



FEDERAL ELECTION COMMISSION
WASHINGTON D.C. 20463

THIS IS THE BEGINNING OF MUR # 4688

DATE FILMED 2/9/98 CAMERA NO. 2

CAMERAMAN SES

98043873832

REPORTS ANALYSIS REFERRAL

TO

OFFICE OF GENERAL COUNSEL

DATE: APR 17 1997

ANALYST: Kenneth A. Davis

- I. COMMITTEE: American Road & Transportation Builders Association (ARTBA)-525 PAC (C00118208)
James E. Black, Treasurer
(February 3, 1997 to Present)
Jeffrey T. Hungate, Treasurer
(April 9, 1996 to February 2, 1997)
Eugene M. Johnson, Treasurer
(April 10, 1990 to April 8, 1996)
1010 Massachusetts Avenue NW
Washington, DC 20001
- II. RELEVANT STATUTE: 2 U.S.C. §434 (a)(4)(A)(i), (iii) and (iv)
11 CFR §104.5(c)(1)(i)(A), (iii)(A), (2)(i)(A)
and (2)(i)(B)
- III. BACKGROUND:
Failure to Timely File and Chronic Late Filing of Reports

The American Road & Transportation Builders Association (ARTBA) - 525 PAC ("the PAC") failed to file five (5) Reports of Receipts and Disbursements in a timely manner for the 1995-1996 election cycle (see Late Filing History Chart). The reports were filed between sixty (60) and two hundred fifty-three (253) calendar days late.

The PAC was notified on July 7, 1995, that the 1995 Mid-Year Report was due on July 31, 1995 (Attachment 2). A Non-Filer Notice was sent to the PAC on August 17, 1995 for failure to file the 1995 Mid-Year Report (Attachment 3).

On December 29, 1995, the PAC was notified that the 1995 Year End Report was due on January 31, 1996 (Attachment 4). A Non-Filer Notice was sent to the PAC on February 23, 1996 for failure to file 1995 Year End Report (Attachment 5).

A Chronic Late Filer Notice was sent to the PAC on March 1, 1996 for failing to file the 1995 Mid-Year and 1995 Year End Reports in a timely manner (Attachment 6). The Notice advised the PAC that any additional late filing of reports may result in legal enforcement action.

On April 8, 1996, the Reports Analysis Division ("RAD") analyst contacted Carolyn Fallis, a PAC representative. Mrs. Fallis was informed that the Commission had not received the PAC's 1995 Mid-Year and 1995 Year End Reports. Mrs. Fallis stated that she would send the reports right away (Attachment 7). On April 9, 1996, the PAC filed the 1995 Mid-Year and 1995 Year End Reports (Attachments 8 and 9). Subsequent to the sending of the Chronic Late Filer Notice, the PAC failed to timely file the 1996 July Quarterly, the 1996 October Quarterly and the 1996 30 Day Post General Reports.

The PAC was notified on December 29, 1995 and June 21, 1996, that the 1996 July Quarterly Report was due on July 15, 1996 (Attachments 4 and 10). A Non-Filer Notice was sent to the PAC on August 12, 1996 for failure to file 1996 July Quarterly Report (Attachment 11).

The PAC was notified on December 29, 1995 and September 20, 1996, that the 1996 October Quarterly Report was due on October 15, 1996 (Attachments 4 and 12). A Non-Filer Notice was sent via mailgram to the PAC on November 6, 1996 for failure to file the 1996 October Quarterly Report (Attachment 14).

On December 5, 1996 the RAD analyst called the PAC and spoke to Valentin Riva, Vice President of Government Affairs for the PAC. The RAD analyst stated that the 1996 July Quarterly and the 1996 October Quarterly Reports had not been received by the Commission and failure to file could result in legal action. Mr. Riva stated that the person responsible for preparing the PAC's reports was not employed with the PAC. He went on to state that the PAC would file the reports immediately. The RAD analyst reminded Mr. Riva of the due dates of 1996 30 Day Post-General and 1996 Year End Reports (Attachment 16). The PAC filed the 1996 July Quarterly and 1996 October Quarterly Reports on December 20, 1996 (Attachments 17 and 18).

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AMERICAN ROAD & TRANSPORTATION BUILDERS
ASSOCIATION (ARTBA)-525 PAC
REPORTS ANALYSIS OGC REFERRAL
PAGE 3

On February 3, 1997, the PAC filed the 1996 30 Day Post-General Report
(Attachment 20).

9 8 0 4 3 8 7 3 8 3 5

LATE FILING HISTORY

REPORT TYPE	PRIOR NOTICE	DATE DUE	NON-FILER NOTICE	DATE FILED
1995 Mid-Year (1/1/95-6/30/95)	7/7/95 (Attachment 2)	7/31/95	8/17/95 (Attachment 3)	4/9/96 (Attachment 8)
1995 Year End (7/1/95-12/31/95)	12/29/95 (Attachment 4)	1/31/96	2/23/96 (Attachment 5)	4/9/96 (Attachment 9)
1996 July Quarterly (1/1/96-3/31/96)	12/29/95 (Attachment 4) 6/21/96 (Attachment 10)	7/15/96	8/12/96 (Attachment 11)	12/20/96 (Attachment 17)
1996 October Quarterly (7/1/96-9/30/96)	12/29/95 (Attachment 4) 9/20/96 (Attachment 12)	10/15/96	11/6/96 (Attachment 14)	12/20/96 (Attachment 18)
1996 30 Day Post-General (10/1/96-11/25/96)	12/29/95 (Attachment 4) 9/30/96 (Attachment 13) 11/8/96 (Attachment 15)	1/31/97	1/6/97 (Attachment 19)	2/3/97* (Attachment 20)

* The Report is date stamped as received on February 3, 1997 although the receipt date on the envelope replacement page is February 4, 1997.

FEDERAL ELECTION COMMISSION
1995-1996
COMMITTEE INDEX OF DISCLOSURE DOCUMENTS - (C)

Attachment #1
DATE 16APR97

PAGE 1

COMMITTEE	DOCUMENT	RECEIPTS	DISBURSEMENTS	COVERAGE DATES	# OF PAGES	MICROFILM LOCATION
						TYPE OF FILER
AMERICAN ROAD & TRANSPORTATION BUILDERS ASSOCIATION (ARTBA) - 525 PAC				ID #C00118208 NON-PARTY QUALIFIED		
CONNECTED ORGANIZATION: ROAD & TRANS BUILDERS ASS'N: AMERICAN						
1995	APRIL QUARTERLY	-	-	1JAN95 - 31MAR95	8	95FEC/972/2062
	APRIL QUARTERLY - AMENDMENT	-	-	1JAN95 - 31MAR95	31	96FEC/038/4385
	REQUEST FOR ADDITIONAL INFORMATION			1JAN95 - 31MAR95	2	96FEC/015/3887
	REQUEST FOR ADDITIONAL INFORMATION 2ND			1JAN95 - 31MAR95	3	96FEC/029/2386
	JULY QUARTERLY	-	-	1APR95 - 30JUN95	28	96FEC/038/4416
	MID-YEAR REPORT	32.565	17.767	1JAN95 - 30JUN95	34	96FEC/038/4351
	NOTICE OF FAILURE TO FILE			1JAN95 - 30JUN95	2	95FEC/999/2993
	OCTOBER QUARTERLY	500	8.052	1JUL95 - 30SEP95	26	96FEC/038/4444
	YEAR-END	1.500	4.000	1OCT95 - 31DEC95	26	96FEC/038/4470
	NOTICE OF FAILURE TO FILE			1JUL95 - 31DEC95	2	96FEC/032/1013
1996	MISCELLANEOUS NOTICE FROM FEC			1MAR96	2	96FEC/032/4619
	STATEMENT OF ORGANIZATION - AMENDMENT			9APR96	1	96FEC/038/4350
	APRIL QUARTERLY	650	5.412	1JAN96 - 31MAR96	26	96FEC/038/4496
	1ST LETTER INFORMATIONAL NOTICE			1JAN96 - 31MAR96	2	96FEC/127/0822
	JULY QUARTERLY	12.075	5.261	1APR96 - 30JUN96	7	96FEC/163/1581
	NOTICE OF FAILURE TO FILE			1APR96 - 30JUN96	2	96FEC/071/5411
	OCTOBER QUARTERLY	2.650	8.465	1JUL96 - 30SEP96	8	96FEC/163/1573
	NOTICE OF FAILURE TO FILE			1JUL96 - 30SEP96	2	96FEC/127/1141
	POST-GENERAL	500	2.000	1OCT96 - 25NOV96	6	97FEC/178/0560
	NOTICE OF FAILURE TO FILE			1OCT96 - 25NOV96	2	97FEC/165/1025
	REQUEST FOR ADDITIONAL INFORMATION			1OCT96 - 25NOV96	2	97FEC/193/3262
	YEAR-END	0	16	26NOV96 - 31DEC96	5	97FEC/172/3231
	YEAR-END - AMENDMENT	0	9	26NOV96 - 31DEC96	5	97FEC/188/0203
	REQUEST FOR ADDITIONAL INFORMATION			26NOV96 - 31DEC96	2	97FEC/193/3260
TOTAL		50.440	0 50.966 0	234 TOTAL PAGES		

11 Reports Have Been Reviewed.

Ending Cash-on-Hand as of 12/31/96: \$2,335.3

Debts and Obligations Owed to the Committee: \$

Debts and Obligations Owed by the Committee: \$0

SEMI-ANNUAL REPORT NOTICE

FEDERAL ELECTION COMMISSION

PARTIES AND PACS

July 7, 1995

REPORT	REPORTING PERIOD*	REG./CERT. MAILING DATE**	FILING DATE
Mid-Year	01/01/95 - 06/30/95	07/31/95	07/31/95

WHO MUST FILE

Party committees and PACs (nonconnected committees and separate segregated funds) which normally file on a quarterly basis must file a Mid-Year Report in July.

INDEPENDENT EXPENDITURES

Any PAC that makes independent expenditures in connection with a special election may have to file a 24 hour report. This reporting requirement will be triggered if the committee makes independent expenditures aggregating \$1,000 or more after the 20th day, but more than 24 hours, before the election.

CHANGE IN FILING FREQUENCY

Committees wishing to change their reporting schedule (for example, from semiannual to monthly) must notify the Commission in writing when filing a report due under their current reporting schedule. Committees may change their filing frequencies no more than once per calendar year.

LABEL

Committees should affix the peel-off label from the envelope to Line 1 of the report. Corrections should be made on the label.

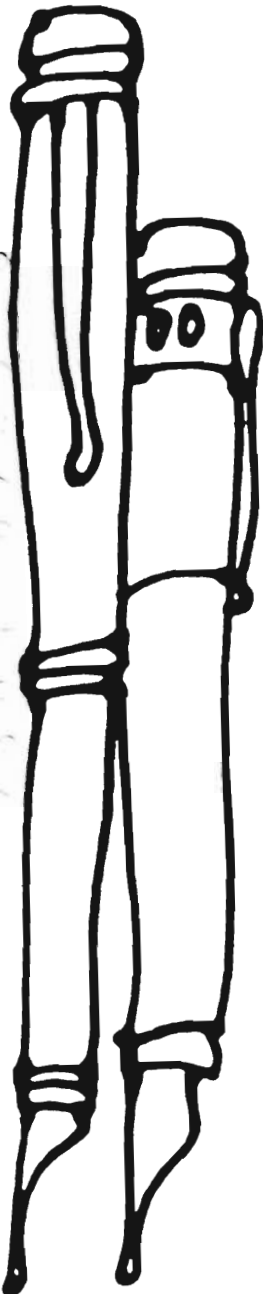
COMPLIANCE

Treasurers of political committees are responsible for filing all reports on time. Failure to do so is subject to enforcement action. Committees filing illegible reports or using non-FEC forms (except for FEC approved computer generated forms) will be required to refile.

*These dates indicate the beginning and the end of the reporting period. A reporting period always begins the day after the closing date of the last report filed. If the committee is new and has not previously filed a report, the first report must cover all activity that occurred before the committee registered.

**Reports sent by registered or certified mail must be postmarked by the mailing date; otherwise, they must be received by the filing date.

FOR INFORMATION, CALL: 800/424-9530 or 202/219-3420





FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

RQ-7

August 17, 1995

Eugene M. Johnson, Treasurer
American Road & Transportation
Builders Association (ARTBA) - 525 PAC
1010 Massachusetts Avenue, NW
Washington, DC 20001

Identification Number: C00118208

Reference: 1995 Mid-Year Report (1/1/95-6/30/95)

Dear Mr. Johnson:

It has come to the attention of the Federal Election Commission ("the Commission") that your committee may be in violation of 2 U.S.C. §434(a) for failing to file the above referenced Report of Receipts and Disbursements. You were previously notified of the due date for this report.

It is important that you file this report immediately with the Federal Election Commission, 999 E Street, NW, Washington, DC 20463 (or with the Clerk of the House or the Secretary of the Senate, as appropriate). A copy of the report or its relevant portions should also be filed with the Secretary of State or equivalent state officer. 11 CFR §§108.2, 108.3, 108.4

Although the Commission may initiate an audit or legal enforcement action concerning this matter, your prompt response and a letter of explanation will be taken into consideration.

If you have any questions, please contact Jan McBride on our toll-free number (800) 424-9530. Our local number is (202) 219-3580.

Sincerely,

A handwritten signature in dark ink, appearing to read "John D. Gibson", with a stylized flourish at the end.

John D. Gibson
Assistant Staff Director
Reports Analysis Division

YEAR-END REPORT NOTICE

FEDERAL ELECTION COMMISSION

PARTIES AND PACS

December 29, 1995

WHO MUST FILE:

Party committees and PACs (nonconnected committees and separate segregated funds) must file a Year-End Report on January 31, 1996

REPORT CONTENT AND DATES**I. Semiannual Filers**

REPORT	REPORTING PERIOD*	FEC./CMT. MAILING DATE**	FILING DATE
Year-End	07/01/95 - 12/31/95	01/31/96	01/31/96

Semiannual filers must disclose financial activity that occurred from July 1 through December 31, 1995, on their Year-End Report.

II. Monthly Filers

REPORT	REPORTING PERIOD*	FEC./CMT. MAILING DATE**	FILING DATE
Year-End	12/01/95 - 12/31/95	01/31/96	01/31/96

Monthly filers must disclose financial activity from December 1 through December 31, 1995, on their Year-End Report.

CHANGE IN FILING FREQUENCY

Committees wishing to change their reporting schedule (for example, from semiannual to monthly) must notify the Commission in writing when they file their next report due under their current reporting schedule. Committees may change their filing frequencies no more than once per calendar year.

LABEL

Committees should affix the peel-off label from the envelope to Line 1 of the report. Corrections should be made on the label.

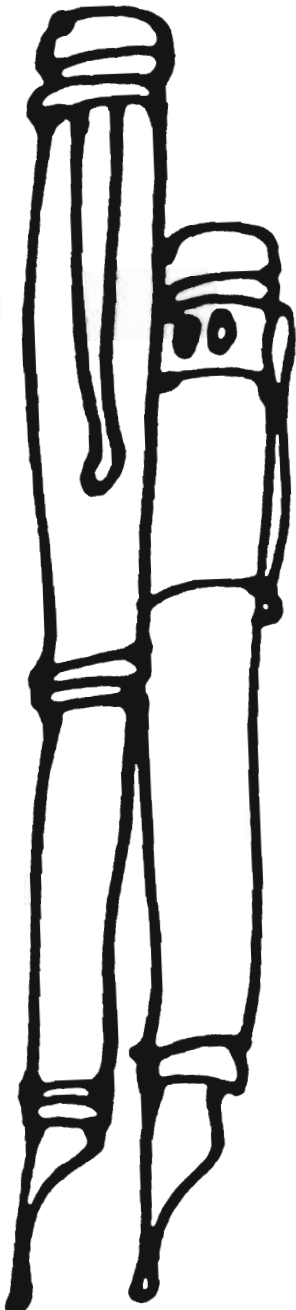
COMPLIANCE

Treasurers of political committees are responsible for filing all reports on time. Failure to do so is subject to enforcement action. Committees filing illegible reports or using non-FEC forms (except for FEC approved computer generated forms) will be required to refile.

*These dates indicate the beginning and the end of the reporting period. A reporting period always begins the day after the closing date of the last report filed. If the committee is new and has not previously filed a report, the first report must cover all activity that occurred before the committee registered.

**Reports sent by registered or certified mail must be postmarked by the mailing date; otherwise, they must be received by the filing date.

(over)



1996 FILING SCHEDULE

I. Quarterly Filers

REPORT	REPORTING PERIOD*	REG./CERT. MAILING DATE**	FILING DATE
April	01/01/96 - 03/31/96	04/15/96	04/15/96
July	04/01/96 - 06/30/96	07/15/96	07/15/96
October	07/01/96 - 09/30/96	10/15/96	10/15/96
Pre-General	10/01/96 - 10/16/96	10/21/96	10/24/96
-----24 Hour Reports***-----			
Post-General	10/17/96 - 11/25/96	12/05/96	12/05/96
Year-End	11/26/96 - 12/31/96	01/31/97	01/31/97

II. Monthly Filers

REPORT	REPORTING PERIOD*	REG./CERT. MAILING DATE**	FILING DATE
February	01/01/96 - 01/31/96	02/20/96	02/20/96
March	02/01/96 - 02/29/96	03/20/96	03/20/96
April	03/01/96 - 03/31/96	04/20/96	04/20/96
May	04/01/96 - 04/30/96	05/20/96	05/20/96
June	05/01/96 - 05/31/96	06/20/96	06/20/96
July	06/01/96 - 06/30/96	07/20/96	07/20/96
August	07/01/96 - 07/31/96	08/20/96	08/20/96
September	08/01/96 - 08/31/96	09/20/96	09/20/96
October	09/01/96 - 09/30/96	10/20/96	10/20/96
Pre-General	10/01/96 - 10/16/96	10/21/96	10/24/96
-----24 Hour Reports***-----			
Post-General	10/17/96 - 11/25/96	12/05/96	12/05/96
Year-End	11/26/96 - 12/31/96	01/31/97	01/31/97

*These dates indicate the beginning and the end of the reporting period. A reporting period always begins the day after the closing date of the last report filed. If the committee is new and has not previously filed a report, the first report must cover all activity that occurred before the committee registered.

**Reports sent by registered or certified mail must be postmarked by the mailing date; otherwise, they must be received by the filing date.

***PACs that make independent expenditures aggregating \$1,000 or more after the 20th day, but more than 24 hours before the election must file 24 Hour Reports. Party committees may not make independent expenditures.

FOR INFORMATION, CALL: 800/424-9530 or 202/219-3420

030428/3841



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

RQ-7

February 23, 1996

Eugene M. Johnson, Treasurer
American Road & Transportation
Builders Association (ARTBA)
- 525 PAC
1010 Massachusetts Avenue NW
Washington, DC 20001

Identification Number: C00118208

Reference: Year End Report (7/1/95-12/31/95)

Dear Mr. Johnson:

It has come to the attention of the Federal Election Commission ("the Commission") that your committee may be in violation of 2 U.S.C. §434(a) for failing to file the above referenced Report of Receipts and Disbursements. You were previously notified of the due date for this report.

It is important that you file this report immediately with the Federal Election Commission, 999 E Street, NW, Washington, DC 20463 (or with the Secretary of the Senate). A copy of the report or its relevant portions should also be filed with the Secretary of State or equivalent state officer (see 11 CFR §§108.2, 108.3, 108.4).

Although the Commission may initiate an audit or legal enforcement action concerning this matter, your prompt response and a letter of explanation will be taken into consideration.

If you have any questions, please contact Jan McBride on our toll-free number (800) 424-9530. Our local number is (202) 219-3580.

Sincerely,

A handwritten signature in dark ink, appearing to read "John D. Gibson".

John D. Gibson
Assistant Staff Director
Reports Analysis Division

Celebrating the Commission's 20th Anniversary

YESTERDAY, TODAY AND TOMORROW
DEDICATED TO KEEPING THE PUBLIC INFORMED

96030321013



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

MS-L

MAR 1 1996

Eugene M. Johnson, Treasurer
American Road and
Transportation Builders
Association (ARTBA)-525 PAC
1010 Massachusetts Avenue, N.W.
Washington, DC 20001

Identification Number: C00118208

Reference: 1995-1996 Election Cycle Reports

Dear Mr. Johnson:

It has come to the attention of the Federal Election Commission ("the Commission") that your committee may have violated 2 U.S.C. §434(a), by failing to timely file Reports of Receipts and Disbursements. The following is a list of the reports in question.

<u>Report Type</u>	<u>Due Date</u>	<u>Date Filed</u>
Mid-Year (4/1/95-6/30/95)	7/31/95	Not Filed
Year End (7/1/95-12/31/95)	1/31/96	Not Filed

Timely filing is a specific requirement of the Federal Election Campaign Act ("the Act") and is essential to fulfilling the public disclosure concept embodied in that law. The Commission views failure to timely file reports as a serious violation of the Act. This communication is to advise you that, notwithstanding any matters which may be pending before the Commission, any additional report which is not submitted in a timely manner by your committee may result in the Commission initiating legal enforcement or audit action.

You may submit a letter of explanation in response to this notification. If, however, you have any questions, please feel free to contact Jan McBride on our toll-free number, (800) 424-9530. My local number is (202) 219-3580.

Sincerely,

Lisa J. Stolaruk
Chief, Party/Non-Party Branch
Reports Analysis Division

Celebrating the Commission's 20th Anniversary

YESTERDAY, TODAY AND TOMORROW
DEDICATED TO KEEPING THE PUBLIC INFORMED

96030324619

TELECON

ANALYST: Jan McBride

CONVERSATION WITH: Carolyn Fallis

COMMITTEE: The American Road & Transportation Builders
Association (ARTBA) - 525 PAC

DATE: April 8, 1996

SUBJECT(S): Failure to File Reports

The analyst contacted Mrs. Fallis to inform her of the fact that the FEC has not received the PAC's 1995 Mid-Year and 1995 Year-End Reports. Mrs. Fallis stated that she would sent the reports right away.

9804787384



April 9, 1996

 ATTACHMENT 8
Page 1 of 2

 Ms. Jan McBride
Federal election Commission
999 E Street, N. W.
Washington, D. C. 20463

Identification Number: C00118208

Reference: Reports for 1995

Dear Jan:

Per our conversation, I am submitting American Road & Transportation Builders Association's FEC Form 3X reports for 1995. My sincere apology for the delay in submitting these reports. If you have any questions, please contact me at (202)289-4434 extension 119.

I am submitting to Neal Evans the Aristotle computer software forms for approval.

Also, please correct our file to show that Eugene M. Johnson, Treasurer is no longer the contact person at ARTBA. The contact person is Jeffrey T. Hungate, Director of Administration and Finance.

If you have any questions, please contact me at (202)289-4434.

Thank you for your time.

Sincerely,

 Carolyn A. Fallis
Office Administrator

 RECEIVED
FEDERAL ELECTION
COMMISSION
REPORTS ANALYSIS
DIVISION
APR 9 2 45 PM '96

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REPORT OF RECEIPTS AND DISBURSEMENTS

For Other than An Authorized Committee
(Summary Page)RECEIVED
FEDERAL ELECTION
COMMISSION
REPORTS ANALYSIS
DIVISION

Apr 9 2 45 PM '96

ATTACHMENT 8
Page 2 of 2

1. NAME OF COMMITTEE (in full) American Road & Transportation Builders Assoc.		2. FEC IDENTIFICATION NUMBER C00118208
ADDRESS (number and street) <input type="checkbox"/> Check if different than previously reported. 1010 Massachusetts Avenue, N. W.		
CITY, STATE and ZIP CODE Washington, D. C. 20001		
		3. <input type="checkbox"/> This committee qualified as a multicandidate committee. (see FEC FORM 1M)

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		COLUMN A This Period	COLUMN B Calendar Year-to-date
5. Covering Period	01/01/95 through 06/30/95		
6. (a) Cash on Hand January 1, 19 <u>95</u>			\$2862.67
(b) Cash on Hand at Beginning of Reporting Period		\$2862.67	
(c) Total Receipts (from Line 19)		\$32565.00	\$32565.00
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)		\$35427.67	\$35427.67
7. Total Disbursements (from Line 30)		\$17767.08	\$17767.08
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))		\$17660.59	\$17660.59
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)		For further information contact Federal Election Commission 999 E Street, NW Washington, DC 20463 Toll Free 800-424-9530 Local 202-219-3420	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)			

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

JEFFREY T. Hungate

Signature of Treasurer

Jeffrey T. Hungate

Date

4/5/96

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 3X
(Revised 9/93)

REPORT OF RECEIPTS AND DISBURSEMENTSFor Other than An Authorized Committee
(Summary Page)Attachment 9
**RECEIVED
FEDERAL ELECTION
COMMISSION
REPORTS ANALYST**

Apr 9 2 46 PM '96

1. NAME OF COMMITTEE (in full) American Road & Transportation Builders Assoc.		2. FEC IDENTIFICATION NUMBER C00118208
ADDRESS (number and street) <input type="checkbox"/> Check if different than previously reported. 1010 Massachusetts Avenue, N. W.		
CITY, STATE and ZIP CODE Washington, D. C. 20001		
3. <input type="checkbox"/> This committee qualified as a multicandidate committee. (see FEC FORM 1M)		

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		COLUMN A This Period	COLUMN B Calendar Year-to-date
5. Covering Period	10/01/95 through 12/31/95		
6. (a) Cash on Hand January 1, 1995			\$2862.67
(b) Cash on Hand at Beginning of Reporting Period		\$10108.38	
(c) Total Receipts (from Line 18)		\$1500.00	\$34585.00
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)		\$11608.38	\$37427.67
7. Total Disbursements (from Line 30)		\$4000.00	\$29819.29
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))		\$7608.38	\$7608.38
9. Debts and Obligations Owed TO the Committee (Reimburse all on Schedule C and/or Schedule D)			
10. Debts and Obligations Owed BY the Committee (Reimburse all on Schedule C and/or Schedule D)			

For further information contact
Federal Election Commission
899 E Street, NW
Washington, DC 20463
Toll Free 800-424-6530
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

JEFFREY T. Hungate

Signature of Treasurer

Jeffrey T. Hungate

Date

4/8/96

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to penalties of 20 USC §437g.

FEC FORM 3X
(Revised 9/93)

QUARTERLY REPORT NOTICE

ATTACHMENT 10
Page 1 of 2

FEDERAL ELECTION COMMISSION

PARTIES AND PACS

June 21, 1996

WHO MUST FILE

Party committees and PACs (nonconnected committees and separate segregated funds) filing on a quarterly basis must file a Quarterly Report in July.

REPORT	REPORTING PERIOD*	REG./CERT. MAILING DATE**	FILING DATE
July Quarterly	04/01/96 - 06/30/96	07/15/96	07/15/96

PRE-ELECTION REPORTING

Committees which make contributions or expenditures (including independent expenditures) in connection with an election must also file a Pre-Election Report, if the activity was not previously reported. See the January 1996 Record.

24 HOUR REPORT ON INDEPENDENT EXPENDITURES

Any PAC that makes independent expenditures in connection with an election may have to file a 24 hour report. This reporting requirement will be triggered if the committee makes independent expenditures aggregating \$1,000 or more after the 20th day, but more than 24 hours, before the election day.

CHANGE IN FILING FREQUENCY

Committees wishing to change their reporting schedule (for example, from quarterly to monthly) must notify the Commission in writing when they file their next report due under their current reporting schedule. Committees may change their filing frequencies no more than once per calendar year.

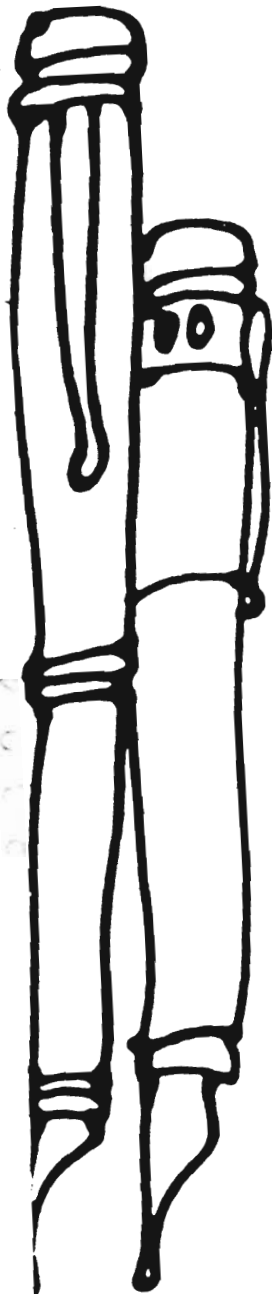
LABEL

Committees should affix the peel-off label from the envelope to Line 1 of the report. Corrections should be made on the label.

*These dates indicate the beginning and the end of the reporting period. A reporting period always begins the day after the closing date of the last report filed. If the committee is new and has not previously filed a report, the first report must cover all activity that occurred before the committee registered.

**Reports sent registered or certified mail must be postmarked by the mailing date; otherwise, they must be received by the filing date.

(over)



PARTIES AND PACS

JULY QUARTERLY

COMPLIANCE

Treasurers of political committees are responsible for filing all reports on time. Failure to do so is subject to enforcement action. Committees filing illegible reports or using non-PEC forms (except for PEC approved computer generated forms) will be required to refile.

28047873819

FOR INFORMATION, Call: 800/424-9530 or 202/219-3420



FEDERAL ELECTION COMMISSION

WASHINGTON, DC 20463

ATTACHMENT 11

RQ-7

August 12, 1996

Jeffrey T. Hungate, Treasurer
American Road & Transportation
Builders Association (ARTBA) - 525 PAC
1010 Massachusetts Avenue NW
Washington, DC 20001

Identification Number: C00118208

Reference: July Quarterly Report (4/1/96-6/30/96)

Dear Mr. Hungate:

It has come to the attention of the Federal Election Commission ("the Commission") that your committee may be in violation of 2 U.S.C. §434(a) for failing to file the above referenced Report of Receipts and Disbursements. You were previously notified of the due date for this report.

It is important that you file this report immediately with the Federal Election Commission, 999 E Street, NW, Washington, DC 20463 (or with the Secretary of the Senate). A copy of the report or its relevant portions should also be filed with the Secretary of State or equivalent state officer (see 11 CFR §§108.2, 108.3, 108.4).

Although the Commission may initiate an audit or legal enforcement action concerning this matter, your prompt response and a letter of explanation will be taken into consideration.

If you have any questions, please contact Wendy Barkley on our toll-free number (800) 424-9530. Our local number is (202) 219-3580.

Sincerely,

A handwritten signature in dark ink, appearing to read "John D. Gibson".

John D. Gibson
Assistant Staff Director
Reports Analysis Division

28047873800

QUARTERLY

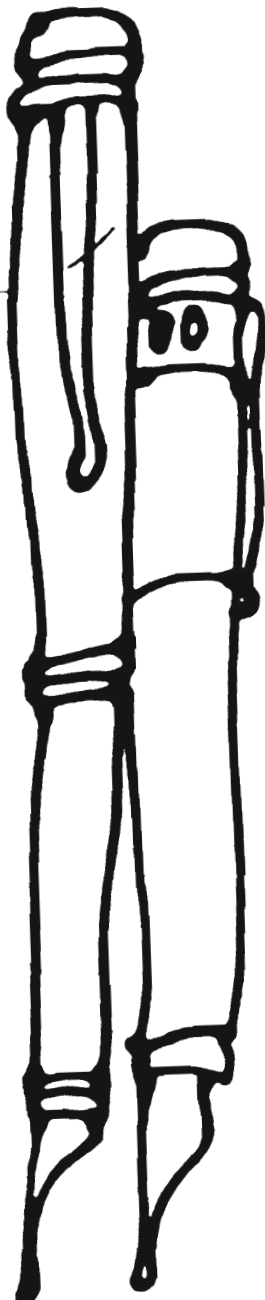
ATTACHMENT 12
Page 1 of 2

REPORT NOTICE

FEDERAL ELECTION COMMISSION

PARTIES AND PACS

September 20, 1996



REPORT	REPORTING PERIOD*	REG./CERT. MAILING DATE**	FILING DATE
October Quarterly	07/01/96 - 09/30/96	10/15/96	10/15/96

WHO MUST FILE

Party committees and PACs (nonconnected committees and separate segregated funds) filing on a quarterly basis must file a Quarterly Report in October.

PRE-ELECTION REPORTING

Committees which make contributions or expenditures (including independent expenditures) in connection with an election must also file a Pre-Election Report, if the activity was not previously reported. See the January 1996 Record.

24 HOUR REPORT ON INDEPENDENT EXPENDITURES

Any PAC that makes independent expenditures in connection with an election may have to file a 24 hour report. This reporting requirement will be triggered if the committee makes independent expenditures aggregating \$1,000 or more after the 20th day, but more than 24 hours, before the election day.

CHANGE IN FILING FREQUENCY

Committees wishing to change their reporting schedule (for example, from quarterly to monthly) must notify the Commission in writing when they file their next report due under their current reporting schedule. Committees may change their filing frequencies no more than once per calendar year.

LABEL

Committees should affix the peel-off label from the envelope to Line 1 of the report. Corrections should be made on the label.

*These dates indicate the beginning and the end of the reporting period. A reporting period always begins the day after the closing date of the last report filed. If the committee is new and has not previously filed a report, the first report must cover all activity that occurred before the committee registered.

**Reports sent registered or certified mail must be postmarked by the mailing date; otherwise, they must be received by the filing date.

(over)

PARTIES AND PACS

OCTOBER QUARTERLY

COMPLIANCE

Treasurers of political committees are responsible for filing all reports on time. Failure to do so is subject to enforcement action. Committees filing illegible reports or using non-PEC forms (except for PEC approved computer generated forms) will be required to refile.

23043873852

FOR INFORMATION, Call: 800/424-9530 or 202/219-3420

GENERAL ELECTION REPORT NOTICE

ATTACHMENT 13
Page 1 of 2

FEDERAL ELECTION COMMISSION

PARTIES AND PACS

September 30, 1996

I. ALL MONTHLY FILERS

REPORT	REPORTING PERIOD*	REG./CERT. MAILING DATE**	FILING DATE
Pre-General	10/01/96 - 10/16/96	10/21/96	10/24/96
Post-General	10/17/96 - 11/25/96	12/05/96	12/05/96

II. QUARTERLY FILERS THAT MAKE GENERAL ELECTION CONTRIBUTIONS OR EXPENDITURES FROM OCTOBER 1 THROUGH OCTOBER 16

REPORT	REPORTING PERIOD*	REG./CERT. MAILING DATE**	FILING DATE
Pre-General	10/01/96 - 10/16/96	10/21/96	10/24/96
Post-General	10/17/96 - 11/25/96	12/05/96	12/05/96

III. QUARTERLY FILERS THAT DO NOT MAKE GENERAL ELECTION CONTRIBUTIONS OR EXPENDITURES FROM OCTOBER 1 THROUGH OCTOBER 16***

REPORT	REPORTING PERIOD*	REG./CERT. MAILING DATE**	FILING DATE
Post-General	10/01/96 - 11/25/96	12/05/96	12/05/96

WHO MUST FILE

Party committees and PACs must follow the above charts in order to determine whether they must file a report 12 days before the general election on November 5 (the Pre-General Report). All Party committees and PACs, regardless of financial activity, must file a report 30 days after the general election (the Post-General Election Report).

*These dates indicate the beginning and the end of the reporting period. A reporting period always begins the day after the closing date of the last report filed. If the committee is new and has not previously filed a report, the first report must cover all activity that occurred before the committee registered.

**Reports sent registered or certified mail must be postmarked by the mailing date; otherwise, they must be received by the filing date.

***Committees that made general election contributions or expenditures before October 1 and did not previously report them must also follow Chart II reporting requirements.

(over)

PARTIES AND PACS

PRE/POST GENERAL ELECTION

24 HOUR REPORT ON INDEPENDENT EXPENDITURES

Any PAC that makes independent expenditures aggregating \$1,000 or more during the period beginning October 17 and ending November 3 must report them within 24 hours.

LABEL

Committees should affix the peel-off label from the envelope to Line 1 of the report. Corrections should be made on the label.

COMPLIANCE

Treasurers of political committees are responsible for filing all reports on time. Failure to do so is subject to enforcement action. Committees filing illegible reports or using non-FEC forms (except for FEC approved computer generated forms) will be required to refile.

FOR INFORMATION, CALL: 800/424-9530 or 202/219-3420

RQ-7

(This is a copy of the text of a mailgram sent to the committee listed below on November 6, 1996.)

Jeffrey T. Hungate, Treasurer
American Road & Transportation
Builders Association (ARTBA)
- 525 Pac
1010 Massachusetts Avenue NW
Washington, DC 20001

Identification Number: C00118208

Reference: OCTOBER QUARTERLY REPORT (7/1/96-9/30/96)

Dear Mr. Hungate:

It has come to the attention of the Federal Election Commission ("the Commission") that your committee may be in violation of 2 U.S.C. §434(a) for failing to file the above referenced Report of Receipts and Disbursements. You were previously notified of the due date for this report.

It is important that you file this report immediately with the Federal Election Commission, 999 E Street, NW, Washington, DC 20463 (or with the Secretary of the Senate). A copy of the report or its relevant portions should also be filed with the Secretary of State or equivalent state officer (see 11 CFR §§108.2, 108.3, 108.4).

Although the Commission may initiate an audit or legal enforcement action concerning this matter, your prompt response and a letter of explanation will be taken into consideration.

If you have any questions, please contact Kenneth Davis on our toll-free number (800) 424-9530. Our local number is (202) 219-3580.

Sincerely,

John D. Gibson
Assistant Staff Director
Reports Analysis Division

GENERAL ELECTION

REPORT NOTICE

FEDERAL ELECTION COMMISSION



REMINDER

REMINDER

REMINDER

November 8, 1996

All party committees and PACs (nonconnected committees and separate segregated funds) must file a Post-General Election Report. Reports sent by registered or certified mail must be postmarked by the mailing date (December 5, 1996); otherwise, they must be received by the filing date (December 5, 1996). FEC Form 3X is enclosed.

FOR INFORMATION, CALL: 800/424-9530 or 202/219-3420

TELECON

ANALYST: Kenneth Davis

CONVERSATION WITH: Valentin J. Riva

COMMITTEE: The American Road & Transportation Builders
Association (ARTBA) - 525 PAC

DATE: December 5, 1996

SUBJECT(S): Failure to File Reports

98043873857

I called the PAC. I was put in touch with Mr. Riva, vice president of government affairs. I told him that the 1996 October Quarterly and the 1996 July Quarterly Reports had not been received by the Commission and failure to file could result in legal action. Mr. Riva stated that the person responsible for preparing the PAC's reports was not employed with the PAC. He told me that the PAC would file the reports immediately. I reminded Mr. Riva of the due dates of 1996 30 Day Post-General and 1996 Year-End Reports

DEC 20 9 0

MEMORANDUM DELIVERED BY HAND

DATE: December 5, 1996
TO: Kenneth A. Davis, Reports Analyst, Federal Election
Commission
FROM: Valentin J. Riva, Vice President, Government Affairs,
and General Counsel, ARTBA
RE: Overdue Reports

Thank you for bringing the above-referenced matter to my attention. After you called this afternoon, I checked with our administration and finance department and they advised that the July and October reports have just been completed.

Please accept ARTBA's apology for the late reports. The ARTBA staff person who prepared these documents, Carolyn Fallis, is no longer employed by the association, and it seems that no one on board knew how to work the software package that had been purchased specifically for this purpose. In any event, the reports have just been completed and are enclosed with this memorandum.

Thanks again for the "heads up" and for the regs and FEC trade association guide that you are sending over. As I mentioned during our conversation, we will be processing the FEC reports in the government affairs department from now on, so I do not expect that we will be late again.

Please call me at 202/289-4434 ext. 106 if you have any questions or require further information.

2804387388

960316 REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee
(Summary Page)

Attachment 17
RECEIVED Page 2 of 2
FEDERAL ELECTION COMMISSION

MAIL ROOM

Dec 20 9 05 AM '96

USE TO MAILING LABEL
OR
TYPE OR PRINT

1. NAME OF COMMITTEE (in full) American Road & Transportation Builders Assn. ARTBA 525 PAC		2. FEC IDENTIFICATION NUMBER C00118208
ADDRESS (number and street) <input type="checkbox"/> Check if different than previously reported 1010 Massachusetts Ave. N.W.		
CITY, STATE and ZIP CODE Washington, DC 20001		
		3. <input type="checkbox"/> This committee has qualified as a multicandidate committee (see FEC FORM 1M)

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:

<input type="checkbox"/> February 20	<input type="checkbox"/> June 20	<input type="checkbox"/> October 20
<input type="checkbox"/> March 20	<input type="checkbox"/> July 20	<input type="checkbox"/> November 20
<input type="checkbox"/> April 20	<input type="checkbox"/> August 20	<input type="checkbox"/> December 20
<input type="checkbox"/> May 20	<input type="checkbox"/> September 20	<input type="checkbox"/> 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		COLUMN A This Period	COLUMN B Calendar Year-to-Date
5.	Covering Period 4/1/96 through 6/30/96		
6.	(a) Cash on Hand January 1, 1996		\$ 7,608.38
	(b) Cash on Hand at Beginning of Reporting Period	\$ 845.95	
	(c) Total Receipts (from Line 19)	\$ 2,075.00	\$ 2,725.00
	(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	\$ 4,920.95	\$ 20,333.38
7.	Total Disbursements (from Line 30)	\$ 5,261.03	\$ 10,673.46
8.	Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	\$ 9,659.92	\$ 9,659.92
9.	Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	\$	For further information contact: Federal Election Commission 999 E Street, NW Washington, DC 20463 Toll Free 800-424-9530 Local 202-219-3420
10.	Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	\$	

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

Signature of Treasurer

Date

12/5/96

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

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FEC FORM 3X
(revised 9/93)

REPORT OF RECEIPTS AND DISBURSEMENTSFor Other Than An Authorized Committee
(Summary Page)9/96 RECEIVED
FEDERAL ELECTION
COMMISSION
MAIL ROOM

Dec 20 9 05 AM '96

USE FEC MAILING LABEL
OR
TYPE OR PRINT

1. NAME OF COMMITTEE (in full) American Road & Transportation Builders Association ARTBA 525 PAC		2. FEC IDENTIFICATION NUMBER C00118208
ADDRESS (number and street) <input type="checkbox"/> Check if different than previously reported 1010 Massachusetts Ave. N.W.		
CITY, STATE and ZIP CODE Washington, DC 20001		
		3. <input type="checkbox"/> This committee has qualified as a multicandidate committee (see FEC FORM 1M)

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:

<input type="checkbox"/> February 20	<input type="checkbox"/> June 20	<input type="checkbox"/> October 20
<input type="checkbox"/> March 20	<input type="checkbox"/> July 20	<input type="checkbox"/> November 20
<input type="checkbox"/> April 20	<input type="checkbox"/> August 20	<input type="checkbox"/> December 20
<input type="checkbox"/> May 20	<input type="checkbox"/> September 20	<input type="checkbox"/> 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 7/1/96 through 9/30/96COLUMN A
This PeriodCOLUMN B
Calendar Year-to-Date

6. (a) Cash on Hand January 1, 19 _____

 \$ 608.38

(b) Cash on Hand at Beginning of Reporting Period _____

\$ 9,659.92

(c) Total Receipts (From Line 19) _____

\$ 2,650.00

(d) Subtotal (add Lines 6(b) and 6(c) for Column A and
Lines 6(a) and 6(c) for Column B) _____

\$ 5,309.92

7. Total Disbursements (From Line 30) _____

\$ 8,465.27

8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)) _____

\$ 3,844.65

9. Debts and Obligations Owed TO the Committee
(Itemize all on Schedule C and/or Schedule D) _____

\$

10. Debts and Obligations Owed BY the Committee
(Itemize all on Schedule C and/or Schedule D) _____

\$

For further information contact:
Federal Election Commission
900 E Street, NW
Washington, DC 20463
Toll Free 800-424-9530
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

Signature of Treasurer

Date

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

FEC FORM 3X

(revised 9/93)

RQ-7

(This is a copy of the text of a mailgram sent to the committee listed below on January 6, 1997.)

Jeffrey T. Hungate, Treasurer
American Road & Transportation Builders
Association (ARTBA) - 525 PAC
1010 Massachusetts Avenue NW
Washington, DC 20001

Identification Number: C00118208

Reference: 30 Day Post-General Report (10/1/96-11/25/96)

Dear Mr. Hungate:

It has come to the attention of the Federal Election Commission ("the Commission") that your committee may be in violation of 2 U.S.C. §434(a) for failing to file the above referenced Report of Receipts and Disbursements. You were previously notified of the due date for this report.

It is important that you file this report immediately with the Federal Election Commission, 999 E Street, NW, Washington, DC 20463 (or with the Secretary of the Senate). A copy of the report or its relevant portions should also be filed with the Secretary of State or equivalent state officer. 11 CFR §§108.2, 108.3, 108.4

Although the Commission may initiate an audit or legal enforcement action concerning this matter, your prompt response and a letter of explanation will be taken into consideration.

If you have any questions, please contact Ken Davis on our toll-free number (800) 424-9530. Our local number is (202) 219-3580.

Sincerely,

John D. Gibson
Assistant Staff Director
Reports Analysis Division



**American Road &
Transportation Builders
Association**

Organized in 1902 • The ARTBA Building, 1010 Massachusetts Ave., N.W., Washington, D.C. 20001-5402 • (202) 289-4434

FEB 3 3 23 PM '97 Internet: <http://www.artba.org>

January 31, 1997

John D. Gibson
Assistant Staff Director
Reports Analysis Division
Federal Election Commission
999 E. Street, N.W.
Washington, DC 20463

Dear Mr. Gibson,

Attached you will find the 30 Day Post-General (10/01/96-11/25/96) report you requested.

I am sorry for the delay in issuing this report. I have recently assumed responsibility for this report after Jeff Hungate, the previous controller, left ARTBA. I was under the impression that he had filed this report. In fact, I had asked him if he had filed the report after I received your mailgram on January 6. I believe that he had mistakenly assumed that he had filed the report.

The error is mine for not verifying the 30 Day Post-General had not been filed. I am now aware of the problems ARTBA has had in the past issuing its FEC Form 3X reports in a timely manner. As a result, I have taken steps to insure prompt reporting to your commission in the future.

If you have any questions regarding this report or ARTBA 525 PAC C00118208, please call either Val Riva or me at (202) 289 - 4434. Again, I am sorry for the delay in issuing this report.

Sincerely,

James E. Black
Accountant
ARTBA 525 PAC
ID: C00118208

REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee
(Summary Page)

ATTACHMENT 20
Page 2 of 2

USE FEC MAILING LABEL
OR
TYPE OR PRINT

1. NAME OF COMMITTEE (in full) American Road & Transportation Builders Assn. ARTBA 525 PAC		2. FEC IDENTIFICATION NUMBER C00118208
ADDRESS (number and street) <input type="checkbox"/> Check if different than previously reported 1010 Massachusetts Ave., N.W.		
CITY, STATE and ZIP CODE Washington, DC 20001		
		3. <input type="checkbox"/> This committee has qualified as a multicandidate committee (see FEC FORM 1M)

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:

<input type="checkbox"/> February 20	<input type="checkbox"/> June 20	<input type="checkbox"/> October 20
<input type="checkbox"/> March 20	<input type="checkbox"/> July 20	<input type="checkbox"/> November 20
<input type="checkbox"/> April 20	<input type="checkbox"/> August 20	<input type="checkbox"/> December 20
<input type="checkbox"/> May 20	<input type="checkbox"/> September 20	<input type="checkbox"/> January 31

☐ Twelfth day report preceding _____
(Type of Election)
election on _____ in the State of _____

☒ Thirtieth day report following the General Election on

11/05/96 in the State of National

(b) Is this Report an Amendment?

☐ YES ☐ NO

SUMMARY		COLUMN A This Period	COLUMN B Calendar Year-to-Date
5. Covering Period	10/01/98 through 11/25/96		
6. (a) Cash on Hand January 1, 1996			\$ 7,608.38
(b) Cash on Hand at Beginning of Reporting Period		\$ 3,844.65	
(c) Total Receipts (from Line 10)		\$ 500.00	\$ 15,875.00
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)		\$ 4,344.65	\$ 23,483.38
7. Total Disbursements (from Line 30)		\$ 2,000.00	\$ 21,138.73
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))		\$ 2,344.65	\$ 2,344.65
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)		\$	For further information contact: Federal Election Commission 900 E Street, NW Washington, DC 20463 Toll Free 800-424-9530 Local 202-219-3420
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)		\$	

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

JAMES E. BLACK

Signature of Treasurer

James E. Black

Date

01/31/97

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

FEC FORM 3X

FEDERAL ELECTION COMMISSION

999 E Street, N.W.
Washington, D.C. 20463

Oct 2 4 1997

FIRST GENERAL COUNSEL'S REPORT

SENSITIVE

RAD REFERRAL: 97NF-12
DATE ACTIVATED: 9/12/97

STAFF MEMBER: Tamara K. Kapper

SOURCE: INTERNALLY GENERATED

RESPONDENTS: American Road & Transportation Builders Association (ARTBA) - 525
PAC and James E. Black, as treasurer

RELEVANT STATUTE: 2 U.S.C. § 434(a)(4)(A)(i), (iii) and (iv)

INTERNAL REPORTS CHECKED: Disclosure Reports
Referral Material

FEDERAL AGENCIES CHECKED: None

I. GENERATION OF MATTER

The Office of the General Counsel received a referral from the Reports Analysis Division ("RAD") on April 18, 1997. The basis of the referral is the failure of the American Road & Transportation Builders Association (ARTBA) - 525 PAC and James E. Black, as treasurer, ("ARTBAPAC" or "Respondents") to file timely five (5) disclosure reports during the 1995-1996 election cycle. Specifically, ARTBAPAC failed to file timely its 1995 Mid-Year and Year End Reports, the 1996 July and October Quarterly Reports and the 1996 30 Day Post-General Report.

9804384

II. FACTUAL AND LEGAL ANALYSIS

Based on the Factual and Legal Analysis, see Attachment 1, this Office recommends the Commission find reason to believe Respondents violated 2 U.S.C. § 434(a)(4)(A)(i), (iii) and (iv).

III. DISCUSSION OF CONCILIATION AND CIVIL PENALTY

2 8 9 4 3 8 7 3 8 5

9 8 0 4 7 8 7 3 8 6 6

IV. RECOMMENDATIONS

1. Open a MUR.
2. Find reason to believe American Road & Transportation Builders Association (ARTBA) - 525 PAC and James E. Black, as treasurer, violated 2 U.S.C. § 434(a)(4)(A)(i), (iii) and (iv), and enter into conciliation prior to a finding of probable cause to believe.

3. Approve the attached proposed factual and legal analysis, conciliation agreement and the appropriate letter.

Lawrence M. Noble
General Counsel

Date

10/24/97

BY:



Lois G. Lerner
Associate General Counsel

Attachments:

1. Proposed Factual and Legal Analysis
2. Proposed agreement

93942873867

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of)

American Road & Transportation
Builders Association (ARTBA) - 525
PAC and James E. Black, as treasurer.)

) RAD Referral
) #97NF-12

MUR 4688

CERTIFICATION

I, Marjorie W. Emmons, Secretary of the Federal Election Commission, do hereby certify that on October 30, 1997, the Commission decided by a vote of 5-0 to take the following actions in RAD Referral #97NF-12:

1. Open a MUR.
2. Find reason to believe American Road & Transportation Builders Association (ARTBA) - 525 PAC and James E. Black, as treasurer, violated 2 U.S.C. § 434(a)(4)(A)(i)(iii) and (iv), and enter into conciliation prior to a finding of probable cause to believe.
3. Approve the proposed Factual and Legal Analysis, conciliation agreement and the appropriate letter, as recommended in the General Counsel's Report dated October 24, 1997.

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

Attest:

10-30-97
Date

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

Received in the Secretariat: Fri., Oct. 24, 1997 4:37 p.m.
Circulated to the Commission: Mon., Oct. 27, 1997 11:00 a.m.
Deadline for vote: Thurs., Oct. 30, 1997 4:00 p.m.

lrd



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

November 5, 1997

James E. Black, Treasurer
American Road & Transportation Builders
Association (ARTBA) - 525 PAC
1010 Massachusetts Avenue, NW
Washington, DC 20001

RE: MUR 4688
American Road & Transportation
Builders Association (ARTBA) -
525 PAC and James E. Black,
as treasurer

Dear Mr. Black:

On October 30, 1997, the Federal Election Commission found that there is reason to believe the American Road & Transportation Builders Association (ARTBA) - 525 PAC ("Committee") and you, as treasurer, violated 2 U.S.C. § 434(a)(4)(A)(i), (iii) and (iv), provisions 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 findings, is attached for your information.

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 additional information, 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.

If you are interested in expediting the resolution of this matter by pursuing preprobable 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.

98043873839

Mr. Black

Page 2

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

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

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

For your information, we have attached a brief description of the Commission's procedures for handling possible violations of the Act. If you have any questions, please contact Tamara K. Kapper, the staff member assigned to this matter, at (202) 219-3690.

Sincerely,



John Warren McGarry
Chairman

Enclosures

1. Factual and Legal Analysis
2. Procedures
3. Designation of Counsel Form
4. Conciliation Agreement

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FEDERAL ELECTION COMMISSION
FACTUAL AND LEGAL ANALYSIS

RESPONDENTS: American Road & Transportation Builders Association (ARTBA) - 525 PAC and James E. Black, as treasurer MUR: 4688

This matter was generated based on information ascertained by the Federal Election Commission ("the Commission") in the normal course of carrying out its supervisory responsibilities. See 2 U.S.C. 437g(a)(2).

The Federal Election Campaign Act of 1971, as amended, ("the Act") requires treasurers of political committees, other than authorized committees of a candidate, to file periodic reports of receipts and disbursements. 2 U.S.C. § 434(a)(1). Such committees may choose to file reports either on a monthly or quarterly basis. 2 U.S.C. § 434(a)(4). In a non-election year, such committees must also file a report covering the period beginning January 1 and ending June 30, which shall be filed no later than July 31, and a report covering the period beginning July 1 and ending December 31, which shall be filed no later than January 31 of the following calendar year. 2 U.S.C. § 434(a)(4)(A)(iv).

In any calendar year in which a regularly scheduled general election is held, committees that choose to file on a quarterly basis shall file quarterly reports no later than the 15th day after the last day of each calendar quarter. 2 U.S.C. § 434(a)(4)(A)(i). In addition to the regular reports, committees shall file a post-general election report no later than the 30th day after the

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general election which shall be complete as of the 20th day after such election. 2 U.S.C.

§ 434(a)(4)(A)(iii).

The American Road & Transportation Builders Association (ARTBA) - 525 PAC and James E. Black, as treasurer, ("ARTBAPAC") is a political committee not authorized by any candidate, and has elected to file disclosure reports on a quarterly basis.

Pursuant to 2 U.S.C. § 434(a)(4)(A)(iv), the due date for ARTBAPAC's 1995 Mid-Year Report was July 31, 1995. ARTBAPAC was notified on July 7, 1995, that their 1995 Mid-Year Report was due on July 31, 1995. On August 17, 1995, ARTBAPAC was sent a non-filer notice instructing them to file the late report immediately, and that the Commission may initiate audit or legal enforcement action regarding the late report. On April 9, 1996, ARTBAPAC filed their 1995 Mid-Year Report, 253 days late, disclosing receipts totaling \$32,565 and disbursements totaling \$17,767.

Pursuant to 2 U.S.C. § 434(a)(4)(A)(iv), the due date for ARTBAPAC's 1995 Year End Report was January 31, 1996. ARTBAPAC was notified on December 29, 1995, that their 1995 Year End Report was due on January 31, 1996. On February 23, 1996, ARTBAPAC was sent a non-filer notice instructing them to file the report immediately, and that the Commission may initiate audit or legal enforcement action in regard to the lateness of the report. Instead of filing a Year End Report covering activity from July 1 through December 31, 1995, ARTBAPAC filed a 1995 October Quarterly Report covering activity from July 1 through September 30, 1996, and a Year End Report disclosing activity covering October 1 through December 31, 1995. Both of these reports were filed on April 9, 1996. The reporting of the

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1995 Year End Report activity was 69 days late, and disclosed combined receipts totaling \$2,000 and combined disbursements totaling \$12,052.

On March 1, 1996, ARTBAPAC was sent a chronic late filer notice for the failure to file their 1995 Mid-Year and Year End Reports. The notice advised ARTBAPAC that any additional reports filed in an untimely manner could result in the Commission initiating legal enforcement action or audit action.

Pursuant to 2 U.S.C. § 434(a)(4)(A)(i), the due date for ARTBAPAC's 1996 July Quarterly Report was July 15, 1996. ARTBAPAC was notified on December 29, 1995 and on June 21, 1996, that their 1996 July Quarterly Report was due on July 15, 1996. On August 12, 1996, ARTBAPAC was sent a non-filer notice instructing them to file the report immediately, and that the Commission may initiate audit or legal enforcement action. On December 20, 1996, ARTBAPAC filed their 1996 July Quarterly Report, 158 days late, disclosing receipts totaling \$12,075 and disbursements totaling \$5,261.

Pursuant to 2 U.S.C. § 434(a)(4)(A)(i), the due date for ARTBAPAC's 1996 October Quarterly Report was October 15, 1996. ARTBAPAC was notified on December 29, 1995 and on September 20, 1996, that their 1996 October Quarterly Report was due on October 15, 1996. On November 6, 1996, ARTBAPAC was sent a non-filer notice instructing them to file the report immediately, and that the Commission may initiate audit or legal enforcement action. On December 20, 1996, ARTBAPAC filed their 1996 October Quarterly Report, 66 days late, disclosing receipts totaling \$2,650 and disbursements totaling \$8,465.

Pursuant to 2 U.S.C. § 434(a)(4)(A)(iii), the due date for ARTBAPAC's 1996 30 Day Post-General Report was December 5, 1996. ARTBAPAC was notified on December 29, 1995,

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September 30, 1996 and November 8, 1996, that their 1996 30 Day Post-General Report was due on December 5, 1996. On January 6, 1997, ARTBAPAC was sent a non-filer notice instructing them to file the report immediately, and that the Commission may initiate audit or legal enforcement action regarding the late report. On February 3, 1997, ARTBAPAC filed their 1996 30 Day Post-General Report, 60 days late, disclosing receipts totaling \$500 and disbursements totaling \$2,000.

Based on the foregoing, there is reason to believe that the American Road & Transportation Builders Association (ARTBA) - 525 PAC and James E. Black, as treasurer, violated 2 U.S.C. § 434(a)(4)(A)(i), (iii), and (iv).

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Organized in 1902 • The ARTBA Building 1010 Massachusetts Ave. N.W. Washington, D.C. 20001-5402 • (202) 289-4434 Fax: (202) 289-4435 • Internet: <http://www.artba.org>

November 19, 1997

Tamara K. Kapper
Staff Member
Federal Election Commission
Washington, DC 20463

Dear Ms. Kapper

I have reviewed our records for the American Road & Transportation Builders Association (ARTBA) - 525 PAC (C001182308). I concur with your assessment that the following reports were not sent into PAC by their due dates

1. 1996 30 Day Post General Report
2. 1996 October Quarterly Report
3. 1996 July Quarterly Report
4. 1995 Year End Report
5. 1995 Mid-Year Report

The delay in reporting the 1996 30 Day Post General Election Report was partly my fault. I was hired to replace the outgoing PAC treasurer on December 14th. When the Federal Election Commission informed ARTBA this report had not been filed, I, in error, sent a report covering a slightly different period than was needed by the FEC. Upon further notification of non-filing, I called the FEC to find out exactly what was needed. I then corrected my mistake and sent the correct report in on January 31, 1997. The major delay on filing this report was due to both my inexperience with the FEC reporting mechanisms and the delay caused by determining what mistake was made.

The failure to provide the other reports was the fault of previous treasurer who I was hired to replace. I have found he showed a chronic inability to file FEC reports in a timely manner. I have been unable to find any correspondence from the FEC to ARTBA PAC regarding these reports. Since I received letters from the FEC on my error, I assume you are correct in your assertion that the FEC issued notification of non-filing to him.

Senior ARTBA management was unaware that these reports had not been issued to the FEC. My predecessor maintained accurate receipt and disbursement records for ARTBA's PAC. Senior management received regular reports on the financial condition of the PAC from these records. They received no notification of his failure to file these FEC reports and were lead to believe through the reports he gave them that the FEC reports had been filed.

The senior management of ARTBA feels they had a reasonable basis for relying on the competence of my predecessor. He is both an MBA and a Certified Management

Chairman: Max R. Spriess, P.E. Senior Vice Chairman: David R. Kraemer, Jr. Vice Chairman: Stan F. Lantford, Treasurer: James R. Madara, P.E.

Vice Chairmen: John W. Midgley, P.E., John W. Wright, P.E., James Wray Bush, John R. Weisman, Jack Kinslinger, P.E.

Division Presidents: Arthur Walker, Jr., John M. Mason, Jr., James R. Beaton, Richard L. Hanneman, David C. Johnston, P.E., Dwight F. Messinger, Joseph W. Grigio, Jr., Gary R. Weidman, Sr.
Past Chairman's Council: Genney Collins, Jr., Council of State Executives: Michael L. Clowder, Contractor First Vice President: Richard E. Wagman, Immediate Past Chairman: Jay R. Taylor, Secretary & President: C. T. Ryan

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Accountant(CMA). His degrees and certification should have ensured that he understood the importance of filing these FEC reports on time. This was not the case.

ARTBA has recently increased its internal controls on the PAC so that this type of error does not happen again. Currently, all correspondence between the FEC and the ARTBA PAC are sent to both a program manager and the treasurer. This will ensure that at least two people are aware of any questions and concerns the FEC might have. Additionally, reports to senior management must include a complete and signed FEC Form 3X. Finally, both the treasurer and the program manager have enrolled in the December 12, FEC Conference to ensure both are current on the standards and guidelines of managing a PAC.

If you have any questions regarding this issue, please contact me at (202) 289 - 4434

Sincerely,

James E. Black, CPA
Treasurer
ARTBA 525 PAC
C00118208

Chairman: Max R. Sobles, P.E. Senior Vice Chairman: David R. Kraemer, P.E. First Vice Chairman: Stan F. Lantford, P.E. Treasurer: James R. Madara, P.E.

Vice Chairman: John W. Midgley, P.E., John W. Wright, P.E., James Wray Bush, John R. Weinman, Jack Kinstlinger, P.E.

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Past Chairmen's Council: Denver Collins, Jr. Council of State Executives: Michael L. Dowser, Contractors First Vice President: Richard E. Wagman, Immediate Past Chairman: J. R. Taylor, Secretary & President/CEO: T. Peter Ruane

BEFORE THE FEDERAL ELECTION COMMISSION

JAN 5 10 55 AM '98

In the Matter of)
) MUR 4688
American Road & Transportation Builders)
Association (ARTBA) - 525 PAC and)
James E. Black, as treasurer)

SENSITIVE

GENERAL COUNSEL'S REPORT

I. BACKGROUND

On October 30, 1997, the Federal Election Commission ("the Commission") found reason to believe that the American Road & Transportation Builders Association (ARTBA) - 525 PAC and James E. Black, as treasurer, ("ARTBAPAC") violated 2 U.S.C. § 434(a)(4)(A)(i), (iii) and (iv) by failing to file timely five (5) disclosure reports during the 1995-1996 election cycle. Specifically, ARTBAPAC failed to file timely their 1995 Mid-Year and Year End Reports; their 1996 July and October Quarterly Reports; and their 1996 30 Day Post-General Report. On November 19, 1997, ARTBAPAC submitted a written response to the Commission's reason to believe findings which included an explanation as to the lateness of the reports, recent corrective measures undertaken by ARTBAPAC

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III. RECOMMENDATIONS


1. Accept the attached conciliation counterproposal by the American Road & Transportation Builders Association (ARTBA) - 525 PAC and James E. Black, as treasurer.
2. Close the file.
3. Approve the appropriate letter.

Lawrence M. Noble
General Counsel

Date

1/8/98

BY:


Lois G. Lerner
Associate General Counsel

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BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of)
)
American Road & Transportation Builders) MUR 4688
Association (ARTBA) - 525 PAC and)
James E. Black, as treasurer.)

CERTIFICATION

I, Marjorie W. Emmons, Secretary of the Federal Election Commission, do hereby certify that on January 14, 1998, the Commission decided by a vote of 5-0 to take the following actions in MUR 4688:

1. Accept the conciliation counterproposal by the American Road & Transportation Builders Association (ARTBA) - 525 PAC and James E. Black, as treasurer, as recommended in the General Counsel's Report dated January 8, 1998.
2. Close the file.
3. Approve the appropriate letter, as recommended in the General Counsel's Report dated January 8, 1998.

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

Attest:

1-14-98
Date

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

Received in the Secretariat: Fri., Jan. 09, 1998 10:33 a.m.
Circulated to the Commission: Fri., Jan. 09, 1998 12:00 p.m.
Deadline for vote: Wed., Jan. 14, 1998 4:00 p.m.

lrd



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

January 22, 1998

James E. Black, Treasurer
American Road & Transportation Builders
Association (ARTBA) - 525 PAC
1010 Massachusetts Avenue, N.W.
Washington D.C. 20001-5402

RE: MUR 4688
American Road & Transportation
Builders Association (ARTBA) - 525
PAC, and James E. Black, as
treasurer

Dear Mr. Black:

On January 14, 1998, the Federal Election Commission accepted the signed conciliation agreement and civil penalty that you submitted in settlement of a violation of 2 U.S.C. § 434(a)(4)(A)(i), (iii) and (iv), provisions of the Federal Election Campaign Act of 1971, as amended ("the Act"). Accordingly, the file has been closed in this matter.

The confidentiality provisions at 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 before receiving your additional materials, any permissible submissions will be added to the public record upon receipt.

Information derived in connection with any conciliation attempt will not become public without the written consent of the respondent and the Commission. See 2 U.S.C. § 437g(a)(4)(B). The enclosed conciliation agreement, however, will become a part of the public record.

Mr. Black
Page 2

Enclosed you will find a copy of the fully executed conciliation agreement for your files.
If you have any questions, please contact me at (202) 219-3690.

Sincerely,

A handwritten signature in black ink that reads "Tamara K. Kapper". The signature is written in a cursive, flowing style.

Tamara K. Kapper
Paralegal Specialist

Enclosure
Conciliation Agreement

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BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of)
) MUR 4688
American Road & Transportation Builders)
Association (ARTBA) - 525 PAC and)
James E. Black, 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 American Road & Transportation Builders Association (ARTBA) - 525 PAC and James E. Black, as treasurer, ("Respondents") violated 2 U.S.C. § 434(a)(4)(A)(i), (iii) and (iv).

NOW, THEREFORE, the Commission and 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 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 this matter.

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

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

1. American Road & Transportation Builders Association (ARTBA) - 525 PAC is a political committee within the meaning of 2 U.S.C. § 431(4).

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2. Eugene M. Johnson served as treasurer of the American Road & Transportation Builders Association (ARTBA) - 525 PAC from April 10, 1990 until April 8, 1996. Jeffrey T. Hungate served as treasurer from April 9, 1996 until February 2, 1997. James E. Black is the current treasurer of American Road & Transportation Builders Association (ARTBA) - 525 PAC.

3. The Federal Election Campaign Act of 1971, as amended, ("the Act") requires treasurers of political committees other than authorized committees of a candidate to file periodic reports of receipts and disbursements. 2 U.S.C. § 434(a)(1).

4. In any calendar year in which a regularly scheduled general election is held, all political committees that choose not to file on a monthly basis shall file quarterly reports which shall be filed no later than the 15th day after the last day of each calendar quarter, except that the report for the quarter ending December 31 of such calendar year shall be filed no later than January 31 of the following calendar year. 2 U.S.C. § 434(a)(4)(A)(i).

5. In addition, political committees shall file a post-general election report no later than the 30th day after the general election which shall be complete as of the 20th day after such election. 2 U.S.C. § 434(a)(4)(A)(iii).

6. Finally, in a non-election year, political committees must file a report covering the period beginning January 1 and ending June 30, which shall be filed no later than July 31, and a report covering the period beginning July 1 and ending December 31, which shall be filed no later than January 31 of the following calendar year. 2 U.S.C. § 434(a)(4)(A)(iv).

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7. Respondents' 1995 Mid-Year Report was due on July 31, 1995. 2 U.S.C. § 434(a)(4)(A)(iv). Respondents filed their 1995 Mid-Year Report on April 9, 1996, 253 days late, disclosing receipts totaling \$32,565 and disbursements totaling \$17,767.

8. Respondents' 1995 Year End Report was due on January 31, 1996. 2 U.S.C. § 434(a)(4)(A)(iv). Respondents filed two (2) separate reports, a 1995 October Quarterly Report and a 1995 Year End Report, which encompassed the activity from July 1 through December 31, 1995. Respondents filed both of these reports on April 9, 1996, 69 days late, disclosing combined receipts totaling \$2,000 and combined disbursements totaling \$12,052.

9. Respondents' 1996 July Quarterly Report was due on July 15, 1996. 2 U.S.C. § 434(a)(4)(A)(i). On December 20, 1996, Respondents filed their 1996 July Quarterly Report 158 days late, disclosing receipts totaling \$12,075 and disbursements totaling \$5,261.

10. Respondents' 1996 October Quarterly Report was due on October 15, 1996. 2 U.S.C. § 434(a)(4)(A)(i). On December 20, 1996, Respondents filed their 1996 October Quarterly Report, 66 days late, disclosing receipts totaling \$2,650 and disbursements totaling \$8,465.

11. Respondents' 1996 30 Day Post-General Report was due on December 5, 1996. 2 U.S.C. § 434(a)(4)(A)(iii). Respondents filed their 1996 30 Day Post-General Report on February 3, 1997, 60 days late, disclosing receipts totaling \$500 and disbursements totaling \$2,000.

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V. Respondents' failed to file timely their 1995 Mid-Year and Year End Reports in violation of 2 U.S.C. § 434(a)(4)(A)(iv); their 1996 July Quarterly and October Quarterly Reports in violation of 2 U.S.C. § 434(a)(4)(A)(i); and their 1996 30 Day Post-General Report in violation of 2 U.S.C. § 434(a)(4)(A)(iii).

VI. Respondents will pay a civil penalty to the Federal Election Commission in the amount of five thousand five hundred dollars (\$5,500), pursuant to 2 U.S.C. § 437g(a)(5)(A).

VII. The Commission, on request of anyone filing a complaint under 2 U.S.C. § 437g(a)(1) concerning the matters at issue herein or on its own motion, may review compliance with this agreement. If the Commission believes that this agreement or any requirement thereof has been violated, it may institute a civil action for relief in the United States District Court for the District of Columbia.

VIII. This agreement shall become effective as of the date that all parties hereto have executed same and the Commission has approved the entire agreement.

IX. Respondents shall have no more than 30 days from the date this agreement becomes effective to comply with and implement the requirement 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,

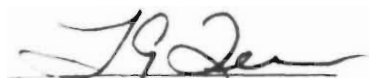
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made by either party or by agents of either party, that is not contained in this written agreement shall be enforceable.

FOR THE COMMISSION:

Lawrence M. Noble
General Counsel

BY:


Lois G. Lerner
Associate General Counsel

Date

1-21-98

FOR THE RESPONDENTS:



(Name)
(Position)

Date

12/9/97

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FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

THIS IS THE END OF MUR # 4688

DATE FILMED 2/9/98 CAMERA NO. 2

CAMERAMAN SES

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