit* menu.
- ⇒ Click on the tab (Details, Endorsement, Event, Schedule F or Schedule H-2) that holds the information you would like to edit.
- ⇒ After you make the changes, click *OK*. A prompt will ask you if you would like to replace the object. Click *Yes*. The changes will be made to the transaction after you click *Yes* to replace the object.

NOTE - Remember if you need to change the address information of an entity, you make the changes in the *Individual/Organizations View*. A change made to the address information of an entity will be carried to all transactions associated with that entity.

Delete - This feature allows you to remove disbursements that have been entered into FECFile.

- ⇒ Activate the *Disbursements View*.
- ⇒ Select the disbursement you want to delete from the *Edit* menu. Choose *Delete*. The delete option will only be available if the transaction was entered in the current reporting period. In other words, you cannot delete expenditures from a report that has been filed. To remove previously reported transactions, refer to the section on Amendments in Chapter 7.

When a disbursement is deleted from the *Disbursements View* (except in the case of amendments), the transaction will be completely removed from your file. The only way to bring a disbursement back into the file after it has been deleted is to reenter the transaction.

Loans and Other Obligations							
Lin...	Date	Individual/Organization	Amount	Description		Accruals	Settlements
13	08/08/1999	The Bank	8000.00	Bank Loan			240.00
26	08/16/1999	The Bank	240.00			\$	
27	08/09/1999	Anne, Karil	2000.00	Loan for Television ad campaign			

fig.16

Obligations

The Loans and Other *Obligations* View displays a history of all loans, debts and other obligations a committee owes and is owed. To activate the *Obligations* window, go to *View* on the menu bar and select *Obligations*.

There are eight columns: Line#, Date, Individual/Organization, Amount, Description, Settlement/Accrual, Accruals and Settlements (*fig. 16*). This View can be sorted by any of the first five columns. If you click a column name once, the information is sorted one way. If you click the same column again, the sort will be in the opposite order (i.e. One click on Individual/Organization will sort the names A-Z and two clicks will sort the names Z-A). All columns will sort in the order determined by the column chosen (e.g. the transaction will remain intact). You can not sort in more than one order at a time. For example, FECFile will not sort all of the transactions for \$200 on 4/5/99. You can only choose one criteria for the sort. In addition, you can only sort information that appears in the View columns. So, you could not conduct a sort on the Rate of interest that was entered for a transaction, because the information is not displayed in the *Obligations* View.

You have the ability to size the columns. All columns can be made wider or narrower. For further explanation refer to the *Individuals/Organizations* View.

There are six basic things you can do in the *Obligations* View: itemize, clone, repayment, (non-cash) accrual, modify and delete.

Clone - This feature allows you to make copies of a loan or obligation that has already been entered into FECFile. This is useful if you have multiple loans and obligations with the same basic information. For example, if you have four loans from “The Tree Made of Money”, it might be time efficient to enter one of the loans from the Summary page then clone the loan from the *Obligations* View.

- ⇒ Select the loan or obligation from the *Obligations* View.
- ⇒ With the transaction highlighted, go to *Edit* on the menu bar and select *Clone*. A copy of the transaction will appear.
- ⇒ Enter the new loan or obligation amount. If all the other information in the Item information tab is the same, click *OK*. If not, make any necessary changes in the appropriate fields.

Repayment - To report a repayment of a loan:

- ⇒ Activate the *Obligations View*.
- ⇒ Select the loan or other obligation you wish to repay.
- ⇒ Select *Repayment* from the *Edit* menu.
- ⇒ Enter the Details (i.e. Amount, Date) of the repayment.

To report the addition of non-cash accrual to an existing loan or obligation, select the *Obligations View*. As with the repayment, the loan or obligation information must have been entered into FECFile prior to entering a non-cash accrual.

To add non-cash to a loan or other obligation :

- ⇒ Activate the *Obligations View*.
- ⇒ Select the loan or other obligation you wish to accrue (non-cash).
- ⇒ Select *(Non-cash) Accrual* from the *Edit* menu.
- ⇒ Enter the Details (i.e. Amount, Date).

NOTE - Do not use (Non-cash) Accrual to accrue to a loan if the loan accrues cash. A majority of accruals are based on cash. With these transactions you must increase your cash at the close of a reporting period. Data entry for these is as for new loans.

Modify - This feature allows you to make changes to a loan or obligation that has already been entered into FECFile.

- ⇒ Activate the *Obligations View*.
- ⇒ Locate the transaction you wish to modify.
- ⇒ Select *Modify* from the *Edit* menu.
- ⇒ Click on the tab (Details, Endorsement or Schedule C-1) that has the information you would like to edit.
- ⇒ After you make the changes, click *OK*. A prompt will ask you if you would like to replace the object. Click *Yes*. The changes will be made to the transaction after you click *Yes* to replace the object.

NOTE - Remember if you must change the address information of an entity, you make the changes in the *Individual/Organizations View*. A change made to the address information of an entity will be carried to all transactions associated to that entity.

Delete - This feature allows you to remove loans and obligations that have been entered into FECFile.

- ⇒ Activate the *Obligations View*.
- ⇒ Locate the obligation you wish to delete.
- ⇒ Select *Delete* from the *Edit* menu.

The delete option will only be available if the transaction was entered in the current reporting period. In other words, you cannot delete loans and obligations from a report that has been filed. To remove previously reported transactions, refer to the section on Amendments in Chapter 7. When an obligation is deleted from the *Obligations View* (except in the case of amendments), the transaction will be completely removed from your file. The only way to bring the obligation back into the file after it has been deleted is to reenter the transaction.

NOTE - To edit, clone or delete a transaction reported on an H or H2 Schedule, you must go to the *Obligations View*. The H2 schedule shows allocation ratios for shared federal and nonfederal activity, including individual fund-raising events, exempt activities, and direct candidate support. The H1 Schedule shows the method of allocation for shared federal and nonfederal administrative expenses, and generic voter drive costs.

Validator

The *Validator View* verifies that all transactions meet the standards of the electronic filing format. To activate the Validator window, go to *View* on the menu bar and select *Validator*. When you activate this View, FECFile calls on a tool called FECheck. You might hear someone refer to it as FECheck, which is the same as the *Validator View* in FECFile. Performing the validation is necessary to ensure that your report is complete and that it will not be rejected by the FEC's electronic-filing server when you upload your filing. The FEC will run the same validation on your file before it can be accepted. The validator **does not** check your report for compliance with the FEC. The compliance responsibility remains with you. The Validator is primarily looking for structural errors and common missing information (for example, the Treasurer's signature date or a candidate's office, state and district information).

fig.17

FORM NAME	ERR LVL	COL #	DESCRIPTION

F3XN	12	107	is Required, but field is Empty '--> Treasurer's Signature Date
S&11A1	4	007	Conditionally Required field is Empty '--> Contributor City '--> Line item Name: Chumley^Zachary
S&11A1	4	008	not a valid 2-character USPS State Code '--> Contributor State Code '--> Line item Name: Chumley^Zachary
S&11A1	4	009	Zip Code is Invalid or Missing / Zip = {Missing} '--> Contributor ZIP Code '--> Line item Name: Chumley^Zachary

The *Validator View* is different from the 7 other Views. The program FECheck evaluates the data which is contained within the open report. The results of FECheck's evaluation are displayed in the *Validator View* (fig. 17). You do not have the ability to sort, re-size columns or make changes within this View. However, the *Validator View* is the only View that can be printed. If you want to print the *Validator View*, Go to *File* on the menu bar and select *Print*.

Reading Validation Results

Validation Summary - At the top of the validation screen you should see a line that reads "Validation Summary : 0 error(s), error level = 0". If a zero is associated with the number of errors, this means your report has no structural errors, and your report can be uploaded electronically. However, if the report has errors there may be some corrections required before you can file the report.

MD5 checksum - The second line of the validation screen is the MD5 checksum. The checksum number is your proof that nothing was changed in your file during the upload to the FEC. This number is automatically generated by FECFile, and will look something like this:

MD5 checksum = 2b86c8d82ec39d670f1678f284b06b26. If you change anything on this report, the checksum will change (even if you add a space). If you are uploading a filed report, you should note this number (perhaps by printing the *Validator View*). When you receive your confirmation from the FEC (by FAX and/or e-mail), match it against the checksum sent to you by the FEC. It is important to remember that if you change anything on the report in FECFile, the checksum will be different. This does not mean, however, that after you file that report and begin the next report the numbers will change. After you have filed your report (with a Filed on date), that information is locked into your report history.

Software name and Version number - The third line has the name of the validator (FEC File Validator) and the version number.

Error Descriptions - If you have errors in your filing, there will be a section that has four columns (FORM NAME, ERR LVL, COL # and DESCRIPTION). This section will be located between the double dotted lines.

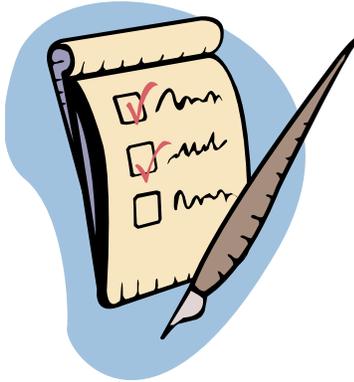
FORM NAME - Will always begin with an F, short for form, or S, short for Schedule. After the F, you will see the type of form you are using 3, 3X or 6. If you are not sure of the form type, contact the Federal Election Commission. If you believe the wrong form type is displayed, contact the software's technical support.

ERR LVL - There are five possible error levels you may see: 4, 6, 8, 12 or 16. You must correct errors with ERR LVL = 8 or higher. Reports with ERR LVL greater than or equal to 8 will not be accepted by the electronic filing system. Although reports with ERR LVL less than 8 will be accepted by the FEC server, you are encouraged to correct all errors before uploading a report.

COL # - This is the offending field number in the .FEC format. A FECFile user would most likely not be concerned with the information in this column though it may prove useful to technical support staff.

DESCRIPTION - This column helps you to locate the specific transaction with a problem. If a

transaction has more than one problem, multiple error messages will be generated (each problem will have an error). For detailed information on validation errors, see Appendix III.



Review - Chapter 3

- 1 A file can, and in most cases should, contain multiple reports. Do not create a new file for each new report. Your YTD numbers and individual aggregates will not be correct.
- 2 The *View* menu gives you access to data.
- 3 Most data entry is done through the *Summary page View*.
- 4 Existing information can be edited from the corresponding *View* by choosing *Modify* from the *Edit* menu.
- 5 Most *Views* can be sorted by clicking on the appropriate column header.
- 6 The *Validator View* is different from the other *Views* in that it displays information, but there is no data entry or modification ability associated with it.
- 7 Use the *Lookup* feature whenever you are creating a new entry for a Federal Committee. This ensures accuracy and provides information you might not otherwise have.
- 8 Download the *Committee Lookup* file when prompted to keep it current.

Creating or selecting a report



If you have walked through the steps outlined in Chapter 2 for getting started, you have created a report and should skip to the “Entering Transactions” section below. To select an existing report, choose *View* from the menu and select *Reports*. Select the report you are currently working on from the reports list. Even if you are just beginning to use FECFile, it is possible that you will have more than one report on the reports list. If the coverage dates of your first electronic report do not include January 1st of the current year, and you have reported transactions in a prior period this year, you must create a “dummy” report

that begins with Jan. 1 and ends with the day before your report begins. In this report you will enter data from all previous reports since the first of the year. See Chapter 2 for details about adjusting aggregates. If you have not yet created a report, choose *New* from the *Edit* menu and follow the steps in Chapter 2, beginning with step 4, “Type of new report”. The software remembers the last report you were working on and automatically selects it. If you are not allowed to enter data, you have probably selected a report that has been filed (or at least has a filing date entered into the report details screen). In this case, select the correct report or remove the filing date by choosing *File Report* from the *Edit* menu and deleting the date. It is not advisable to remove the *Filed on* date from a report that has actually been filed with the FEC as this makes it possible to accidentally change information and render your historical record, and possibly future amendments, incorrect.

Entering Transactions

With a few exceptions, such as importing and cloning, which will be addressed later, **nearly all transaction entry begins with the *Summary page View*** (choose *Summary page* from the *View* menu). The summary is a combined representation of information from the Report of Receipts and Disbursements and the Detailed Summary page. Form 3 and Form 3x are similar; they differ in the line numbers used to display information. In this text, references to line numbers will be given in the following format:

“Line” (Form 3x/Form 3) - Description

For example: **Line 15/14 - Offsets to Operating Expenditures.**

This indicates line 15 for form 3x and line 14 for form 3.

The software selects Form 3 or 3x based on the committee type you specified when creating your file and displays it in the *Summary page View*.

Correctly entering a transaction involves following a simple two-step process.

- ⇒ Determine the line number for the transaction. If you don't know the line number, consult your *Campaign Guide* or other FEC references.
- ⇒ Once you have determined the line number, double click on that line in the *Summary View* and enter the information for the transaction. The process is the same for all transaction types though the detailed information may be different and more complex transactions (such as loans and debts) may have extra data entry screens.

Most transactions share a common data entry screen we will refer to as the *Item Information Screen*. It has a number of fields; *Date*, *Amount* and *Individual/Organization* are always required; *Election* and *Description/Purpose* are sometimes required; and *Memo*, which should not be checked unless directed to do so in the "Special Transaction Types" chapter. There may be extra tabs at the top of the screen that require further information for certain transaction types. These tabs will be described in detail below.

Cash on Hand (Jan. 1)

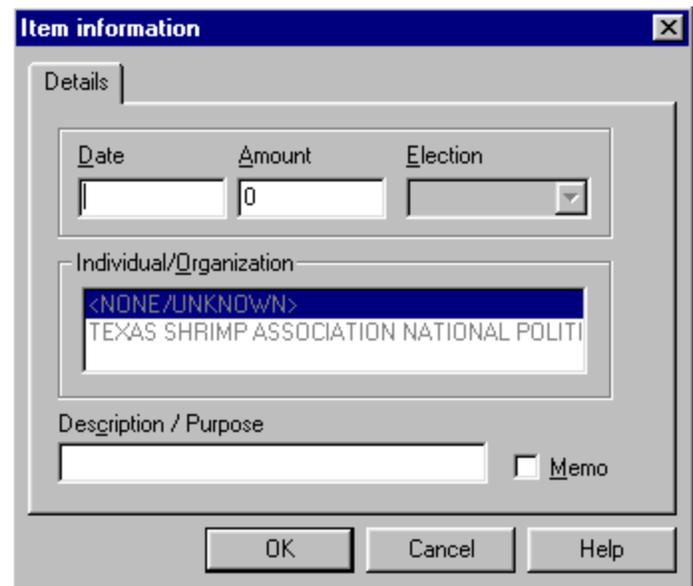
Line 6a/23

fig. 1

- ⇒ Activate the *Summary page View* and double click on the appropriate line (Form 3, line 23, or Form 3X, line 6a).

When you double click on the line number, the *Item Information* tab will appear (*fig. 1*).

- ⇒ Enter the first day of the coverage period (for example, if your committee began filing with the FEC a report that covered January 1, 1999, you should enter 1/1/99). In the amount field, enter the amount of cash on hand at the beginning of the reporting period.



The *Individual/Organization* field will be grayed-out since it is not applicable. In addition, you can ignore the *Description / Purpose* field and the *Memo* check box. If you chose to enter a *Description / Purpose*, the information will not be sent to the FEC since the transaction does not generate a schedule. Only the amount will appear on the FEC form 3, line 23, of the Detailed Summary page and on the Summary Page Line 6(a), for Form 3X.

- ⇒ **Do not check the memo box!** If you check the memo box, the amount entered will not be accounted for in your Summary and Detailed Summary pages of your FEC report.

There are only rare occasions when this box is checked. If the box is checked you will see *MEMO* in the Line# column of the *Opening Cash View*.

Transactions

The data entry for the following four lines is the same. The line numbers are the same for both Form 3 and Form 3x, with the exception of line 11(d), which is available in Form 3 only.

LINE 11(a) - Individual Contributions (other than loans)

LINE 11(b) - Contributions from Political Party Committees (other than loans)

LINE 11(c) - Contributions from other Political Committees (other than loans)

LINE 11(d) - Contributions from the Candidate (other than loans) (Form 3 only)

Double click on the line that is correct for the transaction you wish to enter. In the item information screen, enter the *Date* and *Amount*. Choose or enter the *Election* (Primary, General etc.) if it is required. To assign the contribution to a person, either select an existing individual from the scrolling *Individual/Organization* list or add a new one by right clicking on the list. From this point, the steps are the same as those outlined in the “Adding New Individuals and Organizations” section in this chapter.

In most cases an ordinary receipt requires no description, but if one is required, enter it in the *Description/Purpose* field. The *Memo* box and the *Endorsements* tab are used for specific types of contributions and are described in the “Special Transaction Types” section in this chapter.

LINE 12/12 - Transfers

This line is the same on both Form 3x and Form 3. Follow the procedures outlined for Line 11 above. In the *Individual/Organization* box, choose or enter the Committee that is transferring the funds.

LINE 13/(13a or 13b) - Loans

Though the procedure for loans is the same as for contributions, more information is required, so there are several more steps in the data entry process.

- ⇒ Double click on the correct line for the loan (Form 3x reports all loans on line 13. Form 3 differentiates between Loans made/Guaranteed by the Candidate, reported on line 13a, and All Other Loans, reported on line 13b.) The initial screen is the *Item Information* screen.
- ⇒ Enter the *Date*, *Amount* and *Election* as described for line 11 above.
- ⇒ Assign the lending institution or individual making the loan in the *Individual/Organization* scroll box as described above.
- ⇒ Enter a description if required, but do not check the *Memo* box.

From this point, the data entry is unique to loans.

⇒ Choose the *Endorsements* tab (fig. 2). Because a single loan may have multiple guarantors, a scrolling list is provided from which you may choose all guarantors associated with a particular loan.

⇒ Select guarantors (if any) by double clicking on each one on the scrolling list. If they do not exist on the list, right click on the list and create them. Once they have been created, double click on them.

When all the guarantors are listed in the bottom box, it is necessary to assign the amount guaranteed by each guarantor.

⇒ Double click on each guarantor in the lower box and enter the amount of the guarantee.

⇒ Enter the *Due date* of the loan and check the *Secured* box, if required.

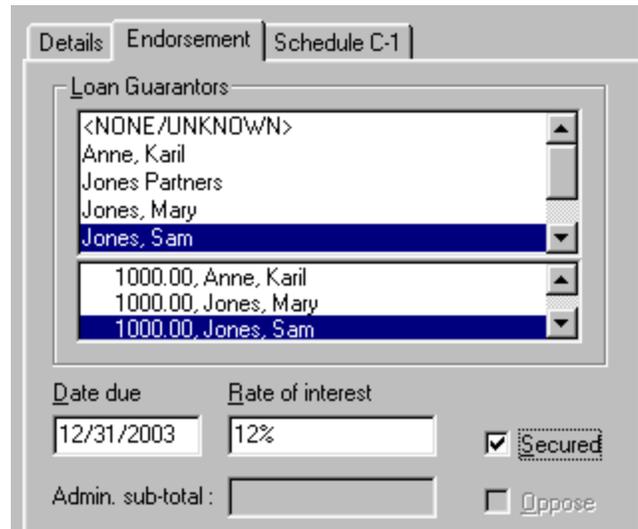


fig. 2

The schedule C1 tab contains information that would be printed on a schedule C1 report (fig. 3).

⇒ Select the lending institution from the list (or right click and add it if it is not there).

⇒ Enter the value and description of traditional collateral pledged, if any.

⇒ If the lender has a perfected security interest in the collateral, check the *Perfected Interest* box.

⇒ If future income is pledged, indicate the value and description and select or add the bank where the account is held and the date it was created.

⇒ If there is an alternate basis for loan repayment, describe it in the area provided.

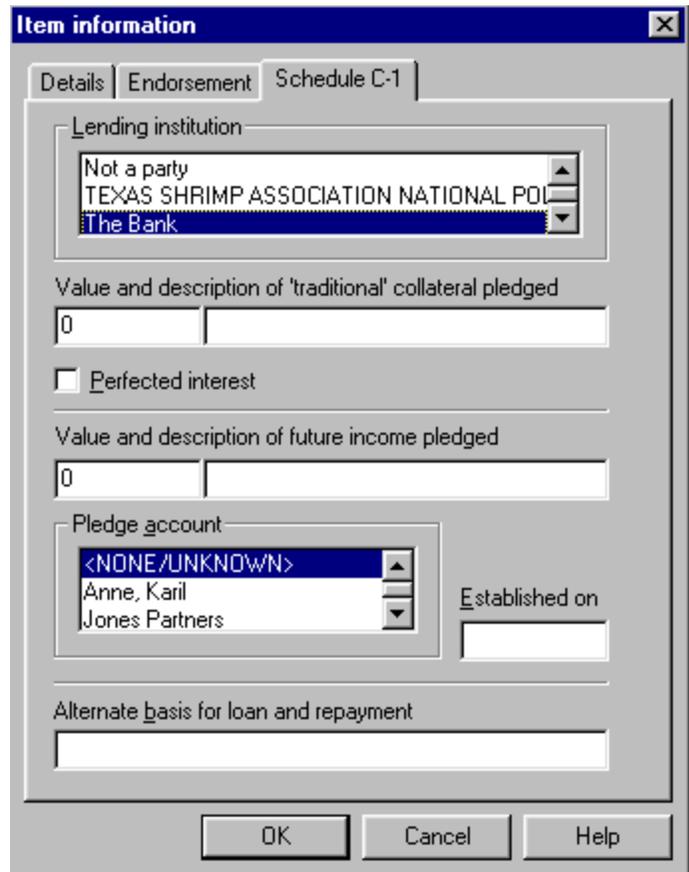


fig. 3

LINE 14/none - Loan Repayments Received (Form 3x only)

Line 14 on the Form 3x *Summary page*

View is for display only. Double clicking on it does nothing. To enter a Loan Repayment received, there must first be a loan made.

⇒ Create Loan (See “Line 27 - Loans Made” for details.)

Once a Line 27 entry has been made, Payments Received may be entered from the *Obligations* view.

⇒ Choose *Obligations* from the *View* Menu.

⇒ Right click on the Loan for which payment has been received and choose *Repayment*.

⇒ Enter the information in the item information screen.

By entering the data through the *Obligations* view, the payment is associated with the loan and the amount of the repayment is reported on schedule C and the outstanding balance is reduced appropriately.

LINE 15/14 - Offsets to Operating Expenditures (including refunds, rebates, and returns of deposits)

Offsets are entered exactly like Line 11 contributions. Double click on the Line 15/14 and follow the data entry steps described in the Line 11 section.

LINE 16 - Refunds of Contributions made to other Federal Candidates and Committees - (Form 3x only)

Line 16 refunds are entered in the same manner as Line 11 receipts. Double click on Line 16 and follow the data entry outlined in the Line 11 section.

LINE 17/15 - Other Federal Receipts/Other Receipts (including dividends and interest)

Double click on the line (17 for Form 3x and 15 for Form 3) and enter the data as for Line 11, described above.

fig. 4

LINE 18 - Transfers from Non-federal Account for Joint Activity

Line 18 displays information that is detailed on schedule H3. To begin with, the data entry is the same as for a Line 11 receipt.

⇒ Enter the date and amount and account information (in the *Individual/Organizations* box); then select the *Endorsements* tab.

In this case, the endorsements section allows you to assign subtotals of the transfer to different events or activities (*fig. 4*).

⇒ Select an event from the list or

The screenshot shows a software window titled "Item information" with a close button (X) in the top right corner. It has two tabs: "Details" and "Endorsement", with "Endorsement" being the active tab. Under the "Endorsement" tab, there is a section labeled "Events" containing a list box with the following items: "<NONE/UNKNOWN>", "Anne, Karil", "Annual Golf Fundraiser - 227 Golf Lane...", "Federal Union Savings Bank - 444 Money Lane...", and "Jones Partners". Below the list box, there are three entries, each with a value of "1000.00": "1000.00, Annual Golf Fundraiser", "1000.00, Sadie Hawkins Dance", and "1000.00, Candidate's Birthday Party". The "Candidate's Birthday Party" entry is highlighted in blue. Below the list, there are two input fields: "Date due" and "Rate of interest". To the right of these fields are two checkboxes: "Secured" and "Oppose". Below the "Date due" field is an "Admin. sub-total:" label followed by an input field. At the bottom of the window are three buttons: "OK", "Cancel", and "Help".

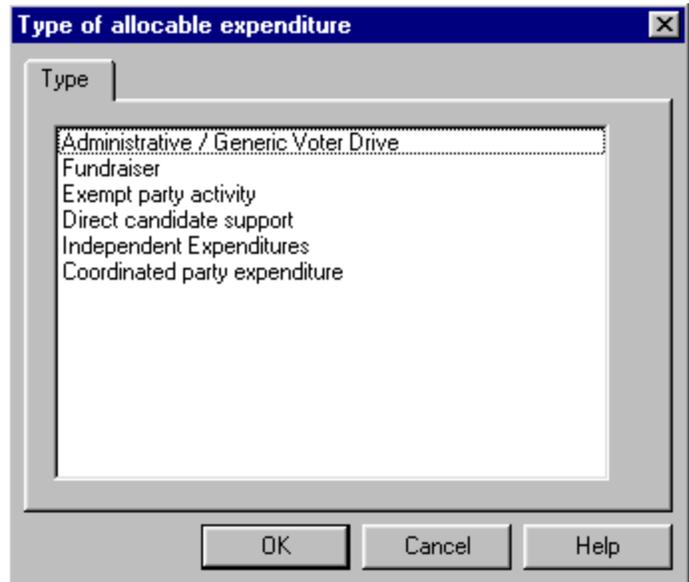
add it if it does not yet exist (right click on the list).

⇒ Once the event or events have been added, double click on each one and add the amount allocated for that event and select whether it is a Direct Fund-raising Activity or Exempt Activity/Direct Candidate Support.

LINE 21(a) - Allocable Expenditures (Form 3x only)

Allocable expenditures (Schedule H4) are entered by double clicking on line 21a.

The *Type of allocable expenditure* screen presents six options (fig. 5). The first three, *Administrative / Generic Voter Drive*, *Fundraiser* and *Exempt Party Activity* place the transaction entirely on line 21a. Choosing *Direct Candidate Support* places the Federal share of the disbursement on schedule B, for line 23. Selecting *Independent Expenditure* places the Federal share on Schedule E for line 24 and Choosing *Coordinated Party Expenditure* places the Federal share on schedule F for line 25. For the first four types, the item information screen is the same. (fig. 6)



⇒ Enter the *Date*, *Amount* and *Non Federal Share*.

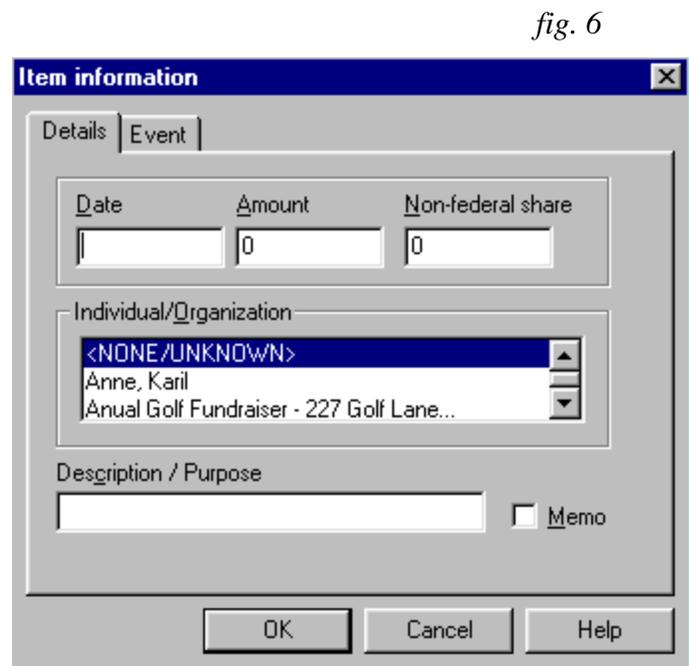
⇒ In the *Individual/Organizations* box, select or add (right click) a record for the place where the money was spent.

⇒ Describe the transaction in the *Description/Purpose* field.

⇒ If there is an event associated with this disbursement, choose the “Events” tab and select from the event list or add to it the joint activity to which the expenditure is related (fig. 7).

⇒ When adding an event, select *Event (Joint Federal/Non Federal)* from the record type list.

⇒ Be sure to include the event date on the *Special* tab.



Choosing *Independent Expenditure* opens a different *Item Information* screen that includes an *En-*

dorsements tab (fig. 8).

⇒ On the *Endorsements* tab, select the Candidate Beneficiary (or right click to create a new one) from the *Candidate Beneficiary* box. When creating a new Candidate Beneficiary record, Choose *Candidate* from the *Type* screen.

⇒ Check the *Oppose* box if the expenditure opposes the selected Candidate. Leave the box unchecked to indicate support.

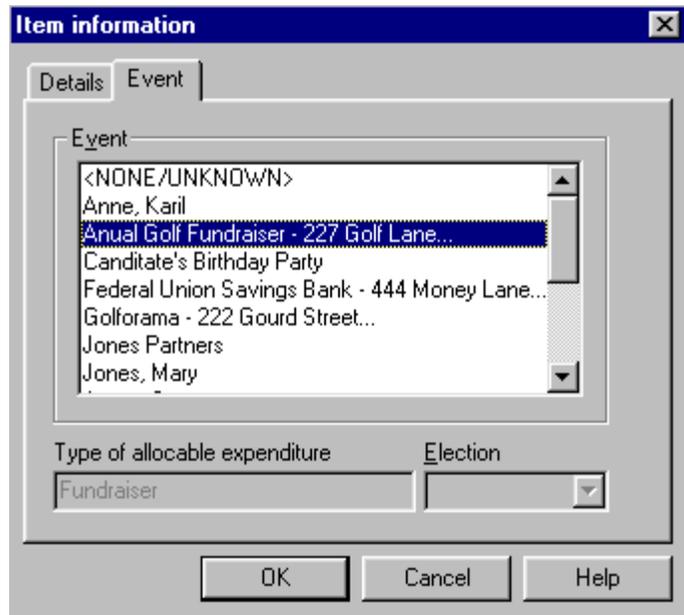


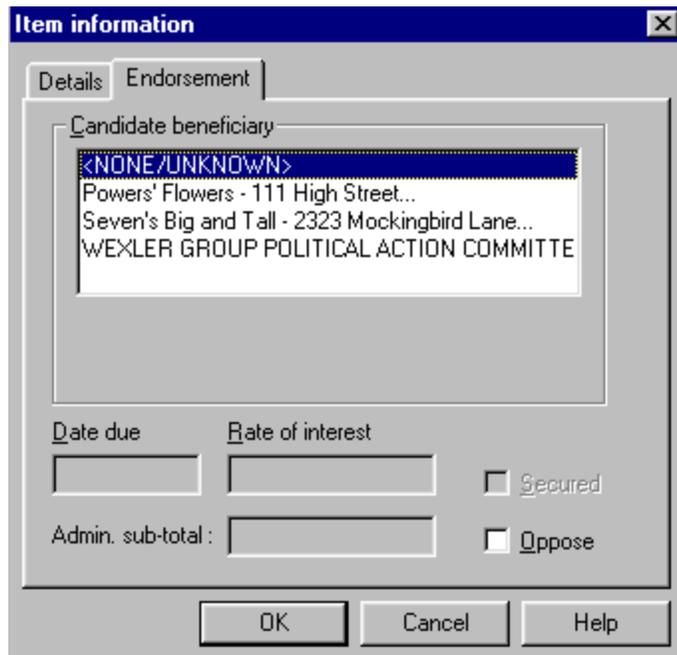
fig. 7

Choosing *Coordinated Party Expenditure* opens yet another different *Item Information* screen containing an *Endorsements* tab and a *Schedule F* tab.

fig. 8

⇒ On the *Endorsements* tab (fig. 8), select the Candidate Beneficiary (or right click to create a new one) from the *Candidate Beneficiary* box. When creating a new Candidate Beneficiary record, Choose *Candidate* from the *Type* screen. The *Oppose* check box will be unavailable and is not applicable to schedule F.

⇒ Choose the *Schedule F* tab (fig. 9) and select or create the Designating and Subordinate committees in the boxes provided. Enter the year of the general election.



LINE 21(b)/17 - Other Federal Operating Expenditures/Operating Expenditures

Entering an Operating Expenditure is much like entering a receipt. The screen is simple and, in most cases, requires no supporting information.

⇒ Enter the *Amount* , *Date* and the *Election* if required.

⇒ Select the recipient from the *Individual/Organizations* list or right click on the list to add a new entry.

Unlike most receipts, Operating Expenditures *do* require a purpose of expenditure.

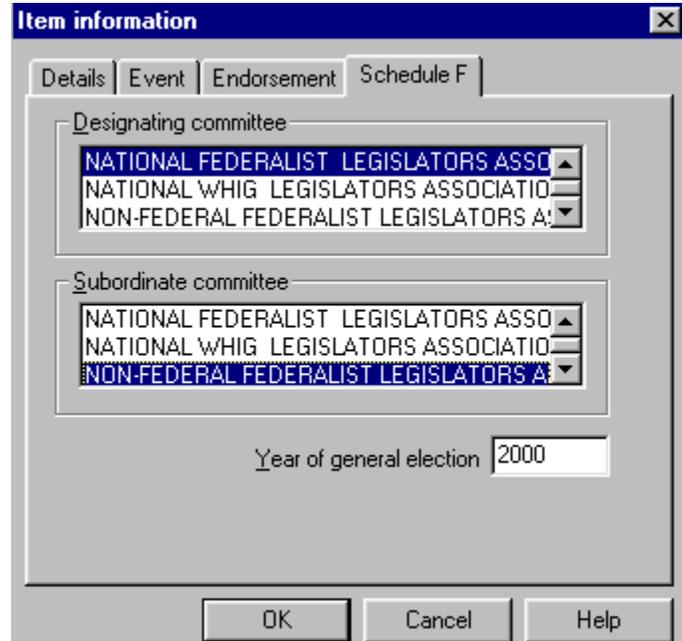
fig. 9

- ⇒ Enter the purpose in the *Description/Purpose* field.

The *Memo* box should remain unchecked unless the transaction is one of the special transaction types that require it. The endorsement tab is also only necessary in special situations. See the “Special Transaction Types” section in this chapter for more information on these transactions.

LINE 22/18 - Transfers to Affiliated/ Other Party Committees/Transfers to Other Authorized Committees

Transfers are entered for line 22/18 in the same manner as Operating Expenditures. Double click on the appropriate line and enter the *Date, Amount, Election* (if applicable), *Committee Information* and *Purpose*. Leave the *Memo* box unchecked.



LINE 23 - Contributions to Other Federal Candidates and Political Committees (Form 3x only)

Contributions to other federal candidates and political committees are entered following the same procedures as for Operating Expenditures. Double click on line 23 to begin.

LINE 24 - Independent Expenditures (Form 3x only)

The primary data entry screen for Line 24 Independent Expenditures is the same as that for Operating Expenditures, and the information is entered in the same manner. The *Endorsements* tab, however, is different (fig. 8). If the independent expenditure is related to a Schedule H4 expenditure, it will be created as part of the data entry process for schedule H4 and should not be created manually.

- ⇒ Select the committee that is affected by the expenditure.
- ⇒ Check the *Oppose* box if the expenditure is made in opposition to the committee.

If you do not check the box, the expenditure is assumed to be in support of the committee.



Transactions reported on line 24 generate a corresponding Schedule E. Though the information is transmitted to the FEC with the electronic filing, the requirement that Schedule E be notarized and sworn to under penalty of perjury, requires the filer to submit the actual form on paper to the FEC.

LINE 25 - Coordinated expenditures (Form 3x only)

Like independent expenditures, coordinated expenditures are entered in the same screen as Operating Expenditures. If the coordinated expenditure is related to a Schedule H4 expenditure, it will be created as part of the data entry process for schedule H4 and should not be created manually.

- ⇒ Enter the *Date*, *Amount* and *Election*.
- ⇒ Select or add the vendor or recipient of the payment in the *Individual/Organizations* box. fig. 10
- ⇒ Enter the transaction purpose in the *Description/Purpose* field.

The information on the *Endorsements* tab varies slightly from that in the line 24 endorsements tab in that the check box that indicates support or opposition is grayed out (fig. 10)..

- ⇒ Select the *Candidate Beneficiary* from the list or add a new one by right clicking in the box.

Choose the *Schedule F* tab (fig. 11).

- ⇒ Single click on the designating committee in the scrolling list. In the *Designating Committee* scrolling list, indicate the candidate supported by this expenditure. This must be the Candidate *not* the Candidate's campaign committee. If the candidate has not yet been added to the list, right click on the list and follow the steps to add it. It is best to use the Lookup feature as this automatically includes the state and office sought, required for schedule F.
- ⇒ Select or add the Subordinate committee in the *Subordinate Committee* scrolling list and enter the year of the general election.

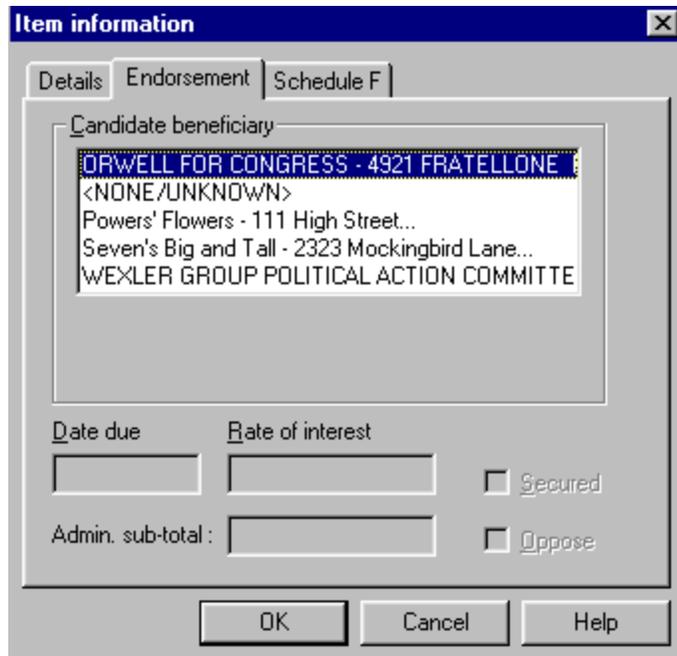
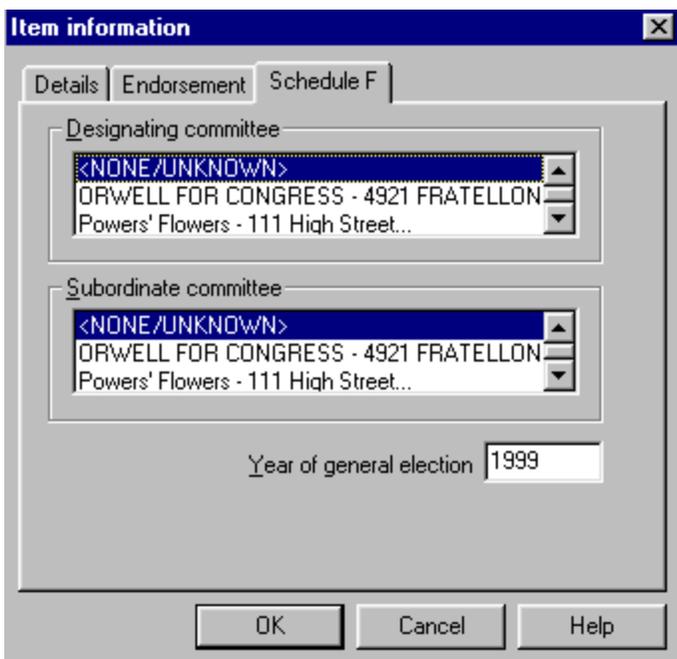


fig. 11



LINE 26/19(a,b,c) - Loan Repayments (made)

Loan repayments are displayed in the

Summary page View but the data entry is not done from this screen. Because the repayments must be associated with the original loans on schedule C for balance calculations, the data entry requires that you:

- ⇒ Select *Obligations* from the *View* menu.
- ⇒ Right click on the loan for which a payment is being made and choose *Repayment*.

Note that the loan was designated as a loan from the candidate or other loan (Form 3 only) when it was made and that information carries forward to the payment.

- ⇒ Enter the *Date, Amount, Election* information and *Purpose* as required.
- ⇒ The individual or organization that made the loan should already be selected on the scrolling list.
- ⇒ Do not check the *Memo* box.

LINE 27 - Loans Made (Form 3x only)

To enter a loan made by your committee, double click on line 27 (Form 3x only) and enter the information in the *Item Information* screen. There are no other related tabs or screens for these transactions. See Line 14 for repayments of loans made.

LINE 28a,b,c/20a,b,c - Refunds of Contributions To

Double click on the correct line number for the type of contribution being refunded and enter the details in the *Item Information* screen.

LINE 29/21 - Other Disbursements

Double click on the *Other Disbursements* line and enter the detailed information in the *Item Information* screen.

C9 - Loans Owed TO the Committee

This line is for display purposes only. The actual loans are entered on line 27 (See above).

D9 - Other Debts Owed TO the Committee

To enter a debt owed to the committee, double click on this line on the *Summary Page* View. Enter the specific information in the *Item Information* screen and Choose *OK*. To enter a payment on a debt owed to the committee, choose *Obligations* from the *View* menu. Find the debt for which payment has been received and single click on it. Choose *Repayment* from the *Edit* menu. Select the type of repayment from the *Type of Deferred Receipt* screen and choose *OK*. Enter the specific information for the repayment.

C10 - Loans Owed BY the Committee

This line is for display purposes only. The actual loans are entered on line 13 (See above).

D10 - Other Debts Owed BY the Committee

To enter a debt owed by the committee, double click on this line on the *Summary Page* View. Enter the specific information in the *Item Information* screen and Choose *OK*. To enter a payment on a debt owed by the committee, choose *Obligations* from the *View* menu. Find the debt for which payment has been made and single click on it. Choose *Repayment* from the *Edit* menu. Select the

type of repayment from the *Type of Deferred Disbursement* screen and choose *OK*. Enter the specific information for the repayment.

Method of Allocation for Shared Expenses (H1)

To create a schedule H1, double click on *Method of Allocation for Shared Expenses* (form 3x only) to open the *Item Information* screen. (fig. 12) Click on the radio button that corresponds to your committee. Your choices are:

1. National Party Committee
2. House / Senate Campaign Committee
3. Non-Connected Committee / SSF
4. State / Local Party Committee

Fill in the information required for your committee. If you choose *State / Local Party Committee*, click on the *Ballot* tab and check the boxes that apply to you.

fig. 12

Allocation Ratio for Joint Activity (H2)

To create an entry for schedule H2:

- ⇒ Double click on the *Allocation Ratio for Joint Activity* line at the bottom of the Form 3x Summary Page View. The *Item Information* screen appears. (fig. 13)
- ⇒ Enter the Non Federal percentage for the event.
- ⇒ Select the correct election (General, Primary, etc).
- ⇒ Select the event from the *Name of Event* list. If the event has not been entered into the system, create it by right clicking on the list. Choose *Event* from the *Type* list and enter the details on the *Details* tab. You must enter the date of the event on the *special* tab.

The screenshot shows a dialog box titled "Item information" with a close button (X) in the top right corner. It has two tabs: "Allocation" (selected) and "Ballot". Under the "Allocation" tab, there are four radio button options: "National Party Committee" (selected), "House / Senate Campaign Committee", "Non-connected Committee / SSF", and "State / Local Party Committee". Next to the "National Party Committee" option is a checkbox for "Presidential year (65%)". Below the radio buttons, there are three sections, each corresponding to a radio button option. Each section contains an "Estimated non-federal %" field and two "Actual" fields: "Actual federal \$" and "Actual non-federal \$". The "State / Local Party Committee" section is currently selected. At the bottom of the dialog box are three buttons: "OK", "Cancel", and "Help".

Select the Schedule H2 tab. Indicate the type of the activity (*Fundraising*, *Exempt* or *Direct Candidate Support*) and whether the ratio is *New*, *Revised* or *Same as previously reported*.



If you make a mistake creating an entry for Schedule H2, you may edit or delete H2 entries by choosing *Obligations* from the *View* menu. Double click on the item you wish to edit or single click and press the *delete* key to delete.

General Data Entry

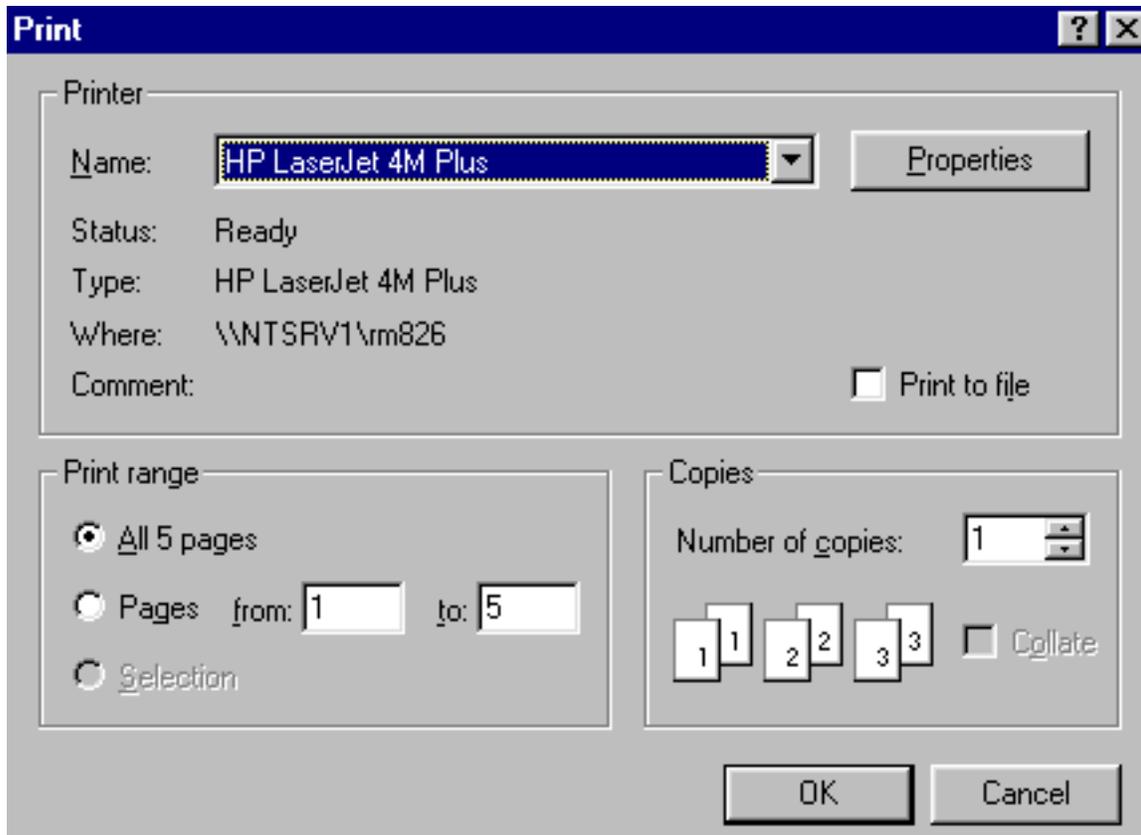
you will find that the data entry procedure for almost all transactions is similar in nature and becomes quite instinctive. Occasionally you may be required to report a transaction with which you are not familiar. The first step should always be to consult the *Campaign Guide* for instructions on how to report the transaction. Once you determine the line number and any other special reporting requirements, go to the *Summary page* View and double click on the appropriate line. If you cannot determine the data entry procedure for a given transaction, call the technical support line listed in Chapter 1.

Printing and Previewing a Report

Though FECFile 3 is primarily designed as an electronic filing tool, there are times when it is advantageous or even required to create a printed report. The preview function is handy for quickly checking data entry in a format that is familiar to most filers, and printing a report can be a comfortable way to check the accuracy of a report before filing. Many committees are required to submit a copy of their FEC report to State agencies. Though this requirement is in the process of being phased out, it is still important to be able to create the printed reports when necessary.

To preview a report, select *Preview* from the *File* menu or click on the *Preview* button . The entire report will be presented on screen. Use the scroll bar on the right to scroll through the report.

To print the report, choose *Print* from the *File* menu. The default setting is to print the entire report.



To do this, choose *OK*. To print a single page or a group of pages, click on the *Pages* button and enter the starting and ending page numbers you wish to print.

Reviewing a Report Electronically.

Because a filed report can easily be read and manipulated in a spreadsheet, it makes sense to use your spreadsheet to review or evaluate a report before filing. Perhaps other people in your organization would like the opportunity to check the report before filing. While this can be done by printing the report, as outlined above, it is more efficient to use a spreadsheet. The first step is to file the report to a diskette. This process is described in Chapter 6 and can be done without officially filing the report with the FEC.

Once you have the report on diskette, it can be treated like any other data file. Remember, that it is a comma delimited file. When you open it in most spreadsheet programs, you must indicate that the file is delimited and that it is delimited by commas (as opposed to Tabs, another common delimiter). After opening the file, it will appear and behave like any other spreadsheet file and may be sorted or filtered as you wish.



Review - Chapter 4

- 1 After filing a report, create the next report from the *Reports View* by choosing *New* from the *Edit* menu. Do not choose *New* from the *File* menu as this will create a new file, and the new report will not have access to totals from the previous report!
- 2 Most transactions are entered from the *Summary Page* view by double clicking on the correct summary line for the transaction.
- 3 Some transactions require extra information, and special screens and procedures are provided. Loans, debts, independent expenditures, coordinated expenditures and joint activity transactions are examples of transactions requiring extra information.
- 4 Transactions may be edited by selecting the appropriate *View* from the *View* menu and double clicking on the item to be edited.
- 5 Specific rules and regulations can be found in the *Campaign Guide* for your committee type. These guides are available from the FEC or can be downloaded from the FEC website.
- 6 Reports may be previewed or printed in the familiar FEC format by choosing *File* and *Print* or clicking on the *Print* icon.

Chapter 5

Special Transaction Types



There are certain transactions that require extra information or special reporting procedures. Most of these are reported on standard forms, such as Schedule A, but must be explained more thoroughly or documented to a greater degree. In electronic filing, these transactions are reported in ways that are, for the most part, analogous to paper filing. For official descriptions and reporting requirements for these special transactions, refer to the *FEC Campaign Guide* for your type of committee.

Memo Transactions

Memo Transactions are transactions that are included for clarity and to provide detailed information. One example of a memo transaction would be a partnership where the partners' contributions are listed as memo contributions and the partnership contribution is not a memo. If all were non-memos, the total for line 11ai would include double the actual partnership contribution amount. Another example is a Schedule H4 disbursement for direct candidate support. The single disbursement must be listed on Schedule B, line 23 as an actual disbursement for the Federal share. Memo entries for the candidate beneficiaries are listed on Schedule B, line 23 as well. In some cases, such as the partnership example, the memo items are created as a part of the data entry process and you are not required to create them manually. In others, such as the Schedule H4 example, you must create the memos on Schedule B, line 23 manually. Creating a memo transaction is the same as creating an actual transaction, with the added step of checking the memo check box on the *Item Information* screen.

In-Kind Contributions

In-Kind Contributions (received)

An in-kind contribution received by your committee is reported by entering two transactions into FECFile. It is important to enter an in-kind contribution received on both Schedule A, and Schedule B so as not to inflate the cash-on-hand. Enter the receipt on the appropriate line of the *Summary page* View. Enter a disbursement on line 21b (other federal operating expenditures) of the F3x *Summary page* View or line 17 (operating expenditures) of the F3 *Summary page* View.

For each in-kind contribution (received and made), you must enter:

- ⇒ The *Date* of the receipt/disbursement.
- ⇒ The *Amount*.
- ⇒ The *Election* (if required).
- ⇒ The *Name* and *Address* of the contributor/payee.
- ⇒ The *Description / Purpose* of the in-kind transaction.

Example: In-kind contribution received:

John Brown gave an in-kind contribution to the Blue PAC. He donated a video camera worth \$900 on 3/2/2000. (Assume you have already created and activated the report that covers 3/2/2000 in your file.) How would the Blue PAC report this contribution?

1. Activate the *Summary page View*.
2. Double click on line 11a (individual contributions).
3. Enter 3/2/2000 in the *Date* field. Press tab.
4. Enter \$900 in the *Amount* field. Press tab.
5. Enter the *Election* by typing the first letter (i.e., G for General, P for Primary, etc.).
*Remember, SSFs leave this field blank.
6. Select *Brown, John* from the *Individual/Organization* list. If he is not on the list, right click on the list and create a record for him.
7. Type “in-kind, video camera ” in the *Description / Purpose* field. Choose *OK*.

To create the disbursement that balances the IN-Kind contribution:

8. Double click on line 21b (other federal operating expenditures) or line 17 (operating expenditures) from the *Summary page View*.
9. Enter 3/2/2000 in the *Date* field. Press tab.
10. Enter \$900 in the *Amount* field. Press tab.
11. Enter the *Election* by typing the first letter (i.e. G for General, P for Primary, etc.).
*Remember SSFs leave this field
12. Select *Brown, John* from the *Individual/Organization* field. If he is not on the list, right click on the list and create a record for him.
13. Type “in-kind, video camera” in the *Description / Purpose* field.
14. Click *OK*.

In-Kind contributions (made)

An in-kind contribution made by your committee is entered into FECFile as a single transaction.

Example: In-kind contribution made:

The Howard Committee made an in-kind contribution of a photographer for a dinner on 5/2/2000, organized by The George Committee. The service was worth \$400. (Assume you have already

created and activated the report that covers 5/2/00 in your file.) How would the Howard Committee report this disbursement?

1. Activate the *Summary page* View.
2. Double click on Operating Expenditures . This will be line 21b of Form 3X or line 17 of Form 3.
3. Enter 5/2/2000 in the *Date* field. Press tab.
4. Enter \$400 in the *Amount* field. Press tab.
5. Enter the *Election*, if required, by typing the first letter (i.e. G for General, P for Primary etc.).
6. Select *The George Committee* from the *Individual/Organization* field. If the committee is not on the list, right click on the list and create a record for it.
7. Type “in-kind made, photographer” in the *Description / Purpose* field.
8. Click *OK*.

Earmarked Contributions

An earmarked contribution must be reported by both the conduit and the recipient authorized committees.

Report by Conduit

A political committee that serves as the conduit of an earmarked contribution must disclose the earmarked contribution *regardless of amount*. The conduit must comply with special reporting rules, which vary depending on whether the contribution was deposited in the conduit’s bank account, or was passed on directly to the campaign in the form of the original contributor’s check.

Schedule A (receipt)

1. *Date* the contribution was received by the conduit.
2. *Amount* of the earmarked contribution.
3. *Election* for which the contribution was designated.
4. *Individual/Organization* information (i.e. name, address, employer, occupation).
5. *Candidate* designated by the contributor as the recipient “Earmarked to Jay Smith for Congress, AL 03”. (This information should be entered in the *Purpose / Description* field.)
6. If the contribution was **not** deposited in the conduit’s bank account, check the *Memo* checkbox.

Schedule B (disbursement)

Once the committee forwards the contribution to the candidate, the committee must report the disbursement of the funds on a Schedule B, for the correct line number for the transaction type.

1. *Date* the contribution was forwarded to the candidate.
2. *Amount* of the earmarked contribution.
3. *Election* for which the contribution was designated.
4. *Candidate* that received the contribution (in the Individual/Organization field).
5. *Name* of the contributor in the *Purpose / Description* field.
6. *Candidate* designated by the contributor in the *Purpose / Description* field.
7. The words “earmarked contribution” in the *Purpose / Description* field.
8. If the contribution was **not** deposited in the conduit’s bank account, check the *Memo* checkbox.

Report by the Recipient Committee

The recipient of an earmarked contribution also has a reporting obligation. The recipient enters the transaction into FECFile as follows:

1. Double click on line 11a in the *Summary page* View.
2. Enter *Date* of receipt of the earmarked contribution from that conduit.
3. Enter the total *Amount* of earmarked contribution from that conduit.
4. Include the *Election* for which the contributions were designated.
5. Select the *Name* of the Conduit committee from the *Individual/Organization* drop-down list.
6. Type “earmarked contribution” in the *Purpose / Description* field.
7. Click on the *Endorsement* tab.
8. Double click on the names of the Individuals whose contributions are included in the conduit contribution (if they are not on the list, add them).
9. The names of the individuals that were selected appear in the second box.
10. Double click on the names in the second box.
11. Enter the individual’s share of the earmarked contribution.
12. Click *OK*.
13. Repeat steps 10 and 11 for each contributor represented in the conduit contribution.
14. Click *OK*.

Note - All of the names selected in the *Endorsements* tab will be *Memo* items, and will not inflate the totals for the report.

Reattributions

1. The entire amount of the original contribution should be entered into the program (if it has already been created, don't enter it again) by double clicking on the appropriate line of the *Summary page* View (most likely line 11a).
2. Fill in the *Date, Amount, Election, etc.*
3. Create another contribution on the same line, for the same person, using the reattributed amount as a negative number (cloning the original transaction will save time and effort) .
4. To indicate that the transaction is a reattribution, type "Reattribution" in the *Description* field.
5. The third transaction is on the same line as the other two, and is a positive contribution for the reattributed amount.
6. In the *Individual/Organization* box, select the person to whom the amount is being reattributed.
7. In the *Description* field, indicate that the transaction is a Reattribution.

Redesignations

To redesignate a contribution (Schedule A) to a different election:

1. Enter the original contribution into the system. If it already exists, don't create another one.
2. From the *Receipts* View, right click on the contribution to be redesignated, and choose *Clone*.
3. Change the date of the cloned contribution to the date of the redesignation, and the amount to the *negative* of the amount you wish to redesignate.
4. In the *Description/Purpose* field, indicate that this is a redesignation and note the date of the original transaction.
5. Close and save this transaction.
6. Right click on the newly cloned transaction and choose *Clone* again.
7. This time change the reporting period to represent the election that the transaction is being redesignated to. Change the *Amount* from negative to positive. Close and save the transaction.

To redesignate a contribution to another committee (Schedule B) to a different election:

1. Enter the original disbursement into the system (Form 3x, Line 23). If it already exists, don't create another one.
2. From the *Disbursements View*, right click on the disbursement to be redesignated, and choose *Clone*.
3. Change the date of the cloned disbursement to the date of the redesignation, and the amount to the *negative* of the amount you wish to redesignate.
4. In the *Description/Purpose* field, indicate that this is a redesignation and note the date of the original transaction.
5. Close and save this transaction.

Credit Card Payments

Reporting disbursements that were made via credit card requires an entry for the payment to the credit card company and individual memo entries for each purchase made with the credit card.

Operating Expenditures

1. Report the payment to the credit card company on the appropriate line (17 for Form 3, 21b for Form 3x).
2. Enter the *Amount, Date, Election, and Purpose* for the payment to the card company.
3. Click on the *Endorsements* tab. Find each vendor on the list of organizations and add it to the list below by double clicking. If a vendor is not on the list, right click on the box and create an entry for it. Once the vendor record is created, double click on it to add it to the lower list.
4. Double click on each vendor in the lower list box and enter the *Date, Amount, and Description* of the actual purchase.

On the report, the payment to the credit card company will be reported as a disbursement followed directly by memo entries for each separate credit card purchase.

Credit Card Payments for Schedule H4

If the payment is related to an allocable shared activity, and as such is reported on schedule H4, the procedure is different.

- ⇒ The payment to the credit card company is made in the full amount of the payment as described for line 21a.
- ⇒ The individual purchases are entered on line 21a also, but the *Memo* box must be checked and the word *Memo* should be included, along with the description of the purchase, in the *Description / Purpose* field.

Payroll Deductions

Payroll deductions (contributions to the committee made via payroll deduction) are reported on schedule A, line 11a. Unlike other contributions, they require extra information in the *Description / Purpose* field.

- ⇒ The words “Payroll Deduction” should appear with an indication of the frequency and amount of the deduction such as “bi-weekly \$25”.

While payroll deductions may be reported as separate transactions, they may also be combined. For example, Marie Jones may contribute \$25 by payroll deduction six times during a reporting period, and the deductions may be reported as \$150 on the day of the last payroll deduction with a Description line entry “Payroll Deduction \$25 bi-weekly.”

Payroll deductions may be entered into FECFile three different ways:

- ⇒ *Importing* - If the information is received on a regular basis from an accounting office in an electronic format, it may be possible to import the information each time it is received.
- ⇒ *Cloning* - If the number of payroll deduction contributions is not too great, cloning can be used to speed up the manual data entry process.

To clone a transaction, go to the View that displays that transaction, in this case the *Receipts View*, and right click on the transaction and choose *Clone*. This will create an instant transaction that is identical to the one selected on the screen. You must then change any information that is not the same as the previous one, such as the date and perhaps the amount. This method works well if there are not too many transactions.

- ⇒ *Individual Transactions* - Payroll deductions may also be entered one at a time like any other contribution but with the availability of cloning, however this option is clearly not the most efficient method.

Exempt Legal and Accounting Fees

Exempt legal and accounting fees should be entered on Line 11a. From the *Summary page View*, double click on Line 11a and enter the correct *Date*, *Amount*, and *Election* information. In the *Description* field, enter “Exempt Legal Fees” or “Exempt Accounting Fees” and check the *Memo* checkbox. It is important to check this box to prevent the amount from appearing in the summary in the Line 11a totals.

Partnership Contributions

Partnership contributions must be entered so that the entire amount of the contribution is listed as a receipt and the contribution of each partner is listed separately as a *Memo* entry.

- ⇒ Double click on line 11a on the *Summary page View*, and enter the date received, the total amount of the contribution, the election, and select or add the partnership in the *Indi-*

viduals/Organizations box (see Chapter 4 for details).

⇒ Click on the *Endorsements* tab (fig. 1).

Each of the partners that participated in this contribution must be added to the endorsements list.

fig. 1

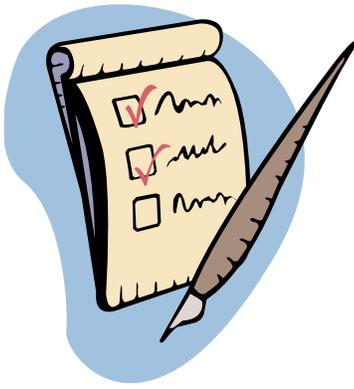
⇒ If the partners are already on the list, double click on each one to add them to the box below the list. If a partner has not yet been added to the list, right click on the list and create an entry. Double click on newly entered partners to add them to the box below the list.

Once all the partners have been added to the box, you must indicate the amount they are each responsible for.

⇒ Double click on each partner in the lower box, and enter the correct amount in the `amount` field of the *Subitem Information* screen.

The screenshot shows a dialog box titled "Item information" with a close button (X) in the top right corner. It has two tabs: "Details" and "Endorsement", with "Endorsement" selected. The "Splits" section contains a list of items with scroll arrows on the right. The list items are: "<NONE/UNKNOWN>", "Barkley, Gene - 444 Washington Street...", "Jones, Robin - Rt 2 box 444...", "Martin, Reed", and "Smith, Jones and Barkley, LLP - 123 Business Str". Below the list is a table with three rows and two columns: the first column shows the amount "1000.00" and the second column shows the partner name. The rows are: "1000.00, Barkley, Gene", "1000.00, Jones, Robin", and "1000.00, Smith, Mary". Below the table are two input fields: "Date due" and "Rate of interest". To the right of these fields are two checkboxes: "Secured" and "Oppose". Below the checkboxes is an "Admin. sub-total" label followed by an input field. At the bottom of the dialog are three buttons: "OK", "Cancel", and "Help".

The partnership contribution will be reported as a receipt and the partners' contributions will be reported as memo entries.



Review - Chapter 5

- 1 In-kind Receipts require entry of the receipt and a corresponding disbursement.
- 2 Earmarked receipt data entry for conduit committees varies depending on whether the check was deposited by the conduit before being transmitted to the candidate.
- 3 Reattributions and Redesignations require multiple transactions to be created. Using the Cloning feature reduces time and effort involved.
- 4 Credit card payments of operating expenditures use the *Endorsement* tab to list the vendors.
- 5 Payroll deduction contributions can be imported, if they are available as a comma delimited text file. Otherwise, the cloning feature can save time and effort.
- 6 Exempt legal and accounting fees are entered as *Memo* entries on Line 11a.
- 7 Partnerships are entered using the *Endorsements* tab to list the partners and their individual shares of the total contribution.

When all transactions have been entered for a given report, and the deadline for reporting is drawing near, it is a good time to take inventory of the pieces of the reporting puzzle that must be assembled in order to file electronically.



- ⇒ **You must have your FEC electronic filing password.** Without this, you cannot file. Call the FEC electronic filing office if you do not have or cannot remember your password.
- ⇒ You must have a modem or a network connection to the Internet. (Unless you intend to file via diskette).
- ⇒ Your report must pass validation.

Signing and Dating the Report

If the report is not properly signed and dated, it will generate Level 12 errors in the validator, and uploading will not be possible. If you are not ready to actually upload the report, but want to validate it, you may want to leave the report date blank. If you enter the report date, the report will be locked and no further data entry will be allowed until the date is removed.

- ⇒ To “sign” and date the report, select *File Report* from the edit menu.

This can be done with any View active (*fig. 1*). The date range of the report will be grayed out and cannot be changed.

fig. 1

This information was entered when the report was created. The election information is only available for pre- and post-election reports.

⇒ Enter the actual date the report will be filed in the *Filed on* field.

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

⇒ In the *Signed by* list, select the treasurer or assistant treasurer who will “sign” the report. This may have been done earlier when the report was created. If not, select the correct individual from the list or add them by right clicking in the list box.

⇒ On the *Special* tab, check all boxes that apply (fig. 2). If the committee files form 3x, all of the boxes will be available. If not, the multi candidate box will be grayed out.

fig. 2

The screenshot shows a dialog box titled "Report information" with a close button (X) in the top right corner. It has three tabs: "Type", "Details", and "Special". The "Special" tab is selected. Inside the dialog, there are three checkboxes, each with a dotted box around its label: This report is an amendment, This report discloses a new committee address, and This committee is a multi-candidate committee. Below these is a section titled "This report discloses activity for" with a text input field and four checkboxes: Primary, General, Runoff, and Special. At the bottom of the dialog are three buttons: "OK", "Cancel", and "Help".

Validation

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

⇒ To validate your report, select *Validator* from the *View* menu or click on the *Validator* button on the toolbar. See Chapter 3 for detailed information on the validator report. Once the errors reported by the validator have been rectified, you are ready to upload the report.

Uploading the Report

To begin the upload process:

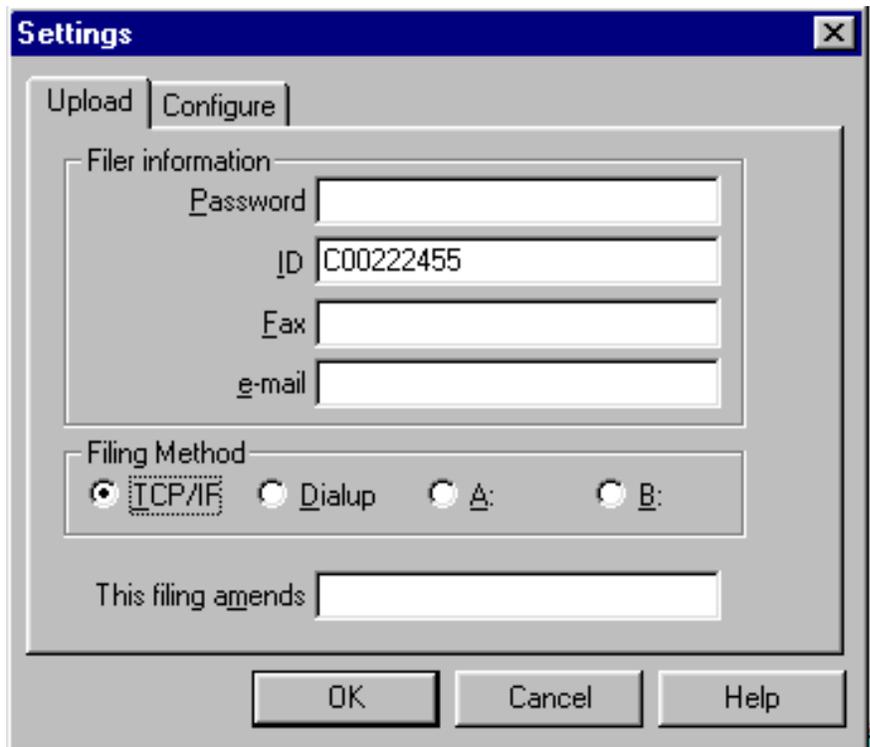
⇒ Choose *Upload* from the *File* menu, or click on the *Upload* button on the tool bar.

- ⇒ If your report has not been validated, the upload process automatically runs the validator.
- ⇒ If errors are found that are level 8 or higher, you will not be allowed to upload the report.

⇒ If errors are found that are below level 8, you will receive a warning on the screen that notifies you of the errors and asks if you wish to continue. It is advisable to correct as many of the errors as possible before filing.

⇒ If no errors are found, or you indicate that you wish to file the report with errors, the *Upload Settings* screen appears (fig. 3).

fig. 3



Password

The *Password* is required and must be obtained from the FEC electronic filing office. (See Appendix I)

ID

The *ID* is your committee ID which should already be in the system. If not, enter your 9 digit committee ID (the one that starts with “C00”).

Fax and E-mail

A *Fax number* and/or *Email address* is required. This is how you will receive the confirmation that the report has been received by the FEC. If you enter both, you will receive both.

Filing Method

TCP/IP

This option sends your report to the Commission via the Internet. This is the simplest way to send the report if you are connected to the Internet and have no security measures in place that would prevent you 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 fecef1.srdc.com (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.

Dialup

The Dialup option utilizes a direct modem-to-modem communication between your 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 (*fig. 4*) that may not be readily available. 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.

COM port

The *Com port* setting defaults to port 2. This is the most common port used by modems. If your modem does not use com port 2, change to the correct com port.

Baud rate

The default *Baud rate* is 19200. This is an indication of the speed with which the modem transfers data. You can set this to match your connection speed but do not set it higher.

Dialup string

The *Dialup string* is a series of letters followed by a phone number. This information is passed to your

fig. 3

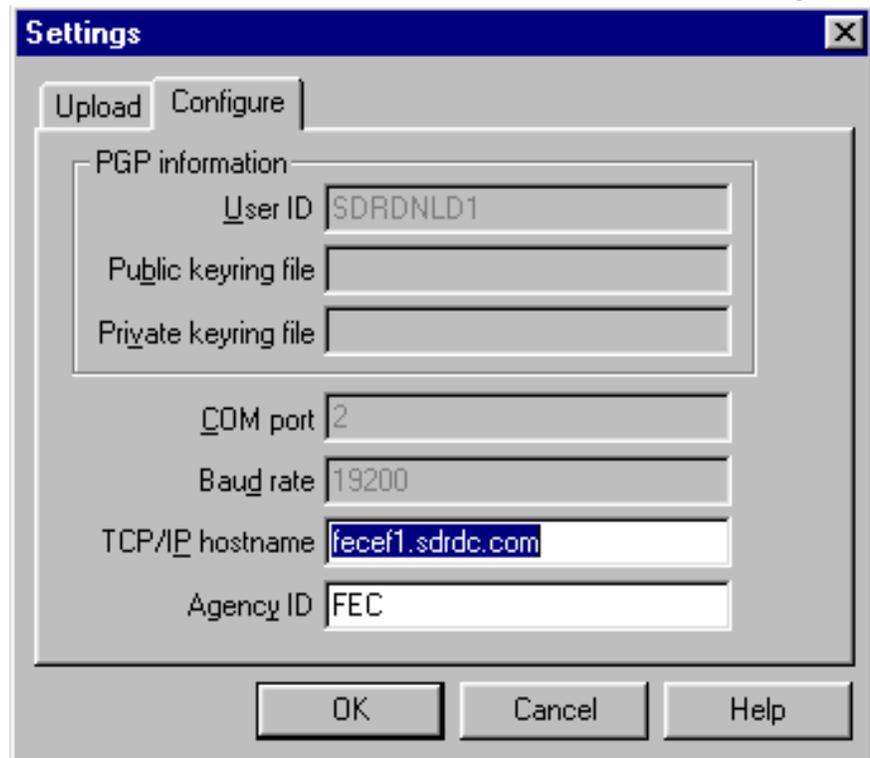
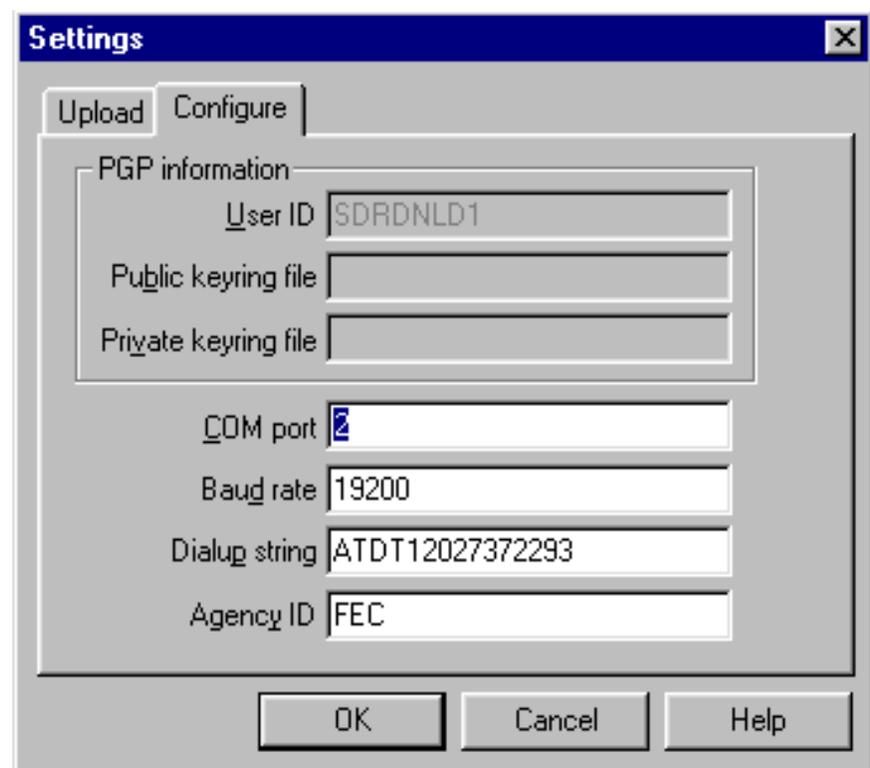


fig. 4



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.

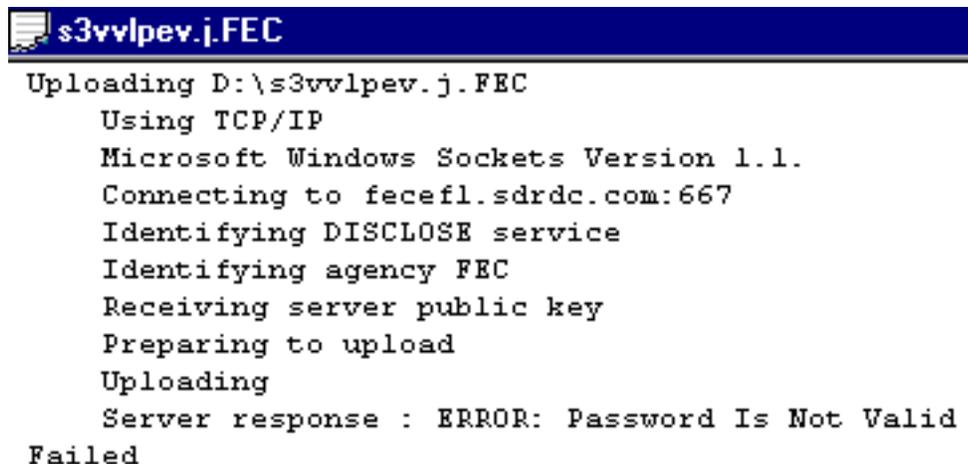
Diskette (A: or B:)

If, for whatever reason, the Internet or a phone line is not available, the reports may be submitted on diskette. Insert a blank diskette in the diskette drive and select A: or B:, whichever one is correct for your computer. Choose *OK*. The Diskette should be mailed *along with a signed summary page* to the FEC. Diskette filings require an actual signed summary page because there is no way to transmit the password via diskette.

NOTE: Diskette filings are subject to the same deadlines as paper filings!

During the Filing Process

When you choose *OK*, the file is uploaded to the FEC electronic filing server. On your screen you will see a series of messages telling you what is happening. 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.



```
s3vvlpev.j.FEC
Uploading D:\s3vvlpev.j.FEC
Using TCP/IP
Microsoft Windows Sockets Version 1.1.
Connecting to fecefl.sdrdc.com:667
Identifying DISCLOSE service
Identifying agency FEC
Receiving server public key
Preparing to upload
Uploading
Server response : ERROR: Password Is Not Valid
Failed
```

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 you know that your file has been received by the FEC. This does not mean that the file has been *accepted*! If the file is accepted, you will receive a fax or email within a few minutes notifying you that the filing was accepted. If you don't receive this notification, you should call the electronic filing office immediately.

When you receive your notification you 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: [MD5 checksum = dbf9220514e1bbe14e62fdd9c087286b]

The only difference between this notification and the one you print out 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 you find that you must amend this report, you must provide the Filing ID of the report. Once you know the Filing ID, you should choose *File Report* from the *Edit* menu. Enter the Filing ID in the *Filing ID* field. By following this procedure, the Filing ID will be in place if it is ever needed.



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



Review - Chapter 6

- 1 **Password!** You must have a password to file electronically.
- 2 You must “sign” the report by indicating the treasurer or assistant treasurer.
- 3 Entering a *Filed on* date is required prior to filing, but doing so does *not* upload your report to the FEC!
- 4 Reports may be uploaded via the Internet or by direct modem connection.
- 5 When a report is uploaded and accepted by the FEC, you will receive a fax or email confirmation. If you do not receive the confirmation, call the FEC electronic filing office!

Amendments and 48-hour notices

There are two 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 and a 48-hour notice is a special report that contains information that will be reported on the next Form 3/3x report filed. In FECFile, both require that a current or previous report be available on the *Reports* View. Little additional data entry is required for these reports, as the bulk of the information is often already entered.

Amendments



ONLY ELECTRONICALLY FILED REPORTS CAN BE AMENDED ELECTRONICALLY!

If the report you are amending was originally filed on paper, you cannot file your amendment electronically.

When you filed your original report electronically, you received a faxed or emailed confirmation from the FEC that included a *Filing ID* number. The Filing ID is in the format “FEC-XXXX” where the Xs represent numbers. You will need this number when filing an amendment.

Creating an amendment

- ⇒ Go to *View*, and *Reports*.
- ⇒ Right click on the report you wish to amend and choose *Amend*. The report screen that opens should already have most of the correct information.
- ⇒ If the treasurer’s name is being changed as part of the amendment, change it here.
- ⇒ If the *Filing ID* field is empty, enter the Filing ID of the report being amended.
- ⇒ Choose *OK* to create the amended report.

Now you should have a new report on your *Reports* View. The new report should be the same as the original except the name of the report has been changed from “N” to “AC” to indicate an amended report.

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 you wish to edit.

- ⇒ Right click on it and choose *Correction*.
- ⇒ In the *Item Information* screen, make the necessary changes to the transaction. Choose *OK*. Notice that the original transaction is marked out but can be seen for reference purposes.

Adding new transactions for the amendment

Adding new transactions to an amended report is the same 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. Enter the data as per the instructions in chapter 4.

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 - with one exception. The Filing ID must be entered into the *Filing ID* field on the *Upload* screen (choose *Upload* from the *File* menu). This is the number that was emailed or faxed to you on your filing confirmation from the original filing. Without this number, you will not be allowed to upload your file.

Previewing amended reports

By choosing *Preview* from the *File* menu, or choosing the *Preview* button on the control bar, you can preview your amended report just as you would preview an original report -- with one important difference. While the default setting is to preview the entire report, you may also choose to view only the amended items by selecting *Amended only* from the *View* menu. This is only available while previewing an amended report. You will see a large “C” for changed transactions and an “A” for added ones. When the file is uploaded, it includes all transactions, not just altered or new ones.

48-Hour Notices (Form 6)

Only candidate committees report a Form 6 to the FEC. If you are filing Form3 electronically, you will have the option to select *48-Hour Notice (Form 6)* from the *Reports View*. If you are filing using Form3X you will not have this report type available to you since it is not applicable.

To create a 48-Hour Notice (Form 6)

The transactions that are reported on a Form 6 are also reported on the next scheduled report. For example, Vicky Haskell contributed \$1,000 to your committee on October 25, 2000. You enter this contribution in the January 31 Year-End report (YE) which, in your situation, covers 10/1/00 through 12/31/00 (these dates are just an example). The contribution from Vicky will be reported in your

total individual contributions on this report. In addition, the FEC requires you to submit a 48-hour notice for this contribution since it is \$1,000 or more and it was received within 20 days of the election.

In FECFile, transactions are not created on Form 6. All transactions that are reported on Form 6 are created on Form 3. Enter all such contributions in FECFile by selecting the correct Form 3 report from the *Reports View*. Select the *Summary page View*, and add the transactions by double clicking on the correct line as described in Chapter 4.

Create the 48-Hour Notice:

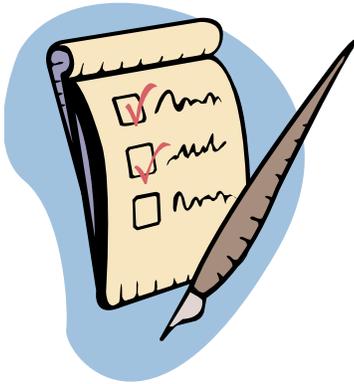
1. Open the *Reports View*.
2. Choose *Edit* and *New*.
3. Select *48-Hour Notice (Form 6)* from the report type list. This will be the last report type on the list. Enter the information on the *Details* tab (i.e., *State* - this is the state where the committee is registered; *Date* - date of the election; *Signed by* - select the name of the individual from the drop down list who will be signing this report).
4. Highlight the report (defined as F6 in the type column) from the *Reports View*.
5. Go to the *Receipts View* and select the contribution that should appear on the 48-hour notice (in the example above, Vicky Haskell on 10/25/00 for \$1,000). Click the transaction once so it is highlighted.
6. Go to *Edit* on the menu bar and select *Clone*. You have the ability to change any of the information about the transaction. However, all the information should be the same. Notice the *Memo* box has a check mark. It is important to record these transactions as Memo items so that your committee's total contributions are not inflated. Remember, the receipt will also be submitted in the next report (January 31 Year-End report in the example given above.)
7. Repeat steps 4 and 5 for each transaction to be reported.

Delete - If you selected a transaction to be sent to the 48-hour notice erroneously, the transaction can be deleted. Find the transaction in the *Receipts View*. These transactions will have *Memo* in the *Line#* column and N/A in the *YTD* column. Highlight the transaction. Go to *Edit* on the menu bar and select *Delete*. Click *Yes* when you are asked if you are sure you want to delete the transaction. (This will not delete the contribution from the Form 3 report. It will only be removed from the 48-hour notice).

Modify - You can modify a transaction that was sent to the 48-hour notice. Find the transaction in the *Receipts View*. These transactions will have *Memo* in the *Line#* column and N/A in the *YTD* column.

- ⇒ Highlight the transaction.
- ⇒ Go to *Edit* on the menu bar and select *Modify*.
- ⇒ Make the necessary changes.
- ⇒ Click *Yes* when you are asked if you are sure you want to replace the transaction. (This

will not modify the contribution from the Form 3 report. It will only be modified in the 48-hour notice.) To modify the original transaction, select the correct Form 3 report from the *Reports View*. Select the correct view for the transaction (*Receipts, Disbursements, etc.*), find the transaction and edit it. The original transaction will not be marked as a Memo.



Review - Chapter 7

- 1 Only electronically filed reports may be amended electronically.
- 2 Amended reports require the filing number of the original report.
- 3 Forty-Eight Hour Notices can only be created from an existing Form 3 report.
- 4 Amendments and 48-hour notices are uploaded just like any other report.

Chapter 8

Importing Data



Many people use computers to maintain information regarding receipts and disbursements related to running a campaign, PAC or party, even though reports filed with the FEC are completed by hand. If this is the case for your committee, you may be able to import your transactions from all previous reports in the current year so that your individual aggregates and calendar-to-date figures will be correct (see Chapter 2). Even if you begin electronic filing with your first report of the year, the ability to import names and addresses from previous reports can save a great deal of time and effort. An import routine has been included with the FECFile

program that in many cases will allow the user to bring information from other programs into FECFile. If the number of previous transactions is small, it may be better to enter it into the system manually. This gives the user the opportunity to learn the software while actually preparing a report. If the data entry would be too extensive, it may be best to import it.

NOTE: Only schedule A and schedule B may be imported into FECFile. This includes all lines for these schedules. Schedules C, D, E, F and H must be entered manually.

Preparing an Import File

Contributions and disbursements must be imported separately, and cannot be included in the same import file. Before being imported into FECFile, data must be placed in a flat file, comma delimited format. This may be done easily from many software packages, including spread sheet, data base, and committee management programs. In many such programs the data may be saved as a comma delimited file by choosing “Save as” from the file menu, and indicating “Comma Delimited” or “ASCII text”. Check the help systems or tech support for the software you use for detailed instructions. For the data to import properly, it must conform to the format described below.

It is not necessary that every column named below be included in every comma-delimited import file. Default values are used for columns that are not included. A date column, an amount column, and (at least) a lastname column must always be included. Contributor type or payee type should also be included. It is used to determine the proper method of displaying the name of the contributor or payee. If it is not included, the imported records will be assigned IND (individual).

Schedule A

<u>Name</u>	<u>Description</u>
CTRB_TYPE	Contribution type
CTRB_DATE	Date, in CCYYMMDD format (e.g. 19981231)
CTRB_AMT	Amount

CTRBTR_TYPE	Contributor type
CTRBTR_LNAME	Contributor last name
CTRBTR_FNAME	Contributor first name
CTRBTR_NMPFX	Contributor name prefix (e.g. Mr. Ms)
CTRBTR_NMSFX	Contributor name suffix (eg. Jr., Sr.)
CTRBTR_ADDR1	Contributor address, line 1
CTRBTR_ADDR2	Contributor address, line 2
CTRBTR_CITY	Contributor address, city
CTRBTR_ST	Contributor address, State
CTRBTR_ZIP	Contributor address, ZIP code
<u>Name</u>	<u>Description</u>
CTRBTR_EMP	Contributor employer
CTRBTR_OCC	Contributor occupation
CTRB_ELEC	Election-type code
CTRB_ELECD	Election date
CTRB_MEMOTEXT	Text description related to this contribution

Schedule B

PMNT_TYPE	Payment type
PMNT_DATE	Date, in CCYYMMDD format (e.g. 19981231)
PMNT_AMT	Amount
PMNT_PURP	Purpose of this payment
PAYEE_TYPE	Payee type (1)
PAYEE_LNAME	Payee last name (or organization name)
PAYEE_FNAME	Payee first name
PAYEE_NMPFX	Payee name prefix (e.g. Mr. Ms)
PAYEE_NMSFX	Payee name suffix (eg. Jr., Sr.)
PAYEE_ADDR1	Payee address, line 1
PAYEE_ADDR2	Payee address, line 2
PAYEE_CITY	Payee address, city
PAYEE_ST	Payee address, State
PAYEE_ZIP	Payee, ZIP code
PAYEE_OFF	Federal office sought by payee, if candidate
PAYEE_OST	State in which office is sought
PAYEE_ODIST	District in which office is sought
PMNT_ELEC	Election-type code
PMNT_ELECD	Election date
PMNT_MEMOTEXT	Text description related to this contribution

Contribution types available are:

SA_CTRBI	Contribution from an individual (default)
SA_CTRBP	Contribution from a Political Party Committee
SA_CTRBA	Contribution from other political committee (PAC)
SA_CTRBC	Contribution from <i>the</i> Candidate (Form 3 only)

SA_XFER Transfer from other affiliated committee
SA_OFST Offset to operating expenditure
SA_RFND Refund of federal contribution made
SA_OTHR Other (dividend, interest, etc.)

Contributor and payee types available are:

??? Unknown
CAN Candidate
CCM Candidate Committee
COM Committee
IND Individual (a person). (default)
ORG Organization (not a committee and not a person)
PAC Political Action Committee
PTY Political Party Organization

Disbursement types available are:

SB_XPND Operating Expenditure (default)
SB_XFER Transfer to affiliated committee
SB_CTRB Contribution to a candidate
SB_OTHER Other expenditure

Federal Office sought by payee

? Unknown
H House
S Senate
P President/Vice President

All Dates must be in the format, CCYYMMDD (e.g. 1999/12/31 for Dec. 31, 1999).

Examples of import-ready files may be found in the FECFILE3/CSV2DCF3 directory. SCHA.CSV contains schedule A transactions and SCHB.CSV contains schedule B transactions. You may use these files as guides when creating your own import files.

Importing



Always Back Up Your File Before Importing!

In order to import the transactions into FECFile, you must have or create a report in FECFile that covers the date range of the imported data. The report may already exist or you may create a new one. This is done within FECFile 3 (see Chapter 3 for details). Once you have a file to import and a report into which to import the file, you are ready to import. If FECFile is open, close it before importing.

- ⇒ To start the import program, go to *Start, Programs, FECFile3* and choose *CSV2DCF*.
- ⇒ This will start the import program which is separate from the *FECFile* program.
- ⇒ From the *File* menu, choose *Open* and select the *.dcf* file that contains the report into which you wish to import data.
- ⇒ Choose the *A* button or *B* button from the toolbar to correspond with the type of transactions in your file.
- ⇒ Select the file to import and choose *Open*.
- ⇒ The file type defaults to *CSV*. If your file has a different extension, choose *All Files* from the file type list. The transactions in file will be imported.

Duplicate Records

fig.1

During the import process, each transaction is evaluated in an effort to ensure that the correct person, or entity, is credited with the transaction. The name and address information is compared with the names and addresses in the *.dcf* file. When an exact match is found, the transaction is credited to the existing record. When a similar record is found, the *Finish Partial Match* screen appears (fig. 1).

The first column displays information about a record that already exists in the *.dcf* file. It may have been present prior to the import, or it may have been created as the result of an earlier transaction in the current import file. The second column displays the details of the new transaction. If you decide the New Item and the Existing Item represent separate entities and should not be combined, choose *Continue*. If the New Item represents the same record as the Existing Item, with perhaps a new address or a misspelling, choose *Merge* and the new transaction will be added to the existing record.

	Existing Item		New Item
Last / Business Name	Job	<<	Job
First Name	Anita	<<	Anita
Name Prefix		<<	
Name Suffix		<<	
Address, line 1	3935 Westheimer	<<	PO Box 28
Address, line 2		<<	
City	Stanley	<<	Plastonia
State	Texas	<<	Iowa
Zip	77027-5011	<<	52004-0028
Employer	Slate, Marble & Sto	<<	Cottage Cheese &
Occupation	Carver	<<	Executive
Office-sought	<None>	<<	<None>
State	<None/Unknow>	<<	<None/Unknow>
District		<<	
	Reset All		Merge <<< Continue

If the New Item has information, such as an updated address, that should supercede that in the existing item, click on the “<<<” button for each piece of information to be updated or click on the

“<<<“ button at the bottom of the screen to replace the Existing Item information with that from the New Item.

If you have begun making changes on the screen, and wish to undo the changes, click on the *Reset All* button.

When the import is finished, go to *File* and choose *Exit*. Save the file. When you open FECFile again, and open the file into which you imported the new data, you will find the information there when you view the summary page, receipts or disbursements.

Payroll Import

If your committee receives contributions via payroll deduction, and the information is provided to you in electronic format, it may be possible to import the information on a regular basis into FECFile. The best option is to have the information formatted correctly by your payroll or accounting office. If this is not possible, you may be able to make modifications to the file using whatever spreadsheet or database management software you prefer. See the format descriptions earlier in this chapter for details. Imported payroll deduction transactions will be entered as separate transactions, as opposed to lump sum transactions, but only those that exceed the Calendar-to-date itemization threshold will be reported on line 11a.

Importing Names and Addresses

All importing must be done in relation to schedule A or B. There is no direct name and address import feature, but by assigning an arbitrary date and amount to the names and addresses, and importing them as transactions, the desired result can be achieved. After the import, the transactions can be purged from the system, and only the names and addresses will remain.

Always back up your .DCF file before importing!

- ⇒ In FECFile 3, create a report to contain the imported transactions. This must be created in the file that you will be using for your FEC reports. The dates are arbitrary for this report and it will be deleted after the import, but it is best to create an older report, such as a 1990 year-end report. (1/1/1990 to 12/31/1990)
- ⇒ Close FECFile 3 and save the file.
- ⇒ Create a comma delimited file with all the information you want to import. (Refer to the beginning of this chapter.) This can be a schedule A or a schedule B import file. This example uses column names for schedule A. Create columns for:

Last name	city	occupation
First name	state	date
Address line 1	zip	amount
Address line 2	employer	contributor type

- ⇒ If you do not have information for one of these columns, you may leave it out. If you do not include contributor type, however, the names may not display properly. Refer to the *Contributor Type* list earlier in this chapter. Fill the dates with 19900101 (Jan 1st 1990) or any other date in the report date range and fill the amount column with zeros.
- ⇒ Using the CSV2DCF import program, open your .DCF file (the one you are importing into), and open the import file (the one you created).
- ⇒ When the import is finished, close CSV2DCF and save the .DCF file.
- ⇒ Open FECFile 3 and open the .DCF file into which you imported the names and addresses. You will see the names and addresses listed in the *Individuals and Organizations View*.

Next, remove the transactions and the 1990 report from FECFile 3:

- ⇒ From the *Reports View*, right click on the 1990 report and choose File Report (A report must have a filed on date before it can be purged). Enter 1/1/1991 in the filing date field, and close the report screen.
- ⇒ Right click on the 1990 report, and choose *Purge*. This will remove all of the “zero” contributions and delete the 1990 report, leaving behind only the names and addresses that were imported with them.



Review - Chapter 8

- 1 Transactions for Schedule A and Schedule B can be imported.
- 2 The import file must be in a comma delimited format.
- 3 Most spreadsheet and database software can produce comma delimited files.
- 4 The column headers must be correct in the import file.
- 5 Potential duplicate records are automatically displayed. You make the determination whether they are actual duplicates, or just similar records, and the transactions are imported accordingly.
- 6 Names and addresses can be imported by treating them like transactions.

I

Password Request Letter

This is a sample password request letter. It should be written on official committee letterhead and be signed by those for whom a password is requested. Fax the request to 202-219-0674. For assistance, call 202-694-1293.

* * * * *

[DATE]

Federal Election Commission
Attention: Electronic Filing Office, Room 428

This document serves as an official password request for the purpose of filing electronic reports for [ENTER YOUR COMMITTEE NAME]. The FEC-assigned, 9-digit Committee ID for this Committee is [ENTER YOUR COMMITTEE ID (e.g., C98123456)].

You may contact me at [ENTER YOUR VOICE PHONE HERE].

I represent that I have the authority to sign FEC reports for the above named committee.

Sincerely,

[PRINT TREASURER'S NAME]

[TREASURER'S SIGNATURE]

[PRINT ASSISTANT TREASURER'S NAME
(IF APPLICABLE)]

[ASSISTANT TREASURER'S
SIGNATURE (IF APPLICABLE)]

Appendix II

Frequently Asked Questions

The following is a list of answers to the most frequently questions received by the technical support staff. The questions are divided into categories to make it easier to find the situation you are looking for.

Filing reports:

Q: What is the deadline for filing an electronic report?

A: Electronically filed reports are due *BEFORE* midnight of the filing deadline day. The files are considered to be received when they have been entirely uploaded to the FEC. This means that if you begin the upload process one minute before midnight, and it is completed one minute after midnight, it has *NOT* been filed on time and is considered late.

Q: Should I file on paper as well as electronically?

A: No. Please file only electronically.

Q: Can I email my filing to the FEC?

A: No. The file must be uploaded following the procedures outlined in this manual.

Q: How do I know the FEC has my filing?

A: You will receive a confirming fax, email or both within a few minutes of filing your report.

Q: If I am required to send a document such as a signed loan instrument from a bank, how do I send it?

A: In cases such as these where actual documents are required, you must send them to the FEC by conventional means. While they must be delivered promptly, they are not subject to the same deadline as the electronic filing and would not be considered late if they are received promptly. They will be scanned and displayed with the filing on the FEC website.

Q: What do I do if I forget my password?

A: Your password is private, and thus the FEC cannot look it up for you. If you forget your

password, you must request a new one following the same procedures as for the original password. See Appendix 1 for a sample password request letter.

Q: If I upload a report and do not receive a faxed or emailed confirmation, what should I do?

A: All successfully filed reports should generate a fax or email or both to confirm that the file has been received and accepted by the FEC electronic filing system. If you do not receive this confirmation, it means one of three things:

- 1 The upload process was not completed. If this is the case, there will be an on-screen message stating that the upload process failed and indicating the reason, such as a bad password or lost Internet connection. Even though the information is presented on the screen, it is sometimes not read carefully by the filer who assumes the filing went through. *Pay attention to the messages!* These problems are usually easy to deal with.
- 2 The upload process was completed but, the filing was rejected by the electronic filing system. If this happens, there will be a clear message on the screen indicating why the file was rejected. Again, pay attention to the messages on the screen during the upload process. Make the necessary changes to the file and upload it again.
- 3 The upload process was completed and the file was accepted, but no email or fax was received. In this case, the culprit is usually an email or faxline problem at the receiving end.

In any of these cases, if you did not receive confirmation, you should assume that your filing was not completed properly. You can check the FEC website, www.fec.gov, to see if your filing is there. It should be there within a few minutes of filing in most cases. Even if it is there, **CALL THE FEC ELECTRONIC FILING OFFICE!** The confirmation is your actual receipt for filing, and you must receive it. If the filing was not properly uploaded, we can help you figure out why so you can upload the file. If it was properly uploaded, we can issue you a fax or email receipt manually.

Data Entry

Q: How do I force a transaction to itemize if it is below the itemization threshold?

A: Single click on the transaction in the appropriate view and choose *Itemize* from the *Edit* menu. This will force an unitemized transaction to be treated as an itemized one. This menu choice toggles, so if you select it again, it returns the transaction to unitemized status.

Q: How do I enter outstanding debts from previous years?

A: You must create separate reports to cover those years. Enter the original debts or loans on the correct dates. Payments prior to the current year may be made as a single lump sum payment in the same report as the debt is entered. See Chapter 2 for details.

Q: How do I enter Loan or Debt repayments?

A: Loan and Debt repayments are among the few transactions that are not created through the *Summary page View*. To enter a repayment, you must already have created the Loan or Debt by clicking on the correct line of the *Summary page View* line. Choose the *Obligations View* and right click on the debt or loan that is being repayed. Choose *Repayment* from the menu. (This can also be done by choosing *Repayment* from the *Edit* menu.) This will create a payment that is linked to the original obligation, so that schedule C or D will report the correct outstanding balance.

Q: Can I import my schedules regarding loans, debts or shared allocable activities (Schedule H?)

A: No. The CSV2DCF Import program only applies to Schedules A and B. No other schedule can be imported.

Q: I chose the wrong report type when I set up my report. How can I change it?

A: Unfortunately you can't change a report type. Try calling Tech Support; they may be able to change it for you.

Previewing and Printing

Q: Can I print a list of contributors from the software?

A: No lists can be printed directly from the software. Only the FEC report can be printed.

Q: Why, in the preview, do I not see all the contributions I have entered?

A: The preview will only list Itemized activities.

Q: When previewing an amended report, can I preview amended items only ?

A: Yes. When previewing, choose *Amended Only* from the *View* menu.

General

Q: Can I see a list of all the contributions I have entered?

A: A list of contributions as well as disbursements and obligations can be viewed in the software by selecting the appropriate View from the *View* menu.

Q: How can I search for existing people or transactions in FECFile 3?

A: There is no search function in FECFile 3. You can, however, sort the columns of the Views

by clicking on the column header of the column you wish to sort. Clicking the same header again reverses the sort order.

Q: Can I get my own password?

A: If you are on record at the FEC as the official Treasurer or Assistant Treasurer for your committee, you can get a password.

Q: Can FECFile 3 be set up on a network for multiple users?

A: No. FECFile 3 must be installed on a local hard drive.

Q: Can I use FECFile 3 on a MAC?

A: No. FECFile 3 requires a Windows 95 or higher or NT 4.0 or higher operating system.

Troubleshooting

When the program does not appear to be functioning correctly, and you believe you are following the proper procedures, look at the list below. This list of problems or apparent problems was compiled from the technical support logs and represents the most commonly encountered problems.

Problem	Cause	Solution
The Summary View is blank.	No report is selected.	Select your report from the Reports View.
The YTD aggregate is incorrect for a contributor.	There may be multiple records for the contributor instead of a single record with multiple contributions.	Delete the transactions from one of the records and delete the record. Add the transactions to the remaining record.
The validator complains of a line that is too long.	Each piece of information is limited to a specific length. For example, the purpose of disbursement is limited to 100 characters. This usually occurs when data is imported.	Select the View that displays the entry cited in the validator error message, open the entry that contains the line and abbreviate it.
New report does not contain old data.	The new report was created in a new file.	Do not go to <i>File</i> and <i>New</i> to create a new report. Go to the <i>Reports View</i> and choose <i>Edit</i> and <i>New Report</i> .
Cannot edit old data.	Reports are locked when a filing date is stamped on them.	If the report has been uploaded to the FEC, don't make changes. If it has not, right click on the report that includes the transactions that are locked, and choose <i>File Report</i> . Delete the <i>Filed on date</i> .

Problem	Cause	Solution
Won't accept <i>Filed on</i> date.	The <i>Filed on</i> date must be after the last day of the reporting period.	Change <i>Filed on</i> date and file after the close of the period
Won't accept transaction date.	The transaction date is outside of the report date range.	Make sure you are entering the transaction in the correct report. Memo items may have dates outside of the report range.
48-hour report not on reports list.	Wrong report type.	Only Form 3 can generate a 48-hour report.
Lookup table missing committees.	Table is out of date.	Choose <i>File, Download</i> . (Connect to the Internet first unless using a modem connection.)

IV

Validator Errors

There is a long list of possible error codes that can be displayed in the validator. 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.

Level 16 errors will prevent a report from uploading. None of these errors can be caused by user error and, if you receive any of them (unlikely), you should contact the FEC electronic filing office.

Lvl Message

```

16  FormName  Fld# 001  Unrecognized Form Type / Record Ignored
16  FormName  Fld# ___  Missing Cover Form (eg. F3A, F3XN, ...)
16  FormName  Fld# 002  ID# _____ NOT Correct FEC Format
16  FormName  Fld# 002  ID# _____ NOT SAME AS Cover Page ID#
16  FormName  Fld# 001  Schedule does not belong with Form ____
16  Filing not Verifiable!  Header missing/incomplete.
16  Filing not Accepted!  Schedule Counts inconsistent.
```

Level 12 errors are serious enough to prevent a file from uploading. Most of them do not apply to FECFile. Those that do are in bold text.

Lvl Message

```

12  FormName  Fld# ___  Report Type is Missing or Invalid
12  FormName  Fld# ___  exceeds maximum length of
    (This is most often the result of importing data)
12  FormName  Fld# ___  is Required, but field is Empty
    (Usually the Treasurer's name or Filing Date)
12  FormName  Fld# ___  Multi-Form Filings are NOT Allowed
12  FormName  Fld# ___  Schedule H3(s) not Version 2.02 format
12  FormName  Fld# ___  Extraneous data follows last field
12  FormName  Fld# ___  Extraneous data coded in a Dummy field
```

Level 8 errors will prevent a report from uploading. Correct them if possible. Level 8 errors are not likely to be encountered by FECFile users.

Lvl Message

```

08  FormName  Fld# ___  Embedded double-quotes (") not allowed
08  FormName  Fld# ___  Leading Blanks {e.g. " TEXT"} not allowed
```

```

08  FormName  Fld# ___  Bad Date - _____ not YYYYMMDD format
      "  "      "  "  CCYYMMDD  "
      "  "      "  "  MMDDYYYY  "
      "  "      "  "  MMDDCCYY  "
08  FormName  Fld# ___  Not a Real Date or Outside 1960-2099
08  FormName  Fld# ___  Invalid Amount format:
08  FormName  Fld# ___  Non-numeric data in Numeric Field
08  FormName  Fld# ___  ___ is an Invalid Year (CCYY) Format
08  FormName  Fld# ___  Invalid Rate format: _____
08  FormName  Fld# ___  Wrong Report Type for this Form
08  (Deleted) Fld# ___  Non-numeric Sequence/Reference Number
08  FormName  Fld# ___  District "__" is not 2-digit Numeric format

08  FormName  Fld# ___  Amended Code must be A,C,D,N - not "_"
08  FormName  Fld# ___  Only Amended Code "A" allowed on New filings
08  FormName  Fld# ___  Tran ID is NOT UNIQUE - This one is same as other(s)
08  FormName  Fld# ___  Cannot Amend Transaction(s) within this filing
08  FormName  Fld# ___  Back-Reference TRAN-ID does not match Sched TRAN-ID
08  FormName  Fld# ___  Event MUST be identified as [D]irect or [E]xempt

```

Level 4 errors will not cause a filing to be rejected. They should, however, be corrected to the extent possible. Those most likely to be encountered by FECFile users are listed in bold text.

Lvl Message

```

- - - - -
04  Lost or Altered Data! Control Numbers don't match.
04  FormName  Fld# ___  Conditionally Required field is Empty
04  FormName  Fld# ___  Subtotal {_____} not supported by other lines
04  FormName  Fld# ___  Subtotal {_____} not supported by Schedule ___
04  FormName  Fld# ___  Prim/Gen/Other code invalid:
04  FormName  Fld# ___  Street Address is Missing
04  FormName  Fld# ___  Single-line Address NOT in 1st delimited field
04  FormName  Fld# ___  __ not a valid 2-character USPS State Code
04  FormName  Fld# ___  Zip Code is Invalid or Missing / Zip =
04  FormName  Fld# ___  Invalid Area Code/Phone Number:
04  FormName  Fld# ___  Office Code "_" Invalid
04  FormName  Fld# ___  Comm Code "_" Invalid.
04  FormName  Fld# ___  Comm Target "_" Invalid.
04  FormName  Fld# ___  Ratio Code "_" Invalid
04  FormName  Fld# ___  Sup/Opp Code "___" Invalid
04  FormName  Fld# ___  Committee Type "_" is Invalid for this form
04  FormName  Fld# ___  ___ not a valid 3-character Party Code
04  FormName  Fld# ___  ___ not a valid Party Type (NAT,STA,SUB)
04  FormName  Fld# ___  ___ Invalid Creditor (ICV,UCV,CAN,EMP,OTH)
04  FormName  Fld# ___  ___ not a Valid Itemized Transaction
04  FormName  Fld# ___  Value "_" is Invalid for this Yes/No field
04  FormName  Fld# ___  Value "_" is Invalid for "Check-box=X" field
04  FormName  Fld# ___  Point Value Subtotal is INCORRECT (Sch H1)
04  FormName  Fld# ___  Schedule contains Redundant Sections (Sch H1)
04  FormName  Fld# ___  Name has Too Many Parts (Over 3 Delimiters Found)
04  FormName  Fld# ___  Entity Type [___] is not an acceptable value
04  FormName  Fld# ___  Delimited Name should not exceed 38 letters & spaces

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