List of Subjects in 10 CFR Part 9

Freedom of Information, Penalty, Privacy, Reporting and recordkeeping requirements, Sunshine Act.

For the reasons set out in the preamble and under the authority of the Atomic Energy Act of 1954, as amended, the Energy Reorganization Act of 1974, as amended, and 5 U.S.C. 553, the NRC is adopting the following amendment to 10 CFR Part 9.

PART 9—PUBLIC RECORDS

1. The authority citation for Part 9 continues to read as follows:


2. Section 9.95 is revised to read as follows:

§ 9.95 Specific exemptions.

The following records, contained in the designated NRC Systems of Records (NRC–5, NRC–9, NRC–11, NRC–18, NRC–22, NRC–28, NRC–29, NRC–31, NRC–33, NRC–37, NRC–39, and NRC–40) are exempt from 5 U.S.C. 552a(e)(3), (d), (e)(1), (e)(4)(G), (H), (I), and (f) in accordance with 5 U.S.C. 552a(k). Each of these records is subject to the provisions of § 9.61:

(a) Contracts Records Files, NRC–5;
(b) Equal Employment Opportunity Records Files, NRC–9;
(c) General Personnel Records (Official Personnel Folder and Related Records), NRC–11;
(d) Investigative Offices Index, Files, and Associated Records, NRC–18;
(e) Personnel Performance Appraisals, NRC–22;
(f) Recruiting, Examining, and Placement Records, NRC–28;
(g) Document Control System, NRC–29;
(h) Correspondence and Records Branch, Office of the Secretary, NRC–31;
(i) Special Inquiry File, NRC–33;
(j) Information Security Files and Associated Records, NRC–37;
(k) Personnel Security Files and Associated Records, NRC–39; and

Dated at Bethesda, MD, this 24th day of December 1986.

For the Nuclear Regulatory Commission.

Victor Stallo, Jr.,
Executive Director for Operations.

[F.R. Doc. 87–460 Filed 1–8–87; 8:45 a.m]

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On April 17, 1985 the Commission issued a Notice of Proposed Rulemaking seeking comments on proposed revisions to these regulations. 50 FR 15168. Thirteen comments were received in response to the Notice. On October 16, 1985 the Commission held a public hearing on the proposed regulations.

2 U.S.C. 438(d) requires that any rule or regulation prescribed by the Commission to carry out the provisions of Title 2, United States Code, be transmitted to the Speaker of the House of Representatives and the President of the Senate prior to final promulgation. These regulations were transmitted to Congress on January 6, 1987.

Explanation and Justification

The two principal areas in which the rules published today differ from the previous rules concern redesignation of contributions for different elections and reattribution of contributions to different contributors. See 11 CFR 110.1(b)(5) and 110.1(k). The Commission has adopted specific procedures whereby political committees may seek and obtain from contributors redesignations and reattributions of certain contributions that would otherwise be illegal. Under the revised rules, the timing and operation of the redesignation process is consistent with the timing and operation of the reattribution process. This allows political committees to seek redesignation, reattribution, or a combination of both in a single written request to a contributor.

After considering the public comments and testimony on the net debts outstanding rule and the aggregation of contributions rule, the Commission has decided to retain its longstanding approach in these areas. See 11 CFR 110.1(b)(3) and 110.1(h). The Commission has concluded that the net debts provision is based on the FECA’s requirement that the contribution limits apply on a per election basis, and that this rule correctly interprets the statutory requirement that contributions be made with respect to the election in which contributions are made. Consequently, the Commission reaffirms today its position that it cannot adopt an approach which places fewer restrictions on the timing or receipt of contributions absent statutory changes.

Section 110.1 Contributions by persons other than multicandidate political committees.

This section has been substantially revised to resolve several issues that have been raised during the administration and enforcement of these
provisions since they were promulgated in 1977. In addition, § 110.1 has been reitled “Contributions by persons other than multicandidate political committees” to reflect that several provisions pertaining to multicandidate committees have been removed from § 110.1 and placed in § 110.2.

Section 110.1(a) Scope.

A new “Scope” paragraph has been included in § 110.1 to provide a statement as to who is subject to the contribution limitations of this section. Paragraph 110.1(a) clarifies that the ability to make contributions under this section does not apply to corporations, labor organizations, foreign nationals or other entities prohibited from contributing to federal candidates. The new “Scope” provision has been added to eliminate any confusion that could arise from the inclusion of these entities in the definition of person in 2 U.S.C. 431(11).

Section 110.1(b) Contributions to candidates; designations; and redesignations.

Revised § 110.1(b)(1) follows current § 110.1(a)(1).

Revised § 110.1(b)(2) generally follows current § 110.1(a)(2) in defining the term “with respect to any election.” A new sentence has been added to § 110.1(b)(2) encouraging contributors to supply written designations for their contributions. Written designations ensure that the contributor’s intent is clearly conveyed to the recipient candidate or committee. Moreover, written designations promote consistency in reporting by the recipient committee and the contributor, where the contributor is a political committee subject to the limitations of § 110.1. For these reasons, written designations are strongly encouraged, although they are not required. However, a designation would be required if the contributor wishes to make a contribution for an election other than the next upcoming election.

With regard to undesignated contributions, revised § 110.1(b)(2)(ii) requires that they be counted toward the contributor’s limit for the next election for that Federal office after they are made. Current § 110.1(a)(2)(ii) (A) and (B) state that undesignated contributions are counted toward the primary election if made on or before that election, and are counted toward the general election if made after the date of the primary election. Since the current language does not address several situations, it is being revised to provide that undesignated contributions simply count against the limits for the next election, whichever election that may be, even if the next election is not in the same election cycle.

Paragraph 110.1(b)(3) reaffirms and clarifies the Commission’s position as to the circumstances in which contributions for a particular election may be made and accepted after the election has taken place. Having considered the public comments on this issue, the Commission had decided to continue its previous policy of permitting post-election contributions only to the extent that the candidate’s authorized campaign committee has net debts outstanding from that particular election. Paragraph 110.1(b)(3)(i) clarifies that this rule applies to all elections, not just primaries. See AO 1977-24.

The approach embodied in § 110.1(b)(3) is based on the Commission’s interpretation of specific statutory language. The FECA defines “contribution” as being “for the purpose of influencing any election for Federal office.” 2 U.S.C. 431(8). Furthermore, § 441a(a) (1)(A) and (2)(A) of the FECA limits the amounts that may be contributed “with respect to any election for Federal office.” 2 U.S.C. 441a(a) (1)(A) and (2)(A). The Commission believes that funds given to a candidate after an election is over cannot meet the Act’s requirements that contributions be made with respect to and for the purpose of influencing that election unless they could be used to retire outstanding debts from that election. Absent such debts, contributions to past elections would, in reality, influence future elections. Hence, the net debts rule, by effectuating the contribution limits, furthers the fundamental goal of the FECA, which is to protect the integrity of the electoral process.

The Commission received numerous public comments on the net debts regulation. The responses were divided between those who favored retaining and strengthening the net debts rule and those who argued against such restrictions on post-election contributions. The Commission considered an approach which would have permitted both primary and general election contributions to be made up to the date of the general election, but would have permitted them after that date only to the extent of net debts outstanding. The Commission concluded, however, that such an approach would not be consistent with the Act’s per election contribution limitations, and would require new legislation establishing contribution limits on an election cycle basis. Thus, the Commission rejected this avenue, as being beyond the Commission’s regulatory authority under the current statute.

Paragraph 110.1(b)(3)(i) explains how candidates should handle post-election contributions that cannot be accepted because they have no net debts outstanding. This provision is based on the principle established by the 1974 legislative history that individuals cannot give to any candidate or political committee supporting that candidate more than $1,000 for each election in which the candidate participates. "..." 120 Cong. Rec. S18,552 (daily ed. Oct. 8, 1974) (Statement of Sen. Cannon summarizing the Conference Committee Report, emphasis added). Paragraph 110.1(b)(3)(i) is also consistent with the Commission’s interpretation of the current net debts rule. For example, the Commission has stated that where a general election is held, but the candidate does not participate in that election, no separate contribution limit for that general election is available to contributors. AOs 1986-17, 1985-41, and 1983-122; cf. AO 1982-49 (no separate contribution limit is available where the primary election was cancelled) and AO 1980-68 (a candidate must return contributions for a primary runoff election in which the candidate does not participate).

Paragraph 110.1(b)(3)(ii) explains the campaign committee’s options when it receives post-election contributions in the absence of or in excess of net debts outstanding. Within ten days of receipt, the committee must either deposit the contribution or return it to the contributor. If the treasurer chooses to deposit the contribution, then within sixty days of receipt, the treasurer must do one of the following: (1) Refund the contribution to the contributor; (2) Obtain a redesignation for a different election; or (3) Obtain a reattribution to a different contributor in combination with a redesignation for a different election. It should be noted that a reattribution alone would not be sufficient, since neither contributor could make post-election contributions in the absence of net debts outstanding. However, the contribution could be accepted if it was first reattributed to another contributor, and then redesignated for a different election. The redesignation and reattribution procedures are explained more fully below. For the purposes of these regulations, contributions are “returned” when the negotiable instrument comprising the contribution is sent back to the contributor instead of being deposited. Contributions are “refunded” when the recipient committee sends the
contributor a check for the amount of the contribution which had been previously deposited.

Paragraph 110.1(b)(3)(iii) provides candidates and campaign committees with guidelines for determining whether they have net debts outstanding from a particular election. It defines "net debts outstanding" as total unpaid debts and obligations incurred with respect to a particular election minus cash on hand and receivables available to pay those expenses as of the date of the election. The definition of cash on hand in this paragraph is the same as the definition in current § 104.3(a)(1) with one minor exception. In § 110.1(b)(3)(i) committee investments are valued at fair market value, not at cost, since the fair market value more accurately reflects a committee's financial position.

In calculating election-related expenses, a candidate who will not be participating in the next election, or whose authorized committee is terminating, may include necessary winding down costs. However, a candidate who will be running in the next election may not include such costs because he or she is not participating in the election.

Paragraph 110.1(b)(3)(ii) provides that the net debts outstanding figure, initially stated in the net debts provision to include in the net debts provision to include in the gross debts outstanding definition in current § 104.3(a)(1) with one minor exception. In § 110.1(b)(3)(i) committee investments are valued at fair market value, not at cost, since the fair market value more accurately reflects a committee's financial position.

To demonstrate how the net debts outstanding rule operates, the Commission has prepared the following hypothetical example:

**Illustration**

On May 6, 1986 the Candidate wins the primary election. As of that day, the candidate's principal campaign committee's position is as follows:

- **Outstanding Balance on Loans**: $60,000
- **Other Unpaid Debts and Obligations**: $15,000
- **Cash on Hand and Receivables**: $35,000

The Candidate has $40,000 of net debts outstanding as of May 6, 1986. Please note that total primary debts and obligations should not include any expenses that have been incurred solely with respect to the general election.

1. To determine the committee's net debts outstanding, the treasurer should begin by calculating the total amount of primary related debts and obligations owed by the committee as of the date of the primary. This amount is $60,000 plus $15,000, or $75,000. Please note that total primary debts and obligations should not include any expenses that have been incurred solely with respect to the general election.

2. Next, the treasurer should subtract cash on hand and receivables from total debts. This amount is $75,000 minus $35,000, or $40,000. Hence, the Candidate has $40,000 of net debts outstanding as of May 6, 1986. Please note that for purposes of this calculation cash on hand need not include primary contributions that are specifically designated for the general election and separately accounted for in accordance with 11 CFR 102.9(e). (If the candidate had lost the primary, this option would be foreclosed.)

3. Between May 6, 1986 and May 30, 1986 the Candidate receives $33,000 of designated primary contributions. (Undesignated contributions made after May 6, 1986 count toward the primary election and do not automatically reduce the amount of net primary debts. However, the Candidate may use such funds to pay primary debts if the designation has to appear on the written instrument. The Candidate may also consider a contribution redesignated in accordance with 11 CFR 102.9(e) to be properly designated, whether or not the contribution was originally designated.

The guidelines clarify that contributions may be made by the candidate and not the recipient committee. They are also intended to be responsive to questions regarding the timing of the designation and whether the designation should be provided to the candidate. The Commission has also revised 11 CFR 102.9(e) to refer to contributions designated in writing by the contributor to eliminate any apparent conflict as to who may provide designations.

The Committee has considered and rejected a suggestion to allow previous deposits.
contributors that are political committees to designate their contributions by indicating on the reports they file with the Commission whether the contribution is for the primary or general election. A serious drawback to such a system is that the designation information would not be communicated to the recipient candidate or committee. This may lead to conflicts as to how the designated contribution is reported by the recipient committee and the donor, when the donor is a reporting entity. See, e.g., Antosh v. FEC, 599 F. Supp. 850 (D.D.C. 1984). In addition, individual contributors could not designate their contributions in this manner because they are not required to file reports. The Commission believes that all contributors should follow the same designation procedures. Therefore, the Commission has decided that the written designation must be sent by the contributor to the candidate or political committee at the time the contribution is made. However, contributors may make subsequent redesignations, provided that certain requirements discussed below are satisfied.

A question also has been raised as to whether contributions received in response to a solicitation for a particular election should be considered to be designated for that election. Under new § 110.1(b)(4), the contributor would be able to effectuate a designation by returning a preprinted form supplied by the soliciting committee that clearly states the election to which the contribution will be applied, provided that the contributor signs the form, and sends it to the committee together with the contribution.

New § 110.1(b)(5) sets forth procedures under which a contribution made for a particular election may be redesignated by the contributor for a different election. Under the new regulations, the recipient candidate or his or her authorized political committee may ask the contributor for a redesignation in three situations: (1) The contribution, either by itself or when added to other contributions from that person, exceeds the contribution limitations for a particular election; (2) The contribution cannot be accepted because it was made after the election for which it was designated, and there are no net debts outstanding from that election; or (3) The contribution is undesignated and will count toward the contributor’s limit for the next election, but the contributor wishes to count it toward a previous election for which the candidate has net debts outstanding. However, the new redesignation rule does not permit committees to seek redesignation for contributions prohibited by 2 U.S.C. 441b, 441e, or 441f. Finally, committees do not need to seek or obtain a redesignation when a contribution can be properly accepted for a particular election, but the committee does not need to use it for that election, and wishes to apply it toward expenditures for another election. See, e.g., AO 1981-9.

The issue of whether to permit redesignations was raised for public comment in the April 17, 1985 Notice of Proposed Rulemaking because this is an area of concern to candidates. See, e.g., AO 1984-32. Several public comments favored the concept of redesignation, but differed as to the specific approach to be adopted. The Commission has decided to adopt a system which permits candidates to seek redesignation of contributions for different elections. By allowing redesignation, the Commission is attempting to encourage candidates to pay their campaign debts by eliminating the need to refund impermissible contributions and then solicit contributions for another election.

New § 110.1(b)(5)(ii) establishes the procedures for making redesignations. These new procedures provide a sixty day period from the date a treasurer receives a contribution within which the treasurer must examine the contribution for compliance with the contribution limits, make a written request for redesignation if necessary and receive the written redesignation from the contributor. If the redesignation is not in writing, or is not received within the required sixty day time frame, the contribution must be refunded. Written redesignations signed by the contributor are required to ensure that they effectuate donor intent and to aid accurate recordkeeping and reporting.

The Commission has considered various public comments as to the appropriate time limit for obtaining redesignations. Current § 103.3(b)(2) simply requires the return of contributions within a reasonable time if they cannot be determined to be legal. The new sixty day time limit established by the Commission represents a balance between the need to establish a realistic deadline, on the one hand, and the need to resolve the problems created by excessive contributions as quickly as possible, on the other hand. The sixty day deadline applies to redesignations under § 110.1(b)(5), reattributions under § 110.1(k) and refunds of excessive contributions under § 103.3(b)(3). The sixty day period begins on the date the treasurer of the committee receives the original contribution. The Commission considered beginning the time period on the date of deposit but rejected that approach because committees are required to report the date of receipt. The Commission also considered establishing an interim thirty day period in which the recipient must aggregate contributions from the same contributor, and calculate net debts outstanding, if necessary. Although the Commission did not adopt the interim deadline, in order for political committees to be able to obtain contributor redesignations within the sixty day period, they are encouraged to perform their required aggregations and net debts calculations within thirty days after receiving a contribution. The Commission did adopt a thirty day time limit for refunding contributions from corporations, labor organizations, foreign nationals, and Federal contractors. See revised 11 CFR 103.3(b)(1).

The new procedures for redesignating contributions for different elections may be invoked only by authorized committees, because other political committees do not receive contributions on a per election basis.

Paragraph 110.1(b)(5)(iii) establishes two limitations on redesignation. First, contributions redesignated for previous elections must comply with the net debts outstanding rule at § 110.1(b)(3). Second, a redesignation for a different election is not permitted if it would result in an excessive contribution being made for that election. These restrictions prevent the redesignation procedures from being used to circumvent the contribution limitations established by the FECA.

Finally, the Commission has adopted new guidelines for reporting redesignated contributions and maintaining adequate records of redesignations. The recordkeeping provision is located in new § 110.1(1), and the reporting provision may be found at revised § 104.8(d). These are discussed more fully below.

New § 110.1(b)(6) specifies that a contribution is considered to be made when the contributor relinquishes control over the contribution. This provision was added to the regulations because the timing of a contribution is of significance in several situations. For example, the date on which an undesignated contribution is made will determine whether the contribution counts against the contributor’s limit for the primary or general election. The date also affects whether the net debts outstanding rule at § 110.1(b)(3) is triggered, because if a contribution is made on or before the date of a...
Section 110.1(e) Contributions by partnerships

Paragraph 110.1(e) generally follows the current rule by providing that contributions made by a partnership are attributable to the individual partners either in direct proportion to their shares of the partnership profits or according to an agreement made by the partners. This paragraph has been revised slightly to clarify that such contributions are attributable to both the partnership and the individual partners.

The rule also clarifies that a corporate partner may not make contributions to federal candidates, and that the corporate partner’s portion of the partnership profits or losses must not be affected by the partnership’s political contributions. See AOs 1982-63, 1981-65, 1981-54 and 1980-132. In response to a concern raised by one comment, the Commission considered whether to require all contributing partners to sign the written instrument or an attached writing. The Commission has concluded that such a requirement would be burdensome for many partnerships and would duplicate the attribution instructions that the partnership must already provide. Accordingly, new § 110.1(k), which sets forth signature requirements for joint contributions, states that the signature of each contributing partner is not required.

The Commission considered several alternatives to the dual attribution rule for partnership contributions, and received a wide range of responses to its suggestions. One approach was to require all contributing partners to sign the written instrument or an attached writing. The Commission concluded that such a requirement would be burdensome for many partnerships and would duplicate the attribution instructions that the partnership must already provide. Accordingly, new § 110.1(k), which sets forth signature requirements for joint contributions, states that the signature of each contributing partner is not required.

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prohibited from contributing more than $1,000 to a federal candidate. Thus, the Commission has decided to retain the prior dual attribution rule. It has worked well in the past, and it ensures that members of a partnership do not receive the benefit of an additional contribution ceiling that is not available to others who do not belong to a partnership.

The Commission also sought public comment on several related partnership issues, such as whether a partnership should be treated as a conduit or political committee if it establishes a contribution program to facilitate the making of political contributions by its partners. Another question presented was how to treat the partnership’s payment of its political committee’s administrative expenses. These questions were addressed in AOs 1964–18, 1992–63, 1992–13, 1981–56, 1981–54, 1981–50 and 1980–72. The public comments that responded to these questions generally treated partnerships as conduits, and were divided as to the questions regarding political committees formed by partnerships. Upon further consideration, the Commission has decided not to issue general rules in this area because it has been the Commission’s experience that such questions are best resolved on a case-by-case basis. The Advisory Opinion process affords an opportunity to consider the particular circumstances of each case.

Section 110.1(f) Contributions to candidates for more than one federal office.

Section 110.1(f) follows the current rule in setting forth the conditions under which a contributor may give up to $1,000 for each election for each office when a candidate runs for more than one federal office. Although no substantive revisions have been made, this provision was slightly reworded for clarity.

Section 110.1(g) Contributions to retire pre-1975 debts.

Section 110.1(g) follows the current rule by providing that contributions designated to retire debts from elections held prior to January 1, 1975 are not subject to the limitations of Part 110, and that contributions to retire debts resulting from elections held after December 31, 1974 are subject to 11 CFR Part 110. The amended provision is consistent with Commission policy to provide separate contribution limits for general elections that are not held because the candidate is unopposed. This provision follows the current rule by providing a separate contribution limit for primaries that are not held because the candidate is unopposed. In all these situations, the date on which the election would have been held is considered to be the date of the election. These revisions are consistent with Commission policy to permit separate contribution limits in these situations. See AO 1984–54.

In the Notice of Proposed Rulemaking, the Commission raised the question of whether the changes to § 110.1(j)(3) necessitate any amendments to 11 CFR 104.5(a) regarding the filing of pre- and post-election reports. The Commission has concluded that current § 104.5(a) adequately alerts candidates and their authorized committees to their obligation to file such reports. See AO 1988–21.

New § 110.1(j)(4) addresses the situation in which a primary election is not held because the nominee was selected by a caucus or convention having authority to nominate under State law. In that situation, § 110.1(j)(4) provides that there is no separate contribution limit with respect to the primary election. Hence, the candidate is required to refund or seek redesignation of primary contributions if the contributors have exhausted their contribution limits for the caucus or convention. This new provision is consistent with the Commission’s decision in AO 1982–49.

Section 110.1(k) Joint contributions and reattribution.

New § 110.1(k) governs contributions made by more than one person in a single written instrument. In drafting this provision, the Commission has included in the regulations for the first time specific regulatory language permitting after the fact reattributions of contributions to other contributors. This
Rulemaking discussed whether equal attribution should apply only to joint contributions from spouses, or whether it should apply to all joint contributions. No public comments addressed these questions.

The Commission has decided to adopt new § 110.1(k)(2), which states that all joint contributions shall be attributed equally to each contributor if the amount attributable to each is not indicated. Section 110.1(k)(2) also permits joint contributors to supply alternative attributions, if they wish to do so. A similar approach was adopted by the Commission in the Presidential matching funds regulations. See 11 CFR 9034.2(c)(1)(i) (48 FR 5239; February 4, 1983). The presumption of equal attribution acknowledges the legal status of the contributors as joint tenants in a joint account, each of whom may draw on all the funds in that account. Finally, the Commission has decided that equal attribution presumption should not be restricted to joint contributions by spouses since the political committee receiving the contribution may not know whether or not the contributors are married.

New § 110.1(k)(3) sets forth procedures enabling political committees to request and obtain written reattributions of contributions to other contributors. The new provision permits reattribution if the original contribution, either by itself, or when added to other contributions from the same contributor, exceeds the contribution limitations for a particular election. A candidate's authorized committee may also seek a reattribution if it receives a designated contribution after an election for which it has no remaining net debts. In that situation, the contribution could be accepted if it is first reattributed to another contributor and then redesignated for another election. However, the new reattribution provisions do not allow committees to seek reattribution if the original contribution is prohibited by 2 U.S.C. 441b, 441c, 441e, or 441f.

The new reattribution procedures set forth in § 110.1(k)(3)(i) establish a sixty day time period from the date the treasurer receives a contribution within which the treasurer must examine the contribution for compliance with the contribution limits, make a written request for reattribution if necessary, and receive the written reattribution signed by all joint contributors. If the reattribution is not received within the sixty day period, or if a reattribution fails to meet these requirements, the contribution must be refunded. The Commission is requiring reattributions to be in writing and to be signed by all joint contributors to ensure that each individual did, in fact, intend to contribute, and to avoid creating an opportunity for contributions to be made in the name of another. Written reattributions also provide the contributors with an opportunity to specify an alternative attribution if equal attribution is not intended, and promote accurate recordkeeping and reporting.

The Commission has chosen a sixty day deadline for obtaining reattributions, which is consistent with the sixty day deadline for obtaining redesignations. This enables political committees to coordinate their communications requesting reattribution and redesignation.

In the past, the Commission has imposed several restrictions on reattribution. See AO 1985-25. For example, the reattribution process has been limited to those situations in which the recipient political committee or its treasurer has a reasonable basis for concluding that the contributor is married and intended to make a joint contribution with his or her spouse.

Rulemaking considered whether equal attribution should apply only to joint contributions from spouses, or whether it should apply to all joint contributions. No public comments addressed these questions.

The Commission has decided to adopt new § 110.1(k)(2), which states that all joint contributions shall be attributed equally to each contributor if the amount attributable to each is not indicated. Section 110.1(k)(2) also permits joint contributors to supply alternative attributions, if they wish to do so. A similar approach was adopted by the Commission in the Presidential matching funds regulations. See 11 CFR 9034.2(c)(1)(i) (48 FR 5239; February 4, 1983). The presumption of equal attribution acknowledges the legal status of the contributors as joint tenants in a joint account, each of whom may draw on all the funds in that account. Finally, the Commission has decided that equal attribution presumption should not be restricted to joint contributions by spouses since the political committee receiving the contribution may not know whether or not the contributors are married.

New § 110.1(k)(3) sets forth procedures enabling political committees to request and obtain written reattributions of contributions to other contributors. The new provision permits reattribution if the original contribution, either by itself, or when added to other contributions from the same contributor, exceeds the contribution limitations for a particular election. A candidate's authorized committee may also seek a reattribution if it receives a designated contribution after an election for which it has no remaining net debts. In that situation, the contribution could be accepted if it is first reattributed to another contributor and then redesignated for another election. However, the new reattribution provisions do not allow committees to seek reattribution if the original contribution is prohibited by 2 U.S.C. 441b, 441c, 441e, or 441f.

The new reattribution procedures set forth in § 110.1(k)(3)(i) establish a sixty day time period from the date the treasurer receives a contribution within which the treasurer must examine the contribution for compliance with the contribution limits, make a written request for reattribution if necessary, and receive the written reattribution signed by all joint contributors. If the reattribution is not received within the sixty day period, or if a reattribution fails to meet these requirements, the contribution must be refunded. The Commission is requiring reattributions to be in writing and to be signed by all joint contributors to ensure that each individual did, in fact, intend to contribute, and to avoid creating an opportunity for contributions to be made in the name of another. Written reattributions also provide the contributors with an opportunity to specify an alternative attribution if equal attribution is not intended, and promote accurate recordkeeping and reporting.

The Commission has chosen a sixty day deadline for obtaining reattributions, which is consistent with the sixty day deadline for obtaining redesignations. This enables political committees to coordinate their communications requesting reattribution and redesignation.

In the past, the Commission has imposed several restrictions on reattribution. See AO 1985-25. For example, the reattribution process has been limited to those situations in which the recipient political committee or its treasurer has a reasonable basis for concluding that the contributor is married and intended to make a joint contribution with his or her spouse. Upon further consideration, the Commission has decided not to impose this restriction since it is often difficult for political committees to ascertain from the face of a negotiable instrument whether the account holders are married. The Commission also considered and rejected inclusion of language which would have prohibited reattributions if the total amount of the contribution exceeded the combined contribution limits for all contributors. In this situation the non-excessive portion of the contribution may be reattributed. The Commission also decided not to require each contributor to state that he or she has sufficient personal funds in the joint account to cover his or her portion of the joint contribution because each account holder enjoys the right to draw upon the entire amount in the account.

Finally, the Commission has adopted new regulations for reporting reattributions and maintaining adequate records of reattributed contributions. New § 110.1(1)(1) contains the recordkeeping provision and revised § 104.8(d) addresses reporting.

Section 110.1(1) Supporting evidence.

Section 110.1(1) is new to the regulations. It provides treasurers of political committees with guidance in establishing that they have accurately reported all designations, redesignations and reattributions they have received. Under current § 104.14(d), treasurers are
responsible for the accuracy of committee reports filed with the FEC. New § 110.1(f) requires political committees receiving designated contributions to retain a written copy of the contributor's designation. If a recipient committee fails to comply, the contribution shall be treated as though it is undesignated. Similarly, the recipient committee is required to maintain copies of all written redesignations and reattributions. Failure to maintain these records will invalidate the redesignation or reattribution, and the original designation or attribution shall control. The Commission is requiring committees to maintain these records in order to demonstrate that illegal contributions have been cured through the redesignation or reattribution process.

New § 110.1(l) also provides that the political committee shall retain the envelope or a copy of the envelope whenever it wishes to rely on a postmark for evidence of when a contribution was made. Although political committees are not required to retain envelopes, it is advisable for them to do so if a contribution was mailed shortly before or on the date of the election. The postmark will enable them to establish that an undesignated contribution counts against the contributor's limit for that election. It will also enable them to accept a contribution designated for that election without having to determine whether they had net debts for that election.

A cross-reference to the § 110.1(l) supporting evidence provision has been included in the recordkeeping provision located at 11 CFR 102.9.

Section 110.2 Contributions by multicandidate political committees.

This section consolidates the provisions in current § 110.1 and § 110.2 that implement the statutory limitations on contributions made by multicandidate political committees. This revision enables multicandidate committees to locate the provisions affecting them in a single section. Section 110.2 has also been reorganized to more closely parallel the format of § 110.1. In addition, a new "Scope" paragraph (§ 110.2(a)) has been added to clarify that § 110.2 applies to all political contributions made by a multicandidate committee, as defined at 11 CFR 100.5(b)(3). The scope paragraph replaces current § 110.2(b).

Under the reorganization, § 110.2(b)(1) restates the $5,000 statutory limitation on contributions by a multicandidate committee to a candidate and his or her authorized political committees currently located in § 110.2(a)(1). New paragraph 110.2(b)(2) has been added to follow new § 110.1(b)(2) as to the definition of the phrase "with respect to any election". New paragraph 110.2(b)(3) generally follows new § 110.1(b)(3) regarding the making and acceptance of post-election contributions to defray a candidate's outstanding debts. However, the explanation of how to calculate net debts outstanding has not been repeated in § 110.2 because multicandidate committees will not need to perform such calculations. Candidates and authorized committees should refer to § 110.1(b)(3) for the pertinent guidelines on this. New § 110.2(b)(4), which follows new § 110.1(b)(4), has been added to illustrate the methods by which multicandidate committees can designate their contributions in writing for a particular election. Multicandidate committees contributing to candidates are encouraged, but not required, to designate their contributions in writing for particular elections. Written designations tend to promote consistency in reporting by the contributing committee and the recipient committee. Moreover, written designations ensure that the contributor's intent is clearly conveyed to the recipient candidate or committee.

New § 110.2(b)(5) generally follows new § 110.1(b)(5) to explain the conditions under which a multicandidate committee's contribution to a candidate may be redesignated for a different election, and the procedures for effectuating such a redesignation. New § 110.2(b)(6) follows the provisions of new § 110.1(b)(6) regarding the determination of when a contribution is considered to be made.

Paragraph 110.2(c) implements the $15,000 per-year statutory limitation on contributions to the political committees established and maintained by a national political party, including the national committee, and the House and Senate campaign committees. This paragraph has not been significantly revised from current § 110.2(c).

However, a minor amendment was included to clarify that the national committee of a political party may receive contributions up to $15,000 per year even if it is also operating as the authorized committee of a Presidential candidate under 11 CFR 9002.1(c). This provision does not permit a multicandidate committee to contribute $15,000 to the Presidential candidate. 11 CFR 102.12 requires a national committee designated as the authorized committee of a Presidential candidate to maintain separate accounts for its function as the principal campaign committee.

Paragraph 110.2(d), which follows current § 110.2(a)(3), sets forth the $5,000 per year statutory contribution limit for multicandidate committee contributions to any other political committee. It also provides that this limitation applies to contributions to political committees making independent expenditures.

Paragraph 110.2(e) follows § 110.2(c) of the present regulations by implementing the $17,500 limitation on contributions from the Republican and Democratic Senatorial campaign committees, and the national party committees to Senatorial candidates, in accordance with 2 U.S.C. 441a(b). The second sentence of this paragraph has been revised for clarity.

Revised § 110.2 incorporates paragraphs (f), (g), and (h) from current § 110.1. These provisions have been specifically included in § 110.2 to clarify that they will continue to apply to multicandidate committees. Paragraph 110.2(f) addresses multicandidate committee contributions to candidates for more than one federal office. Such contributions are permitted provided that the requirements of § 110.1(f)(1), (2) and (3) are satisfied. Paragraph 110.2(g) follows revised § 110.1(g) in exempting from the limitations of Part 110 any contribution made to retire debts from an election held before January 1, 1975. Paragraph 110.2(h) follows § 110.1(h) in setting forth the conditions under which contributions to a candidate and his or her authorized committees must be aggregated with contributions to other political committees for the purposes of the contribution limitations of § 110.2.

Paragraph 110.2(h) has been slightly revised to clarify that § 110.2(h) refers to recipient political committees.

Finally, revised § 110.2(i) explains which types of elections are considered to be separate elections for the purposes of the contribution limitations. Although this paragraph is largely based on current § 110.2(d), it contains several changes that are identical to the revisions found in amended § 110.1(j).

The Commission has omitted from § 110.2 provisions corresponding to new § 110.1 (k) and (l). A joint contribution/reattribution provision was not included in § 110.2 because political committees do not make joint contributions and do not seek to reattribute their contributions to other political committees. The supporting evidence provision was not repeated in § 110.2 because candidates and political committees can refer to § 110.1(l) for guidance on maintaining records of designations, redesignations and reattributions.
Conforming Amendments

In addition to the foregoing revisions to 11 CFR 110.1 and 110.2, several additional amendments have been made to other sections of the Commission’s regulations to bring those sections into conformity with the new language of 11 CFR 110.1 and 110.2. The revisions are located in 11 CFR 100.7(c), 100.8(c), 102.9, 103.3 and 104.6(d). The Notice of Proposed Rulemaking indicated that revisions to regulations other than §§ 110.1 and 110.2 might have to be made.

Section 100.7 Contribution.

Paragraph (c) of this section has been revised to state that contributions by an individual are not attributable to any other individual unless so specified by that other individual in accordance with §110.1(k). This amendment brings §100.7(c) into conformity with the joint contribution and reattribution provisions in new §110.1(k).

Section 100.8 Expenditure.

Section 100.8(c) has been amended to provide that a payment made by an individual is not attributable to any other individual unless that other individual supplies the attribution. It also refers the reader to new §110.1(k) in the event that the payment qualifies as a contribution under 2 U.S.C. 431(b).

Section 102.9 Accounting for contributions and expenditures.

Section 102.9(e) has been amended in three respects. First, the phrase “which contributions are designated by the candidate or his or her authorized committee[s]” has been changed to read “which contributions are designated in writing by the contributor.” This revision is intended to correct an inadvertent change in language which occurred when the original provision (§101.2(d)(1977)) was amended in 1980. The Explanation and justification for the 1980 revisions stated that §102.9(e) followed former §102.1(d). However, previous §102.1(d) recognized the contributor’s right to designate contributions and did not grant the candidate the power to redesignate. Therefore, the Commission has decided to amend §102.9(e) to clarify that contributions may be designated for particular elections only by contributors, and cannot be designated by the recipient candidates or their campaign committees. Consequently, the revision published today is intended to eliminate any confusion created by the apparent conflict between §102.9(e) and §110.1.

The second change in §102.9(e) is relatively minor. In the last sentence of the paragraph, “and” has been changed to “or”. This is designed to clarify that a committee would be following an acceptable accounting method for distinguishing between primary and general contributions if it maintains separate books or if it maintains separate accounts for each election.

Finally a new sentence has been added at the end of §102.9(e) which provides that contributions made for a general election are to be either refunded to the contributors or redesignated or reattributed under 11 CFR 110.1(b)(5), 110.1(k) or 110.2(b)(5) in the event that the candidate is not a candidate in that general election. See AO 1986-17. This revision brings §102.9(e) into conformity with the revised net debts outstanding provisions in 11 CFR 110.1(b)(3) and 110.2(b)(3).

New §102.9(f) has been added to notify the reader that the treasurer has a duty under 11 CFR 110.1(f) to retain information supplied by contributors regarding designation, redesignation and reattribution of contributions. Section 110.1(1) also provides guidance as to when to retain evidence of the date on which a contribution is made. Failure to maintain the documentation required will invalidate the designation, redesignation, or reattribution. See 11 CFR 110.1(1)(5).

Section 103.3 Deposits of receipts and disbursements.

The Commission has adopted a conforming amendment to paragraph (a) of this section. The revision clarifies that upon receipt of a contribution, the treasurer of a political committee has a choice of whether to return the contribution to the contributor or to deposit it in an account at a designated campaign depository. The time limit for depositing the contribution or returning it is ten days from the date on which the treasurer received it. Thus, revised §103.3(a) allows candidates who decide not to accept contributions from political action committees to return them without depositing them or reporting them. The amendment also permits the treasurer to choose whether to deposit or return contributions of questionable legality. If such contributions are deposited, the treasurer must comply with the procedures set forth in revised §103.3(b). For the purposes of these regulations, contributions are “returned” when the negotiable instrument comprising the contribution is sent back to the contributor instead of being deposited. Contributions are “refunded” when the recipient committee sends the contributor a check for the amount of the contribution which had been previously deposited.

The Commission has revised §103.3(b) to clarify the procedures to be followed when a political committee receives a contribution which requires further information before it can be determined to be legal. The procedures set forth in revised §103.3(b) supplement the redesignation and reattribution procedures set forth in new §§110.1(b)(5), 110.1(k) and 110.2(b)(5). These procedures will continue to be located in §103.3(b), however, because they apply to all impermissible contributions, not just to those that may be redesignated or reattributed.

Although committee treasurers should already be aware of these obligations, the Commission believes it is advisable to include in the regulations a clear statement as to the treasurer’s responsibility. Revised §103.3(b) explains that the treasurer of a political committee is responsible for examining all contributions received for any evidence of illegality, and is also responsible for aggregating all contributions from the same contributor to ascertain whether they exceed the contribution limits. If a contribution from a political committee exceeds $1,000, the treasurer of the recipient committee will also need to ascertain whether the contributing committee is qualified as a multicandidate committee.

Revised §103.3(b) applies to three different categories of contributions. Section 103.3(b)(1) covers contributions made by entities which are or appear as though they might be corporations, labor organizations, Federal contractors or foreign nationals. Such contributions must be either deposited or returned within ten days. If deposited, the treasurer has thirty days from the date of receipt to make his or her best efforts to determine that they are legal and to make a refund if they cannot be determined to be legal. The treasurer will be deemed to have made best efforts only if he or she made at least one written or oral inquiry concerning the legality of the contribution. Evidence of legality includes a written explanation from the contributor, or an oral explanation which is noted by the treasurer in a subsequent memorandum. Redesignation and reattribution are not permitted for such contributions, since they cannot cure these violations.

Paragraph 103.3(b)(2) applies to contributions whose legality is not in question when received and deposited, but which are later discovered to be illegal. This provision applies, for example, to prohibited corporate contributions made in the name of employees, and individual contributions made in the name of another, as well as...
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contributions from foreign nationals or Federal contractors when there is no evidence of illegality on the face of the contributions themselves. The rule requires the amount of the contribution to be refunded to the contributor within thirty days after the discovery of the illegality. If the political committee does not have sufficient funds to make the refund, it is required to make the refund from the next funds it receives. This is consistent with the Commission's approach in AO 1985-8.

Paragraph 103.3(b)(3) covers contributions which are excessive, either on their face or in the aggregate, and contributions that cannot be accepted under the net debts outstanding rule. The treasurer has the option to deposit them within ten days of receipt or to return them. If deposited, the treasurer has sixty days from the date of the treasurer's receipt to obtain a redesignation or reattribution under §§ 110.1(b)(5), 110.1(k)(3) or 110.2(b)(5) to cure the illegality. If the redesignation or reattribution is not obtained, the contribution must be refunded within the same sixty day time period.

New § 103.3(b)(4) prohibits the use of the funds while the legality of a contribution is in question. The political committee must either establish a separate account for such contributions or maintain sufficient funds as are needed to cover all potential refunds. Paragraph 103.3(b)(5) revises the recordkeeping and reporting provisions in current § 103.3(b) (1) and (2). The treasurer is required to maintain a written record noting the basis for the appearance of illegality. The committee's reports shall indicate the questionable nature of the contribution, as well as any refund if it makes. The reporting requirements are explained in more detail in new 11 CFR 104.8(d), discussed below.

Section 104.8 Uniform reporting of contributions.

The Commission has adopted a conforming amendment to § 104.8(d). Currently, that provision explains how joint contributions are to be attributed to each contributor. The joint contribution provisions are being moved from current § 104.8(d) to new § 110.1(k).

Since Part 104 contains reporting requirements, the Commission has drafted new § 104.8(d) to provide political committees with guidance as to how to report joint contributions, reattributions to other contributors, redesignations for different elections, and refunds to contributors. The new reporting provision is necessary to ensure adequate public disclosure of the circumstances surrounding the making of the contribution, and to prevent the acceptance and use of illegal campaign contributions.

With regard to itemizable joint contributions, § 104.8(d)(1) provides that the amount to be attributed to each contributor shall be reported. Under § 110.1(k)(3), equal attribution will be presumed unless the contributors state otherwise. This provision does not alter the requirements concerning itemization of contributions. For example, if a committee receives a joint contribution for $300, which contains two signatures, it does not need to itemize the contribution, provided that $150 is attributed to each contributor, and they have made no previous contributions. If the $300 check represents two contributions of $250 and $50, the $250 contribution must be itemized.

New § 104.8(d)(2) explains how to report contributions redesignated by the contributor for a different election. New § 104.8(d)(3) governs the reporting of itemized contributions that are reattributed to a different contributor. Both redesignations and reattributions are to be reported by the recipient committee as memo entries on the report covering the reporting period in which they were received. To allow those reading the report to ascertain when the contribution was originally made, the memo entry will also indicate how the contribution was reported initially. In the situation where a political committee makes a contribution, and subsequently provides a redesignation, the contributing committee is also required to note the redesignation in the report covering the time period in which the redesignation was provided. This is to promote uniformity in reporting redesignations. Please note that the recipient candidate or committee must report reattributions and redesignations only if the original contribution was itemizable. Reporting ensures that the excessive portion of the original contribution has been properly remedied.

New § 104.8(d)(4) governs the reporting of contribution refunds. These are to be reported by the committee making the refund, but not as memo entries, since they will affect the committee's total disbursements and cash on hand. A political committee receiving a contribution refund is also obligated to report the refund when it is received.

The Commission has considered whether committees should have the option to disclose refunds, reattributions and redesignations by amending the report(s) which originally listed the contributions. The Commission concludes that this approach would not be advisable in light of the number of amendments which would have to be made, and because the amendments would not clearly reflect when the refund, redesignation or reattribution was made.

List of Subjects
11 CFR Part 100 Campaign funds, Elections.
11 CFR Part 102 Campaign funds, Elections, Political committees and parties, Reporting and recordkeeping requirements.
11 CFR Part 103 Campaign funds, Elections, Political candidates, Political committees and parties, Reporting and recordkeeping requirements.
11 CFR Part 104 Campaign funds, Elections, Political committees and parties, Reporting and recordkeeping requirements.
11 CFR Part 110 Campaign funds, Elections, Political candidates, Political committees and parties, Reporting and recordkeeping requirements.

For the reasons set out in the preamble, Subchapter A, Chapter I of Title 11, Code of Federal Regulations is amended as follows:

PART 110—CONTRIBUTION AND EXPENDITURE LIMITATIONS AND PROHIBITIONS

1. The authority citation for Part 110 is revised to read as follows:

Authority: 2 U.S.C. 431(8), 431(9), 432(c)(2), 441a-a(10), 430(a)(6), 441a, 441b, 441d, 441e, 441f, 441g, 441h and 441i.

2. 11 CFR Part 110 is amended by revising § 110.1 to read as follows:

§ 110.1 Contributions by persons other than multicandidate political committees (2 U.S.C. 441a(a)(1)).

(a) Scope. This section applies to all contributions made by any person as defined in 11 CFR 100.10, except multicandidate political committees as defined in 11 CFR 100.5(n)(3) or entities and individuals prohibited from making contributions under 11 CFR 110.4 and 11 CFR Parts 114 and 115.

(b) Contributions to candidates: designations; and redesignations.

(1) No person shall make contributions to any candidate, his or her authorized political committees or agents with respect to any election for Federal office which, in the aggregate, exceed $1,000.
(2) \(\text{For purposes of this section, "with respect to any election" means—}\)

(i) \(\text{In the case of a contribution designated in writing by the contributor for a particular election, the election so designated. Contributors to candidates are encouraged to designate their contributions in writing for particular elections. See 11 CFR 110.1(b)(4).}\)

(ii) \(\text{In the case of a contribution not designated in writing by the contributor for a particular election, the next election for that Federal office after the contribution is made.}\)

(iii) \(\text{In the case of a contribution made after that election, shall be made only to the extent that the contribution does not exceed net debts outstanding from such election. To the extent that such contribution exceeds net debts outstanding, the candidate or the candidate's authorized political committee shall return or deposit the contribution within ten days from the date of the treasurer's receipt of the contribution as provided by 11 CFR 103.3(a), and if deposited, then within sixty days from the date of the treasurer's receipt the treasurer shall take the following action, as appropriate:}\)

(A) \(\text{Refund the contribution using a committee check or draft; or}\)

(B) \(\text{Obtain a written redesignation by the contributor for another election in accordance with 11 CFR 110.1(k)(3); or}\)

(C) \(\text{Obtain a written reattribution to another contributor in accordance with 11 CFR 110.1(k)(3).}\)

If the candidate is not a candidate in the general election, all contributions made for the general election shall be either returned or refunded to the contributors or redesignated in accordance with 11 CFR 110.1(b)(5), or reattributed in accordance with 11 CFR 110.1(k)(3), as appropriate.

(ii) \(\text{In order to determine whether there are net debts outstanding from a particular election, the treasurer of the candidate's authorized political committee shall calculate net debts outstanding as of the date of the election. For purposes of this section, "net debts outstanding" means the total amount of unpaid debts and obligations incurred with respect to an election, including the estimated cost of raising funds to liquidate debts incurred with respect to the election and, if the candidate's authorized committee terminates or if the candidate will not be a candidate for the next election, estimated necessary costs associated with termination of political activity, such as the costs of complying with the post-election requirements of the Act and other necessary administrative costs associated with winding down the campaign, including office space rental, staff salaries and office supplies, less the sum of:}\)

(A) \(\text{The total cash on hand available to pay those debts and obligations, including: currency; balances on deposit in banks, savings and loan institutions, and other depository institutions; traveler's checks; certificates of deposit; treasury bills; and any other committee investments valued at fair market value; and}\)

(B) \(\text{The total amounts owed to the candidate or political committee in the form of credits, refunds of deposits, returns, or receivables, or a commercially reasonable amount based on the collectibility of those credits, refunds, returns, or receivables.}\)

(iii) \(\text{The amount of the net debts outstanding shall be adjusted as additional funds are received and expenditures are made. The candidate and his or her authorized political committee(s) may accept contributions made after the date of the election if such contributions are designated in writing by the contributor for that election and if such contributions do not exceed the adjusted amount of net debts outstanding on the date the contribution is received.}\)

(iv) \(\text{This paragraph shall not be construed to prevent a candidate who is a candidate in the general election or his or her authorized political committee(s) from paying primary election debts and obligations with funds which represent such contributions made with respect to the general election.}\)

(iv) \(\text{For purposes of this section, a contribution designated in writiing for a particular election if—}\)

(i) \(\text{The contribution is made by check, money order, or other negotiable instrument which clearly indicates the particular election with respect to which the contribution is made;}\)

(ii) \(\text{The contribution is accompanied by a writing, signed by the contributor, which clearly indicates the particular election with respect to which the contribution is made; or}\)

(iii) \(\text{The contribution is redesignated in accordance with 11 CFR 110.1(b)(5).}\)

(5)(i) \(\text{If the treasurer of an authorized political committee may request a written redesignation of a contribution by the contributor for a different election if—}\)

(A) \(\text{The contribution was designated in writing for a particular election, and the contribution, either on its face or when aggregated with other contributions from the same contributor for the same election, exceeds the limitation on contributions set forth in 11 CFR 110.1(b)(1);}\)

(B) \(\text{The contribution was designated in writing for a particular election and the contribution was made after that election and the campaign cannot be accepted under the net debts outstanding provisions of 11 CFR 110.3(b)(3);}\)

(C) \(\text{The contribution was not designated in writing for a particular election, and the contribution exceeds the limitation on contributions set forth in 11 CFR 110.3(b)(1); or}\)

(D) \(\text{The contribution was not designated in writing for a particular election, and the contribution was received after the date of an election for which there are net debts outstanding on the date the contribution is received.}\)

(ii) \(\text{A contribution shall be considered to be redesignated for another election if—}\)

(A) \(\text{The treasurer of the recipient authorized political committee requests that the contributor provide a written redesignation of the contribution and informs the contributor that the contribution may be refused the contribution as an alternative to providing a written redesignation; and}\)

(B) \(\text{Within sixty days from the date of the treasurer's receipt of the contribution, the contributor provides the treasurer with a written redesignation of the contribution for another election, which is signed by the contributor.}\)

(iii) \(\text{A contribution redesignated for another election shall not exceed the limitations on contributions made with respect to that election. A contribution redesignated for a previous election shall be subject to the requirements of 11 CFR 110.1(b)(3) regarding net debts outstanding.}\)

(i) \(\text{For the purposes of this section, a contribution shall be considered to be redesignated for another election if—}\)

(A) \(\text{The contribution was designated in writing for a particular election and the contribution, either on its face or when aggregated with other contributions from the same contributor for the same election, exceeds the limitation on contributions set forth in 11 CFR 110.1(b)(1);}\)

(B) \(\text{The contribution was designated in writing for a particular election and the contribution was made after that election and the campaign cannot be accepted under the net debts outstanding provisions of 11 CFR 110.3(b)(3);}\)

(C) \(\text{The contribution was not designated in writing for a particular election, and the contribution exceeds the limitation on contributions set forth in 11 CFR 110.3(b)(1); or}\)

(D) \(\text{The contribution was not designated in writing for a particular election, and the contribution was received after the date of an election for which there are net debts outstanding on the date the contribution is received.}\)

(ii) \(\text{A contribution shall be considered to be redesignated for another election if—}\)

(A) \(\text{The treasurer of the recipient authorized political committee requests that the contributor provide a written redesignation of the contribution and informs the contributor that the contribution may be refused the contribution as an alternative to providing a written redesignation; and}\)

(B) \(\text{Within sixty days from the date of the treasurer's receipt of the contribution, the contributor provides the treasurer with a written redesignation of the contribution for another election, which is signed by the contributor.}\)

(iii) \(\text{A contribution redesignated for another election shall not exceed the limitations on contributions made with respect to that election. A contribution redesignated for a previous election shall be subject to the requirements of 11 CFR 110.1(b)(3) regarding net debts outstanding.}\)

(ii) \(\text{For the purposes of this section, a contribution shall be considered to be redesignated for another election if—}\)

(A) \(\text{The contribution was designated in writing for a particular election and the contribution, either on its face or when aggregated with other contributions from the same contributor for the same election, exceeds the limitation on contributions set forth in 11 CFR 110.1(b)(1);}\)

(B) \(\text{The contribution was designated in writing for a particular election and}
Particular office; and a separate accounts; and writing by the contributor for a political committee or candidate; or reduced (or losses increased), and

More than one Federal office.

Authorized political committees for each Federal office, a person may make expenditures under 11 CFR Part 109. Committees making independent contributions made to political this paragraph also applies to contributions made by a partnership, shall include the signature

Part 110. (1) The limitations on contributions of this section shall apply separately with respect to each election as defined in 11 CFR 100.2, except that all elections held in a calendar year for the office of President of the United States (except a general election for that office) shall be considered to be one election.

(2) An election in which a candidate is unopposed is a separate election for the purposes of the limitations on contributions of this section.

(3) A primary or general election which is not held because a candidate is unopposed or received a majority of votes in a previous election is a separate election for the purposes of the limitations on contributions of this section. The date on which the election would have been held shall be considered to be the date of the election.

(4) A primary election which is not held because a candidate was nominated by a caucus or convention with authority to nominate is not a separate election for the purposes of the limitations on contributions of this section.

(k) Joint contributions and reattributions. (1) Any contribution made by more than one person, except for a contribution made by a partnership, shall include the signature of each contributor on the check, money order, or other negotiable instrument or in a separate writing.

(2) If a contribution made by more than one person does not indicate the amount to be attributed to each contributor, the contribution shall be attributed equally to each contributor.

(3)(i) If a contribution to a candidate or political committee, either on its face or when aggregated with other contributions from the same contributor, exceeds the limitations on contributions set forth in 11 CFR 110.1 (b), (c) or (d), as appropriate, the treasurer of the recipient political committee may ask the contributor whether the contribution was intended to be a joint contribution by more than one person.

(ii) A contribution shall be considered to be reattributed to another contributor if—

(A) The treasurer of the recipient political committee asks the contributor whether the contribution is intended to be a joint contribution by more than one person, and informs the contributor that he or she may request the return of the excessive portion of the contribution if it is
is not intended to be a joint contribution; and

(B) Within sixty days from the date of the treasurer’s receipt of the contribution, the contributors provide the treasurer with a written reattribution of the contribution, which is signed by each contributor, and which indicates the amount to be attributed to each contributor if equal attribution is not intended.

(i) Supporting evidence. (1) If a political committee receives a contribution designated in writing for a particular election, the treasurer shall retain a copy of the written designation, as required by 11 CFR 110.1(b)(4) or 110.2(b)(4), as appropriate. If the written designation is made on a check or other written instrument, the treasurer shall retain a full-size photocopy of the check or written instrument.

(2) If a political committee receives a written redesignation of a contribution for a different election, the treasurer shall retain the written redesignation provided by the contributor, as required by 11 CFR 110.1(b)(5) or 110.2(b)(5), as appropriate.

(3) If a political committee receives a written reattribution of a contribution to a different contributor, the treasurer shall retain the written reattribution signed by each contributor, as required by 11 CFR 110.1(k).

(4) If a political committee chooses to rely on a postmark as evidence of the date on which a contribution was made, the treasurer shall retain the envelope or a copy of the envelope containing the postmark and other identifying information.

(5) If a political committee does not retain the written records concerning designation required under 11 CFR 110.1((1)), the contribution shall not be considered to be designated in writing for a particular election, and the provisions of 11 CFR 110.1(b)(2)(ii) or 110.2(b)(2)(ii) shall apply. If a political committee does not retain the written records concerning redesignation or reattribution required under 11 CFR 110.1((2) or (3), the redesignation or reattribution shall not be effective, and the original designation or attribution shall control.

3. 11 CFR Part 110 is amended by revising §110.2 to read as follows:

§110.2 Contributions by multicandidate political committees (2 U.S.C. 441(a)(2)).

(a) Scope. This section applies to all contributions made by any multicandidate political committee as defined in 11 CFR 100.5(e)(3).

(b) Contributions to candidates; designations; and redesignations. (1) No multicandidate political committee shall make contributions to any candidate, his or her authorized political committees or agents with respect to any election for Federal office which, in the aggregate, exceed $5,000.

(2) For purposes of this section, “with respect to any election” means—

(i) In the case of a contribution designated in writing by the contributor for a particular election, the election so designated. Multicandidate political committees making contributions to candidates are encouraged to designate their contributions in writing for particular elections. See 11 CFR 110.2(b)(4).

(ii) In the case of a contribution not designated in writing by the contributor for a particular election, the next election for that Federal office after the contribution is made.

(3)(i) A contribution designated in writing for a particular election, but made after that election, shall be made only to the extent that the contribution does not exceed net debts outstanding from such election. To the extent that such contribution exceeds net debts outstanding, the candidate or the candidate’s authorized political committee shall return or deposit the contribution within ten days from the date of the treasurer’s receipt of the contribution as provided by 11 CFR 103.3(a), and if deposited, then within sixty days from the date of the treasurer’s receipt the treasurer shall take the following action, as appropriate:

(A) Refund the contribution using a committee check or draft; or

(B) Obtain a written redesignation by the contributor for another election in accordance with 11 CFR 110.2(b)(5).

If the candidate is not a candidate in the general election, all contributions made for the general election shall be either returned or refunded to the contributors or redesignated in accordance with 11 CFR 110.2(b)(5).

(ii) The treasurer of the candidate’s authorized political committee shall calculate net debts outstanding in accordance with 11 CFR 110.1(b)(3)(ii). The amount of the net debts outstanding shall be adjusted as additional funds are received and expenditures are made. The candidate and his or her authorized political committee(s) may accept contributions made after the date of the election if such contributions are designated in writing by the contributor for that election and if such contributions do not exceed the adjusted amount of net debts outstanding on the date the contribution is received.

(4) For purposes of this section, a contribution shall be considered to be designated in writing for a particular election if—

(i) The contribution is made by check, money order, or other negotiable instrument which clearly indicates the particular election with respect to which the contribution is made;

(ii) The contribution is accompanied by a writing, signed by the contributor, which clearly indicates the particular election with respect to which the contribution is made; or

(iii) The contribution is redesignated in accordance with 11 CFR 110.2(b)(5).

(5)(i) The treasurer of an authorized political committee may request a written redesignation of a contribution by the contributor for a different election if—

(A) The contribution was designated in writing for a particular election, and the contribution was made after that election and the contribution cannot be accepted under the net debts outstanding provisions of 11 CFR 110.2(b)(1);

(B) The contribution was designated in writing for a particular election and the contribution was made after that election and the contribution cannot be accepted under the net debts outstanding provisions of 11 CFR 110.2(b)(3);

(C) The contribution was not designated in writing for a particular election, and the contribution exceeds the limitation on contributions set forth in 11 CFR 110.2(b)(1); or

(D) The contribution was not designated in writing for a particular election and the contribution was received after the date of an election for which there are net debts outstanding on the date the contribution is received.

(ii) A contribution shall be considered to be redesignated for another election if—

(A) The treasurer of the recipient authorized political committee requests that the contributor provide a written redesignation of the contribution and informs the contributor that the contributor may request the refund of the contribution as an alternative to providing a written redesignation; and

(B) Within sixty days from the date of the treasurer’s receipt of the contribution, the contributor provides the treasurer with a written redesignation of the contribution for another election, which is signed by the contributor.

(iii) A contribution redesignated for another election shall not exceed the limitations on contributions made with respect to that election. A contribution redesignated for a previous election...
shall be subject to the requirements of 11 CFR 110.2(b)(3) regarding net debts outstanding. (6) For the purposes of this section, a contribution shall be considered to be made when the contributor relinquishes control over the contribution. A contributor shall be considered to relinquish control over the contribution when it is delivered by the contributor to the candidate, to the political committee, or to an agent of the political committee. A contribution that is mailed to the candidate, or to the political committee or to an agent of the political committee, shall be considered to be made on the date of the postmark. See 11 CFR 110.1(f)(4). An in-kind contribution shall be considered to be made on the date that the goods or services are provided by the contributor. (c) Contributions to political party committees. (1) No multicandidate political committee shall make contributions to any political committee established and maintained by a national political party in any calendar year which, in the aggregate, exceed $15,000. (2) For purposes of this section, “political committees established and maintained by a national political party” means— [(i) The national committee; (ii) The House campaign committee; and (iii) The Senate campaign committee. (3) Each recipient committee referred to in 11 CFR 110.2(c)(2) may receive up to the $15,000 limitation from a multicandidate political committee. (4) The recipient committee shall not be an authorized political committee of any candidate, except as provided in 11 CFR 9002.11(c). (d) Contributions to other political committees. (1) No multicandidate political committee shall make contributions to any other political committee in any calendar year which, in the aggregate, exceed $5,000. (2) The limitation on contributions of this paragraph also applies to contributions made to political committees making independent expenditures under 11 CFR Part 109. (e) Contributions by political party committees to Senatorial candidates. Notwithstanding any other provision of the Act, or of these regulations, the Republican and Democratic Senatorial campaign committees, or the national committee of a political party, may make contributions of not more than a combined total of $17,500 to a candidate for nomination or election to the Senate during the calendar year of the election for which he or she is a candidate. Any contribution made by such committee to a Senatorial candidate under this paragraph in a year other than the calendar year in which the election is held shall be considered to be made during the calendar year in which the election is held. (f) Contributions to candidates for more than one Federal office. If an individual is a candidate for more than one Federal office, a multicandidate political committee may make contributions which do not exceed $5,000 to the candidate, or his or her authorized political committees for each election for each office, provided that the requirements set forth in 11 CFR 110.1(f)(1), (2), and (3) are satisfied. (g) Contributions to retire pre-1975 debts. Contributions made to retire debts resulting from elections held prior to January 1, 1975 are subject to the limitations of 11 CFR 110.10. As long as contributions and solicitations to retire these debts are designated in writing and used for that purpose. Contributions made to retire debts resulting from elections held after December 31, 1974 are subject to the limitations of 11 CFR Part 110. (h) Contributions to committees supporting the same candidate. A multicandidate political committee may contribute to a candidate or his or her authorized political committee with respect to a particular election and also contribute to a political committee which has supported, or anticipates supporting, the same candidate in the same election, as long as— (1) The recipient political committee is not the candidate’s principal campaign committee or other authorized political committee or a single candidate committee; (2) The multicandidate political committee does not give with the knowledge that a substantial portion will be contributed to, or expended on behalf of, that candidate for the same election; and (3) The multicandidate political committee does not retain control over the funds. (i) Application of limitations to elections. (1) The limitations on contributions of this section (other than paragraph (e) of this section) shall apply separately with respect to each election as defined in 11 CFR 100.2, except that all elections held in a calendar year for the office of President of the United States (except a general election for that office) shall be considered to be one election. (2) An election in which a candidate is unopposed is a separate election for the purposes of the limitations on contributions of this section. (3) A primary or general election which is not held because a candidate is unopposed or received a majority of votes in a previous election is a separate election for the purposes of the limitations on contributions of this section. The date on which the election would have been held shall be considered to be the date of the election. (4) A primary election which is not held because a candidate was nominated by a caucus or convention with authority to nominate is not a separate election for the purposes of the limitations on contributions of this section.
recordkeeping duties as set forth at 11 CFR 102.9(a) through (f):

(e) If the candidate, or his or her authorized committee(s), receives contributions prior to the date of the primary election, which contributions are designated in writing by the contributor for use in connection with the general election, such candidate or such committee(s) shall use an acceptable accounting method to distinguish between contributions received for the primary election and contributions received for the general election. Acceptable methods include, but are not limited to:

(1) The designation of separate accounts for each election, caucus or convention or:

(2) The establishment of separate books and records for each election.

If a candidate is not a candidate in the general election, any contributions made for the general election shall be refunded to the contributors, redesignated in accordance with 11 CFR 110.1(b)(5) or 110.2(b)(5), or reattributed in accordance with 11 CFR 110.1(k)(5), as appropriate.

(f) The treasurer shall maintain the documentation required by 11 CFR 110.1(1), concerning designations, redesignations, reattributions and the dates of contributions. If the treasurer does not maintain this documentation, 11 CFR 110.1(1)(5) shall apply.

PART 103—CAMPAIGN DEPOSITORIES (2 U.S.C. 432(h))

9. The authority citation for Part 103 continues to read as follows:

Authority: 2 U.S.C. 432(b), 438(a)(8).

10. 11 CFR Part 103 is amended by revising §103.3 to read as follows:

§103.3 Deposit of receipts and disbursements (2 U.S.C. 432(h)(f)).

(a) All receipts by a political committee shall be deposited in accordance established pursuant to 11 CFR 103.2, except that any contribution may be, within 10 days of the treasurer's receipt, returned to the contributor without being deposited. The treasurer of the committee shall be responsible for making such deposits. All deposits shall be made within 10 days of the treasurer's receipt. A committee shall make all disbursements by check or similar drafts drawn on an account at its designated campaign depository, except for expenditures of $100 or less made from a petty cash fund maintained pursuant to 11 CFR 102.11. Funds may be transferred from the depository for investment purposes, but shall be returned to the depository before such funds are used to make expenditures.

(b) The treasurer shall be responsible for examining all contributions received for evidence of illegality and for ascertaining whether contributions received are aggregated with other contributions from the same contributor, exceed the contribution limitations of 11 CFR 110.1 or 110.2.

(1) Contributions that present genuine questions as to whether they were made by corporations, labor organizations, foreign nationals, or Federal contractors may be, within ten days of the treasurer's receipt, either deposited into a campaign depository under 11 CFR 103.3(a) or returned to the contributor. If any such contribution is deposited, the treasurer shall make his or her best efforts to determine the legality of the contribution. The treasurer shall make at least one written or oral request for evidence of the legality of the contribution. Such evidence includes, but is not limited to, a written statement from the contributor explaining why the contribution is legal, or a written statement by the treasurer memorializing an oral communication explaining why the contribution is legal. If the contribution cannot be determined to be legal, the treasurer shall, within thirty days of the treasurer's receipt of the contribution, refund the contribution to the contributor.

(2) If the treasurer in exercising his or her responsibilities under 11 CFR 103.3(b) determined that at the time a contribution was received and deposited, it did not appear to be made by a corporation, labor organization, foreign national or Federal contractor, or if a contribution which appears to be illegal under 11 CFR 103.3(b)(1) or (3) is deposited in a campaign depository, the treasurer shall make and retain a written record noting the basis for the appearance of illegality. A statement noting that the legality of the contribution is in question shall be included in the report noting the receipt of the contribution. If a contribution is refunded to the contributor because it cannot be determined to be legal, the treasurer shall note the refund on the report covering the reporting period in which the refund is made.

PART 104—REPORTS BY POLITICAL COMMITTEES (2 U.S.C. 434)

11. The authority citation for Part 104 is revised to read as follows:

Authority: 2 U.S.C. 431(b), 431(c), 431(d), 432(d), 433, 438(a)(8), 438(b).

12. 11 CFR Part 104 is amended by revising §104.8(d) to read as follows:

§104.8 Uniform reporting of contributions.

(d) (1) If an itemized contribution is made by more than one person in a single written instrument, the treasurer shall report the amount to be attributed to each contributor.

(2) (i) If a contribution is redesignated by a contributor, in accordance with 11 CFR 110.3(b) or 110.3(b), the treasurer of the authorized political committee receiving the contribution shall report the redesignation in a memo entry on Schedule A of the report covering the reporting period in which the redesignation is received. The memo

* * * * *
entry for each redesignated contribution shall be reported in the following manner—

(A) The first part of the memo entry shall disclose all of the information for the contribution as it was originally reported on Schedule A:

(B) The second part of the memo entry shall disclose all of the information for the contribution as it was redesignated by the contributor, including the election for which the contribution was redesignated and the date on which the redesignation was received.

(ii) If a contribution from a political committee is redesignated by the contributing political committee in accordance with 11 CFR 110.1(b) or 110.2(b), the treasurer of such political committee shall report the redesignation in a memo entry on Schedule B of the report covering the reporting period in which the redesignation is made. The memo entry for each redesignated contribution shall be reported in the following manner—

(A) The first part of the memo entry shall disclose all of the information for the contribution as it was originally reported on Schedule B:

(B) The second part of the memo entry shall disclose all of the information for the contribution as it was redesignated by the contributing political committee, including the election for which the contribution was redesignated and the date on which the redesignation was made.

(i) If an itemized contribution is redesignated by the contributor(s) in accordance with 11 CFR 110.1(k), the treasurer shall report the redesignation in a memo entry on Schedule A of the report covering the reporting period in which the redesignation is received. The memo entry for each redesignated contribution shall be reported in the following manner—

(i) The first part of the memo entry shall disclose all of the information for the contribution as it was originally reported on Schedule A:

(ii) The second part of the memo entry shall disclose all of the information for the contribution as it was redesignated by the contributors, including the date on which the redesignation was received.

(ii) If a contribution is refunded to the contributor, the treasurer of the political committee making the refund shall report the refund on Schedule B of the report covering the reporting period in which the refund is received, in accordance with 11 CFR 103.3(b)(5) and 104.3(b). If a contribution is refunded to a political committee, the treasurer of the political committee receiving the refund shall report the refund on Schedule A of the report covering the reporting period in which the refund is received, in accordance with 11 CFR 104.3(a).

Scott E. Thomas,
Chairman, Federal Election Commission.

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DEPARTMENT OF TRANSPORTATION
Federal Aviation Administration

14 CFR Part 71
[Airspace Docket No. 86-AS0-26]

Alteration of Control Zone, Chamblee, GA

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment reduces the size of the Chamblee, Georgia, control zone. An arrival extension located northeast of the DeKalb-Peachtree Airport was predicated on the Norcross VORTAC which has been decommissioned. The instrument approach procedure which necessitated the arrival extension was canceled concurrent with the decommissioning. Thus, the floor of controlled airspace in an area northeast of the airport may be raised from the surface to 700 feet above the surface. Additionally, the geographical coordinates of the airport have changed due to airport construction and the new coordinates will be reflected in the amended control zone description.

EFFECTIVE DATE: 0901 UTC, April 9, 1987.

FOR FURTHER INFORMATION CONTACT: Donald Ross, Supervisor, Airspace Section, Airspace and Procedures Branch, Air Traffic Division, Federal Aviation Administration, P.O. Box 20636, Atlanta, Georgia 30320; telephone: (404) 763-7646.

SUPPLEMENTARY INFORMATION:

History

On November 3, 1986, the FAA proposed to amend Part 71 of the Federal Aviation Regulations (14 CFR Part 71) by reducing the size of the Chamblee, Georgia, control zone through elimination of an unneeded arrival extension. In addition, the geographical coordinates (longitude only) will be corrected as those presently listed are slightly in error (51 FR 39866). Interested parties were invited to participate in this rulemaking proceeding by submitting written comments on the proposal to the FAA. No comments objecting to the proposal were received. This amendment is the same as that proposed in the notice. Section 71.171 of Part 71 of the Federal Aviation Regulations was republished in FAA Handbook 7400.6B dated January 2, 1986.

The Rule

This amendment to Part 71 of the Federal Aviation Regulations amends the Chamblee, Georgia, control zone by removing an unneeded arrival extension and correcting the geographical coordinates of the airport upon which the control zone is predicated.

The FAA has determined that this regulation only involves an established body of technical regulations for which frequent and routine amendments are necessary to keep them operationally current. It, therefore: (1) Is not a “major rule” under Executive Order 12291; (2) is not a “significant rule” under DOT Regulatory Policies and Procedures (44 FR 11034; February 28, 1979); and (3) does not warrant preparation of a regulatory evaluation as the anticipated impact is so minimal. Since this is a routine matter that will only affect air traffic procedures and air navigation, it is certified that this rule, when promulgated, will not have a significant economic impact on a substantial number of small entities under the criteria of the Regulatory Flexibility Act.

List of Subjects in 14 CFR Part 71

Aviation safety, Control zone.

Adoption of the Amendment

Accordingly, pursuant to the authority delegated to me, Part 71 of the Federal Aviation Regulations (14 CFR Part 71) is amended, as follows:

1. The authority citation for Part 71 continues to read as follows:

Authority: 49 U.S.C. 1348(a), 1354(a), 1510; Executive Order 10854; 49 U.S.C. 106(g);
(44 FR 11034; February 28, 1979).

2. Section 71.171 is amended, as follows:

Chamblee, GA—[Amended]

By removing the words "... long. 84°18'10"W..." from the 5 mile radius zone to 1 mile southwest of the VORTAC..." and replacing them with the words "... long. 84°18'08"W..."