



FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

THIS IS THE BEGINNING OF MUR # 2824

DATE FILMED 12/15/89 CAMERA NO. 4

CAMERAMAN AS

970407/59997



FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

February 13, 1989

MEMORANDUM

TO: LAWRENCE M. NOBLE  
GENERAL COUNSEL

THROUGH: JOHN C. SURINA  
STAFF DIRECTOR

FROM: ROBERT J. COSTA  
ASSISTANT STAFF DIRECTOR  
AUDIT DIVISION

SUBJECT: REFERRAL TO OFFICE OF GENERAL COUNSEL - FINAL  
AUDIT REPORT ON PETE du PONT FOR PRESIDENT

On February 10, 1989, the Commission voted to refer the matter concerning Refunds of Excessive Contributions, appended here as Exhibit A.

Should you have any questions, please contact Cornelia Riley.

Attachment:

Exhibit A - Refunds of Excessive Contributions (including Attachment I, pages 1-4)

Refunds of Excessive Contributions

Section 441a(a)(1)(A) of Title 2 of the United States Code states that no person shall make contributions to any candidate and his authorized political committees with respect to any election for Federal office which, in the aggregate, exceed \$1,000.

Section 103.3(b)(3) of Title 11 of the Code of Federal Regulations states in part that contributions which exceed the contribution limits when aggregated with other contributions from the same contributor may be either deposited into a campaign depository or returned to the contributor. If deposited, the treasurer may request reattribution of the contribution by the contributor. If the reattribution is not obtained, the treasurer shall, within sixty days of the treasurer's receipt of the contribution, refund the contribution to the contributor.

During fieldwork the Audit staff reviewed the contributions refunded by the Committee and noted that for 41 contributors whose excessive portions totaled \$16,041, the Committee did not refund the excessive portions timely. A schedule of these contributions was presented to the Committee at the Exit Conference.

Subsequent to the conclusion of fieldwork, the Committee refunded excessive portions of contributions totaling \$7,216 from 50 contributors and provided documentation to support the reattribution of excessive portions totaling \$650 from 2 contributors. However, of these excessive portions, 16 refunds totaling \$2,972 were not made timely.

Thus, the Committee did not refund in a timely manner excessive portions of contributions totaling \$19,013 (\$16,041 + \$2,972) from 57 (41 + 16) contributors. See Attachment I.

In the interim audit report the Audit staff recommended that the Committee, within 30 calendar days after service of the report, provide an explanation, including an account of any mitigating circumstances, as to why these refunds were not accomplished in a timely manner. The Audit staff stated that further recommendations may be forthcoming.

330407/3991

The Committee acknowledged in the response to the interim audit report that the refunds were not made within 60 days and provided the following explanations for the delays:

1. The Committee identified two periods of time for which refunds of excessive contributions were delayed:
  - a. Late identification of required refunds (made in late January and early February, 1988) resulted from heavy volumes of work relating to a massive direct mail effort in November, 1987.
  - b. Late identification of required refunds (made by the Committee on May 12, 1988) was due to heavy volumes of work subsequent to the candidate's withdrawal when the staff was reduced to a skeletal force.
2. Excessive contributions were delayed in 37 [out of 77 instances of receipt] instances because a second or third contributor record was created for a prior contributor due to a discrepancy in the name, title, suffix or address of the individual.
3. The lack of a unique identifier (such as a social security number) for each contributor makes 100% compliance within the time required virtually impossible for the volume of transactions handled by the Committee.
4. The Committee further contends that the dollar value of the refunds equaled only .000295 (.0295%) of the total private receipts, and that there was no material cash flow advantage gained by the Committee by not refunding the contributions timely.
5. Finally, the Committee states that "...the number of occurrences (0.001357 of contributors) in light of the volume of activity supports the existence of exemplary efforts to comply with FEC guidelines...[and] urges that no penalties or sanctions are appropriate in this case."

With regard to 1.a.) above, the Audit staff reviewed the receipt dates for the contributions related to the late refunds made in January and February 1988. The late refunds made within this time frame resulted from excessive contributions received between March 19, 1987 and October 23, 1987. Therefore the lateness of all of these refunds could not be attributed to the heavy volumes of work relating to a direct mail effort in November, 1987.

With regard to (1.b.), the candidate withdrew on February 18, 1988, and the Audit staff notes that the Committee was making refunds on a regular basis through April 14, 1988. The Committee made no refunds again until May 12, 1988. The late refunds made at this time resulted from 17 excessive contributions received in September 1987 (1), December 1987 (1), January 1988 (3), and early February, 1988 (12). These refunds totaled \$2,472.

With regard to the lack of a unique identifier for each contributor, the Audit staff notes that the Committee used a contributor identification code which was linked to the zip code, last name, first name and middle initial, and street address of the contributor. The Committee response provided an annotated copy of the excessive contributions not refunded timely and indicated 12 such contributions totaling \$3,650 for which a second record for the contributor was created because the contributor was apparently listed under two addresses. The Audit staff was unable to verify this contention.

Finally, the Committee annotated a footnote to one of the late refunds and stated that the refund should not have been made; that "father and son were combined in one record. The father had \$1,000 - the son \$250." The Audit staff reviewed the two contributor checks which the Committee contends were erroneously combined in one record. Both checks (\$250) appeared to be signed by the same person. The contributor checks were drawn on different banks and the contributions were recorded from different addresses by the Committee. The Audit staff, based on the information at hand, is of the opinion that the refund was proper.

#### Conclusion

On February 10, 1989, the Commission voted to refer this matter to the Office of General Counsel.

Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

| <u>Contributor</u>       | <u>Date of Receipt</u> | <u>Date of Refund</u> | <u>Amount</u> |
|--------------------------|------------------------|-----------------------|---------------|
| 1. Agnew III, Franklin   | 07/09/87               | 02/19/88              | \$ 500.00     |
| 2. Andrews III, Mark     | 09/04/87               | 02/02/88              | 500.00        |
| 3. Bissell, Julia A      | 05/27/87               | 12/31/87              | 100.00        |
|                          | 09/18/87               | 12/31/87              | 100.00        |
| 4. Boggs, J. Caleb       | 11/05/87               | 02/19/88              | 100.00        |
| 5. Booth Jr., Otis       | 07/21/87               | 02/19/88              | 500.00        |
| 6. Carpenter, Mary Kaye  | 11/18/87               | 02/19/88              | 100.00        |
| 7. Caspersen, Finn M. W. | 12/01/87               | 03/31/88              | 1,000.00      |
| 8. Craig, Eleanor D.     | 08/12/87               | 01/29/88              | 125.00        |
|                          | 06/09/87               | 01/29/88              | 6.00          |
|                          | 05/12/87               | 01/29/88              | 250.00        |
| 9. Cunningham Jr., C.C.  | 07/01/87               | 12/31/87              | 250.00        |
| 10. Dayton, Douglas      | 08/07/87               | 02/02/88              | 1,000.00      |
| 11. Dupont, Victor M.    | 07/17/87               | 11/23/87              | 200.00        |
| 12. Falk Jr., Leon       | 07/02/87               | 02/24/88              | 250.00        |
|                          | 07/14/87               | 02/24/88              | 60.00         |
| 13. Garstin, Ann N.      | 11/04/87               | 02/23/88              | 100.00        |
| 14. Gaul, George B.      | 07/16/87               | 02/19/88              | 75.00         |
|                          | 10/19/87               | 02/19/88              | 40.00         |
|                          | 11/06/87               | 02/19/88              | 40.00         |
| 15. Guffey, Roy          | 09/25/87               | 12/31/87              | 500.00        |
| 16. Hannum, Nancy P.     | 08/25/87               | 02/02/88              | 1,000.00      |
|                          | 06/05/87               | 02/02/88              | 25.00         |

870407/0994

Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

|     | <u>Contributor</u>       | <u>Date of<br/>Receipt</u> | <u>Date of<br/>Refund</u> | <u>Amount</u> |
|-----|--------------------------|----------------------------|---------------------------|---------------|
| 17. | Healy, James V.          | 07/08/87                   | 02/02/88                  | \$ 250.00     |
| 18. | Hipp, Francis M.         | 08/07/87                   | 02/24/88                  | 200.00        |
| 19. | Hotchkis,<br>Preston B.  | 06/26/87                   | 02/05/88                  | 250.00        |
| 20. | Irving, Louise R.        | 05/05/87                   | 09/17/87                  | 100.00        |
|     |                          | 03/27/87                   | 11/24/87                  | 10.00         |
|     |                          | 09/17/87                   | 01/29/88                  | 10.00         |
| 21. | Jennings Jr.,<br>Earl F. | 09/10/87                   | 02/02/88                  | 100.00        |
| 22. | Jones, Virginia          | 06/26/87                   | 10/19/87                  | 750.00        |
| 23. | Kaiser, Robert J.        | 08/12/87                   | 01/29/88                  | 250.00        |
| 24. | Kirlin, John J.          | 06/24/87                   | 10/27/87                  | 100.00        |
| 25. | Laird III,<br>Walter J.  | 08/03/87                   | 02/02/88                  | 100.00        |
| 26. | Layton, Rodney M.        | 06/11/87                   | 01/29/88                  | 100.00        |
|     |                          | 06/02/87                   | 01/29/88                  | 250.00        |
|     |                          | 06/24/87                   | 01/29/88                  | 750.00        |
| 27. | Lenher, Samuel           | 03/19/87                   | 02/05/88                  | 150.00        |
| 28. | MacLean, Barry           | 07/14/87                   | 02/02/88                  | 250.00        |
|     |                          | 09/25/87                   | 02/02/88                  | 500.00        |
| 29. | McHugh, Marie L.         | 03/31/87                   | 02/02/88                  | 100.00        |
| 30. | Mulcahy, Charles C.      | 06/03/87                   | 02/24/88                  | 100.00        |
| 31. | Nichols, Miller          | 03/23/87                   | 07/29/87                  | 250.00        |

Peté du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

|     | <u>Contributor</u>          | <u>Date of<br/>Receipt</u> | <u>Date of<br/>Refund</u> | <u>Amount</u> |
|-----|-----------------------------|----------------------------|---------------------------|---------------|
| 32. | O'Neill, Bertram            | 07/21/87                   | 01/29/88                  | \$ 500.00     |
| 33. | Piasecki,<br>Vivian W.      | 07/01/87                   | 02/25/88                  | 250.00        |
| 34. | Pingree Jr., Sumner         | 10/06/87                   | 02/05/88                  | 250.00        |
| 35. | Purnell, Marguerite         | 07/24/87                   | 11/20/87                  | 250.00        |
| 36. | Schutt, C. Porter           | 08/14/87                   | 02/02/88                  | 500.00        |
| 37. | Sedgwick,<br>Alice DeForest | 10/23/87                   | 01/29/88                  | 350.00        |
| 38. | Simpson, Walton H.          | 06/16/87                   | 02/02/88                  | 250.00        |
| 39. | Sinness, Lester S.          | 05/15/87                   | 01/29/88                  | 500.00        |
| 40. | Steinman, James A.          | 10/23/87                   | 01/29/88                  | 250.00        |
|     |                             | 10/23/87                   | 01/29/88                  | 100.00        |
|     |                             | 10/30/87                   | 01/29/88                  | 200.00        |
|     |                             | 10/07/87                   | 01/29/87                  | 500.00        |
| 41. | Hamilton,<br>Crawford M.    | 03/02/87                   | 06/30/87                  | 250.00        |
|     |                             | 10/07/86                   | 06/30/87                  | 150.00        |
|     |                             | 10/22/86                   | 06/30/87                  | 175.00        |
|     |                             | 10/24/86                   | 06/30/87                  | 175.00        |
| 42. | Avery, Alice O.             | 01/29/88                   | 05/12/88                  | 100.00        |
| 43. | Babbitt, Jane               | 02/09/88                   | 05/12/88                  | 100.00        |
|     |                             | 02/08/88                   |                           | 20.00         |
| 44. | Campbell,<br>Roberta R.     | 02/05/88                   | 05/12/88                  | 50.00         |
| 45. | Chapman, Hortense           | 02/04/88                   | 05/12/88                  | 192.00        |

300407 / 0000

Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

| <u>Contributor</u>           | <u>Date of Receipt</u> | <u>Date of Refund</u> | <u>Amount</u>      |
|------------------------------|------------------------|-----------------------|--------------------|
| 46. Cook, Marietta           | 02/08/88               | 05/12/88              | \$ 150.00          |
|                              | 02/01/88               |                       | 150.00             |
| 47. Drha, Frank              | 02/01/88               | 05/12/88              | 50.00              |
| 48. Evans, Raymond F.        | 02/05/88               | 05/12/88              | 250.00             |
| 49. Frank, Curtiss E.        | 01/19/88               | 05/12/88              | 100.00             |
| 50. Maclean, Mary Ann        | 09/25/87               | 05/12/88              | 250.00             |
| 51. McCoy, Sallie C.         | 02/02/88               | 05/12/88              | 200.00             |
| 52. Miller, Donald P.        | 02/05/88               | 05/12/88              | 500.00             |
| 53. Mudge, Elizabeth         | 02/09/88               | 05/12/88              | 50.00              |
| 54. Silliman, Mark W.        | 12/31/87               | 05/12/88              | 10.00              |
| 55. Singer, Alain R.         | 02/04/88               | 05/12/88              | 250.00             |
| 56. Wallace, Hal             | 01/07/88               | 05/12/88              | 50.00              |
| 57. Eakin-Burdette,<br>Carol | 02/04/88               | 06/02/88              | <u>500.00</u>      |
| Total                        |                        |                       | <u>\$19,013.00</u> |



## FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

December 15, 1988

MEMORANDUM

TO: LAWRENCE M. NOBLE  
GENERAL COUNSEL

THROUGH: JOHN C. SURINA  
STAFF DIRECTOR

FROM: ROBERT J. COSTA  
ASSISTANT STAFF DIRECTOR  
AUDIT DIVISION

SUBJECT: FINAL AUDIT REPORT ON  
PETE du PONT FOR PRESIDENT

Attached for your review and consideration are the final audit report and a copy of the narrative portion of the Committee's response to the interim report.

Included as Exhibits A and B are two Title 2 matters addressed in the interim audit report which the Audit staff recommends, based on the Commission approved, be referred to your office: Exhibit A, Refunds of Excessive Contributions, has been removed from the report; Exhibit B, Allocation of Expenditures to States, has been removed from the Title 2 section and has been incorporated into the Title 26 Finding, Use of Funds for Non-Qualified Campaign Expenses.

Based on the Committee's response, the Audit staff has adjusted the allocable amount of telephone toll charges to Iowa. Accordingly, the revised amount of expenditures paid in excess of the Iowa state expenditure limitation has been reduced to \$77,447.42. The Audit staff has recommended at Finding III.B., Use of Funds for Non-Qualified Campaign Expenses, that the Commission make an initial determination that the pro-rata portion of this amount (\$23,254.83) be repaid to the U.S. Treasury.

Finally, the NOCO presentation has been revised to reflect the adjustments made relative to the aforementioned non-qualified campaign expenses.

MEMORANDUM TO LAWRENCE M. NOBLE  
Page 2

If you have any questions, please contact Cornelia Riley or  
Alex Boniewicz at 376-5320.

Attachments:    Report of the Audit Division on Pete du Pont  
                  for President

                  Response of Pete du Pont for President to the  
                  Interim Report of the Audit Division

                  Exhibit A:    Refunds of Excessive Contributions

                  Exhibit B:    Allocation of Expenditures to States

cc: The Commissioners

3 3 0 4 0 7, / 1 9 9 9



FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

REPORT OF THE AUDIT DIVISION  
ON  
PETE du PONT FOR PRESIDENT

I. Background

A. Overview

This report is based on an audit of Pete du Pont for President ("the Committee") to determine whether there has been compliance with the provisions of the Federal Election Campaign Act of 1971, as amended ("the Act") and the Presidential Primary Matching Payment Account Act. The audit was conducted pursuant to 26 U.S.C. § 9038(a) which states that "after each matching payment period, the Commission shall conduct a thorough examination and audit of the qualified campaign expenses of every candidate and his authorized committees who received payments under section 9037."

In addition, 26 U.S.C. § 9039(b) and 11 C.F.R. § 9038.1(a)(2) state, in relevant part, that the Commission may conduct other examinations and audits from time to time as it deems necessary.

The Committee registered with the Federal Election Commission on June 3, 1986. The Committee maintains its headquarters in Wilmington, Delaware.

The audit covered the period from the Committee's inception, June 3, 1986, through March 31, 1988. During this period, the Committee reported an opening cash balance of \$-0-, total receipts of \$8,806,472.84, total disbursements of \$8,736,410.05, and a closing cash balance of \$70,062.79. In addition, certain financial activity was reviewed through April 30, 1988 for purposes of determining the Committee's remaining matching fund entitlement based on its net outstanding campaign obligations. Under 11 C.F.R. § 9038.1(e)(4), additional audit work may be conducted and addenda to this report issued as necessary.

This report is based upon documents and workpapers which support each of its factual statements. They form part of the record upon which the Commission based its decisions on the matters in the report and were available to Commissioners and appropriate staff for review.

### B. Key Personnel

The Treasurer of the Committee during the period reviewed was Mr. Frank A. Ursomarso.

### C. Scope

The audit included such tests as verification of total reported receipts, disbursements and individual transactions; review of required supporting documentation; analysis of Committee debts and obligations; review of contribution and expenditure limitations; and such other audit procedures as deemed necessary under the circumstances.

## II. Findings and Recommendations Related to Title 2 of the United States Code

### A. Itemization of Expenditures

Section 434(b)(5)(A) of Title 2 of the United States Code states that each report shall disclose the name and address of each person to whom an expenditure in an aggregate amount or value in excess of \$200 within the calendar year is made by the reporting committee to meet a candidate or committee operating expense, together with the date, amount, and purpose of such operating expenditure.

During a review of expenditures, the Audit staff noted that the Committee failed to itemize on Schedule B-P two expenditures totaling \$75,966.38 relative to the 1987 Year-end report. This amount was included in reported disbursements on the Committee's Detailed Summary Page, however, a Schedule B-P disclosing these items was omitted from the 1987 Year-end report.

In addition, the Audit staff determined that for 23 itemized expenditures, totaling \$868,943.72, the Committee failed to itemize all required information.

Finally, the Audit staff noted a discrepancy of (\$224,421.55) between the reported total of itemized expenditures and the calculated total of the itemized expenditures for the Schedule B-P's provided with the January 1988 report. The Committee apparently reported payments to a payroll service and the related payroll checks and tax payments, issued by the payroll service. The Committee explained that it had inadvertently failed to annotate as memo entries (non-additive) items totaling \$224,421.55 related to payroll.

During the Exit Conference held on May 6, 1988, Committee officials seemed receptive to filing amended reports to correct the discrepancies noted above.

3704071

In the interim audit report the Audit staff recommended that the Committee, within 30 calendar days after service of the report, file amendments (1) to disclose the two unitemized expenditures noted, (2) to correct and complete the disclosure on the 23 items noted, and (3) to disclose correctly the expenditures to a payroll service on the January 1988 report as memorandum entries.

The Committee filed amendments on November 7, 1988 and December 1, 1988 \*/ correcting the discrepancies noted above.

#### Recommendation #1

The Audit staff recommends that, despite the untimely filing of the amendments, no further action be taken on this matter.

#### B. Itemization of Interest Received

Section 434(b) (3) (G) of Title 2 of the United States Code states that each report shall disclose the identification of each person who provides any dividend, interest or other receipt to the reporting committee in an aggregate value or amount in excess of \$200 within the calendar year, together with the date and amount of any such receipts.

The term "Person" is defined at 2 U.S.C. § 431 (11) as an individual, partnership, committee, association, corporation, labor organization, or any other organization or group of persons. Identification is defined at 2 U.S.C. § 431 (13) (B) to mean, in the case of any person, other than an individual, the full name and address of such person.

The Audit staff's review of interest earned by the Committee revealed that 12 transactions totaling \$19,114.03 were not itemized on Schedule A-P relative to the 1986 October Quarterly, 1986 Year-end, 1987 April Quarterly, and 1987 July Quarterly reports.

At the Exit Conference, the Committee officials agreed to file amendments to correct the public record.

In the interim audit report the Audit staff recommended that the Committee, within 30 calendar days after service of the report, file amendments itemizing the receipts noted above.

---

\*/ The Committee was granted a 30 day extension to November 4, 1988 to respond to the interim audit report.

The Committee filed amendments, received November 7, 1988, itemizing the interest receipts noted above.

Recommendation #2

The Audit staff recommends no further action on this matter.

C. Matters Referred to the Office of General Counsel

Certain matters noted during the audit have been referred to the Commission's Office of General Counsel.

III. Findings and Recommendations Related to Title 26 of the United States Code

A. Calculation of Repayment Ratio

Sections 9038(b)(2) of Title 26 of the United States Code states, in part, that if the Commission determines that any amount of any payment made to a candidate from the matching fund account was used for purposes other than to defray qualified campaign expenses, it shall notify such candidate of the amount so used, and the candidate shall pay to the Secretary an amount equal to such an amount.

Section 9038.2(b)(2)(iii) of Title 11 of the Code of Federal Regulations states that the amount of any repayment sought under this section shall bear the same ratio to the total amount determined to have been used for non-qualified campaign expenses as the amount of matching funds certified to the candidate bears to the total amount of deposits of contributions and matching funds as of the candidate's date of ineligibility.

The formula and its application with respect to the Committee's receipt activity is as follows:

$$\frac{\text{Total Matching Funds Certified Through Date of Ineligibility 2/18/88}}{\text{Numerator + Private Contributions Received through 2/18/88}} =$$

$$\frac{\$2,298,064.54}{\$7,653,436.93} = .300266$$

Thus, the repayment ratio for non-qualified campaign expenses is 30.0266%.

B. Use of Funds for Non-Qualified Campaign Expenses

Section 9035(a) of Title 26 of the United States Code states, in part, that no candidate shall knowingly incur qualified campaign expenses in excess of the expenditure limitations applicable under section 441a(b)(1)(A) of Title 2.

Section 9038.2(b)(2)(i)(A) of Title 11 of the Code of Federal Regulations provides, in part, that the Commission may determine that amount(s) of any payments made to a candidate from the matching payment account were used for purposes other than to defray qualified campaign expenses. Section 9038.2(b)(2)(ii)(A) of Title 11 of the Code of Federal Regulations states that an example of a Commission repayment determination under paragraph (b)(2) of this section includes determinations that a candidate, a candidate's authorized committee(s) or agents have made expenditures in excess of the limitations set forth in 11 C.F.R. § 9035.

Sections 441a(b)(1)(A) and 441a(c) of Title 2 of the United States Code provide, in part, that no candidate for the office of President of the United States who is eligible under Section 9033 of Title 26 to receive payments from the Secretary of the Treasury may make expenditures in any one State aggregating in excess of the greater of 16 cents multiplied by the voting age population of the State, or \$200,000, as adjusted by the change in the Consumer Price Index.

Section 106.2(a)(1) of Title 11 of the Code of Federal Regulations states, in part, that expenditures incurred by a candidate's authorized committee(s) for the purpose of influencing the nomination of the candidate for the office of the President with respect to a particular State shall be allocated to that State. An expenditure shall not necessarily be allocated to the State in which the expenditure is incurred or paid.

Section 110.8(c)(2) of Title 11 of the Code of Federal Regulations states that for State limitations, expenditures for fundraising activities targeted at a particular State and occurring within 28 days before that state's primary election, convention or caucus shall be presumed to be attributable to the expenditure limitation for that State.

During fieldwork, the Audit staff identified a project used by the Committee involving a telemarketing and mail program ("the Program"). Discussions with Committee officials and a review of Committee records made available indicated that the Program operated out of the Committee's headquarters in Wilmington, Delaware primarily from June, 1987 through February, 1988.

The Program was a computer-based system which appears to have accommodated up to 35 telephone stations. Each station accessed one of six predominately used scripts through a CRT screen linked to an automatic dial feature used in placing calls. The operator, using a headset, would work through the screen script inputting responses received from the person contacted. When the call was completed an in-house mailing was automatically generated, if needed. The Program appears to have been operated mainly during evening and weekend hours employing, on a part time basis, two shifts of operators.

The Audit staff reviewed the Committee's expenditure files for the vendors that could be identified as part of the Program and calculated apparent Program costs totaling \$745,439.24.

The Audit staff then reviewed the Committee's allocation of expenditures to states to determine the extent to which these Program costs were allocated to Iowa. The Audit staff determined that \$117,606.04<sup>\*/</sup> in Program costs were allocated to Iowa. The following table provides a detailed comparison of identified Program costs and costs allocated to Iowa by the Committee:

|                              | <u>Total<br/>Identified<br/>Program Costs</u> | <u>Program<br/>Costs Allocated<br/>by Committee</u> | <u>Program<br/>Costs Allocated<br/>by Audit</u> |
|------------------------------|-----------------------------------------------|-----------------------------------------------------|-------------------------------------------------|
| Telephone                    | \$157,833.32                                  | \$ 21,378.00                                        | \$101,436.29                                    |
| Computer & related services  | 171,792.26                                    | 2,880.00                                            | 42,747.59                                       |
| Rent & utilities             | 28,396.39                                     | ---                                                 | 6,708.29                                        |
| Payroll                      | 277,371.62                                    | 72,243.79                                           | 197,858.73                                      |
| Postage                      | 97,202.18                                     | 17,020.78                                           | 17,020.78                                       |
| Wiring installation          | 8,760.00                                      | ---                                                 | 5,694.00                                        |
| Miscellaneous <sup>**/</sup> | <u>4,083.47</u>                               | <u>4,083.47</u>                                     | <u>4,083.47</u>                                 |
| Totals                       | <u>\$745,439.24</u>                           | <u>\$117,606.04</u>                                 | <u>\$375,549.15</u>                             |

<sup>\*/</sup> Committee allocation workpapers indicated that \$134,293.95 had been allocated to Iowa with respect to the Program. However, the Audit Staff reduced this amount by \$16,687.91 which represented an overallocation made by the Committee in applying the 28 Day Rule. It should be noted that the Committee's overall allocation to Iowa has been adjusted accordingly.

<sup>\*\*/</sup> Based on Committee allocation workpapers and documentation made available, costs included in this category could not be directly associated with any of the other categories noted.

During this review it became apparent to the Audit staff that the Program focused to a large extent on Iowa. A March 23, 1987 memorandum from a consultant, directed to Committee representatives, outlined in a fairly detailed fashion the consultant's understanding of the "goals and objectives for the du Pont telemarketing and mail program." Although Committee officials did not acknowledge that this plan was the basis of their telemarketing program, the Audit staff is of the opinion that the basic components of this plan with respect to the telemarketing effort directed at Iowa were implemented by the Committee and indicate a focus on Iowa.

Second, a review of the billings by the long distance telecommunications company used by the Committee for the Program indicated that the majority of the calls were to Iowa. During the period June, 1987 to February, 1988, the Committee incurred \$157,171.32 for the Program's long distance service, or about \$17,500 per month. A review of the bills for the above mentioned period indicated that the costs of calls made to Iowa comprised from 48% to 90% of the cost of all calls made. Further analysis of the cost, the number, and the length of calls, indicates that the Program was used primarily in the evenings, during which hours the calls were directed almost exclusively at Iowa.

Finally, the auditors reviewed all scripts considered for use in the Program by the Committee. Of the 28 scripts reviewed, at least 11 seemed to be targeted at Iowa. The Committee provided an explanatory letter dated May 12, 1988, along with copies of six scripts that according to the Committee were used almost exclusively in the telemarketing program during the period 6/87 through 12/87, and copies of letters <sup>\*</sup>/ mailed as a result of the response to each script. One of these scripts was a poll, four of the scripts appear political in nature with no appeal for contributions and the final script did contain a fundraising appeal. In all six scripts the text appears specifically directed at Iowa by virtue of the caucus or debate in Iowa being mentioned at some point.

The Committee's letter of May 12, 1988 notes that of these scripts, only two were not fundraising in nature. The Committee's position with respect to the scripts was that money could not be raised from people who did not know or support their issues. The Committee provided, as further support that these scripts were used extensively, workpapers detailing the days and number of calls made daily with respect to each of the scripts.

---

<sup>\*</sup>/ Of the five follow-up letters mailed as a result of the scripts, three included appeals for contributions.

As noted in their May 12, 1988 letter the Committee's position is that the rent, HVAC (utilities) and computer rental "were correctly reported as national office overhead, consistent with the treatment of other computer and office rental within the campaign headquarters...and...both...were used Monday through Friday 7 a.m. to 5 p.m. by both the Legal and Accounting operation and the Direct Mail and Event Fundraising staffs." Further, expenses associated with payroll, telephone, postage, and software were charged directly "to either fundraising, the Iowa allocation or Exempt Legal/Accounting as appropriate."

As noted above, the Audit staff calculated the apparent cost of the Program to be \$745,439.24, while the Committee only allocated \$117,606.04, or about 16% of identified Program costs to Iowa, although it is apparent that the Program focused on Iowa. The Audit staff also noted that as of April 30, 1988, according to the State Allocation Report, FEC Form 3P, page 3, the Committee had allocated expenditures totaling \$616,010.80 to the Iowa limitation of \$775,217.60. The Audit staff's review of expenditures allocated to Iowa determined this figure to be materially correct, except as noted with respect to the Program.

Based on the Audit staff's review of the information and documentation made available, it is our opinion that the following Program costs, totaling \$375,549.15, require allocation to Iowa.

o Program Costs Within the 28 Day Rule

The Audit staff reviewed Program costs occurring within 28 days of the Iowa caucus and determined that \$52,709.67 in telephone, rent, utilities, payroll and computer related services should have been allocated to Iowa. As stated in the Committees' letter, dated May 12, 1988, for the period subsequent to January 1, 1988, expenses were allocated 100% against the Iowa limitation due to the "FEC regulation eliminating the Fundraising Exemption within 28 days of a primary election." The Audit staff reviewed Committee allocation workpapers with respect to the Program and determined, based on the information available, that the Committee allocated \$41,500.04 in salary, phone and miscellaneous Program costs to Iowa.

o Program Costs outside the 28 Day Rule

The Audit staff reviewed Program costs occurring outside of the 28 day rule and determined that \$322,839.48 in telephone, rent, utilities, payroll, computer related services, postage, wiring and miscellaneous costs should have been allocated to Iowa. Based upon the scripts and telephone logs provided as part of the Committee's May 12, 1988 letter, it was

determined that \$86,378.48 in long distance telecommunication charges and \$168,339.00 in payroll costs with respect to the Program should have been allocated to Iowa. With respect to rent and utilities, the Audit staff determined that, based on the hours of operation as provided by the Committee in their letter dated May 12, 1988, \$5,713.70 in expenditures should have been allocated to Iowa. The Audit staff determined that \$35,610.05 in computer related Program costs should have been allocated to Iowa. Finally, the Audit staff determined that postage totaling \$17,020.78; wiring installation costs of \$5,694 and miscellaneous costs totaling \$4,083.47 should have been allocated to Iowa. The Audit staff's review of Committee workpapers indicated that \$76,106 in salary, phone, postage, supplies and computer related costs with respect to the Program were allocated to Iowa.

The following recap and analysis was provided with respect to the Iowa state expenditure limitation in the interim audit report:

Telemarketing Program costs allocable to Iowa per the Audit staff:

|                     |                   |              |
|---------------------|-------------------|--------------|
| Within 28 Day Rule  | \$ 52,709.67      |              |
| Outside 28 Day Rule | <u>322,839.48</u> | \$375,549.15 |

Less Program costs allocated by the Committee:

|                     |                  |                       |
|---------------------|------------------|-----------------------|
| Within 28 Day Rule  | \$ 41,500.04     |                       |
| Outside 28 Day Rule | <u>76,106.00</u> | ( <u>117,606.04</u> ) |

|                                                       |              |
|-------------------------------------------------------|--------------|
| Additional Program costs requiring allocation to Iowa | \$257,943.11 |
|-------------------------------------------------------|--------------|

|                                                                  |                   |
|------------------------------------------------------------------|-------------------|
| Expenditures allocated to Iowa per Committee FEC Form 3P, page 3 | <u>616,010.80</u> |
|------------------------------------------------------------------|-------------------|

|                                         |              |
|-----------------------------------------|--------------|
| Expenditures subject to Iowa limitation | \$873,953.91 |
|-----------------------------------------|--------------|

|                                                         |                       |
|---------------------------------------------------------|-----------------------|
| Less: 2 U.S.C. Section 441(a) State Spending Limitation | ( <u>775,217.60</u> ) |
|---------------------------------------------------------|-----------------------|

|                                                  |                     |
|--------------------------------------------------|---------------------|
| Total Expenditures in Excess of State Limitation | <u>\$ 98,736.31</u> |
|--------------------------------------------------|---------------------|

In the interim audit report the Audit staff recommended that within 30 calendar days after service of the report the Committee provide evidence showing that it has not exceeded the limitation as set forth above. Absent such a showing, the Audit staff recommended that the Committee adjust its records to reflect the expenditures allocated in Iowa, and where necessary file amended reports to reflect the correct amount allocable to Iowa.

In addition, the Audit staff recommended that the Committee provide a detail listing for all vendors related to the telemarketing program and an itemization of all associated costs incurred with respect to each vendor. Such costs include those incurred with respect to development and implementation of the telemarketing program.

#### Analysis of Committee Response

The Committee filed its response on November 4, 1988.\*/ In its response, the Committee stated that it believes the Audit staff's conclusions are incorrect and offered its reasons in support of this position. Each of the topical areas addressed by the Committee are discussed in the following paragraphs.

##### 1. The Telemarketing Effort was a Fundraising Program

The Committee contends that the Program "was conceived and implemented by the campaign as a significant fundraising effort." According to the Committee's response, the Audit staff mischaracterized the Program for three fundamental reasons: (a) misplaced reliance on a memorandum from a consultant; (b) a failure to understand the program's Iowa focus; and (c) a failure to comprehend modern campaign fundraising.

With respect to (a), the Committee submitted an affidavit from the deputy campaign manager which specifically stated that the memorandum from the consultant was not adopted as the campaign's telemarketing plan and that fundraising was a prime objective of telemarketing.

---

\*/ The Committee requested a 60 day extension in which to respond to the interim audit report. The Commission granted a 30 day extension to November 4, 1988.

In the Audit staff's opinion, the Committee's contention that "misplaced reliance" existed on the part of the Audit staff is without merit. Although this report refers to the March 23, 1987 memorandum, our conclusion "that the basic components of this plan with respect to the telemarketing effort directed at Iowa were implemented by the Committee and indicate a focus on Iowa" (Report, page 7) is based, as stated in the report, on our review of documentation for expenditures related to the telemarketing effort. The Committee's contention that the consultant's proposal was not adopted does not, in the Audit staff's opinion, change or require revision to the Audit staff's conclusion that a significant telemarketing effort was directed at the voting age population in Iowa.

Concerning the Committee's assertion regarding the Program's Iowa focus (item (b)), the Committee argues that the Audit's staff position "fails to recognize the uniqueness of circumstances surrounding an 'underdog' campaign. An unknown candidate must focus first on Iowa, to present his positions, to become known, and to raise funds to support these efforts. Momentum from success in Iowa permits the candidate to be a factor in New Hampshire." The Committee further states that [since] "Iowa voters could be educated, and would have a stake in the election because of their participation in the early caucuses. That stake would cause them to contribute...once they knew the candidate."

The Audit staff does not dispute the Committee's position that a person is not likely to contribute to a candidate about whom he or she knows little. Nor does the Audit staff necessarily disagree with the Committee's statement that the Iowa caucuses and the New Hampshire primary are the beginning and the end for most campaigns. However for the Committee to then conclude "For an unknown like Pete du Pont, it is essential to raise funds in those states, because those are the states in which he is becoming known" seems more appropriate in support of an attempt to influence a candidate's chances of a win or reputable position in the Iowa caucuses or New Hampshire primary rather than a justification that it is essential to that end to raise funds in these two states and thus the telemarketing effort should be viewed as primarily a fundraising program. Extending this rationale, it would seem that virtually any method utilized to educate potential voters could be viewed as having a fundraising purpose. If this position were accepted, only expenses relative to those activities occurring within 28 days of the caucus/primary would even be subject to allocation to a state's expenditure limitation. It does not appear that the limited fundraising exemption was intended to be interpreted along these lines.

The Committee's third point (item (c)) is an attempt to identify similarities between "sophisticated telemarketing" and "traditional direct mail." The Committee provides as an example a situation where a phone call is made and, based on the response/exchange concerning issues without a solicitation being mentioned, a follow-up solicitation is sent. The Committee made the decision "to give Iowans multiple opportunities to know the candidate and the issues, and only then to ask for funds." The Committee's position is simply that both the phone call and the follow-up solicitation should be viewed as components of a single fundraising appeal. The total costs as such would be considered fundraising and not allocable to a state limit, unless occurring within 28 days of the election. The Committee states correctly that the Audit staff viewed the expenses related to the phone calls as separate and distinct from any follow-up mailings <sup>\*</sup>/ which may have occurred. Further, the Audit staff viewed as fundraising-related phone calls only those calls made outside the 28 days for which the script used actually contained a solicitation of funds. The Audit staff's position, based on the information submitted by the Committee, remains unchanged in this regard.

## 2. Expenses for Rent, Computer Equipment and Wiring

The Committee contends that the headquarters expenses for rent, computer expenses, and wiring allocated to Iowa by the Audit staff are general overhead expenses and not allocable to Iowa under 11 C.F.R. § 106.2(c)(1)(i) and § 106.2(b)(2)(iv). These sections, in relevant part, define overhead expenses as rent, utilities, equipment and telephone service base charges, and exempt from allocation [such] operating expenditures incurred for administrative, staff, and overhead expenditures of the national campaign headquarters.

Section 106.2(a) of 11 C.F.R. provides the general authority under which expenditures (including overhead) should be allocated to States. The Audit staff is of the opinion that the exemption from State allocation of overhead expenses granted by 11 C.F.R. § 106.2(c)(1)(i) extends to operating expenses of the national campaign headquarters and does not exempt operating expenses of a specific program focused on a particular State simply because it was directed out of the national office. In addition, 11 C.F.R. § 106.2(b)(2)(iv)(B) states that "overhead expenditures of a committee regional office or any committee office (emphasis added) with responsibilities in two or more States shall be allocated to each state on a reasonable and

---

<sup>\*</sup>/ The costs of any follow-up mailings were not charged to the Iowa limit outside 28 days before the election.

uniformly applied basis. An extension of the Committee's position - that overhead expenses relating to the telemarketing program are not allocable - would permit campaigns to avoid allocation of overhead expenses related to focused programs to any state simply by operating the programs from national headquarters. The Audit staff is of the opinion that the exemption from allocation of overhead expenditures by the national campaign headquarters was not intended to include allocable expenses of focused programs operated from the headquarters office. The Audit staff further notes that if the telemarketing program was performed on the premises of a vendor or if the vendor rented extra space and/or equipment to perform the services, then all the charges for space, equipment, and installation would have been built into the fee charged. Therefore the Audit staff's position, that all expenses relevant to the focused extent of the telemarketing program are allocable expenses, remains unchanged.

### 3. Payroll

The Committee contends that the Audit staff understated the payroll expenses already allocated by the Committee by \$7,684. The Audit staff notes that this amount is the difference between allocable payroll expenses not included in the Committee's allocation figure and an overallocation of payroll made by the Committee. Because the overallocation made by the Committee was adjusted by the Audit staff for the full amount in the interim audit report (p.6, \*/ footnote) no further adjustment should be made.

### 4. Telephone Charges

The Committee also contends that the Audit staff's calculation for telephone toll charges to Iowa is incorrect. The Committee stated that it sampled charges within the time frame used by the telemarketing program and, based on the sampling data, determined that an average of \$34.18 per day in toll charges were unrelated to the telemarketing program. The Committee asserts that the allocation made by the Audit staff is overstated by \$8,372.76. The Committee's allocation figures in the Response appear to be derived from the total charges for night and weekend tolls to all area codes less \$34.18 per day (estimated non-telemarketing evening and weekend charges). Furthermore, the Committee did not provide the Audit staff the documentation used in the sampling process.

The Audit staff recognizes the probability that all calls to Iowa were not telemarketing related. Therefore the Audit staff has revised the gross amount of calls to Iowa and has reduced these amounts by credits and a business use (presumed non-telemarketing) percentage. The Audit staff based the business use reduction on the percentage of the toll charges made during business hours relative to the total toll charges. This percentage reduction was applied only to the calls made to Iowa, not to the total evening/weekend tolls. The Audit staff applied an average business use reduction percentage to the Iowa tolls for the month of February because the Committee acknowledged that some daytime calling was made during this period. These Audit staff adjustments have reduced the allocable amount from \$101,436.29 to \$81,173.80. This reduction of \$20,262.49 is reflected in the revised telemarketing program costs allocable to Iowa per the Audit staff. In addition, allocation of wiring installation, based on the allocable percentage of telephone costs, has been reduced accordingly from \$5,694 to \$4,667.60.

##### 5. Application of Advisory Opinion 1988-6

In the alternative the Committee suggests that Advisory Opinion 1988-6 is applicable to the telemarketing program. The Advisory Opinion allowed 50% of the cost of a television advertisement to be allocated to exempt fundraising. The Committee states that "In that opinion, the Commission concluded that a three-second visual listing, 'Vote - Volunteer - Contribute,' plus a voice-over giving a phone number for contributors to call..would permit the allocation of 50% of the ad's cost to exempt fundraising." The Committee further asserts that a greater percentage of the du Pont telemarketing program was directed to fundraising than the corresponding fundraising percentage of time used for fundraising in the television advertisement.

The Committee contends that "telemarketing fundraising has multiple components, which combine to produce results...[and] the audit report treats the phone call and the mailing as two separate events, rather than two components of a fundraising package, and considers the phone call not to be part of the fundraising effort." The Audit staff's discussion and rejection of the Committee's rationale that the telemarketing program was basically a fundraising program and thereby subject to a fundraising exemption was discussed under paragraph (1) of this section.

The Audit staff is of the opinion that the Advisory Opinion 1988-6 applies only to a specific factual situation - a television commercial - and does not extend beyond the specifics of that case. Both the political issue and solicitation request was contained within one message, whereas the du Pont telemarketing program sought political interest first and then addressed solicitation requests from identified supporters. The Audit staff notes that it did not allocate the costs of any of the follow-up letters sent by the Committee to Iowa outside 28 days before the election.

Finally, the Committee presented in its response an allocation of telemarketing program expenses based on a 50% exemption for fundraising. The Audit staff notes that certain figures used in the Committee's analysis of allocable costs based on a 50% fundraising exemption are incorrect. In one case, the figure shown did not represent total cost, but rather only the non-fundraising portion as determined by the Audit staff. In another instance, the Committee did not include total costs within 28 days of the election. The Audit staff did not perform a detailed analysis of the Committee's figures because the Advisory Opinion exemption does not appear to apply to this program.

### Conclusion

Based on the Audit staff's review of the Committee's response to the interim audit report and the information and documentation made available, it is our opinion that the following Program costs, totaling \$354,260.26 require allocation to Iowa.

|                             | <u>Total<br/>Identified<br/>Program Costs</u> | <u>Program<br/>Costs Allocated<br/>by Committee</u> | <u>Program<br/>Costs Allocated<br/>by Audit</u> |
|-----------------------------|-----------------------------------------------|-----------------------------------------------------|-------------------------------------------------|
| Telephone                   | \$157,833.32                                  | \$ 21,378.00                                        | \$ 81,173.80                                    |
| Computer & related services | 171,792.26                                    | 2,880.00                                            | 42,747.59                                       |
| Rent & utilities            | 28,396.39                                     | ---                                                 | 6,708.29                                        |
| Payroll                     | 277,371.62                                    | 72,243.79                                           | 197,858.73                                      |
| Postage                     | 97,202.18                                     | 17,020.78                                           | 17,020.78                                       |
| Wiring installation         | 8,760.00                                      | ---                                                 | 4,667.60                                        |
| Miscellaneous*/             | <u>4,083.47</u>                               | <u>4,083.47</u>                                     | <u>4,083.47</u>                                 |
| <b>Totals</b>               | <u><b>\$745,439.24</b></u>                    | <u><b>\$117,606.04</b></u>                          | <u><b>\$354,260.26</b></u>                      |

\*/ Based on Committee allocation workpapers and documentation made available, costs included in this category could not be directly associated with any of the other categories noted.

The following recap and analysis, as revised for reduced telephone toll charges and wiring installation, is provided with respect to the Iowa state expenditure limitation:

Revised Telemarketing Program costs allocable to Iowa per the Audit staff:

|                                                                  |                   |                                  |
|------------------------------------------------------------------|-------------------|----------------------------------|
| Within 28 Day Rule                                               | \$ 50,358.13      |                                  |
| Outside 28 Day Rule                                              | <u>303,902.13</u> | \$354,260.26                     |
| Less Program costs allocated by the Committee:                   |                   |                                  |
| Within 28 Day Rule                                               | \$ 41,500.04      |                                  |
| Outside 28 Day Rule                                              | <u>76,106.00</u>  | <u>(117,606.04)</u>              |
| Additional Program costs requiring allocation to Iowa            |                   | \$236,654.22                     |
| Expenditures allocated to Iowa per Committee FEC Form 3P, page 3 |                   | <u>616,010.80</u>                |
| Expenditures subject to Iowa limitation                          |                   | \$852,665.02                     |
| Less: 2 U.S.C. Section 441 (a) State Spending Limitation         |                   | <u>(775,217.60)</u>              |
| Revised Total Expenditures in Excess of State Limitation         |                   | <u>\$ 77,447.42<sup>*/</sup></u> |

As noted above, the Audit staff determined that the Committee has exceeded the expenditure limitation in Iowa by \$77,447.42. The amount subject to repayment is calculated below:

|                                                           |                                 |
|-----------------------------------------------------------|---------------------------------|
| Amount in excess of the Iowa State Expenditure Limitation | \$77,447.42                     |
| Times the Repayment Ratio from III.A.                     | <u>.300266</u>                  |
| Repayment Amount                                          | <u>\$23,254.83<sup>*/</sup></u> |

<sup>\*/</sup> Total is based on limited vendor information. The Committee did not respond to the recommendation that it provide a detail listing for all vendors related to the Program.

Recommendation #3

The Audit staff recommends that the Commission make an initial determination that the pro rata portion of \$23,254.83 (\$77,447.42 x .300266) be repaid to the U.S. Treasury in accordance with 11 C.F.R. §§ 9038.2(c) and (d).

C. Statement of Net Outstanding Campaign Obligations

Section 9034.5(a) of Title 11 of the Code of Federal Regulations requires that the candidate submit a Statement of Net Outstanding Campaign Obligations ("NOCO Statement") which contains, among other items, the total of all outstanding obligations for qualified campaign expenses as of the candidate's date of ineligibility and an estimate of necessary winding down costs within 15 days of the candidate's date of ineligibility.

On February 18, 1988, Pete du Pont announced that he had withdrawn from the race for the Republican nomination for President of the United States. Pursuant to 11 C.F.R. § 9033.5(a), that is the date Mr. du Pont's candidacy terminated for the purpose of incurring qualified campaign expenses.

The Committee submitted their original NOCO Statement on March 3, 1988 and has continued to submit revised NOCO Statements with each matching fund submission.

The Audit staff reviewed the NOCO Statement dated February 18, 1988 for financial activity through April 30, 1988. This review included verification of cash, accounts receivable, capital assets, other assets, accounts payable for qualified campaign expenses, and actual and estimated winding down costs.

Presented below is the Audit staff's analysis of the Committee's NOCO Statement as of February 18, 1988.

Audit Analysis of Committee's  
NOCO Statement as of February 18, 1988 a/  
as determined on April 30, 1988

Assets

|                          |                  |
|--------------------------|------------------|
| Cash on Hand             | \$ 200.00        |
| Cash in Bank             | 341,052.28       |
| Deposits and Receivables | 93,289.84        |
| Capital Assets           | <u>17,280.00</u> |

Total Assets

\$451,822.12

Obligations

|                                                        |              |
|--------------------------------------------------------|--------------|
| Accounts payable for<br>Qualified Campaign<br>Expenses | \$408,832.11 |
| Accounts payable for<br>contribution refunds           | 2,962.00     |

Winddown Costs - Actual  
2/19/88 to  
4/30/88

|                          |                   |
|--------------------------|-------------------|
| Salaries                 | \$34,808.24       |
| Miscellaneous            | 10,845.78         |
| Operating<br>non-payroll | <u>159,767.09</u> |
|                          | 205,421.11        |

Amount of non-  
qualified campaign  
expenses (in excess  
of Iowa limitation)  
included above

(61,518.18) b/

Winddown Costs -  
Estimated  
5/1/88 to  
2/28/89

|                             |                  |
|-----------------------------|------------------|
| Salaries                    | \$160,783.07     |
| Consulting                  | 21,000.00        |
| Legal fees -<br>Texas       | 100,000.00       |
| Occupancy                   |                  |
| Operating<br>Costs          | 17,460.00        |
| Office<br>Supplies          | 2,500.00         |
| Equipment<br>Rental         | 8,612.00         |
| Computer/Data<br>Processing | 10,800.00        |
| Fundraising                 | <u>15,000.00</u> |
|                             | 336,155.07       |

Total Obligations

\$891,852.11

Net Outstanding Campaign  
Obligations (Deficit)  
as of 2/18/88

\$ (440,029.99)

a/ February 18, 1988 is the date determined by the Commission to be the Candidate's date of ineligibility for purposes of incurring qualified campaign expenses.

b/ Under 11 C.F.R. § 9034.4(b)(2), an expenditure which is in excess of any of the limitations under 11 C.F.R. Part 9035 shall not be considered a qualified campaign expense, which precludes such expenditures from inclusion in the NOCO presentation as set forth at 11 C.F.R. § 9034.5.

800407/4011

Shown below is an adjustment for private contributions, interest and matching funds received during the period 2/19/88 to 4/30/88, the most current financial information available at the close of fieldwork.

|                                                              |                           |
|--------------------------------------------------------------|---------------------------|
| Net Outstanding Campaign Obligations (Deficit) as of 2/18/88 | \$(440,029.99)            |
| Net Private Contributions                                    | 177,536.10                |
| Matching Funds Received                                      | 238,740.39                |
| Interest Received                                            | <u>3,438.61</u>           |
| Remaining Entitlement as of April 30, 1988                   | \$( <u>20,314.89</u> ) */ |

As of April 30, 1988, the Committee has not received matching fund payments in excess of its entitlement. Additional fieldwork may be required to assess the impact of future financial activity on the NOCO deficit.

---

\*/ The Committee received its final matching fund payment of \$11,711.56 on May 26, 1988, and reported \$4,663.41 in individual contributions during May 1988. Therefore, the Committee appears not to have exceeded its entitlement. =

3 9 0 4 0 7 / 0 1 3

Refunds of Excessive Contributions

Section 441a(a)(1)(A) of Title 2 of the United States Code states that no person shall make contributions to any candidate and his authorized political committees with respect to any election for Federal office which, in the aggregate, exceed \$1,000.

Section 103.3(b)(3) of Title 11 of the Code of Federal Regulations states in part that contributions which exceed the contribution limits when aggregated with other contributions from the same contributor may be either deposited into a campaign depository or returned to the contributor. If deposited, the treasurer may request reattribution of the contribution by the contributor. If the reattribution is not obtained, the treasurer shall, within sixty days of the treasurer's receipt of the contribution, refund the contribution to the contributor.

During fieldwork the Audit staff reviewed the contributions refunded by the Committee and noted that for 41 contributors whose excessive portions totaled \$16,041, the Committee did not refund the excessive portions timely. A schedule of these contributions was presented to the Committee at the Exit Conference.

Subsequent to the conclusion of fieldwork, the Committee refunded excessive portions of contributions totaling \$7,216 from 50 contributors and provided documentation to support the reattribution of excessive portions totaling \$650 from 2 contributors. However, of these excessive portions, 16 refunds totaling \$2,972 were not made timely.

Thus, the Committee did not refund in a timely manner excessive portions of contributions totaling \$19,013 (\$16,041 + \$2,972) from 57 (41 + 16) contributors. See Attachment I.

In the interim audit report the Audit staff recommended that the Committee, within 30 calendar days after service of the report, provide an explanation, including an account of any mitigating circumstances, as to why these refunds were not accomplished in a timely manner. The Audit staff stated that further recommendations may be forthcoming.

The Committee acknowledged in the response to the interim audit report that the refunds were not made within 60 days and provided the following explanations for the delays:

1. The Committee identified two periods of time for which refunds of excessive contributions were delayed:
  - a. Late identification of required refunds (made in late January and early February, 1988) resulted from heavy volumes of work relating to a massive direct mail effort in November, 1987.
  - b. Late identification of required refunds (made by the Committee on May 12, 1988) was due to heavy volumes of work subsequent to the candidate's withdrawal when the staff was reduced to a skeletal force.
2. Excessive contributions were delayed in 37 [out of 77 instances of receipt] instances because a second or third contributor record was created for a prior contributor due to a discrepancy in the name, title, suffix or address of the individual.
3. The lack of a unique identifier (such as a social security number) for each contributor makes 100% compliance within the time required virtually impossible for the volume of transactions handled by the Committee.
4. The Committee further contends that the dollar value of the refunds equaled only .000295 (.0295%) of the total private receipts, and that there was no material cash flow advantage gained by the Committee by not refunding the contributions timely.
5. Finally, the Committee states that "....the number of occurrences (0.001357 of contributors) in light of the volume of activity supports the existence of exemplary efforts to comply with FEC guidelines...[and] urges that no penalties or sanctions are appropriate in this case."

With regard to 1.a.) above, the Audit staff reviewed the receipt dates for the contributions related to the late refunds made in January and February 1988. The late refunds made within this time frame resulted from excessive contributions received between March 19, 1987 and October 23, 1987. Therefore the lateness of all of these refunds could not be attributed to the heavy volumes of work relating to a direct mail effort in November, 1987.

3 9 0 4 0 7 / 4 0 2 0

With regard to 1.b.), the candidate withdrew on February 18, 1988, and the Audit staff notes that the Committee was making refunds on a regular basis through April 14, 1988. The Committee made no refunds again until May 12, 1988. The late refunds made at this time resulted from 17 excessive contributions received in September 1987 (1), December 1987 (1), January 1988 (3), and early February, 1988 (12). These refunds totaled \$2,472.

With regard to the lack of a unique identifier for each contributor, the Audit staff notes that the Committee used a contributor identification code which was linked to the zip code, last name, first name and middle initial, and street address of the contributor. The Committee response provided an annotated copy of the excessive contributions not refunded timely and indicated 12 such contributions totaling \$3,650 for which a second record for the contributor was created because the contributor was apparently listed under two addresses. The Audit staff was unable to verify this contention.

Finally, the Committee annotated a footnote to one of the late refunds and stated that the refund should not have been made; that "father and son were combined in one record. The father had \$1,000 - the son \$250." The Audit staff reviewed the two contributor checks which the Committee contends were erroneously combined in one record. Both checks (\$250) appeared to be signed by the same person. The contributor checks were drawn on different banks and the contributions were recorded from different addresses by the Committee. The Audit staff, based on the information at hand, is of the opinion that the refund was proper.

#### Recommendation

The Audit staff recommends that this matter be referred to the Office of General Counsel in accordance with the Commission approved Materiality Thresholds.

Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

| <u>Contributor</u>       | <u>Date of Receipt</u> | <u>Date of Refund</u> | <u>Amount</u> |
|--------------------------|------------------------|-----------------------|---------------|
| 1. Agnew III, Franklin   | 07/09/87               | 02/19/88              | \$ 500.00     |
| 2. Andrews III, Mark     | 09/04/87               | 02/02/88              | 500.00        |
| 3. Bissell, Julia A      | 05/27/87               | 12/31/87              | 100.00        |
|                          | 09/18/87               | 12/31/87              | 100.00        |
| 4. Boggs, J. Caleb       | 11/05/87               | 02/19/88              | 100.00        |
| 5. Booth Jr., Otis       | 07/21/87               | 02/19/88              | 500.00        |
| 6. Carpenter, Mary Kaye  | 11/18/87               | 02/19/88              | 100.00        |
| 7. Caspersen, Finn M. W. | 12/01/87               | 03/31/88              | 1,000.00      |
| 8. Craig, Eleanor D.     | 08/12/87               | 01/29/88              | 125.00        |
|                          | 06/09/87               | 01/29/88              | 6.00          |
|                          | 05/12/87               | 01/29/88              | 250.00        |
| 9. Cunningham Jr., C.C.  | 07/01/87               | 12/31/87              | 250.00        |
| 10. Dayton, Douglas      | 08/07/87               | 02/02/88              | 1,000.00      |
| 11. Dupont, Victor M.    | 07/17/87               | 11/23/87              | 200.00        |
| 12. Falk Jr., Leon       | 07/02/87               | 02/24/88              | 250.00        |
|                          | 07/14/87               | 02/24/88              | 60.00         |
| 13. Garstin, Ann N.      | 11/04/87               | 02/23/88              | 100.00        |
| 14. Gaul, George B.      | 07/16/87               | 02/19/88              | 75.00         |
|                          | 10/19/87               | 02/19/88              | 40.00         |
|                          | 11/06/87               | 02/19/88              | 40.00         |
| 15. Guffey, Roy          | 09/25/87               | 12/31/87              | 500.00        |
| 16. Hannum, Nancy P.     | 08/25/87               | 02/02/88              | 1,000.00      |
|                          | 06/05/87               | 02/02/88              | 25.00         |

300407/4022

Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

|     | <u>Contributor</u>       | <u>Date of<br/>Receipt</u>       | <u>Date of<br/>Refund</u>        | <u>Amount</u>              |
|-----|--------------------------|----------------------------------|----------------------------------|----------------------------|
| 17. | Healy, James V.          | 07/08/87                         | 02/02/88                         | \$ 250.00                  |
| 18. | Hipp, Francis M.         | 08/07/87                         | 02/24/88                         | 200.00                     |
| 19. | Hotchkis,<br>Preston B.  | 06/26/87                         | 02/05/88                         | 250.00                     |
| 20. | Irving, Louise R.        | 05/05/87<br>03/27/87<br>09/17/87 | 09/17/87<br>11/24/87<br>01/29/88 | 100.00<br>10.00<br>10.00   |
| 21. | Jennings Jr.,<br>Earl F. | 09/10/87                         | 02/02/88                         | 100.00                     |
| 22. | Jones, Virginia          | 06/26/87                         | 10/19/87                         | 750.00                     |
| 23. | Kaiser, Robert J.        | 08/12/87                         | 01/29/88                         | 250.00                     |
| 24. | Kirlin, John J.          | 06/24/87                         | 10/27/87                         | 100.00                     |
| 25. | Laird III,<br>Walter J.  | 08/03/87                         | 02/02/88                         | 100.00                     |
| 26. | Layton, Rodney M.        | 06/11/87<br>06/02/87<br>06/24/87 | 01/29/88<br>01/29/88<br>01/29/88 | 100.00<br>250.00<br>750.00 |
| 27. | Lenher, Samuel           | 03/19/87                         | 02/05/88                         | 150.00                     |
| 28. | MacLean, Barry           | 07/14/87<br>09/25/87             | 02/02/88<br>02/02/88             | 250.00<br>500.00           |
| 29. | McHugh, Marie L.         | 03/31/87                         | 02/02/88                         | 100.00                     |
| 30. | Mulcahy, Charles C.      | 06/03/87                         | 02/24/88                         | 100.00                     |
| 31. | Nichols, Miller          | 03/23/87                         | 07/29/87                         | 250.00                     |

300407/4025

Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

|     | <u>Contributor</u>          | <u>Date of<br/>Receipt</u> | <u>Date of<br/>Refund</u> | <u>Amount</u> |
|-----|-----------------------------|----------------------------|---------------------------|---------------|
| 32. | O'Neill, Bertram            | 07/21/87                   | 01/29/88                  | \$ 500.00     |
| 33. | Piasecki,<br>Vivian W.      | 07/01/87                   | 02/25/88                  | 250.00        |
| 34. | Pingree Jr., Sumner         | 10/06/87                   | 02/05/88                  | 250.00        |
| 35. | Purnell, Marguerite         | 07/24/87                   | 11/20/87                  | 250.00        |
| 36. | Schutt, C. Porter           | 08/14/87                   | 02/02/88                  | 500.00        |
| 37. | Sedgwick,<br>Alice DeForest | 10/23/87                   | 01/29/88                  | 350.00        |
| 38. | Simpson, Walton H.          | 06/16/87                   | 02/02/88                  | 250.00        |
| 39. | Sinness, Lester S.          | 05/15/87                   | 01/29/88                  | 500.00        |
| 40. | Steinman, James A.          | 10/23/87                   | 01/29/88                  | 250.00        |
|     |                             | 10/23/87                   | 01/29/88                  | 100.00        |
|     |                             | 10/30/87                   | 01/29/88                  | 200.00        |
|     |                             | 10/07/87                   | 01/29/87                  | 500.00        |
| 41. | Hamilton,<br>Crawford M.    | 03/02/87                   | 06/30/87                  | 250.00        |
|     |                             | 10/07/86                   | 06/30/87                  | 150.00        |
|     |                             | 10/22/86                   | 06/30/87                  | 175.00        |
|     |                             | 10/24/86                   | 06/30/87                  | 175.00        |
| 42. | Avery, Alice O.             | 01/29/88                   | 05/12/88                  | 100.00        |
| 43. | Babbitt, Jane               | 02/09/88                   | 05/12/88                  | 100.00        |
|     |                             | 02/08/88                   |                           | 20.00         |
| 44. | Campbell,<br>Roberta R.     | 02/05/88                   | 05/12/88                  | 50.00         |
| 45. | Chapman, Hortense           | 02/04/88                   | 05/12/88                  | 192.00        |

390407 ✓ 0024

Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

| <u>Contributor</u>           | <u>Date of<br/>Receipt</u> | <u>Date of<br/>Refund</u> | <u>Amount</u>       |
|------------------------------|----------------------------|---------------------------|---------------------|
| 46. Cook, Marietta           | 02/08/88<br>02/01/88       | 05/12/88                  | \$ 150.00<br>150.00 |
| 47. Drha, Frank              | 02/01/88                   | 05/12/88                  | 50.00               |
| 48. Evans, Raymond F.        | 02/05/88                   | 05/12/88                  | 250.00              |
| 49. Frank, Curtiss E.        | 01/19/88                   | 05/12/88                  | 100.00              |
| 50. Maclean, Mary Ann        | 09/25/87                   | 05/12/88                  | 250.00              |
| 51. McCoy, Sallie C.         | 02/02/88                   | 05/12/88                  | 200.00              |
| 52. Miller, Donald P.        | 02/05/88                   | 05/12/88                  | 500.00              |
| 53. Mudge, Elizabeth         | 02/09/88                   | 05/12/88                  | 50.00               |
| 54. Silliman, Mark W.        | 12/31/87                   | 05/12/88                  | 10.00               |
| 55. Singer, Alain R.         | 02/04/88                   | 05/12/88                  | 250.00              |
| 56. Wallace, Hal             | 01/07/88                   | 05/12/88                  | 50.00               |
| 57. Eakin-Burdette,<br>Carol | 02/04/88                   | 06/02/88                  | 500.00              |
| Total                        |                            |                           | <u>\$19,013.00</u>  |

Allocation of Expenditures to States

Sections 441a(b)(1)(A) and 441a(c) of Title 2 of the United States Code provide, in part, that no candidate for the office of President of the United States who is eligible under Section 9033 of Title 26 to receive payments from the Secretary of the Treasury may make expenditures in any one State aggregating in excess of the greater of 16 cents multiplied by the voting age population of the State, or \$200,000, as adjusted by the change in the Consumer Price Index.

Section 106.2(a)(1) of Title 11 of the Code of Federal Regulations states, in part, that expenditures incurred by a candidate's authorized committee(s) for the purpose of influencing the nomination of the candidate for the office of the President with respect to a particular State shall be allocated to that State. An expenditure shall not necessarily be allocated to the State in which the expenditure is incurred or paid.

Section 110.8(c)(2) of Title 11 of the Code of Federal Regulations states that for State limitations, expenditures for fundraising activities targeted at a particular State and occurring within 28 days before that state's primary election, convention or caucus shall be presumed to be attributable to the expenditure limitation for that State.

During fieldwork, the Audit staff identified a project used by the Committee involving a telemarketing and mail program ("the Program"). Discussions with Committee officials and a review of Committee records made available indicated that the Program operated out of the Committee's headquarters in Wilmington, Delaware primarily from June, 1987 through February, 1988.

The Program was a computer-based system which appears to have accommodated up to 35 telephone stations. Each station accessed one of six predominately used scripts through a CRT screen linked to an automatic dial feature used in placing calls. The operator, using a headset, would work through the screen script inputting responses received from the person contacted. When the call was completed an in-house mailing was automatically generated, if needed. The Program appears to have been operated mainly during evening and weekend hours employing, on a part time basis, two shifts of operators.

The Audit staff reviewed the Committee's expenditure files for the vendors that could be identified as part of the Program and calculated apparent Program costs totaling \$745,439.24.

The Audit staff then reviewed the Committee's allocation of expenditures to states to determine the extent to which these Program costs were allocated to Iowa. The Audit staff determined that \$117,606.04<sup>\*/</sup> in Program costs were allocated to Iowa. The following table provides a detailed comparison of identified Program costs and costs allocated to Iowa by the Committee:

|                              | <u>Total<br/>Identified<br/>Program Costs</u> | <u>Program<br/>Costs Allocated<br/>by Committee</u> | <u>Program<br/>Costs Allocated<br/>by Audit</u> |
|------------------------------|-----------------------------------------------|-----------------------------------------------------|-------------------------------------------------|
| Telephone                    | \$157,833.32                                  | \$ 21,378.00                                        | \$101,436.29                                    |
| Computer & related services  | 171,792.26                                    | 2,880.00                                            | 42,747.59                                       |
| Rent & utilities             | 28,396.39                                     | ---                                                 | 6,708.29                                        |
| Payroll                      | 277,371.62                                    | 72,243.79                                           | 197,858.73                                      |
| Postage                      | 97,202.18                                     | 17,020.78                                           | 17,020.78                                       |
| Wiring installation          | 8,760.00                                      | ---                                                 | 5,694.00                                        |
| Miscellaneous <sup>**/</sup> | <u>4,083.47</u>                               | <u>4,083.47</u>                                     | <u>4,083.47</u>                                 |
| Totals                       | <u>\$745,439.24</u>                           | <u>\$117,606.04</u>                                 | <u>\$375,549.15</u>                             |

During this review it became apparent to the Audit staff that the Program focused to a large extent on Iowa. A March 23, 1987 memorandum (see Attachment I) from a consultant, directed to Committee representatives, outlined in a fairly detailed fashion the consultant's understanding of the "goals and objectives for the du Pont telemarketing and mail program." Although Committee officials did not acknowledge that this plan was the basis of their telemarketing program, the Audit staff is of the opinion that the basic components of this plan with respect to the telemarketing effort directed at Iowa were implemented by the Committee and indicate a focus on Iowa.

<sup>\*/</sup> Committee allocation workpapers indicated that \$134,293.95 had been allocated to Iowa with respect to the Program. However, the Audit Staff reduced this amount by \$16,687.91 which represented an overallocation made by the Committee in applying the 28 Day Rule. It should be noted that the Committee's overall allocation to Iowa has been adjusted accordingly.

<sup>\*\*/</sup> Based on Committee allocation workpapers and documentation made available, costs included in this category could not be directly associated with any of the other categories noted.

Second, a review of the billings by the long distance telecommunications company used by the Committee for the Program indicated that the majority of the calls were to Iowa. During the period June, 1987 to February, 1988, the Committee incurred \$157,171.32 for the Program's long distance service, or about \$17,500 per month. A review of the bills for the above mentioned period indicated that the costs of calls made to Iowa comprised from 48% to 90% of the cost of all calls made. Further analysis of the cost, the number, and the length of calls, indicates that the Program was used primarily in the evenings, during which hours the calls were directed almost exclusively at Iowa.

Finally, the auditors reviewed all scripts considered for use in the Program by the Committee. Of the 28 scripts reviewed, at least 11 seemed to be targeted at Iowa. The Committee provided an explanatory letter dated May 12, 1988, along with copies of six scripts that according to the Committee were used almost exclusively in the telemarketing program during the period 6/87 through 12/87, and copies of letters <sup>\*</sup>/ mailed as a result of the response to each script. See Attachment II. One of these scripts was a poll (Attachment II, page 21), four of the scripts appear political in nature with no appeal for contributions (Attachment II, pages 4-20) and the final script did contain a fundraising appeal (Attachment II, pages 22-23). In all six scripts the text appears specifically directed at Iowa by virtue of the caucus or debate in Iowa being mentioned at some point. -

The Committee's letter of May 12, 1988 notes that of these scripts, only two were not fundraising in nature (Attachment II, pages 3, 16-17, 21). The Committee's position with respect to the scripts was that money could not be raised from people who did not know or support their issues. The Committee provided, as further support that these scripts were used extensively, workpapers detailing the days and number of calls made daily with respect to each of the scripts.

As noted in their May 12, 1988 letter the Committee's position is that the rent, HVAC (utilities) and computer rental "were correctly reported as national office overhead, consistent with the treatment of other computer and office rental within the campaign headquarters...and...both...were used Monday through Friday 7 a.m. to 5 p.m. by both the Legal and Accounting operation and the Direct Mail and Event Fundraising staffs." Further, expenses associated with payroll, telephone, postage, and software were charged directly "to either fundraising, the Iowa allocation or Exempt Legal/Accounting as appropriate."

---

<sup>\*</sup>/ Of the five follow-up letters mailed as a result of the scripts, three included appeals for contributions.

As noted above, the Audit staff calculated the apparent cost of the Program to be \$745,439.24, while the Committee only allocated \$117,606.04, or about 16% of identified Program costs to Iowa, although it is apparent that the Program focused on Iowa. The Audit staff also noted that as of April 30, 1988, according to the State Allocation Report, FEC Form 3P, page 3, the Committee had allocated expenditures totaling \$616,010.80 to the Iowa limitation of \$775,217.60. The Audit staff's review of expenditures allocated to Iowa determined this figure to be materially correct, except as noted with respect to the Program.

Based on the Audit staff's review of the information and documentation made available, it is our opinion that the following Program costs, totaling \$375,549.15, require allocation to Iowa. See Attachment III.

o Program Costs Within the 28 Day Rule

The Audit staff reviewed Program costs occurring within 28 days of the Iowa caucus and determined that \$52,709.67 in telephone, rent, utilities, payroll and computer related services should have been allocated to Iowa. As stated in the Committees' letter, dated May 12, 1988, for the period subsequent to January 1, 1988, expenses were allocated 100% against the Iowa limitation due to the "FEC regulation eliminating the Fundraising Exemption within 28 days of a primary election." The Audit staff reviewed Committee allocation workpapers with respect to the Program and determined, based on the information available, that the Committee allocated \$41,500.04 in salary, phone and miscellaneous Program costs to Iowa.

o Program Costs outside the 28 Day Rule

The Audit staff reviewed Program costs occurring outside of the 28 day rule and determined that \$322,839.48 in telephone, rent, utilities, payroll, computer related services, postage, wiring and miscellaneous costs should have been allocated to Iowa. Based upon the scripts and telephone logs provided as part of the Committee's May 12, 1988 letter, it was determined that \$86,378.48 in long distance telecommunication charges and \$168,339.00 in payroll costs with respect to the Program should have been allocated to Iowa. With respect to rent and utilities, the Audit staff determined that, based on the hours of operation as provided by the Committee in their letter dated May 12, 1988, \$5,713.70 in expenditures should have been allocated to Iowa. The Audit staff determined that \$35,610.05 in computer related Program costs should have been allocated to Iowa. Finally, the Audit staff determined that postage totaling \$17,020.78; wiring installation costs of \$5,694 and miscellaneous costs totaling \$4,083.47 should have been allocated to Iowa.

The Audit staff's review of Committee workpapers indicated that \$76,106 in salary, phone, postage, supplies and computer related costs with respect to the Program were allocated to Iowa.

The following recap and analysis was provided with respect to the Iowa state expenditure limitation in the interim audit report:

Telemarketing Program costs allocable to Iowa per the Audit staff:

|                                                                  |                   |                     |
|------------------------------------------------------------------|-------------------|---------------------|
| Within 28 Day Rule                                               | \$ 52,709.67      |                     |
| Outside 28 Day Rule                                              | <u>322,839.48</u> | \$375,549.15        |
| Less Program costs allocated by the Committee:                   |                   |                     |
| Within 28 Day Rule                                               | \$ 41,500.04      |                     |
| Outside 28 Day Rule                                              | <u>76,106.00</u>  | <u>(117,606.04)</u> |
| Additional Program costs requiring allocation to Iowa            |                   | \$257,943.11        |
| Expenditures allocated to Iowa per Committee FEC Form 3P, page 3 |                   | <u>616,010.80</u>   |
| Expenditures subject to Iowa limitation                          |                   | \$873,953.91        |
| Less: 2 U.S.C. Section 441 (a) State Spending Limitation         |                   | <u>(775,217.60)</u> |
| Total Expenditures in Excess of State Limitation                 |                   | <u>\$ 98,736.31</u> |

In the interim audit report the Audit staff recommended that within 30 calendar days after service of the report the Committee provide evidence showing that it has not exceeded the limitation as set forth above. Absent such a showing, the Audit staff recommended that the Committee adjust its records to reflect the expenditures allocated in Iowa, and where necessary file amended reports to reflect the correct amount allocable to Iowa.

In addition, the Audit staff recommended that the Committee provide a detail listing for all vendors related to the telemarketing program and an itemization of all associated costs incurred with respect to each vendor. Such costs include those incurred with respect to development and implementation of the telemarketing program.

### Analysis of Committee Response

The Committee filed its response on November 4, 1988. <sup>\*</sup>/ In its response, the Committee stated that it believes the Audit staff's conclusions are incorrect and offered its reasons in support of this position. Each of the topical areas addressed by the Committee are discussed in the following paragraphs.

#### 1. The Telemarketing Effort was a Fundraising Program

The Committee contends that the Program "was conceived and implemented by the campaign as a significant fundraising effort." According to the Committee's response, the Audit staff mischaracterized the Program for three fundamental reasons: (a) misplaced reliance on a memorandum from a consultant (see Attachment I); (b) a failure to understand the program's Iowa focus; and (c) a failure to comprehend modern campaign fundraising.

With respect to (a), the Committee submitted an affidavit from the deputy campaign manager which specifically stated that the memorandum from the consultant was not adopted as the campaign's telemarketing plan and that fundraising was a prime objective of telemarketing.

In the Audit staff's opinion, the Committee's contention that "misplaced reliance" existed on the part of the Audit staff is without merit. Although this report refers to the March 23, 1987 memorandum, our conclusion "that the basic components of this plan with respect to the telemarketing effort directed at Iowa were implemented by the Committee and indicate a focus on Iowa" (Report, page 7) is based, as stated in the report, on our review of documentation for expenditures related to the telemarketing effort. The Committee's contention that the consultant's proposal was not adopted does not, in the Audit staff's opinion, change or require revision to the Audit staff's conclusion that a significant telemarketing effort was directed at the voting age population in Iowa.

Concerning the Committee's assertion regarding the Program's Iowa focus (item (b)), the Committee argues that the Audit staff's position "fails to recognize the uniqueness of circumstances surrounding an 'underdog' campaign. An unknown candidate must focus first on Iowa, to present his positions, to become known, and to raise funds to support these efforts. Momentum from success in Iowa permits the candidate to be a factor in New Hampshire." The Committee further states that [since] "Iowa voters could be educated, and would have a stake in the election because of their participation in the early caucuses. That stake would cause them to contribute...once they knew the candidate."

---

<sup>\*</sup>/ The Committee requested a 60 day extension in which to respond to the interim audit report. The Commission granted a 30 day extension to November 4, 1988.

3 2 0 4 0 7 / 0 3 2

The Audit staff does not dispute the Committee's position that a person is not likely to contribute to a candidate about whom he or she knows little. Nor does the Audit staff necessarily disagree with the Committee's statement that the Iowa caucuses and the New Hampshire primary are the beginning and the end for most campaigns. However for the Committee to then conclude "For an unknown like Pete du Pont, it is essential to raise funds in those states, because those are the states in which he is becoming known" seems more appropriate in support of an attempt to influence a candidate's chances of a win or reputable position in the Iowa caucuses or New Hampshire primary rather than a justification that it is essential to that end to raise funds in these two states and thus the telemarketing effort should be viewed as primarily a fundraising program. Extending this rationale, it would seem that virtually any method utilized to educate potential voters could be viewed as having a fundraising purpose. If this position were accepted, only expenses relative to those activities occurring within 28 days of the caucus/primary would even be subject to allocation to a state's expenditure limitation. It does not appear that the limited fundraising exemption was intended to be interpreted along these lines.

The Committee's third point (item (c)) is an attempt to identify similarities between "sophisticated telemarketing" and "traditional direct mail." The Committee provides as an example a situation where a phone call is made and, based on the response/exchange concerning issues without a solicitation being mentioned, a follow-up solicitation is sent. The Committee made the decision "to give Iowans multiple opportunities to know the candidate and the issues, and only then to ask for funds." The Committee's position is simply that both the phone call and the follow-up solicitation should be viewed as components of a single fundraising appeal. The total costs as such would be considered fundraising and not allocable to a state limit, unless occurring within 28 days of the election. The Committee states correctly that the Audit staff viewed the expenses related to the phone calls as separate and distinct from any follow-up mailings<sup>\*/</sup> which may have occurred. Further, the Audit staff viewed as fundraising-related phone calls only those calls made outside the 28 days for which the script used actually contained a solicitation of funds. The Audit staff's position, based on the information submitted by the Committee, remains unchanged in this regard.

---

<sup>\*/</sup> The costs of any follow-up mailings were not charged to the Iowa limit outside 28 days before the election.

## 2. Expenses for Rent, Computer Equipment and Wiring

The Committee contends that the headquarters expenses for rent, computer expenses, and wiring allocated to Iowa by the Audit staff are general overhead expenses and not allocable to Iowa under 11 C.F.R. § 106.2(c)(1)(i) and § 106.2(b)(2)(iv). These sections, in relevant part, define overhead expenses as rent, utilities, equipment and telephone service base charges, and exempt from allocation [such] operating expenditures incurred for administrative, staff, and overhead expenditures of the national campaign headquarters.

Section 106.2(a) of 11 C.F.R. provides the general authority under which expenditures (including overhead) should be allocated to States. The Audit staff is of the opinion that the exemption from State allocation of overhead expenses granted by 11 C.F.R. § 106.2(c)(1)(i) extends to operating expenses of the national campaign headquarters and does not exempt operating expenses of a specific program focused on a particular State simply because it was directed out of the national office. In addition, 11 C.F.R. § 106.2(b)(2)(iv)(B) states that "overhead expenditures of a committee regional office or any committee office (emphasis added) with responsibilities in two or more States shall be allocated to each state on a reasonable and uniformly applied basis. An extension of the Committee's position - that overhead expenses relating to the telemarketing program are not allocable - would permit campaigns to avoid allocation of overhead expenses related to focused programs to any state simply by operating the programs from national headquarters. The Audit staff is of the opinion that the exemption from allocation of overhead expenditures by the national campaign headquarters was not intended to include allocable expenses of focused programs operated from the headquarters office. The Audit staff further notes that if the telemarketing program was performed on the premises of a vendor or if the vendor rented extra space and/or equipment to perform the services, then all the charges for space, equipment, and installation would have been built into the fee charged. Therefore the Audit staff's position, that all expenses relevant to the focused extent of the telemarketing program are allocable expenses, remains unchanged.

## 3. Payroll

The Committee contends that the Audit staff understated the payroll expenses already allocated by the Committee by \$7,684. The Audit staff notes that this amount is the difference between allocable payroll expenses not included in the Committee's allocation figure and an overallocation of payroll made by the Committee. Attachment IV details this reconciliation. Because the overallocation made by the Committee was adjusted by the Audit staff for the full amount in the interim audit report (Report p.6, \*/ footnote) no further adjustment should be made.

4. Telephone Charges

The Committee also contends that the Audit staff's calculation for telephone toll charges to Iowa is incorrect. The Committee stated that it sampled charges within the time frame used by the telemarketing program and, based on the sampling data, determined that an average of \$34.18 per day in toll charges were unrelated to the telemarketing program. The Committee asserts that the allocation made by the Audit staff is overstated by \$8,372.76. The Committee's allocation figures in the Response appear to be derived from the total charges for night and weekend tolls to all area codes less \$34.18 per day (estimated non-telemarketing evening and weekend charges). Furthermore, the Committee did not provide the Audit staff the documentation used in the sampling process.

The Audit staff recognizes the probability that all calls to Iowa were not telemarketing related. Therefore the Audit staff has revised the gross amount of calls to Iowa and has reduced these amounts by credits and a business use (presumed non-telemarketing) percentage. The Audit staff based the business use reduction on the percentage of the toll charges made during business hours relative to the total toll charges. This percentage reduction was applied only to the calls made to Iowa, not to the total evening/weekend tolls. The Audit staff applied an average business use reduction percentage to the Iowa tolls for the month of February because the Committee acknowledged that some daytime calling was made during this period. These Audit staff adjustments have reduced the allocable amount from \$101,436.29 to \$81,173.80. This reduction of \$20,262.49 is reflected in the revised telemarketing program costs allocable to Iowa per the Audit staff. In addition, allocation of wiring installation, based on the allocable percentage of telephone costs, has been reduced accordingly from \$5,694 to \$4,667.60.

5. Application of Advisory Opinion 1988-6

In the alternative the Committee suggests that Advisory Opinion 1988-6 is applicable to the telemarketing program. The Advisory Opinion (see Attachment V) allowed 50% of the cost of a television advertisement to be allocated to exempt fundraising. The Committee states that "In that opinion, the Commission concluded that a three-second visual listing, 'Vote -Volunteer - Contribute,' plus a voice-over giving a phone number for contributors to call..would permit the allocation of 50% of the ad's cost to exempt fundraising." The Committee further asserts that a greater percentage of the du Pont telemarketing program was directed to fundraising than the corresponding fundraising percentage of time used for fundraising in the television advertisement.

The Committee contends that "telemarketing fundraising has multiple components, which combine to produce results...[and] the audit report treats the phone call and the mailing as two separate events, rather than two components of a fundraising package, and considers the phone call not to be part of the fundraising effort." The Audit staff's discussion and rejection of the Committee's rationale that the telemarketing program was basically a fundraising program and thereby subject to a fundraising exemption was discussed under paragraph (1) of this section.

The Audit staff is of the opinion that the Advisory Opinion 1988-6 applies only to a specific factual situation - a television commercial - and does not extend beyond the specifics of that case. Both the political issue and solicitation request was contained within one message, whereas the du Pont telemarketing program sought political interest first and then addressed solicitation requests from identified supporters. The Audit staff notes that it did not allocate the costs of any of the follow-up letters sent by the Committee to Iowa outside 28 days before the election.

Finally, the Committee presented in its response an allocation of telemarketing program expenses based on a 50% exemption for fundraising. The Audit staff notes that the figures used in the Committee's analysis of allocable costs based on a 50% fundraising exemption are incorrect. In one case, the figure shown did not represent total cost, but rather only the non-fundraising portion as determined by the Audit staff. In another instance, the Committee did not include total costs within 28 days of the election. The Audit staff did not perform a detailed analysis of the Committee's figures because the Advisory Opinion exemption does not appear to apply to this program.

#### 6. Failure to Respond to an Audit Recommendation

In the interim audit report the Audit staff recommended that the Committee provide a detail listing for all vendors related to the telemarketing program and an itemization of all associated costs incurred with respect to each vendor. Such costs include those incurred with respect to development and implementation of the telemarketing program. The Committee did not respond to this recommendation or provide any explanation regarding failure to address the recommendation.

#### Conclusion

Based on the Audit staff's review of the Committee's response to the interim audit report and the information and documentation made available, it is our opinion that the following Program costs, totaling \$354,260.26 require allocation to Iowa. See Attachment VI.

|                             | <u>Total<br/>Identified<br/>Program Costs</u> | <u>Program<br/>Costs Allocated<br/>by Committee</u> | <u>Program<br/>Costs Allocated<br/>by Audit</u> |
|-----------------------------|-----------------------------------------------|-----------------------------------------------------|-------------------------------------------------|
| Telephone                   | \$157,833.32                                  | \$ 21,378.00                                        | \$ 81,173.80                                    |
| Computer & related services | 171,792.26                                    | 2,880.00                                            | 42,747.59                                       |
| Rent & utilities            | 28,396.39                                     | ---                                                 | 6,708.29                                        |
| Payroll                     | 277,371.62                                    | 72,243.79                                           | 197,858.73                                      |
| Postage                     | 97,202.18                                     | 17,020.78                                           | 17,020.78                                       |
| Wiring installation         | 8,760.00                                      | ---                                                 | 4,667.60                                        |
| Miscellaneous*/             | <u>4,083.47</u>                               | <u>4,083.47</u>                                     | <u>4,083.47</u>                                 |
| <b>Totals</b>               | <u><b>\$745,439.24</b></u>                    | <u><b>\$117,606.04</b></u>                          | <u><b>\$354,260.26</b></u>                      |

The following recap and analysis, as revised for reduced telephone toll charges and wiring installation, is provided with respect to the Iowa state expenditure limitation:

Revised Telemarketing Program costs allocable to Iowa per the Audit staff:

|                     |                   |              |
|---------------------|-------------------|--------------|
| Within 28 Day Rule  | \$ 50,358.13      |              |
| Outside 28 Day Rule | <u>303,902.13</u> | \$354,260.26 |

Less Program costs allocated by the Committee:

|                     |                  |                       |
|---------------------|------------------|-----------------------|
| Within 28 Day Rule  | \$ 41,500.04     |                       |
| Outside 28 Day Rule | <u>76,106.00</u> | ( <u>117,606.04</u> ) |

|                                                       |              |
|-------------------------------------------------------|--------------|
| Additional Program costs requiring allocation to Iowa | \$236,654.22 |
|-------------------------------------------------------|--------------|

|                                                                  |                   |
|------------------------------------------------------------------|-------------------|
| Expenditures allocated to Iowa per Committee FEC Form 3P, page 3 | <u>616,010.80</u> |
|------------------------------------------------------------------|-------------------|

|                                         |              |
|-----------------------------------------|--------------|
| Expenditures subject to Iowa limitation | \$852,665.02 |
|-----------------------------------------|--------------|

|                                                         |                       |
|---------------------------------------------------------|-----------------------|
| Less: 2 U.S.C. Section 441(a) State Spending Limitation | ( <u>775,217.60</u> ) |
|---------------------------------------------------------|-----------------------|

|                                                          |                        |
|----------------------------------------------------------|------------------------|
| Revised Total Expenditures in Excess of State Limitation | <u>\$ 77,447.42**/</u> |
|----------------------------------------------------------|------------------------|

\*/ Based on Committee allocation workpapers and documentation made available, costs included in this category could not be directly associated with any of the other categories noted.

\*\*/ Total is based on limited vendor information. The Committee did not respond to the recommendation that it provide a detail listing for all vendors related to the Program.

300407/4035

Recommendation

The Audit staff recommends that this matter be referred to the Office of General Counsel. With respect to item 6. concerning the Committee's failure to respond to the interim report recommendation, achieving compliance with this request at the earliest possible state of the enforcement process is desirable since the amount in excess of the Iowa limit may increase.

870407/037

EMPLETON  
DVERTISING

March 23, 1987

Memorandum

TO: Glenn Kanton  
Al Hubbard  
Bob Perkins  
Mike Harkins

FROM: Rick Templeton

RE: Telemarketing & Mail Program

I have attempted to commit to paper, in as detailed a fashion as time and information will permit, the operation plan as I understand our goals and objectives for the du Pont telemarketing and mail program.

OBJECTIVES

PHASE I:

- 3 0 0 4 0 7 / 4 0 3 3
- Content of  
Call?
- 2
1. To complete 95,060 calls in Iowa to Registered Republican Households within the top ten counties by June 30, 1987.
  2. To complete 95,060 second round calls to the same group in #1 by September 1, 1987.
  3. To mail 190 pieces of mail to those reached in objectives one and two within 48 hours of contact.
  4. Overall message will be one of advocacy with an identification tag at the end.
  5. Telephone calls will be placed into areas on a timetable which corresponds to the candidate's schedule inviting voters to come see, meet, greet etc.
  6. If the schedule does not permit, a straight advocacy message will be used.
  7. All identification information obtained in this phase will be retained on the voter's file. (This information will be allowed to be overridden in Phase II).
  8. All Pete duPont supporters identified in Phase I will be telecommunicated to the Iowa campaign HQ's on a weekly basis.

PHASE II

1. To complete 161,000 calls to Republican households in Iowa counties which have 4,000 registered Republicans or more from September 8, 1987 through November 30, 1987.
2. To complete 92,000 calls to all Republican households in New Hampshire from September 8, 1987 through November 30, 1987.
3. Overall objective is to identify voter preference in each household.
4. To mail all undecideds or du Pont supporters.
5. All Pete duPont supporters identified in Phase II will be sent to the Iowa & New Hampshire field operations on a weekly basis..

PHASE III:

1. Place advocacy calls to 80,500 undecided households in Iowa between Dec. 1, 1987 & Feb. 1, 1988.
2. Place advocacy calls to 46,000 undecided households in New Hampshire Dec. 1, 1987 & Fe. 1, 1988.
3. Mail 126,000 pieces to households reached in objectives one and two.

PHASE IV:

1. Place turnout calls in Iowa between Feb. 1, 1988 thru Feb. 8, 1988.
2. Place turnout calls in New Hampshire between Feb. 8, 1988 and Feb 22, 1988.

PHASE V

1. To use the telephone bank during daytime hours to raise dollars outside of the State of Delaware.
2. To use the telephone bank during daytime hours to follow-up on Delaware fundraising mail.

LOCATION

The location of the Phone Bank will be 2 Mill Road, in the basement of the du Pont for President headquarters.

REQUIREMENTS

1. Outside entrance
2. Carpet
3. Lighting
4. 45 phone cubicals - large enough to fit a CRT and a phone console.

5. One operations office or cubical
6. One computer room or cubical
7. Comfortable seating for 45 phoners
8. Storage cabinets for supplies
9. Dedicated lines for computer

## **OPERATIONS**

### **Overview**

Voter tapes from Iowa & New Hampshire will be consolidated to Republican Households in both states with telephone numbers. This information will be loaded onto a mainframe computer with 200 MB located in duPont HQ's.

This information will be used to supply telephoners with call information and scripts via a CRT screen with an automatic dial feature. The computer will place the call and the script and voter information will appear on the screen. The telephoners will work through the screen inputting responses received from the voter.

Upon completion of the call, telephoners will send the information to the file where depending upon the response recorded a letter will be queued to the printer. The letter will be printed and walked upstairs to the volunteer area where a BRE will be placed with the letter in a \$10 window envelope and mailed.

A reporting function will provide information on a daily basis as to how many calls were placed by person, by hour, by day, etc. and the responses received.

This system will also be used to conduct several voters preference surveys and will include a random select function to provide a statistically balanced sample.

### **Voter Tapes**

Voter tapes from Iowa and New Hampshire should be obtained as soon as possible. The information required is:

1. Name
2. Address
3. County, Precinct, Congressional District
4. Party affiliation
5. Vote History (Primary/Caucus)
6. Telephone Number

The information should be delivered on a 16 BTE tape if available. If not available some conversion will be necessary and will take approximately 2 weeks. The sooner we have the answer on this the better. If the telephone #'s are not available we will have to cross match with a list house. Metro Mail is probably the best bet in turn-around and cost.

## Hours

The phone operation will run weekdays from 5:00 p.m. until 10:00 p.m. and on the weekends, Saturday 9:00 am until 9 pm, Sundays 12:00 pm until 9:00 pm.

## Manpower

### 1. Phoners (interviewers)

May - Sept. 42  
Sept - Nov. 70  
Dec - Feb. 70

#### A. Two shifts

##### 1. Shift #1

|           |                     |        |
|-----------|---------------------|--------|
| Monday    | 5:00 pm to 10:00 pm | 5 hrs. |
| Wednesday | 5:00 pm to 10:00 pm | 5 hrs. |
| Friday    | 5:00 pm to 10:00 pm | 5 hrs. |
| Saturday  | 9:00 am to 1:00 pm  | 4 hrs. |
| Sunday    | 12:00 pm to 4:00 pm | 4 hrs. |

24 hrs.

##### 2. Shift #2

|          |                     |        |
|----------|---------------------|--------|
| Tuesday  | 5:00 pm to 10:00 pm | 5 hrs. |
| Thursday | 5:00 pm to 10:00 pm | 5 hrs. |
| Saturday | 1:00 pm to 9:00 pm  | 8 hrs. |
| Sunday   | 7:00 pm to 9:00 pm  | 5 hrs. |

23 hrs.

#### B. Requirements

1. Good voice quality
2. Committed to seeing the project through
3. Some typing capability
4. Persistent

*47 hours/week x 15 weeks/mo. = 70 weeks*

#### C. Phoners will be paid \$5 per hour.

*14,850 calls/week*

#### 2. Phone Supervisors

- a. Shift #1 - Two
- b. Shift #2 - Two
- c. Supervisors will be paid \$8 per hour
- d. Requirements
  1. Preferably - male
  2. fair understanding of computers
  3. very good people skills
  4. organizationally minded

#### 3. Mail Supervisor

- a. Day shift - 1
- b. Night shift - handled by phone Supervisor
- c. Weekend - handled by phone Supervisor

300407/4041

**4. Manager**

**A. Requirements**

1. Male (preferably)
2. Understands computers
3. Works long hours
4. Good Supervision skills
5. Organized
6. Flexible

**5. Personnel Hiring Timetable**

- a. Place ad in News Journal papers April 1 - April 17.
- b. Manager interview respondents by phone - if good ask in for final interview.
- c. Training session - April 29, 30, & May 1st.
- d. Supervisors hired through newspaper or from campaign contacts.

NOTE: may need a legal opinion on contractual payment of phoners and supervisors

**6. Telephones**

**A. WATS lines**

1. BBN 4 - to reach Iowa and New Hampshire
2. Rates  
Evening - 9.98 per hour  
Weekend - 6.69 per hour  
Prime - 15.00 per hour
3. MCI - duPont HQ's is currently using MCI.
4. Number  
a. May - Aug - 21 lines  
b. Sept - Feb 35 lines
5. Install by April 24, 1987 \$154.00 each line to install.

**B. Console Units**

1. AT & T consoles supplied by IBM (If go w/IBM computer)
2. Head sets - AT & T - supplied by IBM
3. Number  
A. May - Aug - 21 sets  
B. Sept - Feb - 35 sets
4. IBM responsible for phone hook-ups from cable to console to computer.

7. Computer

A. Hardware

1. One CRT per phoner
  - a. 21 - May - Sept.
  - b. 35 - Sept. - Feb.
2. Automatic Dial Feature
3. 3 Laser Printers
4. 1 Line Printer
5. 200 MB disk drive
6. Serial controller
7. Modem, terminal, line printer for Iowa & New Hampshire

B. Software capability needs

I will sit down with Joe Testa and go over every aspect conceivable in our program to make sure that flexibility and capability is assured. The following is only a brief list of those aspects.

1. Multiple script options
2. Multiple field choices
3. Random sample select
4. Select files and send
5. Telecommunications
6. Word processing
7. Print functions
8. Reporting documents
9. Internal clock

C. Cost

1. 15,000 Down payment (Hardware)
2. 7,500 Down payment (Software)
3. 2,500 May
4. 2,500 June
5. 2,500 July
6. 2,500 August

300407/4045

|     |               |           |
|-----|---------------|-----------|
| 7.  | 7,000         | September |
| 8.  | 7,000         | October   |
| 9.  | 7,000         | November  |
| 10. | 12,000        | December  |
| 11. | 12,000        | January   |
| 12. | <u>12,000</u> | February  |

TOTAL - 98,500

8. Mail Program

A. Materials

Should order in bulk for best price

|    |                                |         |
|----|--------------------------------|---------|
| 1. | #10 Window envelopes           | 700,000 |
| 2. | Business reply envelopes       | 700,000 |
| 3. | Stationery 3 color (blue sign) | 700,000 |

B. The telemarketing program will be producing approximately 2,500 letters per day for volunteers to fold, stuff, seal, stamp and bundle. A good volunteer coordinator will be necessary to keep this project from falling behind.

C. I will produce rough copies of the scripts to be used in each phase for the committee's approval by April 15, 1987. From those scripts the committee should decide the following:

1. What responses receive letters?
2. What is the message in the letter?
3. Who will write?
4. Timetable for delivery

200407/0044

**START-UP**

**KEY DATES**

- March 27 - Order telephone WATS lines
- Order computer hardware
- Begin work on facility improvements
- March 31 - Obtain voter tapes for Iowa and New Hampshire
- April 1 - Place employment ad's in newspaper. Should run through April 17.
- April 3 - First outline of software complete
- April 10 - Mail supplies ordered
- April 15 - Draft of phone scripts complete
- April 16 - Software complete
- April 20 - Candidate schedule - Matched to May phone schedule
- April 21 - Facilities completed
- April 22 - Equipment delivered
- April 23 - All employees hired
- April 24 - Telephone lines installed
- April 25 - Test run of system
- April 29 - Training sessions begin
- May 2 - Project begins Phase I

300407/0045

|          | PHASE I |        |        |        | PHASE II |        |        |        | PHASE III |        |
|----------|---------|--------|--------|--------|----------|--------|--------|--------|-----------|--------|
|          | MAY     | JUN    | JUL    | AUG    | SEPT     | OCT    | NOV    | DEC    | JAN       | FEB    |
| # HOURS  | 139     | 171    | 153    | 185    | 144      | 180    | 176    | 135    | 152       | 110    |
| # PHONES | 21      | 21     | 21     | 21     | 35       | 35     | 35     | 35     | 35        | 35     |
| # CALLS  | 43,785  | 53,865 | 48,195 | 58,275 | 75,600   | 94,500 | 92,400 | 70,875 | 79,800    | 57,750 |

*\$14,595 for initial*

*224 - Sep.*

*\$16,814*

| PHASE I |         |
|---------|---------|
| HOURS:  | 648     |
| PHONES: | 21      |
| CALLS:  | 204,120 |

| PHASE II |         |
|----------|---------|
| HOURS:   | 500     |
| PHONES:  | 35      |
| CALLS:   | 262,500 |

| PHASE III |         |
|-----------|---------|
| HOURS:    | 397     |
| PHONES:   | 35      |
| CALLS:    | 208,425 |

# BUDGET

*Nothing in line for overall mgs.*

|            | PHASE I |        |        |        | PHASE II |         |         |        | PHASE III |        |
|------------|---------|--------|--------|--------|----------|---------|---------|--------|-----------|--------|
|            | MAY     | JUN    | JUL    | AUG    | SEPT     | OCT     | NOV     | DEC    | JAN       | FEB    |
| LINE USAGE | 25,400  | 30,863 | 28,334 | 33,392 | 44,081   | 54,546  | 52,149  | 40,937 | 45,954    | 38,423 |
| MAN POWER  | 16,819  | 20,691 | 18,513 | 20,748 | 27,504   | 34,380  | 33,616  | 25,785 | 29,032    | 21,010 |
| OVERHEAD * | 33,180  | 3,268  | 3,268  | 3,268  | 10,000   | 7,768   | 7,768   | 15,768 | 15,768    | 15,768 |
| MAIL **    | 7,797   | 9,357  | 8,730  | 9,665  | 7,187    | 8,569   | 8,293   | 11,094 | 12,943    | 12,023 |
| TOTAL      | 83,196  | 64,178 | 58,845 | 67,073 | 88,772   | 104,263 | 101,826 | 93,584 | 103,697   | 87,224 |

TOTAL

852,658

- \* Includes equipment payments
- \*\* Does not include equipment payments

*Breakdown?*

## EQUIPMENT PAYMENTS

*Do you add this to about*

| MAY    | JUN   | JUL   | AUG   | SEPT  | OCT   | NOV    | DEC    | JAN    | FEB    |
|--------|-------|-------|-------|-------|-------|--------|--------|--------|--------|
| 25,000 | 2,500 | 2,500 | 2,500 | 7,000 | 7,000 | 7,000  | 15,000 | 15,000 | 15,000 |
| TOTAL  |       |       |       |       |       | 98,500 |        |        |        |

*24,000  
20¢/piece - 8700*

1. The system shall be provided any time during the term of the contract.

2. The equipment has the capacity to store the records for Iowa and New Hampshire, estimated at 750,000, the capacity to handle 15-20 calls per workstation with up to 40 workstations and produce 2,500 letters per day.

3. Automatic dialing by the system is included.

4. Systems Services, Inc. will customize the software which becomes the property of the Republican State Committee of Delaware.

5. Delivery, installation, setup, deinstallation and removal of hardware is included.

6. Telephone headsets are included. (21)

7. Cables and special outlet for S36 CPU are NOT included.

8. Hardware maintenance and operations manuals are included.

9. System to be installed at Two Mill Road, Wilmington, DE to allow a May 1, 1987 start up.

*Rich Berman, Inc.*  
*Joe Merriam*  
*Robert, Inc.*

300407 / 0047



EMS SERVICES, INC.

P.O. BOX 333  
HOCKESSIN, DE 19707  
(302) 999-0404

WILLIAM MARION COMPANY, INC.

Rick - Ellen Joyce 215-449-3707  
RICHARD J. BIRMINGHAM, JR.  
Eastern Regional Sales Manager

84 Kennedy Street, Hockessin, NJ 07001  
201-343-4554 1-800-631-1914

Mr. Allan B. Hubbard  
Campaign Manager  
Pete duPont for President Campaign  
P. O. Box 1988  
Rockland, DE 19732

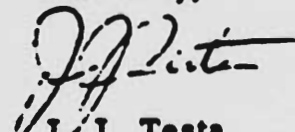
Dear Mr. Hubbard:

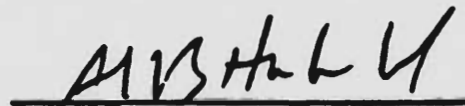
300907 / 1043  
We are prepared to sign a lease with William Marion Company, Inc. for an IBM S36 Marketing System for a term of \_\_\_\_\_ months as specified by your committee. The authorized signature below is a commitment from your campaign committee and the Republican State Committee of Delaware to adhere to the attached payment schedule and also recognizes the conditions and terms of the lease and the special provisions also attached.

SSI also supplies a list of commitments as extracted from the report of Templeton Advertising, Telemarketing and Mail Program.

All copies attached are incorporated as a part of this agreement. Your authorized signature and a check for \$16,000. payable to SSI will put the data processing plans in motion.

Sincerely,

  
J.J. Testa  
President

  
Authorized Signature  
Pete duPont for President Campaign  
Republican State Committee of Delaware

ATTACHMENTS:

Payment Schedule  
Assurances by William Marion Company, Inc.  
Assurances by Systems Services, Inc.  
Copy of the lease between WMC/SSI

## PAYMENT SCHEDULE

|                                                                                                                                                                                           | Hardware            | Software         |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------|
| Initial Payment with Agreement \$16,000.                                                                                                                                                  | \$9,304.            | \$6,696.         |
| Software Balance May 15, 1987                                                                                                                                                             |                     | 8,304.           |
| Hardware Payments:                                                                                                                                                                        |                     |                  |
| May-August \$2500.                                                                                                                                                                        | 10,000.             |                  |
| Sept-Nov \$8,000.                                                                                                                                                                         | 24,000.             |                  |
| Dec-Feb \$16,578.67                                                                                                                                                                       | 49,736.             |                  |
| Total Cost-Ten Months                                                                                                                                                                     | <u>\$93,040.</u>    | <u>\$15,000.</u> |
| Additional Ten Months:                                                                                                                                                                    |                     |                  |
| Mar-Dec, 1988 \$6228.                                                                                                                                                                     | <u>\$62,280.</u>    |                  |
| Total Cost-20 months                                                                                                                                                                      | <u>\$155,320.</u>   | <u>\$15,000.</u> |
| Prices quoted include 21 telephone workstations and one (1) console workstation.                                                                                                          |                     |                  |
| During the perion May-August, 1987 the need for additional telephone workstations will be determined and additional stations, maximum total of 40, may be added at \$144. each per month. |                     |                  |
| Three year lease;                                                                                                                                                                         |                     |                  |
| 36 months \$4403.90 per month (maint. incl)                                                                                                                                               | \$158,540.40        |                  |
| Software                                                                                                                                                                                  | <u>15,000.00</u>    |                  |
| Three year Total Cost                                                                                                                                                                     | <u>\$173,540.40</u> |                  |

**SYSTEMS SERVICES, INC.**

P.O. BOX 332  
ROCKFORD, DE 19707  
(302) 999-8404

**ASSURANCES BY SYSTEMS SERVICES, INC.**

1. Convert the Iowa and New Hampshire magnetic tapes (1600 BPI) to S36 disk records.
2. Format of disk records to comply with established format of the Republican State Committee files on our system to take advantage of existing software.
3. The statistical reports (example provided by Templeton Advertising).
4. System will provide call information, multiple scripts and response capabilities on-line. Generation of letters will be done in batch mode. Limits must be established for scripts and field choices.
5. On site support by SSI personnel during operations is NOT included because demands will be determined by the level of computer knowledge of the manager.

6. *System support as originally specified is included including resolution of all program bugs.*

**ASSURANCES BY WILLIAM MARION COMPANY, INC.**

1. A buyout of the system is provided any time during the term of the lease or at its end.
2. The equipment has the capacity to store the records for Iowa and New Hampshire, estimated at 750,000, the capacity to handle 15-20 calls per workstation with up to 40 workstations and produce 2,500 letters per day.
3. Automatic dialing by the system is included.
4. Systems Services, Inc. will customize the software which becomes the property of the Republican State Committee of Delaware.
5. Delivery, installation, setup, deinstallation and removal of hardware is included.
6. Telephone headsets are included. (21)
7. Cables and special outlet for S36 CPU are NOT included.
8. Hardware maintenance and operations manuals are included.
9. System to be installed at Two Mill Road, Wilmington, DE to allow a May 1, 1987 start up.

990407 / 3051

JP

**Pete du Pont.**  
**Tomorrow's Leader**  
**President.**

82 11 11 3

AUDIT. ENCL. 11

May 12, 1988

Cornelia Riley  
Federal Election Commission  
Audit Division  
999 E Street, N.W.  
Washington, DC 20463

RE: Audit Follow-up - Telemarketing Program Information

Dear Ms. Riley:

Enclosed you will find summary program information for the Pete du Pont for President Telemarketing Programs. In accordance with our discussion I have focused my efforts on the period prior to 1/1/88, since subsequent to that date our expenses were allocated 100% against the Iowa and/or New Hampshire limits due to FEC regulation eliminating the Fundraising Exemption within 28 days of a primary election.

There were a total of six programs run in our Telemarketing operation during the period 6/87 through 12/87. The enclosed information provides a summary of the scripts/letters that comprised each program, along with a key which explains the coding system used in program identification. I have also included a page from the computer statistics for each of these programs.

I have also included samples of the computer generated statistical summaries produced by our system for the date 11/2/87, as well as for a three day period in October and a three day period in December.

The Telemarketing summary provides an analysis of exactly which programs ran each day. It also lists the number of calls made from each program, and the number of operators & average calls per hour where these statistics were readily available. The approximate average calls per hour for each program are indicated as memo entries on the program code key attached.

The summaries provided appear consistent with the information used in our quarterly reports for Iowa allocations.

For purposes of your analysis I should once again remind you that expenses associated with CEC Payroll, MCI Telephone, RMRS postage and Systems Services Inc. (software) were all charged directly to either fundraising, the Iowa allocation or Exempt Legal/Accounting as appropriate.

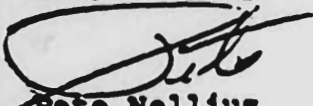
Du Pont Telemarketing  
2 of 2

Expenses for Marion Company (computer rental) and Rokeby Realty (office rent and HVAC) were correctly reported as national office overhead, consistent with the treatment of other computer and office rental within the campaign headquarters, and consistent with the fact that both the computer and the office space were used Monday thru Friday, 7 a.m. to 5 p.m., by both the Legal & Accounting operation and the Direct Mail and Event Fundraising staffs.

As I mentioned over the phone, should you desire to audit specific information as to exactly how many telemarketers worked which days on a particular script, you are welcome to examine the employee time cards here at campaign headquarters.

If you desire additional information or have questions regarding this package, please contact me through Polly Lowe's office at (302) 594-3023.

Respectfully,



Pete Nellius  
Controller

**DU PONT FOR PRESIDENT  
TELEMARKETING PROGRAM CODE KEY**

| <u>PROGRAM</u>  | <u>TELE. CODE</u> | <u>NATURE OF PROGRAM</u>                    |
|-----------------|-------------------|---------------------------------------------|
| Phase I         | TS 220            | Phase I - Fundraising Program               |
| Phase II        | VL 220            | Phase II - Fundraising Program              |
| Phase III       | DB 220            | Phase III - Fundraising Prog.               |
| COFFEES         | CF 220 *          | Organizing Coffees/Receptions               |
| Blind Canvas    | BC 220 *          | Iowa Voter Canvas/Polling                   |
| Social Security | SF 220            | Social Security Special Fundraising Program |

\* programs denoted with an asterisk were not fundraising in nature and all direct expenses associated with these programs were allocated against the Iowa state allocation.

Hi M/M \_\_\_\_\_

This is \_\_\_\_\_ calling from Pete du Pont's campaign headquarters in Wilmington, Delaware.

Have you read or heard anything recently about Pete du Pont?

(If yes) As you may know, Pete du Pont served six years in the United States Congress and eight years as Governor of Delaware. As Governor, Pete du Pont balanced the state's budget in each of his eight years, cut state taxes by 30% and still maintained state services.

(If no) Pete du Pont is a Republican candidate for President. He served six years in the United States Congress and eight years as Governor of Delaware. As Governor, Pete du Pont balanced the state's budget in each of his eight years, cut state taxes by 30% and still maintained state services.

Pete du Pont believes the American people want to make several common sense changes to the way things run and wants to know if you favor or oppose each one.

First, would you favor or oppose a proposal:

1. To make all able-bodied Americans on welfare, work, in order to get a check.
2. To phase out \$26 billion farm subsidies over the next five years.
3. For an optional IRA-type savings account to supplement Social Security.
4. To make high school classrooms drug and alcohol free through a program of random testing.
5. For a government-guaranteed student loan program for college and vocational school education.

Now, M/M \_\_\_\_\_ which of these proposals is most important to you:

1. Work rather than welfare
2. Phasing out farm subsidies
3. An improved retirement program
4. Drug and alcohol-free classrooms, or
5. A government-guaranteed student loan program

(1, 2, 3, 4, 5)

30040716055

I'm delighted to tell you that your position on these proposals and Pete du Pont's are (nearly) identical. Can Pete du Pont count on your support in his effort to be a president who can change things for the better.

Oh, by the way, how would you describe the likelihood of your attending the February caucuses:

1. Definitely will
  2. Probably will
  3. Probably won't
  4. Definitely won't
  5. Don't know
- (1, 2, 3, 4, 5)

Pete would like to send you more information on his proposals. We have your address as:

Is this correct?

Thank you very much for your time.

8/7/87

8 2 0 4 0 7 / 4 0 5 6

**SCRIPT**

N/H \_\_\_\_\_?

My name is \_\_\_\_\_. I am in Pete du Pont's presidential campaign headquarters in Wilmington, Delaware. Pete asked me to call you. Do you have two minutes to talk? Pete du Pont is the one candidate for President who is offering voters real, new ideas for changes that can help all of us.

Pete asked me to call you because he needs information on which of his five major proposals to create new and better opportunities is most important to thoughtful Americans like you.

Let me briefly describe these five ideas so you can tell me what you think.

1. Pete du Pont proposes abolishing welfare payments to able-bodied Americans and replacing it with a work requirement in order to get a check from the taxpayer.
2. Pete du Pont proposes to end all farm subsidies so that both farmers and grocery shoppers can have the benefits of the marketplace.
3. Pete du Pont proposes a Financial Security system to go along with Social Security and give future generations more confidence in and control over their retirement benefits.
4. Pete du Pont proposes making high school classrooms drug and alcohol free.
5. Pete du Pont proposes giving parents more control over choosing the school their kids attend.

Pete would like to know which of these proposals is of greatest interest to you:

- Work rather than welfare
- An end to farm subsidies
- An improved retirement program
- Drug and alcohol free classrooms
- Parental choices in school selection

Thank you.

300407/4057

Script  
Page 2

Finally, can Pete count on your support in his effort to be  
a President who can change things for the better.

Yes \_\_\_\_\_ No \_\_\_\_\_ Undecided \_\_\_\_\_

We have your address as: \_\_\_\_\_

Is this correct?

New address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Thank you very much for your time.

800407/4053  
*Follow-up sent to those who answer yes to  
support Pete.*

**Pete du Pont.  
Tomorrow's Leader.  
President.**

*Phase I  
follow-up letter*

TS 87  
TS 221

Attachment II to Exhibit B  
Page 8 of 23

June 11, 1987

MR. LESLIE L. ALLEN  
1353 180TH  
ACKWORTH, IOWA 50001

Dear MR. ALLEN:

Thank you for taking the time to speak with a member of my staff about my campaign for the presidency. I'm delighted that you have agreed to join our campaign, and I hope you will encourage others to join an effort to make important changes for our future.

Our campaign has put forward several proposals for change that will create opportunity in America:

- o Welfare -- We know that government spending doesn't cure poverty, so our nation's policy must be, "If you don't work, you don't get paid."
- o Agriculture -- We should phase out all farm subsidies over five years so that both farmers and grocery shoppers can have the benefits of the marketplace.
- o Social Security -- We need an IRA-based system to supplement Social Security and give future generations more confidence in, and control over, their retirement benefits.
- o Drugs in School -- We can get drugs out of America's classrooms by linking illegal drug use with the privilege of holding a driver's license.
- o Education -- Parents must have a greater say in where their kids go to school, what subjects they take, what they read, and what they learn.

I have enclosed a brochure outlining in greater detail my views on these important changes. I hope that after you read it, you will share it with your friends and neighbors.

As you know, successful campaigns are dependent upon widespread volunteer and financial support. Enclosed are a volunteer card and a contribution envelope. I would very much appreciate your help.

Sincerely,

*Pete du Pont*  
Pete du Pont

30040774059

VB 220  
Phase III  
Script

Phase III - Debate script 9/23/87

Hello. My name is \_\_\_\_\_. How are you today? I'm calling on behalf of Pete du Pont's campaign for president.

He wanted you to know that all of the Republican candidates for president will be together on public television on October 28th at 8:00 p.m.

As you may know, Pete du Pont is working hard to have this campaign focus on issues like replacing welfare with an absolute work requirement for those who can work. He is also campaigning on the platform that Americans want to get drugs out of our classrooms and that there is a way to do it. He also supports ending the \$26 billion in farm subsidies.

The reason I am calling is just to let you know how important we think this debate among the Republican candidates will be. We need to pick someone for president who has given real thought to our future and is willing to say where he or she stands. Pete du Pont is doing just that.

I know it is still a few weeks away, but we hope you will mark October 28th on your calendar. The debate will be at 8:00 p.m. on Wednesday, October 28th.

DB 220

Phase III

Follow-up Letter

Dear Iowa friend,

Wednesday, October 28th is the date of the first televised GOP Presidential debate.

Please be watching!

Because you'll get to see a big difference between me and the other Presidential candidates.

The debate is going to be televised on the following television stations:

|                                     |                          |
|-------------------------------------|--------------------------|
| KDIN-TV, Channel 11, Des Moines     | Channel 33, Ottumwa      |
| KIIN-TV, Channel 12, Iowa City      | Channel 25, Rock Rapids  |
| KTIN-TV, Channel 21, Fort Dodge     | Channel 33, Sibley       |
| KYIN-TV, Channel 24, Mason City     | Channel 38, Fort Madison |
| KSIN-TV, Channel 27, Sioux City     | Channel 54, Keosauqua    |
| KBIN-TV, Channel 32, Council Bluffs | Channel 44, Keokuk       |
| KRIN-TV, Channel 32, Waterloo       | Channel 14, Decorah      |
| KHIN-TV, Channel 36, Red Oak        | Channel 41, Lansing      |

It's important that you watch this debate, because as an Iowa voter, you have a major influence on who is elected our next President.

So please make a note of the date: October 28th. Put a note on your refrigerator door. Mark it on your calendar. And be sure to tune in.

I've enclosed a special "GOP Presidential Debate Scorecard." You can use it to keep track of which candidates you agree with on the issues.

I hope you'll return your scorecard to me after the debate is over so I'll know whether you and I agree about America's future.

Let me give you a few key points to watch for...

**WELFARE:** In the debate I'll be detailing a plan to eliminate welfare for able-bodied people. Our motto in this country must be, "If you don't work, you don't get paid."

The other "status quo" GOP candidates don't agree with me. But it's for you to decide who is right when you watch the debate on October 28th.

**SOCIAL SECURITY:** The politicians don't want to talk about Social Security, but I'll be talking about it in the debate.

Social Security benefits cannot be guaranteed if we ignore the need for changes.

In the debate, I'll be outlining a proposal to guarantee a decent retirement for all our citizens-- young and old.

Here again, the other candidates oppose this innovative idea on Social Security... they prefer the status quo. So look for some good give-and-take on this issue.

**AGRICULTURE:** The federal government in Washington is spending over \$26 billion a year on agricultural subsidies.

Do you think this is a good idea? Do you think we can afford it?

I don't. And I think farmers are worse off because of it!

I don't think it makes any sense to pay farmers NOT to produce their crops.

I believe our farmers will prosper again if we get out of their way and let them produce and compete in the free market.

That's why I support the elimination of farm subsidies.

In the debate, I'll be asking my challengers a simple question: "Do you think our farm policy is worth the \$26 billion it is costing?"

**Watch closely for their answer.**

I hope we also get time to discuss some other important issues. But in case we don't, let me tell you where I stand.

- \* I support aid to anti-communist freedom fighters in Nicaragua, Angola, Mozambique and elsewhere.
- \* I support deployment of President Reagan's Strategic Defense Initiative (SDI).

300407/4952

\* I support a Constitutional amendment to control spending.

\* I support voluntary prayer in our schools.

That's what I support.

Now, here's what I'm against:

I'm against tax increases.

In fact, I was the first Presidential candidate to sign a Pledge to veto any tax increase if elected President.

I hope you'll use your "GOP Presidential Debate Scorecard" to mark down who you agree with on these major questions.

And please remember to return your "scorecard" to me as soon as the debate is over.

I'd really like to know what you think about my presentation in the debate.

And be candid. Tell me the honest to goodness truth!

If you liked these ideas, tell me so. If you don't, tell me that too!

Simply fill out your debate scorecard and return it to me in the enclosed postage paid envelope. (Please use the one which is marked "Debate Scorecard Enclosed.")

And if you agree with me on how to protect your family's future and our nation's freedom, I hope you'll consider sending my campaign a contribution of \$25, \$50, \$100 or even \$250.

I'd be most grateful for any amount of support you can send.

And the sooner you can send your contribution, the better! My political advisors tell me that "early money" (their term) is critical to a Presidential campaign.

That's why I've enclosed two return envelopes.

One is the envelope that is marked "GOP Presidential Debate Scorecard." Please use that envelope to return your scorecard after the debate on October 28. (And, if you like my positions on the issues, I hope you will enclose a contribution with your scorecard.)

80040714050

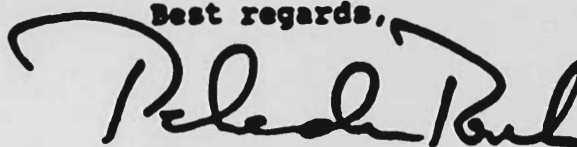
The other envelope is marked "Immediate Reply." If you're already a supporter of my campaign, I hope you'll use this envelope to send an immediate contribution today.

But whatever you do... please be sure to watch the debate on October 28th and return your "GOP Presidential Debate Scorecard" to let me know what you think.

I'm looking forward to hearing from you after the debate...

or sooner if you can contribute today.

Best regards,

A handwritten signature in dark ink, appearing to read "Pete du Pont", with a large, sweeping flourish at the end.

Pete du Pont

P.S. Please put your "GOP Presidential Debate Scorecard" and your debate reply envelope on your TV set-- so you'll have it handy on Wednesday, October 28th. That's the day of the big debate.

300407/4054

Date: Wednesday October 28 Time: 8:00 p.m. Televised on:

|                                     |                          |
|-------------------------------------|--------------------------|
| KDIN-TV, Channel 11, Des Moines     | Channel 33, Ottumwa      |
| KIIN-TV, Channel 12, Iowa City      | Channel 25, Rock Rapids  |
| KTIN-TV, Channel 21, Fort Dodge     | Channel 33, Sibley       |
| KVIN-TV, Channel 24, Mason City     | Channel 38, Port Madison |
| KSIN-TV, Channel 27, Sioux City     | Channel 54, Keosauqua    |
| KBIN-TV, Channel 32, Council Bluffs | Channel 44, Keokuk       |
| KRIN-TV, Channel 32, Waterloo       | Channel 14, Decorah      |
| KHIN-TV, Channel 36, Red Oak        | Channel 41, Lansing      |

## GOP PRESIDENTIAL DEBATE SCORECARD

(While watching the debate, place a check next to the name of the candidate who best expresses your view on the issue being discussed.)

### WELFARE:

\_\_\_ Pete du Pont

\_\_\_ Bob Dole

\_\_\_ George Bush

\_\_\_ Jack Kemp

\_\_\_ Al Haig

\_\_\_ Pat Robertson

Problem: The federal government has spent over \$300 billion on welfare in the last 10 years. Welfare hasn't worked. It has demoralized the poor and ripped off the taxpayer.

du Pont says: Eliminate welfare. "Our motto must be: If you don't work, you don't get paid."

The other candidates?

### TAXES:

\_\_\_ Pete du Pont

\_\_\_ Bob Dole

\_\_\_ George Bush

\_\_\_ Jack Kemp

\_\_\_ Al Haig

\_\_\_ Pat Robertson

Problem: Washington politicians keep raising our taxes.

du Pont says: "No tax increases!"

The other candidates?

### AGRICULTURE:

\_\_\_ Pete du Pont

\_\_\_ Bob Dole

\_\_\_ George Bush

Problem: Agriculture subsidies are costing the American taxpayer over \$26 billion a year. We are paying farmers not to produce and everyone is worse off. (over)

3 0 0 4 0 7 / 4 0 6 5

30040714060  
\_\_\_\_ Jack Keap  
\_\_\_\_ Al Haig  
\_\_\_\_ Pat Robertson

du Pont says: "Let's eliminate costly subsidies, and let the American farmer compete in the free market. Our farmers are the most productive in the world and they can compete with anyone."

The other candidates?

#### SOCIAL SECURITY

\_\_\_\_ Pete du Pont  
\_\_\_\_ Bob Dole  
\_\_\_\_ George Bush  
\_\_\_\_ Jack Keap  
\_\_\_\_ Al Haig  
\_\_\_\_ Pat Robertson

The Problem: Social security will become insolvent when "baby boomers" begin to retire. Yet politicians refuse to address the issue of Social Security.

du Pont says: "Ignoring Social Security won't solve the problem. We must guarantee all future benefits. But we must also give young people a choice between the government's retirement plan and their own plan. This will reduce the strain on the Social Security system and make it more secure."

The other candidates?

## REPLY TO PETE DU PONT

Dear Pete,

\_\_\_\_ I watched the debate and I've enclosed my evaluation of your stand on the issues.

\_\_\_\_ I'll support your conservative platform for change and opportunity. I'm enclosing my contribution of:

\_\_\_\_ \$25 \_\_\_\_ \$50 \_\_\_\_ \$100 \_\_\_\_ \$500 \_\_\_\_ \$1,000 \_\_\_\_ other

\_\_\_\_ I'll volunteer for du Pont for President! Have your campaign headquarters contact me.

\_\_\_\_ I'll attend the precinct caucuses on February 8.

\_\_\_\_ I cannot support your campaign for change. I support one of the status quo candidates. .

Name \_\_\_\_\_ Phone# \_\_\_\_\_  
Street \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_  
Occupation \_\_\_\_\_ Employer \_\_\_\_\_

(Paid for by Pete du Pont for President)

Script  
Coffee

14-110, I am \_\_\_\_\_ at the Pete du Pont for President headquarters. As you know from our invitation, there will be a discussion on topics like replacing welfare with work, phasing out farm subsidies and eliminating drugs from our classrooms at TIME on DATE at PLACE. Pete du Pont will be leading the discussion. We hope you can attend. Are you planning to join us?

(If yes, write down his/her name and continue script.)

(If no, continue script.)

Are you familiar with Pete's campaign?

(If yes) As you know, Pete is the one Republican candidate for president who is talking about the kinds of changes that you and I know must be made in this country: such as replacing welfare with work, eliminating farm subsidies and making schools drug free.

(If no) Pete is the one Republican candidate....

Would you like to join our campaign to try to get these things done?

(If yes) Super, we'll be getting in touch with you. (Write down name.)

(If no) Sorry, but please continue to consider our campaign to change things for the better.

Thank you very much for your time (if appropriate) and we hope to see you at the coffee.

Feb 8 Iowa Co  
Vote for C

**Pete du Pont.  
Tomorrow's Leader.  
President.**

**COFFEE  
LETTER**

Attachment II to Exhibit C  
Page 17 of 23

**December 31, 1987**

**MR. KENNETH H STARK  
R R 2  
BOX 123  
RICEVILLE, IOWA 50466**

**Dear MR. STARK:**

Does the presidential campaign seem to be a long way from Pottawattamie County? Even with all the attention focused on Iowa, do you have the impression that the front-runners are more interested in their campaigns than our futures?

We feel that way. That is why Pete du Pont's campaign is so important to us. It is the only true locally based effort to keep our country on track.

Is anyone else as candid and as committed to hearing and working with people as Pete? Has anyone else been so helpful in detailing ways to solve the problems and capture the opportunities we all know are around us?

Pete is coming to Pottawattamie County to join a discussion on topics like the future of farm policy, the ridiculous practice of giving people welfare checks rather than requiring work, an obvious way we can be sure our kids are not using drugs, and the best way we can protect our investment in Social Security. Please join us on:

**DATE: Tuesday, January 12th  
TIME: 7:00 p.m.  
LOCATION: Holiday Inn  
Meeting Room C  
2325 Avenue North  
Council Bluffs, Iowa**

This is an open discussion. Other topics will surely come up. We sincerely hope you can join us at 7:00 p.m. on the 12th.

**Sincerely,**

**Denise Carlson  
Audrey Chapin  
Joe and Ruth Davis  
Joe Fahrenkrog  
John Ferryman**

**Dorothy and John Buckingham  
Stanley and Carol Danker  
Bill and Florence Everly  
Doyle and Marilyn Pilling**

**P.S. IF YOU NEED MORE INFORMATION, PLEASE CALL 1-800-444-PETE.**

National Office: 2 Mill Road, P.O. Box 1988, Rockland, Delaware 19732 (302) 594-3000  
Iowa Office: 1812 High Street, P.O. Box 7245, Des Moines, Iowa 50309 (515) 282-7444

Paid for by Pete du Pont for President

SP 440  
Script  
Soc Sec Phase

SS phase script  
11/9/87

Hi, Mr/Mrs \_\_\_\_\_? I'm \_\_\_\_\_, a campaign worker for Pete du Pont. As you may have heard, Pete has been discussing problems with the future of the Social Security System.

If you stop to think about the number of people who will be at retirement age in a few years, compared to the number that are still working, it is clear that there won't be enough money to meet future needs.

Mr/Mrs \_\_\_\_\_, Pete thinks changes should be made now, to protect the people who are on Social Security already, and to make sure that our young people can count on Social Security in the future.

I am calling to let you know that Pete has mailed you a package of information about his plan for a Financial Security System that can supplement Social Security in the future, and provide a tax break for you right now. Will you look for Pete's letter Mr/Mrs \_\_\_\_\_? It should arrive in a few days.

Jack Kemp says that Pete is lying about what the future holds. George Bush says that Pete's ideas are nutty, but Pete thinks you would like to know about his financial security plan, and decide for yourself.

Please take the time to read Pete's letter when it arrives in the next few days.

Thank you for your time.

8 9 0 4 0 7 1 4 0 5 9

21 220  
Follow up letter  
See See Furd. 1151.

Social Security letter

Date

Address

Dear:

I am just delighted to learn that you share my view that we in America need a choice in the way we prepare financially for our retirement.

No matter what the politicians in both parties say, you and I both know that our present Social Security system cannot withstand the crunch that will be caused by the retirement of the baby boom generation.

I am especially excited about your support for a retirement choice because I hope that you will be able to offer some of the help that our current system needs.

Frankly, I am doing about all I can. My campaign has worked out a proposal to solve the problem.

It is called the Financial Security System.

My candidacy is, in large measure, devoted to pushing for this crucial new idea. We are making great headway. But, you must help if we are to win a choice.

Why? Because lots of so-called "leaders" are really behind the times.

- George Bush says the Financial Security System is "nutty."
- Jack Keap is equally opposed to your having a choice.
- 80 percent of all the members of Congress oppose any change to give us a choice.

Yet, recent surveys show that a majority of Americans want to make needed changes.

What can you do to help? It is as simple as it is important. I have enclosed three copies of a handout describing the Financial Security System. Use them to introduce three friends or colleagues to the idea. Tell them how important it is to have a choice when preparing for retirement.

And, if possible, please send in a contribution to support our efforts to make this important change in our retirement system.

8 9 0 0 4 0 7 1 4 0 7 0

Finally, I ask you to do two more things: a favor to me—  
and as a favor to all Americans:

- Ask the people who share our desire to give ourselves a choice in preparing for our retirement to go to the Republican caucuses on February 8.
- Ask them to support my campaign--the one campaign that wants to give us the choice we need.

Use the enclosed cards to tell me the people you have recruited. Send the cards to:

Pete du Pont  
P.O. Box 7245  
Des Moines, IA 50309

When our campaign wins, you will also win because the politicians will get the message:

Give us a choice in preparing for our retirement.

Let us keep our Social Security benefits without any possibility of cuts.

OR

Let each of us individually choose all or partial participation in the Financial Security System.

When we win, you can pick one alternative and your wife, son or daughter, friends or colleagues can pick the other alternative.

That is what America is all about--choice.

America is also about working together to make progress. I am hard at work. Won't you join me?

Sincerely,

Pete du Pont

P.S. If you know anyone who still believes that Social Security can continue just the way it is and pay what it owes, tell them the truth. Tell them that no change now will mean higher taxes or lower benefits later.

800407/4071

11/30/87

BLIND CANVAS TELEPHONE SCRIPT

*Script  
Polling.*

Hello, my name is \_\_\_\_\_ and I'm with the Public  
Opinion Research Company.

Can you hear me OK?

I'd like to ask you a couple of questions about next year's  
Republican precinct caucuses.

1. Have you ever previously attended the precinct  
caucuses?
2. Do you plan to attend the Republican precinct caucuses  
next February 8th?
3. I'm going to read you a list of Republican presidential  
candidates. Would you tell me if you have ever heard  
of them and whether you have a generally favorable or  
unfavorable impression of each of these people.

| Heard<br>Of | Not Heard<br>Of | Fav Unf | Don't<br>Know | Refuse to<br>Answer |
|-------------|-----------------|---------|---------------|---------------------|
|-------------|-----------------|---------|---------------|---------------------|

George Bush  
Bob Dole  
Pete du Pont  
Alexander Haig  
Jack Keep  
Pat Robertson

(Rotate names for each respondent)

4. If the Republican precinct caucuses were held today,  
which of these people would you vote for for president?

George Bush  
Bob Dole  
Pete du Pont  
Alexander Haig  
Jack Keep  
Pat Robertson  
Don't Know  
Refused to Answer

(Same rotation as in #3 above)

Thank you for taking the time to answer this survey. Good  
night!

37040714072

PHASE II CALLS

Hello, my name is \_\_\_\_\_ and I am calling for Pete du Pont's campaign. How are you this evening? I just need a couple of minutes of your time. It's important because Pete's campaign is the only campaign that is thinking about the future. Pete says we can replace welfare with work--and we should. Also, Pete says we can phase-out farm subsidies--and we should. Finally, Pete is the only candidate who will even talk about a better retirement system to go along with Social Security.

It takes the help of a lot of people to win an election. We need lots of people to vote for Pete at the caucus.

Would you be willing to go to the precinct caucuses for Pete du Pont?

\_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Undecided

(If yes) Would you be willing to help our campaign in your neighborhood. It's really easy and we'll have someone get in touch with you to tell you what's involved.

\_\_\_\_\_ Yes, have someone get in touch with me.

\_\_\_\_\_ No, I can't help.

Would you also be willing to make a \$20.00 contribution to our campaign?

\_\_\_\_\_ Yes \_\_\_\_\_ No

(If no or undecided) Well I'm sure you agree that the presidential campaign is extremely important for all of us. We will be sending you some additional information on Pete du Pont's campaign.

Thank you very much for your time.

300407/9075

CONTRIBUTOR LETTER - 0/14/87

*Le... up Letter  
Phase II**II*

My campaign colleagues in Wilmington just told me of your willingness to support our campaign. On behalf of millions of Americans like you and me who are concerned about our country getting stuck in the status quo, I want to thank you for your support.

Our campaign has but one goal. We want to give Americans the opportunity to vote for common sense change that will solve problems, better our lives, and buttress our freedom.

We want to replace a failed welfare program with the opportunity and obligations of work. We want to replace the \$26 billion of government waste in our farm program with new opportunities stimulated by the miracle of the market-place. We want to get drugs out of our kids' classrooms and put the discipline of competition into them. Finally, we want to face the reality that a Social Security program locked in the past cannot protect in the future.

I am enclosing a bumper sticker in the hope that you will use it to display your commitment to a common sense campaign to correct our mistakes, buttress our strengths, and keep American moving.

Thanks and, again, welcome.

300407 / 0074

## Pete du Pont for President

= Telemarketing Costs Allocable to Iowa  
as Determined by the Audit staff

| <u>Category</u>                                        | <u>Amount</u>             | <u>Method</u>                                                                                                                     |
|--------------------------------------------------------|---------------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| <b>I. <u>Within 28 Day Rule Allocation:</u></b>        |                           |                                                                                                                                   |
| ° MCI (FEB 25, 1988 Bill)                              | \$ 6,930.26               | 100% of Iowa calls                                                                                                                |
| (JAN 25, 1988 Bill)                                    | 8,127.55                  | 100% of Iowa calls<br>pro-rated based on<br>days within 28 day<br>period                                                          |
| ° Rokeby Realty<br>(JAN-FEB 1988)                      | 994.59                    | Telemarketing space<br>and HVAC<br>(utilities)<br>prorated based on<br>hours of operation<br>and days within the<br>28 day period |
| ° CEC (Payroll, JAN-<br>FEB 1988)                      | 29,519.73                 | Gross payroll pro-<br>rated based on days<br>within 28 day<br>period                                                              |
| ° Marion Company<br>(computer rental,<br>JAN-FEB 1988) | 6,735.69                  | Amounts prorated<br>based on hours of<br>operation and days<br>within 28 day rule                                                 |
| ° System Services, Inc.<br>(JAN-FEB 1988)              | <u>401.85</u>             | Same as for Marion                                                                                                                |
| <b>Total Allocated<br/>within 28 Day Rule</b>          | <u><u>\$52,709.67</u></u> |                                                                                                                                   |

900407/4075

## Pete du Pont for President

Telemarketing Costs Allocable to Iowa  
as Determined by the Audit staff

| <u>Category</u>                                                              | <u>Amount</u>           | <u>Method</u>                                                                                                                  |
|------------------------------------------------------------------------------|-------------------------|--------------------------------------------------------------------------------------------------------------------------------|
| <b>II. <u>Outside 28 Day Rule Allocation:</u></b>                            |                         |                                                                                                                                |
| ° MCI                                                                        | \$ 86,378.48            | Amounts associated with Iowa were pro-rated based on an analysis of pre-dominately used scripts and related log (usage) sheets |
| ° Rokeby Realty                                                              | 5,713.70                | Same as 28 day rule method                                                                                                     |
| ° CEC (Payroll)                                                              | 168,339.00              | Determined like MCI above                                                                                                      |
| ° Marion Company<br>(computer rental)                                        | 18,234.54               | Same as 28 day rule analysis                                                                                                   |
| ° System Services, Inc.                                                      | 17,375.51               | Same as 28 day rule analysis                                                                                                   |
| ° Postage                                                                    | 17,020.78               | Accepted committee allocation                                                                                                  |
| ° Electrical Contracting<br>Service                                          | 5,694.00                | Allocated based on IA-MCI as a percentage of total MCI                                                                         |
| ° Miscellaneous                                                              | 4,083.47                | Allocated 100% to Iowa as did committee on their allocation work-papers                                                        |
| <br>Total Allocated Outside<br>28 Day Rule                                   | <br><u>\$322,839.48</u> |                                                                                                                                |
| <br>Telemarketing Costs<br>Allocable to Iowa as<br>Determined by Audit staff | <br><u>\$375,549.15</u> |                                                                                                                                |

370407/4076

Reconciliation of Payroll Allocation per Committee's Response to  
the Interim Audit Report with Payroll Allocation per Audit

|                                                      |                  |
|------------------------------------------------------|------------------|
| Per Committee response, amount of payroll allocated: | \$79,927.79      |
| Amount per audit:                                    | <u>72,243.79</u> |
| Difference                                           | \$ 7,684.00      |

Explanation:

Amounts allocated by Committee not included in  
Committee total:

|                    |                 |
|--------------------|-----------------|
| March 1988 payroll | 1,042.00        |
| 1987 Q3 payroll    | <u>1,272.94</u> |

Amounts included by Audit as Payroll for Jan. 1988  
but not by Committee

|                  |               |
|------------------|---------------|
| Casual Services  | 5,000.00      |
| Payroll Services | 84.25         |
| Payroll Services | 367.00        |
| Casual Services  | <u>470.50</u> |

Amounts included by Audit as Payroll for February 1988  
but not by Committee:

|                               |               |
|-------------------------------|---------------|
| Miscellaneous office supplies | 311.50        |
| Payroll Services              | 241.25        |
| Casual Services               | <u>214.47</u> |

|                                                   |                    |
|---------------------------------------------------|--------------------|
| Overallocation by Committee (see footnote page 4) | <u>(16,687.91)</u> |
|---------------------------------------------------|--------------------|

|                         |                        |
|-------------------------|------------------------|
| Unexplained difference: | <u>\$ <u>00.00</u></u> |
|-------------------------|------------------------|

11,406

## Advisory Opinions

187 4-21-88

administrative personnel and to make two written solicitations per year to non-executive employees. 2 U.S.C. §441b(b)(4). An incorporated membership organization is also allowed to solicit contributions from its individual members. 2 U.S.C. §441b(b)(4)(C), 11 CFR 114.7(a). The Commission has previously concluded that a communication regarding a separate segregated fund's activity is not a solicitation under section 441b where the information provided would neither encourage readers to support a separate segregated fund's activities nor facilitate making contributions to it. Advisory Opinions 1983-38 [§5741], 1982-65 [§5701], 1980-65 [§5520], and 1979-66 [§5453].

CBOE's proposed posting of reports filed with the Commission is only informational. By displaying a copy of the FEC reports on its bulletin board, CBOE is a passive conduit of information. The reports, therefore, merely inform the reader and in no way encourage support of CBOEPAC or facilitate contributions to it. Accordingly, the Commission concludes that CBOE's posting of receipt and disbursement reports filed with the Commission would not constitute a solicitation under 2 U.S.C. §441b(b)(4). Because the report posting is not a contribution solicitation, it is immaterial that persons outside the solicitable class of CBOE may read the posted FEC reports.

This response constitutes an advisory opinion concerning application of the Act, and regulations prescribed by the Commission, to the specific transaction or activity set forth in your request. See 2 U.S.C. §437f.

Dated: February 26, 1988.

- 1/ In Advisory Opinion 1987-31 [§5909] the Commission reviewed the status of several groups of CBOE personnel and concluded that some groups qualified as members for purposes of the Act, but that other groups did not.
- 2/ Those restrictions apply regardless of where the FEC report is displayed.

[§5911] AO 1988-6: Combined Campaign Announcement and Fundraising

[Part of the cost of a campaign announcement may be attributed to fundraising if a solicitation is made in the announcement and if the solicitation is made more than 28 days prior to the election date. Answer to Donald J. Simon of Sonosky, Chambers & Sachse, Suite 1000, 1250 Eye Street, N. W., Washington, D. C. 20005.]

This responds to your letter dated February 10, 1988, requesting an advisory opinion on behalf of the Albert Gore, Jr. for President Committee, Inc. ("the Committee"), regarding application of the Federal Election Campaign Act of 1971, as amended ("the Act"), and Commission regulations to broadcast media time buys that the Committee proposes to make in connection with Senator Gore's 1988 presidential campaign.

Your letter initially explains that you are requesting an expedited advisory opinion within 20 days because the proposed media campaign is scheduled to run in advance of the Colorado caucuses of April 4, 1988, and the Illinois and Connecticut presidential primaries on March 15 and 29, 1988, respectively. These caucuses and primary elections are scheduled to occur within 60 days from the date of the Committee's request, and the described Committee activity is directly connected to them. Accordingly, the Commission agrees that the request qualifies for an expedited opinion under 2 U.S.C. §437f(a)(2) and 11 CFR 112.4(b).

Your letter describes the media advertisement time-buy which is proposed in connection with Senator Gore's campaign prior to the Colorado Democratic caucuses to be held on April 4, 1988.

As part of his campaign in that caucus, the Committee intends to purchase air time to run a television advertisement both for the purpose of garnering political support and for the purpose of campaign fundraising. The Committee intends to run the advertisement prior to March 7, 1988, or more than 28 days prior to the Colorado caucus.

15911

© 1988, Commerce Clearing House, Inc.

157 4-21-88

Opinions

11,407

The advertisement which the Committee intends to run in Colorado will be a 60 second spot. The first approximately 57 seconds of the advertisement will consist of visuals and audio devoted to a discussion of trade policy or a related issue. This portion of the advertisement will discuss the issue and Senator Gore's perspective on the issue, as well as his intentions as to what action he will take on the issue as President.

The last approximately three seconds of the advertisement will consist of a visual listing the words "Vote - Volunteer - Contribute" on a black background, and then a second visual consisting of the name of the candidate. While these visuals are running, an announcer's voice will say the same words as appear on the screen.

By letter dated February 17, 1988, you further stated that during the final three seconds a telephone number for the Gore campaign will appear on the screen "for those who wish to volunteer as well as those who wish to contribute." The announcer will not repeat the telephone number.

On the basis of this described activity you request an advisory opinion responding to four questions.

1. May the Committee treat some portion of the costs of broadcasting the advertisement described above as an exempt fundraising expense pursuant to 11 CFR 100.8(b)(21), and thus exclude that amount from the state and overall spending ceilings?
2. If the answer to Question 1 is yes, is a 50 percent allocation of such costs as an exempt fundraising expense a reasonable allocation and may 50 percent of the costs of the above-described advertisement be excluded from the state and overall spending ceilings?
3. If the answer to Question 2 is no, what percentage of the costs of airing the advertisement may be treated as an exempt fundraising expense and excluded from the state and national ceilings?
4. For purposes of applying the 28-day rule set forth in 11 CFR 110.8(c), is the critical date the date that the Committee makes the expenditure for the broadcast of an advertisement, or the date that the advertisement is actually broadcast? In other words, if the Committee makes an expenditure to buy time for an advertisement 29 days prior to the Colorado caucus, but the advertisement is not scheduled to run until two days later, or the 27th day prior to the caucus, may the Committee still exclude a portion of the costs of airing the advertisement as an exempt fundraising expense, assuming that the ad would otherwise qualify for the exclusion?

Subject to the discussion below and for the reasons set forth therein, the Commission concludes in response to questions one and two, that (1) the Committee may allocate some of its broadcast time costs for the described advertisement to its national 20 percent fundraising exclusion and (2) an allocation of 50 percent of the costs to the national exclusion is reasonable based on the facts presented. In response to question four, and subject to the discussion and reasons set forth below, the Commission concludes that the date(s) on which the broadcast advertisement runs would determine whether the 28 day rule in Commission regulations, 11 CFR 110.8(c), bars allocation of any broadcast time costs to the fundraising exclusion.

The Act provides that a presidential candidate who becomes eligible for matching payments to finance a campaign for the presidential nomination of a political party is subject to expenditure limits. 2 U.S.C. §441a(b), 26 U.S.C. §9035. These limits include both an overall or national limit, set at \$23,050,000 for the 1988 presidential election cycle, as well as sublimits for each state based on its voting age population. 2 U.S.C. §441a(b)(1)(A).

The Act also contains several exceptions, exemptions, and exclusions to the expenditure limits. See generally 2 U.S.C. §431(9)(B). Of particular relevance here

11,408

Advisory Opinions

187 4-21-88

is the exclusion from the limits for "any costs incurred by...[a presidential candidate who accepts Federal matching payments] in connection with the solicitation of contributions on behalf of" the presidential candidate. 2 U.S.C. 9431(9)(B)(vi). This statutory exclusion is, however, limited to 20 percent of the national expenditure limit. (The fundraising exclusion for the 1988 presidential election cycle is \$4,610,000 which, when added to the base limit, results in a combined expenditure limit for 1988 of \$27,660,000.) Because this exclusion is based on the national limit which, in turn, is prescribed by the Act without regard to voting age population, the Commission has long held that fundraising expenditures are not counted against either the national limit or any state limit provided they are within the 20 percent exclusion. 11 CFR 100.8(b)(21), Advisory Opinion 1975-33 [95173].

Given the foregoing provisions of the Act and regulations, the first issue presented is whether expenditures to broadcast an advertisement that mentions contributions are allocable on any reasonable basis to the fundraising exclusion.

By their terms, the regulations define the fundraising exclusion to mean "any cost reasonably related to" or "associated with" solicitation of contributions. Costs of airtime for fundraising advertisements are expressly included. 11 CFR 100.8(b)(21)(i), 106.2(c)(5)(ii). In the context of allocation generally, the regulations provide that an expenditure on behalf of several candidates is allocable to each candidate who is reasonably expected to derive some benefit from the joint expenditure. 11 CFR 106.1(a). In addition, certain expenditures by political committees, including their fundraising expenditures, that influence both Federal and State (or local) elections are required to be allocated to their separate accounts on a "reasonable basis." 11 CFR 106.1(c), 106.1(e). The general allocation method used for multi-state expenditures by presidential campaigns requires that allocation among states be made on a "reasonable and uniformly applied basis." 11 CFR 106.2(b)(1). Because these provisions recognize that expenditures within the purview of the Act may be made for multiple purposes, the Commission believes that expenditures for broadcast time to run an advertisement which includes a fundraising solicitation may be allocated on a "reasonable basis" to the fundraising exclusion for presidential candidates who accept matching Federal payments.

The issue then raised by questions two and three is determining a "reasonable basis" for an allocation of some portion of the expenditures in question to the fundraising exclusion. In previous advisory opinions applying the cited allocation regulations, the Commission has looked to a variety of factors to determine what would be a reasonable allocation. For example, in the case of political party organizations that published newsletters relating to both Federal and other elections, the Commission indicated that a reasonable allocation basis would be the percentage of column inches (or space) in the newsletter which pertained to Federal elections or candidates for Federal office. Advisory Opinions 1981-3 [95600] and 1978-46 [95348]. Similarly, with respect to a national conference held by a political party organization that included an agenda with both Federal election and other matters, the Commission stated that a reasonable allocation method could be based upon the ratio of time in the agenda for activities pertaining to Federal elections in relation to total time for all conference activities. Advisory Opinion 1982-5 [95659].

The cited advisory opinions, however, focused on how little could be reasonably attributed to federal activity, not how much. Thus, although those opinions would support attributing a relatively small portion of the expenditures in question as a fundraising expense based on the time used for the solicitation should you so desire, they also do not foreclose the reasonableness of a different allocation method in the situation presented here.

The Commission concludes that the Committee's expenditures for the advertisements you propose may be allocated on a 50-50 basis. The Commission reaches this conclusion based upon its determination that the advertisement includes a solicitation for contributions to the Committee. The video message in the final three seconds asks for contributions and a voice-over announcement repeats that request. In addition, a Committee telephone number presented simultaneously on the screen conveys to the viewer a reinforcing message suggesting a responsive telephone call to the Committee if the viewer wants to make a contribution. As discussed in response

15911

187 4-21-88

Opinions

11,409

to question four, this conclusion assumes that the advertisements are not broadcast within the period covered by the 28 day rule.

Question four presents the issue whether expenditures for apparent fundraising activities, which occur within 28 days before a caucus or primary election, can nonetheless be excluded from the state limit if the expenditure itself is made before the 29 day period begins. The so-called 28 day rule, as set forth in the regulations, precludes reliance on the 20 percent fundraising exclusion to cover expenditures for "fundraising activities targeted at a particular state and occurring within 28 days before that state's primary election, convention, or caucus..." 11 CFR 110.8(c)(2). Thus, the 28 day rule is an exception to the 20 percent fundraising exclusion.

The rule requires that, notwithstanding the fundraising exclusion, expenditures for fundraising activity aimed at a particular state and taking place within 28 days before a primary election, convention, or caucus in that state, must be allocated to the state limit. 11 CFR 100.8(b)(21)(iii), 110.8(c)(2); see, 11 CFR 106.2(c)(5). The focus of the rule is on the activity itself, not the timing of the expenditures made to defray the costs of the activity. As the Commission indicated in Advisory Opinion 1975-33, a fundraising effort or activity aimed at a particular state just prior to an election (or caucus) in that state may not qualify for the fundraising exclusion, regardless of when the related expenditures are made. See also the dissenting opinion to Advisory Opinion 1975-33 which refers to the 28 day period that was subsequently prescribed in the regulations.

In the specific situation presented by question four, the Commission concludes that the date(s) when the Committee's proposed broadcast advertisement will actually be carried determines whether expenditures for the broadcast time must be allocated to the state limit pursuant to the 28 day rule; the 20 percent fundraising exclusion may not be used to the extent the advertisement is broadcast within the 28 day period.

This response constitutes an advisory opinion concerning application of the Act, or regulations prescribed by the Commission, to the specific transaction or activity set forth in your request. See 2 U.S.C. §437f.

Dated: March 1, 1988.

<sup>1/</sup> See the discussion below with regard to application of the so-called 28 day rule which may preclude use of the fundraising exclusion for spending targeted to a particular state.

DISSENTING OPINION OF

COMMISSIONER JOAN D. AIKENS

TO ADVISORY OPINION 1988-6

In Advisory Opinion 1988-6, a majority of the Commission concluded that the inclusion of one word (contribute) and a telephone number during a sixty-second political commercial would qualify that advertisement as a fundraising appeal. As such, the majority then deemed it reasonable for the campaign committee to allocate 50 per cent of the costs, both production and air time, of this broadcast media political advertisement to fundraising.

The Federal Election Campaign Act of 1971, as amended ("the Act"), provides that a presidential candidate who becomes eligible for matching payments to finance a campaign for the presidential nomination of a political party is subject to a national expenditure limit as well as state-by-state limits. 2 U.S.C. Section 441a(b), 26 U.S.C. Section 9035.

The Act also contains several exceptions, exemptions, and exclusions to those expenditure limits. See generally 2 U.S.C. Section 431(9)(B). The Commission has long held that fundraising expenditures are not counted against either the national

11.410

Advisory Opinions

187 4-21-88

limit or any state limit provided they comply with the 28-day rule set forth in 11 C.F.R. 100.8(c) and are within the 20 per cent fundraising exclusion. 11 C.F.R. 100.8(b)(21).

I believe the Congressional intent in creating these limited exemptions was to provide qualified presidential candidates a certain amount of flexibility in planning and coordinating their political and fundraising advertisements. However, I do not believe that the Congress contemplated the use of these exemptions as a vehicle to expand and thus exceed those limits through unrealistic allocation formulas.

The opinion's interpretation of the regulations allowing the fundraising exclusion to include "any cost reasonably related to" or "associated with" solicitation of contributions is correct and can be properly applied to the minimal fundraising verbage proposed in the advisory opinion request. 11 C.F.R. 100.8(b)(21)(ii). I also agree that an allocation of a correspondingly minimum portion of those costs are proper. However, I take issue with the majority's position that one word "contribute" and a phone number constitutes such a major fundraising appeal that a 50 per cent allocation to the fundraising exclusion would be justified.

Several Commissioners voting with the majority referred to the Commission's decision in the Glenn for President audit from 1984. They suggested that the Commission's action, permitting a 50 per cent allocation to fundraising for a 30-minute broadcast aired in Iowa during October 1983, acted as guidance for the 1988 campaigns. Further, that the Commission's decision in that situation, on an issue analogous to the factual situation in this case, would reasonably lead the 1988 campaigns to conclude that the Commission would make a similar decision now.

I disagree. The Commission's decision in the Glenn Audit was based on a review of a specific 30-minute broadcast and other relevant facts associated strictly with that particular audit. The decision there was not intended to be a pronouncement by the Commission of a new rule of law regarding allocation of media expenses.

The 1988 campaigns had ample opportunity to avail themselves of the Commission's advisory opinion process to clarify any discrepancies or questions they may have had regarding allocation of political media advertisements. I do not accept the majority's position that an obscure decision by the Commission to a specific factual situation in a 1984 Presidential audit acts as precedent for Commission decisions in the 1988 Presidential elections.

The majority opinion then attempts to persuade us that a 50 per cent allocation of the costs of the proposed political advertisements, which contain the bare minimum qualifications for a solicitation, would do no harm to the state-by-state limits. They further argue that those costs, as long as the advertisement met the 28-day rule, would simply be applied to the 20 per cent national fundraising exemption with no direct effect on a campaign's spending limits in a particular state.

To the contrary, I believe this interpretation imparts to Presidential campaigns the message that the Commission is essentially condoning unlimited campaign expenditures in states that have historically proven critical to a candidate's success in garnering the nomination of his/her party.

If a campaign is allowed to produce and air political advertisements with only minimal fundraising verbage and then allocate 50 per cent of such advertisements to fundraising, a \$500,000 political advertisement becomes only a \$250,000 expenditure chargeable against the state limit. A \$250,000 deduction from a total of \$4,610,000 fundraising exemption for 1988 is insignificant (about 5 1/2%) in comparison to the impact an additional \$250,000 of political advertising can have in early primary states such as Iowa and New Hampshire. For example, the expenditure limits in Iowa and New Hampshire for 1988 are \$775,217.60 and \$461,000 respectively. It becomes readily apparent that \$250,000 worth of additional political advertising equates to 32 per cent and 54 per cent of the total expenditure limits of those states. That is why I cannot accept the premise that the state-by-state limits are not affected by the Commission's action today.

15911

© 1988, Commerce Clearing House, Inc.

187 4-31-88

# Opinions

11.411

The Congress set forth a legislative system for restricting the amount of money to be spent in Presidential elections. The Commission, through its legislative recommendations, has continuously submitted proposals to the Congress during the past eight years to abolish the state-by-state limits while retaining the national limit. Unfortunately, these recommendations have been to no avail in that the Congress has failed to even consider, much less repeal, those limits. It thus appears clear that the Congress desires to maintain the state-by-state limits for Presidential candidates. Therefore, the Commission should not ignore those legislative strictures.

It is incumbent upon the Commission to administer this law as written by the Congress. It is also imperative that we interpret and enforce it in a realistic manner with our eyes open to the factual situations involved. The holding in this advisory opinion fails to that end by providing presidential campaigns an unparalleled "window of opportunity" to circumvent the limits.

I believe the majority's opinion not only sanctions but encourages campaigns to exceed the state-by-state limits through the use of broadcast media political advertising lightly sprinkled with a splash of fundraising. For that reason, I voted against the advisory opinion.

Dated: March 30, 1988.

[95912] AO 1987-29: Solicitation of Candidate Contributions by Organization

[A membership organization may solicit contributions from its members for recommended candidates. Answer to Jan W. Baran of Wiley, Rein & Fielding, 1776 K Street, N. W., Washington, D. C. 20006.]

This responds to your letter of October 1, 1987, requesting an advisory opinion on behalf of the National Association of Life Underwriters ("NALU") and the Life Underwriters Political Action Committee ("LUPAC") concerning application of the Federal Election Campaign Act of 1971, as amended (the "Act"), to corporate financing of communications endorsing Federal candidates and soliciting contributions earmarked for them through the corporation's separate segregated fund. Your request was supplemented by letter dated January 7, 1988, which also responded to several questions raised by the Commission and set forth by letter dated November 23, 1987, from the Office of General Counsel.

In your request you state that NALU is an incorporated federation of membership associations each composed of individuals who sell life and health insurance. NALU's purposes are to "protect and promote high standards of ethical conduct in the profession of underwriting and the business of life and health insurance." Article II, §1(d), Bylaws of NALU. NALU sponsors a separate segregated fund, LUPAC, which is registered with the Commission.

Article XIX of NALU's Bylaws permits NALU to sponsor various conferences or divisions. One such division created by NALU is the Association for Advanced Life Underwriting ("AALU"). You state that AALU members have a particular interest in legislation and government regulation of advanced life underwriting. In order for an individual to become a member of AALU, he or she must be an active member of NALU. AALU members pay dues to both AALU and NALU. AALU, however, has no legal identity of its own and exists only as a division of NALU. AALU's members, as with all members of NALU, are solicited by LUPAC.

AALU desires to encourage its members to make contributions to candidates endorsed by AALU as well as to contribute directly to LUPAC. In order to encourage AALU members to contribute, LUPAC proposes to establish an "honorific designation" to be known as the Legislative Circle.<sup>1/</sup> To qualify for the Legislative Circle, members of AALU "would need to make contributions aggregating a specific minimum dollar amount (\$1000 is the proposed minimum) in a calendar year, of which at least \$400 must be contributions to LUPAC, and the balance may be contributions to candidates chosen by the individual from those endorsed by AALU, or to the House or Senate campaign committees of a national political party, or contributions to LUPAC."

Pete du Pont for President

Revised Telemarketing Costs Allocable to Iowa  
as Determined by the Audit staff

| <u>Category</u>                                        | <u>Amount</u>      | <u>Method</u>                                                                                                                     |
|--------------------------------------------------------|--------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| I. <u>Within 28 Day Rule Allocation:</u>               |                    |                                                                                                                                   |
| ° MCI (FEB 25, 1988 Bill)                              | \$ 5,937.86        | 100% of Iowa calls<br>adjusted for credits<br>and business activity                                                               |
| (JAN 25, 1988 Bill)                                    | 6,768.41           | 100% of Iowa calls<br>adjusted and<br>pro-rated based on<br>days within 28 day<br>period                                          |
| ° Rokeby Realty<br>(JAN-FEB 1988)                      | 994.59             | Telemarketing space<br>and HVAC<br>(utilities)<br>prorated based on<br>hours of operation<br>and days within the<br>28 day period |
| ° CEC (Payroll, JAN-<br>FEB 1988)                      | 29,519.73          | Gross payroll pro-<br>rated based on days<br>within 28 day<br>period                                                              |
| ° Marion Company<br>(computer rental,<br>JAN-FEB 1988) | 6,735.69           | Amounts prorated<br>based on hours of<br>operation and days<br>within 28 day rule                                                 |
| ° System Services, Inc.<br>(JAN-FEB 1988)              | <u>401.85</u>      | Same as for Marion                                                                                                                |
| Total Allocated<br>within 28 Day Rule                  | <u>\$50,358.13</u> |                                                                                                                                   |

Pete du Pont for President

Revised Telemarketing Costs Allocable to Iowa  
as Determined by the Audit staff

| <u>Category</u>                                                          | <u>Amount</u>       | <u>Method</u>                                                                                                                  |
|--------------------------------------------------------------------------|---------------------|--------------------------------------------------------------------------------------------------------------------------------|
| II. <u>Outside 28 Day Rule Allocation:</u>                               |                     |                                                                                                                                |
| ° MCI                                                                    | \$ 68,467.53        | Amounts associated with Iowa were pro-rated based on an analysis of pre-dominately used scripts and related log (usage) sheets |
| ° Rokeby Realty                                                          | 5,713.70            | Same as 28 day rule method                                                                                                     |
| ° CEC (Payroll)                                                          | 168,339.00          | Determined like MCI above                                                                                                      |
| ° Marion Company<br>(computer rental)                                    | 18,234.54           | Same as 28 day rule analysis                                                                                                   |
| ° System Services, Inc.                                                  | 17,375.51           | Same as 28 day rule analysis                                                                                                   |
| ° Postage                                                                | 17,020.78           | Accepted committee allocation                                                                                                  |
| ° Electrical Contracting<br>Service                                      | 4,667.60            | Allocated based on IA-MCI as a percentage of total MCI                                                                         |
| ° Miscellaneous                                                          | 4,083.47            | Allocated 100% to Iowa as did committee on their allocation work-papers                                                        |
| Total Allocated Outside<br>28 Day Rule                                   | <u>\$303,902.13</u> |                                                                                                                                |
| Telemarketing Costs<br>Allocable to Iowa as<br>Determined by Audit staff | <u>\$354,260.26</u> |                                                                                                                                |

BEFORE THE  
FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

RESPONSE OF  
PETE DU PONT FOR PRESIDENT  
TO THE INTERIM REPORT OF THE AUDIT DIVISION

I. INTRODUCTION

Pete du Pont for President, the principal campaign committee of Pete du Pont, candidate for the 1988 Republican nomination, files this response to the Audit Division's Interim Audit Report, dated September 2, 1988.

This response will follow the format of the audit report, and respond to each of the recommendations therein.

II. TITLE 2 FINDINGS AND RECOMMENDATIONS

A. & B. Itemization

The committee has no objection to recommendations 1 and 2, calling for the amendment of committee reports to more accurately reflect certain expenditures and interest receipts. The amendments will be filed with the Commission under separate cover.

C. Allocation of Expenditures to States

1. Introduction

The central issue raised by the audit report is the allocation of the costs of a telemarketing program, among headquarters overhead, fundraising costs and the Iowa expenditure limit.

The audit staff's view is that an additional \$258,000 in telemarketing costs should be allocated to the Iowa limit, which would cause the committee to exceed the \$775,000 limit by more than \$99,000. The committee believes that the staff's conclusion is incorrect, and will so demonstrate that the expenditures are exempt fundraising costs which are not allocable to state expenditure limits.

The additional \$258,000 proposed by the audit staff is the result of a differing view of the allocation of the costs of a fundraising telemarketing program.

The committee used six different scripts to contact voters and to raise money. Two of the scripts are political in nature; the committee allocated those costs to the Iowa limit. The audit staff agreed that one script, which contained words of solicitation, was a fundraising device, and therefore exempt from the Iowa limit.

The committee believes that the other three scripts were also part of a fundraising program, and the costs associated with them are also exempt from allocation to the limit.

## 2. Telemarketing -- a Fundraising Program

Contrary to the audit staff's view, the telemarketing program was conceived and implemented by the campaign as a significant fundraising effort. The audit staff mischaracterized the program for three fundamental reasons: (a) misplaced reliance on a memorandum from a consultant (Attachment III to the audit report); (b) a failure to understand the program's Iowa focus; and (c) a failure to comprehend modern campaign fundraising. The audit report also includes in the Iowa allocation certain overhead expenses which should have remained as overhead expenses. In addition, expenses for payroll and toll charges were incorrectly treated as telemarketing costs, when, in fact, they were part of general overhead.

### (a) The Templeton memo.

This document was received in response to the campaign management's request for a proposal memorandum outlining the establishment of a telephone telemarketing, program, i.e. what telecommunications and computer equipment was needed to run a telemarketing program. The response considerably exceeded the scope of the information requested, and represented a considerable expansion of the consultant's task (presumably in the consultant's hope that he would be hired to do the larger job).

The attached affidavit of Robert W. Perkins (see Attachment B), the deputy campaign manager, specifically states that the Templeton memo was not adopted as the campaign's telemarketing plan. It further states that fundraising was a prime objective

of telemarketing, a fact which the Templeton memorandum fails to address.

The audit staff ignored both the statements of campaign management, as well as the memo itself, to arrive at its conclusion.

(b) The Iowa Focus.

The audit staff indicated, both in the field audit exit conference and in the report itself (see p. 5), that the campaign's lack of a national focus, and its particular focus on Iowa, was a keystone of its conclusions regarding the allocation of telemarketing expenses, i.e., that these costs were political rather than fundraising in nature.

This position fails to recognize the uniqueness of circumstances surrounding an "underdog" campaign. An unknown candidate must focus first on Iowa, to present his positions, to become known, and to raise funds to support these efforts. Momentum from success in Iowa permits the candidate to be a factor in New Hampshire. Pete du Pont was not known nationally, and he was not known in Iowa. A nationwide contributor base would be understandably reluctant to contribute to a candidate whom they did not know. To reach and to educate a national audience was beyond the resources of the campaign. Indeed, each effort to do national direct mail "prospecting" fundraising lost money -- the cost of the lists, the printing and the postage exceeded the revenue.

However, Iowa voters could be educated, and would have a stake in the election because of their participation in the early caucuses. That stake would cause them to contribute -- once they knew the candidate.

By contrast, more traditional fundraising was carried out in New Hampshire, where Gov. du Pont was better known, and where he had the support of the state's largest newspaper.

The audit staff's conclusion regarding the lack of a national effort and a focus on Iowa seems to ignore the reality of modern Presidential campaigns: the Iowa caucuses and the New Hampshire primary are the beginning and the end for most campaigns. If a candidate is not successful in both, the candidacy is over, as it was for almost all of the Democratic and Republican candidates in 1988. For an unknown like Pete du Pont, it is essential to raise funds in those states, because those are the states in which he is becoming known.

(c) Campaign Fundraising.

All campaign fundraising activities are comprised of multiple components. A traditional direct mail effort requires renting a list; creating a mailing "package," with a letter, and other inserts; printing the package; affixing postage; mailing the piece; and processing the returns. Only one of the components -- the letter -- actually contains words of solicitation. Yet the Commission has consistently treated all of the expenses associated with direct mail as an exempt fundraising cost.

Sophisticated telemarketing is a relatively new method of raising campaign funds. Rather than renting a mailing list, individuals are called from lists of phone numbers obtained from various sources -- local election boards, commercial lists covering neighborhoods with certain demographic characteristics; political party membership lists, etc. As with traditional direct mail, telemarketing fundraising has multiple components, which combine to produce results, but which individually are not productive.

For example, a phone call asking for a contribution even from a du Pont supporter will produce no response unless a follow-up letter asks for the money, and provides a reply card and envelope. A "cold" call to an Iowa voter who knows nothing about Pete du Pont will produce no revenue; someone who identifies himself as a supporter as the result of the telephone message is much more likely to give money when a follow-up mailing is received.

This approach is especially important here since Gov. du Pont ran an issues-based campaign; the issues were complex; the decision was made to give Iowans multiple opportunities to know the candidate and the issues, and only then to ask for funds.

The audit report treats the phone call and the mailing as two separate events, rather than two components of a fundraising package, and considers the phone call not to be part of the fundraising effort. Following that logic could lead to the conclusion that the cost of the list rental for a traditional direct mail piece is not a fundraising cost.

3 2 0 4 0 7 / 4 0 2 2

The campaign used six basic scripts for the telemarketing program (see Audit Report Attachment IV, p. 3). Two of these were clearly not fundraising. The campaign has never claimed them to be exempt, and their costs were allocated against the Iowa limit. The committee believes that the other four scripts were components of a fundraising program, and along with list costs, follow-up mailings, etc., the wages, toll charges, and computer services related to the use of those scripts are exempt fundraising costs, and should not be allocated to the Iowa limit. The audit staff treated as fundraising only one of these four -- the one which contained words of solicitation.

For example, the "debate" script and follow-up letter containing a "debate scorecard" are obviously an integrated fundraising device. The script does not ask for funds, but rather sets the stage for a written appeal based on watching the first candidate debate. Each of the other scripts operates in similar fashion.

The audit report, however, considers as exempt only the costs surrounding the script which itself asks for a contribution. The committee believes that the three additional scripts and surrounding costs are exempt as part of a fundraising program.

(d) Other Expenses.

The Commission's regulations, 11 CFR 106.2(c)(1)(i) and 106.2(b)(iv), state that headquarters expenses for rent, office

equipment, etc., are national overhead. The audit report includes \$52,269.88 in rent, computer expenses and wiring as allocable to Iowa, even though these are general overhead expenses. To the committee's knowledge, the Commission has never allocated to the Iowa limit the office rent for the headquarters staff person who works full-time on Iowa. Neither should it allocate these overhead costs.

The committee also disputes the accuracy of the audit staff's calculation of expenses allocable to the telemarketing program. The committee believes there should be adjustments to the audit staff's calculation of telemarketing expenses for payroll and telephone toll charges.

The audit report increases "allocable Iowa expenses" by the difference between the expenses the audit staff purports are allocable and the expenses allocated by the committee. In doing so for payroll expenses, the audit staff understated the payroll expenses already allocated by the committee by \$7,684.00. Attachment D details the payroll expenses originally allocated by the committee. The committee requests that the "program costs allocated by the Committee" for payroll be increased by this amount, which would reduced the proposed "additional program costs requiring allocation to Iowa" accordingly.

Finally, the committee believes the methodology used by the audit staff significantly overstates the telemarketing costs allocable to the telemarketing program. The committee has, and has offered to present, documented evidence (in the form of payroll time cards) of the hours of operation of the

telemarketing program. This program was utilized exclusively during the evening and weekend calling periods.

8 3 0 4 0 7 / 0 9 4

The committee based its telephone toll charge allocation method on long distance charges occurring within this period. The committee also sampled to determine what portion of calls within this time period were unrelated to the telemarketing program. It determined an average of \$34.18 per day in evening and weekend toll charges were due to calls unrelated to the telemarketing program. The workpapers in Attachment C detail what the committee believes is a reasonable calculation of telephone charges related to the telemarketing program. Assuming the audit staff's proration percentages of 76% outside the 28 day rule and 100% within 28 days of the primary, this would reduce the "program costs allocated by audit" for telephone toll charges to \$93,063.53. Once again there would be a corresponding reduction in the "additional program costs requiring allocation to Iowa" of \$8,372.76.

The cumulative impact of these corrections in the method of calculating telemarketing expenses result in a reduction of \$16,056.76 to the audit staff's recommendation with respect to the Iowa limit.

### 3. Conclusion

(a) The committee's original allocation to the Iowa limit telemarketing program costs is the appropriate allocation. It

recognizes that two of the telemarketing scripts were not part of a fundraising program. It further recognizes that the other four were part of a fundraising program.

The Federal Election Campaign Act of 1971, as amended, at 2 U.S.C. Sec. 431(9)(B)(vi), provides that "any costs incurred by a . . . [Presidential candidate] in connection with the solicitation of contributions on behalf of" the candidate are excluded from state expenditure limits. [Emphasis added.]

The Commission's regulations interpreting the statute define the fundraising exclusion to mean "any cost reasonably related to" or "associated with" the solicitation of contributions. 11 CFR 100.8(b)(21)(ii), 106.2(i)(5)(ii). [Emphasis added.]

The committee has amply demonstrated that the telemarketing program costs related to the three scripts in dispute are "in connection with," "associated with," and "reasonably related to" fundraising activities. They are therefore not allocable to the Iowa expenditure, but rather are exempt fundraising expenses.

The committee would therefore revise the calculation on page 8 of the report:

Telemarketing Program costs allocable to Iowa:

|                                                        |             |            |
|--------------------------------------------------------|-------------|------------|
| Within 28-day rule                                     | \$52,709.67 |            |
| Outside 28-day rule                                    | \$76,106.99 | 128,815.67 |
| Less costs allocated by the committee:                 |             | 117,606.00 |
| Additional program costs requiring allocation to Iowa: |             | 11,209.67  |
| Expenditures allocated to Iowa by committee:           |             | 616,995.09 |
| Expenditures subject to Iowa limit:                    |             | 639,414.43 |
| Less Iowa limit:                                       |             | 775,217.60 |
| Amount under Iowa limit:                               |             | 135,803.17 |

(b) In the alternative the committee suggests that the Commission's holding in Advisory Opinion 1988-6 (CCH Paragraph 5811), that 50% of the cost of a television advertisement for Sen. Albert Gore may be allocated to exempt fundraising, also applies to this situation.

In that opinion, the Commission concluded that a three-second visual listing, "Vote - Volunteer - Contribute," plus a voice-over giving a phone number for contributors to call, as part of a 30-second issue campaign advertisement, would permit the allocation of 50% of the ad's cost to exempt fundraising.

Given the clear fundraising purpose of far more than one-tenth of the du Pont telemarketing program, the committee submits that, even accepting arguendo the audit report's conclusion that

\$322,839.48 of the telemarketing costs outside 28 days relate to Iowa, half of the costs are exempt fundraising.

|                                |                    |
|--------------------------------|--------------------|
| Audit staff conclusions:       | \$322,839.48       |
| Less Committee allocation:     | <u>-76,106.00</u>  |
| Additional allocation to Iowa: | 246,733.48         |
| Less 50% per AO 1988-6:        | 123,366.74         |
| Committee allocation to Iowa:  | <u>+616,995.09</u> |
| Total allocated to Iowa:       | 740,361.83         |

This total is \$35,000 under the Iowa limit.

The committee therefore concludes that under either method, it has not exceeded the Iowa limit. The audit report's recommendations, and repayment calculations, should therefore be modified to so reflect this conclusion.

#### D. Contribution Refunds

In response to recommendation #4 of the interim audit findings, the committee acknowledges that the specified refunds were not made within 60 days of receipt. There were, however, mitigating circumstances with respect to the majority of these instances.

The du Pont campaign expended considerable resources to assure that adequate systems were in place to screen for potential excessive contributions. This included a combination of thorough manual screening procedures and contractual data processing support from a third party vendor.

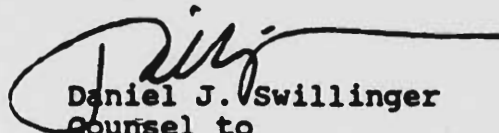
Attachment A details the circumstances surrounding the delay in refunding specific contributions or groups or contributions. In 37 separate instances the delay in identifying an excess contribution is directly traced to the creation of a second or third contributor record for a prior contributor, due to a discrepancy in the name, title, suffix or address of the individual.

There were two periods in which the refunds were delayed due to the difficulty in coping with unusually heavy volumes of work. The first of these was due to a massive direct mail effort in November 1987. Many of these refunds were not identified until the end of January or the first week of February 1988. The last occurred subsequent to the candidate's withdrawal when the demands of multiple NOCO statements and monthly report preparations swamped the remaining skeleton staff.

The du Pont campaign had total private contributions in excess of \$6.25 million from some 42,000 contributors. The committee is convinced that the burden imposed by the sheer volume of transactions, compounded by the lack of a truly unique identifier (such as Social Security number), makes 100% compliance with such tight time guidelines virtually impossible.

Given the minimal dollar value of the refunds in question (0.000295 of total private receipts), and the stability of the campaign's finances, there was clearly no material cash flow advantage. The committee strongly believes that the number of occurrences (0.001357 of contributors) in light of the volume of activity supports the existence of exemplary efforts to comply with FEC guidelines. Accordingly, the Committee urges that no penalties or sanctions are appropriate in this case.

Respectfully submitted,



Daniel J. Swillinger  
Counsel to  
Pete du Pont for President

November 4, 1988

**ATTACHMENT A**

**CONTRIBUTORS WITH MULTIPLE RECORDS**

**("M" beside the Date of Refund denotes Multiple Records)**

8000407/4100

1/081588

Attachment VI  
Page 1 of 4

**Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely**

| <u>Contributor</u>                                          | <u>Date of Receipt</u>           | <u>Date of Refund</u>                    | <u>Amount</u>                   |
|-------------------------------------------------------------|----------------------------------|------------------------------------------|---------------------------------|
| 1. Agnew III, Franklin                                      | 07/09/87                         | 02/19/88                                 | \$ 500.00                       |
| 2. Andrews III, Mark                                        | 09/04/87                         | 02/02/88 M                               | 500.00 2 addresses              |
| 3. Bissell, Julia A<br>(Mrs. Alfred)                        | 05/27/87<br>09/18/87             | 12/31/87 } M<br>12/31/87 }               | 100.00<br>100.00                |
| 4. Boggs, J. Caleb                                          | 11/05/87                         | 02/19/88 M                               | 100.00 2 titles                 |
| 5. Booth Jr., Otis                                          | 07/21/87                         | 02/19/88 M                               | 500.00 2 addresses              |
| 6. Carpenter, Mary<br>Kaye<br>(Mrs. Mary K. Carpenter, Jr.) | 11/18/87                         | 02/19/88 M                               | 100.00                          |
| 7. Caspersen, Finn M.<br>W.                                 | 12/01/87                         | 03/31/88                                 | 1,000.00                        |
| 8. Craig, Eleanor D.                                        | 08/12/87<br>06/09/87<br>05/12/87 | 01/29/88 }<br>01/29/88 } M<br>01/29/88 } | 125.00<br>6.00<br>250.00        |
| 9. Cunningham Jr.,<br>C.C. Mrs. (Gertie)                    | 07/01/87                         | 12/31/87 M                               | 250.00                          |
| 10. Dayton, Douglas                                         | 08/07/87                         | 02/02/88                                 | 1,000.00                        |
| 11. Dupont, Victor M.                                       | 07/17/87                         | 11/23/87                                 | 200.00                          |
| 12. Falk Jr., Leon                                          | 07/02/87<br>07/14/87             | 02/24/88 } M<br>02/24/88 }               | 250.00<br>60.00                 |
| 13. Garstin, Ann N.                                         | 11/04/87                         | 02/23/88 M                               | 100.00 misspelling<br>last name |
| 14. Gaul, George B.                                         | 07/16/87<br>10/19/87<br>11/06/87 | 02/19/88 }<br>02/19/88 } M<br>02/19/88 } | 75.00<br>40.00<br>40.00         |
| 15. Guffey, Roy                                             | 09/25/87                         | 12/31/87 M                               | 500.00 2 addresses              |
| 16. Hannum, Nancy P.                                        | 08/25/87<br>06/05/87             | 02/02/88 } M<br>02/02/88 }               | 1,000.00<br>25.00               |

(57)

duPl/081588

Attachment VI  
Page 2 of 4

**Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely**

| <u>Contributor</u>                                      | <u>Date of Receipt</u>           | <u>Date of Refund</u>            | <u>Amount</u>              |
|---------------------------------------------------------|----------------------------------|----------------------------------|----------------------------|
| 17. Healy, James V.                                     | 07/08/87                         | 02/02/88                         | \$ 250.00                  |
| 18. Hipp, Francis M.                                    | 08/07/87                         | 02/24/88                         | 200.00                     |
| 19. Hotchkiss,<br>Frederic B.                           | 06/26/87                         | 02/05/88                         | 250.00                     |
| 20. Irving, Louise R.<br>(Mrs. John)                    | 05/05/87<br>03/27/87<br>09/17/87 | 09/17/87<br>11/24/87<br>01/29/88 | 100.00<br>10.00<br>10.00   |
| 21. Jennings Jr.,<br>Earl F.<br>(Mr. Earl - & Mr. Earl) | 09/10/87                         | 02/02/88 M                       | 100.00                     |
| 22. Jones, Virginia<br>(Mrs. Fred)                      | 06/26/87                         | 10/19/87 M                       | 750.00                     |
| * 23. Kaiser, Robert J.                                 | 08/12/87                         | 01/29/88 *                       | 250.00                     |
| 24. Kirlin, John J.                                     | 06/24/87                         | 10/27/87                         | 100.00                     |
| 25. Laird III,<br>Walter J.                             | 08/03/87                         | 02/02/88 M                       | 100.00                     |
| 26. Layton, Rodney M.<br>(Mrs. Greta)                   | 06/11/87<br>06/02/87<br>06/24/87 | 01/29/88<br>01/29/88<br>01/29/88 | 100.00<br>250.00<br>750.00 |
| 27. Lenhar, Samuel                                      | 03/19/87                         | 02/05/88 M                       | 150.00                     |
| 28. MacLean, Barry                                      | 07/14/87<br>09/25/87             | 02/02/88<br>02/02/88             | 250.00<br>500.00           |
| 29. McHugh, Marie L.                                    | 03/31/87                         | 02/02/88                         | 100.00                     |
| 30. Mulcahy, Charles C.                                 | 06/03/87                         | 02/24/88                         | 100.00                     |
| 31. Nichols, Miller                                     | 03/23/87                         | 07/29/87                         | 250.00                     |

\* This refund should not have been made - father & son were combined into one record. The father had \$1,000 - the son \$250.

(58)

0000000000

Attachment VI  
Page 3 of 4

Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

| <u>Contributor</u>                        | <u>Date of Receipt</u>                       | <u>Date of Refund</u>                            | <u>Amount</u>                        |
|-------------------------------------------|----------------------------------------------|--------------------------------------------------|--------------------------------------|
| 32. O'Neill, Bertram                      | 07/21/87                                     | 01/29/88                                         | \$ 500.00                            |
| 33. Piasecki, Vivian W. (Mrs. Frank)      | 07/01/87                                     | 02/25/88 M                                       | 250.00                               |
| 34. Pingree Jr., Sumner                   | 10/06/87                                     | 02/05/88 M                                       | 250.00 <i>Subst. error</i>           |
| 35. Purnell, Marguerite (Mrs. Richard T.) | 07/24/87                                     | 11/20/87 M                                       | 250.00 <i>2 addresses</i>            |
| 36. Schutt, C. Porter                     | 08/14/87                                     | 02/02/88 M                                       | 500.00 <i>2 addresses</i>            |
| 37. Sedgwick, Alice DeForest              | 10/23/87                                     | 01/29/88 M                                       | 350.00 <i>2 names / 2 addresses</i>  |
| 38. Simpson, Walton H.                    | 06/16/87                                     | 02/02/88 M                                       | 250.00 <i>2 addresses</i>            |
| 39. Sinness, Lester S.                    | 05/15/87                                     | 01/29/88                                         | 500.00                               |
| 40. Steinman, James A.                    | 10/23/87<br>10/23/87<br>10/30/87<br>10/07/87 | 01/29/88<br>01/29/88<br>01/29/88<br>01/29/87 } M | 250.00<br>100.00<br>200.00<br>500.00 |
| 41. Hamilton, Crawford M.                 | 03/02/87<br>10/07/86<br>10/22/86<br>10/24/86 | 06/30/87<br>06/30/87<br>06/30/87<br>06/30/87 } M | 250.00<br>150.00<br>175.00<br>175.00 |
| 42. Avery, Alice O.                       | 01/29/88                                     | 05/12/88 M                                       | 100.00 <i>2 addresses</i>            |
| 43. Babbitt, Jane                         | 02/09/88<br>02/08/88                         | 05/12/88<br>05/12/88 } M                         | 100.00<br>20.00                      |
| 44. Campbell, Roberta R.                  | 02/05/88                                     | 05/12/88 M                                       | 50.00 <i>2 addresses</i>             |
| 45. Chapman, Hortense (Mc.); (Mrs)        | 02/04/88                                     | 05/12/88 M                                       | 192.00 <i>2 Titles</i>               |

EB 4  
Jan 1

(59)

# on 5-12-88: 5

dupl/081588

Attachment VI  
Page 4 of 4

Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

| <u>Contributor</u>                  | <u>Date of Receipt</u> | <u>Date of Refund</u>         | <u>Amount</u>             |
|-------------------------------------|------------------------|-------------------------------|---------------------------|
| 46. Cook, Marietta                  | 02/08/88<br>02/01/88   | 05/12/88 } M \$<br>05/12/88 } | 150.00<br>150.00          |
| 47. Drha, Frank                     | 02/01/88               | 05/12/88 M                    | 50.00 2 address           |
| 48. Evans, Raymond F.               | 02/05/88               | 05/12/88                      | 250.00                    |
| 49. Frank, Curtiss E.               | 01/19/88               | 05/12/88 M                    | 100.00 2 addresses        |
| 50. Maclean, Mary Ann               | 09/25/87               | 05/12/88                      | 250.00                    |
| 51. McCoy, Sallie C.<br>(Mrs. C.B.) | 02/02/88               | 05/12/88 M                    | 200.00                    |
| 52. Miller, Donald P.               | 02/05/88               | 05/12/88 M                    | 500.00 2 addresses        |
| 53. Mudge, Elizabeth                | 02/09/88               | 05/12/88                      | 50.00                     |
| 54. Stillman, Mark W.               | 12/31/87               | 05/12/88                      | 10.00                     |
| 55. Singer, Alain R.                | 02/04/88               | 05/12/88                      | 250.00                    |
| 56. Wallace, Hal                    | 01/07/88               | 05/12/88                      | 50.00                     |
| 57. Eakin-Burdette,<br>Carol        | 02/04/88               | 06/02/88 M=                   | 500.00 last name<br>error |

Feb 8

Jan 2

# 5-12-88: 12

(60)

11/02/88

09:53

302 656 8824

McBRIDE SHOPA

2008

ATTACHMENT

IDENTIFICATION OF TWO MAJOR PERIODS OF LATE REFUNDS

(Jan. 29 - Feb. 5 and May 12, 1988)

890407/4103

Ordered Rows from Du Pont Refunds

| LAST            | FIRST                | REFUND AMT  | DATE REFUND |
|-----------------|----------------------|-------------|-------------|
| Appleton        | Arthur I.            | \$ 500.00   | 6/08/87     |
| Wood            | Dr. David W.         | \$ 400.00   | 6/08/87     |
| Bell            | George L.            | \$ 1,000.00 | 6/24/87     |
| Finley          | Judge Olinmore       | \$ 100.00   | 6/28/87     |
| Hamilton        | Crawford M.          | \$ 750.00   | 6/30/87     |
| Miller          | Michael              | \$ 250.00   | 6/30/87     |
| Cook, III       | Daniel W.            | \$ 50.00    | 7/07/87     |
| Kraus, III      | William              | \$ 375.00   | 7/07/87     |
| Eakin           | Ruth P.              | \$ 250.00   | 7/08/87     |
| Jeffrey         | Malcolm              | \$ 750.00   | 7/08/87     |
| Chelsty         | John S.              | \$ 500.00   | 7/29/87     |
| L Nichols       | Miller               | \$ 250.00   | 7/29/87     |
| Jeffrey         | Malcolm              | \$ 250.00   | 8/12/87     |
| Metchick        | John F.              | \$ 1,500.00 | 8/17/87     |
| Schwartz, MD    | Gordon               | \$ 100.00   | 8/27/87     |
| Tobin           | Maurice              | \$ 200.00   | 9/02/87     |
| Vandusen        | Lewis M.             | \$ 100.00   | 9/02/87     |
| Carroll         | Janice B.            | \$ 200.00   | 9/11/87     |
| Glaze           | Lynn                 | \$ 250.00   | 9/11/87     |
| Atabay          | Annelise             | \$ 100.00   | 9/16/87     |
| L Irving        | Louise R.            | \$ 100.00   | 9/17/87     |
| C Caporosa, MD  | R. J.                | \$ 250.00   | 9/18/87     |
| Adkins          | M. Philip            | \$ 250.00   | 9/27/87     |
| Laucks          | Vernon R.            | \$ 1,000.00 | 9/27/87     |
| Hill, DDS       | John T.              | \$ 25.00    | 10/01/87    |
| Eckey           | E. W.                | \$ 30.00    | 10/08/87    |
| McDermott       | Eugene               | \$ 250.00   | 10/08/87    |
| Russell         | Margaret             | \$ 200.00   | 10/08/87    |
| Sinmons         | Harold               | \$ 1,000.00 | 10/08/87    |
| Steinman        | James A.             | \$ 200.00   | 10/08/87    |
| Sullivan        | Lawrence             | \$ 10.00    | 10/08/87    |
| Vandusen, Jr.   | Lewis                | \$ 100.00   | 10/08/87    |
| Brown           | Clementina           | \$ 50.00    | 10/18/87    |
| Giglio          | Paula A.             | \$ 1,000.00 | 10/18/87    |
| Hoffman         | Allan L.             | \$ 250.00   | 10/19/87    |
| Hughes          | Arthur M.            | \$ 250.00   | 10/19/87    |
| Jensen          | Mary M.              | \$ 1,000.00 | 10/19/87    |
| L Jones         | Virginia (Mrs. Fred) | \$ 750.00   | 10/19/87    |
| McIntosh        | Violet M.            | \$ 250.00   | 10/19/87    |
| Purdon, MD      | E. Stephen           | \$ 500.00   | 10/20/87    |
| L Kirlin        | John J.              | \$ 100.00   | 10/27/87    |
| Minis, Jr.      | A.                   | \$ 1,000.00 | 10/29/87    |
| Casscells       | S. Ward              | \$ 125.00   | 11/04/87    |
| Reithchild, Jr. | Walter M.            | \$ 250.00   | 11/04/87    |
| Kirlin          | John J.              | \$ 250.00   | 11/05/87    |
| Abrams          | A. T.                | \$ 125.00   | 11/06/87    |
| Abrams          | Angela               | \$ 125.00   | 11/06/87    |
| Walker          | Coleman              | \$ 50.00    | 11/17/87    |
| L Purnell       | Marguerite           | \$ 250.00   | 11/20/87    |
| Sanderfer, II   | J. D.                | \$ 1,000.00 | 11/20/87    |
| Chambers        | Julia M.             | \$ 320.00   | 11/23/87    |
| L Dupont        | Victor M.            | \$ 450.00   | 11/23/87    |
| L Irving        | Louise R.            | \$ 10.00    | 11/24/87    |
| Oliver, Jr.     | John C.              | \$ 1,500.00 | 12/08/87    |
| Wood            | Margaretta           | \$ 250.00   | 12/08/87    |
| Chambers        | Julia M.             | \$ 100.00   | 12/18/87    |
| Anderson        | John O.              | \$ 250.00   | 12/31/87    |
| Bissell         | Julia A.             | \$ 550.00   | 12/31/87    |
| Annella         | Kenneth              | \$ 1,000.00 | 12/31/87    |
| C. Cohen        | Georgia              | \$ 250.00   | 12/31/87    |
| G. (VOID)       | F. Pierce            | \$ 155.00   | 12/31/87    |
| St              | Richard              | \$ 520.00   | 12/31/87    |
| L Buf           | Roy                  | \$ 750.00   | 12/31/87    |
| Hamilton        | Samuel M. V.         | \$ 1,000.00 | 12/31/87    |
| Mollenback, Jr. | William M.           | \$ 1,000.00 | 12/31/87    |
| Jones           | Nancy S.             | \$ 500.00   | 12/31/87    |
| Jones           | Shirley M.           | \$ 50.00    | 12/31/87    |
| Kirlin          | John M. V.           | \$ 50.00    | 12/31/87    |

| LAST            | FIRST          | REFUND AMT  | DATE REFUND |
|-----------------|----------------|-------------|-------------|
| Purnort         | Wells          | \$ 250.00   | 12/31/87    |
| Scott           | Robert M.      | \$ 250.00   | 12/31/87    |
| Sherrard        | John J.        | \$ 500.00   | 12/31/87    |
| Sullivan        | Donald D.      | \$ 50.00    | 12/31/87    |
| Wallace         | Mal            | \$ 100.00   | 12/31/87    |
| Wolfe           | M. E.          | \$ 2,000.00 | 12/31/87    |
| Wunderlick      | Kent           | \$ 250.00   | 12/31/87    |
| Zinner          | Hugh J.        | \$ 500.00   | 12/31/87    |
| Zimmerman       | Andrew L.      | \$ 30.00    | 12/31/87    |
| Kernan, Jr.     | Francis J.     | \$ 200.00   | 1/15/88     |
| Parsons         | Miriam C.      | \$ 250.00   | 1/15/88     |
| Wair            | James A.       | \$ 25.00    | 1/15/88     |
| Chambers        | Julia M.       | \$ 400.00   | 1/29/88     |
| Craig           | Eleanor D.     | \$ 301.00   | 1/29/88     |
| Fox             | John F.        | \$ 10.00    | 1/29/88     |
| Winnant         | Leonna         | \$ 100.00   | 1/29/88     |
| Hughes          | Arthur M.      | \$ 25.00    | 1/29/88     |
| L Irving        | Louise R.      | \$ 10.00    | 1/29/88     |
| Jones           | Virginia K.    | \$ 500.00   | 1/29/88     |
| L Kaiser        | Robert J.      | \$ 250.00   | 1/29/88     |
| Kirlin          | Mary Ann       | \$ 100.00   | 1/29/88     |
| L Leyton        | Rodney M.      | \$ 1,100.00 | 1/29/88     |
| Linthicum       | Edward B.      | \$ 375.00   | 1/29/88     |
| Mallory         | Thomas H.      | \$ 500.00   | 1/29/88     |
| L O'Neill       | Bertram        | \$ 1,600.00 | 1/29/88     |
| Onlendorf       | Ruth           | \$ 250.00   | 1/29/88     |
| Raynolds        | Eleanor M.     | \$ 150.00   | 1/29/88     |
| L Sedgwick      | Alice Deforest | \$ 600.00   | 1/29/88     |
| Sedgwick, Jr.   | Ellery         | \$ 500.00   | 1/29/88     |
| L Sinness       | Lester S.      | \$ 500.00   | 1/29/88     |
| L Steinman      | James A.       | \$ 1,050.00 | 1/29/88     |
| Stichelber      | David A.       | \$ 1,000.00 | 1/29/88     |
| Tilt            | Rodnan K.      | \$ 100.00   | 1/29/88     |
| Andrews, III    | Mark           | \$ 500.00   | 2/02/88     |
| Bayton          | Douglas        | \$ 1,000.00 | 2/02/88     |
| Goloskov        | Stanley H.     | \$ 70.00    | 2/02/88     |
| L Harman        | Nancy P.       | \$ 1,025.00 | 2/02/88     |
| L Hoely         | James V.       | \$ 250.00   | 2/02/88     |
| L Jennings, Jr. | Earl F.        | \$ 100.00   | 2/02/88     |
| Kwashe          | H. Charles     | \$ 700.00   | 2/02/88     |
| L Laird, III    | Walter J.      | \$ 100.00   | 2/02/88     |
| MacLean         | Barry          | \$ 750.00   | 2/02/88     |
| L McHugh        | Marie L.       | \$ 100.00   | 2/02/88     |
| L Schutt        | C. Porter      | \$ 500.00   | 2/02/88     |
| L Simpson       | Walton M.      | \$ 1,250.00 | 2/02/88     |
| Taylor, Jr.     | Vernon         | \$ 250.00   | 2/02/88     |
| Bissell, Jr.    | G. P.          | \$ 995.00   | 2/05/88     |
| Badren          | George S.      | \$ 200.00   | 2/05/88     |
| L Hotchkiss     | Preston B.     | \$ 250.00   | 2/05/88     |
| L Langer        | Samuel         | \$ 150.00   | 2/05/88     |
| L Pinoree, Jr.  | Sumner         | \$ 250.00   | 2/05/88     |
| Turkatenko      | Nikolay D.     | \$ 2.00     | 2/09/88     |
| Cosgrove        | Anita          | \$ 1,000.00 | 2/12/88     |
| Sillman         | Robert M.      | \$ 1,000.00 | 2/12/88     |
| Whitman, III    | Charles S.     | \$ 250.00   | 2/12/88     |
| Agnew, III      | Franklin       | \$ 500.00   | 2/19/88     |
| Alleborn        | Robert A.      | \$ 100.00   | 2/19/88     |
| Barnstead       | W. A.          | \$ 45.00    | 2/19/88     |
| Boggs           | J. Caleb       | \$ 150.00   | 2/19/88     |
| Booth, Jr.      | Otis           | \$ 500.00   | 2/19/88     |
| Carlson         | Helen M.       | \$ 250.00   | 2/19/88     |
| Carpenter       | Mary Kaye      | \$ 100.00   | 2/19/88     |
| Carpenter, III  | R. R. M.       | \$ 250.00   | 2/19/88     |
| Clark           | Louise Black   | \$ 550.00   | 2/19/88     |
| Conaway, Jr.    | H. Jones       | \$ 206.00   | 2/19/88     |
| Dunne           | Eleanor I.     | \$ 100.00   | 2/19/88     |
| Goul            | George B.      | \$ 180.00   | 2/19/88     |

\$ 17,941 total  
 \$ 9,835 new  
 \$ 54.8% of total

| LAST          | FIRST         | REFUND AMT  | DATE REFUND |
|---------------|---------------|-------------|-------------|
| Bradshaw, Jr. | Richard       | \$ 250.00   | 2/23/88     |
| Brown         | Werner C.     | \$ 1,000.00 | 2/23/88     |
| Council       | Walter S.     | \$ 24.00    | 2/23/88     |
| Gallagher     | Richard H.    | \$ 53.00    | 2/23/88     |
| Gustin        | Ann M.        | \$ 100.00   | 2/23/88     |
| Harrison      | Mary Gary     | \$ 250.00   | 2/23/88     |
| Healy, II =   | John E.       | \$ 306.00   | 2/23/88     |
| L Hipo        | Francis M.    | \$ 200.00   | 2/23/88     |
| Schreiber     | Richard S.    | \$ 100.00   | 2/23/88     |
| Swoope        | Margaretta M. | \$ 50.00    | 2/23/88     |
| Bolling, III  | Robert M.     | \$ 53.00    | 2/24/88     |
| Dean          | Leatrice M.   | \$ 150.00   | 2/24/88     |
| Falk, Jr.     | Leon          | \$ 310.00   | 2/24/88     |
| Ford          | Natasha B.    | \$ 500.00   | 2/24/88     |
| Keilhack      | Hans O.       | \$ 100.00   | 2/24/88     |
| Marshall      | Thomas C.     | \$ 1,000.00 | 2/24/88     |
| L Mulemy      | Charles C.    | \$ 100.00   | 2/24/88     |
| Murray        | Mary Kaye     | \$ 250.00   | 2/24/88     |
| Rossmeisl     | Elsie C.      | \$ 40.00    | 2/24/88     |
| Tigani, Jr.   | James V.      | \$ 159.00   | 2/24/88     |
| Ursonarso     | Frank A.      | \$ 39.76    | 2/24/88     |
| Von Maur      | Adelaide C.   | \$ 738.00   | 2/24/88     |
| Klein         | Jane E.       | \$ 100.00   | 2/25/88     |
| Kraus         | Karl          | \$ 200.00   | 2/25/88     |
| Kristal       | Daniel        | \$ 20.00    | 2/25/88     |
| Metz          | Richard E.    | \$ 250.00   | 2/25/88     |
| Hills         | Alice du Pont | \$ 1,000.00 | 2/25/88     |
| Patterson     | W. Duncan     | \$ 100.00   | 2/25/88     |
| Penn          | Ralph S.      | \$ 100.00   | 2/25/88     |
| Phillips      | J. M.         | \$ 50.00    | 2/25/88     |
| L Piasacki    | Vivian M.     | \$ 250.00   | 2/25/88     |
| Stauberg      | G. J.         | \$ 500.00   | 2/25/88     |
| Wolcott, III  | S. M.         | \$ 500.00   | 2/25/88     |
| Bishop        | Margaret M.   | \$ 100.00   | 2/29/88     |
| Flanders, III | James         | \$ 100.00   | 2/29/88     |
| Stearns       | Thornton      | \$ 500.00   | 2/29/88     |
| Huntington    | John B.       | \$ 75.00    | 3/16/88     |
| Keilhack      | Hans O.       | \$ 100.00   | 3/16/88     |
| Kreuter       | R. M.         | \$ 10.00    | 3/16/88     |
| Newell        | Ruth C.       | \$ 242.00   | 3/16/88     |
| Richardson    | J. J.         | \$ 250.00   | 3/16/88     |
| Caspersen     | Finn M. W.    | \$ 1,000.00 | 3/25/88     |
| Laird         | Mary Alletta  | \$ 150.00   | 3/25/88     |
| Roberts       | Owen J.       | \$ 1,000.00 | 3/25/88     |
| Roberts       | Susan E.      | \$ 1,000.00 | 3/25/88     |
| Von Maur      | Adelaide C.   | \$ 300.00   | 3/31/88     |
| Von Maur      | Adelaide C.   | \$ 80.00    | 4/11/88     |
| Swoope        | MARGARETTA M. | \$ 237.00   | 4/14/88     |
| L Avery       | Alice O'Neill | \$ 100.00   | 5/12/88     |
| L Babbitt     | Jane G.       | \$ 120.00   | 5/12/88     |
| Bours         | Elizabeth M.  | \$ 50.00    | 5/12/88     |
| Bours, III    | William A.    | \$ 50.00    | 5/12/88     |
| Cadwalader    | John          | \$ 50.00    | 5/12/88     |
| Cahill        | John E.       | \$ 9.00     | 5/12/88     |
| L Cahill, Jr. | George F.     | \$ 40.00    | 5/12/88     |
| L Campbell    | Roberta A.    | \$ 50.00    | 5/12/88     |
| Carlson       | Helen M.      | \$ 80.00    | 5/12/88     |
| Chanders      | Julie M.      | \$ 100.00   | 5/12/88     |
| L Chapman     | Hortense F.   | \$ 192.00   | 5/12/88     |
| Chickering    | Sherman       | \$ 100.00   | 5/12/88     |
| L Cook        | Marietta E.   | \$ 300.00   | 5/12/88     |
| Darling       | Wuth L.       | \$ 50.00    | 5/12/88     |
| Diondi        | Francis       | \$ 50.00    | 5/12/88     |
| L Orto        | Frank         | \$ 100.00   | 5/12/88     |
| L du Pont     | Grace         | \$ 50.00    | 5/12/88     |
| L Evans       | Raymond F.    | \$ 250.00   | 5/12/88     |
| Ford          | Natasha B.    | \$ 500.00   | 5/12/88     |
| Francis       | Diane C.      | \$ 25.00    | 5/12/88     |

| LAST             | FIRST        | REFUND AMT | DATE REFUND |
|------------------|--------------|------------|-------------|
| Frick, II        | Henry C.     | \$ 50.00   | 5/12/88     |
| Gallagher        | Richard H.   | \$ 47.00   | 5/12/88     |
| Gaul             | George B.    | \$ 70.00   | 5/12/88     |
| Henill, Jr.      | Samuel M.    | \$ 100.00  | 5/12/88     |
| Jackson          | Orton P.     | \$ 50.00   | 5/12/88     |
| Kreuter          | R. H.        | \$ 50.00   | 5/12/88     |
| L MacLean        | Mary Ann S.  | \$ 250.00  | 5/12/88     |
| Marshall         | George H.    | \$ 250.00  | 5/12/88     |
| Marta            | Albert H.    | \$ 100.00  | 5/12/88     |
| McCarthy         | Kathleen L.  | \$ 250.00  | 5/12/88     |
| L McCoy          | Sallie C.    | \$ 200.00  | 5/12/88     |
| Merrill, Jr.     | Keith        | \$ 75.00   | 5/12/88     |
| L Miller         | Donald P.    | \$ 900.00  | 5/12/88     |
| L Mudge          | Elizabeth    | \$ 50.00   | 5/12/88     |
| Nowell           | Arth C.      | \$ 150.00  | 5/12/88     |
| Nichols          | Miller       | \$ 250.00  | 5/12/88     |
| O'Donnell        | Fredd T.     | \$ 25.00   | 5/12/88     |
| Oldach           | Carl S.      | \$ 50.00   | 5/12/88     |
| Price            | Donald H.    | \$ 100.00  | 5/12/88     |
| Pulieri          | Dominick     | \$ 100.00  | 5/12/88     |
| Sherrerd         | John J.      | \$ 50.00   | 5/12/88     |
| L Silliman       | Mark W.      | \$ 10.00   | 5/12/88     |
| Silliman, Jr.    | Henry H.     | \$ 100.00  | 5/12/88     |
| L Singer         | Aleln R.     | \$ 250.00  | 5/12/88     |
| Smith            | Mary Ann     | \$ 50.00   | 5/12/88     |
| Smith            | Lloyd H.     | \$ 100.00  | 5/12/88     |
| Streitwieser     | Charles E.   | \$ 250.00  | 5/12/88     |
| Swanson          | Marilyn      | \$ 100.00  | 5/12/88     |
| Thompson         | Jere W.      | \$ 250.00  | 5/12/88     |
| Thun             | Ferdinand K. | \$ 50.00   | 5/12/88     |
| L Wallace        | Hal          | \$ 90.00   | 5/12/88     |
| Wilbur           | Atheline M.  | \$ 200.00  | 5/12/88     |
| Wirtz            | John W.      | \$ 100.00  | 5/12/88     |
| L Eakin-Burdette | Carol P.     | \$ 500.00  | 6/02/88     |
| Darden           | Elizabeth    | \$ 50.00   | 6/16/88     |
| Kidd             | Donald       | \$ 50.00   | 6/16/88     |

**ATTACHMENT B**

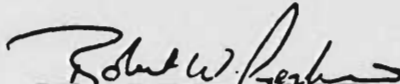
**AFFIDAVIT OF ROBERT W. PERKINS**

TO: Federal Election Commission  
Washington, DC

My name is Robert W. Perkins, and I served as Deputy Campaign Manager of Pete du Pont for President, Inc. from August 1986 through April, 1988. Although I am not presently working as a paid employee of the campaign, I am, nevertheless, responsible for managing the shutdown of the campaign.

In my position as Deputy Campaign Manager, I was aware of and involved in discussions and the decision-making process regarding the campaign's telemarketing fundraising efforts. As a participant in the process, I can state that the memorandum drafted by an independent consultant, Templeton Advertising, dated March 23, 1987, was not adopted as the overall plan for telemarketing for the campaign. As such, the audit team's reliance on this document in its draft Audit Report is misplaced.

I can state unequivocally that fundraising was a primary objective of the telemarketing program in those areas in Iowa in which telephone calls were made.

  
Robert W. Perkins  
Signed Under Penalty of Perjury

**ATTACHMENT C**

**TELEPHONE TOLL CHARGES**

890907/411

# ATTACHMENT C

## SUMMARY OF TELEPHONE CHARGES ATTRIBUTABLE TO TELEMARKETING PROGRAM

| PERIOD THRU          | TELEMARKETING<br>ALLOCATED BY<br>AUDIT | IOWA<br>PRORATION<br>PERCENTAGE | TOTAL<br>ALLOCATED<br>TO IOWA |
|----------------------|----------------------------------------|---------------------------------|-------------------------------|
| JUNE 25, '87         | \$5,223.34                             | 76.00%                          | \$3,969.74                    |
| JULY 25, '87         | \$7,495.78                             | 76.00%                          | \$5,696.79                    |
| AUGUST 25, '87       | \$16,090.14                            | 76.00%                          | \$12,228.51                   |
| SEPTEMBER 25, '87    | \$17,477.37                            | 76.00%                          | \$13,282.80                   |
| OCTOBER 25, '87      | \$19,118.24                            | 76.00%                          | \$14,529.86                   |
| NOVEMBER 25, '87     | \$20,448.06                            | 76.00%                          | \$15,540.53                   |
| DECEMBER 25, '87     | \$18,336.47                            | 76.00%                          | \$13,935.72                   |
| JAN NOT W/IN 28 DAYS | \$9,466.50                             | 76.00%                          | \$7,194.54                    |
| JAN W/IN 28 DAYS     | \$8,127.55                             | 100.00%                         | \$8,127.55                    |
| FEBRUARY 25, '88     | \$6,930.26                             | 100.00%                         | \$6,930.26                    |
|                      | -----                                  |                                 | -----                         |
| TOTAL                | \$128,713.71                           |                                 | \$101,436.29                  |

| PERIOD THRU          | TELEMARKETING<br>PROPOSED BY<br>COMMITTEE | IOWA<br>PRORATION<br>PERCENTAGE | TOTAL<br>ALLOCATED<br>TO IOWA |
|----------------------|-------------------------------------------|---------------------------------|-------------------------------|
| JUNE 25, '87         | \$4,058.31                                | 76.00%                          | \$3,084.32                    |
| JULY 25, '87         | \$8,084.93                                | 76.00%                          | \$6,144.55                    |
| AUGUST 25, '87       | \$14,513.76                               | 76.00%                          | \$11,030.46                   |
| SEPTEMBER 25, '87    | \$15,730.50                               | 76.00%                          | \$11,955.18                   |
| OCTOBER 25, '87      | \$16,830.51                               | 76.00%                          | \$12,791.19                   |
| NOVEMBER 25, '87     | \$18,486.31                               | 76.00%                          | \$14,049.60                   |
| DECEMBER 25, '87     | \$16,195.58                               | 76.00%                          | \$12,308.64                   |
| JAN NOT W/IN 28 DAYS | \$9,108.75                                | 76.00%                          | \$6,922.65                    |
| JAN W/IN 28 DAYS     | \$7,820.40                                | 100.00%                         | \$7,820.40                    |
| FEBRUARY 25, '88     | \$6,956.56                                | 100.00%                         | \$6,956.56                    |
|                      | -----                                     |                                 | -----                         |
| TOTAL                | \$117,785.61                              |                                 | \$93,063.53                   |

REDUCTION IN TELEPHONE  
CHARGES ALLOCABLE TO IOWA  
\$101,436.29 LESS \$93,063.53

\$8,372.76  
-----

**Toll Charges**

**Evening & Weekend Calls           \$5,036.18**

**25 days @ \$34.18 per day  
estimated non-telemarketing  
Evening & Weekend charges       (\$854.50)**  
-----

**Toll Charges attributable  
to Telemarketing Program       \$4,181.68**

**Total toll charges               \$8,016.76**

**Proportion of toll  
charges alloc to Program       52.16%**

**Total bill after  
discounts                       \$7,780.25**  
-----

**Total Attributable to  
Telemarketing Program       \$4,058.31**  
=====

\*\*\*\*\*  
**FOR PERIOD**  
**ENDING 6/25/87**  
\*\*\*\*\*

|                                                          |              |
|----------------------------------------------------------|--------------|
| Toll Charges                                             |              |
| Evening & Weekend Calls                                  | \$9,369.73   |
| 30 days @ \$34.18 per day<br>estimated non-telemarketing |              |
| Evening & Weekend charges                                | (\$1,025.40) |
| -----                                                    |              |
| Toll Charges attributable<br>to Telemarketing Program    | \$8,344.33   |
| Total toll charges                                       | \$11,633.34  |
| Proportion of toll<br>charges alloc to Program           | 71.73%       |
| Total bill after<br>discounts                            | \$11,271.70  |
| -----                                                    |              |
| Total Attributable to<br>Telemarketing Program           | \$8,084.93   |
| =====                                                    |              |

\*\*\*\*\*  
 FOR PERIOD  
 ENDING 7/25/87  
 \*\*\*\*\*

**Toll Charges**  
**Evening & Weekend Calls**      **\$16,280.34**  
  
**31 days @ \$34.18 per day**  
**estimated non-telemarketing**  
**Evening & Weekend charges**      **(\$1,059.58)**  
                                         **-----**  
**Toll Charges attributable**  
**to Telemarketing Program**      **\$15,220.76**  
  
**Total toll charges**      **\$18,834.59**  
  
**Proportion of toll**  
**charges alloc to Program**      **80.81%**  
  
**Total bill after**  
**discounts**      **\$17,959.73**  
                                         **-----**  
**Total Attributable to**  
**Telemarketing Program**      **\$14,513.76**  
                                         **-----**

**\*\*\*\*\***  
**FOR PERIOD**  
**ENDING 8/25/87**  
**\*\*\*\*\***

Toll Charges  
Evening & Weekend Calls \$17,728.16  
31 days @ \$34.18 per day  
estimated non-telemarketing  
Evening & Weekend charges (\$1,059.58)  
-----

\*\*\*\*\*  
FOR PERIOD  
ENDING 9/25/87  
\*\*\*\*\*

Toll Charges attributable  
to Telemarketing Program \$16,668.58

Total toll charges \$20,875.45

Proportion of toll  
charges alloc to Program 79.85%

Total bill after  
discounts \$19,700.62  
-----

Total Attributable to  
Telemarketing Program \$15,730.50  
-----

Toll Charges  
Evening & Weekend Calls \$18,908.75

\*\*\*\*\*  
FOR PERIOD  
ENDING 10/25/87  
\*\*\*\*\*

31 days @ \$34.18 per day  
estimated non-telemarketing  
Evening & Weekend charges (\$1,059.58)  
-----

Toll Charges attributable  
to Telemarketing Program \$17,849.17

Total toll charges \$22,528.19

Proportion of toll  
charges alloc to Program 79.23%

Total bill after  
discounts \$21,242.49  
-----

Total Attributable to  
Telemarketing Program \$16,830.51  
-----

|                                                          |              |
|----------------------------------------------------------|--------------|
| Toll Charges                                             |              |
| Evening & Weekend Calls                                  | \$20,692.46  |
| 31 days @ \$34.18 per day<br>estimated non-telemarketing |              |
| Evening & Weekend charges                                | (\$1,059.58) |
|                                                          | -----        |
| Toll Charges attributable<br>to Telemarketing Program    | \$19,632.88  |
| Total toll charges                                       | \$23,953.79  |
| Proportion of toll<br>charges alloc to Program           | 81.96%       |
| Total bill after<br>discounts                            | \$22,554.88  |
|                                                          | -----        |
| Total Attributable to<br>Telemarketing Program           | \$18,486.31  |
|                                                          | -----        |

\*\*\*\*\*  
 FOR PERIOD  
 ENDING 11/25/87  
 \*\*\*\*\*

Toll Charges  
 Evening & Weekend Calls \$17,954.80  
 30 days @ \$34.18 per day  
 estimated non-telemarketing  
 Evening & Weekend charges (\$1,025.40)  
 -----  
 Toll Charges attributable  
 to Telemarketing Program \$16,929.40  
 Total toll charges \$21,062.96  
 Proportion of toll  
 charges alloc to Program 80.38%  
 Total bill after  
 discounts \$20,149.97  
 -----  
 Total Attributable to  
 Telemarketing Program \$16,195.58  
 -----

\*\*\*\*\*  
 FOR PERIOD  
 ENDING 12/25/87  
 \*\*\*\*\*

32040714120

\*\*\*\*\*  
FOR PERIOD  
ENDING 1/25/88  
\*\*\*\*\*

**Total Attributable to  
Telemarketing Program** **\$16,929.15**

1214166611

Toll Charges  
 Evening & Weekend Calls \$7,585.82 \*  
 14 days @ \$34.18 per day  
 estimated non-telemarketing  
 Evening & Weekend charges (\$478.52)  
 -----  
 Toll Charges attributable  
 to Telemarketing Program \$7,107.30  
 Total toll charges \$16,226.19  
 Proportion of toll  
 charges alloc to Program 43.80¢  
 Total bill after  
 discounts \$15,882.05  
 -----  
 Total Attributable to  
 Telemarketing Program \$6,956.56  
 -----

\*\*\*\*\*  
 FOR PERIOD  
 ENDING 2/25/88  
 \*\*\*\*\*

\* accepted audit calc  
 of Iowa toll charges  
 since some daytime  
 calling in Feb. 88

830407/4122

**ATTACHMENT D**

**WAGE SCHEDULES**

017DJS1.3D

330407 / 3123

ATTACHMENT D  
COMMITTEE'S IOWA TELEMARKETING ALLOCATION  
PAYROLL EXPENSES

| PERIOD             | AMOUNT      |
|--------------------|-------------|
| OCTOBER '87        | \$2,700.18  |
| NOVEMBER '87       | \$5,400.36  |
| DECEMBER '87       | \$24,979.50 |
| JANUARY 88         | \$15,639.69 |
| FEBRUARY '88       | \$31,208.06 |
|                    | -----       |
| TOTAL              | \$79,927.79 |
|                    |             |
| TOTAL PER<br>AUDIT | \$72,243.79 |
|                    | -----       |
| DIFFERENCE         | \$7,684.00  |

\* the "Program Costs Allocated by Committee" should  
increased from \$72,243.79 to \$79,927.79

\*\* "Additional Program cost requiring allocation to  
should be reduced by \$7,684.00



## FEDERAL ELECTION COMMISSION

WASHINGTON D.C. 20461

February 1, 1989

### MEMORANDUM

TO: Robert J. Costa  
Assistant Staff Director  
Audit Division

THROUGH: John C. Surina  
Staff Director

FROM: Lawrence M. Noble *LMN*  
General Counsel

Kim L. Bright-Coleman *KBC*  
Special Assistant General Counsel

SUBJECT: Proposed Final Audit Report on Pete du Pont  
for President (LRA #299/AR #88-50)

### I. INTRODUCTION

The Office of General Counsel has reviewed the proposed Final Audit Report on Pete du Pont for President (the "Committee") submitted to this Office on December 16, 1988. The Commission approved the Interim Audit Report of the Committee on August 30, 1988. The Committee responded to the Interim Report on November 4, 1988. However, the Committee has not provided a detailed listing of vendors related to the telemarketing program as requested in the Interim Report.

In general, we concur with the recommendations in the proposed report. We agree with recommendations 1 and 2 that the Commission take no further action concerning the late filing of amendments itemizing expenditures and interest received. We also concur that the first referral (Exhibit A) concerning untimely refunds of excessive contributions totaling \$19,013 should be referred to this Office. However, we have several comments on Finding III., B. Use of Funds for Non-Qualified Campaign Expenses and the proposed referral of that finding to this Office. While we agree with the analysis of the Committee's response as set forth in the proposed report, we do not agree that this matter should be referred to the Office of General Counsel at this time. Our comments on the proposed finding and referral follow.

Memorandum to Robert J. Costa  
Proposed Final Audit Report on  
Pete du Pont for President (LRA #299/AR #88-50)  
Page 2

**I. USE OF FUNDS FOR NON-QUALIFIED CAMPAIGN EXPENSES-  
TELEMARKETING PROGRAM (Finding III. B; Exhibit B)**

**A. BACKGROUND**

3 9 0 9 0 7 / 9 1 2 6  
The Committee operated a telemarketing and mail program from its Wilmington, Delaware headquarters from June 1987 through February 1988. The program was a computer-based system which involved 35 telephoners using scripts and inputting responses from the persons contacted. The program costs totalled \$745,439.24. The Committee allocated \$117,606.04 in program costs to Iowa. However, based upon review of a memorandum from a consultant, the scripts used in the program, and the long distance telephone bills, the auditors concluded that Iowa was a primary focus of the telemarketing program and that additional amounts should be allocated to the Committee's Iowa expenditure limit. The Committee provided copies of six scripts which were almost exclusively used in the telemarketing program. Of these, only one contained a fundraising appeal.

In the Interim report, the Audit Division allocated \$375,549.15 of the program costs to Iowa, resulting in expenditures in excess of the Iowa state limitation totalling \$98,736.31. The report recommended that the Committee provide evidence showing that it has not exceeded the limitation, or make a pro rata repayment of \$23,955.96. Moreover, the report recommended that the Committee provide a listing of all vendors related to the telemarketing program and an itemization of all expenditures incurred with respect to each vendor. As of this date, the Committee has not provided the requested listing of the vendors related to the program.

The Committee's principal arguments focus on the fundraising exemption under 11 C.F.R. § 106.2(c)(5). The Committee contends that the telemarketing program was essentially fundraising in nature, and that the Audit staff mischaracterized the program for three reasons: 1) misplaced reliance on a memorandum from a consultant; 2) a failure to understand the program's Iowa focus; and 3) a failure to comprehend modern campaign fundraising. The Committee contends that the program was a "significant fundraising effort." To support this assertion, the Committee submitted an affidavit from the deputy campaign manager that states that fundraising was a prime objective of the program. The Committee essentially argues that the telemarketing program was a cohesive entity similar to a traditional direct-mail program. Thus, it contends that the telephone calls and the follow-up mailing should be considered inextricably linked components of a single fundraising appeal. The Committee further

Memorandum to Robert J. Costa  
Proposed Final Audit Report on  
Pete du Pont for President (LRA #299/AR #88-50)  
Page 3

asserts that the apparent Iowa focus and absence of overt fundraising language in the telemarketing scripts resulted from the "uniqueness of circumstances surrounding an underdog campaign" and "sophisticated telemarketing techniques." In this regard, the Committee contends that an unknown candidate must educate potential contributors before he can hope to solicit their contributions.

Moreover, the Committee argues that expenses for rent, computer expenses, and wiring allocated to Iowa by the Audit staff are general overhead expenses which are not allocable to Iowa under 11 C.F.R. §§ 106.2(c)(1)(i) and 106.2(b)(2)(iv). The Committee also contends that the Audit staff understated payroll expenses, and miscalculated telephone toll charges to Iowa, because certain telephone calls were not related to the telemarketing program. The Committee's final argument, in the alternative, is that Advisory Opinion ("AO") 1988-6 is applicable to the program and that 50% of the program costs should be allocated to fundraising.

The proposed Final Audit report rejects most of these arguments. Audit staff believe that the exemption for overhead operating expenses of the national campaign headquarters does not exempt the operating expenses of a specific program focused on a particular state simply because it was directed out of the national office. The proposed report notes that, contrary to the Committee's assertions, the consultant memorandum was not the sole basis for the Audit staff's conclusion that the program's primary focus was on Iowa. Rather, that conclusion was derived from a review of the telephone scripts, telephone records, and other materials that indicated the Iowa focus of the program. However, Audit staff accepted the Committee's contention that not all calls to Iowa were related to the program, and accordingly reduced the telephone and wiring allocations. This reduction was determined based on credits on telephone bills which had not previously been included in the allocation, and the application of a business use percentage for presumed non-telemarketing calls.<sup>1/</sup>

---

<sup>1/</sup> The Committee contended that Audit staff understated payroll expenses already allocated by the Committee by \$7,684. The Audit staff notes that this amount is the difference between allocable payroll expenses not included in the Committee's allocation figure and an over allocation of payroll made by the Committee. The Committee's over allocation was adjusted by the Audit staff in the Interim report, thus, no further adjustment is necessary.

Memorandum to Robert J. Costa  
Proposed Final Audit Report on  
Pete du Pont for President (LRA #299/AR #88-50)  
Page 4

3 3 0 4 0 7 / 4 1 2 8

In addition, the proposed Final Audit report rejects the Committee's contentions that the program was essentially a fundraising appeal. The proposed report states that if the Committee's position is accepted, virtually any method used to educate potential voters could arguably have a fundraising purpose, and only expenses within 28 days of the primary could be allocated to a state's expenditure limits. The Audit staff, thus, rejects the Committee's contention that the phone call and follow-up solicitation were components of a single fundraising appeal rather than separate and distinct expenditures. Finally, the report rejects the Committee's reliance on AO 1988-6, because the opinion applies only to a specific factual situation and does not apply to the facts at issue here. The report notes that in the opinion, both the political issue and solicitation request were contained within one message, whereas the du Pont telemarketing program sought political interest first and then addressed solicitation requests from identified supporters. The Audit staff also notes that the Committee's allocations based on their arguments contain a number of errors; in particular, they are using Audit figures which have already been reduced to account for fundraising.

**B. LEGAL ANALYSIS**

We concur with the Audit Division's analysis of the Committee's response. The Committee's arguments are based on the dubious premise that a voter contact program with several discrete elements which may eventually lead to an explicit fundraising appeal should be considered entirely fundraising in nature. Although the Committee contends that the telephone calls without any apparent fundraising message had a fundraising purpose of educating potential contributors for subsequent fundraising appeals, the fact remains that the absence of a fundraising appeal in the calls makes them indistinguishable from campaign devices intended to educate voters and garner voting support. The only evidence that there was a fundraising intention is the campaign's assertion that the program was a fundraising effort. This is insufficient. Using the Committee's reasoning, virtually any informational activity by a campaign would arguably be exempt as fundraising. The limited fundraising exemption was not intended to cover all campaign advertising. This argument would extend the fundraising exemption to expenditures with no apparent fundraising message.

The Committee's contention that rent, computer and other overhead costs of the program should be viewed as national office overhead rather than being allocated to the Iowa expenditure limit is similarly flawed. The regulations exempt national

Memorandum to Robert J. Costa  
Proposed Final Audit Report on  
Pete du Pont for President (LRA #299/AR #88-50)  
Page 5

campaign expenditures, including operating expenditures of the national campaign headquarters, from allocation to any state. 11 C.F.R. § 106.2(c)(1)(i). However, in general, state allocations under 11 C.F.R. § 106.2 are based upon whether an expenditure is for the purpose of influencing the nomination of a candidate in a particular state. The allocation depends upon the state which is influenced by the expenditure. The exemption for general overhead expenses should not be applied to costs directed toward the Iowa election, as distinguished from the general costs of running the national headquarters. The Committee's argument would permit campaigns to avoid expenditure limitations by running various state-directed activities from the national headquarters.

3 0 0 4 0 7 1 1 2 9  
Finally, the Committee's reliance on AO 1988-6 is misplaced. In AO 1988-6, the Commission permitted the Gore campaign to exempt 50% of the cost of an advertisement under the fundraising exemption. The Committee contends that under this opinion, 50% of the costs allocated to Iowa by the Audit Division should be exempted as fundraising expenses. It is not clear whether, or to what extent, AO 1988-6 is applicable to this program. A television commercial is a cohesive whole. Although the fundraising message only appeared for three seconds of the sixty-second commercial, it was clearly related to the advertisement. Therefore, application of the opinion arguably requires the presence of an overt fundraising message in a communication as a basis for the exemption. The Committee's assertion that the entire telemarketing program should be viewed as fundraising activity would permit the exemption of costs related to telephone calls and mailings that did not contain a fundraising message. Therefore, this situation is distinguishable from that considered in the advisory opinion. The basis for the Commission's decision in AO 1988-6 does not permit a candidate to exempt as fundraising expenses a long-range fundraising program which includes several disparate messages and contacts with potential voters which do not include an explicit fundraising message.

Even if the Committee were permitted to exempt 50% of the telemarketing expenses as fundraising costs pursuant to AO 1988-6, the appropriate allocation would be based on the total program cost. The Committee erroneously seeks to exempt a percentage of the amounts already allocated by Audit staff. The Audit staff's allocations have attempted to account for the fundraising exemption, and are based on the assumption that the program-related expenditures are separable and may be allocated separately. If a 50% exemption is applied to the total cost of the program, the costs allocable to Iowa will remain the same, or

even possibly increase. Thus, even if the Committee's arguments in this respect were accepted, the Committee cannot avoid exceeding the expenditure limitations.

The report allocates \$354,260.26 of the telemarketing program costs to the Iowa state expenditure limit, resulting in expenditures in excess of the state limitation of \$77,447.42. We note that this figure may change if the Committee supplies the requested vendor records. The report recommends that the Commission make an initial determination that the Committee repay a pro rata amount of \$23,254.83 to the United States Treasury.

C. PROPOSED REFERRAL (EXHIBIT B)

Exhibit B recommends referral to this Office based on expenditures in excess of the state-by-state limits and the Committee's failure to provide a listing of the vendors related to the telemarketing program. The Office of General Counsel believes referral of this matter is premature at this time. It is our understanding that the list of vendors will be used to determine which mailing was sent as a result of a particular telephone call. Such a determination will in turn enable the Audit staff to determine if additional amounts of the expenses related to the mailings should also be allocated to the Committee's Iowa expenditure limit. In view of the fact that additional fieldwork may be required once the vendor information is provided, we believe that it is more appropriate to obtain the records in the audit context. Therefore, we recommend that the proposed report be revised to include a recommendation that the Committee provide the requested information within 30 days. Changes in the amount in excess of the expenditure limit and any corresponding repayment could be included in a final repayment determination by the Commission, with a referral of the matter at that time. Should the Committee choose not to dispute the initial determination and, thus, it becomes final, any additional repayment could be addressed in an addendum to the Final Report.

III. SUNSHINE RECOMMENDATION

The Commission's Sunshine Act procedures provide that the Office of General Counsel make Sunshine recommendations on documents submitted to this Office for review. Section 2.4(a) of the Commission's Sunshine Act regulations provides for the consideration of matters in closed session if they are specifically exempted from disclosure by statute. Additional bases for closing such meetings include when an open meeting is

Memorandum to Robert J. Costa  
Proposed Final Audit Report on  
Pete du Pont for President (LRA #299/AR #88-50)  
Page 7

likely to result in the disclosure of non-public audit procedures, policies or investigative techniques or information the premature disclosure of which would be likely to have an adverse effect on the implementation of a proposed Commission action. 11 C.F.R. §§ 2.4(b)(1) and 2.4(b)(6).

This Office believes that Commission discussion of this document should be bifurcated. We believe that the proposed report should be considered in open session and the proposed referrals should be considered in executive session. Section 2.4(a) of the Commission's Sunshine Regulations provides a sufficient basis for exempting the Commission's deliberations concerning the referrals from disclosure.

Staff Assigned: Delanie DeWitt Painter

3 2 0 4 0 7 7 4 1 3 1

FEDERAL ELECTION COMMISSION  
999 E Street, N.W.  
Washington, D.C. 20463

RECEIVED  
FEDERAL ELECTION COMMISSION  
89 MAY 17 PM 12:42

FIRST GENERAL COUNSEL'S REPORT

**SENSITIVE**

MUR 2824

Staff Member: Mary Ann Bumgarner

SOURCE OF MUR: INTERNALLY GENERATED

RESPONDENTS: Pete DuPont for President,  
Frank A. Ursomarso, treasurer

RELEVANT STATUTE: 2 U.S.C. § 441a(f)

INTERNAL REPORTS  
CHECKED: Referral Materials

FEDERAL AGENCIES  
CHECKED: None

I. GENERATION OF MATTER

The Commission, upon the recommendation of the Audit Division, referred Pete DuPont for President ("the Committee") to the Office of the General Counsel on February 12, 1989. The basis for the attached referral is the Committee's failure to refund in a timely manner excessive portions of contributions totaling \$19,013.00 from 57 contributors. (Attachment 1).

II. FACTUAL AND LEGAL ANALYSIS

The Federal Election Campaign Act of 1971, as amended ("the Act"), provides that no candidate or political committee shall knowingly accept any contribution in violation of the provisions of Section 441a. 2 U.S.C. § 441a(f). 2 U.S.C. § 441a(a)(1)(A) limits to \$1,000 the amount that a person shall make in contributions to any candidate and his authorized political committees with respect to any election for Federal office.

90047 / 4132

The Commission's Regulations explain that contributions which exceed the contribution limits when aggregated with other contributions from the same contributor may be either deposited into a campaign depository or returned to the contributor. If deposited, the treasurer may request redesignation or reattribution of the contribution by the contributor. If the reattribution or redesignation is not obtained, the treasurer shall, within sixty (60) days of the treasurer's receipt of the contribution, refund the contribution to the contributor.

11 C.F.R. § 103.3(b)(3).

During fieldwork the Audit staff reviewed 217 excessive contributions refunded by the Committee and noted that for 41 contributors whose excessive portions totalled \$16,041.00, the Committee had not refunded the excessive portions timely. A schedule of these contributions was presented to the Committee at the Exit Conference.

Subsequent to the conclusion of the fieldwork, the Committee refunded excessive portions of contributions totaling \$7,216.00 from 50 additional contributors. Of these 50 excessive contributions, 16 refunds totaling \$2,972.00 were not made timely.

Thus, the Committee did not refund in a timely manner excessive portions of contributions totaling \$19,013.00 (\$16,041.00 + \$2,972.00) from 57 (41 + 16) contributors.

990407 / 9135

The Audit staff recommended to the Committee that, within 30 calendar days after receipt of the interim audit report, they provide an explanation as to why the refunds were not accomplished in a timely manner. In their response, the Committee acknowledged that the refunds were not made within 60 days and provided explanations.

The Committee identified two time periods for which refunds of excessive contributions were delayed. One period of delay occurred in late January and early February, 1988. The Committee asserts the delay in refunds of excessive contributions was due to the heavy volume of work relating to a massive direct mail effort in November, 1987. The Audit staff, however, reviewed the receipt dates for the contributions related to the late refunds made in January and February 1988 and found that the late refunds within this time period involved excessive contributions received from March 1987 to October 1987. Therefore, the Audit staff noted, the lateness of all these refunds could not be attributed to the heavy work load resulting from the direct mail effort in November, 1987.

Another time period identified by the Committee in which refunds of excessive contributions were delayed was subsequent to the candidate's withdrawal. The Committee asserts that during this time, there was a heavy volume of work and the staff had been reduced to a skeletal force. However, the candidate withdrew on February 18, 1988 and the Audit staff notes that the

890407 / 4134

Committee was making refunds on a regular basis through April, 1988. The Committee made no refunds again until May 12, 1988.

The Committee also stated that the lack of a unique identifier (such as a social security number) for each contributor made 100% compliance within the time required virtually impossible for the volume of transactions handled by the Committee. On this point, the Audit staff noted that the Committee used a contributor identification code which was linked to the zip code, last name, first name and middle initial, and street address of the contributor.

Another explanation offered by the Committee was that refunds of excessive contributions were delayed in 37 instances because a second or third contributor record had been created for a prior contributor due to a discrepancy in the name, title, suffix or address of the individual. The Committee further contended that the dollar value of the refunds equalled only .0295% of total private receipts and that there was no material cash flow advantage gained by the Committee by not refunding the contributions timely.

Finally, the Committee stated that the number of occurrences, (0.001357 of contributors), in light of the volume of activity, supports the existence of exemplary efforts to comply with FEC Guidelines. The Committee urged that no penalties or sanctions would be appropriate in this case.

1100407 / 135

Despite the Committee's explanations, the fact remains that the Committee did not refund in a timely manner excessive portions of contributions totaling \$19,013.00 from 57 contributors. Therefore, this Office recommends that the Commission find reason to believe that the Committee and Frank A. Ursomarso, as treasurer, violated 2 U.S.C. § 441a(f).

**III. RECOMMENDATIONS**

1. Find reason to believe that Pete DuPont for President and Frank A. Ursomarso, as treasurer, violated 2 U.S.C. § 441a(f).
2. Approve the attached Factual and Legal Analysis and letter.

Lawrence M. Noble  
General Counsel

Date

May 16, 1989

By:

George F. Rishel  
George F. Rishel, Acting  
Assistant General Counsel

**Attachments**

1. Referral Materials
2. Factual and Legal Analysis
3. Letter

82040774130

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of

Pete DuPont for President,  
Frank A. Ursomarso, treasurer

)  
)  
)  
)

MUR 2824

CERTIFICATION

I, Marjorie W. Emmons, Secretary of the Federal Election Commission, do hereby certify that on May 22, 1989, the Commission decided by a vote of 5-0 to take the following actions in MUR 2824:

1. Find reason to believe that Pete DuPont for President and Frank A. Ursomarso, as treasurer, violated 2 U.S.C. § 441a(f).
2. Approve the Factual and Legal Analysis and letter, as recommended in the First General Counsel's report signed May 16, 1989.

Commissioners Elliott, Josefiak, McDonald, McGarry, and Thomas voted affirmatively for the decision; Commissioner Aikens did not cast a vote.

Attest:

5-22-89

Date

*Marjorie W. Emmons*

Marjorie W. Emmons  
Secretary of the Commission

|                                                 |                  |       |
|-------------------------------------------------|------------------|-------|
| Received in the Office of Commission Secretary: | Wed., 5-17-89,   | 12:42 |
| Circulated on 48 hour tally basis:              | Thurs., 5-18-89, | 11:00 |
| Deadline for vote:                              | Mon., 5-22-89,   | 11:00 |

39040714137



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

May 25, 1989

Frank A. Ursomarso  
Pete DuPont for President  
270 Presidential Drive  
Greenville, DE 19807

RE: MUR 2824  
Pete DuPont for President  
and Frank A. Ursomarso, as  
treasurer

Dear Mr. Ursomarso:

On May 22, 1989, the Federal Election Commission found that there is reason to believe Pete DuPont for President ("Committee") and you, as treasurer, violated 2 U.S.C. § 441a(f), a provision of the Federal Election Campaign Act of 1971, as amended ("the Act"). The Factual and Legal Analysis, which formed a basis for the Commission's finding, is attached for your information.

Under the Act, you have an opportunity to demonstrate that no action should be taken against the Committee and you, as treasurer. You may submit any factual or legal materials that you believe are relevant to the Commission's consideration of this matter. Please submit such materials to the General Counsel's Office within 15 days of your receipt of this letter. Where appropriate, statements should be submitted under oath.

In the absence of any additional information demonstrating that no further action should be taken against the Committee and you, as treasurer, the Commission may find probable cause to believe that a violation has occurred and proceed with conciliation.

If you are interested in pursuing pre-probable cause conciliation, you should so request in writing. See 11 C.F.R. § 111.18(d). Upon receipt of the request, the Office of the General Counsel will make recommendations to the Commission either proposing an agreement in settlement of the matter or recommending declining that pre-probable cause conciliation be pursued. The Office of the General Counsel may recommend that pre-probable cause conciliation not be entered into at this time so that it may complete its investigation of the matter. Further, the Commission will not entertain requests for pre-probable cause conciliation after briefs on probable cause have been mailed to the respondent.

Frank A. Ursomarso  
Page 2

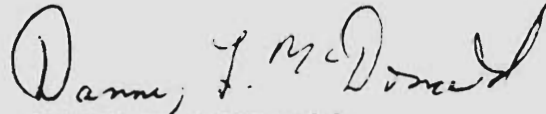
Requests for extensions of time will not be routinely granted. Requests must be made in writing at least five days prior to the due date of the response and specific good cause must be demonstrated. In addition, the Office of the General Counsel ordinarily will not give extensions beyond 20 days.

If you intend to be represented by counsel in this matter, please advise the Commission by completing the enclosed form stating the name, address, and telephone number of such counsel, and authorizing such counsel to receive any notifications and other communications from the Commission.

This matter will remain confidential in accordance with 2 U.S.C. §§ 437g(a)(4)(B) and 437g(a)(12)(A), unless you notify the Commission in writing that you wish the investigation to be made public.

For your information, we have attached a brief description of the Commission's procedures for handling possible violations of the Act. If you have any questions, please contact Mary Ann Bumgarner, the attorney assigned to this matter, at (202) 376-5690.

Sincerely,

  
Danny L. McDonald  
Chairman

Enclosures  
Factual and Legal Analysis  
Procedures  
Designation of Counsel Form

9  
3  
1  
4  
7  
7  
0  
4  
0  
3  
9

**FEDERAL ELECTION COMMISSION  
FACTUAL AND LEGAL ANALYSIS**

**RESPONDENTS:**    Pete DuPont for President  
                     and Frank A. Ursomarso, as  
                     treasurer

MUR 2824

330907 / 9190

The Federal Election Campaign Act of 1971, as amended ("the Act"), provides that no candidate or political committee shall knowingly accept any contribution in violation of the provisions of Section 441a. 2 U.S.C. § 441a(f). 2 U.S.C. § 441a(a)(1)(A) limits to \$1,000 the amount that a person shall make in contributions to any candidate and his authorized political committees with respect to any election for Federal office.

The Commission's Regulations explain that contributions which exceed the contribution limits when aggregated with other contributions from the same contributor may be either deposited into a campaign depository or returned to the contributor. If deposited, the treasurer may request redesignation or reattribution of the contribution by the contributor. If the reattribution or redesignation is not obtained, the treasurer shall, within sixty (60) days of the treasurer's receipt of the contribution, refund the contribution to the contributor.

11 C.F.R. § 103.3(b)(3).

The Committee did not refund in a timely manner excessive portions of contributions totaling \$19,013.00 from 57 contributors. Therefore, there is reason to believe Pete DuPont for President and Frank A. Ursomarso, as treasurer, violated 2 U.S.C. § 441a(f).

06C 2898

FEDERAL  
7/11/89

PETE DU PONT FOR PRESIDENT

89 MAY 30 AM 10:41

- 7/11/89 2824

May 25, 1989

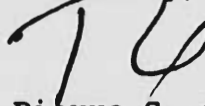
10/17/89 PM 1:52

3 2 0 9 0 7 / 5 1 4 1  
Lawrence M. Noble, Esquire  
General Counsel  
Federal Election Commission  
999 E Street, N.W.  
Suite 657  
Washington, DC 20463

Dear Mr. Noble:

Please be advised that Daniel J. Swillinger of Alagia, Day, Marshall, Mintmire & Chauvin has been retained as attorney for Pete du Pont for President, Inc. for any enforcement matters which may come before the Commission.

Sincerely,



Pierre S. du Pont, IV

PSduP/gp

Please direct all inquiries to:

Pete du Pont  
P. O. Box 551  
Wilmington, DE 19899  
(302) 651-7728

06C 2973

RECEIVED  
FEDERAL ELECTION COMMISSIONSTATEMENT OF DESIGNATION OF COUNSEL

89 JUN -6 PM 2:29

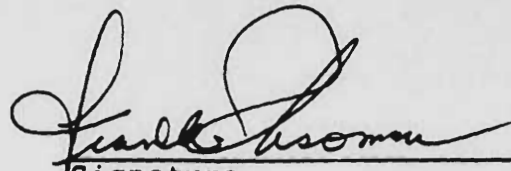
MUR 2824NAME OF COUNSEL: Daniel Swillinger, Esq.ADDRESS: Alaqua, Day & Marshall1000 Thomas Jefferson StreetWashington, DC 20007TELEPHONE: 202/342-0342

89 JUN -8 AM 11:40

RECEIVED  
FEDERAL ELECTION COMMISSION  
OFFICE OF THE CLERK

The above-named individual is hereby designated as my  
counsel and is authorized to receive any notifications and other  
communications from the Commission and to act on my behalf before  
the Commission.

June 2, 1989  
Date

  
Signature
RESPONDENT'S NAME: FRANK A. URSOMMARSOADDRESS: P.O. Box 2508WILM. DEL 19805HOME PHONE: 215 - ~~342~~ 388-6562BUSINESS PHONE: 302 573-5202

300407/4142

RECEIVED  
FEDERAL ELECTION COMMISSION  
OFFICE OF ATTORNEY COUNSEL  
29 JUN 14 PM 4:04

BEFORE THE  
FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

RE: MUR 2824

RESPONSE OF PETE DU PONT FOR PRESIDENT

Pete du Pont for President, Inc., through undersigned counsel, files this response to the Federal Election Commission's letter of May 25, 1989, received on May 31, 1989, informing the Committee that the Commission has found reason to believe the Act has been violated.

The Commission's finding relates to the failure of the Committee to refund within 60 days \$19,000 in contributions from 57 contributors to Pete du Pont's 1988 Presidential campaign.

The Committee acknowledges that the specified refunds were not made within 60 days of receipt. There were, however, mitigating circumstances with respect to these instances.

The du Pont campaign expended considerable resources to assure that adequate systems were in place to screen for potential excessive contributions. This included a combination of thorough manual screening procedures and contractual data processing support from a third party vendor.

Attachment A details the circumstances surrounding the delay in refunding specific contributions or groups of contributions. In 37 separate instances, the delay in identifying an excess

contribution is directly traced to the creation of a second or third contributor record for a prior contributor, due to a discrepancy in the name, title, suffix or address of the individual.

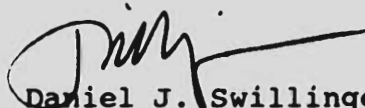
There were two periods in which the refunds were delayed due to the difficulty in coping with unusually heavy volumes of work. The first of these was due to a massive direct mail effort in November, 1987. Many of these refunds were not identified until the end of January or the first week in February, 1988. The last occurred subsequent to the candidate's withdrawal when the demands of multiple NOCO statements and monthly report preparations swamped the remaining skeleton staff. All refunds were made as promptly as possible.

The du Pont campaign had total private contributions in excess of \$6.25 million from some 42,000 contributors. The Committee is convinced that the burden imposed by the sheer volume of transactions, compounded by the lack of a truly unique identifier (such as a contributor's Social Security number), makes 100% compliance with such tight time guidelines virtually impossible for a Presidential campaign.

Given the minimal dollar value of the refunds in question (0.000295 of total private receipts), and the stability of the campaign's finances, there was clearly no material cash flow advantage. The Committee strongly believes that the number of occurrences (0.001357 of contributors) in light of the volume of activity supports the existence of exemplary efforts to comply

with FEC guidelines. Accordingly, the Committee requests that the Commission dismiss this matter.

Respectfully submitted,



Daniel J. Swillinger  
Counsel to  
Pete du Pont for President

June 14, 1989

ATTACHMENT A

CONTRIBUTORS WITH MULTIPLE RECORDS

("M" beside the Date of Refund denotes Multiple Records)

Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

| <u>Contributor</u>                                          | <u>Date of Receipt</u>           | <u>Date of Refund</u>                    | <u>Amount</u>                   |
|-------------------------------------------------------------|----------------------------------|------------------------------------------|---------------------------------|
| 1. Agnew III, Franklin                                      | 07/09/87                         | 02/19/88                                 | \$ 500.00                       |
| 2. Andrews III, Mark                                        | 09/04/87                         | 02/02/88 M                               | 500.00 2 addresses              |
| 3. Bissell, Julia A<br>(Mrs. Alfred)                        | 05/27/87<br>09/18/87             | 12/31/87 } M<br>12/31/87 }               | 100.00<br>100.00                |
| 4. Boggs, J. Caleb                                          | 11/05/87                         | 02/19/88 M                               | 100.00 2 titles                 |
| 5. Booth Jr., Otis                                          | 07/21/87                         | 02/19/88 M                               | 500.00 2 addresses              |
| 6. Carpenter, Mary<br>Kaye<br>(Mrs. Mary K. Carpenter, Jr.) | 11/18/87                         | 02/19/88 M                               | 100.00                          |
| 7. Caspersen, Finn M.<br>W.                                 | 12/01/87                         | 03/31/88                                 | 1,000.00                        |
| 8. Craig, Eleanor D.                                        | 08/12/87<br>06/09/87<br>05/12/87 | 01/29/88 }<br>01/29/88 } M<br>01/29/88 } | 125.00<br>6.00<br>250.00        |
| 9. Cunningham Jr.,<br>C.C. Mrs. (Gertie)                    | 07/01/87                         | 12/31/87 M                               | 250.00                          |
| 10. Dayton, Douglas                                         | 08/07/87                         | 02/02/88                                 | 1,000.00                        |
| 11. Dupont, Victor M.                                       | 07/17/87                         | 11/23/87                                 | 200.00                          |
| 12. Falk Jr., Leon                                          | 07/02/87<br>07/14/87             | 02/24/88 } M<br>02/24/88 }               | 250.00<br>60.00                 |
| 13. Garstin, Ann N.                                         | 11/04/87                         | 02/23/88 M                               | 100.00 misspelling<br>last name |
| 14. Gaul, George B.                                         | 07/16/87<br>10/19/87<br>11/06/87 | 02/19/88 }<br>02/19/88 } M<br>02/19/88 } | 75.00<br>40.00<br>40.00         |
| 15. Guffey, Roy                                             | 09/25/87                         | 12/31/87 M                               | 500.00 2 addresses              |
| 16. Hannum, Nancy P.                                        | 08/25/87<br>06/05/87             | 02/02/88 } M<br>02/02/88 }               | 1,000.00<br>25.00               |

(57)

**Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely**

|       | <u>Contributor</u>                                  | <u>Date of Receipt</u>           | <u>Date of Refund</u>            | <u>Amount</u>              |
|-------|-----------------------------------------------------|----------------------------------|----------------------------------|----------------------------|
| 17.   | Healy, James V.                                     | 07/08/87                         | 02/02/88                         | \$ 250.00                  |
| 18.   | Hipp, Francis M.                                    | 08/07/87                         | 02/24/88                         | 200.00                     |
| 19.   | Hotchkiss,<br>Preston B.                            | 06/26/87                         | 02/05/88                         | 250.00                     |
| 20.   | Irving, Louise R.<br>(Mrs. John)                    | 05/05/87<br>03/27/87<br>09/17/87 | 09/17/87<br>11/24/87<br>01/29/88 | 100.00<br>10.00<br>10.00   |
| 21.   | Jennings Jr.,<br>Earl P.<br>(Mr. Earl - & Mr. Earl) | 09/10/87                         | 02/02/88 M                       | 100.00                     |
| 22.   | Jones, Virginia<br>(Mrs. Fred)                      | 06/26/87                         | 10/19/87 M                       | 750.00                     |
| * 23. | Raiser, Robert J.                                   | 08/12/87                         | 01/29/88 *                       | 250.00                     |
| 24.   | Kirlin, John J.                                     | 06/24/87                         | 10/27/87                         | 100.00                     |
| 25.   | Laird III,<br>Walter J.                             | 08/03/87                         | 02/02/88 M                       | 100.00                     |
| 26.   | Layton, Rodney M.<br>(Mrs. Greta)                   | 06/11/87<br>06/02/87<br>06/24/87 | 01/29/88<br>01/29/88<br>01/29/88 | 100.00<br>250.00<br>750.00 |
| 27.   | Lenhar, Samuel                                      | 03/19/87                         | 02/05/88 M                       | 150.00                     |
| 28.   | MacLean, Barry                                      | 07/14/87<br>09/25/87             | 02/02/88<br>02/02/88             | 250.00<br>500.00           |
| 29.   | McHugh, Marie L.                                    | 03/31/87                         | 02/02/88                         | 100.00                     |
| 30.   | Mulcahy, Charles C.                                 | 06/03/87                         | 02/24/88                         | 100.00                     |
| 31.   | Nichols, Miller                                     | 03/23/87                         | 07/29/87                         | 250.00                     |

\* This refund should not have been made - father & son were combined into one record. The father had \$1,000 - the son \$250.

Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

|     | <u>Contributor</u>              | <u>Date of Receipt</u> | <u>Date of Refund</u>      | <u>Amount</u>            |
|-----|---------------------------------|------------------------|----------------------------|--------------------------|
| 46. | Cook, Marietta                  | 02/08/88<br>02/01/88   | 05/12/88 } M<br>05/12/88 } | \$ 150.00<br>150.00      |
| 47. | Drha, Frank                     | 02/01/88               | 05/12/88 M                 | 50.00 2 address          |
| 48. | Evans, Raymond F.               | 02/05/88               | 05/12/88                   | 250.00                   |
| 49. | Frank, Curtiss E.               | 01/19/88               | 05/12/88 M                 | 100.00 2 address         |
| 50. | Maclean, Mary Ann               | 09/25/87               | 05/12/88                   | 250.00                   |
| 51. | McCoy, Sallie C.<br>(Mrs. C.B.) | 02/02/88               | 05/12/88 M                 | 200.00                   |
| 52. | Miller, Donald P.               | 02/05/88               | 05/12/88 M                 | 500.00 2 address         |
| 53. | Mudge, Elizabeth                | 02/09/88               | 05/12/88                   | 50.00                    |
| 54. | Silliman, Mark W.               | 12/31/87               | 05/12/88                   | 10.00                    |
| 55. | Singer, Alain R.                | 02/04/88               | 05/12/88                   | 250.00                   |
| 56. | Wallace, Hal                    | 01/07/88               | 05/12/88                   | 50.00                    |
| 57. | Eakin-Burdette,<br>Carol        | 02/04/88               | 06/02/88 M                 | 500.00 1st name<br>error |

(60)

Pete du Pont for President  
Schedule of Excessive Contributions Not  
Refunded Timely

|     | <u>Contributor</u>                    | <u>Date of Receipt</u>                       | <u>Date of Refund</u>                        | <u>Amount</u>                        |                       |
|-----|---------------------------------------|----------------------------------------------|----------------------------------------------|--------------------------------------|-----------------------|
| 32. | O'Neill, Bertram                      | 07/21/87                                     | 01/29/88                                     | \$ 500.00                            |                       |
| 33. | Plasecki, Vivian W. (Mrs. Frank)      | 07/01/87                                     | 02/25/88 M                                   | 250.00                               |                       |
| 34. | Pingree Jr., Sumner                   | 10/06/87                                     | 02/03/88 M                                   | 250.00                               | suffix error          |
| 35. | Purnell, Marguerite (Mrs. Richard T.) | 07/24/87                                     | 11/20/87 M                                   | 250.00                               | 2 addresses           |
| 36. | Schutt, C. Porter                     | 08/14/87                                     | 02/02/88 M                                   | 500.00                               | 2 addresses           |
| 37. | Sedgwick, Alice DeForest              | 10/23/87                                     | 01/29/88 M                                   | 350.00                               | 2 names / 2 addresses |
| 38. | Simpson, Walton H.                    | 06/16/87                                     | 02/02/88 M                                   | 250.00                               | 2 addresses           |
| 39. | Sinness, Lester S.                    | 05/15/87                                     | 01/29/88                                     | 500.00                               |                       |
| 40. | Steinman, James A.                    | 10/23/87<br>10/23/87<br>10/30/87<br>10/07/87 | 01/29/88<br>01/29/88<br>01/29/88<br>01/29/87 | 250.00<br>100.00<br>200.00<br>500.00 | M                     |
| 41. | Hamilton, Crawford M.                 | 03/02/87<br>10/07/86<br>10/22/86<br>10/24/86 | 06/30/87<br>06/30/87<br>06/30/87<br>06/30/87 | 250.00<br>150.00<br>175.00<br>175.00 | M                     |
| 42. | Avery, Alice O.                       | 01/29/88                                     | 05/12/88 M                                   | 100.00                               | 2 addresses           |
| 43. | Babbitt, Jane                         | 02/09/88<br>02/08/88                         | 05/12/88<br>05/12/88                         | 100.00<br>20.00                      | M                     |
| 44. | Campbell, Roberta R.                  | 02/05/88                                     | 05/12/88 M                                   | 50.00                                | 2 addresses           |
| 45. | Chapman, Hortense (M.C.); (Mrs)       | 02/04/88                                     | 05/12/88 M                                   | 192.00                               | 2 Titles              |

ATTACHMENT B

IDENTIFICATION OF TWO MAJOR PERIODS OF LATE REFUNDS

(Jan. 29 - Feb. 5 and May 12, 1968)

| LAST           | FIRST               | REFUND AMT  | DATE REFUND |
|----------------|---------------------|-------------|-------------|
| Appleton       | Arthur I.           | \$ 500.00   | 6/08/87     |
| Wood           | Dr. David W.        | \$ 400.00   | 6/08/87     |
| Bell           | George L.           | \$ 1,000.00 | 6/24/87     |
| Finley         | Judge Oinsmore      | \$ 100.00   | 6/28/87     |
| Hamilton       | Crawford M.         | \$ 750.00   | 6/30/87     |
| Miller         | Michael             | \$ 250.00   | 6/30/87     |
| Cook, III      | Daniel W.           | \$ 50.00    | 7/07/87     |
| Kraus, III     | William             | \$ 375.00   | 7/07/87     |
| Eakin          | Ruth P.             | \$ 250.00   | 7/08/87     |
| Jeffrey        | Malcolm             | \$ 750.00   | 7/08/87     |
| Chalsty        | John S.             | \$ 500.00   | 7/29/87     |
| L Nichols      | Miller              | \$ 250.00   | 7/29/87     |
| Jeffrey        | Malcolm             | \$ 250.00   | 8/12/87     |
| Hotchkiss      | John F.             | \$ 1,500.00 | 8/17/87     |
| Schwartz, MD   | Gordon              | \$ 100.00   | 8/27/87     |
| Tobin          | Maurice             | \$ 200.00   | 9/02/87     |
| Vandusen       | Lewis M.            | \$ 100.00   | 9/02/87     |
| Carroll        | Jenice B.           | \$ 200.00   | 9/11/87     |
| Glaze          | Lynn                | \$ 250.00   | 9/11/87     |
| Ataday         | AnnaLee             | \$ 100.00   | 9/16/87     |
| L Irving       | Louise R.           | \$ 100.00   | 9/17/87     |
| Caparosa, MD   | A. J.               | \$ 250.00   | 9/18/87     |
| Adkins         | M. Philip           | \$ 250.00   | 9/27/87     |
| Loucks         | Vernon R.           | \$ 1,000.00 | 9/27/87     |
| Mill, DDS      | John T.             | \$ 25.00    | 10/01/87    |
| Eckey          | E. W.               | \$ 30.00    | 10/08/87    |
| McDermott      | Eugene              | \$ 250.00   | 10/08/87    |
| Russell        | Margaret            | \$ 200.00   | 10/08/87    |
| Simmons        | Harold              | \$ 1,000.00 | 10/08/87    |
| Steinman       | James A.            | \$ 200.00   | 10/08/87    |
| Sullivan       | Lawrence            | \$ 10.00    | 10/08/87    |
| Vandusen, Jr.  | Lewis               | \$ 100.00   | 10/08/87    |
| Brown          | Clementina          | \$ 50.00    | 10/19/87    |
| Giglio         | Paula A.            | \$ 1,000.00 | 10/19/87    |
| Hoffman        | Allan L.            | \$ 250.00   | 10/19/87    |
| Hughes         | Arthur M.           | \$ 250.00   | 10/19/87    |
| Jensen         | Mary M.             | \$ 1,000.00 | 10/19/87    |
| L Jones        | Virginia(Mrs. Fred) | \$ 750.00   | 10/19/87    |
| McIntosh       | Violet M.           | \$ 250.00   | 10/19/87    |
| Purdon, MD     | E. Stephen          | \$ 500.00   | 10/20/87    |
| L Kirlin       | John J.             | \$ 100.00   | 10/27/87    |
| Finis, Jr.     | A.                  | \$ 1,000.00 | 10/29/87    |
| Casscells      | S. Ward             | \$ 125.00   | 11/04/87    |
| Rothchild, Jr. | Walter M.           | \$ 250.00   | 11/04/87    |
| Kirlin         | John J.             | \$ 250.00   | 11/05/87    |
| Abrams         | A T.                | \$ 125.00   | 11/06/87    |
| Abrams         | Angela              | \$ 125.00   | 11/06/87    |
| Walker         | Coleman             | \$ 50.00    | 11/17/87    |
| L Purnell      | Marguerite          | \$ 250.00   | 11/20/87    |
| Sanderfer II   | J.O.                | \$ 1,000.00 | 11/20/87    |
| Chambers       | Julia M.            | \$ 320.00   | 11/23/87    |
| L Dupont       | Victor M.           | \$ 450.00   | 11/23/87    |
| L Irving       | Louise R.           | \$ 10.00    | 11/24/87    |
| Oliver, Jr.    | John C.             | \$ 1,500.00 | 12/08/87    |
| Wood           | Margaretta          | \$ 250.00   | 12/08/87    |
| Chambers       | Julia M.            | \$ 100.00   | 12/18/87    |
| Anderson       | John O.             | \$ 250.00   | 12/31/87    |
| Bissell        | Julia A.            | \$ 550.00   | 12/31/87    |
| Catanella      | Kenneth             | \$ 1,000.00 | 12/31/87    |
| Cunningham     | Georgia             | \$ 250.00   | 12/31/87    |
| Gaul (VOIC)    | F. Pierce           | \$ 155.00   | 12/31/87    |
| Graene         | Richard             | \$ 520.00   | 12/31/87    |
| L Guffey       | Roy                 | \$ 750.00   | 12/31/87    |
| Hamilton       | Samuel M.V.         | \$ 1,000.00 | 12/31/87    |
| Hollenback Jr. | William M.          | \$ 1,000.00 | 12/31/87    |
| Jones          | Nancy S.            | \$ 500.00   | 12/31/87    |
| Jones          | Shirley M.          | \$ 50.00    | 12/31/87    |
| Wittig         | John/Mary Ann       | \$ 50.00    | 12/31/87    |

| LAST           | FIRST          | REFUND AMT  | DATE REFUND |
|----------------|----------------|-------------|-------------|
| Purnort        | Wells          | \$ 250.00   | 12/31/87    |
| Scott          | Robert M.      | \$ 250.00   | 12/31/87    |
| Sherrerd       | John J.        | \$ 500.00   | 12/31/87    |
| Sullivan       | Donald D.      | \$ 50.00    | 12/31/87    |
| Wallace        | Hal            | \$ 100.00   | 12/31/87    |
| Wolfe          | M. E.          | \$ 2,000.00 | 12/31/87    |
| Wunderlick     | Kent           | \$ 250.00   | 12/31/87    |
| Zimmer         | Hugh J.        | \$ 500.00   | 12/31/87    |
| Zimmerman      | Andrew L.      | \$ 30.00    | 12/31/87    |
| Kernan, Jr.    | Francis J.     | \$ 200.00   | 1/15/88     |
| Parsons        | Mirian C.      | \$ 250.00   | 1/15/88     |
| Veir           | James A.       | \$ 25.00    | 1/15/88     |
| Chambers       | Julia M.       | \$ 400.00   | 1/29/88     |
| Craig          | Eleanor D.     | \$ 381.00   | 1/29/88     |
| Fox            | John F.        | \$ 10.00    | 1/29/88     |
| Hinnant        | Leonna         | \$ 100.00   | 1/29/88     |
| Hughes         | Arthur M.      | \$ 25.00    | 1/29/88     |
| Irving         | Louise R.      | \$ 10.00    | 1/29/88     |
| Jones          | Virginia K.    | \$ 500.00   | 1/29/88     |
| Kaiser         | Robert J.      | \$ 250.00   | 1/29/88     |
| Kirlin         | Mary Ann       | \$ 100.00   | 1/29/88     |
| Leyton         | Rodney M.      | \$ 1,100.00 | 1/29/88     |
| Linthicum      | Edward B.      | \$ 375.00   | 1/29/88     |
| Mallory        | Thomas H.      | \$ 500.00   | 1/29/88     |
| O'Neill        | Bertram        | \$ 1,600.00 | 1/29/88     |
| Ohlendorf      | Ruth           | \$ 250.00   | 1/29/88     |
| Raynolds       | Eleanor H.     | \$ 150.00   | 1/29/88     |
| Sedgwick       | Alice DeForest | \$ 600.00   | 1/29/88     |
| Sedgwick, Jr.  | Ellery         | \$ 500.00   | 1/29/88     |
| Sinness        | Lester S.      | \$ 500.00   | 1/29/88     |
| Steinman       | James A.       | \$ 1,050.00 | 1/29/88     |
| Stickelber     | David A.       | \$ 1,000.00 | 1/29/88     |
| Tilt           | Rodnan K.      | \$ 100.00   | 1/29/88     |
| Andrews, III   | Mark           | \$ 500.00   | 2/02/88     |
| Dayton         | Douglas        | \$ 1,000.00 | 2/02/88     |
| Goloskov       | Stanley H.     | \$ 70.00    | 2/02/88     |
| Hannun         | Nancy P.       | \$ 1,025.00 | 2/02/88     |
| Healy          | James V.       | \$ 250.00   | 2/02/88     |
| Jennings, Jr.  | Earl F.        | \$ 100.00   | 2/02/88     |
| Kwashe         | H. Charles     | \$ 700.00   | 2/02/88     |
| Laird, III     | Walter J.      | \$ 100.00   | 2/02/88     |
| MacLean        | Berry          | \$ 750.00   | 2/02/88     |
| McHugh         | Marie L.       | \$ 100.00   | 2/02/88     |
| Schutt         | C. Porter      | \$ 500.00   | 2/02/88     |
| Simpson        | Walton H.      | \$ 1,250.00 | 2/02/88     |
| Taylor, Jr.    | Vernon         | \$ 250.00   | 2/02/88     |
| Bissell, Jr.   | G. P.          | \$ 995.00   | 2/05/88     |
| Gadren         | George S.      | \$ 200.00   | 2/05/88     |
| Hotchkis       | Preston B.     | \$ 250.00   | 2/05/88     |
| Lenger         | Samuel         | \$ 150.00   | 2/05/88     |
| Pinoree, Jr.   | Sumner         | \$ 250.00   | 2/05/88     |
| Turkatenko     | Nikolay D.     | \$ 2.00     | 2/09/88     |
| Cosgrove       | Anita          | \$ 1,000.00 | 2/12/88     |
| Sillman        | Robert M.      | \$ 1,000.00 | 2/12/88     |
| Whitman, III   | Charles S.     | \$ 250.00   | 2/12/88     |
| Agnew, III     | Franklin       | \$ 500.00   | 2/19/88     |
| Alleborn       | Robert A.      | \$ 100.00   | 2/19/88     |
| Barnstead      | W. A.          | \$ 45.00    | 2/19/88     |
| Boggs          | J. Caleb       | \$ 150.00   | 2/19/88     |
| Booth, Jr.     | Otis           | \$ 500.00   | 2/19/88     |
| Carlson        | Helen M.       | \$ 250.00   | 2/19/88     |
| Carpenter      | Mary Kaye      | \$ 100.00   | 2/19/88     |
| Carpenter, III | R. R. M.       | \$ 250.00   | 2/19/88     |
| Clark          | Louise Black   | \$ 550.00   | 2/19/88     |
| Conaway, Jr.   | H. James       | \$ 206.00   | 2/19/88     |
| Dunne          | Eleanor I.     | \$ 100.00   | 2/19/88     |
| Gaul           | George B.      | \$ 180.00   | 2/19/88     |
| Hannun         | Nancy P.       | \$ 39.76    | 2/19/88     |

| LAST          | FIRST         | REFUND AMT  | DATE REFUND |
|---------------|---------------|-------------|-------------|
| Bradshaw, Jr. | Richard       | \$ 250.00   | 2/23/88     |
| Brown         | Werner C.     | \$ 1,000.00 | 2/23/88     |
| Council       | Walter S.     | \$ 24.00    | 2/23/88     |
| Gallagher     | Richard M.    | \$ 53.00    | 2/23/88     |
| Garstin       | Ann M.        | \$ 100.00   | 2/23/88     |
| Harrison      | Mary Gary     | \$ 250.00   | 2/23/88     |
| Healy, II     | John E.       | \$ 306.00   | 2/23/88     |
| L Hido        | Francis M.    | \$ 200.00   | 2/23/88     |
| Schreiber     | Richard S.    | \$ 100.00   | 2/23/88     |
| Swoope        | Margaretha M. | \$ 50.00    | 2/23/88     |
| Bolling, III  | Robert M.     | \$ 53.00    | 2/24/88     |
| Dean          | Leatrice W.   | \$ 150.00   | 2/24/88     |
| Falk, Jr.     | Leon          | \$ 310.00   | 2/24/88     |
| Ford          | Natasha B.    | \$ 500.00   | 2/24/88     |
| Keilhack      | Hans O.       | \$ 100.00   | 2/24/88     |
| Marshall      | Thomas C.     | \$ 1,000.00 | 2/24/88     |
| L Mulcahy     | Charles C.    | \$ 100.00   | 2/24/88     |
| Murray        | Mary Kaye     | \$ 250.00   | 2/24/88     |
| Rosswisl      | Elsie C.      | \$ 40.00    | 2/24/88     |
| Tigani, Jr.   | James V.      | \$ 159.00   | 2/24/88     |
| Ursonarso     | Frank A.      | \$ 39.76    | 2/24/88     |
| Von Maur      | Adelaide C.   | \$ 738.00   | 2/24/88     |
| Klein         | Jane E.       | \$ 100.00   | 2/25/88     |
| Kraus         | Karl          | \$ 200.00   | 2/25/88     |
| Kristol       | Daniel        | \$ 20.00    | 2/25/88     |
| Netz          | Richard E.    | \$ 250.00   | 2/25/88     |
| Hills         | Alice du Pont | \$ 1,000.00 | 2/25/88     |
| Patterson     | W. Duncan     | \$ 100.00   | 2/25/88     |
| Penn          | Ralph S.      | \$ 100.00   | 2/25/88     |
| Phillips      | J. M.         | \$ 50.00    | 2/25/88     |
| L Piasecki    | Vivian W.     | \$ 250.00   | 2/25/88     |
| Stautberg     | G. J.         | \$ 500.00   | 2/25/88     |
| Wolcott, III  | S. H.         | \$ 500.00   | 2/25/88     |
| Bishop        | Margaret M.   | \$ 100.00   | 2/29/88     |
| Flanders, III | James         | \$ 100.00   | 2/29/88     |
| Stearns       | Thornton      | \$ 500.00   | 2/29/88     |
| Huntington    | John B.       | \$ 75.00    | 3/16/88     |
| Keilhack      | Hans O.       | \$ 100.00   | 3/16/88     |
| Kreuter       | R. H.         | \$ 10.00    | 3/16/88     |
| Newell        | Ruth C.       | \$ 242.00   | 3/16/88     |
| Richardson    | J. J.         | \$ 250.00   | 3/16/88     |
| Caspersen     | Finn M. W.    | \$ 1,000.00 | 3/25/88     |
| Laird         | Mary Alletta  | \$ 150.00   | 3/25/88     |
| Roberts       | Owen J.       | \$ 1,000.00 | 3/25/88     |
| Roberts       | Susan E.      | \$ 1,000.00 | 3/25/88     |
| Von Maur      | Adelaide C.   | \$ 300.00   | 3/31/88     |
| Von Maur      | Adelaide C.   | \$ 80.00    | 4/11/88     |
| Swoope        | Margaretha M. | \$ 237.00   | 4/14/88     |
| L Avery       | Alice O'Neill | \$ 100.00   | 5/12/88     |
| L Babbitt     | Jane G.       | \$ 120.00   | 5/12/88     |
| Bours         | Elizabeth W.  | \$ 50.00    | 5/12/88     |
| Bours, III    | William A.    | \$ 50.00    | 5/12/88     |
| Cadwalader    | John          | \$ 50.00    | 5/12/88     |
| Canill        | John E.       | \$ 9.00     | 5/12/88     |
| L Canill, Jr. | George F.     | \$ 40.00    | 5/12/88     |
| Campbell      | Roberta A.    | \$ 50.00    | 5/12/88     |
| Carlson       | Helen M.      | \$ 80.00    | 5/12/88     |
| Chambers      | Julia M.      | \$ 100.00   | 5/12/88     |
| L Chauman     | Hortense F.   | \$ 192.00   | 5/12/88     |
| Chickering    | Sherman       | \$ 100.00   | 5/12/88     |
| L Cook        | Marietta E.   | \$ 300.00   | 5/12/88     |
| Darling       | Ruth L.       | \$ 50.00    | 5/12/88     |
| Dimondi       | Francis       | \$ 50.00    | 5/12/88     |
| L Orta        | Frank         | \$ 100.00   | 5/12/88     |
| du Pont       | Grace         | \$ 50.00    | 5/12/88     |
| L Evans       | Raymond F.    | \$ 250.00   | 5/12/88     |
| Ford          | Natasha B.    | \$ 500.00   | 5/12/88     |
| Francis       | Diane C.      | \$ 25.00    | 5/12/88     |

| LAST             | FIRST        | REFUND AMT | DATE REFUND |
|------------------|--------------|------------|-------------|
| Frick, II        | Henry C.     | \$ 50.00   | 5/12/88     |
| Gallagher        | Richard H.   | \$ 47.00   | 5/12/88     |
| Gaul             | George B.    | \$ 70.00   | 5/12/88     |
| Hamill, Jr.      | Samuel M.    | \$ 100.00  | 5/12/88     |
| Jackson          | Orton P.     | \$ 50.00   | 5/12/88     |
| Kreuter          | R. H.        | \$ 50.00   | 5/12/88     |
| L MacLean        | Mary Ann S.  | \$ 250.00  | 5/12/88     |
| Marshall         | George H.    | \$ 250.00  | 5/12/88     |
| Marta            | Albert H.    | \$ 100.00  | 5/12/88     |
| L McCarthy       | Kathleen L.  | \$ 250.00  | 5/12/88     |
| L McCoy          | Sallie C.    | \$ 200.00  | 5/12/88     |
| L Merrill, Jr.   | Keith        | \$ 75.00   | 5/12/88     |
| L Miller         | Donald P.    | \$ 300.00  | 5/12/88     |
| L Mudge          | Elizabeth    | \$ 50.00   | 5/12/88     |
| Newell           | Ruth C.      | \$ 150.00  | 5/12/88     |
| Nichols          | Miller       | \$ 250.00  | 5/12/88     |
| O'Donnell        | Fredd T.     | \$ 25.00   | 5/12/88     |
| Oldech           | Carl S.      | \$ 50.00   | 5/12/88     |
| Price            | Donald H.    | \$ 100.00  | 5/12/88     |
| Pulleri          | Dominick     | \$ 100.00  | 5/12/88     |
| L Sherrard       | John J.      | \$ 50.00   | 5/12/88     |
| L Sillinen       | Mark W.      | \$ 10.00   | 5/12/88     |
| L Sillinen, Jr.  | Henry H.     | \$ 100.00  | 5/12/88     |
| L Singer         | Alain R.     | \$ 250.00  | 5/12/88     |
| Smith            | Mary Ann     | \$ 50.00   | 5/12/88     |
| Smith            | Lloyd H.     | \$ 100.00  | 5/12/88     |
| Streitwieser     | Charles E.   | \$ 250.00  | 5/12/88     |
| Swanson          | Marilyn      | \$ 100.00  | 5/12/88     |
| Thompson         | Jere W.      | \$ 250.00  | 5/12/88     |
| L Thun           | Ferdinand K. | \$ 50.00   | 5/12/88     |
| L Wallace        | Hal          | \$ 90.00   | 5/12/88     |
| Wilbur           | Atheline M.  | \$ 200.00  | 5/12/88     |
| L Wirtz          | John M.      | \$ 100.00  | 5/12/88     |
| L Eakin-Burdette | Carol P.     | \$ 500.00  | 6/02/88     |
| Darden           | Elizabeth    | \$ 50.00   | 6/16/88     |
| Kidd             | Donald       | \$ 50.00   | 6/16/88     |

OGC 3223

LAW OFFICES

ALAGIA, DAY, MARSHALL,  
MINTMIRE & CHAUVIN

1000 THOMAS JEFFERSON STREET, N.W.

WASHINGTON, D.C. 20007

(202) 342-0342

TELECOPIER (202) 775-9089

CABLE ALBAR

TELEX 44-0712

June 23, 1989

DANIEL J. SWILLINGER  
PARTNER

RECEIVED  
FEDERAL ELECTION COMMISSION  
ADMINISTRATIVE DIVISION

89 JUN 28 AM 10:14

OFFICES IN:  
ATLANTA, GEORGIA  
FRANKFORT, KENTUCKY  
LOUISVILLE, KENTUCKY  
MIAMI, FLORIDA  
NASHVILLE, TENNESSEE  
NEW ALBANY, INDIANA  
PALM BEACH, FLORIDA

RECEIVED  
FEDERAL ELECTION COMMISSION  
ADMINISTRATIVE DIVISION  
JUN 28 PM 3:37

Lawrence M. Noble, Esquire  
General Counsel  
Federal Election Commission  
999 E Street, N.W.  
Suite 657  
Washington, D.C. 20463

Re: MUR 2824

Dear Mr. Noble:

Pete du Pont for President, the respondent in this matter, wishes to enter into pre-probable cause conciliation with the Commission.

The Committee has submitted its response to the reason to believe letter, and I believe all relevant facts are in the Commission's possession.

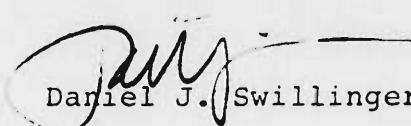
Your response to this request, and subsequent contacts with the du Pont campaign, should be directed to:

Glenn C. Kenton, Esquire  
Box 551  
Wilmington, Delaware 19899  
(302) 658-6541.

Mr. Kenton is the Campaign Chairman of Pete du Pont for President, and hereafter will be representing the Committee before the Commission.

Thank you for your cooperation in the various du Pont matters over the past two years.

Sincerely,

  
Daniel J. Swillinger

DJS:mnd

cc: Glenn C. Kenton, Esquire

89 AUG -8 PM 4:48

BEFORE THE FEDERAL ELECTION COMMISSION

**SENSITIVE**

In the Matter of )  
 )  
Pete DuPont for President )  
and Frank A. Ursomarso, as )  
treasurer )

MUR 2824

GENERAL COUNSEL'S REPORT

I. BACKGROUND

The Commission, upon recommendation of the Audit Division, referred Pete DuPont for President ("the Committee") to the Office of the General Counsel on February 12, 1989. The basis for the referral is the Committee's failure to refund in a timely manner excessive portions of contributions totaling \$19,013.00 from 57 contributors resulting in the violation of 2 U.S.C. § 441a(f).

Pursuant to Section 441a(f), no candidate or political committee shall knowingly accept any contribution in violation of the provisions of 2 U.S.C. § 441a. 2 U.S.C. § 441a(a)(1)(A) limits to \$1,000 the amount that a person may contribute to any candidate and his authorized political committees with respect to any election for Federal office.

Pursuant to 11 C.F.R. § 103.3, contributions which exceed the contribution limits when aggregated with other contributions from the same contributor may be either deposited into a campaign depository or returned to the contributor. If deposited, the treasurer may request redesignation or reattribution of the contribution by the contributor. If the reattribution or redesignation is not obtained, the treasurer

390407/4157

shall, within sixty (60) days of the treasurer's receipt of the contribution, refund the contribution to the contributor.

During fieldwork, the Audit staff reviewed 217 excessive contributions refunded by the Committee and noted that for 41 contributors, whose excessive portions totaled \$16,041.00, the Committee had not refunded the excessive portions within sixty days of the receipt of these contributions.

Subsequent to the conclusion of the fieldwork, the Committee refunded excessive portions of contributions totaling \$7,216.00 from 50 additional contributors. Of these 50 excessive contributions, 16 refunds totaling \$2,972.00 were not made within sixty days of the receipt of these contributions.

The Committee did not refund within sixty days of the receipt of the excessive contributions excessive portions totaling \$19,013.00 (\$16,041.00 + \$2,972.00) from 57 (41 + 16) contributors in violation of 2 U.S.C. § 441a(f).

On May 22, 1989, the Commission found reason to believe Pete DuPont for President and Frank A. Ursomarso, as treasurer, violated 2 U.S.C. § 441a(f).

By letter dated June 23, 1989, and received by the Commission on June 28, 1989, counsel on behalf of respondents requested pre-probable cause conciliation (Attachment I).

## **II. DISCUSSION OF CONCILIATION PROVISIONS AND CIVIL PENALTY**

Attached for the Commission's approval is a proposed conciliation agreement with Pete DuPont for President and Frank A. Ursomarso, as treasurer (Attachment 2). The proposed

3 2 0 4 0 7 / 2 1 5 3

agreement provides for admission of the violation, and the

**III. RECOMMENDATIONS**

1. Enter into conciliation with Pete DuPont for President and Frank A. Ursomarso, as treasurer, prior to a finding of probable cause to believe.
2. Approve the attached proposed conciliation agreement and letter.

Lawrence M. Noble  
General Counsel

8/4/89

By:

Lois G. Lerner  
Associate General Counsel

**Attachments**

1. Request for conciliation dated June 23, 1989
2. Proposed conciliation agreement and letter

Staff Person: Mary Ann Bumgarner

300407/4159

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of )  
Pete du Pont for President )  
and Frank A. Ursomarso, as )  
treasurer )

MUR 2824

CERTIFICATION

I, Marjorie W. Emmons, Secretary of the Federal Election Commission, do hereby certify that on August 17, 1989, the Commission decided by a vote of 6-0 to take the following actions in MUR 2824:

1. Enter into conciliation with Pete du Pont for President and Frank A. Ursomarso, as treasurer, prior to a finding of probable cause to believe, as recommended in the General Counsel's Report to the Commission dated August 11, 1989.
2. Approve the proposed conciliation agreement and letter, as recommended in the General Counsel's Report to the Commission dated August 11, 1989.

Commissioners Aikens, Elliott, Josefiak, McDonald, McGarry, and Thomas voted affirmatively for the decision.

Attest:

8-18-89

Date

Marjorie W. Emmons

Marjorie W. Emmons  
Secretary of the Commission

Received in the Secretariat:  
Circulated to the Commission:  
Deadline for vote:

Monday, August 14, 1989 at 2:15 p.m.  
Tuesday, August 15, 1989 at 4:00 p.m.  
Thursday, August 17, 1989 at 4:00 p.m.



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

August 22, 1989

Glenn C. Kenton, Esquire  
Box 551  
Wilmington, Delaware 19899

RE: MUR 2824  
Pete du Pont for President  
Frank A. Ursomarso, as treasurer

Dear Mr. Kenton:

On May 22, 1989, the Federal Election Commission found reason to believe that Pete du Pont for President and Frank A. Ursomarso, as treasurer, violated 2 U.S.C. § 441a(f). At your request, on August 17, 1989, the Commission determined to enter into negotiations directed towards reaching a conciliation agreement in settlement of this matter prior to a finding of probable cause to believe.

Enclosed is a conciliation agreement that the Commission has approved in settlement of this matter. If your clients agree with the provisions of the enclosed agreement, please sign and return it, along with the civil penalty, to the Commission. In light of the fact that conciliation negotiations, prior to a finding of probable cause to believe, are limited to a maximum of 30 days, you should respond to this notification as soon as possible.

If you have any questions or suggestions for changes in the agreement, or if you wish to arrange a meeting in connection with a mutually satisfactory conciliation agreement, please contact Mary Ann Bumgarner, the attorney assigned to this matter, at (202) 376-5690.

Sincerely,

Lawrence M. Noble  
General Counsel

BY: Lois G. Lerner  
Associate General Counsel

Enclosure  
Conciliation Agreement

3 0 4 0 7 / 3 1 6 1

OGC 4488

RICHARDS, LAYTON & FINGER

ONE RODNEY SQUARE  
P.O. Box 551

WILMINGTON, DELAWARE 19899

TELEPHONE (302) 656-6541

TELECOPIER (302) 656-6546

WRITER'S DIRECT DIAL NUMBER

302-651-7726

November 2, 1989

LOUIS J. FINGER  
EDMUND N. CARPENTER, II  
JAMES T. MCKINSTRY  
E. NORMAN VEASEY  
MAX S. BELL, JR.  
RICHARD J. ABRAMS  
CHARLES F. RICHARDS, JR.  
THOMAS P. SWEENEY  
PIERRE S. DUPONT IV  
ROBT. H. RICHARDS, III  
R. FRANKLIN BALOTTI  
MARTIN I. LUBAROFF  
RICHARD G. ELLIOTT, JR.  
WENDELL FENTON  
ALLEN M. TERRELL, JR.  
GLENN C. KENTON  
RICHARD G. BACON  
STEPHENE HERMANN  
JULIAN H. BAUMANN, JR.  
DANIEL L. KLEIN  
DONALD A. BUSSARD  
WILLIAM J. WADE  
THOMAS L. AMBRO  
JESSE A. FINKELSTEIN  
SAMUEL A. NOLEN  
THOMAS A. BECK  
GREGORY P. WILLIAMS  
JOHN A. PARKINS, JR.  
PAUL M. ALTMAN

RECEIVED  
FEDERAL ELECTION COMMISSION  
MAIL ROOM

89 NOV -6 PM 9:21

KEVIN G. ABRAMS  
JAMIN J. BERGER  
STEPHEN BIGLER  
JOSEPH J. BODNAR  
WILLIAM P. BOWDEN  
NICHOLAS J. CAGGIANO  
FREDERICK L. COTTRELL, III  
DANIEL A. DREISBACH  
MICHAEL J. FEINSTEIN  
DAVID L. FINGER  
ANNE C. FOSTER  
PATRICIA A. GALLAGHER\*  
MARK J. GENTILE  
GARTH R. HEALD\*  
EMILY B. HORTON  
DAVID C. JOHNSON-GLEBE  
CYNTHIA D. KAISER  
ROBERT J. KRAPP  
JAMES G. LEYDEN, JR.  
ERIC A. MAZIE  
STEPHEN M. MILLER  
WILLIAM F. MORGAN  
NINA A. PALA  
DAVID A. PEARL  
NATHAN B. PLOENER  
GWEN E. POSPISIL  
ROBERT J. SHAUGHNESSY  
JOSEPH R. SLIGHTS, III  
W. DONALD SPARKS, II  
JAMES C. STRUM  
ROBERT L. SYMONDS, JR.  
GREGORY V. VARALLO  
ROBERT W. WHETZEL  
HELEN L. WINSLOW

\*ADMITTED PA ONLY

Mary Ann Bumgarner, Esquire  
Federal Election Commission  
999 E Street, N.W.  
Washington, D.C. 20463

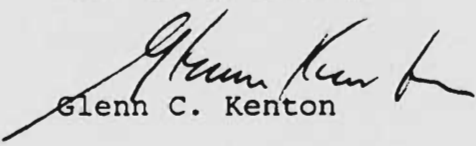
RE: Pete du Pont for President  
MUR 2824

Dear Mary Ann:

Following our conversation, I have enclosed a signed copy of the Conciliation Agreement in the above stated matter.

Once again, many thanks to you and all the members of the Commission for your continuing consideration and efforts in resolving these matters.

Very truly yours,

  
Glenn C. Kenton

GCK/lg

Enclosure

89 NOV -7 PM 2:51

RECEIVED  
FEDERAL ELECTION COMMISSION  
OFFICE OF THE CLERK

**SENSITIVE**

**BEFORE THE FEDERAL ELECTION COMMISSION**

In the Matter of )  
 )  
Pete du Pont for President ) MUR 2824  
and Frank A. Ursomarso, as )  
treasurer )

**GENERAL COUNSEL'S REPORT**

**I. BACKGROUND**

Attached is a conciliation agreement which has been signed by Glenn C. Kenton, counsel for Pete du Pont for President ("the Committee") and Frank A. Ursomarso, as treasurer.

**II. RECOMMENDATIONS**

1. Accept the attached conciliation agreement with Pete du Pont for President and Frank A. Ursomarso, as treasurer.

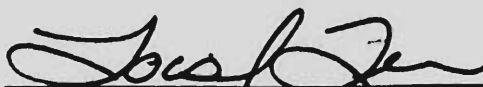
RECEIVED  
FEDERAL ELECTION COMMISSION  
62 NOV 21 PM 4:04

3300407/156

2. Close the file.
3. Approve the attached letter.

Lawrence M. Noble  
General Counsel

Date 11-21-89

By:   
Lois G. Lerner  
Associate General Counsel

Attachments

1. Conciliation Agreement
2. Letter to Respondent

Staff Assigned: Mary Ann Bumgarner

300407 / 4134

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of )  
 )  
Pete du Pont for President ) MUR 2824  
and Frank A. Ursomarso, as )  
treasurer )

CERTIFICATION

I, Marjorie W. Emmons, Secretary of the Federal Election Commission, do hereby certify that on November 27, 1989, the Commission decided by a vote of 5-0 to take the following actions in MUR 2824:

1. Accept the conciliation agreement with Pete du Pont for President and Frank A. Ursomarso, as treasurer, as recommended in the General Counsel's Report dated November 21, 1989.
2. Close the file.
3. Approve the letter, as recommended in the General Counsel's Report dated November 21, 1989.

Commissioners Aikens, Elliott, Josefiak, McGarry and Thomas voted affirmatively for the decision; Commissioner McDonald did not cast a vote.

Attest:

11-28-89

Date

Marjorie W. Emmons

Marjorie W. Emmons  
Secretary of the Commission

Received in the Secretariat: Tuesday, November 21, 1989 4:04 p.m.  
Circulated to the Commission: Wednesday, November 22, 1989 11:00 a.m.  
Deadline for vote: Monday, November 27, 1989 11:00 a.m.



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

December 4, 1989

Glenn C. Kenton, Esquire  
Box 51  
Wilmington, Delaware 19899

RE: MUR 2824  
Pete du Pont for President  
and Frank A. Ursomarso, as  
treasurer

Dear Mr. Kenton:

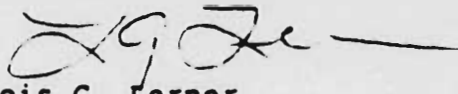
On November 27, 1989, the Federal Election Commission accepted the signed conciliation agreement submitted on your clients' behalf in settlement of a violation of 2 U.S.C. § 441a(f), a provision of the Federal Election Campaign Act of 1971, as amended. Accordingly, the file has been closed in this matter. This matter will become a part of the public record within 30 days. If you wish to submit any factual or legal materials to appear on the public record, please do so within ten days. Such materials should be sent to the Office of the General Counsel.

Please be advised that information derived in connection with any conciliation attempt will not become public without the written consent of the respondent and the Commission. See 2 U.S.C. § 437g(a)(4)(B). The enclosed conciliation agreement, however, will become a part of the public record.

Enclosed you will find a copy of the fully executed conciliation agreement for your files. If you have any questions, please contact Mary Ann Bumgarner, the attorney assigned to this matter, at (202) 376-5690.

Sincerely,

Lawrence M. Noble  
General Counsel

BY:   
Lois G. Lerner  
Associate General Counsel

Enclosure  
Conciliation Agreement

8300407/4165

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of )  
 )  
Pete du Pont for President ) MUR 2824  
Frank A. Ursomarso, as treasurer )  
 )

CONCILIATION AGREEMENT

This matter was initiated by the Federal Election Commission ("Commission") pursuant to information ascertained in the normal course of carrying out its supervisory responsibilities. The Commission found reason to believe that Pete du Pont for President and Frank A. Ursomarso, as treasurer, ("Respondents") violated 2 U.S.C. § 441a(f).

Now, therefore, the Commission and the Respondents, having participated in informal methods of conciliation, prior to a finding of probable cause to believe, do hereby agree as follows:

I. The Commission has jurisdiction over the Respondents and the subject matter of this proceeding, and this agreement has the effect of an agreement entered pursuant to 2 U.S.C. § 437g(a)(4)(A)(i).

II. Respondents have had reasonable opportunity to demonstrate that no action should be taken in this matter.

III. Respondents enter voluntarily into this agreement with the Commission.

IV. The pertinent facts in this matter are as follows:

1. Pete du Pont for President is a political committee within the meaning of 2 U.S.C. § 431(4).

390407/4157

2. Frank A. Ursomarso is the treasurer of Pete du Pont for President.

3. 2 U.S.C. § 441a(f) provides that no candidate or political committee shall knowingly accept any contribution in violation of the provisions of Section 441a.

4. 2 U.S.C. § 441a(a)(1)(A) limits to \$1,000 the amount that a person shall make in contributions to any candidate and his authorized political committee with respect to any election for federal office.

5. Pursuant to 11 C.F.R. § 103.3, contributions which exceed the contribution limits when aggregated with other contributions from the same contributor may be either deposited into a campaign depository or returned to the contributor. If deposited, the treasurer may request redesignation or reattribution of the contribution by the contributor. If the reattribution or redesignation is not obtained, the treasurer shall, within sixty (60) days of the treasurer's receipt of the contribution, refund the contribution to the contributor.

V. Respondents did not refund within sixty days of the receipt of the excessive contributions, excessive portions totaling \$19,013.00 from 57 contributors in violation of 2 U.S.C. § 441a(f).

VI. Respondents will pay a civil penalty to the Federal Election Commission in the amount of Two Thousand (\$2,000.00) Dollars pursuant to 2 U.S.C. § 437g(a)(5)(A).

VII. The Commission, on request of anyone filing a complaint under 2 U.S.C. § 437g(a)(1) concerning the matters at issue herein or on its own motion, may review compliance with this agreement. If the Commission believes that this agreement or any requirement thereof has been violated, it may institute a civil action for relief in the United States District Court for the District of Columbia.

VIII. This agreement shall become effective as of the date that all parties hereto have executed same and the Commission has approved the entire agreement.

IX. Respondents shall have no more than 30 days from the date this agreement becomes effective to comply with and implement the requirements contained in this agreement and to so notify the Commission.

X. This Conciliation Agreement constitutes the entire agreement between the parties on the matters raised herein, and no other statement, promise, or agreement, either written or

20030715

oral, made by either party or by agents of either party, that is not contained in this agreement shall be enforceable.

FOR THE COMMISSION:

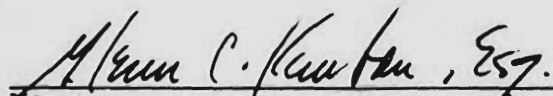
Lawrence M. Noble  
General Counsel

BY:

  
Lois G. Lerner  
Associate General Counsel

11-30-89  
Date

FOR THE RESPONDENTS:

  
Name  
Position Counsel

11/1/89  
Date

890407117



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

December 4, 1989

Glenn C. Kenton, Esquire  
Box 51  
Wilmington, Delaware 19899

RE: MUR 2824  
Pete du Pont for President  
and Frank A. Ursomarso, as  
treasurer

Dear Mr. Kenton:

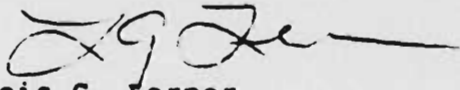
On November 27, 1989, the Federal Election Commission accepted the signed conciliation agreement submitted on your clients' behalf in settlement of a violation of 2 U.S.C. § 441a(f), a provision of the Federal Election Campaign Act of 1971, as amended. Accordingly, the file has been closed in this matter. This matter will become a part of the public record within 30 days. If you wish to submit any factual or legal materials to appear on the public record, please do so within ten days. Such materials should be sent to the Office of the General Counsel.

Please be advised that information derived in connection with any conciliation attempt will not become public without the written consent of the respondent and the Commission. See 2 U.S.C. § 437g(a)(4)(B). The enclosed conciliation agreement, however, will become a part of the public record.

Enclosed you will find a copy of the fully executed conciliation agreement for your files. If you have any questions, please contact Mary Ann Bumgarner, the attorney assigned to this matter, at (202) 376-5690.

Sincerely,

Lawrence M. Noble  
General Counsel

BY:   
Lois G. Lerner  
Associate General Counsel

Enclosure  
Conciliation Agreement

300407/9171



FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

THIS IS THE END OF MUR # 2824

DATE FILMED 12/15/89 CAMERA NO. 4

CAMERAMAN AS

300407/4172



FEDERAL ELECTION COMMISSION  
WASHINGTON, D C 20463

Date: 12/5/95

☒ Microfilm  
☐ Public Records  
☐ Press

THE ATTACHED MATERIAL IS BEING ADDED TO CLOSED MUR 2824

95043701080

RECEIVED  
FEDERAL ELECTION  
COMMISSION  
MAIL ROOM

DEC 1 9 02 AM '95

# GANTT

FOR U.S. SENATE '96

November 28, 1995

Federal Election Commission  
Washington, DC 20463

Re: MUR 3471  
Harvey Gantt for Senate Campaign

Gentlemen:

Enclosed please find the third payment required by the above referenced conciliation agreement.

Also enclosed are copies of cancelled checks and copies of correspondence evidencing the refund of excessive contributions as required by the above referenced conciliation agreement.

If you have any question, please do not hesitate to contact me.

Sincerely,



95043701031

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2824

00-1000/530

11-28

1985

PAY  
TO THE  
ORDER OF

Federal Election Commission

\$ 3000.00

Three thousand and no/100

DOLLARS

M&F

MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR

MR 3471

Bobby Gantt

⑈00002824⑈ ⑆053010665⑆ 3101728148⑈01

950437010032



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20461

12/1/95

Dec 4 9 55 AM '95

RECEIVED  
FEDERAL ELECTION  
COMMISSION  
OFFICE OF GENERAL  
COUNSEL

TWO WAY MEMORANDUM

TO: OGC, Docket

FROM: Rosa E. Swinton  
Accounting Technician

SUBJECT: Account Determination for Funds Received

We recently received a check from Harvey Gantt for  
Senate Campaign Cmte, check number 2824, dated  
11/18/95, and in the amount of \$3,000.00.  
Attached is a copy of the check and any correspondence that  
was forwarded. Please indicate below the account into which  
it should be deposited, and the MUR number and name.

TO: Rosa E. Swinton  
Accounting Technician

FROM: OGC, Docket By aa

In reference to the above check in the amount of  
\$3,000.00, the MUR number is 3471 and in the name of  
Harvey Gantt for Senate Campaign Cmte. The account into  
which it should be deposited is indicated below:

- ☒ Budget Clearing Account (OGC), 95F3875.16  
☐ Civil Penalties Account, 95-1099.160  
☐ Other: \_\_\_\_\_

Anita Alexander  
Signature

12-05-95  
Date

95043701003

95043701034

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2811  
03250TT466

Oct 2, 95

PAY TO THE ORDER OF Lilly Tangelman 020432700 11-21-95 005 4813000

Five hundred and no/100 DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Refund '90 Bobby Hunt

#00002811# 053010665 3101728148#01 #0000050000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2814  
03190TT658

Oct 7, 95

PAY TO THE ORDER OF Brian Varner 050044100 11-22-95 011 3400 011 3400 00

One thousand and no/100 DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Refund '90 Bobby Hunt

#00002814# 053010665 3101728148#01 #0000100000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2818  
0314003076

Oct 7, 95

PAY TO THE ORDER OF Spencer Webb 020170000 11-10-95 003 374500

Twenty-five and no/100 DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Refund '90 Bobby Hunt

#00002818# 053010665 3101728148#01 #000002500#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2819  
03120TT2012

Oct 7, 95

PAY TO THE ORDER OF J. Stanley Yake 060324175 11-08-95 005 4500 00

Five hundred and no/100 DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Refund '90 Bobby Hunt

#00002819# 053010665 3101728148#01 #0000050000#

95043701005

44

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2795

3136303606\*0272010587

9.28 1995

PAY TO THE ORDER OF Carol Martin

Five hundred and no

\$ 700.00

DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Refund 1990 Contribution

00002795 053010665 310172814801 0000070000

Bobby Hunt

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2796

0310011767

10.7 1995

PAY TO THE ORDER OF D. Kenneth C. Edelin

Two hundred and no

\$ 200.00

DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Refund '90

060298361 11-26-95 005 4517 07

00002796 053010665 310172814801 0000020000

Bobby Hunt

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2806

0314001633

Oct 7 1995

PAY TO THE ORDER OF Terry Samuel

Five hundred and no

\$ 500.00

DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Refund '90

060169326 11-10-95 593 5912 50000

00002806 053010665 310172814801 0000050000

Bobby Hunt

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2807

0307011209

Oct 7 1995

PAY TO THE ORDER OF Deane C. Shatz

Two hundred fifty and no

\$ 250.00

DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Refund '90

060090153 019 02-1 02-4 23 02

060247958 11-03-95 005 4517 03

00002807 053010665 310172814801 0000025000

Bobby Hunt

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2810

0312001005

Oct 7 1995

PAY TO THE ORDER OF Vicki Sutton

Five hundred and no

\$ 500.00

DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Refund '90

060206240 11-08-95 593 3013 00

00002810 053010665 310172814801 0000050000

Bobby Hunt

# GANTT

FOR U.S. SENATE '96

October 17, 1995

Dr. Kenneth Edelin  
53 Worthington Dr.  
Brookline, MA 02146

Dear Dr. Edelin:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                       |                     |
|------------------------------------------------------------------------------------------------------------|-----------------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2023 |                       | 2796<br>66-1066-530 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | Dr. Kenneth C. Edelin | 10-7-95             |
| Two hundred and 2/10                                                                                       |                       | \$ 200.00           |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |                       | DOLLARS             |
| FOR Refund '90                                                                                             |                       | Bobby T. Martin     |
| *00002295* 00530106650 110172814801                                                                        |                       |                     |

# GANTT

FOR U.S. SENATE '96

October 17, 1995

Mr. Corliss C. Lamont  
15 West 106th Street, Apt 15-C  
New York, NY 10025

Dear Mr. Lamont:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by: Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                |                     |
|------------------------------------------------------------------------------------------------------------|----------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2322 |                | 2797<br>66-1066/530 |
| PAY TO THE<br>ORDER OF                                                                                     | Corliss Lamont | OCT 7 1995          |
| Two hundred and no/100                                                                                     |                | \$ 200.00           |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |                | DOLLARS             |
| FOR                                                                                                        | Refund '90     | Bobby Martin        |
| ⑈00002797⑈ ⑆0530⑆0665⑆ 5101728148⑈01⑆                                                                      |                |                     |

# GANTT

FOR U.S. SENATE '96

October 17, 1995

Mr. Gerald H. Long  
7631 Lasater Road  
Clemons, NC 27012

Dear Mr. Long:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                 |                     |
|------------------------------------------------------------------------------------------------------------|-----------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 300<br>CHARLOTTE, NC 28202-2320 |                 | 2798<br>66-1066-530 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | Gerald Long     | Oct 7 1995          |
| Two hundred and no/100                                                                                     |                 | \$ 200.00           |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |                 | DOLLARS             |
| FOR                                                                                                        | Bobby T. Martin |                     |
| ⑈00002798⑈ ⑆0530⑆0665⑆ 3⑆0⑆728⑆4⑆0⑆                                                                        |                 |                     |

**HARVEY  
GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Ms. Carol L. Martin  
P. O. Box 16601  
Charlotte, NC 28297

Dear Ms. Martin:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

48

|                                                                                                            |              |              |
|------------------------------------------------------------------------------------------------------------|--------------|--------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2323 |              | 2795         |
| 3136303606*0272010537                                                                                      |              |              |
| 9.28 1995                                                                                                  |              |              |
| PAY<br>TO THE<br>ORDER OF                                                                                  | Carol Martin | \$ 700.00    |
| Seven hundred and no/100                                                                                   |              | DOLLARS      |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |              |              |
| FOR Refund 1990 Contribution                                                                               |              | Bobby Martin |
| ⑈00002795⑈ ⑈0530⑈0665⑈ 3101726148⑈0⑈                                                                       |              | ⑈0000070000⑈ |

**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Mrs. Shirley Metzenbaum:  
4512 Foxhall Crescents, NW  
Washington, DC 20007

Dear Mrs. Metzenbaum:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                    |                     |
|------------------------------------------------------------------------------------------------------------|--------------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>100 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-0325 |                    | 2799<br>66-10661536 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | Shirley Metzenbaum | Oct 7 1995          |
| One thousand and no                                                                                        |                    | \$ 1,000.00         |
|                                                                                                            |                    | DOLLARS             |
| M&F MECHANICALS AND FARMERS BANK<br>CHARLOTTE, NC                                                          |                    |                     |
| FOR                                                                                                        | Robert '90         | Bobby T. Martin     |
| ⑈0000 2799⑈ ⑈053010665⑈ 340172844⑈0⑈                                                                       |                    |                     |

# GANTT

FOR U.S. SENATE '96

October 17, 1995

Ms. Katherine Mountcastle  
1915 Calvert Street, N.W.  
Washington, DC 20009

Dear Ms. Mountcastle:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                             |                       |                     |
|-------------------------------------------------------------------------------------------------------------|-----------------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>1700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2020 |                       | 2000<br>66-1086/530 |
| PAY<br>TO THE<br>ORDER OF                                                                                   | Katherine Mountcastle | Oct 7 1995          |
| One thousand and no/100                                                                                     |                       | \$ 1,000.00         |
| DOLLARS                                                                                                     |                       |                     |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                             |                       |                     |
| FOR                                                                                                         | Re Fund '90           | Bobby T. Martin     |

**HARVEY  
GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Mr. Ernest T. Nagamatsu  
1245 Wilshire Blvd. No. 903  
Los Angeles, CA 90017

Dear Mr. Nagamatsu:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |  |                     |
|------------------------------------------------------------------------------------------------------------|--|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2820 |  | 2801<br>66-1066/530 |
| PAY TO THE ORDER OF Ernest Nagamatsu                                                                       |  | Oct 7 1995          |
| One thousand and no/100                                                                                    |  | \$ 1,000.00         |
| DOLLARS                                                                                                    |  |                     |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |  |                     |
| FOR \$0                                                                                                    |  | Bobby Martin        |
| ⑆00002801⑆ ⑆0550⑆0665⑆ 5101728148⑆0⑆                                                                       |  |                     |

HARVEY  
**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Ms. Sandra Nimoy  
C/O Francis, Freedman & Lester  
328 S. Beverly Dr., Suite A  
Los Angeles, CA 90212

Dear Ms. Nimoy:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |              |                     |
|------------------------------------------------------------------------------------------------------------|--------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2523 |              | 2802<br>66-1066/530 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | Sandra Nimoy | \$ 30.00            |
| Thirty and no/100                                                                                          |              | DOLLARS             |
| M&F<br>MECHANICAL AND FARMERS BANK<br>CHARLOTTE, NC                                                        |              |                     |
| FOR                                                                                                        | Refund '96   | Bobby T. Martin     |
| *00002802* 1053010665 3101228460*                                                                          |              |                     |

# GANTT

FOR U.S. SENATE '96

October 17, 1995

Mr. Larry B. Robinson  
11 Bratenahl Place  
Cleveland, OH 44108

Dear Mr. Robinson:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28239  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                       |                        |
|------------------------------------------------------------------------------------------------------------|-----------------------|------------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 300<br>CHARLOTTE, NC 28202-2302 |                       | 2804<br>66-1066/530    |
| PAY<br>TO THE<br>ORDER OF                                                                                  | <i>Larry Robinson</i> | \$ <i>250.00</i>       |
| <i>Two hundred fifty and 00/100</i>                                                                        |                       |                        |
| M&F MECHANICAL AND FARMERS BANK<br>CHARLOTTE, NC                                                           |                       |                        |
| FOR                                                                                                        | <i>Refund '90</i>     | <i>Bobby T. Martin</i> |
| ⑆00002804⑆ ⑆0510106650⑆ ⑆1007280400⑆                                                                       |                       |                        |

# HARVEY GANTT FOR U.S. SENATE '96

October 17, 1995

Rev. William R. Robinson  
Marable Memorial AME Zion Church  
P.O. Box 1912  
Salisbury, NC 28145

Dear Rev. Robinson:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                        |                           |
|------------------------------------------------------------------------------------------------------------|------------------------|---------------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2323 |                        | 2803<br>66-1066-530       |
| PAY TO THE ORDER OF <u>Rev. William Robinson</u>                                                           |                        | <u>Oct 7</u> 19 <u>95</u> |
| <u>Two hundred fifty and no/100</u>                                                                        |                        | \$ <u>250.00</u>          |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |                        | DOLLARS                   |
| FOR <u>De fund '90</u>                                                                                     | <u>Bobby T. Martin</u> |                           |
| ⑈00002603⑈ ⑈053010665⑈ 3101226148⑈0⑈                                                                       |                        |                           |

**HARVEY**  
**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Mr. Jay Sandrich  
2121 Avenue of the Stars, 9th Floor  
Los Angeles, CA 90067

Dear Mr. Sandrich:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                                           |                        |
|------------------------------------------------------------------------------------------------------------|-------------------------------------------|------------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2320 |                                           | 2805<br>66-1066/530    |
| PAY<br>TO THE<br>ORDER OF                                                                                  | JAY Sandrich<br><i>Fifteen and no/100</i> | Oct 7 1995 \$ 15.00    |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |                                           | DOLLARS                |
| FOR                                                                                                        | Refund '90                                | <i>Bobby T. Martin</i> |
| *00002805* 1053010665 3101728148*01                                                                        |                                           |                        |

HARVEY  
**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Mr. Terry Semel  
4000 Warner Blvd.  
Burbank, CA 91522

Dear Mr. Semel:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |  |                           |
|------------------------------------------------------------------------------------------------------------|--|---------------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2523 |  | 2806<br>66-1066/530       |
| PAY TO THE ORDER OF <u>Terry Semel</u>                                                                     |  | <u>Oct 7</u> 19 <u>95</u> |
| <u>Five hundred and no/100</u>                                                                             |  | \$ <u>500.00</u>          |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |  | DOLLARS                   |
| FOR <u>Refund '90</u>                                                                                      |  | <u>Bobby T. Martin</u>    |
| ⑆00002806⑆ ⑆0530⑆0665⑆ 3⑆0128⑆48⑆0⑆                                                                        |  |                           |

95043701097

# GANTT

FOR U.S. SENATE '96

October 17, 1995

Mrs. Deane C. Shatz  
4243 Lenore Lane, N. W.  
Washington, DC 20008

Dear Mrs. Shatz:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                |                       |
|------------------------------------------------------------------------------------------------------------|----------------|-----------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2323 |                | 2807<br>66-1066-530   |
| PAY<br>TO THE<br>ORDER OF                                                                                  | Deane C. Shatz | Oct 17 1995 \$ 250.00 |
| Two hundred fifty and no/100                                                                               |                |                       |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |                |                       |
| FOR                                                                                                        | Refund '90     | Bobby Martin          |
| ⑈00002807⑈ ⑆0530⑆0665⑆ ⑆10⑆1728⑆46⑆0⑆                                                                      |                |                       |

# GANTT

FOR U.S. SENATE '96

October 17, 1995

Ms. Donna Stanton  
10 Gracie Sq.  
New York, NY 10028

Dear Ms. Stanton:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |               |                     |
|------------------------------------------------------------------------------------------------------------|---------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2323 |               | 2808<br>96-1066-530 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | Donna Stanton | Oct 7 1995          |
| Two hundred fifty and 00/100                                                                               |               | \$ 250.00           |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, N.C.                                                          |               | DOLLARS             |
| FOR                                                                                                        | Refund '90    | Bobby T. Martin     |
| ⑈0000 2808⑈ ⑆0530 10665⑆ 3101728148⑈0⑆                                                                     |               |                     |

# GANTT

FOR U.S. SENATE '96

October 17, 1995

Ms. Elizabeth Guest Stevens  
3050 Avon Lane, N.W.  
Washington, DC 20007

Dear Ms. Stevens:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |  |                     |
|------------------------------------------------------------------------------------------------------------|--|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>100 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2020 |  | 2809<br>66-1066/530 |
| PAY TO THE ORDER OF Elizabeth Stevens                                                                      |  | Oct 7 1995          |
| Two hundred fifty and no/100                                                                               |  | \$ 250.00           |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |  | DOLLARS             |
| FOR Debra 90                                                                                               |  | Bobby T. Martin     |
| ⑈00002809⑈ ⑈053010665⑈ 3101728148⑈01                                                                       |  |                     |

# GANTT

FOR U.S. SENATE '96

October 17, 1995

Ms. Vickie S. Sutton  
202 Galey Ridge  
Cramerton, NC 28032

Dear Ms. Sutton:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                     |                        |
|------------------------------------------------------------------------------------------------------------|---------------------|------------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-0323 |                     | 2810<br>66-1066-530    |
| PAY<br>TO THE<br>ORDER OF                                                                                  | <i>Vicki Sutton</i> | <i>Oct 7 1995</i>      |
| <i>Five hundred and no/100</i>                                                                             |                     | \$ <i>500.00</i>       |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |                     | DOLLARS                |
| FOR                                                                                                        | <i>refund '90</i>   | <i>Bobby T. Martin</i> |
| ⑈000028⑈ ⑆0530⑆06665⑆ ⑆00⑆728⑆48⑆0⑆                                                                        |                     |                        |

HARVEY  
**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Ms. Lillie B. Tempelsman  
529 5th Avenue, 20th Floor  
New York, NY 10024

Dear Ms. Tempelsman:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                         |                        |
|------------------------------------------------------------------------------------------------------------|-------------------------|------------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>100 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2123 |                         | 2811<br>66-1066/530    |
| PAY<br>TO THE<br>ORDER OF                                                                                  | <i>Lilly Tempelsman</i> | <i>Oct 2 1995</i>      |
| <i>Five hundred and no/100</i>                                                                             |                         | \$ <i>500.00</i>       |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |                         | DOLLARS                |
| FOR                                                                                                        | <i>Refund '90</i>       | <i>Bobby T. Martin</i> |
| *00002811* 00560106650 1100728148*0*                                                                       |                         |                        |

HARVEY  
**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Ms. Carolee Thea  
534 La Guardia Place  
New York, NY 10012

Dear Ms. Thea:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |              |                     |
|------------------------------------------------------------------------------------------------------------|--------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2323 |              | 2812<br>66-1066/530 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | Carolee Thea | Oct 17 1995         |
| One thousand and no/100                                                                                    |              | \$ 1,000.00         |
|                                                                                                            |              | DOLLARS             |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |              |                     |
| FOR                                                                                                        | Refund '90   | Bobby T. Martin     |
| ⑈000026⑈ ⑈0530⑈0665⑈ 3⑈0⑈728⑈48⑈0⑈                                                                         |              |                     |

# GANTT

FOR U.S. SENATE '96

October 17, 1995

Ms. C. Delores Tucker  
6700 Lincoln Dr.  
Philadelphia, PA 19119

Dear Ms. Tucker:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                   |                     |
|------------------------------------------------------------------------------------------------------------|-------------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2522 |                   | 2813<br>06-1066/530 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | C. Delores Tucker | Oct 7 1995          |
| Two hundred and no/100                                                                                     |                   | \$ 200.00           |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |                   | DOLLARS             |
| FOR                                                                                                        | Refund '90        | Bobby T. Martin     |
| ⑈00002813⑈ ⑈0530⑈0665⑈ 3101728148⑈0⑈                                                                       |                   |                     |

**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Mr. Brian P. Varner  
RR 4 Box 317  
Lenoir City, TN 37771

Dear Mr. Varner:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |              |                     |
|------------------------------------------------------------------------------------------------------------|--------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2023 |              | 2814<br>66-1066/530 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | Brian Varner | Oct 7 1995          |
| One thousand and no/100                                                                                    |              | \$ 1,000.00         |
| DOLLARS                                                                                                    |              |                     |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |              |                     |
| FOR                                                                                                        | Refund '90   | Bobby T. Martin     |
| ⑈00002814⑈ ⑆053010665⑆ 310122846⑆0⑆                                                                        |              |                     |

**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Ms. Gordon G. Wallace  
1342 28th Street, NW  
Washington, DC 20007

Dear Ms. Wallace:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                        |                     |
|------------------------------------------------------------------------------------------------------------|------------------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>100 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2328 |                        | 2815<br>84-1086/530 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | Mrs. Gordon G. Wallace | Oct 17, 1995        |
| One thousand and no/100                                                                                    |                        | \$ 1,000.00         |
| M&F MECHANICAL AND FARMERS DISC<br>CHARLOTTE, NC                                                           |                        |                     |
| FOR                                                                                                        | Refund '90             | Bobby T. Martin     |
| ⑈00002815⑈ ⑆055010665⑆ 3104728148⑈01                                                                       |                        |                     |

95043701106

**HARVEY**  
**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Mr. Gary R. Warner  
4222 N. Hermitage Avenue  
Chicago, IL 60613

Dear Mr. Warner:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |             |                     |
|------------------------------------------------------------------------------------------------------------|-------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28203-3003 |             | 2816<br>66-1086/530 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | GARY WARNER | Oct 7 1995          |
| Two hundred fifty and no/100                                                                               |             | \$ 250.00           |
| DOLLARS                                                                                                    |             |                     |
| M&F MECHANICAL AND FARMERS BANK<br>CHARLOTTE, NC                                                           |             |                     |
| FOR                                                                                                        | Refund '90  | Bobby T. Martin     |
| ⑈00002816⑈ ⑈0530106650 3101728160⑈                                                                         |             |                     |

HARVEY  
**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Mr. Thomas J. Watson, Jr.  
Old Orchard Road  
New York, NY 10504

Dear Mr. Watson:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                       |                     |
|------------------------------------------------------------------------------------------------------------|-----------------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>100 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2323 |                       | 2817<br>66-1066-530 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | Thomas J. Watson, Jr. | Oct 7 1995          |
| One thousand and no/100                                                                                    |                       | \$ 1,000.00         |
| DOLLARS                                                                                                    |                       |                     |
| M&F MECHANICAL AND FARMERS BANK<br>CHARLOTTE, NC                                                           |                       |                     |
| FOR                                                                                                        | Return '90            | Bobby T. Martin     |
| ⑈0000 2817⑈ ⑈0930⑈0665⑈ 5⑈0⑈228⑈1⑈8⑈0⑈                                                                     |                       |                     |

HARVEY  
**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Dr. Spurgeon Webber  
4200 Hyde Park Dr.  
Charlotte, NC 28216

Dear Dr. Webber:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                 |                     |
|------------------------------------------------------------------------------------------------------------|-----------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2523 |                 | 2818<br>66-1060-530 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | Spurgeon Webber | 0017 1095           |
| Twenty-five and no/100                                                                                     |                 | \$ 25.00            |
| DOLLARS                                                                                                    |                 |                     |
| M&F MECHANICS AND FARMERS BANK<br>CHARLOTTE, NC                                                            |                 |                     |
| FOR                                                                                                        | De fund '90     | Bobby Martin        |
| ⑈00002818⑈ ⑆051010555⑆ 3101728148⑆0⑆                                                                       |                 |                     |

HARVEY  
**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Mr. J. Stanley Yake  
10 Ferry Drive  
Rexford, NY 12148

Dear Mr. Yake:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |                                                   |                      |
|------------------------------------------------------------------------------------------------------------|---------------------------------------------------|----------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2022 |                                                   | 2819<br>66-1066/530  |
| PAY<br>TO THE<br>ORDER OF                                                                                  | J. Stanley Yake<br><i>Five hundred and no/100</i> | Oct 7 1995 \$ 500.00 |
| M&F MECHANICAL AND FARMERS BANK<br>CHARLOTTE, NC                                                           |                                                   | DOLLARS              |
| FOR                                                                                                        | Refund '90                                        | <i>Bobby Martin</i>  |

00002819 1053010005 3500281901

HARVEY  
**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

CWA-COPE-PCC PAC  
1925 K Street, NW  
Washington, DC 20006

Dear Members:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 5,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

|                                                                                                            |              |                     |
|------------------------------------------------------------------------------------------------------------|--------------|---------------------|
| HARVEY GANTT FOR SENATE<br>CAMPAIGN COMMITTEE<br>700 EAST STONEWALL, SUITE 500<br>CHARLOTTE, NC 28202-2323 |              | 2820<br>66-1088/538 |
| PAY<br>TO THE<br>ORDER OF                                                                                  | CWA-COPE PAC | Oct 7 1995          |
| One thousand and no/100                                                                                    |              | \$ 1,000.00         |
| DOLLARS                                                                                                    |              |                     |
| M&F MULTIFAMILY AND FARMERS BANK<br>CHARLOTTE, NC                                                          |              |                     |
| FOR                                                                                                        | Refund '90   | Bobby T. Martin     |
| ⑈00002820⑈ ⑈0530⑈0885⑈ 3⑈0⑈1728⑈68⑈0⑈                                                                      |              |                     |

HARVEY  
**GANTT**  
FOR U.S. SENATE '96

October 17, 1995

Democratic Party of Rutherford County  
C/O Mac Watson  
Route 3, Box 622  
Forest City, NC 28043

Dear Members:

The 1990 Gantt for Senate Campaign Committee recently entered into a consent agreement with the Federal Election Commission. After lengthy negotiations with the FEC, the Committee agreed to refund contributions accepted in excess of the \$ 1,000.00 per election limit. The enclosed check represents the excess contribution the Committee accepted for the 1990 general election. If you feel that this determination is not correct, please advise of any information you may have on this matter.

As you may be aware, Harvey has announced, and is vigorously pursuing the 1996 Democratic nomination for the U. S. Senate from North Carolina! We appreciate your generous support in the past and look forward to your continued support in 1996.

Sincerely,

Bobby T. Martin, Treasurer

P.O. Box 35555, Charlotte, NC 28235  
Paid for by Harvey Gantt for Senate Campaign Committee

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
100 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2822

66-1086/530

PAY  
TO THE  
ORDER OF

Democratic Party - Rutherford County

Oct 7 1995

\$ 162.26

One hundred sixty two and 26/100

DOLLARS

**M&F**

MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR

the fund '90

Bobby T. Martin

⑈00002822⑈ ⑆053010665⑆ 5101728146⑈0⑆

25043701112

9504370113

*APL*

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2630  
310010928200099010180

PAY TO THE ORDER OF Theodore F. Hottel 1-14-91 \$ 50.00  
Fifty and 00/100 DOLLARS

M&F MECHANICAL AND FURNISHING BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002630⑈ ⑆053010665⑆ 3101728148⑈01 ⑈000005000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2631  
01020002659

PAY TO THE ORDER OF Mark Bernstein 1-14-91 \$ 500.00  
Five hundred and 00/100 DOLLARS

M&F MECHANICAL AND FURNISHING BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002631⑈ ⑆053010665⑆ 3101728148⑈01 ⑈000005000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2633  
01060002735

PAY TO THE ORDER OF Sammy Tillman 1-14-91 \$ 500.00  
Five hundred and 00/100 DOLLARS

M&F MECHANICAL AND FURNISHING BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002633⑈ ⑆053010665⑆ 3101728148⑈01 ⑈000005000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2634  
01070002117

PAY TO THE ORDER OF Mary B Mountcastle 1-14-91 \$ 470.00  
Four hundred seventy and 00/100 DOLLARS  
ATAH  
CH. BLVD

M&F MECHANICAL AND FURNISHING BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002634⑈ ⑆053010665⑆ 3101728148⑈01 ⑈0000047000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2635  
01000002806

PAY TO THE ORDER OF Marguerite A. Spence 1-14-91 \$ 280.00  
Two hundred eighty and 00/100 DOLLARS

M&F MECHANICAL AND FURNISHING BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002635⑈ ⑆053010665⑆ 3101728148⑈01 ⑈0000028000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2637  
1100112119001010000985

PAY TO THE ORDER OF Tena Jon 1-14-91

**2637**

1100112119001010~~00~~985

PAY  
TO THE  
ORDER OF

PAY TO THE ORDER OF Tema Jon Okun 0032-394 04-11-92-005 JF 0030 75.00  
Security line and w/c DOLLAR

M&amp;F

**MECHANICAL AND FARMERS BNS**  
CHARLOTTE, N.C.

FOR

000002637# 10530106651 3101728148#01 0000007500

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2638  
1100112119\*0100011297

PAY  
TO THE  
ORDER OF

PAY TO THE ORDER OF Stephen M Schewel \$ 100.00  
One hundred and 00/100 DOLLARS

**M&F**

MECHANICS AND FARMERS BANA  
CHARLOTTE, N.C.

FOR

00002638 0530106651 310172814800 000000100000

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2639  
1100112119\*01060111526

PAY  
TO THE  
ORDER OF

PAY TO THE ORDER OF JOANNE K Blumenthal \$ 2000  
Twenty and no/100

M&amp;F

MECHANICAL ENGINEERS INC.  
- CHARLOTTE, N.C.

00535600104141176910415125145

FOR

000002639 053010665 310172814800 00000002000

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2640  
1100109398\*0102005805

PAY  
TO THE  
ORDER OF

PAY TO THE ORDER OF Charles Blackmon APR 12 1947 \$ 125.00  
One hundred twenty five and no/100

M&amp;F

MECHANICS AND FARMERS BANK  
CHARLOTTE, N.C.

FOR

00002640 0053040665 340172844800 000000125000

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2303

2641  
0100985645

PAID  
TO THE  
OWNER

PAY TO THE ORDER OF G Jackson Homeless Inc. Jan 21 1988 \$7500  
Fifty five and no/100

M&amp;F

METHANES AND FARMERS BAN  
CHARLOTTE, N.C.

52

000026410 00510106651 310172814801 20000005500

9504370115

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2644  
0100000105

1 14 91

PAY TO THE ORDER OF Hiram Cody Jr \$ 663.70  
Six hundred sixty three and 70/100 DOLLARS

M&F MECHANICAL AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
#00002644# 053010665 3101728148#01 #00000665907

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2646  
1100112119\*01070119

1 14 91

PAY TO THE ORDER OF James C Fuller \$ 40.00  
Forty and 00/100 DOLLARS

M&F MECHANICAL AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
#00002646# 053010665 3101728148#01 #00000040007

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2647  
01000005930

1 14 91

PAY TO THE ORDER OF John T Gordon \$ 500.00  
Five hundred and 00/100 DOLLARS

M&F MECHANICAL AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
#00002647# 053010665 3101728148#01 #00000500007

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2650  
1100112119\*009901102

1 14 91

PAY TO THE ORDER OF Richard H Beckley \$ 300.00  
Three hundred and 00/100 DOLLARS

M&F MECHANICAL AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
#00002650# 053010665 3101728148#01 #00000300007

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2652  
1100112119\*01070119

1 14 91

PAY TO THE ORDER OF S. Sidney Meyers \$ 500.00  
Five hundred and 00/100 DOLLARS

M&F MECHANICAL AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
#00002652# 053010665 3101728148#01 #00000500007

9504370116

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2654  
0102004779

PAY TO THE ORDER OF Walter D Dafford 1-14-91 \$ 150.00

One hundred fifty and no/100 DOLLARS

**M&F** MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002654# ⑆053010665⑆ 310172814801 ⑆0000015000⑆

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2655  
0105004369

PAY TO THE ORDER OF D- Peter Klopfer 1-14-91 \$ 500.00

Five hundred and no/100 DOLLARS

**M&F** MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002655# ⑆053010665⑆ 310172814801 ⑆0000050000⑆

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2659  
1100112119⑆0100014522

PAY TO THE ORDER OF Jones L. Nicolson, Jr 1-14-91 \$ 205.00

Two hundred five and no/100 DOLLARS

**M&F** MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002659# ⑆053010665⑆ 310172814801 ⑆0000020500⑆

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2660  
0107004181

PAY TO THE ORDER OF Priscilla P Taylor 1-14-91 \$ 60.00

Sixty and no/100 DOLLARS

**M&F** MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002660# ⑆053010665⑆ 310172814801 ⑆0000006000⑆

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2661  
1100112119⑆0100014522

PAY TO THE ORDER OF Peter Mallette 1-14-91 \$ 150.00

One hundred fifty and no/100 DOLLARS

**M&F** MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002661# ⑆053010665⑆ 310172814801 ⑆0000015000⑆

9504370117

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
701 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2664  
1100112119\*0107010071

PAY TO THE ORDER OF Joseph G Howe III 1-14-91  
One hundred and no/100 100.00 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002664⑈ ⑆053010665⑆ 3101728148⑈01 ⑈0000010000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
701 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2665  
1100112119\*0102010979

PAY TO THE ORDER OF Robert O Preyer 1-14-91  
One thousand and no/100 1000.00 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002665⑈ ⑆053010665⑆ 3101728148⑈01 ⑈0000010000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
701 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2666  
01030000652

PAY TO THE ORDER OF L. Richardson Preyer 1-14-91  
One hundred and no/100 100.00 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002666⑈ ⑆053010665⑆ 3101728148⑈01 ⑈0000010000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
701 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2668  
01050005720

PAY TO THE ORDER OF Josanne Woodward Newman 1-14-91  
One thousand and no/100 1,000.00 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002668⑈ ⑆053010665⑆ 3101728148⑈01 ⑈0000010000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
701 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2670  
00950000137

PAY TO THE ORDER OF Dorothy B Shupe 1-14-91  
Two and no/100 2.00 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002670⑈ ⑆053010665⑆ 3101728148⑈01 ⑈0000001000⑈

APR 5 1991  
BRANCH 271

95043701118

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2671  
0101001838

PAY  
TO THE  
ORDER OF

*Sandra N. May*  
*One hundred and fifty*

1-14-91  
\$ 100.00

DOLLARS

**M&F**

MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

106215428 04-11-91 593 03 0501 1

FOR

#00002671# #053010665# 3101728148#01

*Bobby Hunt*  
#0000010000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2672  
1100112119\*0105020279

PAY  
TO THE  
ORDER OF

*Nancy H. Campbell*  
*Five hundred and no*

1-14-91  
\$ 500.00

DOLLARS

**M&F**

MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

100100108 04-15-91 005 04 0002 1

FOR

#00002672# #053010665# 3101728148#01

*Bobby Hunt*  
#0000050000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2673  
1100112119\*0105020114

PAY  
TO THE  
ORDER OF

*Roselyne C. Swartz*  
*Five hundred and no*

CENTRAL DEPOSIT  
APR 12 1991  
TELLER 75

1-14-91

\$ 500.00

DOLLARS

**M&F**

MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR

#00002673# #053010665# 3101728148#01

*Bobby Hunt*  
#0000050000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2674  
0101001934

PAY  
TO THE  
ORDER OF

*Helen O. Wilson*  
*Two hundred and no*

TELLER No. 1-M

1-14-91

\$ 200.00

DOLLARS

**M&F**

MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

20840888 04-11-91 493 03 0493 1

FOR

#00002674# #053010665# 3101728148#01

*Bobby Hunt*  
#0000020000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2676  
01020012697

PAY  
TO THE  
ORDER OF

*Richard C. Bell*  
*Three hundred eighty and no*

1-14-91

\$ 380.00

DOLLARS

**M&F**

MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

10600772 04-12-91 593 03 0500 1

FOR

#00002676# #053010665# 3101728148#01

*Bobby Hunt*  
#0000091500#

95043701119

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2677  
0107007618

1-14-91

PAY TO THE ORDER OF Irene C Wallace

Four hundred five and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002677# #053010665# 3101728148#01 #0000040500#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2691  
1100112119#0002402710

Feb 26, 91

PAY TO THE ORDER OF Young's PAC

Four thousand and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Refund of Contribution Bobby Hunt

#00002691# #053010665# 3101728148#01 #0000400000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2705  
01000004033

3-5-91

PAY TO THE ORDER OF Josephine Metz

Twenty five and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002705# #053010665# 3101728148#01 #0000002500#

F.D.N.B. #018  
APR 09 1991  
ELKIN

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2706  
1100112119#0105000347

3-15-91

PAY TO THE ORDER OF James H. Merrill

One hundred fifty and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002706# #053010665# 3101728148#01 #0000015000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2708  
1100112119#0101000030

3-15-91

PAY TO THE ORDER OF Thomas J. White

One thousand and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002708# #053010665# 3101728148#01 #0000100000#

95043701120

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2710  
1100112119\*0102011042

PAY TO THE ORDER OF Charles Rind 3/15 1991 \$ 1500  
Fifty and no/100 DOLLARS  
M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC  
FOR Bobby Hunt  
⑆00002710⑆ ⑆053010665⑆ 3101728148⑆01 ⑆0000001500⑆

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2712  
0101002692

PAY TO THE ORDER OF Gerald H Long 3-15 1991 \$ 500  
Fifty and no/100 DOLLARS  
M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC  
FOR Bobby Hunt  
⑆00002712⑆ ⑆053010665⑆ 3101728148⑆01 ⑆0000005000⑆

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2716  
1100112119\*0108011036

PAY TO THE ORDER OF Ronald Ansine 3-15 1991 \$ 2,000.00  
One thousand and no/100 DOLLARS  
M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC  
FOR Bobby Hunt  
⑆00002716⑆ ⑆053010665⑆ 3101728148⑆01 ⑆0000100000⑆

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2717  
1100112119\*010520266

PAY TO THE ORDER OF Ezekiel Solomon 3-15 1991 \$ 125.00  
One hundred twenty five and no/100 DOLLARS  
M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC  
FOR Bobby Hunt  
⑆00002717⑆ ⑆053010665⑆ 3101728148⑆01 ⑆0000012500⑆

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2719  
1100112119\*0100411357

PAY TO THE ORDER OF Peter L Buttonwaiser 3-15 1991 \$ 1,000  
One thousand and no/100 DOLLARS  
M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC  
FOR Bobby Hunt  
⑆00002719⑆ ⑆053010665⑆ 3101728148⑆01 ⑆0000100000⑆

95043701121

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2722  
1100112119\*010101010254

PAY TO THE ORDER OF Charlotte W Gurd 3-15 1991  
Twelve hundred and no/100 \$ 1,200.00  
DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bubley Hunt  
⑈00002722⑈ ⑆053010665⑆ 3101728148⑈ ⑆0000120000⑆

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2723  
1100112119\*0100044238

PAY TO THE ORDER OF Alden Spina 3-15 1991  
One thousand and no/100 \$ 1,000.00  
DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bubley Hunt  
⑈00002723⑈ ⑆053010665⑆ 3101728148⑈ ⑆0000100000⑆

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2726  
0095002247

PAY TO THE ORDER OF Tom P Eford 3-15 1991  
Two hundred fifty and no/100 \$ 250.00  
DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bubley Hunt  
⑈00002726⑈ ⑆053010665⑆ 3101728148⑈ ⑆0000025000⑆

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2728  
1100112119\*010001125

PAY TO THE ORDER OF Diane B Stern 3-15 1991  
One thousand and no/100 \$ 1,000.00  
DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bubley Hunt  
⑈00002728⑈ ⑆053010665⑆ 3101728148⑈ ⑆0000100000⑆

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2729  
0109000112

PAY TO THE ORDER OF Edward O'Neil 3-15 1991  
One hundred and no/100 \$ 100.00  
DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bubley Hunt  
⑈00002729⑈ ⑆053010665⑆ 3101728148⑈ ⑆0000010000⑆

95043701122

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2730  
01020003522

3-15-91

PAY TO THE ORDER OF Noel L Dunn  
Thirty-five and no/100  
DOLLARS

M&F MECHANICAL AND FARMERS BANK  
CHARLOTTE, NC

FOR 0750605 4-11-91#063  
#00002730# #053010665# 3101728148#01 /0000003500/

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2731  
0099001655

3-15-91

PAY TO THE ORDER OF Ralph Vaughn  
One thousand and no/100  
DOLLARS

M&F MECHANICAL AND FARMERS BANK  
CHARLOTTE, NC

FOR 0750605 4-11-91#063  
#00002731# #053010665# 3101728148#01 /0000100000/

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2733  
00990005421

3-15-91

PAY TO THE ORDER OF Loy H Proctor  
Twenty-five and no/100  
DOLLARS

M&F MECHANICAL AND FARMERS BANK  
CHARLOTTE, NC

FOR 0750605 4-11-91#063  
#00002733# #053010665# 3101728148#01 /00000007500/

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2735  
1100112119\*0109010334

3-15-91

PAY TO THE ORDER OF Eleanor Katz  
Fifteen and no/100  
DOLLARS

M&F MECHANICAL AND FARMERS BANK  
CHARLOTTE, NC

FOR 0750605 4-11-91#063  
#00002735# #053010665# 3101728148#01 /0000001500/

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2736  
0101001270

3-15-91

PAY TO THE ORDER OF Margaret E. Holladay  
Twenty-five and no/100  
DOLLARS

M&F MECHANICAL AND FARMERS BANK  
CHARLOTTE, NC

FOR 0750605 4-11-91#063  
#00002736# #053010665# 3101728148#01 /00000007500/

95043701123

2737  
0105005308

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

3-15-91

PAY TO THE ORDER OF Ruth Medgros \$ 500.00

Five hundred and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002737# #053010665# 3101728148#01 #0000050000/

2738

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

1100112119\*010101199

3-15-91

PAY TO THE ORDER OF Democrats for the 90's \$ 500.00

Five thousand and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002738# #053010665# 3101728148#01 #0000050000/

2869

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

0105000176

2-28-91

PAY TO THE ORDER OF CLARENCE AVANT \$ 500.00

Five hundred and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002869# #053010665# 3101728148#01 #0000050000/

2871

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

1100112119\*010601279

2-28-91

PAY TO THE ORDER OF Gladys G. Echols \$ 1000.00

One thousand and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002871# #053010665# 3101728148#01 #0000100000/

2872

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

0101000105

2-28-91

PAY TO THE ORDER OF John Crum \$ 500.00

Five hundred and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt

#00002872# #053010665# 3101728148#01 #0000050000/

95043701124

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2873  
0101002693

PAY TO THE ORDER OF Gerald W. Long 2-28 1991 \$1,050.00  
One thousand fifty and no/100 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002873⑈ ⑆0530⑆0665⑆ 3101728148⑈01 ⑈0000105000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2875  
1100112119⑈0105020123

PAY TO THE ORDER OF Smk Bnglay 2-28 1991 \$1,000.00  
One thousand and no/100 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002875⑈ ⑆0530⑆0665⑆ 3101728148⑈01 ⑈0000100000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2878  
0105000370

PAY TO THE ORDER OF Jessie White 2-28 1991 \$355.00  
Three hundred fifty-five and no/100 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002878⑈ ⑆0530⑆0665⑆ 3101728148⑈01 ⑈0000035500⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2880  
0105000371

PAY TO THE ORDER OF Susan Gidwitz 2-28 1991 \$1,000.00  
One thousand and no/100 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002880⑈ ⑆0530⑆0665⑆ 3101728148⑈01 ⑈0000100000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2882  
1100112119⑈0106000047

PAY TO THE ORDER OF Ricky Clifton 2-28 1991 \$1,000.00  
One thousand and no/100 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002882⑈ ⑆0530⑆0665⑆ 3101728148⑈01 ⑈0000100000⑈

95043701125

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2887  
1100112119\*0107\*~~2887~~063

PAY TO THE ORDER OF John Henlin 2-28 91  
One thousand and no/100 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002887⑈ ⑆053010665⑆ 3101728148⑈01 ⑈0000100000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2888  
1100112119\*0107\*~~2888~~161

PAY TO THE ORDER OF Bishop A. H. Hartsfield 2-28 91  
Four hundred seventy-six and no/100 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002888⑈ ⑆053010665⑆ 3101728148⑈01 ⑈0000047600⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2891  
1100112119\*0107\*~~2891~~171

PAY TO THE ORDER OF John D. B. Lewis 2-28 91  
One thousand and no/100 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002891⑈ ⑆053010665⑆ 3101728148⑈01 ⑈0000100000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2893  
1100112119\*0101\*~~2893~~147

PAY TO THE ORDER OF James C. Neuhause 2-28 91  
Three hundred and no/100 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002893⑈ ⑆053010665⑆ 3101728148⑈01 ⑈0000030000⑈

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2894  
0107\*~~2894~~46

PAY TO THE ORDER OF Jay Sondrick 2-28 91  
One thousand and no/100 DOLLARS

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002894⑈ ⑆053010665⑆ 3101728148⑈01 ⑈0000100000⑈

95043701126

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2632  
1100112119\*0122012262

1-14-91

PAY TO THE ORDER OF John Harmon  
Fifty and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR

00002632# 053010665# 3101728148#01 0000005000/

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2636  
0113005233

1-14-91

PAY TO THE ORDER OF Charlotte Brady  
Twenty and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR

00002636# 053010665# 3101728148#01 0000002000/

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2642  
1100112119\*0137010827

1-14-91

PAY TO THE ORDER OF - 345321 -  
Daniel Steiner  
One thousand and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR

00002642# 053010665# 3101728148#01 0000100000/

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2645  
1100112119\*0116000913

1-14-91

PAY TO THE ORDER OF D. Richard Phasin  
One thousand and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR

00002645# 053010665# 3101728148#01 0000100000/

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2649  
1100112119\*0113012026

1-14-91

PAY TO THE ORDER OF Richard B. Montross  
Fifty and no/100

M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR

00002649# 053010665# 3101728148#01 0000005000/

95043701127

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2653  
1100112119\*0114010012

PAY  
TO THE  
ORDER OF

Henry Chalfant, Jr.  
Five hundred and no/100

1-14-91

\$ 500.00

DOLLARS

M&F

MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

100451085 04-24-91 005 09 0030 1

020100361 59071-39 04 0239 01

FOR

#00002653# 1053010665 3101728148#01

#0000050000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2656  
1100112119\*0120011131

PAY  
TO THE  
ORDER OF

Kenneth F. Mountcastle, Jr.  
One thousand and no/100

1-14-91

\$ 1,000.00

DOLLARS

M&F

MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

100371729 04-30-91 005 09 0020 1

FOR

#00002656# 1053010665 3101728148#01

#0000100000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2657  
1100112119\*0114010007

PAY  
TO THE  
ORDER OF

Agnes Gurd  
One thousand and no/100

1-14-91

\$ 1,000.00

DOLLARS

M&F

MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

100440534 04-24-91 005 09 0030 1

FOR

#00002657# 1053010665 3101728148#01

#0000100000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2663  
1100112119\*0120011197

PAY  
TO THE  
ORDER OF

Antonia M. Grumbach  
Five hundred and no/100

1-14-91

\$ 500.00

DOLLARS

M&F

MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

100361465 04-30-91 005 09 0020 1

FOR

#00002663# 1053010665 3101728148#01

#0000050000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2675  
1100112119\*0112011515

PAY  
TO THE  
ORDER OF

George B. Bingham  
Two hundred fifty and no/100

1-14-91

\$ 250.00

DOLLARS

M&F

MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

010013803 04-30-91 005 09 0020 1

FOR

#00002675# 1053010665 3101728148#01

#0000025000#

95043701128

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2707  
1100112119\*011301138

PAY TO THE ORDER OF H. Jefferson Holt 3-15 1991  
Five hundred and no/100 DOLLARS

**M&F** MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002707⑈ ⑈053010665⑈ 3101728148⑈01 ⑈0000060000⑈

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2709  
0120000041

PAY TO THE ORDER OF Felice Loebel 3-15 1991  
Twenty-five and no/100 DOLLARS

**M&F** MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002709⑈ ⑈053010665⑈ 3101728148⑈01 ⑈0000002500⑈

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2721  
1100112119\*0113011263

PAY TO THE ORDER OF Sally Brown 3-15 1991  
Twenty-five and no/100 DOLLARS

**M&F** MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002721⑈ ⑈053010665⑈ 3101728148⑈01 ⑈0000002500⑈

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2727  
1100112119\*0116000914

PAY TO THE ORDER OF Charles DeGuzburg 3-15 1991  
One hundred and no/100 DOLLARS

**M&F** MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002727⑈ ⑈053010665⑈ 3101728148⑈01 ⑈0000000000⑈

**HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE**  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2734  
1100112119\*0114000026

PAY TO THE ORDER OF Lawrence A. Ryan 3-15 1991  
One thousand and no/100 DOLLARS

**M&F** MECHANICS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
⑈00002734⑈ ⑈053010665⑈ 3101728148⑈01 ⑈0000000000⑈

95043701129

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2868  
01190002807

PAY TO THE ORDER OF Amalgamated Transportation Union Vol. Fund \$ 2500.00  
Twenty-five hundred and 00/100 DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
#00002868# ⑆053010665⑆ 3101728148#0⑆ ⑆0000250000⑆

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2877  
11001121190135000635

PAY TO THE ORDER OF John H Hobbs \$ 1000.00  
One thousand and 00/100 DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
#00002877# ⑆053010665⑆ 3101728148#0⑆ ⑆0000100000⑆

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2879  
01160000051

PAY TO THE ORDER OF B. Sall Freeman \$ 1000.00  
One thousand and 00/100 DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
#00002879# ⑆053010665⑆ 3101728148#0⑆ ⑆0000100000⑆

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2881  
110011211901200000086

PAY TO THE ORDER OF Katherine Arnan \$ 1500.00  
One thousand five hundred and 00/100 DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
#00002881# ⑆053010665⑆ 3101728148#0⑆ ⑆0000015000⑆

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2885  
110011211901150000080

PAY TO THE ORDER OF Lola Froman \$ 500.00  
Five hundred and 00/100 DOLLARS

M&F MECHANICALS AND FARMERS BANK  
CHARLOTTE, NC

FOR Bobby Hunt  
#00002885# ⑆053010665⑆ 3101728148#0⑆ ⑆0000050000⑆

95043701170

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2886  
1100112119\*0123012678

PAY TO THE ORDER OF Patricia C. Hoffman \$ 6/22/91  
Six hundred twelve and 2/10  
100061240 05-03-91 005 09 0002 1  
M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, N.C.

FOR Bobby Hunt  
#00002886# :053010665: 3101728148#01 #0000061221#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2889  
1100112119\*0113012383

PAY TO THE ORDER OF Jerome Kohlberg, Jr. \$ 2000.00  
One thousand and n/w  
100061240 05-03-91 005 09 0002 1  
M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, N.C.

FOR Bobby Hunt  
#00002889# :053010665: 3101728148#01 #0000100000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2890  
0121003885

PAY TO THE ORDER OF William S. Horach \$ 1000.00  
One thousand and n/w  
100061240 05-03-91 005 09 0002 1  
M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, N.C.

FOR Bobby Hunt  
#00002890# :053010665: 3101728148#01 #0000100000#

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2895  
1100112119\*0121011682

PAY TO THE ORDER OF Al Russo Committee \$ 1000.00  
One thousand and n/w  
100061240 05-03-91 005 09 0002 1  
M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, N.C.

FOR Bobby Hunt  
#00002895# :053010665: 3101728148#01 #0000100000#

Refund

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-2323

2897  
1100112119\*0115012678

PAY TO THE ORDER OF Ronald V. Deltam Committee \$ 100.00  
One hundred and n/w  
100061240 05-03-91 005 09 0002 1  
M&F MECHANICS AND FARMERS BANK  
CHARLOTTE, N.C.

FOR Bobby Hunt  
#00002897# :053010665: 3101728148#01 #0000010000#



HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
700 EAST STONEWALL, SUITE 600  
CHARLOTTE, NC 28202-2828

2870  
1100112119M019900219

PAY  
TO THE  
ORDER OF

Jeffery K Averett

One thousand and no/100

DOLLARS

M&F

MEDWELL AND PIERCE BANK  
CHARLOTTE, NC

FOR

00002870 053010665 310172814801

00001000001

25043701132

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
100 EAST STONEWALL, SUITE 500  
CHARLOTTE, NC 28202-3220

2739

1100112119#0240008837

PAY  
TO THE  
ORDER OF

*Scena Club P463262 08-28-91 205 PS 2,221.75*  
*Twenty-two hundred one and 5/100* DOLLARS

**M&F**

Mechanics and Farmers Bank  
Charlotte, NC

FOR *-1.224-411*

*Bobby Hunt*

⑈00002739⑈ ⑆053010665⑆ 3101728148⑈01 ⑆0000220185⑆

95043701133

HARVEY GANTT FOR SENATE  
CAMPAIGN COMMITTEE  
706 EASTON ROAD, SUITE 100  
CHARLOTTE, NC 28202-2222

2749

1100131-24/1994015402442

5/12 10/91

PAY  
TO THE  
ORDER OF

JANE DIXON

2001M1142 06-02-91 005/ 89 07/20/90

Five hundred and no/100

DOLLARS

M&F

MERCHANTS AND BUSINESS BANK  
CHARLOTTE, NC

FOR

Bobby J. Hunt

⑈00002749⑈ ⑆053010665⑆ 3101728148⑈01 ⑆0000170000⑆

95043701134