



FEDERAL ELECTION COMMISSION  
WASHINGTON, DC 20463

THIS IS THE BEGINNING OF MUR # 2975

DATE FILMED 11/1/89 CAMERA NO. 4

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## FEDERAL ELECTION COMMISSION

WASHINGTON, DC 20463

June 16, 1989

MEMORANDUM

TO: LAWRENCE M. NOBLE  
GENERAL COUNSEL

THROUGH: JOHN C. SURINA  
STAFF DIRECTOR

FROM: JOHN D. GIBSON *JDG*  
ASSISTANT STAFF DIRECTOR  
REPORTS ANALYSIS DIVISION

SUBJECT: UNAUTHORIZED QUARTERLY FILERS WHICH FAILED TO FILE  
THE 1988 12 DAY PRE-GENERAL REPORT BY ELECTION DAY

The attached list of unauthorized committees consists of thirty-seven (37) quarterly filers which failed to file a 1988 12 Day Pre-General Report by Election Day, November 8, 1988.

Unlike the mandatory reporting requirement placed upon monthly filers, 2 U.S.C. §434(a)(4)(A)(ii) requires quarterly filers to submit 12 Day Pre-General Reports only if the committees make contributions to or expenditures on behalf of federal candidates in the general election. All unauthorized committees were sent prior notification regarding the pre- and post-general filing requirements on October 3, 1988 (Attachment 38).

The Party/Non-Party Branch conducted a thorough examination to identify quarterly filers disclosing contributions or expenditures between October 1 and October 19, 1988. The research revealed committees that submitted:

- a) 12 Day Pre-General Reports in an untimely manner;
- b) 30 Day Post-General Reports indicating that 12 Day Pre-General Reports should have been filed; and
- c) Year End Reports indicating that 12 Day Pre-General Reports should have been filed.

If you have any questions regarding this matter, please contact Lisa J. Stolaruk at 376-2480.

A-000-1

93040771173

JUN 19 11:41

List of Committees and Prior Commission Actions

- 1.
- 2.
3. 852
- 4.
- 5.
- 6.
- 7.
- 8.
- 9.
- 10.
- 11.
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- 16.
- 17.

A-00002

800407/1174

18.

18.

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33040771175

A-00003

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31.

32.

35.

33.

34.

35. C00142844 United New Mexico Financial  
Corporation Political Action  
Committee

39NF-103

36.

37.

A-00004

8 3 0 4 0 7 1 1 7 6

COMMITTEE ID, NAME AND ADDRESS

CONTACTS  
WITH FILER ATCH

REPORTS FILED  
RESPONSES

330407/1177

A-00005

890407/1178

A-00000

COMMITTEE ID, NAME AND ADDRESS

CONTACTS  
WITH FILED ATCH

REPORTS FILED/  
RESPONSES

930407/1179

A-00007

9904071180

A-00003

COMMITTEE ID, NAME AND ADDRESS

CONTACTS  
WITH FILER ATCH

REPORTS FILED/  
RESPONSES

8304071131

A-00000

32040771182

A-00010

COMMITTEE ID, NAME AND ADDRESS

CONTACTS  
WITH FILER ATCH

REPORTS FILED/  
RESPONSES

8204071183

A-00011

Attachments 35a-35f

C00142844  
 UNITED NEW MEXICO FINANCIAL CORPORATION POLITICAL ACTION COMMITTEE  
 TREASURER'S NAME: KEN I DICKEL  
 200 LONG BLVD, N M - P O BOX 1081  
 ALBUQUERQUE NM 87102

None

1988 Year End  
 Report filed  
 1/18/89

3304071184

A-00012

**United New Mexico Financial Corporation Political Action  
Committee**

(Attachments 35a - 35f)

2004071125

FEDERAL ELECTION COMMISSION  
1987-1988  
COMMITTEE INDEX OF DISCLOSURE DOCUMENTS - (C)

DATE 30MAY89

PAGE 2

| COMMITTEE                                                          | DOCUMENT                        | RECEIPTS | DISBURSEMENTS | COVERAGE DATES                    | # OF PAGES | MICROFILM LOCATION |
|--------------------------------------------------------------------|---------------------------------|----------|---------------|-----------------------------------|------------|--------------------|
|                                                                    |                                 |          |               | TYPE OF FILER                     |            |                    |
| UNITED NEW MEXICO FINANCIAL CORPORATION POLITICAL ACTION COMMITTEE |                                 |          |               | ID #C00142844 NON-PARTY QUALIFIED |            |                    |
| CONNECTED ORGANIZATION: BANK SECURITIES INC                        |                                 |          |               |                                   |            |                    |
| 1987                                                               | MID-YEAR REPORT                 | 15,036   | 2,425         | 1JAN87 - 30JUN87                  | 13         | 87FEC/474/4577     |
|                                                                    | YEAR-END                        | 25,325   | 39,000        | 1JUL87 - 31DEC87                  | 25         | 88FEC/498/2710     |
| 1988                                                               | APRIL QUARTERLY                 | 11,560   | 3,150         | 1JAN88 - 31MAR88                  | 8          | 88FEC/515/3980     |
|                                                                    | APRIL QUARTERLY - AMENDMENT     | 11,560   | 3,150         | 1JAN88 - 31MAR88                  | 5          | 88FEC/523/5193     |
|                                                                    | 1ST LETTER INFORMATIONAL NOTICE |          |               | 1JAN88 - 31MAR88                  | 1          | 88FEC/523/1476     |
|                                                                    | JULY QUARTERLY                  | 5,837    | 1,450         | 1APR88 - 30JUN88                  | 11         | 88FEC/532/4123     |
|                                                                    | 1ST LETTER INFORMATIONAL NOTICE |          |               | 1APR88 - 30JUN88                  | 1          | 88FEC/542/4512     |
|                                                                    | OCTOBER QUARTERLY               | 2,188    | 500           | 1JUL88 - 30SEP88                  | 9          | 88FEC/551/3825     |
|                                                                    | NOTICE OF FAILURE TO FILE       |          |               | 28NOV88                           | 1          | 89FEC/576/2229     |
|                                                                    | YEAR-END                        | 3,381    | 15,580        | 1OCT88 - 31DEC88                  | 19         | 89FEC/578/0944     |
|                                                                    | 1ST LETTER INFORMATIONAL NOTICE |          |               | 1OCT88 - 31DEC88                  | 1          | 89FEC/588/0725     |
| TOTAL                                                              |                                 | 63,327   | 0 62,105 0    | 94 TOTAL PAGES                    |            |                    |

All reports have been reviewed.

Ending cash-on-hand as of 12/31/88: \$4,460

Outstanding debts owed to or by the committee as of 12/31/88: \$0

89040771186

3 9 0 4 0 7 7 1 1 8 7

FEDERAL ELECTION COMMISSION  
1989-1990  
COMMITTEE INDEX OF DISCLOSURE DOCUMENTS - (C)

DATE 13JUN89

PAGE 11

| COMMITTEE                                                          | DOCUMENT | RECEIPTS | DISBURSEMENTS | COVERAGE DATES | # OF<br>PAGES       | MICROFILM<br>LOCATION |
|--------------------------------------------------------------------|----------|----------|---------------|----------------|---------------------|-----------------------|
|                                                                    |          |          |               | TYPE OF FILER  |                     |                       |
| UNITED NEW MEXICO FINANCIAL CORPORATION POLITICAL ACTION COMMITTEE |          |          |               | ID #C00142844  | NON-PARTY QUALIFIED |                       |
| CONNECTED ORGANIZATION: BANK SECURITIES INC                        |          |          |               | 18JAN89        | 1                   | 89FEC/578/094         |
| 1989 STATEMENT OF ORGANIZATION - AMENDMENT                         |          |          |               |                | 1                   | TOTAL PAGES           |
| TOTAL                                                              |          | 0        | 0             | 0              | 0                   |                       |

# REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee  
(Summary Page)

RECEIVED  
FEDERAL ELECTION COMMISSION

ATTACHMENT 35c  
09 JAN 18 AM 11:14

USE FEC NUMBER LABEL  
OR  
TYPE OR PRINT

|                                                                                                                                                     |  |                                               |
|-----------------------------------------------------------------------------------------------------------------------------------------------------|--|-----------------------------------------------|
| 1. NAME OF COMMITTEE (Print)<br>United New Mexico Financial Corporation<br>Political Action Committee                                               |  | 2. FEC IDENTIFICATION NUMBER<br><br>C00142944 |
| ADDRESS (number and street) <input type="checkbox"/> Check if different than previously reported<br>200 Lomas Blvd. NW, Suite 200<br>P. O. Box 1081 |  |                                               |
| CITY, STATE and ZIP CODE<br>Albuquerque, NM 87102                                                                                                   |  |                                               |
| 3. <input type="checkbox"/> This committee qualified as a multicandidate committee DURING THIS Reporting Period on (date)                           |  |                                               |

## 4. TYPE OF REPORT

- (a) April 15 Quarterly Report  
July 15 Quarterly Report  
October 15 Quarterly Report  
☒ January 31 Year End Report  
July 31 Mid Year Report (Non-election Year Only)  
Termination Report
- Monthly Report Due On  
☐ February 20    June 20    October 20  
☐ March 20    July 20    November 20  
☐ April 20    August 20    December 20  
☐ May 20    September 20    January 31
- ☐ Twelfth day report preceding (Type of Election)  
election on in the State of
- ☐ Thirtieth day report following the General Election on  
in the State of

(b) Is this Report an Amendment? ☐ YES ☒ NO

## SUMMARY

|        | 5. Covering Period                                                                            | 10/1/88 through 12/31/88 | COLUMN A<br>This Period | COLUMN B<br>Calendar Year-to-Date |
|--------|-----------------------------------------------------------------------------------------------|--------------------------|-------------------------|-----------------------------------|
| 6. (a) | Cash on Hand January 1, 19 88                                                                 |                          |                         | \$ 2,442.73                       |
| b      | Cash on Hand at Beginning of Reporting Period                                                 |                          | \$ 16,928.99            |                                   |
| c      | Total Receipts (from Line 1B)                                                                 |                          | \$ 3,381.02             | \$ 22,967.28                      |
| d      | Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)          |                          | \$ 20,310.01            | \$ 25,410.01                      |
| 7      | Total Disbursements (from Line 2B)                                                            |                          | \$ 15,580.00            | \$ 20,950.00                      |
| 8      | Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))                    |                          | \$ 4,460.01             | \$ 4,460.01                       |
| 9      | Debits and Obligations Owed TO the Committee<br>(itemize all on Schedule C and/or Schedule D) |                          | \$ 0.00                 |                                   |
| 10     | Debits and Obligations Owed BY the Committee<br>(itemize all on Schedule C and/or Schedule D) |                          | \$ 0.00                 |                                   |

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer:

Kim L. Dickel

Signature of Treasurer:

*Kim L. Dickel*

Date

1/13/88

Failure to furnish accurate or complete information may subject the person signing this Report to the penalties of 18 USC § 437g

FEC FORM 3X

revised 4/87

# **DETAILED SUMMARY PAGE** of Receipts and Disbursements (PAGE 2, FEC FORM 278)

| Name of Committee (in full)<br>United New Mexico Financial Corp. Political Action Committee |     | Report Covering the Period<br>From: 10/1/88 To: 12/31/88 |                                   |
|---------------------------------------------------------------------------------------------|-----|----------------------------------------------------------|-----------------------------------|
|                                                                                             |     | COLUMN A<br>Total This Period                            | COLUMN B<br>Calendar Year-To-Date |
| <b>I. RECEIPTS</b>                                                                          |     |                                                          |                                   |
| 11 CONTRIBUTIONS (other than loans) FROM:                                                   |     |                                                          |                                   |
| (a) Individuals/Persons Other Than Political Committees                                     |     |                                                          |                                   |
| (i) Remitted (use Schedule A)                                                               |     | 2,200.00                                                 | 17,667.50                         |
| (ii) Unremitted                                                                             |     | 1,181.02                                                 | 5,236.58                          |
| (iii) Total of contributions from individuals                                               |     | 3,381.02                                                 | 22,904.08                         |
| (b) Political Party Committees                                                              |     | -                                                        | -                                 |
| (c) Other Political Committees (such as PACs)                                               |     | -                                                        | -                                 |
| (d) TOTAL CONTRIBUTIONS (add 11(a)(iii), (b), and (c))                                      |     | 3,381.02                                                 | 22,904.08                         |
| 12 TRANSFERS FROM AFFILIATED/OTHER PARTY COMMITTEES                                         |     | -                                                        | -                                 |
| 13 ALL LOANS RECEIVED                                                                       |     | -                                                        | -                                 |
| 14 LOAN REPAYMENTS RECEIVED                                                                 |     | -                                                        | -                                 |
| 15 OFFSETS TO OPERATING EXPENDITURES (Refunds, Rebates, etc.)                               |     | -                                                        | -                                 |
| 16 REFUNDS OF CONTRIBUTIONS MADE TO FEDERAL CANDIDATES AND OTHER POLITICAL COMMITTEES       |     | -                                                        | -                                 |
| 17 OTHER RECEIPTS (Dividends, Interest, etc.)                                               |     | -                                                        | 63.20                             |
| 18 TOTAL RECEIPTS (add 11(d), 12, 13, 14, 15, 16 and 17)                                    |     | 3,381.02                                                 | 22,967.28                         |
| <b>II. DISBURSEMENTS</b>                                                                    |     |                                                          |                                   |
| 19 OPERATING EXPENDITURES                                                                   |     | -                                                        | -                                 |
| 20 TRANSFERS TO AFFILIATED/OTHER PARTY COMMITTEES                                           |     | -                                                        | -                                 |
| 21 CONTRIBUTIONS TO FEDERAL CANDIDATES AND OTHER POLITICAL COMMITTEES                       | 600 | 1,000.00                                                 | 6,100.00                          |
| 22 INDEPENDENT EXPENDITURES (use Schedule E)                                                |     | -                                                        | -                                 |
| 23 COORDINATED EXPENDITURES MADE BY PARTY COMMITTEES (2 U.S.C. 441a(d)) (use Schedule F)    |     | -                                                        | -                                 |
| 24 LOAN REPAYMENTS MADE                                                                     |     | -                                                        | -                                 |
| 25 LOANS MADE                                                                               |     | -                                                        | -                                 |
| 26 REFUNDS OF CONTRIBUTIONS TO:                                                             |     |                                                          |                                   |
| (a) Individuals/Persons Other Than Political Committees                                     |     | -                                                        | -                                 |
| (b) Political Party Committees                                                              |     | -                                                        | -                                 |
| (c) Other Political Committees (such as PACs)                                               |     | -                                                        | -                                 |
| (d) TOTAL CONTRIBUTION REFUNDS (add 26(a), (b), and (c))                                    |     | -                                                        | -                                 |
| 27 OTHER DISBURSEMENTS                                                                      |     | 14,850.00                                                | 14,850.00                         |
| 28 TOTAL DISBURSEMENTS (add 19, 20, 21, 22, 23, 24, 25, 26(d), and 27)                      |     | 15,850.00                                                | 20,950.00                         |
| <b>III. NET CONTRIBUTIONS/OPERATING EXPENDITURES</b>                                        |     |                                                          |                                   |
| 29 TOTAL CONTRIBUTIONS (other than loans) (from Line 11(d))                                 |     | 3,381.02                                                 | 22,967.28                         |
| 30 TOTAL CONTRIBUTION REFUNDS (from Line 26(d))                                             |     | -                                                        | -                                 |
| 31 NET CONTRIBUTIONS (other than loans) (subtract Line 30 from 29)                          |     | 3,381.02                                                 | 22,967.28                         |
| 32 TOTAL OPERATING EXPENDITURES (from Line 19)                                              |     | -                                                        | -                                 |
| 33 OFFSETS TO OPERATING EXPENDITURES (from Line 15)                                         |     | -                                                        | -                                 |
| 34 NET OPERATING EXPENDITURES (subtract Line 33 from 32)                                    |     | -                                                        | -                                 |

## SCHEDULE B

## ITEMIZED DISBURSEMENTS

Use separate schedule(s)  
for each category of the  
Detailed Summary PagePAGE 10  
OF 10  
FOR LINE NUMBER 21/27

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for any other purpose other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (in Full)

United New Mexico Financial Corporation Political Action Committee

|                                                                                                                          |                                                                                                                                                             |                                     |                                                            |
|--------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|------------------------------------------------------------|
| A Full Name, Mailing Address and ZIP Code<br>Binghamton for Senate                                                       | Purpose of Disbursement<br>Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br>(Other specify) | Date (month, day, year)<br>10/13/88 | Amount of Each Disbursement This Period<br>1,000.00<br>502 |
| B Full Name, Mailing Address and ZIP Code<br>John A. Dean Jr., Committee<br>Drawer 1259<br>Farmington, NM 87499          | Purpose of Disbursement<br>Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br>(Other specify) | Date (month, day, year)<br>10/17/88 | Amount of Each Disbursement This Period<br>200.00          |
| C Full Name, Mailing Address and ZIP Code<br>Raymond L. Kysar, Jr., Committee<br>210 N. Monterey<br>Farmington, NM 87401 | Purpose of Disbursement<br>Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br>(Other specify) | Date (month, day, year)<br>10/17/88 | Amount of Each Disbursement This Period<br>100.00          |
| D Full Name, Mailing Address and ZIP Code<br>Christine A. Donsithorpe, Committee<br>Box 746<br>Blumfield, NM 87413       | Purpose of Disbursement<br>Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br>(Other specify) | Date (month, day, year)<br>10/17/88 | Amount of Each Disbursement This Period<br>200.00          |
| E Full Name, Mailing Address and ZIP Code<br>John Pinto, Committee<br>Box 163<br>Tombatchi, NM 87325                     | Purpose of Disbursement<br>Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br>(Other specify) | Date (month, day, year)<br>10/17/88 | Amount of Each Disbursement This Period<br>200.00          |
| F Full Name, Mailing Address and ZIP Code<br>Emilio Narango, Committee<br>Box 1256<br>Española, NM 87532                 | Purpose of Disbursement<br>Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br>(Other specify) | Date (month, day, year)<br>10/17/88 | Amount of Each Disbursement This Period<br>200.00          |
| G Full Name, Mailing Address and ZIP Code<br>John E. Caldwell, Committee<br>Box 312<br>Springer, NM 87747                | Purpose of Disbursement<br>Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br>(Other specify) | Date (month, day, year)<br>10/17/88 | Amount of Each Disbursement This Period<br>250.00          |
| H Full Name, Mailing Address and ZIP Code<br>Linda Page, Committee<br>400 7th Street<br>Las Vegas, NM 87701              | Purpose of Disbursement<br>Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br>(Other specify) | Date (month, day, year)<br>10/17/88 | Amount of Each Disbursement This Period<br>200.00          |
| I Full Name, Mailing Address and ZIP Code<br>David H. Mahan, Committee<br>144 North N<br>Farmington, NM 87413            | Purpose of Disbursement<br>Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br>(Other specify) | Date (month, day, year)<br>10/17/88 | Amount of Each Disbursement This Period<br>200.00          |

SUBTOTAL

2,000.00

TOTAL

## SCHEDULE B

## ITEMIZED DISBURSEMENTS

Use separate schedule  
for each category of the  
Detailed Summary PagePAGE 10  
OF 10  
FOR LINE NUMBER

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions for the purpose of soliciting contributions from such committee.

## NAME OF COMMITTEE (in Full)

United New Mexico Financial Corporation Political Action Committee

| A. Full Name, Mailing Address and ZIP Code                                                                           | Purpose of Disbursement                                                                                                                                   | Date (month, day, year) | Amount of Each Disbursement This Period |
|----------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|-----------------------------------------|
| Robin Bishop<br>1321 Wellesley Drive NE<br>Albuquerque, NM 87106                                                     | Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify) | 10/17/88                | 100.00                                  |
| B. Full Name, Mailing Address and ZIP Code<br>Bill Valentine for U. S. Senate                                        | Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify) | 10/17/88                | 200.00                                  |
| C. Full Name, Mailing Address and ZIP Code<br>Lynda Morgan, Committee<br>House of Representatives<br>c/o Odus Echols | Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify) | 11/1/88                 | 100.00                                  |
| D. Full Name, Mailing Address and ZIP Code<br>Maurice Hopson, Committee<br>Box 1728<br>Alamogordo, NM 88310          | Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify) | 11/3/88                 | 150.00                                  |
| E. Full Name, Mailing Address and ZIP Code<br>Democratic Senate Fund<br>1608 Escalante SW<br>Albuquerque, NM 87104   | Contribution<br>Disbursement for <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify) | 8/9/88                  | 500.00                                  |
| F. Full Name, Mailing Address and ZIP Code                                                                           | Purpose of Disbursement<br>Disbursement for <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other (specify) | Date (month, day, year) | Amount of Each Disbursement This Period |
| G. Full Name, Mailing Address and ZIP Code                                                                           | Purpose of Disbursement<br>Disbursement for <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other (specify) | Date (month, day, year) | Amount of Each Disbursement This Period |
| H. Full Name, Mailing Address and ZIP Code                                                                           | Purpose of Disbursement<br>Disbursement for <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other (specify) | Date (month, day, year) | Amount of Each Disbursement This Period |
| I. Full Name, Mailing Address and ZIP Code                                                                           | Purpose of Disbursement<br>Disbursement for <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other (specify) | Date (month, day, year) | Amount of Each Disbursement This Period |

SUBTOTAL

1,000.00

TOTAL

1,000.00

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

89 AUG -9 AM 10:03

**SENSITIVE**

**FIRST GENERAL COUNSEL'S REPORT**

**RAD REFERRAL:** 89NF-69 thru  
89NF-105

**STAFF MEMBER:** Gregory Baker

**SOURCE:** Internally Generated

**RESPONDENTS:** a.

b.

c.

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300407/1192

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ii. United New Mexico Financial Corporation  
Political Action Committee and Kim I. Dickel,  
as treasurer (89NF-103)

jj.

kk.

RELEVANT STATUTE: 2 U.S.C. § 434(a)(4)(A)(ii)

INTERNAL REPORTS CHECKED: Disclosure Reports and  
Referral Materials

FEDERAL AGENCIES CHECKED: None

I. GENERATION OF MATTER

The Reports Analysis Division ("RAD") referred the above  
(37) committees to the Office of the General Counsel on June 16,  
1989. (Attachment 1). The basis for the attached referral is

33040771194

the committees' failure to file the 12 Day Pre-General Report by October 27, 1988.

II. FACTUAL AND LEGAL ANALYSIS

A. Filing of Reports

5  
9  
1  
1  
7  
7  
4  
0  
0  
2  
3  
The Federal Election Campaign Act of 1971, as amended ("the Act"), provides that for unauthorized committees filing quarterly, such committees shall submit 12 Day Pre-General Reports if the Committees make any contributions to or expenditures on behalf of federal candidates in the general election. 2 U.S.C. § 434(a)(4)(A)(ii). The 12 Day Pre-General Report is due as of the 12th day before the election (October 27, 1988) and should be complete as of the 20th day before the election (October 19, 1988). The Committees were notified on October 3, 1988, that the report was due on October 27, 1988.

The (37) committees fall into three categories;  
(1) committees that filed 12 Day Pre-General Reports in an untimely manner, (2) committees that filed 30 Day Post-General Reports indicating that 12 Day Pre-General Reports should have been filed, and (3) committees that filed Year End Reports indicating that 12 Day Pre-General Reports should have been filed. The following Committees did not file the 1988 12 Day Pre-General Report by October 27, 1988:

9 7 7 4 0 7 7 1 1 9 6

- (2) 30 Day Post-General Reports Indicating that 12 Day  
Pre-General Reports should have been filed.

890407/1197

- (3) Year End Reports Indicating that 12 day Pre-General Reports should have been filed.

United New Mexico Financial Corporation January 18, 1989  
Political Action Committee (89NF-103)

8904071198

Accordingly, the Office of the General Counsel recommends that the Commission open Matters Under Review and find reason to believe that the above committees and their treasurers violated 2 U.S.C. § 434(a)(4)(A)(ii).

**III. DISCUSSION OF CONCILIATION AND CIVIL PENALTY**

This Office also recommends that the Commission offer to enter into conciliation prior to a finding of probable cause to believe with respect to the (37) referred committees. Attached for the Commission's approval are proposed conciliation agreements (Attachment 2). The proposed agreements provide for an admission of the violation and civil penalties computed as follows:

820407/1199

330407/1200

Pages 10-44 refer to other respondents  
and have been deleted from file.

IV. RECOMMENDATIONS

1. Open Matters Under Review with respect to the following committees and their treasurers and find reason to believe that these committees and their treasurers violated 2 U.S.C. § 434(a)(4)(A)(ii).

3 3 0 4 0 7 7 1 2 0 1

39040771202

United New Mexico financial Corporation Political Action  
Committee and Kim I. Dickel, as treasurer (89NF-103)

2. Enter into conciliation with the following committees  
and their treasurers prior to a finding of probable cause to  
believe.

8 9 0 4 0 7 1 2 0 3

33040771204

33040771205

United New Mexico financial Corporation Political Action  
Committee and Kim I. Dickel, as treasurer (89NF-103)

3. Approve the attached letters, Factual and Legal Analyses, and proposed conciliation agreements to be sent to the respective respondents listed in Recommendation 2.

Lawrence M. Noble  
General Counsel

8/7/89  
Date

BY:

  
Lois G. Lerner  
Associate General Counsel

Attachments:

- A. Referral materials
- B. Proposed Conciliation Agreements (37),  
Letters and Factual and Legal Analyses (37)

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[illegible]

(continued)







Federal Election Commission  
Certification for RAD Referrals  
89NF-69 through 89 NF-105  
August 22, 1989

Page 5

CERTIFICATION

I, Marjorie W. Emmons, recording secretary for the  
Federal Election Commission executive session of August 22,  
1989, do hereby certify that the Commission decided by a  
vote of 4-0 to take the following actions with respect to  
RAD Referrals 89NF-69 through 89NF-105:

1. Open Matters Under Review with respect to the  
following committees and their treasurers and  
find reason to believe that these committees  
and their treasurers violated 2 U.S.C.  
§ 434(a)(4)(A)(ii):

(continued)

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Federal Election Commission  
Certification for RAD Referrals  
89NF-69 through 89NF-105  
August 22, 1989

Page 6

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(continued)

Federal Election Commission  
Certification for RAD Referrals  
89NF-69 through 89NF-105  
August 22, 1989

Page 7

890407/1213

(continued)

Federal Election Commission  
Certification for RAD Referrals  
89NF-69 through 89NF-105  
August 22, 1989

Page 8

330407/1214

United New Mexico Financial Corporation  
Political Action Committee and Kim I. Dickel,  
as treasurer (89NF-103)

2. Enter into conciliation with the following committees and their treasurers prior to a finding of probable cause to believe:

(continued)

Federal Election Commission  
Certification for RAD Referrals  
89NF-69 through 89NF-105  
August 22, 1989

Page 9

3304071215

(continued)

Federal Election Commission  
Certification for RAD Referrals  
89NF-69 through 89NF-105  
August 22, 1989

Page 10

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(continued)

Federal Election Commission  
Certification for RAD Referrals  
89NF-69 through 89NF-105  
August 22, 1989

Page 11

89040771217

United New Mexico Financial Corporation  
Political Action Committee and Kim I. Dickel,  
as treasurer (89NF-103)

(continued)

Federal Election Commission  
Certification for RAD Referrals  
89NF-69 through 89NF-105  
August 22, 1989

Page 12

3. Approve the letters, Factual and Legal Analyses, and proposed conciliation agreements to be sent to the respective respondents listed in Action 2 above, as recommended in the General Counsel's report dated August 7, 1989, subject to amendment of two of the agreements as agreed in the meeting of August 22, 1989.

Commissioners Aikens, Elliott, Josefiak, and McDonald voted affirmatively for the decision; Commissioners McGarry and Thomas were not present.

Attest:

8-25-89

Date

Marjorie W. Emmons

Marjorie W. Emmons  
Secretary of the Commission

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FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

September 12, 1989

Kim I. Dickel, Treasurer  
United New Mexico Financial  
Corporation Political Action Committee  
200 Lomas Boulevard, NW  
P.O. Box 1081  
Albuquerque, NM 87102

RE: MUR 2975  
United New Mexico Financial  
Corporation Political Action Committee  
and Kim I. Dickel, as treasurer

Dear Mr. Dickel:

On August 22, 1989, the Federal Election Commission found that there is reason to believe United New Mexico Financial Corporation Political Action Committee ("Committee") and you, as treasurer, violated 2 U.S.C. § 434(a)(4)(A)(ii), 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.

In order to expedite the resolution of this matter, the Commission has also decided to offer 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.

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Kim I. Dickel, Treasurer  
Page 2

If you are interested in expediting the resolution of this matter by pursuing pre-probable cause conciliation and if you agree with the provisions of the enclosed agreement, please sign and return the agreement, 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.

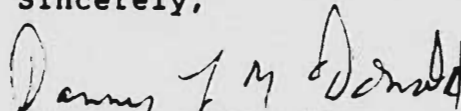
Requests for extensions of time will not be routinely granted. Requests must be made in writing at least five days prior to the due date of the response and specific good cause must be demonstrated. In addition, the Office of the General Counsel ordinarily will not give extensions beyond 20 days.

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 Colleen Miller, the attorney assigned to this matter, at (202) 376-8200.

Sincerely,

  
Danny L. McDonald  
Chairman

Enclosures

- A. Factual and Legal Analysis
- B. Procedures
- C. Designation of Counsel Form
- D. Conciliation Agreement

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BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of )  
 )  
United New Mexico Financial )  
Corporation, and )  
Aciena M. Leal, as treasurer )

MUR 2975

**SENSITIVE**

GENERAL COUNSEL'S REPORT

I. BACKGROUND

Attached is a conciliation agreement which has been signed by Aciena M. Leal, the new treasurer of the committee.

The attached agreement has been changed from the agreement approved by the Commission on August 22, 1989 to include the current treasurer's name where necessary. A check for the civil penalty has been received.

II. RECOMMENDATIONS

1. Accept the attached conciliation agreement with United New Mexico Financial Corporation and Aciena M. Leal, as treasurer.
2. Close the file.
3. Approve the attached letter.

Lawrence M. Noble  
General Counsel

10-11-89  
Date

BY

[Signature]  
Lois G. Lerner  
Associate General Counsel

Attachments

1. Conciliation Agreement
2. Letter to Aciena M. Leal

Staff Assigned: Xavier K. McDonnell

300407/1221

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of )  
United New Mexico Financial ) MUR 2975  
Corporation, and )  
Aciena M. Leal, as treasurer )

CERTIFICATION

I, Marjorie W. Emmons, Secretary of the Federal Election Commission, do hereby certify that on October 18, 1989, the Commission decided by a vote of 5-0 to take the following actions in MUR 2975:

1. Accept the conciliation agreement with United New Mexico Financial Corporation and Aciena M. Leal, as treasurer, as recommended in the General Counsel's report dated October 11, 1989.
2. Close the file.
3. Approve the letter attached to the General Counsel's report dated October 11, 1989.

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

Attest:

*Marjorie W. Emmons*

Marjorie W. Emmons  
Secretary of the Commission

Date: 10/18/89

Received in the Secretariat October 11, 1989 at 4:21 p.m.  
Circulated to the Commission October 12, 1989 at 11:00 a.m.  
Deadline for vote: October 18, 1989 at 11:00 a.m.



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

October 23, 1989

Aciena M. Leal, Treasurer  
United New Mexico Financial  
Corporation Political Action Committee  
P. O. Box 1081  
Albuquerque, NM 87103

RE: MUR 2975  
United New Mexico Financial Corp.  
Political Action Committee  
Aciena M. Leal, Treasurer

Dear Ms. Leal:

On October 18, 1989, the Federal Election Commission accepted the signed conciliation agreement submitted by you in settlement of a violation of 2 U.S.C. § 434(a)(4)(A)(ii), 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 after it has been closed. If you wish to submit any factual and 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 devised 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 Xavier McDonnell, the staff person assigned to this matter, at (202) 376-8200.

Sincerely,

Lawrence M. Noble  
General Counsel

BY: Lois G. Lerner *by LGL*  
Associate General Counsel

Enclosure  
Conciliation Agreement

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OGC 4121

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BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of )  
 )  
United New Mexico Financial ) MUR 2975  
Corporation Political Action )  
Committee and Kim I. Dickel, )  
as treasurer )

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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 the United New Mexico Financial Corporation Political Action Committee and Kim I. Dickel, as treasurer, ("Respondents") violated 2 U.S.C. § 434(a)(4)(A)(ii).

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 a reasonable opportunity to demonstrate that no action should be taken in his matter.

III. Respondents enter voluntarily into this agreement with the Commission.

IV. The pertinent facts in this matter are as follows:

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1. United New Mexico Financial Corporation Political Action Committee is a political committee within the meaning of 2 U.S.C. § 431(4).

2. Kim I. Dickel is the treasurer of United New Mexico Financial Corporation Political Action Committee.

3. Section 434(a)(4)(A)(ii) of Title 2 provides that unauthorized committees filing quarterly shall file 12 Day Pre-General Reports if the committee makes any contributions to or expenditures on behalf of federal candidates in the general election. The pre-election reports are to be filed no later than the 12th day before the election and should be complete as of the 20th day before the election.

4. Respondents were required to file the 1988 12 Day Pre-General Report no later than October 27, 1988. Respondents did not file the 12 Day Pre-General Report until January 18, 1989, 83 days late, disclosing \$1,848.01 in receipts and \$4,318.50 in disbursements for the relevant reporting period.

V. Respondents failed to file the 1988 12 Day Pre-General Report in a timely fashion in violation of 2 U.S.C. § 434(a)(4)(A)(ii).

VI. Respondents will pay a civil penalty to the Federal Election Commission in the amount of Five Hundred Dollars (\$500.00), 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

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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 the 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 oral, made by either party or by agents of either party, that is not contained in this written agreement shall be enforceable.

FOR THE COMMISSION:

Lawrence M. Noble  
General Counsel

BY:

Lois G. Lerner  
Lois G. Lerner  
Associate General Counsel

October 20, 1989  
Date

FOR THE RESPONDENTS:

Aciena M. Leal  
(Name) Aciena M. Leal  
(Position) Treasurer

September 21, 1989  
Date

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FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

THIS IS THE END OF MUR # 2975

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