



## Basics for Beginners

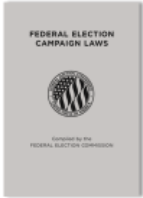
October 25, 2023  
9:15 – 10:45 a.m. Eastern



# OBJECTIVES


### Basic Provisions

Review basic provisions of the Federal Election Campaign Act



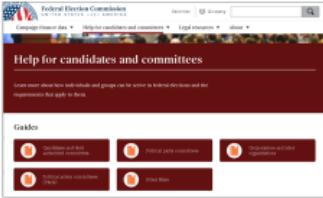
### Filing Reports

Examine recordkeeping and filing requirements




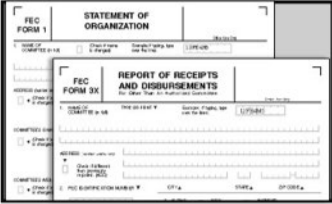

### Compliance Resources

Highlight compliance resources available to candidates and parties








## BASIC PROVISIONS OF THE FEDERALCAMPAIGN FINANCE LAW

# Federal Election Campaign Act

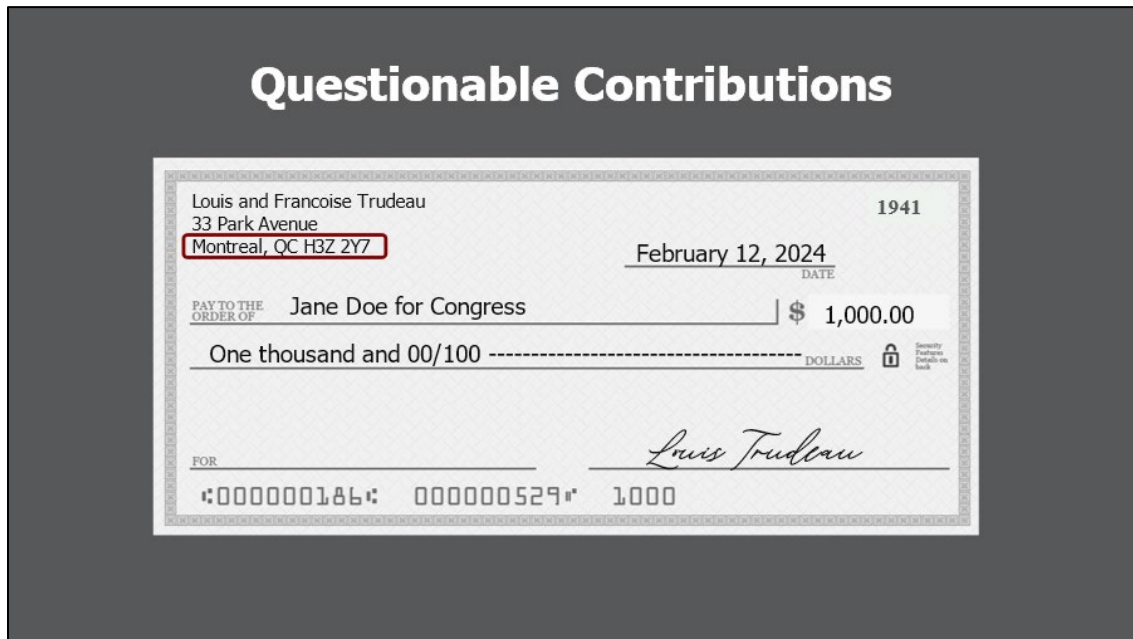
<h3>Limits Funding</h3> 	<h3>Requires Reporting</h3> 	<h3>Establishes FEC</h3> 
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### I. Contribution Prohibitions

 <p>Corporate/Labor</p>	<h3>Prohibited Contributions</h3> 	 <p>Gov't Contractors</p>
 <p>Foreign Nationals</p>		 <p>Name of Another</p>

- A. Corporations (including incorporated membership, trade and cooperative organizations or associations), labor organizations and national banks** are prohibited from making contributions in connection with federal elections. [11 CFR 114.2](#).
1. Therefore, they may not:
    - a) Act as conduit for earmarked contribution.
    - b) Give discount to campaign or committee that is not in normal business practice.
    - c) Allow use of facilities or resources without reimbursement, and, in some cases, advance payment.
  2. The corporate/labor ban does not apply to contributions to an independent expenditure-only committee (i.e., Super PAC) or to a non-contribution account (i.e., Hybrid PAC).
  3. **Separate Segregated Fund exception:** These incorporated entities may use treasury funds to create and run a separate segregated fund (sometimes called an SSF or PAC) to support federal candidates.
- B. Federal government contractors ([11 CFR Part 115](#))**
- C. Foreign nationals ([11 CFR 110.20](#))**
1. **US subsidiary of foreign corporation may establish SSF only if:**
    - a) Foreign nationals do not control or participate in decisions of SSF; and
    - b) SSF is not administered/otherwise funded with foreign revenues.
  2. **Ban does not apply to permanent resident aliens (green card holders).**
  3. **Individuals who are foreign nationals may:**
    - a) Volunteer for congressional campaign and participate in decision-making, (note: because volunteer is engaged to candidate). [AO 2004-26](#).
    - b) Attend campaign fundraising events (Note: because attendee is engaged to candidate). [AO 2004-26](#).
    - c) They may not, however, participate in decision-making regarding election activities for a corporation or a political committee. [AO 2004-32](#).
- D. Contributions in name of another ([11 CFR 110.4\(b\)](#))**
1. Cannot reimburse or be reimbursed for contributions.
  2. Parents cannot give in names of children.
- E. Certain prohibitions apply to all elections ([11 CFR 114.2\(a\)](#))**
1. Foreign nationals
  2. National banks
  3. Federally chartered corporations

## II. Handling Questionable Contributions to Federal Account ([11 CFR 103.3](#))



### Questionable Contributions

- Deposit/return check – 10 days
- Contact the donor – 30 days to confirm legality
- If donor is US citizen or green card holder, contribution is acceptable
- If not, contribution is prohibited; committee must issue a refund

**Deposit while checking.** If unsure whether contribution is from a permissible source, party may deposit it while confirming permissibility.

**Refund after 30 days if unable to verify legality.** Within 30 days of receipt, must refund if unable to determine if contribution is permissible.

### III. Contribution Amount Limits ([11 CFR 100.52](#))


#### A. Broad definition

Anything of value given or loaned to influence a federal election.

#### B. Types

1. Money
2. In-kind (goods and services)
3. Loans of money or advances of goods and services
4. Bank loan endorsements and guarantees
5. Advances of personal funds by staff and volunteers
6. Proceeds from sales of fundraising items
7. Extension of credit to committee outside ordinary course of business

## Contribution Limits



Inflation Adjusted

For 2023-24 Elections	Candidate Committee per election	PAC (SSF and Nonconnected) per year	State, District & Local Party Committee per year	National Party Committee per year	Additional National Party Committee Accounts per year
Individual	\$3,300	\$5,000	\$10,000 (combined)	\$41,300	\$123,900
Candidate Committee	\$2,000	\$5,000	Unlimited Transfers	Unlimited Transfers	
PAC: Multicandidate	\$5,000	\$5,000	\$5,000 (combined)	\$15,000	\$45,000
PAC: Nonmulticandidate	\$3,300	\$5,000	\$10,000 (combined)	\$41,300	\$123,900
National Party Committee	\$5,000	\$5,000	Unlimited Transfers	Unlimited Transfers	
State, District & Local Party Committee	\$5,000 (combined)	\$5,000 (combined)	Unlimited Transfers	Unlimited Transfers	

#### C. Contribution limits (11 CFR [110.1](#) and [110.2](#))


1. **Certain limits increased and indexed for inflation**
  - a) Candidate and party limits increased and indexed; multicandidate committee limits unchanged.
  - b) Indexing began in 2005 – odd-numbered years.
2. **How applied**
  - a) Limits apply to contributions received and contributions made by committee.
  - b) If made by an individual, counts against the limit of the person signing the check or accompanying note.

**3. Presidential**

- a) Primaries – one limit for all.
- b) General – no contributions if candidate accepts public funds. See [AO 2007-03](#) (Obama).
- c) General Election Legal and Compliance (GELAC) Fund – OK if donations comply with limits.

**Limits on Contributions to Candidates' Campaign Committees**

Contribution Limits



To Candidates

For 2023-24 Elections	Candidate Committee per election	PAC (SSF and Nonconnected) per year	State, District & Local Party Committee per year	National Party Committee per year	Additional National Party Committee Accounts per year
Individual	\$3,300	\$5,000	\$10,000 (combined)	\$41,300	\$123,900
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National Party Committee	\$5,000	\$5,000	Unlimited Transfers	Unlimited Transfers	
State, District & Local Party Committee	\$5,000 (combined)	\$5,000 (combined)	Unlimited Transfers	Unlimited Transfers	

Multicandidate Status

**Registration**

Registered with the FEC for at least 6 months



**Contributors**

Received contributions from more than 50 donors



**Candidates**

Contributed to at least 5 federal candidates



**D. Multicandidate committee status ([11 CFR 100.5\(e\)](#))**

**1. Why important:**

Determines whether PAC or party committee can give up to \$5,000 to candidate, per election (and whether candidate can accept it).

**2. Criteria**

- a) Registered with FEC 6 months.
- b) Received contributions from more than 50 contributors.
- c) Has made contributions to at least 5 federal candidates (not needed for state party committee).

Multicandidate Status

**NOTIFICATION OF MULTICANDIDATE STATUS**

The committee has qualified as a multicandidate committee.

**4. STATUS BY AFFILIATION:** The committee submitted to State or State Party for qualification as a multicandidate committee.

**5. STATUS BY QUALIFICATION:**

Contributor Name	Amount	Date

QUALIFIED

FEC FORM 1M

XYZ PAC - A Multicandidate Committee  
1344 Queens Blvd.  
Queens, NY 11101

---

PAY \_\_\_\_\_ \$ \_\_\_\_\_

to the order of \_\_\_\_\_

YOUR FINANCIAL INSTITUTION  
ADDRESS OF YOUR INSTITUTION

⑆ 1234567890 ⑆ 123456⑆ 101

**1. THIS COMMITTEE HAS QUALIFIED AS A MULTICANDIDATE COMMITTEE (SEE 11 CFR 100.5(e)).**

**This committee has qualified as a multicandidate committee. (see FEC FORM 1M)**

**E. Multicandidate committee responsibilities**

**1. How to inform the FEC**

- a) PAC/Party must file [FEC Form 1M](#) within 10 days of qualifying as multicandidate committee.
- b) Check box at end of page 2, FEC Form 3X.

**2. How to inform the campaigns**

- a) Multicandidate committee must inform recipients that it has qualified as multicandidate committee.
- b) Call FEC’s Public Records Office to verify status as *qualified* multicandidate committee.

### Limits on Contributions from Candidates' Campaign Committees

Contribution Limits



From Candidates

For 2023-24 Elections	Candidate Committee per election	PAC (SSF and Nonconnected) per year	State, District & Local Party Committee per year	National Party Committee per year	Additional National Party Committee Accounts per year
Individual	\$3,300	\$5,000	\$10,000 (combined)	\$41,300	\$123,900
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National Party Committee	\$5,000	\$5,000	Unlimited Transfers	Unlimited Transfers	
State, District & Local Party Committee	\$5,000 (combined)	\$5,000 (combined)	Unlimited Transfers	Unlimited Transfers	

### Limits on Contributions to Party Committees

Contribution Limits



To Parties

For 2023-24 Elections	Candidate Committee per election	PAC (SSF and Nonconnected) per year	State, District & Local Party Committee per year	National Party Committee per year	Additional National Party Committee Accounts per year
Individual	\$3,300	\$5,000	\$10,000 (combined)	\$41,300	\$123,900
Candidate Committee	\$2,000	\$5,000	Unlimited Transfers	Unlimited Transfers	
PAC: Multicandidate	\$5,000	\$5,000	\$5,000 (combined)	\$15,000	\$45,000
PAC: Nonmulticandidate	\$3,300	\$5,000	\$10,000 (combined)	\$41,300	\$123,900
National Party Committee	\$5,000	\$5,000	Unlimited Transfers	Unlimited Transfers	
State, District & Local Party Committee	\$5,000 (combined)	\$5,000 (combined)	Unlimited Transfers	Unlimited Transfers	



## Limits on Contributions from Party Committees

### Contribution Limits



From Parties

For 2023-24 Elections	Candidate Committee per election	PAC (SSF and Nonconnected) per year	State, District & Local Party Committee per year	National Party Committee per year	Additional National Party Committee Accounts per year
Individual	\$3,300	\$5,000	\$10,000 (combined)	\$41,300	\$123,900
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PAC: Nonmulticandidate	\$3,300	\$5,000	\$10,000 (combined)	\$41,300	\$123,900
National Party Committee	\$5,000	\$5,000	Unlimited Transfers	Unlimited Transfers	
State, District & Local Party Committee	\$5,000 (combined)	\$5,000 (combined)	Unlimited Transfers	Unlimited Transfers	

## Affiliated Committees

Committees established, financed maintained or controlled by same entity



```

graph TD
    A[State Party Committee] --- B[Registered Local Party]
    A --- C[Registered Local Party]
    A --- D[Registered Local Party]
    
```

- F. **Affiliated committees (11 CFR [100.5\(e\)](#) and [110.3\(a\)\(3\)](#))**
1. **How to determine:**
    - a) Principle: committees established, financed, maintained, or controlled by same entity or group of persons.

- b) Others may also be affiliated depending on various factors, such as similar patterns of contributions, common officers, etc. See 11 CFR [100.5\(g\)](#) & [110.3\(a\)](#).
2. **Example:**  
State party committees normally affiliated with local party committees in same state; national party and state party have separate limits, but may transfer between each other. Rebuttable presumption – see [AO 1978-09](#).



3. **Why important:**
- a) Same contribution limit applies to contributions received and made by affiliated committees.
  - b) If one committee qualifies as multicandidate, all its affiliated committees qualify.
  - c) No limit on transfers between affiliated committees.

**SCENARIO #1: Multicandidate Status**

### Affiliation Scenario

The diagram illustrates the organizational structure of a State Party Committee, which is a qualified multicandidate committee. It branches into three Registered Local Committees (Local #1, Local #2, and Local #3). A check is shown from the State Party Committee to Jones for Congress for \$3,000.00, dated September 12, 2023, for the Primary 2024. The check is signed by Joe Schmeck.

Representative Jones

The State Party Committee—a qualified multicandidate committee—contributes \$3,000 to Jones for Congress for the 2024 primary.

### Affiliation Scenario

The diagram illustrates the organizational structure of a State Party Committee, which is a qualified multicandidate committee. It branches into two Registered Local Committees (Local #1 and Local #2). A large question mark is placed in the center, indicating a question about the affiliation scenario.

Representative Jones



**POLL QUESTION:**

**How much can Registered Local Party #1 contribute to Representative Jones' primary campaign?**


- A: As a non-multicandidate committee, it can contribute up to \$3,300.
- B: Given its affiliation with the State Party Committee, it can only contribute up to \$2,000.
- C: As a non-multicandidate committee affiliated with State Party Committee, it can only contribute \$300.

**POLL ANSWER:**


**How much can Registered Local Party#1 contribute to Representative Jones' primary campaign?**

- A: As a non-multicandidate committee, it can contribute up to \$3,300.
- B: Given its affiliation with the State Party Committee, it can only contribute up to \$2,000.**
- C: As a non-multicandidate committee affiliated with State Party Committee, it can only contribute \$300.

## Contribution Limits



**Cash contributions cannot exceed \$100**



**Maximum anonymous contribution \$50**

- G. Other contribution limits**
- 1. Cash contributions – \$100**
  - 2. Anonymous contributions – \$50**



#### IV. Independent Expenditures ([11 CFR 100.16](#))



##### A. Definition

Expenditure for communication that “expressly advocates” the election or defeat of a clearly identified candidate and that is not made in cooperation with, or at the request or suggestion of, the candidate or his/her campaign or its agents, or a political party or its agents.

## Independent Expenditures



No limit on amount of expenditure

Corporations and labor organizations may make IEs, but prohibited in-kind contribution results if coordinated

### B. The basics

1. **No limits if definition met**  
One may spend an unlimited amount because the expenditure is not coordinated (and thus, a contribution).
2. **If coordinated, in-kind contribution results ([11 CFR 109.21](#))**  
Corporation prohibited from making (coordinated) in-kind contribution.
3. **Disclaimer required**

V. **Disclaimer Notices on Communications ([11 CFR 110.11](#))**

**Disclaimers**



Must appear on all public communications, widely distributed emails & websites

**A. Basic rules**

1. Identifies who paid for a public communication
2. Clarifies whether a campaign authorized it
3. Required on all “public communications,” widely distributed emails and public websites





## Public Communications

**B. Public communication defined ([11 CFR 100.26](#))**

Includes communications made using the following media:

1. Broadcast, cable or satellite
2. Newspaper or magazine
3. Outdoor advertising facility
4. Mass mailing (>500 substantially similar mailings w/in 30 days)
5. Phone bank (>500 substantially similar calls w/in 30 days)
6. Communications placed for a fee on another person's web page, digital device, application, or advertising platform

**C. Disclaimer also required on:**

1. Electronic mail (> 500 substantially similar communications sent by a campaign committee); and
2. Websites of political committees.



**Elect Chiu**

Paid for by the State Party Committee ([www.state.org](http://www.state.org)) and not authorized by any candidate or candidate's committee

**Independent Expenditure Disclaimer**



**Elect Chiu**

Paid for by the State Party Committee ([www.state.org](http://www.state.org)) and authorized by Elizabeth Chiu for Congress

**In-kind Contribution Disclaimer**

**D. Wording of disclaimer ([11 CFR 110.11\(b\)](#))**

- 1. Not authorized by campaign (i.e., independent expenditure, electioneering communication)**  
*“Paid for by the State Party ([www.state.org](http://www.state.org)) and not authorized by any candidate or committee.”*
- 2. Authorized but not financed by campaign**  
*“Paid for by the State Party and authorized by the Elizabeth Chiu for Congress.”*
- 3. Authorized and financed by campaign**  
*“Paid for by Elizabeth Chiu for Congress.”*

## Disclaimers



Must be presented in a clear and conspicuous manner

4. **Clear and conspicuous placement of disclaimer notice**  
Disclaimer notices must be clearly and conspicuously displayed.  
Cannot be difficult to read or placed where it is easily overlooked.



## Television Disclaimer


Approval statement voiced by sponsor

Disclaimer  $\geq$  4% picture height;  $\geq$  4 seconds

- E. **Special rules for TV and radio ads ([11 CFR 110.11\(c\)\(3\) and \(4\)](#))**
  1. **Authorized by a candidate:** *"I am [candidate's name], a candidate for [federal office sought], and I approved this advertisement."*

2. **Not authorized by a candidate:** Identify the committee responsible for the communication (e.g., *“The State Party is responsible for the content of this ad.”*)

**Print  
Disclaimer**




The image shows a stack of newspapers. The top newspaper is titled 'NEWS' and dated 'MONDAY march, 11 2013'. It features a headline 'Man Bites Dog' and an advertisement for 'Elect Chiu' with a photo of a woman in front of a building. A small box at the bottom of the advertisement contains the text: 'Paid for by State Party Committee (www.state.org) and not authorized by any candidate or candidate's committee'.

Disclaimer must be contained within a printed box set apart from content of communication

- F. **Special rules for printed communications**
  1. Disclaimer must be contained within a printed box set apart from content of communication.
  2. Print must be of sufficient type size to be “clearly readable” and must have a reasonable degree of color contrast between the background and the printed statement.
  3. Safe Harbor: 12-point type in newspapers; magazines; flyers; signs; and other printed communications no larger than 24” x 36.”

## Internet Disclaimers



Similar to print and broadcast media, but no stand-by-your-ad requirement

Adapted disclaimer when full disclaimer would occupy >25% of communication, plus:

- Visible/audible indicator that full disclaimer is available; and
- Technological mechanism to access full disclaimer

### G. **Specific requirements for internet public communications** **(11 CFR 110.11(c)(5))**


1. Communication with text or graphic components must include clearly readable written disclaimer that “can be viewed without taking any action”
2. Audio-only communications must include audio disclaimer that recipient can hear without taking any action
3. Communication with disclaimer displayed within video, disclaimer must be visible for at least four seconds and appear without the recipient taking any action
4. Adapted “paid for by” disclaimer when full disclaimer would occupy >25% of communication, plus:
  - a) Visible/audible indicator that full disclaimer is available (e.g., word, image, sound, symbol, or icon); and
  - b) Technological mechanism to access full disclaimer (e.g., hover-over text, pop-up screen, scrolling text, rotating panel, or hyperlink)

### H. **Disclaimer is not required when:**

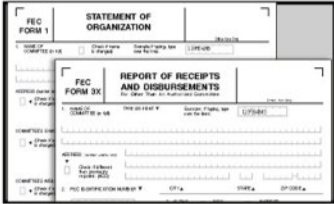
1. It cannot be conveniently printed (e.g., pens, bumper stickers, campaign pins and buttons);
2. Its display is not practical (e.g., wearing apparel, skywriting, water towers); or
3. Item is of minimal value, does not contain a political message and is used for administrative purposes (e.g., committee checks and receipts).

# Federal Election Campaign Act


### Limits Funding



### Requires Reporting



### Establishes FEC

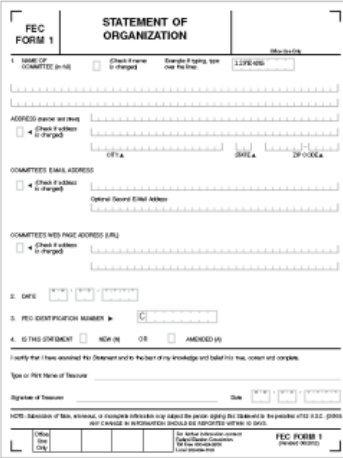


VI. Committee Registration (11 CFR [102.1\(c\)](#) and [102.2](#))

# FEC Registration

## Basic registration thresholds

- ▶ Candidates: raise/spend > \$5,000
- ▶ Parties: raise/spend > \$1,000



# Committee Registration

## Basic registration thresholds

- ▼ Candidates: raise/spend > \$5,000
  - Testing the waters exemption



FEC FORM 1		STATEMENT OF ORGANIZATION		Revisions
1. NAME OF COMMITTEE (Print)	<input type="checkbox"/> Check if name is changed	Example: Alpha 501c (4) 1234567		
ADDRESS (name and street)				
<input type="checkbox"/> Check if address is changed				
COMMITTEE EMAIL ADDRESS				
<input type="checkbox"/> Check if address is changed				
COMMITTEE WEB PAGE ADDRESS (URL)				
<input type="checkbox"/> Check if address is changed				
2. DATE	MM	DD	YYYY	
3. FEC IDENTIFICATION NUMBER	C			
4. IS THIS STATEMENT	<input type="checkbox"/> NEW	<input type="checkbox"/> IN	<input type="checkbox"/> OR	<input type="checkbox"/> AMENDED (X)
I certify that I have examined this Statement and the facts of my knowledge and belief to the best of my knowledge and belief to the best of my knowledge and belief.				
Type or Print Name of Treasurer				
Signature of Treasurer				
Date				
NOTE: Submission of this statement is a complete submission only subject to the person signing this statement to be provided with a 30-day period after a change in information unless the committee applies to file.				
Official Use	For Public Information Contact	FEC FORM 1		Public Release
File	File	File	File	File

# Committee Registration

## Basic registration thresholds

- ▶ Local party organizations
  - Raises > \$5,000 in contributions
  - Spends > \$5,000 on exempt activities



FEC FORM 1		STATEMENT OF ORGANIZATION		Revisions
1. NAME OF COMMITTEE (Print)	<input type="checkbox"/> Check if name is changed	Example: Alpha 501c (4) 1234567		
ADDRESS (name and street)				
<input type="checkbox"/> Check if address is changed				
COMMITTEE EMAIL ADDRESS				
<input type="checkbox"/> Check if address is changed				
COMMITTEE WEB PAGE ADDRESS (URL)				
<input type="checkbox"/> Check if address is changed				
2. DATE	MM	DD	YYYY	
3. FEC IDENTIFICATION NUMBER	C			
4. IS THIS STATEMENT	<input type="checkbox"/> NEW	<input type="checkbox"/> IN	<input type="checkbox"/> OR	<input type="checkbox"/> AMENDED (X)
I certify that I have examined this Statement and the facts of my knowledge and belief to the best of my knowledge and belief.				
Type or Print Name of Treasurer				
Signature of Treasurer				
Date				
NOTE: Submission of this statement is a complete submission only subject to the person signing this statement to be provided with a 30-day period after a change in information unless the committee applies to file.				
Official Use	For Public Information Contact	FEC FORM 1		Public Release
File	File	File	File	File

## Committee Registration

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## First Steps

1. Call FEC Information Division  
1-800-424-9530 (Press 6)
  
2. Get a Tax ID number from the IRS
  
3. Open a bank account

<https://www.irs.gov/businesses/smallbusinesses-self-employed/how-to-apply-for-an-ein>

The screenshot shows the IRS website page titled "Apply for an Employer Identification Number (EIN) Online". The page includes a navigation menu with options like "File", "Pay", "Refunds", "Credits & Deductions", and "Forms & Instructions". A search bar is also present. The main content area features a "Hours of Operation" box indicating Monday to Friday, 7 a.m. to 10 p.m. Eastern Standard Time. Below this, there are three steps: "Step 1: Determine Your Eligibility", "Step 2: Understand the Online Application", and "Step 3: Submit Your Application". A sidebar on the left lists various topics under "Businesses and Self-Employed", and a "Related Topics" section on the right provides links to additional resources.

[www.irs.gov/businesses/small-businesses-self-employed/how-to-apply-for-an-ein](https://www.irs.gov/businesses/small-businesses-self-employed/how-to-apply-for-an-ein)



VII. Campaign Depository (11 CFR [103.2](#) and [103.3](#))



- A. **Disclose on Statement of Organization (FEC Form 1)**
- B. **Required accounts**
  - 1. Must have at least one (federal) checking account.
  - 2. All contributions deposited into and expenditures made from depository.
- C. **Timing**

Deposit contributions within 10 days of treasurer's receipt.

## VIII. Committee Registration

# Candidate Registration

**FEC FORM 2**  
**STATEMENT OF CANDIDACY**

1. (a) Name of Candidate (in full)		2. FEC Candidate Identification Number
(b) Address (number and street)	<input type="checkbox"/> Check if address changed	
(c) City, State, and ZIP Code		3. Is This Statement <input type="checkbox"/> New <input type="checkbox"/> (R) <input type="checkbox"/> OR <input type="checkbox"/> Amended <input type="checkbox"/> (A)
4. Party Affiliation	5. Office Sought	6. State & District of Candidate

**DESIGNATION OF PRINCIPAL CAMPAIGN COMMITTEE**

7. I hereby designate the following named political committee as my Principal Campaign Committee for the \_\_\_\_\_ election(s)  
(year of election)

**NOTE:** This designation should be filed with the appropriate office listed in the instructions.

(a) Name of Committee (in full)
(b) Address (number and street)
(c) City, State, and ZIP Code

**DESIGNATION OF OTHER AUTHORIZED COMMITTEES**  
(Including Joint Fundraising Representatives)

8. I hereby authorize the following named committee, which is NOT my principal campaign committee, to receive and expend funds on behalf of my candidacy.  
**NOTE:** This designation should be filed with the principal campaign committee.

Filed by candidate within 15 days of reaching \$5k threshold

Candidate designates principal campaign committee

Note: Incumbents seeking re-election must file a new Form 2 each cycle

- A. Candidate and campaign committee registration (11 CFR [101.1](#), [102.1\(d\)](#) and [102.2](#))**
- 1. FEC Form 2**  
Candidate files Statement of Candidacy (FEC Form 2) within 15 days of triggering candidacy (i.e., raise/spend over \$5,000).
  - 2. FEC Form 1**  
Principal campaign committee files FEC Form 1 within 10 days of designation by candidate.
- B. Committee registration (11 CFR [102.1\(d\)](#) and [102.2](#))**
- 1. FEC Form 1**  
File within 10 days of triggering registration.
  - 2. Requirements**  
Committees that file electronically must include their email address. Others are encouraged to do so.
  - 3. Amendments**  
Amend FEC Form 1 (and other filings) when necessary within 10 days of change.

**More:**

- **FEC Form 1 (webform):** [webforms.fec.gov/webforms/form1/index.htm](http://webforms.fec.gov/webforms/form1/index.htm)
- **FEC Form 2 (webform):** [webforms.fec.gov/webforms/form2/index.htm](http://webforms.fec.gov/webforms/form2/index.htm)
- **Download FEC Forms 1 & 2:** [www.fec.gov/help-candidates-and-committees/forms/](http://www.fec.gov/help-candidates-and-committees/forms/)

# Committee Registration

The image shows the top portion of the 'FEC FORM 1 STATEMENT OF ORGANIZATION'. The form is divided into three columns: 'FEC FORM 1', 'STATEMENT OF ORGANIZATION', and 'Office Use Only'. The 'STATEMENT OF ORGANIZATION' column contains several sections:

- 1. NAME OF COMMITTEE (in full):** A text field with a checkmark for '(Check if name is changed)' and an example '12 FE 4NS'.
- ADDRESS (number and street):** A text field with a checkmark for '(Check if address is changed)'. Below it are fields for 'CITY', 'STATE', and 'ZIP CODE'.
- COMMITTEES EMAIL ADDRESS:** A text field with a checkmark for '(Check if address is changed)' and an 'Optional Second E-Mail Address' field.
- COMMITTEES WEB PAGE ADDRESS (URL):** A text field with a checkmark for '(Check if address is changed)'.

The 'NAME OF COMMITTEE' and 'COMMITTEES EMAIL ADDRESS' fields are highlighted in orange in the original image.

PCC's name must include candidate's name

Unauthorized committee cannot use candidate's name in its name

# Committee Registration

This image shows the same 'FEC FORM 1 STATEMENT OF ORGANIZATION' form as above. In this version, the 'COMMITTEES EMAIL ADDRESS' and 'COMMITTEES WEB PAGE ADDRESS (URL)' fields are highlighted in orange.

Email address required for electronic filers

Necessary to receive report notices and other notifications

- 4. **Street address, email, website**
  - a) Email required for electronic filers; necessary to receive FEC report notices and other courtesy materials.
  - b) URL required if committee has web page.

# Committee Registration

<b>FEC FORM 1</b>	<b>STATEMENT OF ORGANIZATION</b>	Office Use Only
1. NAME OF COMMITTEE (in full)	<input type="checkbox"/> (Check if name is changed)	Example: If typing, type over the line: 123FE4NS
ADDRESS (number and street)		
<input type="checkbox"/> (Check if address is changed)		
	CITY▲	STATE▲ ZIP CODE▲
COMMITTEES EMAIL ADDRESS		
<input type="checkbox"/> (Check if address is changed)		
	Optional Second E-Mail Address	
COMMITTEES WEB PAGE ADDRESS (URL)		
<input type="checkbox"/> (Check if address is changed)		

URL for committee's website, if applicable

# Committee Registration

FEC Form 1 (Revised 02/2009)	Page 2
<b>5. TYPE OF COMMITTEE</b>	
<b>Candidate Committee:</b>	
(a) <input checked="" type="checkbox"/>	This committee is a principal campaign committee. (Complete the candidate information below.)
(b) <input type="checkbox"/>	This committee is an authorized committee, and is NOT a principal campaign committee. (Complete the candidate information below.)
Name of Candidate	Jane Doe
Candidate Party Affiliation	IND
Office Sought	<input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President
State	US
District	01
(c) <input type="checkbox"/>	This committee supports/opposes only one candidate, and is NOT an authorized committee.
Name of Candidate	
<b>Party Committee:</b>	
(d) <input type="checkbox"/>	This committee is a _____ (National, State or subordinate) committee of the _____ (Democratic, Republican, etc.) Party.
<b>Political Action Committee (PAC):</b>	
(e) <input type="checkbox"/>	This committee is a separate segregated fund. (Identify connected organization on line 6.) Its connected organization is a:
<input type="checkbox"/>	Corporation
<input type="checkbox"/>	Corporation with Capital Stock
<input type="checkbox"/>	Labor Organization
<input type="checkbox"/>	Membership Organization
<input type="checkbox"/>	Trade Association
<input type="checkbox"/>	Cooperative
<input type="checkbox"/>	In addition, this committee is a Lobbyist/Registrant PAC.

# Committee Registration

FEC Form 1 (Revised 02/2009) Page 2

5. TYPE OF COMMITTEE

**Candidate Committee:**

(a)  This committee is a principal campaign committee. (Complete the candidate information below.)

(b)  This committee is an authorized committee, and is NOT a principal campaign committee. (Complete the candidate information below.)

Name of Candidate \_\_\_\_\_

Candidate Party Affiliation \_\_\_\_\_ Office Sought:  House  Senate  President State \_\_\_\_\_

\_\_\_\_\_ District \_\_\_\_\_

(c)  This committee supports/opposes only one candidate, and is NOT an authorized committee.

Name of Candidate \_\_\_\_\_

**Party Committee:**

(d)  This committee is a **State** (National, State or subordinate) committee of the **IND** (Democratic, Republican, etc.) Party

**Political Action Committee (PAC):**

(e)  This committee is a separate segregated fund. (Identify connected organization on line 6.) Its connected organization is a:

Corporation  Corporation w/o Capital Stock  Labor Organization

Membership Organization  Trade Association  Cooperative

In addition, this committee is a Lobbyist/Registrant PAC.

## FEC Form 1, Line 6: Affiliated Committee(s)

# Committee Registration

6. Name of Any Connected Organization, Affiliated Committee, Joint Fundraising Representative, or Leadership PAC Sponsor

**Registered Local Party Committee**

\_\_\_\_\_

Mailing Address **456 City Street**

\_\_\_\_\_

**Anothertown** **US** **0000**

CITY STATE ZIP CODE

Relationship:  Connected Organization  **Affiliated Committee**  Joint Fundraising Representative  Leadership PAC Sponsor

**FEC Form 1, Line 6: Joint Fundraising Committee(s)**

**Committee Registration**

6. Name of Any Connected Organization, Affiliated Committee, Joint Fundraising Representative, or Leadership PAC Sponsor

**Smith-Jones Victory Fund**

Mailing Address **890 City Street**

**Anytown** **US** **00000**

CITY STATE ZIP CODE

Relationship:  Connected Organization  Affiliated Committee  Joint Fundraising Representative  Leadership PAC Sponsor

- C. **Treasurer & Assistant Treasurer (11 CFR [102.7](#), [102.9](#) and [104.14](#))**
  - 1. **Treasurer required – Asst. Treasurer recommended**
    - a) Identify on FEC Form 1.

**FEC Form 1, Line 8: Treasurer**

**Committee Registration**

8. **Treasurer:** List the name and address (phone number – optional) of the treasurer of the committee; and the name and address of any designated agent (e.g., assistant treasurer).

Full Name of Treasurer \_\_\_\_\_

Mailing Address \_\_\_\_\_

CITY STATE ZIP CODE

Title or Position \_\_\_\_\_ Telephone number \_\_\_\_\_

Full Name of Designated Agent \_\_\_\_\_

Mailing Address \_\_\_\_\_


CITY STATE ZIP CODE

Title or Position \_\_\_\_\_ Telephone number \_\_\_\_\_

**REQUIRED**

## FEC Form 1, Line 8: Assistant Treasurer

## Committee Registration



## Committee Treasurer

- ✓ Deposits receipts
- ✓ Authorizes all expenditures
- ✓ Monitors contributions
- ✓ Keeps all required records
- ✓ Signs reports
- ✓ Files accurate reports on time




### 2. Duties:

- a) Depositing receipts
- b) Authorizing all expenditures
- c) Monitoring contributions
- d) Keeping all required records
- e) Signing reports
- f) Filing accurate reports on time

- D. Amendments to FEC Form 1 ([11 CFR 102.2\(a\)\(2\)](#))**
1. Required within 10 days after change in information.
  2. Paper filers may amend by letter or FEC Form 1; e-filers must amend electronically by submitting a replacement FEC Form 1.

## Committee Treasurer



Treasurer generally named as enforcement respondent

Personal liability possible if:

- Knowingly & willfully violated the Act;
- Recklessly failed to fulfill duties; or
- Intentionally ignored information that led to the violation

3. **Treasurer responsible for compliance.**
  - a) Usually named in enforcement actions.
  - b) Online resources:
    - (1) Treasurer liability:  
[www.fec.gov/updates/treasurers-liability/](http://www.fec.gov/updates/treasurers-liability/)
    - (2) Information on misappropriated funds:  
[www.fec.gov/help-candidates-and-committees/keeping-records/misappropriated-funds/](http://www.fec.gov/help-candidates-and-committees/keeping-records/misappropriated-funds/)
    - (3) Policy statements:
      - [Treasurers Subject to Enforcement Proceedings \(January 3, 2005\)](#)
      - [Safe Harbor for Misreporting Due to Embezzlement \(April 5, 2007\)](#)



## FILING REPORTS: RECORDKEEPING AND FILING REQUIREMENTS

# OBJECTIVES

### Basic Provisions

Review basic provisions of the Federal Election Campaign Act



### Filing Reports

Examine recordkeeping and filing requirements



### Compliance Resources

Highlight compliance resources available to candidates and parties



### I. Filing FEC Reports

## Recordkeeping: Receipts

**Contributions over \$50:**

- Date and amount received
- Donor's name and address
- Full-size photocopy/digital image of check

**Contributions aggregate over \$200:**

- Above information plus occupation and employer for individual donors

**A. Recordkeeping requirements (11 CFR [102.8](#) and [102.9](#))**

**1. For receipts**

- a) For any amount, need date received and amount.
- b) Over \$50, name and address of contributor/payor.
- c) Over \$200, above plus occupation and employer.

## Making Best Efforts

- ✓ Request contributor info when soliciting contribution
- ✓ If info missing, make follow-up request within 30 days
- ✓ Amend report to disclose missing information once received



**2. Best efforts ([11 CFR 104.7](#))**

- a) Required to make “best efforts” to obtain, maintain and report required information.
- b) To show “best efforts,” committee must:
  - (1) Request information in solicitation materials, along with applicable disclaimer informing contributors that information is required under federal law;
  - (2) Make follow-up request within 30 days of receipt of contributions lacking required information, keep written documentation of follow-up request (with no additional solicitation made); and
  - (3) Amend reports to disclose information received but not previously disclosed (or include information in memo reports on the next report filed).

All disbursements, record:

- Date and amount of disbursement
- Name and address of payee
- Purpose of disbursement

For contributions:

- Above information, plus candidate's name, state, district and election designation

## Recordkeeping: Disbursements

- 3. For disbursements**
  - a) For any amount, need name of payee, address, purpose, date made.
  - b) For contributions made, also need name of candidate, state, district, and election designation.

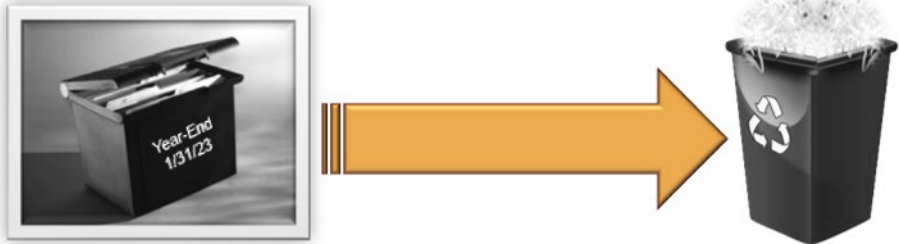
## Recordkeeping

Retain records for three years from the date of the report to which the records relate



# Recordkeeping

Any time after  
January 31, 2026



- 4. **Record retention**  
Retain each record for three years from the date of the report on which it was last disclosed.

## II. Filing Dates for Candidates and Parties ([11 CFR 104.5\(c\)](#))

# Filing FEC Reports

**Candidates  
FEC Form 3**

**Party Committees  
FEC Form 3X**

# Filing FEC Reports

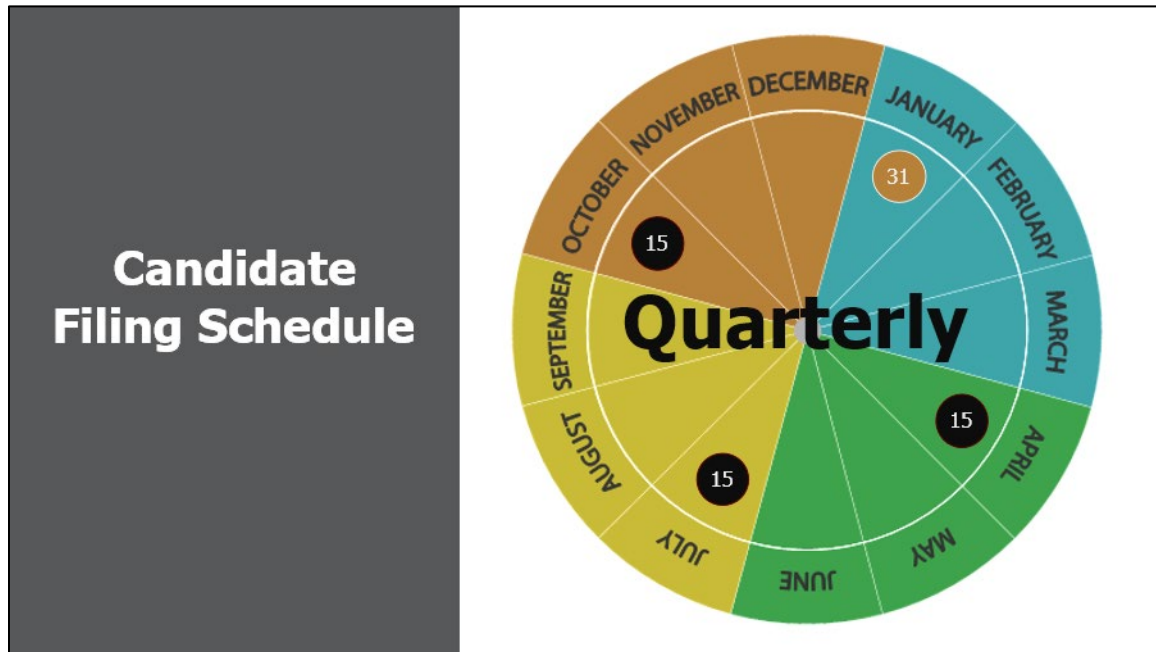
Summary and Detailed Summary Pages  
Disclose totals by category

Common itemization schedules

A = Receipts                      C = Loans  
B = Disbursements              D = Debts

Additional schedules for other categories

**A. Reporting schedule for candidate committees**



**1. Quarterly reports**

- a) Quarterly filing is mandatory for House and Senate campaigns. (Some Presidential committees are required to file monthly in the election year).
- b) Reports due April 15, July 15 and October 15 and January 31.

[www.fec.gov/help-candidates-and-committees/filing-reports/quarterly-reports/](http://www.fec.gov/help-candidates-and-committees/filing-reports/quarterly-reports/)


**2. Non-election year (2023) reporting for candidate committees**

In a non-election (odd numbered) year, campaigns may have additional pre- and post-election reports if involved in a special election.

**3. Election year (2024) reporting for candidate committees**

In an election (even numbered) year, campaigns are required to file pre- and post-election reports if candidate is running in the election (including special elections).

## Additional Filing for 2024



Pre-Primary Reports

- a) **Pre-Primary** (or Pre-Convention/Pre-Runoff, if applicable), due 12 days prior to election.

## Additional Filing for 2024

October 2024							November 2024						
SU	MO	TU	WE	TH	FR	SA	SU	MO	TU	WE	TH	FR	SA
29	30	1	2	3	4	5						1	2
6	7	8	9	10	11	12	3	4	5	6	7	8	9
13	14	15	16	17	18	19	10	11	12	13	14	15	16
20	21	22	23	★ 24	25	26	17	18	19	20	21	22	23
27	28	29	30	31			24	25	26	27	28	29	30

Pre-General Report  
Due October 24

- b) **Pre-General** due 12 days prior to general election.


## Additional Filing for 2024

October 2024							November 2024						
SU	MO	TU	WE	TH	FR	SA	SU	MO	TU	WE	TH	FR	SA
29	30	1	2	3	4	5						1	2
6	7	8	9	10	11	12	3	4	5	6	7	8	9
13	14	15	16	17	18	19	10	11	12	13	14	15	16
20	21	22	23	24	25	26	17	18	19	20	21	22	23
27	28	29	30	31			24	25	26	27	28	29	30

**Post-General Report  
Due December 5**

c) **Post-General** due 30 days after the general election.

## Additional 48-Hour Notices



**Pre-Election Contributions  
≥ \$1,000**



**Additional  
48-Hour Notices**

October 2024							November 2024						
SU	MO	TU	WE	TH	FR	SA	SU	MO	TU	WE	TH	FR	SA
29	30	1	2	3	4	5						1	2
6	7	8	9	10	11	12	3	4	5	6	7	8	9
13	14	15	16	17	18	19	10	11	12	13	14	15	16
20	21	22	23	24	25	26	17	18	19	20	21	22	23
27	28	29	30	31			24	25	26	27	28	29	30

**Covered Period:  
< 20 days, but > 48 hours  
before an election**

4. **48-Hour Notices (FEC Form 6)**  
Reports of “last minute” contributions and/or loans of \$1,000 or more received less than 20 days but more than 48 hours before any election in which the candidate is running.
- a) Filed within 48 hours of campaign's receipt of contribution/loan.
  - b) Report contribution/loan again on next scheduled report.

[www.fec.gov/help-candidates-and-committees/filing-reports/48-hour-notices/](http://www.fec.gov/help-candidates-and-committees/filing-reports/48-hour-notices/)

**B. Reporting schedule for party committees**

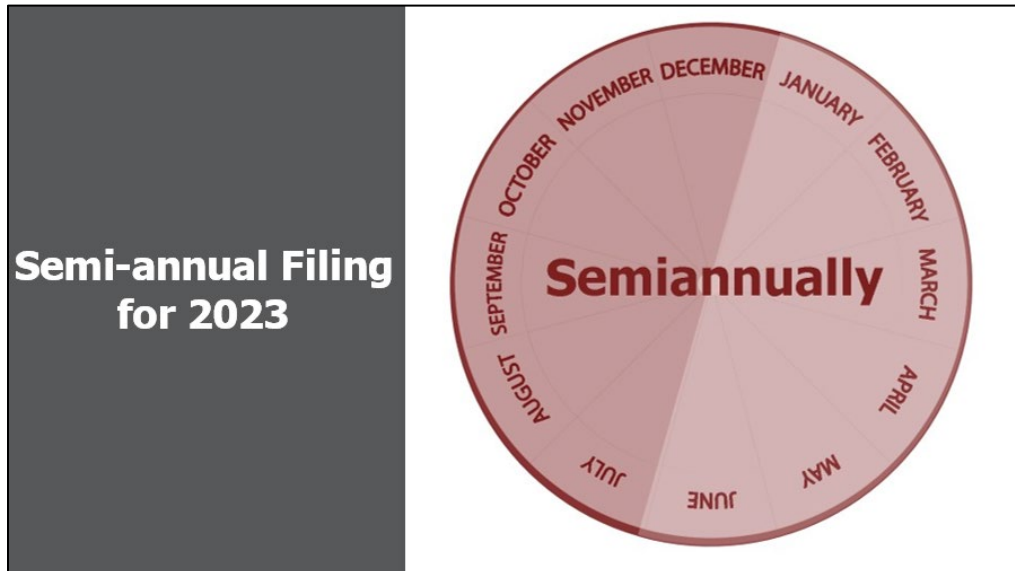
- Most party committees have the option to file quarterly or monthly.
- National party committees and state/local party committees with reportable federal election activity (FEA) must file monthly.

**Parties file monthly or quarterly**

**Monthly Only**

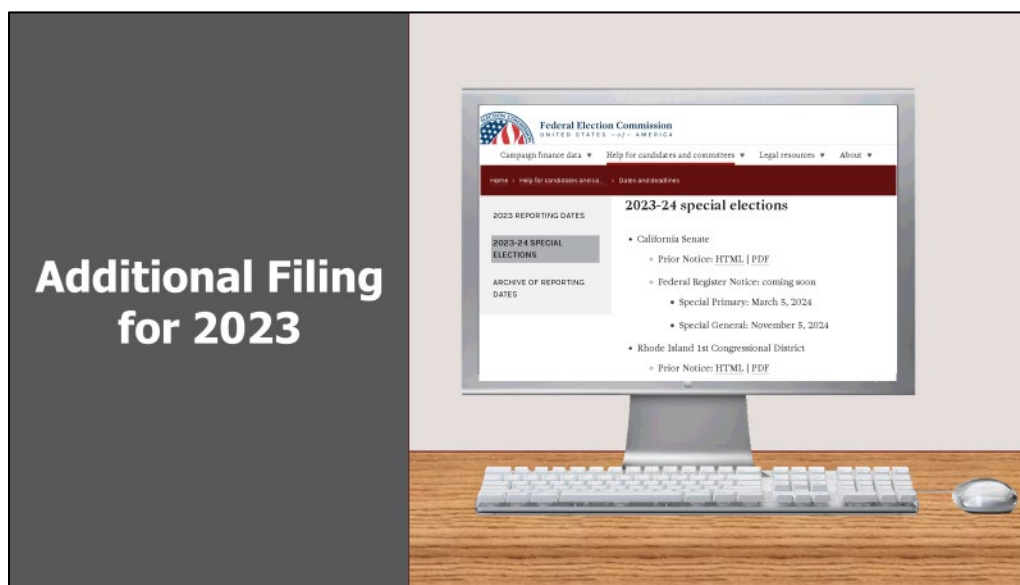
**National Party Committees  
&  
Committees with reportable FEA**

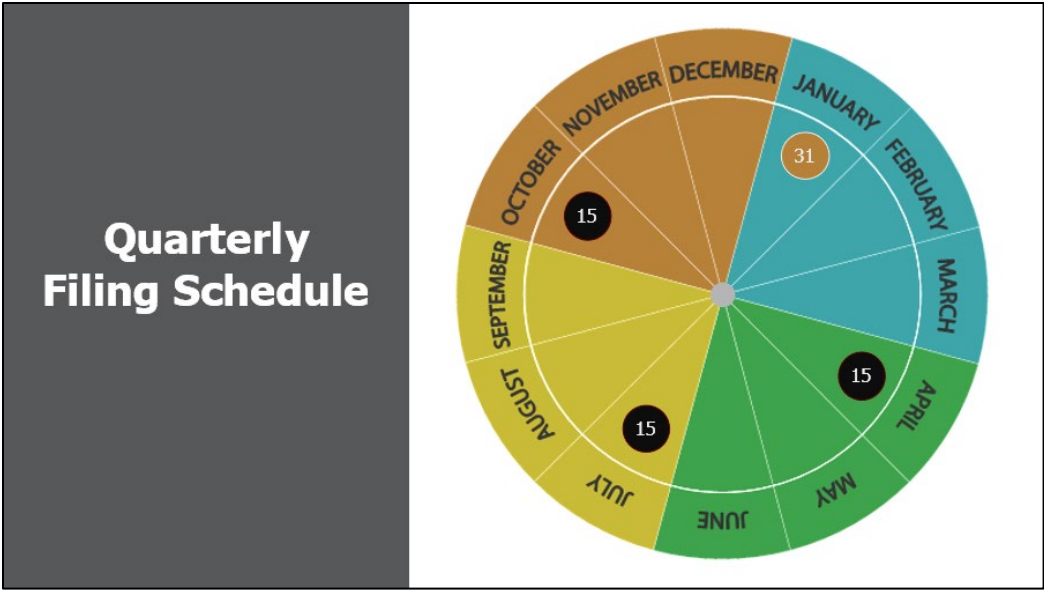
## 1. Quarterly filing party committees



- a) **Non-election year (2023) reporting for quarterly filing party committees.** File reports on semi-annual basis.
- (1) **Mid-Year** covers January 1-June 30, due July 31.
  - (2) **Year-End** covers July 1-December 31, due January 31.
  - (3) **Additional filing.** Pre- and post-election reports may be required if the quarterly-filing committee makes previously undisclosed contributions/expenditures in connection with a special election.

[www.fec.gov/help-candidates-and-committees/filing-political-party-reports/party-committee-semi-annual-filers/](http://www.fec.gov/help-candidates-and-committees/filing-political-party-reports/party-committee-semi-annual-filers/)

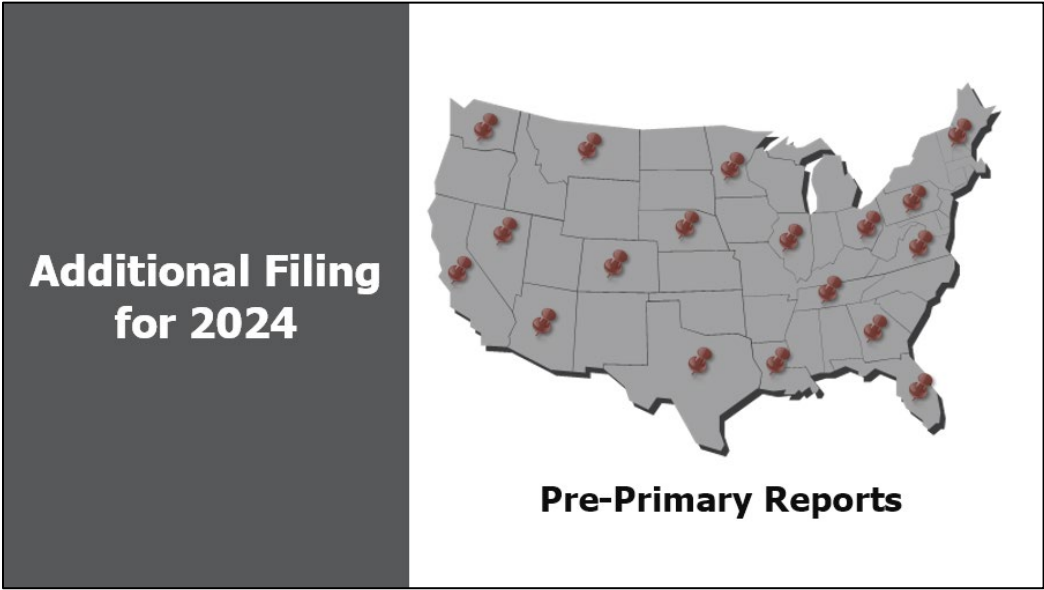




## Quarterly Filing Schedule

- b) **Election year (2024) reporting for quarterly filing party committees.** File reports on quarterly basis.
  - (1) Reports due April 15, July 15, October 15; Post-General (30 days after general election) and January 31.
  - (2) Additional Pre-Primary/Pre-General Reports may be triggered if committee makes previously undisclosed contributions or expenditures.
  - (3) Reporting period always begins the day after close of books of last report filed.

[www.fec.gov/help-candidates-and-committees/filing-political-party-reports/party-committee-quarterly-filers/](http://www.fec.gov/help-candidates-and-committees/filing-political-party-reports/party-committee-quarterly-filers/)



## Additional Filing for 2024

### Pre-Primary Reports

## Additional Filing for 2024

October 2024							November 2024							
SU	MO	TU	WE	TH	FR	SA	SU	MO	TU	WE	TH	FR	SA	
29	30	1	2	3	4	5							1	2
6	7	8	9	10	11	12	3	4	5	6	7	8	9	
13	14	15	16	17	18	19	10	11	12	13	14	15	16	
20	21	22	23	24	25	26	17	18	19	20	21	22	23	
27	28	29	30	31			24	25	26	27	28	29	30	

**Pre-General Report  
Due October 24**

## Additional Filing for 2024

October 2024							November 2024							
SU	MO	TU	WE	TH	FR	SA	SU	MO	TU	WE	TH	FR	SA	
29	30	1	2	3	4	5							1	2
6	7	8	9	10	11	12	3	4	5	6	7	8	9	
13	14	15	16	17	18	19	10	11	12	13	14	15	16	
20	21	22	23	24	25	26	17	18	19	20	21	22	23	
27	28	29	30	31			24	25	26	27	28	29	30	

**Post-General Report  
Due December 5**

2. Monthly filing party committees

**Monthly Reports Due on the 20<sup>th</sup>**

**Monthly Filing for 2023**

- a) **Non-election year (2023) reporting for monthly filing party committees**
  - (1) Reports due on 20<sup>th</sup> of each month.
  - (2) **No additional filing**  
Monthly filers that make contributions or expenditures in connection with special elections continue to file according to the monthly reporting schedule.

[www.fec.gov/help-candidates-and-committees/filing-political-party-reports/party-committee-non-election-monthly-filers/](http://www.fec.gov/help-candidates-and-committees/filing-political-party-reports/party-committee-non-election-monthly-filers/)

**No Special Election Reports**

**Monthly Filing for 2023**


January	February	March
Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31	Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29	Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31
April	May	June
Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31	Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31	Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30
October	November	December
Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31	Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30	Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31

**Monthly Reports  
Due on the 20<sup>th</sup>**

**Monthly Filing  
for 2024**

- b) **Election year (2024) reporting for monthly filing party committees**  
Reports due on 20<sup>th</sup> of each month, except Pre-General and Post-General Reports in lieu of November and December Monthly Reports.

[www.fec.gov/help-candidates-and-committees/filing-political-party-reports/party-committee-monthly-filers/](http://www.fec.gov/help-candidates-and-committees/filing-political-party-reports/party-committee-monthly-filers/)



**No Pre-Primary Reports**

**Monthly Filing  
for 2024**

October 2024							November 2024						
SU	MO	TU	WE	TH	FR	SA	SU	MO	TU	WE	TH	FR	SA
29	30	1	2	3	4	5						1	2
6	7	8	9	10	11	12	3	4	5	6	7	8	9
13	14	15	16	17	18	19	10	11	12	13	14	15	16
20	21	22	23	★ 24	25	26	17	18	19	20	21	22	23
27	28	29	30	31			24	25	26	27	28	29	30

**Pre-General Report**  
(in lieu of November 20)

Additional Filing  
for 2024

October 2024							November 2024						
SU	MO	TU	WE	TH	FR	SA	SU	MO	TU	WE	TH	FR	SA
29	30	1	2	3	4	5						1	2
6	7	8	9	10	11	12	3	4	5	6	7	8	9
13	14	15	16	17	18	19	10	11	12	13	14	15	16
20	21	22	23	24	25	26	17	18	19	20	21	22	23
27	28	29	30	31			24	25	26	27	28	29	30


**Post-General Report**  
(in lieu of December 20)

Additional Filing  
for 2024



3. 24- and 48-Hour Reports of Independent Expenditures

## Additional 24- and 48-Hour Reports



Independent Expenditures

## Additional 24- and 48-Hour Reports

October 2024							November 2024						
SU	MO	TU	WE	TH	FR	SA	SU	MO	TU	WE	TH	FR	SA
29	30	1	2	3	4	5						1	2
6	7	8	9	10	11	12	3	4	5	6	7	8	9
13	14	15	16	17	18	19	10	11	12	13	14	15	16
20	21	22	23	24	25	26	17	18	19	20	21	22	23
27	28	29	30	31			24	25	26	27	28	29	30

Independent Expenditures  
≥ \$10,000 = 48-Hour Report

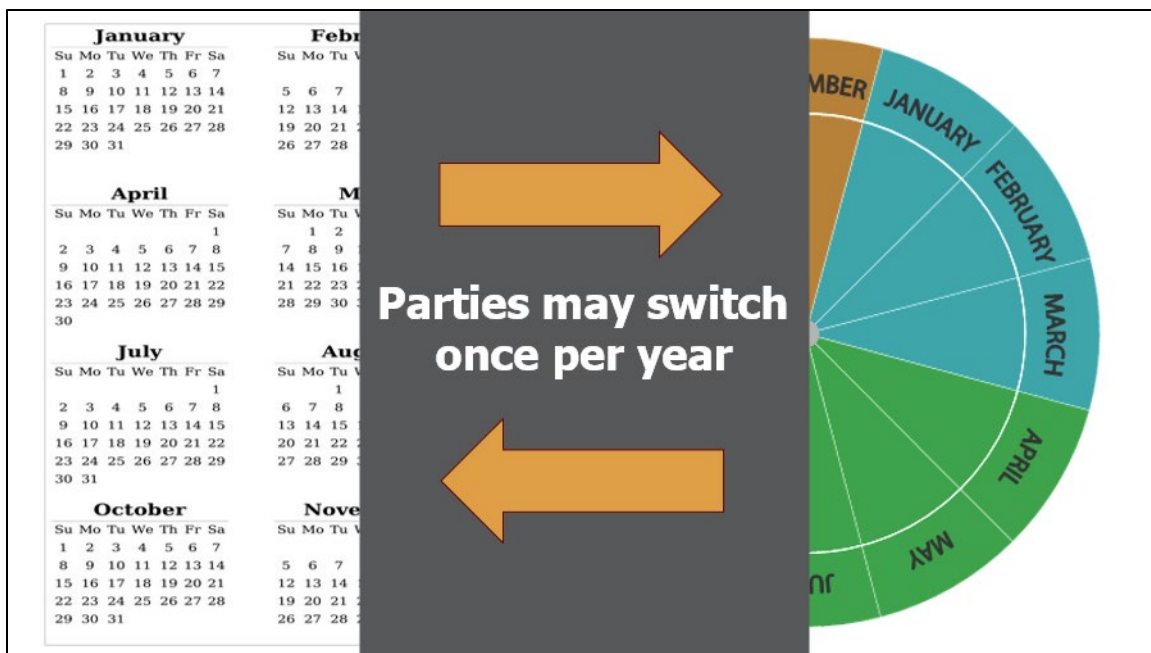
- a) **48-Hour Reports**
  - (1) Through the 20th day before an election, PACs and parties must report independent expenditures aggregating \$10,000 within 48 hours.
  - (2) Report expenditures again on next regular report.

## Additional 24- and 48-Hour Reports

October 2024							November 2024						
SU	MO	TU	WE	TH	FR	SA	SU	MO	TU	WE	TH	FR	SA
29	30	1	2	3	4	5						1	2
6	7	8	9	10	11	12	3	4	5	6	7	8	9
13	14	15	16	17	18	19	10	11	12	13	14	15	16
20	21	22	23	24	25	26	17	18	19	20	21	22	23
27	28	29	30	31			24	25	26	27	28	29	30

**Independent Expenditures  
≥ \$10,000 = 48-Hour Report**

- b) **24-Hour Reports**
- (1) Within 20 days before an election, PACs and parties must report independent expenditures aggregating \$1,000 within 24 hours.
  - (2) Report expenditures again on next regular report.



#### 4. Changing filing schedule

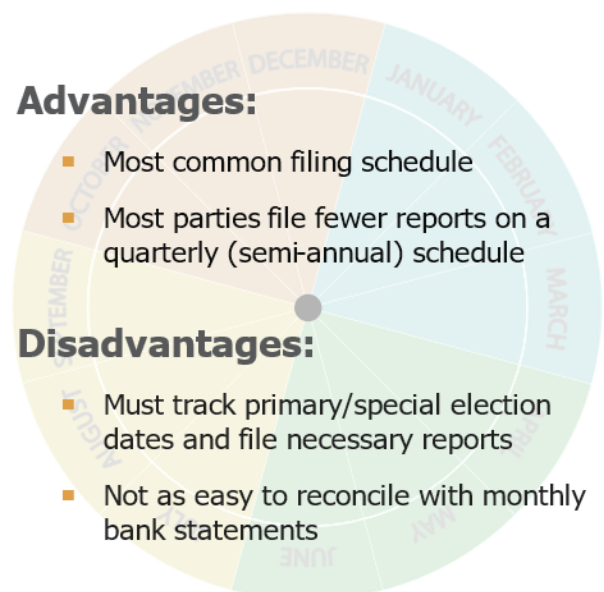
##### a) Timing

- (1) Party committees may change their filing schedule only after notifying the Commission in writing (or electronically, if an e-filer) of their intention. The committee can provide this notification along with a required report filed under the committee's current filing schedule or in a separate Miscellaneous Text Submission (FEC Form 99).
- (2) The committee should wait to receive a letter from the FEC acknowledging its filing frequency change. The committee will then be required to file the next required report under the new filing schedule. However, party committees that engage in reportable federal election activity (FEA) must automatically switch to monthly filing.

##### b) **May only change filing schedule once per calendar year.**

- c) Party committees filing semi-annually in 2023 automatically file quarterly in 2024. No need to notify FEC (unless switching to monthly).

## Pros & Cons Quarterly Filing



**Advantages:**

- Most common filing schedule
- Most parties file fewer reports on a quarterly (semi-annual) schedule

**Disadvantages:**

- Must track primary/special election dates and file necessary reports
- Not as easy to reconcile with monthly bank statements

January	February	March
Su Mo Tu We Th Fr Sa	Su Mo Tu We Th Fr Sa	Su Mo Tu We Th Fr Sa
1 2 3 4 5 6 7	1 2 3 4	1 2 3 4
8 9 10 11 12 13 14	5 6 7 8 9 10 11	5 6 7 8 9 10 11
15 16 17 18 19 20 21	12 13 14 15 16 17 18	12 13 14 15 16 17 18
22 23 24 25 26 27 28	19 20 21 22 23 24 25	19 20 21 22 23 24 25
29 30	26 27 28 29 30	26 27 28 29 30 31

**Advantages:**

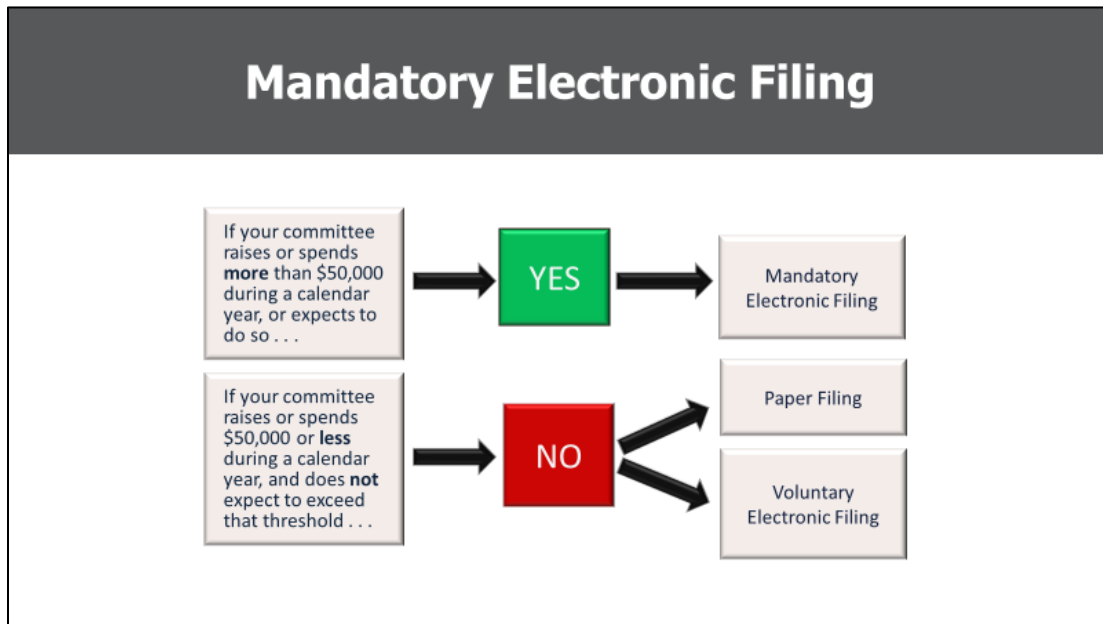
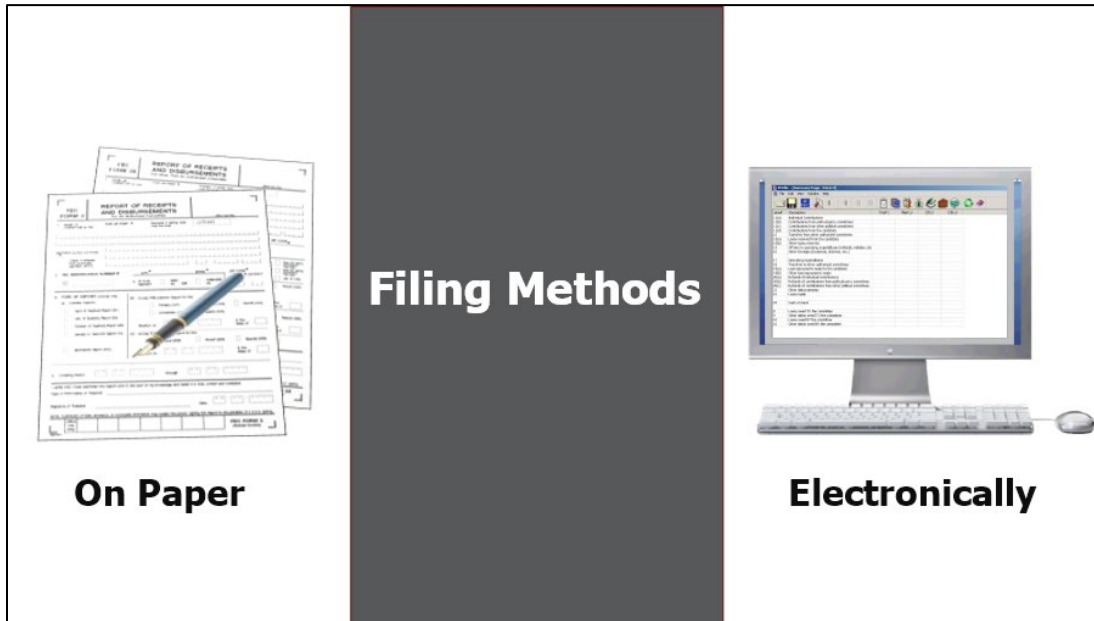
- No need to track primary/special election dates or file reports
- Easier to reconcile with monthly bank statements

**Disadvantages:**

- Most parties file more reports on monthly schedule

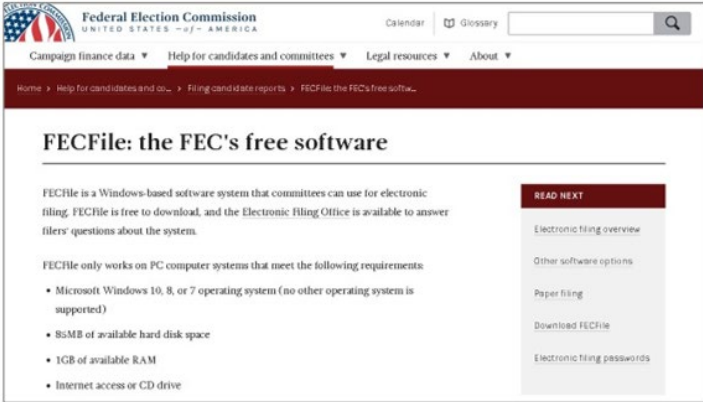
## Pros & Cons Monthly Filing

### III. Other Filing Issues



- A. **Electronic filing ([11 CFR 104.18](#))**
  - 1. **Mandatory v. voluntary**
    - a) **Mandatory:** campaigns, PACs and party committees that raise or spend more than \$50,000 in calendar year or have reason to expect to do so.
    - b) **Voluntary:** All other filers.


# Electronic Filing Software



The screenshot shows the Federal Election Commission website page for 'FECFile: the FEC's free software'. The page includes a navigation menu with 'Campaign finance data', 'Help for candidates and committees', 'Legal resources', and 'About'. The main content area describes FECFile as a Windows-based software system for electronic filing, notes it is free to download, and lists system requirements: Microsoft Windows 10, 8, or 7; 8GB of available hard disk space; 1GB of available RAM; and internet access or CD drive. A 'READ NEXT' sidebar lists links for 'Electronic filing overview', 'Other software options', 'Paper filing', 'Download FECFile', and 'Electronic filing passwords'.

[www.fec.gov/help-candidates-and-committees/filing-reports/fecfile-software/](http://www.fec.gov/help-candidates-and-committees/filing-reports/fecfile-software/)

# Electronic Filing Password



The screenshot shows the Federal Election Commission website page for the 'Electronic Filing Password Assignment System'. The page includes a navigation menu with 'Calendar' and 'Glossary'. The main content area explains who can get a password (registered committees and certain entities) and how to get one (enroll into the system). A 'QUICK LINKS' sidebar lists 'Help', 'Contact the Electronic Filing Office', 'FEC home page', 'Electronic filing', and 'Password Assignment System home'.

[webforms.fec.gov/psa/getstarted.htm](http://webforms.fec.gov/psa/getstarted.htm)

- 2. Passwords
    - a) Required
- Before you can electronically file your report, you will have to obtain a password. You cannot file without one.

- b) **Who can get a password?**  
Only the official treasurer. It is important that the committee has provided a valid email address on its FEC Form 1, as a validation email will be sent to the committee.
  - c) **How do you get a password?**
    - (1) To obtain or change their password on-line:  
[webforms.fec.gov/psa/getstarted.htm](http://webforms.fec.gov/psa/getstarted.htm).
    - (2) Existing committees that have not previously used the on-line system should contact the Electronic Filing Office for assistance at 202-694-1307.
  - 3. **Use updated software**
    - a) Software revised when forms changed – always use the latest version. Auto update feature makes it simple.
    - b) Latest version of FECFile – build 8.4 available for download at [efilingapps.fec.gov/registration/fecfile.htm](http://efilingapps.fec.gov/registration/fecfile.htm).
  - 4. **Paper filing by filer**  
Committees that submit a report on paper that should have been filing electronically will be treated as non-filers and may be subject to enforcement actions (including administrative fines).
  - 5. **For more information:** [www.fec.gov/help-candidates-and-committees/filing-reports/electronic-filing/](http://www.fec.gov/help-candidates-and-committees/filing-reports/electronic-filing/).
- B. Filing amendments required for:**
- 1. **Errors**  
Committee discovers that an earlier report contained erroneous information or mathematical errors.
  - 2. **Disclosure of late information**  
Committee obtains required reporting information concerning a particular transaction after the transaction has been reported.
  - 3. **Response to Request for Additional Information (RFAI)**  
FEC sends email and requests amendment. Response due date appears in upper right corner of RFAI.
  - 4. **Procedures for filing amendments:**
    - a) **Paper filers**  
It is not necessary to resubmit the entire report.
      - (1) Complete the signature page of the Summary Page, checking box indicating that it is an amended report.
      - (2) Attach corrected schedules, if necessary.
      - (3) Attach cover letter explaining change (recommended).
    - b) **Electronic filers**
      - (1) Must submit amendments in electronic format (if original was filed electronically).
      - (2) Amendment must include complete report (as opposed to just the portion requiring an amendment).



**Registered/Certified  
or Overnight Mail**

Keep receipts as  
proof of timely filing

**Paper Filing**

- C. **Reporting considerations for paper filers**
1. **Statute prohibits extensions** (applicable to paper and electronic filers).
  2. **Weekends and holidays**  
Filing dates not extended for weekends or holidays. Must be received on business day preceding filing date.
  3. **Registered vs. overnight mail**
    - a) If filing using USPS registered mail, keep receipt.
    - b) “Overnight Mail” means express or priority mail with a delivery confirmation or an overnight service with an on-line tracking system. File using same terms as certified/registered mail. (Keep receipt.)
    - c) **Zip Code**
      - (1) USPS: 20463
      - (2) Delivery services: 20002



What happens if I  
file my report late?



## Administrative Fines

Civil money penalties for filing late

Size of fine depends several factors, including:

- Proximity to election
- Amount disclosed on report
- Prior violations

### D. Administrative Fine Program (AFP)

[www.fec.gov/legal-resources/enforcement/administrative-fines/](http://www.fec.gov/legal-resources/enforcement/administrative-fines/)

#### 1. Background

Program for assessing civil money penalties for violations for failure to file reports on time and/or at all.

#### 2. Applies to:

- Late filers
- Non-filers
- Regulations found at [11 CFR 111.30-111.45](http://www.ecfr.gov/current/title-11/chapter-I/subchapter-B/part-111.30)

3. **Civil money penalties -- factors in determining:**

The interaction of several factors will determine the size of the penalty (also see calculator on website [www.fec.gov/legal-resources/enforcement/administrative-fines/calculating-administrative-fines/](http://www.fec.gov/legal-resources/enforcement/administrative-fines/calculating-administrative-fines/))

a) **Election sensitivity**

- (1) Election sensitive reports include:
  - October Quarterly of election year,
  - October Monthly of election year, and
  - Pre-election reports for primary, general and special elections.
- (2) All other reports are considered nonsensitive.

b) **Whether committee is a late filer or a non-filer**

(1) **For sensitive reports**

- (a) **Late filer** – when report is filed after the due date but more than four (4) days prior to the election.
- (b) **Non-filer** - report filed after due date and four (4) days or less before the election, or not at all.

(2) **For nonsensitive reports**

- (a) **Late filer** – when report is filed within 30 days after the due date.
  - (b) **Non-filer** – when report is filed 31 or more days after due date, or not at all.
- (3) Can still be considered a “nonfiler” even if report is eventually filed.

c) **Prior civil money penalties for reporting violations under the AFP.**

d) **Financial activity**

- (1) Amount of financial activity in the report – total amount of receipts and disbursements.
- (2) Committees with less than \$50,000 in financial activity during the reporting period in question are subject to reduced penalties.
- (3) Most recent revision to the AFP regulations – [Civil Monetary Penalties Annual Inflation Adjustments \(December 29, 2022\)](http://www.fec.gov/legal-resources/enforcement/administrative-fines/calculating-administrative-fines/).
- (4) Campaign Finance Analysts will not be able to tell you if you will be fined or how much. You can use the administrative fine calculator to estimate your fine: [www.fec.gov/legal-resources/enforcement/administrative-fines/calculating-administrative-fines/](http://www.fec.gov/legal-resources/enforcement/administrative-fines/calculating-administrative-fines/)  
Your committee will be notified in writing if the FEC assesses a civil penalty against your committee under the AFP.

## Best Efforts to File on Time

Committee prevented from filing report on time by reasonably unforeseen circumstances beyond its control

Filed the report no later than 24 hours after end of those circumstances



### E. Timely filing/using best efforts

NOT the same as “best efforts” for obtaining contributor information

1. **Reports required on time;** no extensions.
2. **If report not filed on time,** committees may use “best efforts” defense if committee took normal precautions and trained staff, but failure to report was due to circumstances beyond committee’s control and the late report was filed within 24 hours after those circumstances ended.

## Best Efforts to File on Time

### Committee may use best efforts defense if late filing is due to:

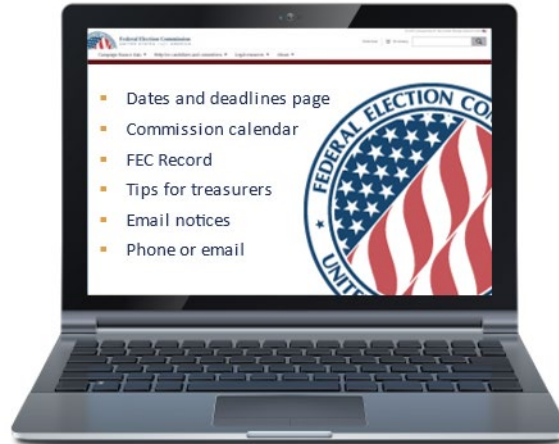
- Severe weather or other disaster-related event
- FEC computer/software failure that tech support cannot resolve
- Widespread disruption of internet transmissions

3. **When can best efforts defense be used:**
- a) Committee may use best efforts defense if failure to report is due to failure of Commission computers or software, despite receiving Commission technical assistance, widespread disruption of information transmissions over the internet, or severe weather or other disaster-related event.

<p><b>Committee prevented from filing report on time by other factors, including:</b></p> <ul style="list-style-type: none"><li>■ Illness, inexperience or unavailability of treasurer or committee staff</li><li>■ Committee computer, software or ISP failures</li><li>■ Delays caused by committee vendors/contractors</li><li>■ Failure to use filing software properly</li></ul>	<p><b>Not Considered Best Efforts</b></p>
---	---

- b) Committee may not use best efforts defense if failure to report is due to unavailability, inexperience or negligence of staff, counsel or organization, failure of committee's computer system, delays caused by vendors, failure to understand or know the law or failure to use filing software properly.
4. **For more information, review:**
- [Final Rules for Best Efforts in Administrative Fines Challenges \(March 29, 2007\)](#) and
  - [Record article \(May 2007\)](#)
  - [Statement of Policy Regarding Treasurers' Best Efforts to Obtain, Maintain, and Submit Information as Required by the Federal Election Campaign Act \(June 7, 2007\)](#) and
  - [Record article \(July 2007\)](#)

## Help with Tracking Deadlines



- F. Finding reporting dates**
1. **Dates and deadlines page:** [www.fec.gov/help-candidates-and-committees/dates-and-deadlines/](http://www.fec.gov/help-candidates-and-committees/dates-and-deadlines/)
  2. **Commission calendar:** [www.fec.gov/calendar/](http://www.fec.gov/calendar/)
  3. **FEC Record:** [www.fec.gov/updates/?update\\_type=fec-record&category=reporting](http://www.fec.gov/updates/?update_type=fec-record&category=reporting)
  4. **Tips for Treasurers:** [www.fec.gov/updates/?update\\_type=tips-for-treasurers](http://www.fec.gov/updates/?update_type=tips-for-treasurers)
  5. **Email notices** sent to address(es) listed on FEC Form 1
  6. **Phone or email:** 800-424-9530; [info@fec.gov](mailto:info@fec.gov)

## IV. Best Practices: Filing

# Best Practices: Filing

Brief Staff/Vendors	Update Software	List Email Address	Respond to RFAIs
			

- Ensure your staff, vendors and counsel understand reporting and filing rules and deadlines.
- Update your software regularly.
- To keep up with filing deadlines, make sure your committee has a current email address on its FEC Form 1 (for receiving courtesy reminders). To do this, submit a complete electronic FEC Form 1 with a new email address.
- Deadlines are also posted online at [www.fec.gov/help-candidates-and-committees/dates-and-deadlines/](http://www.fec.gov/help-candidates-and-committees/dates-and-deadlines/) and in January of each year in the *Record*: [www.fec.gov/updates/?update\\_type=fec-record](http://www.fec.gov/updates/?update_type=fec-record)

## V. Request for Additional Information (RAFI)

**Requests for Additional Info**

April 16, 2023

**Response Due Date**  
5/21/2023

**Response Due**

**Contact Info**


www.fec.gov/help-candidates-and-committees/request-additional-information. Should you have any questions regarding this matter or wish to verify the adequacy of your response, please call our toll-free number (800) 424-9530 (at the prompt press 5 to reach me) or my local number (202) 694-1172.

Sincerely,  
*Jack Baisden*  
Jack Baisden  
Sr. Campaign Finance & Reviewing Analyst

### A. If internal thresholds are met, an RAFI is sent.

1. RAFI has a “Response Due Date” in the upper right hand corner of the letter, extensions are not granted. The committee analyst’s name and contact telephone number are also provided in the letter.
2. **Tip:** You can find out who your analyst is by visiting:  
[www.fec.gov/help-candidates-and-committees/question-rad/](http://www.fec.gov/help-candidates-and-committees/question-rad/)

IS THIS REPORT  NEW (N) OR  AMENDED (A)



Responding to RFAIs

- B. Must amend report when changing information that affects entries on a report.**  
This would include additions, changes or deletions.
- C. Miscellaneous text submission (FEC Form 99)**  
Used for narrative responses that do not affect actual entries within a report. (For example, when outlining procedures for “best efforts” in obtaining contributor information.)

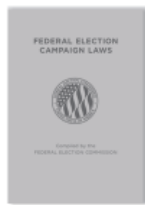


## HIGHLIGHT COMPLIANCE RESOURCES

### OBJECTIVES

#### Basic Provisions

Review basic provisions of the Federal Election Campaign Act



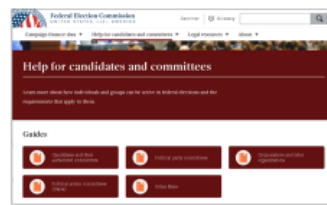
#### Filing Reports

Examine recordkeeping and filing requirements



#### Compliance Resources

Highlight compliance resources available to candidates and parties



### Compliance Help



[www.fec.gov](http://www.fec.gov)

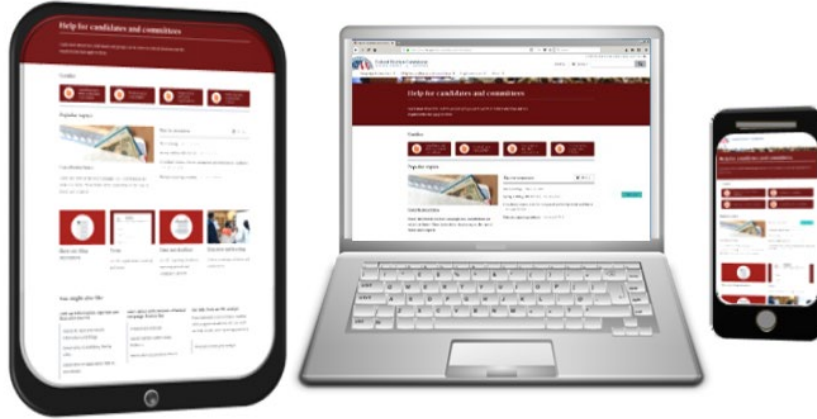


1-800-424-9530



[info@fec.gov](mailto:info@fec.gov)

## Compliance Help



[www.fec.gov/help-candidates-and-committees/](http://www.fec.gov/help-candidates-and-committees/)

## Compliance Help



[www.fec.gov/help-candidates-and-committees/trainings/](http://www.fec.gov/help-candidates-and-committees/trainings/)

## Compliance Help



[www.youtube.com/FECTube](http://www.youtube.com/FECTube)

## Compliance Help



### Subscribe to:

- A specific topic
- Entire categories of information
- Multiple categories
- All subscription items

### Topics include:

- Regulations
- Advisory opinions
- News releases
- Campaign finance data
- FEC outreach programs

[public.govdelivery.com/accounts/USFEC/subscriber/topics?qsp=CODE\\_RED](http://public.govdelivery.com/accounts/USFEC/subscriber/topics?qsp=CODE_RED)

## Compliance Help

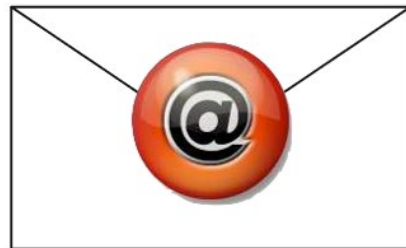
- For e-filing tech support, press 4 for the Electronic Filing Office
- For reporting help, press 5 to reach your RAD Analyst
- For other questions, press 6 for an Information Specialist



## Compliance Help

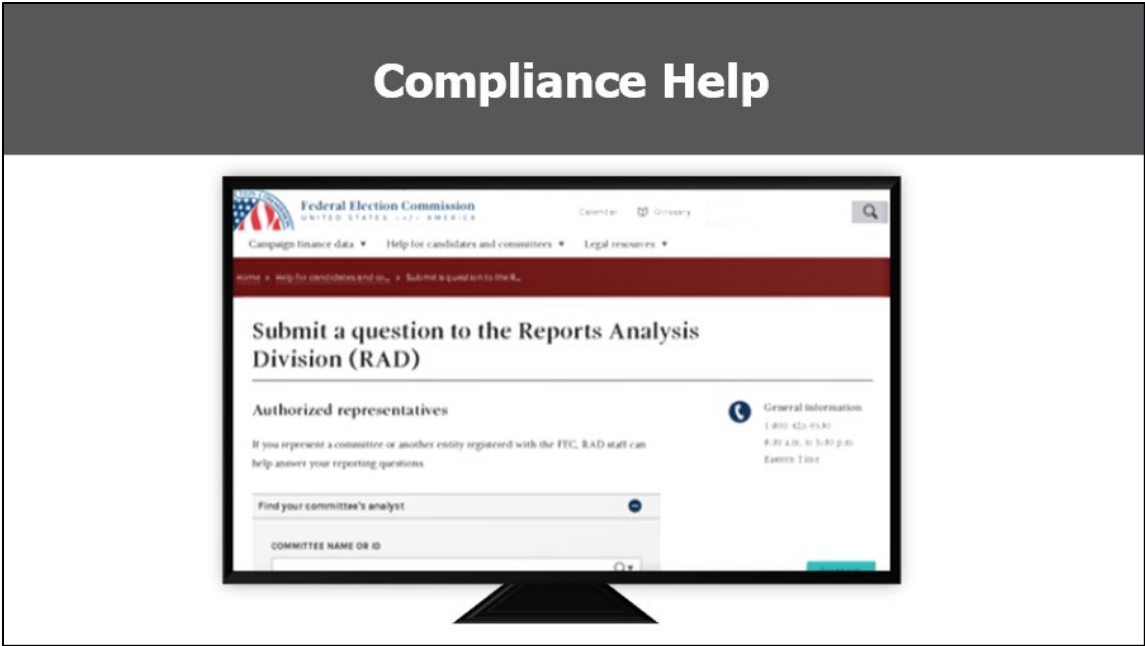


**1-800-424-9530**

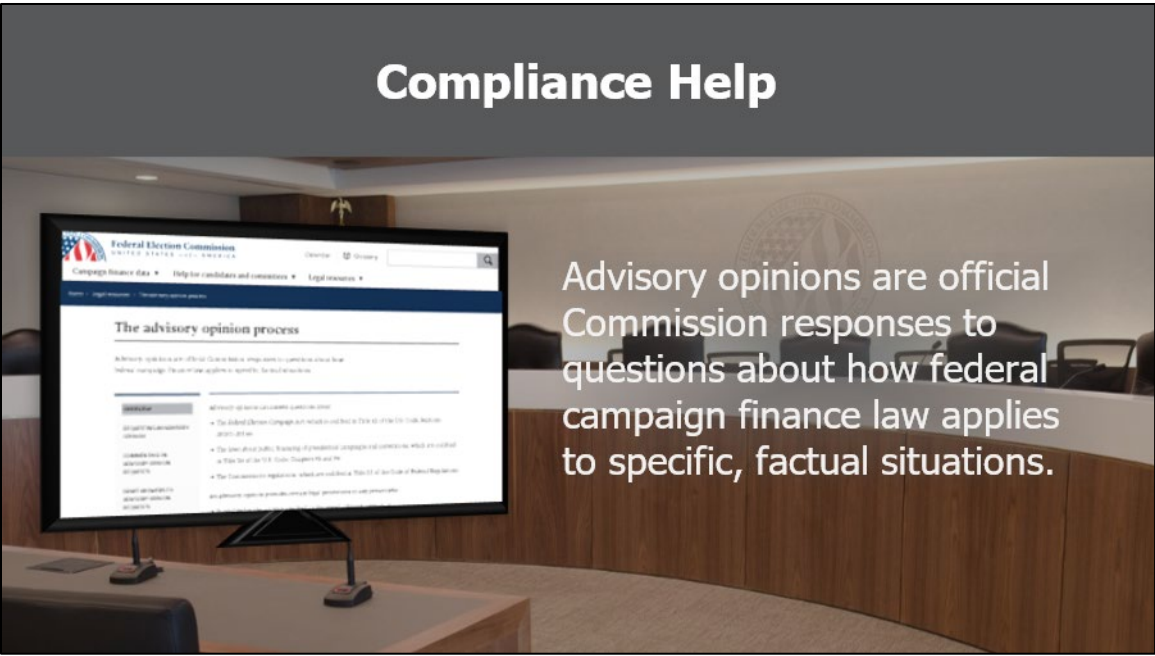


**info@fec.gov**

[info@fec.gov](mailto:info@fec.gov)



[www.fec.gov/help-candidates-and-committees/question-rad/](http://www.fec.gov/help-candidates-and-committees/question-rad/)



Advisory opinions are official Commission responses to questions about how federal campaign finance law applies to specific, factual situations.

[www.fec.gov/legal-resources/advisory-opinions-process/](http://www.fec.gov/legal-resources/advisory-opinions-process/)

## Keep Up with the Latest



Live Commission Meeting Video  
and Recorded Podcast



**Record** FEC Record

Press Releases and Weekly Digest



[www.fec.gov/updates/](http://www.fec.gov/updates/)

**Workshop Evaluation**

Session: Basics for Beginners  
Date: October 25, 2023  
Speakers: Greg Scott

	SCALE				
	1	2	3	4	5
1. How would you rate the workshop overall?					
2. How would you rate the speaker's knowledge of the subject matter?					
3. How would you rate the speaker's delivery of the workshop content?					
4. How would you rate the speaker's responses to questions from the audience?					
5. How would you rate the organization and usefulness of the workshop materials?					

What did you like best about this workshop? Please specify:

What did you like least about this workshop? Please specify:

Are there other topics you would like to see covered in future training events? Please specify:

Other Comments:

[www.fec.gov](http://www.fec.gov) 1-800-624-9120

### Help Us Help You!

Please complete an  
evaluation of this workshop.

**Workshop Evaluation:** <https://www.surveymonkey.com/r/X5TJQFC>