



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

THIS IS THE BEGINNING OF MUR # 4496

DATE FILMED 12-29-57 CAMERA NO. 2

CAMERAMAN JMB

97043852399



DEMOCRATIC
PARTY OF
GEORGIA

ZELL MILLER
Governor

JOHN A. BLACKMON
Chairman

STEVE ANTHONY
Executive Director

October 2, 1996

Lawrence M. Noble, Esq.
Office of the General Counsel
Federal Election Commission
Sixth Floor
999 E Street, N.W.
Washington, D.C. 20463

MUR 4496

RECEIVED
FEDERAL ELECTION
COMMISSION
OFFICE OF GENERAL
COUNSEL
OCT 7 3:30 PM '96

Re: Complaint Against Charles W. Norwood, et al.

Dear Mr. Noble:

The undersigned files this complaint charging violations of the Federal Election Campaign Act of 1971, as amended ("FECA"), 2 U.S.C. § § 431 et seq., and related regulations of the Federal Election Commission ("FEC" or the "Commission"), 11 C.F.R. § § 100.1 et seq., by Congressman Charles W. Norwood, and Norwood for Congress, his principal campaign committee.

In sum, Congressman Norwood and Norwood for Congress have apparently violated the FECA and FEC regulations by submitting improper reports to the FEC. In light of the information discussed below, the undersigned asks the Commission to review the enclosed documents, conduct a thorough and independent investigation of the facts, and to pursue any and all violations of the FECA and Commission regulations.

It seems that reports filed by Norwood for Congress have been submitted repeatedly to the FEC without the legal signature of the campaign treasurer, J. Richard Dunstan. Dunstan's name first appears as the signatory on the Statement of Organization filed October 12, 1993. He continues to be listed as the campaign treasurer on FEC Reports and no documentation changing Dunstan's designation as such has been filed. Nonetheless, Dunstan's name was apparently signed by different persons on later reports of Receipts and Disbursements. Subsequent reports bear a variety of styles of signatures



FEDERAL ELECTION COMMISSION
Washington, DC 20463

October 10, 1996

Steve C. Anthony, Executive Director
1100 Spring Street, Suite 710
Atlanta, GA 30309

RE: MUR 4496

Dear Mr. Anthony:

This letter acknowledges receipt on October 7, 1996, of the complaint you filed alleging possible violations of the Federal Election Campaign Act of 1971, as amended ("the Act"). The respondent(s) will be notified of this complaint within five days.

You will be notified as soon as the Federal Election Commission takes final action on your complaint. Should you receive any additional information in this matter, please forward it to the Office of the General Counsel. Such information must be sworn to in the same manner as the original complaint. We have numbered this matter MUR 4496. Please refer to this number in all future communications. For your information, we have attached a brief description of the Commission's procedures for handling complaints.

Sincerely,

A handwritten signature in dark ink, appearing to read "Colleen T. Sealander", written over a circular stamp.

Colleen T. Sealander, Attorney
Central Enforcement Docket

Enclosure
Procedures

97043852401



FEDERAL ELECTION COMMISSION

Washington, DC 20463

October 10, 1996

Richard J. Dunstan, Treasurer
Norwood for Congress
PO Box 499
Evans, GA 30809

RE: MUR 4496

Dear Mr. Dunstan:

The Federal Election Commission received a complaint which indicates that Norwood for Congress ("Committee") and you, as treasurer, may have violated the Federal Election Campaign Act of 1971, as amended ("the Act"). A copy of the complaint is enclosed. We have numbered this matter MUR 4496. Please refer to this number in all future correspondence.

Under the Act, you have the opportunity to demonstrate in writing that no action should be taken against the Committee and you, as treasurer, in this matter. Please submit any factual or legal materials which you believe are relevant to the Commission's analysis of this matter. Where appropriate, statements should be submitted under oath. Your response, which should be addressed to the General Counsel's Office, must be submitted within 15 days of receipt of this letter. If no response is received within 15 days, the Commission may take further action based on the available information.

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 matter to be made public. 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.

97043852402

If you have any questions, please contact Alva E. Smith at (202) 219-3400. For your information, we have enclosed a brief description of the Commission's procedures for handling complaints.

Sincerely,



Colleen T. Sealander, Attorney
Central Enforcement Docket

Enclosures

1. Complaint
2. Procedures
3. Designation of Counsel Statement

27043852403



FEDERAL ELECTION COMMISSION

Washington, DC 20463

October 10, 1996

The Honorable Charles W. Norwood, Jr.
PO Box 499
Evans, GA 30809

RE: MUR 4496

Dear Representative Norwood:

The Federal Election Commission received a complaint which indicates that you may have violated the Federal Election Campaign Act of 1971, as amended ("the Act"). A copy of the complaint is enclosed. We have numbered this matter MUR 4496. Please refer to this number in all future correspondence.

Under the Act, you have the opportunity to demonstrate in writing that no action should be taken against you in this matter. Please submit any factual or legal materials which you believe are relevant to the Commission's analysis of this matter. Where appropriate, statements should be submitted under oath. Your response, which should be addressed to the General Counsel's Office, must be submitted within 15 days of receipt of this letter. If no response is received within 15 days, the Commission may take further action based on the available information.

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 matter to be made public. 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.

97043852404

If you have any questions, please contact Alva E. Smith at (202) 219-3400. For your information, we have enclosed a brief description of the Commission's procedures for handling complaints.

Sincerely,



Colleen T. Sealander, Attorney
Central Enforcement Docket

Enclosures

1. Complaint
2. Procedures
3. Designation of Counsel Statement

97043852405



DEMOCRATIC
PARTY OF
GEORGIA

RECEIVED
FEDERAL ELECTION
COMMISSION
OFFICE OF GENERAL
COUNSEL

DEC 9 10 47 AM '96

ZELL MILLER
Governor

JOHN A. BLACKMON
Chairman

STEVE ANTHONY
Executive Director

December 3, 1996

Lawrence M. Noble, Esq.
Office of the General Counsel
Federal Election Commission
Sixth Floor
999 E Street, N.W.
Washington, D.C. 20463

Re: MUR 4496

Dear Mr. Noble:

To aid your investigation into potential FECA violations by Congressman Charles Norwood and the Norwood for Congress Committee, enclosed is a page from Mr. Norwood's most recent FEC report.

On this report you will notice the signature of the treasurer, J. Richard Dunstan, is similar to the original treasurer signature from 10/12/94. But, it is quite different than the signature from Mr. Norwood's 6/29/96 report. You will realize this original signature re-appeared on the first report following the filing of our complaint.

I hope this additional information can be of assistance to you in your continued investigation. If my office can be of any additional assistance, please do not hesitate to contact us. I look forward to learning the results of your investigation.

Sincerely,

Steve Anthony

REPORT OF RECEIPTS AND DISBURSEMENTS

For An Authorized Committee
(Summary Page)

1. NAME OF COMMITTEE (in full)

Norwood for Congress

ADDRESS (number and street)

P.O. Box 499

☐

Check if different than previously reported.

2. FEC IDENTIFICATION NUMBER

C00287367 ELECTIONS DIVISION

CITY, STATE and ZIP CODE

Evans, GA 30809

STATE/DISTRICT

3. IS THIS REPORT AN AMENDMENT

☐ YES

☒ NO

4. TYPE OF REPORT

☐ 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)

☐ 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 _____

☐ Termination Report

This report contains activity for

☐

Primary Election

☒

General Election

☐

Special Election

☐

Runoff Election

SUMMARY

5. Covering Period	COLUMN A This Period	COLUMN B Calendar Year-to-date
07/01/96 through 09/30/96		
6. Net Contributions (other than loans)		
(a) Total Contributions (other than loans) (from Line 11(a))	\$374320.53	\$730748.06
(b) Total Contribution Refunds (From Line 20(d))	\$0.00	\$1800.00
(c) Net Contributions (other than loans) (subtract Line 6(b) from 6(a))	\$374320.53	\$728948.06
7. Net Operating Expenditures		
(a) Total Operating Expenditures (from Line 17)	\$426733.87	\$616209.75
(b) Total Offsets to Operating Expenditures (from Line 14)	\$103.80	\$3763.80
(c) Net Operating Expenditures (Subtract Line 7(b) from 7(a))	\$426630.07	\$611445.95
8. Cash on Hand at Close of Reporting Period (from Line 27)	\$357404.47	
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	

For further information:
Federal Election Commission
999 E Street, NW
Washington, DC 20463
Toll Free 800-424-6538
Local 202-219-3420

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

Richard Dunstan

Signature of Treasurer

Richard Dunstan

Date

9/14/96

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to penalties of 2 U.S.C. § 437g.

FEC FORM 3
(Revised 4/87)

97043852407



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

December 11, 1996

Steve C. Anthony, Executive Director
1100 Spring Street, Suite 710
Atlanta, GA 30309

RE: MUR 4496

Dear Mr. Anthony:

This letter acknowledges receipt on December 9, 1996, of the supplement to the complaint you filed on October 7, 1996. The respondent(s) will be sent a copy of the supplement. You will be notified as soon as the Federal Election Commission takes final action on your complaint.

Sincerely,

A handwritten signature in dark ink, appearing to read "F. Andrew Turley", is written over the typed name.

F. Andrew Turley
Supervisory Attorney
Central Enforcement Docket

97043852408



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

December 11, 1996

**Richard J. Dunstan, Treasurer
Norwood for Congress
PO Box 499
Evans, GA 30809**

RE: MUR 4496

Dear Mr. Dunstan:

On October 10, 1996, you were notified that the Federal Election Commission received a complaint from Steve Anthony alleging violations of certain sections of the Federal Election Campaign Act of 1971, as amended. At that time you were given a copy of the complaint and informed that a response to the complaint should be submitted within 15 days of receipt of the notification.

On December 9, 1996, the Commission received additional information from the complainant pertaining to the allegations in the complaint. Enclosed is a copy of this additional information.

If you have any questions, please contact Alva F. Smith at (202) 219-3400.

Sincerely,

A handwritten signature in dark ink, appearing to read "F. Andrew Turley", is written over a circular embossed seal. The signature is fluid and cursive.

**F. Andrew Turley
Supervisory Attorney
Central Enforcement Docket**

Enclosure

97043852409



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

December 11, 1996

The Honorable Charles W. Norwood, Jr.
PO Box 499
Evans, GA 30809

RE: MUR 4496

Dear Mr. Norwood:

On October 10, 1996, you were notified that the Federal Election Commission received a complaint from Steve Anthony alleging violations of certain sections of the Federal Election Campaign Act of 1971, as amended. At that time you were given a copy of the complaint and informed that a response to the complaint should be submitted within 15 days of receipt of the notification.

On December 9, 1996, the Commission received additional information from the complainant pertaining to the allegations in the complaint. Enclosed is a copy of this additional information.

If you have any questions, please contact Alva E. Smith at (202) 219-3400.

Sincerely,

A handwritten signature in dark ink, appearing to read "F. Andrew Turley", written over a circular stamp.

F. Andrew Turley
Supervisory Attorney
Central Enforcement Docket

Enclosure

97043852410



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

January 16, 1997

Richard J. Dunstan, Treasurer
Norwood for Congress
PO Box 499
Evans, GA 30809

RE: MUR 4496

Dear Mr. Dunstan:

Pursuant to my January 15, 1997, telephone conversation with John Walker, Congressman Norwood's Chief of Staff, I am re-sending the enclosed because he informed me that you did not receive it. Please note that your response is due 15 days of receipt of the enclosed letter.

If you have any questions, please contact me at (202) 219-3400.

Sincerely,

A handwritten signature in cursive script, appearing to read "Alva E. Smith".

Alva E. Smith, Paralegal
Central Enforcement Docket

97043852411



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

January 16, 1997

The Honorable Charles W. Norwood, Jr.
United States House of Representatives
1707 Longworth House Office Building
Washington, D.C. 20515

RE: MUR 4496

Dear Mr. Norwood:

Pursuant to my January 15, 1997, telephone conversation with John Walker, your Chief of Staff, I am re-sending the enclosed because he informed me that you did not receive it. Please note that your response is due 15 days of receipt of the enclosed letter.

If you have any questions, please contact me at (202) 219-3400.

Sincerely,

A handwritten signature in dark ink, appearing to read "Alva E. Smith".

Alva E. Smith, Paralegal
Central Enforcement Docket

97043852412

Norwood

U.S. CONGRESS

January 29, 1997

Federal Election Commission
Attn: Alva Smith
999 E Street, NW
Washington, DC 20463

RECEIVED
FEDERAL ELECTION
COMMISSION
OFFICE OF GENERAL
COUNSEL
FEB 3 1 58 PM '97

Dear Ms. Smith:

This letter is in response to your original letter dated October 10, 1996, regarding a complaint filed against Norwood for Congress. The case number is MUR 4496.

The complaint filed by our opponents is that the former treasurer of Norwood for Congress did not personally sign reports submitted to the Federal Election Commission (FEC). Norwood for Congress does not dispute this. The committee was using what we understand to be a standard business practice in having others sign the reports for the treasurer when the original could not be obtained. Richard Dunstan, the former treasurer, has resigned as treasurer of Norwood for Congress citing concerns over time.

If this practice raises concerns for the FEC, Norwood for Congress would be pleased to correct any problems. I will be happy to sign amended reports. Norwood for Congress has submitted all reports and amendments required and requested by the FEC, and will continue to do so. Any complaint over who signed the reports loses sight of the fact that there was no intent to withhold financial information. In fact, the intent was only to make sure the information was provided.

I look forward to receiving your response.

Sincerely,



Abram Serotta
Treasurer

97043852413

Norwood

U.S. CONGRESS

January 29, 1997

FEB 3 1 50 PM '97

RECEIVED
FEDERAL ELECTION
COMMISSION
OFFICE OF GENERAL
COUNSEL

Federal Election Commission
Attn: Alva E. Smith
999 E Street, NW
Washington, DC 20463

Dear Ms. Smith:

This is an additional response to your letter of November 5, 1996, regarding MUR 4552.

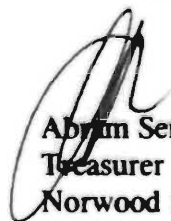
Enclosed you will find statements from individuals who were closely associated with the 1994 Norwood for Congress campaign. They all had first hand knowledge of Ms. Peebles role with Charlie Norwood and later with the campaign.

The statements are from:

- Gabriel Sterling, 1994 Campaign Manager
- Lori Drawdy, an assistant in the dental office located beneath the campaign office and Charlie Norwood's assistant handling personal affairs prior to Edith Peebles
- James Beatty, Office Manager during the time when Edith Peebles functioned as Charlie Norwood's personal assistant for non-campaign matters
- William M. Shaffer, 1994 Norwood for Congress staff member
- James Hussey, 1994 Norwood for Congress volunteer
- Nellie Torres, 1994 Norwood for Congress volunteer

I hope this additional information helps clear up this matter

Sincerely,



Abram Serotta
Treasurer
Norwood for Congress

P.O. Box 499 • Evans, Georgia 30809 • (706) 738-8400 • FAX (706) 738-0575

Paid for by Norwood for Congress, Richard Dunstan, Treasurer

Printed on recycled paper

97043852414

R. Gabriel Sterling

January 9, 1997

FEB 3 1 59 PM '97

RECEIVED
FEDERAL ELECTION
COMMISSION
OFFICE OF GENERAL
COUNSEL

To Whom It May Concern:

During the election of 1994 I served as the Campaign Manager for Charlie Norwood. The following is my best recollection of the events surrounding Edith Peebles eventual involvement in the campaign.

Starting in February, I believe, Dr. Norwood began asking that he have a personal assistant to handle his direct requests and to manage his personal affairs. I told him that we did not have the personnel for such a purpose.

In March or April, Edith Peebles began functioning as his assistant. This was separate from the campaign. She kept up with his bills, properties, etc. She worked as his personal assistant until a reorganization in August following our primary victory. Jim Beatty, who had acted as our office manager, was moved over to be Dr. Norwood's driver and scheduler. Ms. Peebles was brought on to the campaign to be our office manger and help track our expenditures and other such items. The campaign started paying her in August because prior to that she was not involved in campaign activities, except during her own time.

Ms. Peebles worked with us through the remainder of the campaign. I believe that she even continued to work for Norwood for Congress for some time into Dr. Norwood's first term.

This is my best recollection of these events.

Sincerely,


R. Gabriel Sterling



Notary Public

Notary Public, Cobb County, Georgia
My Commission Expires April 14, 2000

1-9-97

Date

97043852415

Lori E. Drawdy
2047 Starnes Street
Augusta, Georgia 30904

RECEIVED
FEDERAL ELECTION
COMMISSION
OFFICE OF GENERAL
COUNSEL
FEB 3 1 59 PM '97

December 30, 1996

To Whom It May Concern:

I was employed by Charlie Norwood from May, 1991 until February, 1994, as a dental/personal assistant.

My job description was to assist in the dental office as needed or assist Charlie with his personal errands and business. When the primary election campaign began, my job description remained the same until Charlie left his dental practice. At that time, I no longer helped in the dental office and primarily assisted him with his personal concerns.

After I left his employ in February, 1994, I continued to help on a voluntary basis for a few months, with his personal business and the campaign, until a suitable personal assistant could be found.

Sincerely,

Lori E. Drawdy

Lori E. Drawdy

97043852416
Maxine M. Walker
Notary Public, Richmond County, Georgia
My Commission Expires Sept. 7, 1997



Kenneth H. Wells & Associates, Inc.
Structured Settlement Specialists

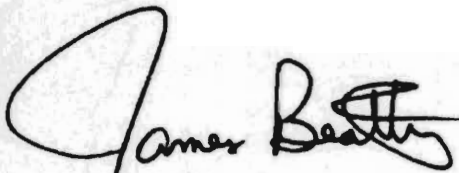
(770) 729-1137
(800) 887-2888

I served as Office/Business Manager for the Norwood Campaign during the primary and primary run-off. During the primary campaign Edith Pebbles arrived on the scene. She explained that she had just moved back to Augusta and was "in between" jobs. I later learned she was a longtime patient of Dr. Norwood.

As the schedule of the campaign became more hectic, Dr. Norwood needed someone to look over his personal business. Edith had made some inquiries about helping out and Dr. Norwood felt he could trust her to handle his work. He decided to bring Edith in to handle strictly his personal business. It was made very clear that she was not to be involved with the campaign. Edith helped reinforce this by pointing out her duties to anyone who inquired.

As part of my duties, I was responsible for cash disbursements, including the weekly payroll, and overseeing daily deposits to the bank. I do not recall ever writing a check to Edith for any reason. I certainly did not write her a payroll check during the primary or primary run off.

To the best of my recollection, I never saw her involved in campaign issues during the primary or primary run-off.


James Beatty



DEKALB
Co. GA
Notary Public, DeKalb County, Georgia
My Commission Expires Feb. 1, 1997

RECEIVED
FEDERAL ELECTION
COMMISSION
OFFICE OF GENERAL
COUNSEL

FEB 3 1 59 PM '97

6315 Amherst Court, #200 • Norcross, Georgia 30092-2011 • FAX (770) 729-1126
Internet address: <http://www.structures.com>

• Albuquerque • Atlanta • Boston • Charlotte • Chicago • Dallas • Denver • Detroit • Ft. Meyers • Greenwich • Honolulu • Houston •
• Los Angeles • New York • Norcross • Sacramento • San Francisco • Seattle • St. Louis • Washington, D.C. •

97043852417

**WILLIAM M. SHAFFER
3101 LAKEWOOD AVE.
COLUMBIA, S.C. 29801**

To: Federal Election Commission

From: Michael Shaffer

Re: Edith Peebles

Date: Dec. 2, 1996

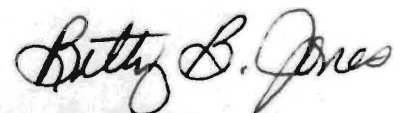
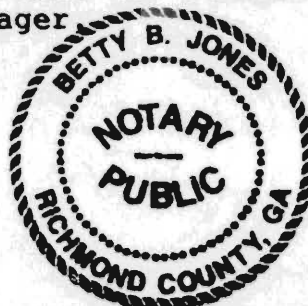
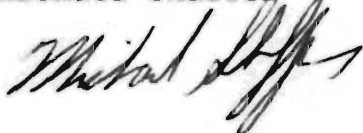
FEB 3 1 59 PM '97

RECEIVED
FEDERAL ELECTION
COMMISSION
OFFICE OF GENERAL
COUNSEL

I started working for Dr. Charlie Norwood in November of 1993. My job was to act as an Aide-de-Camp to Dr. Norwood during the primary and run-off elections. During this same time, Jim Beatty acted as the Office Manager. Mr. Beatty's job was to make sure the office ran smoothly and handle the payroll. After the run-off election Dr. Norwood became the Republican nominee and the campaign experienced a need to add extra staff members. At this time I shifted to the role of District Coordinator and given the responsibility of organizing the counties within the district. Jim Beatty switched jobs and took on my old job as Aide-de-Camp to Dr. Norwood. It was at this time, after the run-off election that Ms. Peebles joined the campaign staff. Ms. Peebles was given the job task that Jim Beatty had been handling.

After several months of campaigning for the primary election Dr. Norwood began complaining of not having enough time to take care of his personal business. He said he knew of someone that he thought could handle this task. This person was Edith Peebles. It was during the mid part of the primary campaign that Ms. Peebles was seen in the campaign office working with Dr. Norwood to take care of his personal financial matters. This job task was one which Ms. Peebles constantly bragged about to other members of the campaign staff. Ms. Peebles was constantly reminding campaign staff members that she was "Charlie's" personal assistant and not a staff member. As mentioned in the above paragraph her status changed after the run-off election when there was going to be a need for additional staff during the General campaign. At this time Ms. Peebles gladly accepted the job of Campaign Office Manager.

Michael Shaffer



Notary Public, Richmond County, Georgia
My Commission Expires Jan. 18, 2000

97043852418

January 6, 1997

STATEMENT

I was asked by Dr. Norwood in February, 1994, to join his campaign for congress as the Co-chairman of the Veterans Norwood Group. I formally began working on the campaign staff as a non-paid volunteer on April 1st, 1994, a day after my official retirement from the US Army. To the best of my knowledge, Ms Edie Peebles, was Dr. Norwood's personal secretary who handled his personal affairs. She even bragged about this and was very protective of him when I tried to see or talk to Dr. Norwood. I remained on the campaign staff as a volunteer until Dr. Norwood was elected as the Congressman for the 10th Congressional District in November 1994.

James K. Hussey, Jr.
Co-Chairman, Vets for Norwood
1994 Congressional Campaign



Betty B. Jones

Notary Public, Richmond County, Georgia
My Commission Expires Jan. 18, 2000

FEB 3 1 58 PM '97

FEDERAL ELECTION
COMMISSION
OFFICE OF GENERAL
COUNSEL

97043852419

January 6, 1996

Statement

I was a volunteer for the Norwood Congress organization during the 1994 Runoff Election. During the runoff period, as a volunteer, I came in for short periods of time to input information and to assist with mailings. At that time, Ms. Edith Peebles was introduced to me, as Charlie's personal assistant.

After the runoff, I was asked if I would like to work full time as a paid campaign worker, and I accepted. At that time, I worked under the direction of Ms. Edie Peebles when she took over the employee payroll, accounting books for the campaign and administrative functions of the office.

She has always acted as the "gatekeeper" for Charlie. Anyone or anything for him had to come through her first. She would never allow anyone to enter his office without her permission and was very difficult to deal with if you did not get her permission. The campaign letters that Charlie Norwood dictated were always given to me to type and she would approve them. She always took control of all his personal business and letters.

Nellie Torres

Nellie Torres
2352 Forster Street
Augusta, Georgia 30904
(706) 738-3685



Betty B. Jones

Notary Public, Richmond County, Georgia
My Commission Expires Jan. 18, 2000

RECEIVED
FEDERAL ELECTION
COMMISSION
OFFICE OF GENERAL
COUNSEL
FEB 3 1 59 PM '97

97042852420

Norwood

U.S. CONGRESS

RECEIVED
FEDERAL ELECTION
COMMISSION
OFFICE OF GENERAL
COUNSEL

SEP 8 2 09 PM '97

August 25, 1997

Federal Election Commission
Attn: Alva E. Smith
999 E Street, NW
Washington, DC 20463

Dear Ms. Smith:

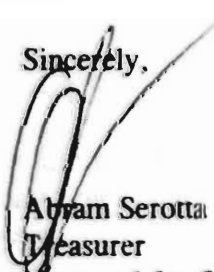
This is an additional response to your letter of October 5, 1996, regarding MUR 4496. A complaint was filed against Norwood for Congress because the Treasurer did not personally sign financial reports submitted to the FEC.

In our response, Norwood for Congress did not dispute this as the committee was using what it understood to be a standard business practice in having others sign the reports for the treasurer when the treasurer was unavailable to provide the original. This was done in an effort to provide the FEC with all required financial information in a timely manner.

I am writing now to let you know that in addition to my having more time to devote to Norwood for Congress than the previous treasurer, the committee has also appointed an assistant treasurer. These changes have eliminated the problem of an authorized signer being available to sign reports. Indeed, since I became the treasurer for Norwood for Congress in late 1996, all reports submitted to the FEC have been signed either by myself or the assistant treasurer. (The previous treasurer resigned because he was "unable to devote any significant time to (the) campaign organization.")

It will always be the Norwood for Congress committee's intent to provide the FEC with complete and accurate financial information. If you should need any further information on this case, please let me know.

Sincerely,


Abram Serotta
Treasurer
Norwood for Congress

P.O. Box 499 • Evans, Georgia 30809 • (706) 738-8400 • FAX (706) 738-0575

Paid for by Norwood for Congress, Abram Serotta, Treasurer

♻️ Printed on recycled paper

97043852421

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of

)
)
)
)

ENFORCEMENT PRIORITY

SENSITIVE

GENERAL COUNSEL'S REPORT

I. INTRODUCTION.

The cases listed below have been identified as either stale or of low priority based upon evaluation under the Enforcement Priority System (EPS). This report is submitted to recommend that the Commission no longer pursue these cases.

This is the first Enforcement Priority Report that reflects the impact of the 1996 election cycle cases on the Commission's enforcement workload. We have identified cases that are stale which are recommended for dismissal at this time. This is the highest number of cases identified as stale in a single report, and the highest number of stale cases recommended for closure at one time, since the inception of EPS in 1993.

97043852422

II. CASES RECOMMENDED FOR CLOSURE.

A. Cases Not Warranting Further Action Relative to Other Cases Pending Before the Commission

EPS was created to identify pending cases which, due to the lower priority of the issues raised in the matters relative to others presently pending before the Commission, do not warrant further expenditure of resources. Central Enforcement Docket (CED) evaluates each incoming matter using Commission-approved criteria, resulting in a numerical rating for each case.

Closing such cases permits the Commission to focus its limited resources on more important cases presently pending before it. Based upon this review, we have identified cases that do not warrant further action relative to other pending matters.³ Attachment I to this report contains summaries of each case, the EPS rating, and the factors leading to assignment of a low priority and recommendation not to further pursue the matter.

B. Stale Cases

Effective enforcement relies upon the timely pursuit of complaints and referrals to ensure compliance with the law. Investigations concerning activity more remote in time usually require a greater commitment of resources, primarily due to the fact that the evidence of such activity becomes more difficult to develop as it ages. Focusing investigative efforts on more recent and more significant activity also has a more positive effect on the electoral process and the regulated community. In recognition of this fact, EPS provides us with the

³ These cases are:

RAD 97L-10 (*Citizens for Randy Borow*); RAD 97L-16 (*Republican State Central Committee of South Dakota*); Pre-MUR 347 (*Producers Lloyds Insurance Company*); Pre-MUR 348 (*Peoples National Bank of Commerce*); Pre-MUR 349 (*Trump Plaza*); Pre-MUR 350 (*Citibank, N.A.*); Pre-MUR 355 (*Feingold Senate Committee*); MUR 4494 (*Georgianna Lincoln*); MUR 4586 (*Friends of Zach Wamp*); MUR 4590 (*Oklahoma Education Association*); MUR 4600 (*San Diego Police Officers Assoc.*); MUR 4612 (*Teresa Doggett for Congress*); MUR 4615 (*Catholic Democrats for Christian Values*); MUR 4616 (*American Legislative Exchange Council*); MUR 4620 (*Eastern Connecticut Chamber of Commerce*); MUR 4622 (*Telles for Mayor*); MUR 4628 (*Gutknecht for Congress*); MUR 4629 (*Janice Schakowsky*); MUR 4636 (*IBEW Local 505*); MUR 4637 (*Dellman for Congress*); MUR 4639 (*Larson for Congress*); MUR 4641 (*Becker for Congress*); MUR 4644 (*Detroit City Council*); MUR 4651 (*Mike Ryan*); MUR 4653 (*Pritzker for Congress*); MUR 4656 (*H. Carroll for Congress*); and MUR 4657 (*Buchanan for President*).

means to identify those cases which, though earning a higher rating when received, remained unassigned for a significant period due to a lack of staff resources for effective investigation. The utility of commencing an investigation declines as these cases age, until they reach a point when activation of a case would not be an efficient use of the Commission's resources.

We have identified cases that have remained on the Central Enforcement Docket for a sufficient period of time to render them stale. We are recommending the closure of cases based on staleness.⁶

* These cases are: MUR 4283 (*Chenoweth for Congress*); MUR 4341 (*Juan Soliz for Congress*); MUR 4402 (*U.S. Representative Helen Chenoweth*); MUR 4435 (*Lincoln for Congress*); MUR 4439 (*UAW*); MUR 4442 (*Lipinski for Congress*); MUR 4444 (*Roberts for Congress*); MUR 4445 (*Randy Tate for Congress*); MUR 4446 (*Clinton/Gore '96 Primary*); MUR 4447 (*Random House, Inc.*); MUR 4449 (*Clinton Administration*); MUR 4453 (*Mike Ward for Congress*); MUR 4454 (*Ralph Nader*); MUR 4459 (*Clinton/Gore '96*); MUR 4474 (*Salti for Senate*); MUR 4477 (*BBDO-New York*); MUR 4481 (*Diamond Bar Caucus*); MUR 4485 (*Perot '92 Petition Committee*); MUR 4486 (*Bunda for Congress*); MUR 4495 (*Pennsylvania PACE for Federal Elections*); MUR 4496 (*Norwood for Congress*); MUR 4497 (*Pease for Congress*); MUR 4510 (*Stabenow for Congress*); MUR 4511 (*Bob Coffin for Congress*); MUR 4514 (*Friends for Franks*); MUR 4515 (*Clinton Investigative Commission*); MUR 4521 (*WMAI 536 AM*); MUR 4525 (*Senator Larry Pressler*); MUR 4527 (*Brennan for Senate*); MUR 4536 (*Signature Properties, Inc.*); MUR 4540 (*Tim Johnson for S.D.*); MUR 4542 (*Dan Frisa for Congress*); MUR 4552 (*Charles W. Norwood*); MUR 4554 (*John Byron for Congress*); MUR 4556 (*Jim Viggins for Congress*); MUR 4561 (*Jay Hoffman for Congress*); MUR 4564 (*National Republican Congressional Committee*); MUR 4567 (*DNC Services Corp.*); MUR 4569 (*McGovern Committee*); RAD 96L-11 (*New York Republican County Committee*); Pre-MUR 343 (*NRSC*); and Pre-MUR 312 (*Joseph Demio*). The Demio case involves fundraising related to former Congresswoman Mary Rose Oaker's 1992 congressional campaign. It was held as a courtesy to the Department of Justice pending resolution of a parallel criminal matter in the District Court for the District of Columbia. Mr. Demio recently entered into a plea agreement with the Department of Justice (on which we were not consulted) in which he agreed, among other things, to waive the statute of limitations regarding civil violations of the FECA. Considering the age of the case and activity, the fact that DOJ has not formally referred this matter to us, and the Commission's continuing resource constraints, dismissal is the appropriate disposition of this matter.

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We recommend that the Commission exercise its prosecutorial discretion and direct closure of the cases listed below, effective November 17, 1997. Closing these cases as of this date will permit CED and the Legal Review Team the necessary time to prepare closing letters and case files for the public record.

III. RECOMMENDATIONS.

A. Decline to open a MUR, close the file effective November 17, 1997, and approve the appropriate letters in the following matters:

RAD 96L-11

Pre-MUR 312

Pre-MUR 349

Pre-MUR 343

Pre-MUR 350

RAD 97L-10

Pre-MUR 347

Pre-MUR 355

RAD 97L-16

Pre-MUR 348

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B. Take no action, close the file effective November 17, 1997, and approve the appropriate letters in the following matters:

MUR 4283
MUR 4341
MUR 4402
MUR 4435
MUR 4439
MUR 4442
MUR 4444
MUR 4445
MUR 4446
MUR 4447
MUR 4449
MUR 4453
MUR 4454
MUR 4459
MUR 4474
MUR 4477
MUR 4481
MUR 4485
MUR 4486

MUR 4494

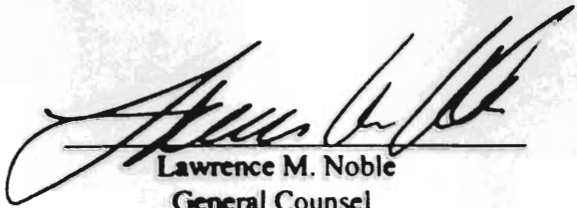
MUR 4495
MUR 4496
MUR 4497
MUR 4510
MUR 4511
MUR 4514
MUR 4515

MUR 4521
MUR 4525
MUR 4527
MUR 4536
MUR 4540
MUR 4542
MUR 4552
MUR 4554
MUR 4556
MUR 4561

MUR 4564
MUR 4567

MUR 4569
MUR 4586
MUR 4590
MUR 4600
MUR 4612
MUR 4615
MUR 4616
MUR 4620
MUR 4622
MUR 4628
MUR 4629
MUR 4636
MUR 4637
MUR 4639
MUR 4641
MUR 4644
MUR 4651
MUR 4653
MUR 4656
MUR 4657

11/7/97
Date


Lawrence M. Noble
General Counsel

Attachment
Tier 3 Case Summaries

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CERTIFICATION

1. Decided by a vote of 5-0 to

1.	RAD 96L-11	7.	Pre-MUR 347
		8.	Pre-MUR 348
3.	RAD 97L-10	9.	Pre-MUR 349
4.	RAD 97L-16	10.	Pre-MUR 350
5.	Pre-MUR 312	11.	Pre-MUR 355
6.	Pre-MUR 343		

1.	MUR	4283	6.	MUR	4442
2.	MUR	4341	7.	MUR	4444
3.	MUR	4402	8.	MUR	4445
4.	MUR	4435	9.	MUR	4446
5.	MUR	4439	10.	MUR	4447

(continued)

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11.	MUR	4449	36.	MUR	4556
12.	MUR	4453	37.	MUR	4561
13.	MUR	4454	38.	MUR	4564
14.	MUR	4459	39.	MUR	4567
15.	MUR	4474	40.	MUR	4569
16.	MUR	4477	41.	MUR	4586
17.	MUR	4481	42.	MUR	4590
18.	MUR	4485	43.	MUR	4600
19.	MUR	4486	44.	MUR	4612
20.	MUR	4494	45.	MUR	4615
21.	MUR	4495	46.	MUR	4616
22.	MUR	4496	47.	MUR	4620
23.	MUR	4497	48.	MUR	4622
24.	MUR	4510	49.	MUR	4628
25.	MUR	4511	50.	MUR	4629
26.	MUR	4514	51.	MUR	4636
27.	MUR	4515	52.	MUR	4637
28.	MUR	4521	53.	MUR	4639
29.	MUR	4525	54.	MUR	4641
30.	MUR	4527	55.	MUR	4644
31.	MUR	4536	56.	MUR	4651
32.	MUR	4540	57.	MUR	4653
33.	MUR	4542	58.	MUR	4656
34.	MUR	4552	59.	MUR	4657
35.	MUR	4554			

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

Attest:

12-4-97
Date

Marjorie W. Emmons
Marjorie W. Emmons
Secretary of the Commission

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FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

December 15, 1997

CERTIFIED MAIL
RETURN RECEIPT REQUESTED

Steve C. Anthony, Executive Director
1100 Spring Street, Suite 710
Atlanta, GA 30309

RE: MUR 4496

Dear Mr. Anthony:

On October 7, 1996, the Federal Election Commission received your complaint alleging certain violations of the Federal Election Campaign Act of 1971, as amended ("the Act").

After considering the circumstances of this matter, the Commission exercised its prosecutorial discretion to take no action in the matter. This case was evaluated objectively relative to other matters on the Commission's docket. In light of the information on the record, the relative significance of the case, and the amount of time that has elapsed, the Commission determined to close its file in this matter on December 15, 1997. This matter will become part of the public record within 30 days.

The Act allows a complainant to seek judicial review of the Commission's dismissal of this action. See 2 U.S.C. § 437(g)(a)(8).

Sincerely,

A handwritten signature in dark ink, appearing to read "F. Andrew Turley", is written over a horizontal line.

F. Andrew Turley
Supervisory Attorney
Central Enforcement Docket

97043852429



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

December 15, 1997

Abram Serotta, Treasurer
Norwood for Congress
P.O. Box 499
Evans, GA 30809

RE: MUR 4496

Dear Mr. Serotta:

On October 10, 1996, the Federal Election Commission notified Richard J. Dunstan, former treasurer, of a complaint alleging certain violations of the Federal Election Campaign Act of 1971, as amended. A copy of the complaint was enclosed with that notification.

After considering the circumstances of this matter, the Commission exercised its prosecutorial discretion to take no action against Norwood for Congress and you, as treasurer. This case was evaluated objectively relative to other matters on the Commission's docket. In light of the information on the record, the relative significance of the case, and the amount of time that has elapsed, the Commission determined to close its file in the matter on December 15, 1997.

The confidentiality provisions of 2 U.S.C. § 437g(a)(12) no longer apply and this matter is now public. In addition, although the complete file must be placed on the public record within 30 days, this could occur at any time following certification of the Commission's vote. If you wish to submit any factual or legal materials to appear on the public record, please do so as soon as possible. While the file may be placed on the public record prior to receipt of your additional materials, any permissible submissions will be added to the public record when received.

If you have any questions, please contact Alva E. Smith on our toll-free telephone number, (800) 424-9530. Our local telephone number is (202) 219-3400.

Sincerely,

A handwritten signature in dark ink, appearing to read "F. Andrew Turley".

F. Andrew Turley
Supervisory Attorney
Central Enforcement Docket

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FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

December 15, 1997

The Honorable Charles W. Norwood, Jr.
United States House of Representatives
1707 Longworth House Office Building
Washington, D.C. 20515

RE: MUR 4496

Dear Mr. Norwood:

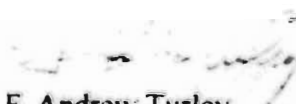
On October 10, 1996, the Federal Election Commission notified you of a complaint alleging certain violations of the Federal Election Campaign Act of 1971, as amended. A copy of the complaint was enclosed with that notification.

After considering the circumstances of this matter, the Commission exercised its prosecutorial discretion to take no action against you. This case was evaluated objectively relative to other matters on the Commission's docket. In light of the information on the record, the relative significance of the case, and the amount of time that has elapsed, the Commission determined to close its file in the matter on December 15, 1997.

The confidentiality provisions of 2 U.S.C. § 437g(a)(12) no longer apply and this matter is now public. In addition, although the complete file must be placed on the public record within 30 days, this could occur at any time following certification of the Commission's vote. If you wish to submit any factual or legal materials to appear on the public record, please do so as soon as possible. While the file may be placed on the public record prior to receipt of your additional materials, any permissible submissions will be added to the public record when received.

If you have any questions, please contact Alva E. Smith on our toll-free telephone number, (800) 424-9530. Our local telephone number is (202) 219-3400.

Sincerely,


F. Andrew Turley
Supervisory Attorney
Central Enforcement Docket

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FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

December 15, 1997

The Honorable Charles W. Norwood, Jr.
P.O. Box 499
Evans, GA 30809

RE: MUR 4496

Dear Mr. Norwood:

On October 10, 1996, the Federal Election Commission notified you of a complaint alleging certain violations of the Federal Election Campaign Act of 1971, as amended. A copy of the complaint was enclosed with that notification.

After considering the circumstances of this matter, the Commission exercised its prosecutorial discretion to take no action against you. This case was evaluated objectively relative to other matters on the Commission's docket. In light of the information on the record, the relative significance of the case, and the amount of time that has elapsed, the Commission determined to close its file in the matter on December 15, 1997.

The confidentiality provisions of 2 U.S.C. § 437g(a)(12) no longer apply and this matter is now public. In addition, although the complete file must be placed on the public record within 30 days, this could occur at any time following certification of the Commission's vote. If you wish to submit any factual or legal materials to appear on the public record, please do so as soon as possible. While the file may be placed on the public record prior to receipt of your additional materials, any permissible submissions will be added to the public record when received.

If you have any questions, please contact Alva E. Smith on our toll-free telephone number, (800) 424-9530. Our local telephone number is (202) 219-3400.

Sincerely,

F. Andrew Turley
Supervisory Attorney
Central Enforcement Docket

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FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

THIS IS THE END OF MUR # 4496

DATE FILMED 12-29-57 CAMERA NO. 2

CAMERAMAN JMD

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