

出國報告（出國類別：考察）



美國政治獻金制度運作及查 核業務專題考察報告

服務機關：監察院

姓名職稱：監察院公職人員財產申報處

秘書 徐瑞麟

調查員 吳育芬

派赴國家：美國

出國期間：103 年 5 月 25 日至 6 月 1 日

報告日期：103 年 8 月



目錄

壹、前言	1
一、動機與目的	1
二、考察議題	4
三、考察行程	9
貳、考察機關簡介	11
一、聯邦選舉委員會(Federal Election Commission)	11
二、參議院(The Senate)	14
三、眾議院	17
參、美國聯邦選舉競選法規定及實務運作概況	20
一、得收受政治獻金者	20
二、捐贈政治獻金主體之限制	22
三、收受政治獻金之期間及方式	23
四、提出收支報告期間及申報內容	24
五、捐贈金額之限制	26
六、查核方式及相關罰則	27
七、其他特殊議題	31

肆、 美國聯邦選舉競選法與我國政治獻金法之比較	34
一、得收受政治獻金者	34
二、捐贈政治獻金主體之限制：	36
三、收受政治獻金之期間及方式	36
四、提出收支報告期間及申報內容	38
五、捐贈之限制	39
六、查核方式及相關罰則	39
伍、 心得及建議	40
一、外資層層轉資捐贈之實，以我國現行處理方式較能杜絕禁止	41
二、明定政治獻金收受之來源對象、額度及起迄期間，符合公平公 開原則	42
三、捐獻金額之上限應定期依照物價指數調整較符實際	43
四、建置功能強大之查核系統，減省查核人力與行政成本	43
五、仿效美國將政治獻金資料公開上網，供民眾檢視	44
六、建議未來我國修法以行政罰規範為主，刪除刑事責任之規定	45
七、美國聯邦選舉委員會對於遲延申報或未申報之認定方式值得 參考	46
八、獨立支出的規範值得借鏡	46

九、議題廣告與言論自由應取得平衡，建立規範.....	48
十、本次考察已增進監察院與美國聯邦選舉委員會之友誼，並開啟 我國駐美國台北經濟文化代表處與該委員會交流之契機.....	48
陸、 附錄	49
柒、 參考文獻.....	49

壹、前言

一、動機與目的

現代民主制度認為多數的投票者能代表大多數民意，因此民主國家為發揚政治理念，獲取大多數民意支持，選舉活動就成為重要機制。為贏得選舉及選票，募集選舉資金就成為運作選舉活動的重要關鍵。

我國對於政治獻金的規範，在政治獻金法公布以前，散見於人民團體法第 51 條、公職人員選舉罷免法第 45 條之 2 以下、正副總統選舉罷免法第 35 條以下、公職人員財產申報法第 2 條以下、刑法第 120 條至第 134 條及第 143 條至 145 條，以及前述各該法律的相關罰則規定，惟實施結果，弊端叢生，引人垢病，實無法滿足當時社會對防杜金權政治之殷切期待。故自民國 80 年即有立法委員草擬「政治獻金法」，惟事涉各機關業務，且對於是否將政治獻金規範制定專法，亦有不同見解。經內政部參酌外國經驗、立法例、我國國情及相關法規，邀集有關機關進行討論、廣徵學者專家意見並召開座談會，審慎評估、權衡利弊得失後，於 91 年 12 月 18 日提出「政治獻金管理條例草案」，經行政院審議通過送立法院審議，立法院內政委員會於 91 年 12 月 30 日完成審查，名稱改為「政治獻金法草案」，遲至民國 93 年 3 月 17 日始於立法院完成三讀通過，同年月

31 日經總統公布，成為我國第一部以專法規範政治獻金之法律。

政治獻金法公布初期，各界無不寄予厚望，且為導引政治資金收受的合理化、透明化與公開化，以避免金權政治對我國民主社會造成負面影響，明定監察院為受理政治獻金申報及查核機關，期待藉由政治獻金法的運作，導引政治獻金公開化、制度化、促進國民政治參與、確保政治活動公平及公開，以健全民主政治發展。惟自民國 93 年實施以來，已邁入第 10 年，其間歷經總統以降至里長之選舉多次，監察院於執行政治獻金法之實務上面臨許多窒礙難行之處，各擬參選人亦迭有負面反映，顯示政治獻金法確有修正之必要。然政治獻金法主管機關係內政部，監察院為全國唯一之執行機關，自辦理政治獻金業務以來，針對所有違反政治獻金法情事，具體蒐集法令與實務扞格之處，以維護政治獻金捐(受)贈雙方權益，及強化政治獻金法公開透明機制之意旨，歸納出法制面（12 項）及實務面（19 項），共 31 項意見，於 101 年 5 月 23 日函送主管機關內政部，並多次敦促展開修法工作，以落實憲法之平等原則及比例原則。監察院實有必要參照他國政治獻金等相關實務經驗，對於如何精進政治獻金之執行、確保所有獻金來源公開化、透明化並接受全民監督，進而落實相關查核業務，故如何有效執行及查核政治獻金工作，將是本次考察之目的。

美國自 1883 年國會通過《潘德頓公務員法》(The Pendleton Civil Service Act)全面禁止政黨向公職人員募集政治資金，卻使政黨開始以企業團體為募款對象，政治獻金就成了企業界操弄選舉的主要利器。1907 年通過《提爾曼法案》(Tilman Act)禁止公司企業提供政治獻金。1910 年在「全國公開法制組織」(National Publicity Law Organization, NPLO)推動下，國會通過《聯邦貪瀆法》(The Federal Corrupt Practice Act)，為世界第一個規定競選收支必須公開的法律。1925 年制定《聯邦貪瀆反制法》(The Federal Corrupt Practices Act)，規定跨州選舉依季均需將各筆百元（美元）以上之政治獻金詳列申報。1939 年制定《哈區法》(Hatch Act)企圖彌平《潘德頓公務員法》的漏洞，規定個人捐贈與政黨組織捐收每年限額及禁止聯邦計劃合約商之捐贈。1946 年通過《勞工管理關係法》(The Labor Management Relations Act)，規定工會公款不得用於政治獻金。為了改正政治獻金各項問題，美國國會在 1971 年通過《聯邦選舉競選法》(The Federal Electino Campaign Act, FECA)並於 1974 年起迄 1999 年多次修正，對政治獻金進行全面性的規範，規定個別選民、政治組織與政治委員會捐款上限，鼓勵小額捐款，禁止公司與工會捐款，各項選舉開支必須透明化及訂定公費補助總統選舉辦法，並成立「聯邦選舉委員會」(Federal Election Committee,

FEC)為政治獻金的跨黨派管理機構，負責選舉法規的解釋與選舉經費的稽核，惟為了避免影響選情，禁止聯邦選舉委員會在選前進行查核。2002 年為了對政黨經費「軟錢」¹(soft money)及議題廣告「獨立支出」²(independent expenditure)的限制，通過《兩黨競選改革法》(The Bipartisan Campaign Reform Act, BCRA)。

由上述法令演變可知，美國之政治獻金不但為舉世各國先河，在實施政治獻金規範之過程中，歷經許多困難與問題，並為配合潮流演進不斷修改；其實施時間之長久與修法版本次數之多，亦為各國之冠，許多各國迄今仍在爭論或討論的課題，如政黨捐助、查帳方式、軟錢之管理等，在美國不僅早有定論，司法檢視也最為豐富，堪稱為政治獻金管理制度的領頭羊，足堪我國政治獻金法修法與監察院實務經驗之借鏡，爰選定美國進行考察。

二、考察議題

由於本次考察主題係「美國政治獻金制度之考察」，美國參議院及眾議院議員皆由選舉產生，前者不分土地面積大小及人口多寡，每州均配屬 2 個名額，後者則以人口數計算應選名額，爰參訪兩院之

1軟錢係指僅運用於地方及各州選舉活動的經費，不屬於聯邦法規限制的範圍，亦不受聯邦選舉競選法之約束，收支項目無須條列申報，詳細內容請參閱第 31 頁以下。

2獨立支出係指任何人明顯希望某位特定的候選人 當選或落選所支出的花費，且該項花費的支出未與任何候選人或候選人之授權委員會、代理人之合作、諮商或協調，亦非由於上述等人所請求或建議定義請參本報告，詳細內容請參閱第 32 頁以下。

重點，係以參選人執行政治獻金申報的角度，瞭解美國政治獻金相關法規及申報實務面；另因聯邦選舉委員會與監察院公職人員財產申報處第四組之政治獻金查核業務性質雷同，爰參訪該委員會時，則側重瞭解該委員會之設置目的、功能與查核監督機制等，俾利做為監察院辦理政治獻金業務之參考。

為使參訪過程具有效率，並使受訪機關於事先即能瞭解及掌握監察院此次參訪目的及重點，爰本次訪問成員經過討論並形成考察議題及具體問題後，委託我國駐美國台北經濟文化代表處轉交受訪機關參考及預為準備，俾利屆時能立即切入重點，使討論及交流得以聚焦。本次考察議題及具體問題之重點摘要，其英文版詳見附錄一。

(一)聯邦選舉委員會(Federal Election Commission)

- 1、聯邦選舉委員會係一獨立管理機關，由 6 位委員組成，委員如何產生？及內部組織如何分工？
- 2、美國規範政治捐款的相關法令有哪些？美國聯邦競選法與兩黨競選改革法規之規範目的為何？
- 3、聯邦競選法禁止企業、勞工組織捐贈政治獻金的規範目的為何？
- 4、政治行動委員會³(Political action committee，

³ 係依聯邦選舉競選法准許勞工組織及公司以成立分立基金之方式從事政治活動，此分立基金之統籌管理機構即為政治行動委員會（political action committee，簡稱 PAC）。通常在某個問題或一系列問題上有相同的意見，並向國會或總統提供政治宣傳活動所需的資金。在向聯邦候選人直接提供的資金數量上是有法規限制，但並沒有法規約束其獨立宣傳自己的理念或宣傳某一位候選人。如今美國已有幾千個政治行動委員會組織。

簡稱 PAC)在整個競選活動無論是籌募資金、向候選人捐贈經費或提供選戰服務等各方面助選活動，對於選情有莫大的影響力。關於政治行動委員會有哪些管制規範？

5、2010 年 1 月美國聯邦最高法院對於「聯合公民（Citizens United）v.s 聯邦選舉委員會（Federal Campaign commission）訴訟案⁴後，基於言論自由的保障，個人或團體應有意見表達自由，若無法證明該內容曾與候選人有過諮詢、溝通或協調，便應屬言論自由之範疇，不得透過開支上限加以限縮。政治行動委員會從個人、企業、工會以及貿易組織所受捐款金額不再有上限，並且可以用這些款項來支援或者反對某候選人，聯邦選舉委員會如何監督政治行動委員會收受捐款的資金來源？該判決是否導致捐贈上限形同虛設？有否相關因應措施？獨立支出除了必須向聯邦選舉委員會申報外，有否其他使用上之限制？為避免影響選舉，獨立支出應否有使用時間之限制？

6、依照 FECA 第 434 條(a)(11)(B)規定⁵，選舉委員會

⁴ 最高法院於 2010 年 1 月 21 日做出判決，認定限制商業機構資助聯邦選舉候選人的兩黨選舉改革法案的條款違反憲法中的言論自由原則。

⁵ section 434 (a)(11)(B) : The Commission shall make a designation, statement, report, or notification that is filed with the Commission under this Act available for inspection by the public in the offices of the Commission and accessible to the public on the Internet not later than 48 hours (or not later than 24 hours in the case of a designation, statement, report, or notification filed electronically) after receipt by the Commission.

收到候選人與政治委員會的報告書後，應於 48 小時內上網公開，方便大眾取得報告內容。關於上網公開的內容，是否僅公開收入及支出之總額？是否公開全部的收支明細資料？公開前是否需要先經審查？

- 7、候選人如何查證其收到的政治獻金，有無違反應於 48 小時內上網公開之規定？有無公開資料可供查證？
- 8、競選經費之申報書係貴機關哪個單位負責查核？如何查證受贈者所收受之政治資金，有無違反上開各條之規定？每年需要投入多少資源及人力？如係抽查，抽查比率為何？相關查核結果是否公開？
- 9、聯邦選舉委員會有無辦理競選經費相關法令宣導？辦理方式及資源（人力、經費等）？有無評估宣導的成效？
- 10、政黨之財力是否會影響對候選人之資助金額，進而影響選舉公平競爭機制？有否相關管理措施？
- 11、候選人當次選舉如有賸餘之政治獻金，是否會限制該賸餘政治獻金支出用途或支用年限？
- 12、個人捐贈每次選舉捐贈不得超過 2,600 美元，如果超過捐贈額度，應如何辦理？是否退還捐贈者？或全數繳交繳庫？抑或超過部分才需辦理繳庫？

(二)參議院(The Senate)

- 1、候選人逾期申報或支出報告錯誤之處罰規定？
- 2、候選人如何查證其收到的政治獻金？
- 3、候選人收受外資捐贈，如何處罰？
- 4、個人捐贈每次選舉捐贈超過捐贈額度，候選人應如何辦理？
- 5、政治行動委員會之管制規範為何？

(三)眾議院(The House of Representatives)

- 1、候選人或參眾議員的主要競選委員會收受政治捐獻，是否需要開立收據？提出支出報告的期限為何？如果逾期申報，是否有處罰規定？如果支出報告的內容有誤，是否會受到處罰？
- 2、候選人如何查證其收到的政治獻金，有無違反應於48小時內上網公開之規定？有無公開資料可供查證？
- 3、如果候選人或政治行動委員會收受外資捐贈，如何處罰？
- 4、個人捐贈每次選舉捐贈不得超過 2,600 美元，如果超過捐贈額度，應如何辦理？是否應全數繳交繳庫？或超過部分才需辦理繳庫？
- 5、選舉委員會收到候選人與政黨的報告書後，應於48小時內上網公開，方便大眾取得報告內容。關於上網公開的內容，是否僅公開收入及支出之總額？是否公開全部的收支明細資料？公開前是否需要先經審查？是否任何人都可影印上開資料？指定書、陳述書和報告書的保存年限為何？

6、政治行動委員會在整個競選活動無論是籌募資金、向候選人捐贈經費或提供選戰服務等各方面助選活動，對於選情有莫大的影響力。關於政治行動委員會有哪些管制規範？

三、考察行程

(一)行程安排及準備

本訪團成員於本（2014）年3月17日接獲奉派考察函後，經考量每年6至9月份為立法院休會期間，多數立法委員易藉休會期間參訪，駐美國台北經濟文化代表處於該期間亦因須接待國內立法委員及各機關代表等較為忙碌，爰函請外交部轉駐美國台北經濟文化代表處洽詢參、眾二院及聯邦選舉委員會之適宜參訪時間，經我國駐美國台北經濟文化代表處熱心積極協助，最後確定本次考察日期自同年5月25日起至6月1日止，共計8天。

為增進雙方機關交流及受訪機關對監察院之認識，本訪團除已預擬考察議題函請外交部轉交供其參考外，並準備監察院監察職權等相關英文簡介，於致贈禮品時併送該等機關參考。

本次考察除預定參訪機關外，另為感謝我國駐美國台北經濟文化代表處對於監察院此次考察之熱忱協助，考察行程亦安排拜會我國駐美國台北經濟文化代表處。

(二)行程簡介

由於美國與臺灣距離頗遠，往返兩國即耗費約

2 天交通時間，且尚需配合受訪機關之時程安排，爰本次考察行程以配合該國機關上班時間為主，假日則為本訪團之交通時間，俾利我國駐美國台北經濟文化代表處及參訪機關能彈性運用、妥為安排。

行程第 1 天（週日）及第 7、8（週日及國定假日）天為搭機時間，經我國駐美國台北經濟文化代表處確認第 4 天（5 月 28 日）上午參訪參議院，並於參訪前安排參議院之國會建築及歷史簡介，是日下午參訪聯邦選舉委員會，第 5 天（5 月 29 日）上午安排行程出發前始確認參訪之眾議院，下午參訪我國駐美國台北經濟文化代表處；其餘時間則於美國首府華盛頓哥倫比亞特區進行市政參訪行程，實地接觸該國之庶民文化。茲將行程概列如下：

天數	日期	星期	行程	住宿地
1	5/25	日	至臺灣桃園國際機場搭乘美國聯合航空班機前往舊金山國際機場，嗣後轉乘美國聯合航空國內線班機前往華盛頓杜勒斯機場。	機上
2	5/26	一	市政考察：自由參訪美國首都-華盛頓特區之相關社會建設。	華盛頓 The Courtyard Hotel
3	5/27	二	市政考察：自由參訪美國首都-華盛頓特區之文教建設。	華盛頓 The Courtyard

天數	日期	星期	行程	住宿地
				Hotel
4	5/28	三	參訪美國參議院及聯邦選舉委員會。	華盛頓 The Courtyard Hotel
5	5/29	四	參訪美國眾議院及我國駐美國台北經濟文化代表處。	華盛頓 The Courtyard Hotel
6	5/30	五	市政考察：自由參訪美國首都-華盛頓特區之歷史建設。	華盛頓 The Courtyard Hotel
7	5/31	六	至美國華盛頓杜勒斯機場搭乘美國聯合航空國內線班機前往舊金山國際機場。	機上
8	6/1	日	自舊金山國際機場轉乘美國聯合航空國際線班機返抵臺灣桃園國際機場。	臺北

貳、考察機關簡介

一、聯邦選舉委員會(Federal Election Commission)

(一)機關簡介

1、組織編制

聯邦選舉委員會係於 1975 年設立之獨立常設機構，以健全並落實《聯邦選舉競選法》(Federal Election Campaign Act，簡稱“FECA”)的規範。

FEC 由 6 名委員所組成，每位任期為 6 年，採交錯任期制，每隔兩年由總統提名，經參議院同意後任命之，且不得有三位以上委員屬同一政黨。委員互選一人為主席，一人為副主席，主席、副主席不得屬於同一政黨，任期均為 1 年，不得連任。法律要求對於委員會的決策，均至少經 4 位以上委員的支持。聯邦選舉委員以下除有資訊長、財務長、總顧問等外，另設有監察使。監察使辦公室(Office of Inspector General)的任務在於藉由獨立行使審計、評估及調查聯邦選舉委員會的管理及運作，加以監督並促使委員會的運作更經濟而有效率。監察使須每半年撰寫檢討報告，並將報告分別送交委員會及國會，使國會得以掌握委員會的運作現況。

2、職掌及工作事項

聯邦選舉委員會的職掌及工作內容主要包括：(1) 公開選舉財務資訊。民眾得於公共紀錄辦公室(Public records office)檢視並影印競選財務資料、競選財務的統計數據摘要、FEC 的建議意見、已終結的執行案件、總統候選人的個人財務陳述、審計報告等。(2) 教育宣導。為使候選人和委員會了解並遵守法律，聯邦選舉委員會製作錄影帶和免費的出版品，並且在主要城市舉行會議，

對競選工作者、政治委員會⁶和政黨進行法令宣導。(3)執行 FECA。聯邦選舉委員會會審查所有聯邦候選人及政治委員會提出的報告，以確保其有遵守公開財務的要求及捐獻的限制與禁止規定。(4)解釋與修訂法律。民眾對於在特定情形下應如何適用 FECA 提出疑問時，聯邦選舉委員會負責回應並發表諮詢意見(Advisory Opinions，簡稱 AOs)。(5)分配總統選舉補助款。為了完成這五大任務，聯邦選舉委員會在 2014 年編列近 7 佰萬美元預算，其中 70%為人事費用。

(二)拜會過程

- 1、拜會時間：2014 年 5 月 28 日下午 4 時至 6 時。
- 2、接見代表：聯邦選舉委員會主席 Mr. Lee Goodman。
- 3、拜會實況：

拜會當日，由駐美國台北經濟文化代表處政治組徐副組長佑典、林秘書呈曦及協助本次行程安排之美國在台協會華盛頓辦事處盧治凱先生陪同。聯邦選舉委員會主席 Mr. Goodman 先以深入淺出的講授方式，介紹美國政治獻金的發展歷程、目的及 FECA 的規範架構，之後由訪團提出疑問，特別針對外資捐贈之查核方式、近來美國最高法院裁定廢除個人於 2 年內捐給多位候選人和全國、

⁶ 美國聯邦選舉競選法規定得收受政治獻金者包含擬參選人、政黨及政治委員會，有關政治委員會之定義請參考第 21 頁。

地方政治團體的政治獻金合計不得超過 12 萬 3,200 美元的限制⁷、公開捐贈者個人資訊是否有違個人資料保護的疑慮等，雙方互相進行交流，討論熱烈。



監察院考察人員與主席辦公室主任 Mr. Peter、聯邦選舉委員會主席 Mr. Goodman、駐美國台北經濟文化代表處徐副組長佑典及美國在台協會華盛頓辦事處盧治凱先生(由左至右)合影。

二、參議院(The Senate)

(一)機關簡介

1、組織編制

⁷ 相關新聞請參閱 <http://news.sina.com.tw/article/20140407/12151841.html>。

參議院由 100 名議員組成(每州兩名)，任期為 6 年，無連任限制。基於選舉需要，參議院中存有任期不等的三組議員，因此每兩年有三分之一的議員任期屆滿，需重新改選，以確保參議院中始終有一定比例的資深議員。參議院出現某州議席空缺時，一般由該州州長任命替補議員⁸。聯邦競選法案制定通過後，於西元 1972 年 4 月設立參議院的公共紀錄辦公室(The Senate Office of Public Records，簡稱 SOPR)，負責收受、處理並保存由參議院秘書長(Secretary of the Senate)所提交與遊說法、聯邦競選法等相關的紀錄、報告及其他文件，以供公眾檢視。起初，該辦公室係負責作成聯邦選舉競選法中要求參議員提出的競選財務報告。惟目前該辦公室成為負責保存競選財務報告的部門，以便民眾及媒體獲取相關資訊。

2、職掌及工作事項

依據聯邦選舉競選法之規定(§432g)，參議員候選人、及其主要競選委員會，應向參議院秘書長提出指定書⁹、陳述書及報告¹⁰，參議院秘書長為上開文件之保管者，並應使上開文件受到公開檢閱和影印。另外，參議院秘書長應於收受指定書、陳

⁸ 資料來源：<http://www.ait.org.tw/infousa/zhtw/PUBS/AmGov/federal.htm>。

⁹ 聯邦公職候選人於擔任候選人 15 日內，須以書面指定一政治委員會，作為其主要競選委員會，另外亦得指定若干政治委員會為其授權委員會，該書面及此處所稱之指定書。

¹⁰ 報告包含政治委員會於受候選人指定為授權委員會後，提出的組織報告書、及政治委員會之司帳提出的支出報告等。

述書及報告後 2 日內，儘速將其影本送交聯邦選舉委員會。

(二) 拜會過程

- 1、拜會時間：2014 年 5 月 28 日上午 10 時至 12 時
- 2、接見代表：參議院秘書處總顧問 Mr. Adam Bramwell 及公共紀錄辦公室主任 Ms. Diana
- 3、拜會實況：

(1) 由於公共紀錄辦公室主任 Ms. Diana 熱情安排參觀國會行程，因此拜會當日由駐美國台北經濟文化代表處鍾秘書佳安陪同訪團提早 1 小時抵達國會。美國國會大廈本身以一個圓形大廳上的圓頂及兩翼作為標記，每一翼作為一個議會的所在地，北翼為參議院，南翼則為眾議院，圓頂之上立有一尊高達 6 公尺的自由女神雕像，透過其雄偉莊嚴且極具特色之建築，令人感受到美國民主制度之深化。

(2) 因兩院大廳和議員辦公室相隔甚遠，國會地下室闢有專用電車，隨後訪團亦搭乘該電車前往秘書處總顧問 Mr. Bramwell 之辦公室。拜會過程，訪團與 Mr. Bramwell 及 Ms. Diana 就聯邦選舉競選法對於政治行動委員會的管制規範、對於候選人或政黨所提出的財務報告之審查、財務報告之公開內容、個人捐贈金額上限等問題進行討論。會談尾聲，Mr. Bramwell 亦詢及我國公職人員財產申報及遊說法之規範與實務

運作，並與訪團相互交換意見。



參議院秘書處總顧問 Mr. Bramwell(左 2)與公共紀錄辦公室主任 Ms. Diana(左 3)與監察院考察人員合影。

三、眾議院

(一)機關簡介

1、組織編制

眾議院共有 435 名議員，各州議員人數按人口比例確定¹¹，由各州按地理區域劃分的國會選區中選出。眾議員的任期為兩年，無連任限制。眾議院內

¹¹ 美國的五個特區或屬地，包含哥倫比亞特區、美屬薩摩亞、關島、波多黎各、美屬維爾京群島，於眾議院有代表，惟其代表並無投票權。

有 20 個常設委員會，包含軍事委員會、預算委員會、財政委員會、外交事務委員會、司法委員會、行政委員會等。各常設委員會對其具管轄權部會的相關法案進行審議、修訂與公告。其中行政委員會(The Committee on House Administration，簡稱CHA)主要職權為監督聯邦選舉以及管理眾議院的運作。

2、職掌及工作事項

早期行政委員會曾負責所有與聯邦選舉相關的立法事項，包含競選財務的公開、眾議員的資格審查等。近年來，於「幫助美國投票法¹²」(Help America Vote Act，簡稱HAVA)法案通過及發展之過程中，行政委員會扮演重要的角色。行政委員會並獲分配 3 億美元以上的資金改善投票設備、培訓選務工作人員及改革選舉法令。

(二)拜會過程

1、拜會時間：2014 年 5 月 29 日上午 10 時至 12 時

2、接見代表：眾議院行政委員會資深選舉顧問 Mr. Thomas Hicks

3、拜會實況

(1) Mr. Thomas Hicks 自 2003 年開始擔任眾議院行

¹² 2002 年，美國國會通過了《幫助美國投票法》，其中的重要規定包括：第一，聯邦政府向州和地方提供資金，替換過時的打卡投票機和"拉桿"投票機。第二，聯邦政府成立"協助選舉委員會，向地方選務人員提供技術幫助，並制訂有關投票設備的標準。請參考美國在台協會網站之介紹。

<http://www.ait.org.tw/infousa/zhtw/PUBS/ElectionsBrief/procedures.htm>。

政委員會資深選舉顧問，監督委員會內有關聯邦選舉競選財務之事項。渠於今年年初甫獲歐巴馬總統提名擔任「協助選舉委員會¹³」(Election Assistance Commission，簡稱 EAC)之委員。

- (2) 會談過程中，就聯邦選舉競選法規定每次選舉個人捐贈給單一候選人之額度上限為 2,600 美元部分，Mr. Thomas Hicks 表示該規定仍然維持不變，惟近來美國最高法院判決認為就每次選舉個人捐贈給多位候選人的總金額上限為 4 萬 8,600 美元之規定違反憲法保障之言論自由，應予取消。又候選人或政治委員會收受超過個人捐贈額度上限之獻金時，就超過額度部分，收受者得選擇返還或贈與慈善機構。Mr. Thomas Hicks 對於訪團所提之考察議題，誠懇並耐心逐一回覆，著實令人印象深刻。

¹³ 協助選舉委員會乃一全國交換訊息及資源之機構，提供及查核有關聯邦選舉行政的程序和資訊，向地方選務人員提供技術幫助，並制訂有關投票設備的標準。



行政組長 Mr. Kyle Anderson(左 1) 、選舉顧問 Mr. Thomas Hick(左 2)及其助理(右 1)與監察院考察人員合影

參、美國聯邦選舉競選法規定及實務運作概況

美國有關政治獻金之規範，主要為 1971 年制定之《聯邦選舉競選法》及 2002 年針對軟錢、選舉議題廣告等問題加以規範並修正而制定之《兩黨競選改革法》(Bipartisan Campaign Reform Act，簡稱 BCRA)。以下即以聯邦選舉競選法及兩黨競選改革法之規範內容為主，並輔以介紹美國聯邦選舉委員會對選舉經費之查核實務。

一、得收受政治獻金者

(一) 候選人

聯邦選舉競選法所稱之「候選人」係指：為角逐聯邦公職選舉¹⁴而收受捐獻總額超過5千美元，或其支出花費超過5千美元者，或此人允諾他人以其名義收受捐獻或花費，因而收受捐獻或支出花費總額超過5千美元者¹⁵。

(二) 政治委員會(Political committee)

聯邦選舉競選法中所稱之政治委員會¹⁶包含下列幾種情形：

- 1、一年中收受捐獻或其支出總額超過3千美元之委員會、俱樂部、協會或其他團體。
- 2、一年中收受捐獻總額超過5千美元之政黨地方組織。
- 3、勞工組織、公司或協會所成立分立基金之組織(separate segregated fund)。聯邦選舉競選法准許勞工組織及公司以成立分立基金之方式從事政治活動，而此分立基金的統籌管理機構則是政治行動委員會(Political action committee，簡稱PAC)。政治行動委員會主要工作係向勞工組織成員或公司所屬員工募集自願性的小額捐款，再將捐款轉贈政黨或候選人¹⁷。

¹⁴ 聯邦公職係指總統、副總統、參眾議員或派駐國會代表。

¹⁵ FECA§431(2)。

¹⁶ FECA§431(4)。政治委員會乃一上位概念，而政治行動委員會、候選人指定或授權成立之競選委員會均屬政治委員會的類型之一。

¹⁷ 劉仁筠，我國政治獻金規制問題之研究－美國、日本與我國之比較分析，東海大學政

(三) 政黨(Political party)

政黨則係指以提名聯邦公職候選人，而其候選人列名於選票上之協會、委員會、或組織¹⁸。

二、捐贈政治獻金主體之限制

美國聯邦選舉競選法規定不得捐贈政治獻金者如下：

(一) 與政府有契約關係者(承包商)¹⁹。凡是與美國聯邦政府之任何部門或機構簽訂契約，提供個人服務、物資、設備或出售土地、建築物與上開部門或機構之承包商，不得以直接或間接的方式捐獻金錢和其他有價物，或明示、暗示地答應要捐助給任何政黨、政治委員會、競選公職的候選人、或是有此政治目的的任何人。於契約期間，明知有上述情形卻仍向承包商要求捐贈政治獻金，亦屬違法。

(二) 公司及勞工組織。任何公司或勞工組織，不得作任何與總統、副總統或參眾議員選舉或提名總統、副總統、參眾議員的初選會、政治性會議、政黨幹部會議相關的捐助或支出²⁰。任何候選人、政治委員會，或其他人亦不得明知而接受上述捐獻。惟公司及勞工組織得成立獨立基金²¹，

治學系碩士論文，2004 年 6 月，頁 70。

¹⁸ FECA§431(16)。

¹⁹ FECA§441(c)。

²⁰ FECA§441(b)(a)。

²¹ FECA 對於獨立基金的來源有所限制，包含不得以強暴、脅迫、減薪或停薪等方式要求

由員工或股東參與募集政治獻金。

(三) 外國人或外資²²。包含外國政府及政黨、外國組織、法人或機構或主要營業所位於國外之組織、機構或法人等，不論係以直接或間接之方式捐贈政治獻金均在禁止之列。明知捐贈者為外資或外國人而仍要求或接受捐贈，亦在禁止之列。實務上認定明知係指一個人：1、實際上知道所要求或所接受的資金有可能來自外資；或 2、所認知之事實會使一般人相信那些收受的資金有可能來自外資；或 3、所認知之事實會使一般人質疑資金的來源。例如捐贈者用外國護照、提供外國地址、捐贈來自外國銀行。

(四) 教會及慈善機構。

三、收受政治獻金之期間及方式

(一) 收受政治獻金之期間

美國對於收受政治獻金之期間並無限制。而美國聯邦選舉競選法中規定，凡是有意角逐聯邦公職選舉，接受捐助或支出經費超過 5 千美元者即為聯邦公職候選人，5 千美元的累計係以選舉週期為計算，即上次選舉投票日之次日起，至本次選舉投票日止。

員工捐獻、不得要求公司股東、股東家屬、公司職員、職員家屬、工會會員、會員家屬以外之任何人，對於基金從事各項捐獻，且懇求職員捐獻時，須告知其獨立基金設立之政治目的。

²² FECA§441(e)(a)、BCRA§303。

(二) 收受政治獻金之方式

候選人收受捐贈，須成立一個委員會為其主要競選委員會，並得設立其他政治委員會為其授權委員會，以書面將委員會之名稱、地址、黨籍、競選之公職種類、往來銀行名單等向聯邦選舉委員會提出報告書，並指定一「司帳」(treasurer)，由司帳負責一切競選經費之收支和申報的工作。

四、提出收支報告期間及申報內容

因美國並未限制政治獻金的收受期間，從而不論是否為選舉年度，政治委員會均須定期提出收支報告。且依據聯邦選舉委員會強制規定，個人或政治委員會如於選舉年度中收受政治獻金或支出超過 5 萬美元者，必須以電子化方式申報，如其以紙本方式申報，則視為未申報²³。而聯邦選舉委員會須於收受收支報告後 48 小時內，將收支報告內容上網公告供民眾檢視，如政治委員會係以電子化方式申報者，則聯邦選舉委員會應於收受後 24 小時內將報告上網公告²⁴。有關聯邦選舉競選法規定之收支報告申報期間及申報內容如下：

(一) 申報期間²⁵

如非選舉年度，須每半年申報一次(每年 7 月底及

²³ 惟參議員候選人之競選委員會或僅捐贈政治獻金予參議員候選人者，因其係向參議院申報，故不適用此規定。

²⁴ FECA§434(a)(11)(B)。

²⁵ FECA§434(2)、(3)、(4)。楊泰順，我國政治獻金制度改革之研究，頁 82、83。

次年 1 月底)。如為選舉年度，則候選人之競選委員會應向聯邦選舉委員會提出以下之申報：

- 1、選前與選後的申報：候選人的競選委員會與政治委員會應在選前 20 日完成收支報告，並在 12 日前提交選舉委員會；選後 20 日內亦應完成收支報告，並於 30 日內提交聯邦選舉委員會。
- 2、季報告：競選委員會在每季最後一日應完成每季的收支報告，並於 15 日內提交聯邦選舉委員會（12 月 31 日的報告可延至 1 月底提交）。
- 3、月報告：總統候選人的競選委員會若一個月累積收到 10 萬美元以上的捐獻，須另在月底後 20 日內提交月報告。
- 4、特別報告：候選人的競選委員會收到 1 千美元以上的捐獻時，應於 20 日後報告聯邦選舉委員會，但不得遲於選前 48 小時。

(二) 收支報告內容

收支報告須包含下列內容²⁶：

- 1、除收入及支出總額外，並須申報源自個人、候選人、政黨委員會或其他政治委員會等捐贈的總額，另外其他一切借貸、花費之折扣或退款、股息、利息等亦須申報。
- 2、如個人於一年內捐贈政治獻金予該委員會²⁷

²⁶ 以下主要介紹收支報告中有關收入部分。

之總額超過 200 美元者，需載明捐贈者之身分、捐助日期及金額。

3、捐贈政治獻金給該委員會之其他政治委員會，連同捐助日期及數額需載明。

4、個人於申報期間貸款給該委員會者，需載明捐贈者之身分、保證人之身分、貸款日期及貸款金額。

5、個人於一年內對該委員會之花費提供折扣、退款或提供分紅、利息等金額超過 200 美元者，需載明捐贈者之身分、提供日期及總額。

五、捐贈金額之限制

聯邦選舉競選法對各類捐贈者的捐款金額訂有明確的累積上限，對個人捐獻者累積計算以每次選舉週期(兩年)為準；對組織之捐獻則以曆年為基準。為配合物價波動，聯邦選舉競選法規定²⁸每兩年依單數年前 12 個月勞工部勞工統計局所公布之物價指數，調整捐獻金額的上限。調整以 100 美元為單位，不滿該數額則採四捨五入計算。有關 2013 年與 2014 年的金額上限，請參見下列表格²⁹：

²⁷ 此處係指提出報告之政治委員會。

²⁸ FECA§441a(c)。

²⁹ 資料來源：美國聯邦選舉委員會網站 http://www.fec.gov/ans/answers_general.shtml#How_much_can_I_contribute。

	每次選舉 任一候選人 或其選舉委 員會	每曆年 政黨全國 黨部	每曆年 州與地方黨 部	每曆年 任一非政黨 的政治委員 會	特別限制
個人捐 款上限	\$2, 600	\$32, 400	總額不得超 過\$10, 000	\$5, 000	無上限
政黨全 國黨部 捐款上 限	\$5, 000	無上限	無上限	\$5, 000	對參議員候選人每 次選舉捐助經費上 限\$45, 400
州與地 方黨部 捐款上 限	總額不得超 過\$5, 000	無上限	無上限	總額不得超 過\$5, 000	無上限
捐助多 候選人的政治 委員會	\$5, 000	\$15, 000	總額不得超 過\$5, 000	\$5, 000	無上限
非多候 選人的政治委 員會	\$2, 600	\$32, 400	總額不得超 過\$10, 000	\$5, 000	無上限
獲候選 人授權的競選 委員會	\$2, 000	無上限	無上限	\$5, 000	無上限

註：以上金額均為美元。

六、查核方式及相關罰則

(一) 查核實務

2014 年聯邦選舉委員會就資訊系統部分編列 6 百多萬美元預算，經費主要運用於資料庫(the data

warehouse) 及 案 件 管 理 系 統 (the Case Management System)。資料庫之功能在於方便聯邦選舉委員會之職員取得已申報之競選財務資料並分析相關資料數據，俾進行後續之查核。而案件管理系統的目標在於提供民眾查閱利用，以提升聯邦選舉委員會相關法令及執行案件情形的透明度³⁰。以下即介紹聯邦選舉委員會查核實務之運作方式及情形。

1、查核案件來源

(1) 民眾檢舉

任何人認為有違反聯邦選舉競選法或聯邦選舉委員會所訂規範的情事發生或即將發生時，得提出檢舉。檢舉信須註明檢舉人之姓名及住址並簽名宣誓。內容則須詳述違法之事實、特定違法之個人、團體，如有相關文件資料，須一併提供。總顧問辦公室(The office of General Counsel)負責審查檢舉信內容是否符合規定，若未符合上開規定，通知檢舉人。總顧問辦公室於收受符合規定之檢舉信後 5 日內，將該檢舉信影本寄送被檢舉人，被檢舉人須於收到後 15 日內以書面回應。

(2) 書面審查

³⁰ FEDERAL ELECTION COMMISSION , FISCAL YEAR 2014 , CONGRESSIONAL BUDGET JUSTIFICATION 。

聯邦選舉委員會的職員會審查所有聯邦公職候選人及政治委員會提出的報告，確認其是否有遵守揭露的要求和捐獻的限制及禁止規定。對於報告內容有明顯違反規定或缺漏者，除已藉由要求申報者自行更正或解釋澄清而獲得改善外，聯邦選舉委員會的職員會將違法之報告提交給委員以利後續執行。

2、查核過程及執行

當聯邦選舉委員會 6 名委員投票結果，有 4 名委員認為「有理由相信」有違法的情事發生時，委員會就開始調查該案。如調查結果認有違法情事，則聯邦選委會先嘗試以與被檢舉人達成和解協定的方式解決。聯邦選舉競選法規定，聯邦選舉委員會調查後如認被檢舉人有違反聯邦選舉競選法規定之情事者，得於和解協定中要求被檢舉人交付 5 千美元以下之民事罰款或相當於違法捐贈或支出金額之民事罰款。如認被檢舉人係明知且故意違反聯邦選舉競選法規定者，則得於和解協定中要求被檢舉人交付 1 萬美元以下之民事罰款或相當於違法捐贈或支出金額 2 倍之民事罰款。若無法達成和解協定，則聯邦選舉委員會經 4 位委員投票決定後得提起民事訴訟。如達成和解協定後，被檢舉人違反協定內容者，聯邦選舉委員會亦得逕行提起民事訴訟。

3、對逾期申報或未申報之處理

聯邦選舉委員會為精簡執行過程，對於政治委員會逾期提出或未提出收支報告者，定有行政的罰鍰程序³¹ (Administrative Fine Program)。聯邦選舉委員會認為計算罰鍰金額時，應考量報告所涉選舉之敏感性、逾期申報或未申報、行為程度及申報者先前之違法次數等因素，分別說明如下：

- (1)選舉敏感性(Election Sensitivity)：若該收支報告之申報截止日為選前，例如十月份的季報告和十月份的月報告，則認為該報告具選舉敏感性，其他例如年中或年終所提出的收支報告則被認為不具選舉敏感性。
- (2)逾期申報或未申報之認定：上述具有選舉敏感性的收支報告若於申報截止日後，選舉之日四日前申報，則認定為遲延申報；若係於選舉之日前四日內始申報，則為未申報³²。不具有選舉敏感性的報告若在申報到期日後 30 日內提出，則為逾期申報；30 日後方提出，則為未申報。
- (3)行為程度(Level of Activity)：逾期申報者，其行為程度之計算是以該報告的總收入加總支

³¹ 此乃 2000 年時，美國國會授權聯邦選舉委員會制定。

³² 假設申報已逾申報截止日之情形下，而 5 月 18 日為初選之日，若於 5 月 13 日申報，則視為逾期申報，反之，若於 5 月 14 日申報，則視為未申報。

出為準；如為未申報者，則以該政治委員會於現在或先前的選舉年度所申報的報告內容為計算基準。

(4) 先前之違法次數 (Number of Prior Violations)：於計算罰鍰金額時，先前每一次的違法行為將增加罰鍰數額的百分之 25。

(二) 相關罰則

聯邦選舉競選法規定任何人明知且故意違反聯邦選舉競選法之規定，且違法金額達 2 萬 5 千美元者，應處罰鍰或 5 年以下有期徒刑，或併科；如違法金額達 2 千美元，但少於 2 萬 5 千美元者，應處罰鍰或 1 年以下有期徒刑，或併科³³。此外，針對明知且故意違反「不得以他人名義捐贈或不得故意收受以他人名義所為捐贈」之規定，且違法金額達 1 萬美元者，如違法金額未達 2 萬 5 千美元，則處 2 年以下有期徒刑，或應處違法金額 3 倍以上之罰鍰，惟該罰鍰不得超過 5 萬美元或違法金額之 10 倍，或併科。

七、其他特殊議題

(一) 軟錢(soft money)³⁴

美國於 1979 年修訂聯邦選舉競選法時，將州與地

³³ FECA§437g(d)。

³⁴ 楊泰順等，我國政治獻金制度改革之研究，內政部委託研究報告，101 年 12 月，頁 15。

方政黨籌措運用於「黨務發展」(party building)、「選民造冊」(voter registration)、與「催票活動」(get-out-the-vote activities)等項目之經費，排除在政治獻金規範之外。因該經費係用於地方黨部的開銷與活動，不屬於聯邦法規限制的範圍，亦不受聯邦選舉競選法之約束，收支項目無須條列申報，故被稱為「軟錢」。相較於此，所謂硬錢(hard money)係指僅能用於聯邦公職候選人，且受聯邦選舉競選法規範的政治獻金。然若各州州法認為捐錢幫助黨務發展並非「政治意見」的表達，將使營利事業與工會團體得以透過捐款予地方黨部達到影響聯邦候選人的目的。為防堵軟錢以捐款地方黨部之名，行影響聯邦選舉之實，兩黨競選改革法除規定禁止全國性的政黨委員會籌集和使用任何受聯邦法律規範以外的資金以外，更規定在選舉前 120 日，地方黨部的各項催票、綁樁活動，不得與聯邦候選人產生關聯。

(二)獨立支出

1、定義

依據聯邦選舉競選法規定，任何人經由候選人、候選人授權的政治委員會或其代理人之合作、諮詢、商議、要求或建議所作的支出，應視為對該候選人的捐贈，其支出總額受一定金額上限之限制。惟獨立支出係指任何人明顯希望某位特定的

候選人³⁵當選或落選所支出的花費，且該項花費的支出未與任何候選人或候選人之授權委員會、代理人之合作、諮商或協調，亦非由於上述等人所請求或建議³⁶。基於言論自由的保障，獨立支出相關規範發展迄今³⁷，任何人包含非營利團體、公司、勞工組織或公民組織，均得在事前未與公職候選人聯絡的前提下，自由參與政治事務，使用各種途徑，包括廣播、電視廣告等方式，表達其對特定候選人的支持或反對，候選人亦得藉由獨立支出的支持者舉辦的活動提升其曝光度。

2、申報要求

獨立支出雖無額度的限制，惟屬政治性言論，因此仍須向聯邦選舉委員會申報經費的支出。如在年度內與特定選舉相關的獨立支出金額累計達到 200 美元，政治委員會向聯邦選舉委員會申報，並列舉獨立花費的支出。而個人在年度中對於某個選舉所為的獨立支出金額累計達到 250 美元時，亦須向聯邦選舉委員會提出報告。申報的內容則包含³⁸：(1)如係個人所為之獨立支出，

³⁵ 特定係指：指出候選人的姓名、顯示候選人的照片、畫像或經由其他參考資料顯示候選人之身分者而言。

³⁶ FECA§441(17)。

³⁷ 在 Citizens United v. Federal Election Commission 案中，最高法院判決認為應該允許公司和勞工團體為獨立支出，以及提供資金給從事競選活動的組織。但此判決並未影響禁止有關公司或勞工團體直捐贈予候選人或政黨的規定。

³⁸ 有關個人為獨立支出時之申報表格，請參考附錄。

須申報個人姓名、電子郵件、職業和其僱主的姓名；(2)支出者的身分；(3)金額、日期和每項支出的用途；(4)有關該項獨立支出是否係支持或反對特定候選人(連同候選人姓名和辦公室)的陳述。

(三)議題廣告 (Issue Advocacy Ads)

議題廣告與獨立支出，兩者皆不得與候選人或政黨有任何事先的協商，惟與獨立支出之不同之處在於，議題廣告不得有任何支持或反對特定候選人的表達，又因未指名候選人，亦無事先的協商，美國最高法院認為此類言論為「議題廣告」而非「選舉文宣」，應受憲法意見表達自由之保障，因此無須向聯邦選舉委員會申報；議題廣告屬言論自由之範疇，如不得要求登錄或公開皆有箝制言論之疑慮，故不得加以限制。

肆、美國聯邦選舉競選法與我國政治獻金法之比較

美國國情、文化與政治氛圍固與我國迥異，惟因我國政治獻金法制定時，亦曾借鏡美國立法例作為立法之參考，故就政治獻金之規範而言，美國聯邦選舉競選法與我國政治獻金法有相似之處，亦有相異之處，以下即根據本報告內容之主軸，比較美國聯邦選舉競選法與我國政治獻金法規範之異同。

一、得收受政治獻金者

(一)美國：候選人、政治委員會、政黨。

(二)我國：政黨、政治團體、擬參選人³⁹。

(三)說明及比較：

- 1、美國政治獻金屬常年性捐贈，且黨內初選經費亦納入政治獻金之規範，故其候選人資格的取得，非以形式上的登記或報備，無法以相關機構之官方公文書為準，而係以實際收支超過 5 千美元後，再向聯邦選舉委員會填具「候選人聲明」(Statement of Candidacy) 文件，並成立選舉委員會辦理相關募款及支出事宜。
- 2、我國擬參選人如欲參與選舉，則需於金融機構開立專戶，並載明金融機構名稱、地址、帳號及戶名，報受理機關許可後，始得收受政治獻金；受理申報機關應於許可後立即公告⁴⁰。受理政治獻金申報之機關為監察院⁴¹。
- 3、美國法治教育根深蒂固，故能採取候選人視實際達到收支規定金額後，再依規定辦理參選等相關事宜。然依我國國情，在政治獻金法實施前，政治獻金相當不透明，易生金權政治之弊病，自民國 93 年起，我國政治獻金法實施，將政治獻金檯面化，並以監察院為受理機關，就是希望藉由監察院獨立及公正之立場，及以官方公文書暨公告等方式，公開擬參選人政治獻

³⁹政治獻金法§5 及§2。

⁴⁰政治獻金法§10。

⁴¹政治獻金法§3。

金專戶，獲得社會大眾對政治獻金之信任，我國政治獻金法規範較符我國國情。

二、捐贈政治獻金主體之限制：

(一)美國：與政府有契約關係者、公司及勞工組織、外國人或外資、教會及慈善團體。

(二)我國：1. 公營事業或政府持有資本達 20%之民營企業。2. 與政府機關（構）有巨額採購或重大公共建設投資契約，且在履約期間之廠商。3. 有累積虧損尚未依規定彌補之營利事業。4. 宗教團體。5. 其他政黨或同一種選舉擬參選人。6. 主要成員或人民、法人、團體或其他機構為外國（包含香港、澳門及大陸地區）。7. 政黨經營或投資之事業。8. 與政黨經營或投資之事業有巨額採購契約，且在履約期間之廠商⁴²。

(三)說明及比較：

1、美國雖規定公司及勞工組織雖不得捐贈，但卻同意讓公司及勞工組織以成立政治行動委員會之方式，進行政治獻金之募集與捐贈，實質上卻仍是公司及勞工組織之捐贈。

2、我國政治獻金法係考量及配合我國國情，雖繁複詳列 11 項不得捐贈之主體，但卻讓人民較有確切可遵循參照之依據。

三、收受政治獻金之期間及方式

⁴² 政治獻金法§7。

(一)美國：美國對於收受政治獻金之期間並無限制，候選人收受政治獻金達規定之額度後，須成立競選委員會，並指定「司帳」負責競選經費收支及申報。

(二)我國：

1、明定各類選舉之擬參選人及政黨、政治團體可收受政治獻金期間⁴³：(1)總統、副總統擬參選人：自總統、副總統任期屆滿前一年起，至次屆選舉投票前一日止。(2)區域及原住民選出之立法委員：自立法委員任期屆滿前十個月起，至次屆選舉投票前一日止。(3)直轄市議員、直轄市長、縣(市)議員、縣(市)長擬參選人：自各該公職人員任期屆滿前八個月起，至次屆選舉投票前一日止。(4)鄉(鎮、市)民代表、鄉(鎮、市)長、村(里)長擬參選人：自各該公職人員任期屆滿前四個月起，至次屆選舉投票前一日止。前項期間之起始日在公告發布之日後者，其收受政治獻金期間自選選舉公告發布之日起至投票前一日止。(5)政黨及政治團體經監察院許可其開立之政治獻金專戶後，全年皆可接受政治獻金捐贈。

2、政黨、政治團體及擬參選人收受金錢之政治獻金，應於收受後 15 日內存入經監察院許可之政

⁴³ 政治獻金法§12。

治獻金專戶⁴⁴。

(三)說明及比較：

- 1、美國雖全年可收受政治獻金，但非競選期間所募集之政治獻金金額較少，大部份之政治獻金金額皆集中於競選期間。
- 2、我國明定各類選舉之可收受期間，時間較為明確且集中在競選時期。

四、提出收支報告期間及申報內容

(一)美國：將申報期間區分為非選舉與選舉年度，如非選舉年度，須每半年申報一次；如為選舉年度，候選人之競選委員會除應於選前 12 日與選後 30 日內向聯邦選舉委員會申報外，並視情況完成季報告、月報告及特別報告。其收支報告內容應包含收入、支出、個人捐贈總額超過 200 美元者之身分、捐贈日期及金額等。

(二)我國：政黨、政治團體及擬參選人應設收支帳簿，按日逐筆記載政治獻金之收支時間、對象及其地址、用途、金額或金錢以外經濟利益之價額等明細，並據以製作會計報告書⁴⁵，政黨、政治團體於每年度結束後五個月內，擬參選人於選舉投票日後三個月內，向監察院申報⁴⁶。

(三)說明及比較：

⁴⁴ 政治獻金法§10。

⁴⁵ 政治獻金法§20。

⁴⁶ 政治獻金法§21。

- 1、美國：依據聯邦選舉委員會強制規定，個人或政治委員會如於選舉年度中收受政治獻金或支出超過5萬美元者，必須以電子化方式申報，如其以紙本方式申報，則視為未申報。
- 2、我國：政黨、政治團體及擬參選人申報政治獻金會計報告書，可視其運作狀況，自行決定採用紙本申報或網路申報。
- 3、我國目前積極推行網路申報政治獻金會計報告書，期望藉由網路申報方式，達到節能減碳及減省人工鍵入系統費用，美國強制規定達到限定金額須以電子化申報，實在值得我國借鏡。

五、捐贈金額之限制：

- (一)美國：聯邦選舉競選法對各類捐贈者之捐贈金額訂有明確累積上限，並配合物價波動，調整捐贈金額之上限。
- (二)我國：依個人、營利事業、人民團體之捐贈身分，並依照渠等對同一或不同之政黨、政治團體及擬參選人等受贈對象，訂定每年捐贈總額。
- (三)說明及比較：

美國與我國對於各類捐贈者，皆分別訂定捐贈總額，但美國配合物價波動，調整捐贈金額上限，對於我國殊值參考。

六、查核方式

- (一)美國：聯邦選舉委員會運用資訊庫，分析候選人競選財務資料，以進行後續查核。另運用案件管

理系統，提供民眾查閱及利用，以提升案件之透明度。

(二)我國：運用政治獻金網路申報暨案件管理系統，比對不得捐贈者平臺資料，藉以發現政黨、政治團體及擬參選人政治獻金會計報告書之異常情形，俾利進行後續查核工作。另依政治獻金法之規定，運用上開系統中之政治獻金查調閱功能，公開政治獻金會計報告書之收支結算表，另依個人資料保護法，將個資作必要遮蔽後，供民眾查閱收支明細。

(三)說明及比較：

美國聯邦選舉委員會藉由強大之資訊系統功能，將複雜之政治獻金財務資料，進行分析比較，比對出異常情形後再進行查核。我國目前雖建置多個政治獻金系統，惟相關系統尚待全面串連與整合，期能經由整合後系統之完整功能，減省查核時之大量人工作業。

伍、心得及建議

美國聯邦選舉競選法規定，個人為角逐公職候選人選舉而收受政治獻金超過5千美元或其選舉開支總計超過5千美元者，應於15日內向聯邦選舉委員會提出「候選人聲明」(Statement of Candidacy)文件，並成立競選委員會處理收受政治獻金與開支事宜

⁴⁷。由此可知，美國候選人資格的取得無法以相關機構之官文書為準，係候選人俟收到相當金額後，始填具候選人聲明文件，方認定為候選人，至於是否達到相當金額則由候選人自行認定。衡酌我國法治教育尚未完全根植並普及於全體國民，如比照美國之情辦理，實讓候選人有操作空間，不符公開透明，難具公信力。

反觀我國政治獻金法立法規範目的，為促進國民政治參與，政治獻金公開透明及合理規範，避免私相授受，無論已依法完成登記或有意登記參選公職之人員，均稱為擬參選人，渠等於金融機構開立專戶後，須向監察院申請許可後，始得收受政治獻金，且相關之開戶情形，均經監察院公告，民眾因監察院之公信力，不致遭受詐騙，擬參選人亦得以名正言順地收受政治獻金開立合法收據，將擬參選人可否收受政治獻金之實況，攤在陽光下，接受人民檢驗。

一、外資層層轉資捐贈之實，以我國現行處理方式較能杜絕禁止

美國聯邦選舉競選法規定外國政府及政黨、外國組織、法人或機構或主要營業所位於國外之組織、機構或法人等，不得以直接或間接之方式捐贈政治獻金。明知捐贈者為外資而收受捐贈者，亦在禁止之列。而我國政治獻金法規定外國（含大陸地區及香

⁴⁷ FECA§432(e)(1)。

港、澳門）人民、法人、團體或其他機構，或主要成員為外國（含大陸地區及香港、澳門）人民、法人、團體或其他機構，皆不得捐贈。其主要成員，係指擔任本國團體或法人之董事長職務，占本國團體或法人之董事、監察人、執行業務或代表公司之股東等各項職務總名額超過三分之一以者，及占股份有限公司之股東權百分之三十以上或無限公司、兩合公司、有限公司之股東及一般法人、團體之社員人數超過三分之一以上者。對於營利事業之董事長雖為本國人，惟其係外國法人之代表人，或董事等職務，其所代表法人為外國公司並超過總名額三分之一者，依內政部函釋認為符合我國不得捐贈之對象。

相較之下，美國對外資捐贈之規定，相對模糊，解釋及操弄空間頗大，我國對外資捐贈之規定較為明確，對於外觀具本國國民之董事長或董事，實為外國公司法人代表之營利事業，亦明示不得捐贈政治獻金，有效阻絕外資藉層層轉投資捐贈，進而影響選舉公平之虞，頗值稱許。

二、明定政治獻金收受之來源對象、額度及起迄期間，符合公平公開原則

美國並未限制收受政治獻金之期間，無論是否為競選期間皆可捐贈政治獻金。相較之下，我國除政黨及政治團體可常年收受並於每年度結束後5個月內向監察院申報政治獻金會計報告書外，另明文規範各項公職之擬參選人可收受政治獻金之期間至投票日前 1

日止，並於選舉投票日後3個月內，向監察院申報政治獻金會計報告書。此舉不論擬參選人之身分貴賤貧富，均以法律規定可收受政治獻金之額度及期限，可有效防止財團意圖藉捐贈政治獻金而影響選舉之公平性，進而防止捐受雙方有期約及利益輸送情事。

三、捐獻金額之上限應定期依照物價指數調整較符實際

為配合物價波動，美國聯邦選舉競選法規定每兩年依單數年前12個月勞工部勞工統計局所公布之物價指數，調整捐獻金額的上限。我國對政黨、政治團體及擬參選人亦有年度捐贈總額上限之規定，惟面對選舉合併舉行之趨勢，又需秉持小額捐贈原則的前提下，年度捐贈總額上限亟待修法配合提高。考量修法緩不濟急，建議未來應仿照美國規定，於政治獻金法內明定，依物價波動指數，調整捐贈金額的上限，並授權由行政主管機關執行，較能即時配合實況調整。

四、建置功能強大之查核系統，減省查核人力與行政成本

美國聯邦選舉委員會2014年就資訊系統部分編列6百多萬美元預算，經費主要運用於資料庫及案件管理系統。而監察院為方便政黨、政治團體及擬參選人查證所收受之政治獻金是否符合政治獻金法規定，分別建置「政治獻金不得捐贈者資料整合平臺」與「政治獻金網路申報系統」，供政黨、政治團體及擬參選人查證及申報資料，並建置「政治獻金查核系統」，將申報資料與不得捐贈者資料比對並顯示異常，俾利查核。而今所遇之困難為，各資料持有機關

未能即時於資料更動時，至「政治獻金不得捐贈者資料整合平臺」鍵入相關異動資料，甚或不配合提供資料，且政治獻金法亦未有罰則，致使各資料持有機關之疏失，造成監察院及捐贈者之困擾，但查核為求毋枉毋縱，爰仍花費相當人力函查。如能補足上述之缺憾，相信能減省查核人力與行政成本。

五、仿效美國將政治獻金資料公開上網，供民眾檢視

美國政治獻金的透明化被認為是所有管理設計中最核心的價值，也是美國最足以傲視其他民主國家的管理成就。一旦認定為捐獻，聯邦選舉競選法第 434 條規定，候選人的政治委員會在收到超過 500 美元之捐款時，必須登錄捐獻者姓名、地址、收款日期與捐獻金額。聯邦選舉委員會於收到候選人及政治委員會之報告書後，須於 48 小時內讓大眾可以上網取得報告內容，並建置案件管理系統，提供民眾查閱利用，並提升聯邦選舉委員會相關法令及執行案件情形的透明度。

我國政治獻金法規定，受理申報機關應於受理申報截止後三個月內彙整列冊，供人查閱；會計報告書之收支結算表應刊登政府公報或新聞紙，並公開於電腦網路。另依政治獻金會計報告查閱辦法(下稱查閱辦法)規定，申請人查閱資料如以磁碟片、光碟片、USB 裝置或其他設備，傳輸電腦或其相關設備內之資料者，監察院得制止之；經制止仍無效果或其情形嚴重者，並得拒絕其繼續查閱。監察院雖已將政治獻金

會計報告書收支明細鍵入電腦，以電腦並配合紙本列印供人查閱，且監察院亦配合個人資料保護法之規定，將相關個人資料已作遮蔽，已盡到保護個資的責任。但對於偏遠地區之查閱人實不便民。

現今 gov 政府網站查閱擬參選人政治獻金會計報告書收支明細後，重置並擬登載於網路，供民眾檢閱。該行為雖有違現行政治獻金法及查閱辦法之規定，然亦為反映部分民眾之心聲。政治獻金法規範目的即在使政治獻金公開透明，接受大眾監督，且上網供人查閱已為時勢所趨，應修正政治獻金法及查閱辦法，將政治獻金會計報告書收支明細公開上網，並依節能減碳之目標，考量僅將重要內容刊登公報，摺節紙張；另對於上網查閱人之資格及年齡亦應配合作出限制，以符政治獻金法之精神。

六、建議未來我國修法以行政罰規範為主，刪除刑事責任之規定

美國聯邦選舉競選法規定，明知且故意違反該法之規定者，除應處罰鍰外，亦有刑事責任。而我國政治獻金法之罰則，除行政罰外，對於擬參選人收受外資或未經許可設立專戶而收受政治獻金者，處以刑罰。惟我國現行實務違反上述規定，經監察院移送檢察機關偵辦者，因法院難認定其具有明知且故意違犯之情節，判決結果大都處以緩刑或不起訴處分，且違法收受之政治獻金也未沒收，造成移送檢察機關偵辦者之裁罰結果相較由裁處行政罰之罰鍰及沒入者為

輕，有失平衡。建議回歸行政罰，由執行裁罰機關依違法情節科處行政罰之罰鍰及沒入，刪除刑事處罰之規定。

七、美國聯邦選舉委員會對於遲延申報或未申報之認定方式值得參考

美國聯邦選舉委員會對於遲延申報或未申報之認定及裁罰金額之計算，參酌報告所涉選舉之敏感性、逾期申報或未申報、行為程度及申報者先前之違法次數等因素後，訂定細緻化之標準。而我國政治獻金法則未區分逾期申報或未申報政治獻金會計報告書之罰則，僅對於不為申報者規定，得限期命其申報，並得按次連續處罰。然逾期申報與未申報之情節，實有不同程度之違法性，且對於逾期申報日數亦應有所分別，罰則皆應分別訂定，以符實況。

八、獨立支出的規範值得借鏡

美國法院認為在選舉期間，如果無法證明意見內容事先曾與候選人有過諮商或協調，便應認屬言論自由的範疇，不得限制其支出上限，因此獨立支出等於是對候選人提供沒有上限的實質補助，對獨立支出僅規範須向聯邦選舉委員會申報其經費收支。

我國捐款者考量支持候選人當選後可能的經濟利益，漸漸使捐款者走向獨立支出一途。但我國政治獻金法之主管機關內政部 93 年⁴⁸及 101 年⁴⁹函釋認

⁴⁸內政部 93 年 11 月 12 日台內民字第 0930009443 號函。

為，對個人或團體舉辦之活動所為各項費用支出，是否屬對候選人之政治獻金捐贈，應視該活動是否以支持或反對特定候選人為目的而定。如屬以支持或反對特定候選人為目的，且經候選人同意或事先溝通、協調所為各項費用支出，則屬政治獻金範疇。至如未經候選人同意或事先溝通、協調所為各項費用之獨立支出問題，對此基於我國政治獻金法制定之時，考量政治獻金管理制度在我國係屬草創，而獨立支出的性質與態樣不一，不易全面規範，且限制獨立支出，恐有侵犯憲法保障言論自由及政治活動自由之虞，故未加以規範。

現今我國選舉已有捐款者自行出資於平面媒體、看板等處，替候選人做大幅廣告，捐款者出錢出力參與候選人造勢活動等等，俟候選人選後申報會計報告書未申報渠等費用支出時，對執行查核機關而言，實難知悉該筆費用支出是否經候選人同意或事先溝通協調，亦難認定為獨立支出抑或候選人漏未申報，易造成查核執行之困擾。因我國內政部函釋之不完整，獨立支出顯已成政治獻金的漏洞。

我國實與美國皆遇到相同困難，因考量言論自由範疇而未對獨立支出有所限制，惟美國法至少對獨立支出已作出仍須向聯邦選舉委員會申報經費支出之規範，而我國尚付之闕如，建請應仿效美國，積極建

⁴⁹內政部 101 年 12 月 24 日台內民字第 1010392189 號函。

置相關規範，以因應現況並對未來發展預作準備。

九、議題廣告與言論自由應取得平衡，建立規範

基於言論自由保障的重要性，美國法院認為廣告如未出現任何支持或反對特定候選人的字眼，且未與候選人或政黨有任何事先的協商，則此類言論即屬議題廣告而非選舉文宣，享有憲法之言論自由，不得對其加以限制。

我國內政部相關函釋⁵⁰認為政治相關活動，係指涉及政治行為各面向之相關活動，舉凡競選活動、政治理念之宣傳或其他以直接、間接方法介入政治事務之行為，皆屬之。我國目前已有許多募資平台網站，將有創意構想之專案發表於平台上，藉此吸引資金及販售商品，其中許多創意構想與政治議題相關，如太陽花學運、割闌尾計劃等等，其形態如同議題廣告，亦是利用言論自由之名，行政治募款之實。上開募資平台網站與政治有關之創意構想專案之募資行為，遭內政部認定為政治相關活動，應受政治獻金法之規範。但募資平台網站與政治有關之創意構想專案，究為政治相關活動抑或具言論自由之議題廣告，實有探討空間，如何取得平衡並加以規範，實值主管機關深思。

十、本次考察已增進監察院與美國聯邦選舉委員會之友誼，並開啟我國駐美國台北經濟文化代表處與該委員

⁵⁰內政部 94 年 12 月 6 日台內民字第 0940008843 號函。

會交流之契機

本次拜會美國聯邦選舉委員會，不但獲得該委員會主席親自授課講解，並進行交流討論，讓其了解監察院公職人員財產申報處亦從事政治獻金申報及查核工作，拉進彼此距離。本次拜會不但開啟監察院與美國聯邦選舉委員會友誼之門，亦讓我國駐美國台北經濟文化代表處能藉著此次拜會，從與聯邦選舉委員會毫無交集變成日後具聯繫情誼，對於開拓我國良好的實質外交，頗有助益。

陸、附錄

一、考察議題英文版

二、總統副總統候選人授權之競選委員會收支申報表

三、授權委員會之收支申報表

四、非授權之政治委員會收支申報表

五、政治委員會以外之個人或法人獨立支出申報表

柒、參考文獻

一、中文部分

(四) 曲家瑜，美國政治獻金管理制度之研究，國立臺灣師範大學博士論文，102 年 1 月。

(五) 政治獻金法研訂實錄，內政部，93 年 12 月。

(六) 張世賢譯，美國聯邦競選法規彙編，中央選舉委員會，79 年。

(七) 楊泰順等，我國政治獻金制度改革之研究，內政部委託研究報告，101 年 12 月。

(八)劉仁筠，我國政治獻金規制問題之研究－美國、日本與我國之比較分析，東海大學碩士論文，93年6月。

二、英文部分

(一)Federal Election Commission Performance and Accountability Report, Fiscal Year 2012。

(二)Federal Election Commission, Fiscal Year 2014, Congressional Budget Justification。

(三)Federal Election Campaign Laws。

(四)Bipartisan Campaign Reform Act of 2002。

三、網路資料(2014年5月~8月5日)

(一)<http://www.fec.gov/>美國聯邦選舉委員會網站。

(二)<http://www.ait.org.tw/>美國在台協會網站。

(三)<http://www.house.gov/legislative/>美國眾議院網站。

(四)<http://www.senate.gov/>美國參議院網站。

考察議題

壹、聯邦選舉委員會部分

- 1、 The Federal Campaign Commission is an independent organization, composed of 6 members. What are the requirements for membership? What is the Commission's composition and responsibility?
- 2、 What are the regulations that govern political contribution in the United States? What is the purpose and scope of the Federal Election Campaign Act (FECA) and Bipartisan Campaign Reform Act (BCRA)?
- 3、 Why does the FECA prohibit corporations and labor organizations from making contribution?
- 4、 Political Action Committees (PACs) plays an important role throughout the whole campaign, from raising funding, making donation to candidates or contributing to campaign strategies etc. How do you regulate the PACs?
- 5、 In the Citizens United vs. Federal Election Commission case, the US Federal Supreme Court ruled on January 2010, that individuals or groups should

be allowed freedom of expression if the content of communication is not the result of consultation, communication or negotiation with a candidate. Such freedom of speech shall not be limited by imposing any restrictions on spending. How does Federal Campaign commission monitor the sources of the PAC' s funding now that the political action committee (PAC) is no longer subject to limitations on the amount of donations made by individuals, corporations, labor and trade unions and can use the funding to support or oppose one particular candidate? Does the verdict render the donation limit nominal at best? What has the FCC done to ensure compliance with the donation limit? As for independent spending, are there any other restrictions on how the money is spent, besides reporting to Federal Campaign Commission? Is there a certain time period for using independent spending to avoid changing the course of the election?

- 6 - Article of §434(a) (11) (B) of the FECA requires the FCC to make the statement or report of donation receipt and disbursement filed by the candidate and political groups available on the Internet not later than 48 hours after receipt by the Commission, for public inspection. Regarding the content of the report, what information is made public? Do the

public only get access to the total amount of receipts and disbursement or every single entry? Should it be deliberated by the Committee before being made public?

- 7、 How does a candidate verify the legality of the political donations he received, to ensure that they comply with the Federal Election Campaign Act (FECA) or the Bipartisan Campaign Reform Act (BCRA)? Does he have access to any information that helps verification?
- 8、 Which department is responsible for verifying the campaign funding statement? How do you verify whether such funding violate the FECA and BCRA? How much resources and manpower are involved in the verification process every year? If it is random verification, what is the percentage for sampling? Will the result be made available to the public?
- 9、 Does the Federal Campaign Commission organize any campaigns to popularize the laws (FECA and BCRA)? How is it done? How much resources are set aside for it (budget and man power)? How do you assess the effectiveness of such campaigns?
- 10、 The amount of campaign funding is determined by the political party' s financial standing, which can potentially disrupt the level playing field of the

election. What measures have you put in place to regulate such imbalance?

- 11、 In the event that there are lingering cash, what restrictions are in place to regulate the use of leftover campaign funds, in terms of time period and purpose?
- 12、 Individuals are only allowed to make contributions no more than US\$26 million for each election. What happens when a person exceeds that amount? Do you return the excess amount to the donor? Appropriate the excess amount to the Treasury? Or appropriate the contribution as a whole to the National Treasury?

貳、 參眾議院部分

- 1、 Political Action Committees (PACs) plays an important role throughout the whole campaign, from raising funding, making donation to candidates or contributing to campaign strategies etc. How do you regulate the PACs?
- 2、 FECA requires the FCC to make designation, statement or report filed by the candidate and political groups available on the Internet not later than 48 hours after

receipt by the Commission, for public inspection. Regarding the content of the report, what information is made public? Do the public only get access to the total amount of receipts and disbursement or every single entry? Should it be deliberated by the Committee before being made public? Can any person copy the designations, statements, and reports ? How long will the designations, statements, and reports be preserved ?

- 3、 How does a candidate verify the legality of the political donations he received, to ensure that they comply with the Federal Election Campaign Act (FECA) or the Bipartisan Campaign Reform Act (BCRA)? Does he have access to any information that helps verification?
- 4、 Individuals are only allowed to make contributions no more than US\$26 million for each election. What happens when a person exceeds that amount? Do you return the excess amount to the donor? Appropriate the excess amount to the Treasury? Or appropriate the contribution as a whole to the National Treasury?

- 5、 When a candidate or principal campaign committee of a candidate for the House of Representatives or for the Senate receive contributions, should they make a receipt? What is the deadline for file reports of receipts and disbursements? If they file reports of receipts and disbursements exceed the time limit or reports of receipts and disbursements are wrong, will candidate or principal campaign committee be punished?
- 6、 If a candidate or a political committee receive contributions and donations by foreign nationals, are there any penalty provision?

**FEC
FORM 3P**

**REPORT OF RECEIPTS
AND DISBURSEMENTS**

BY AN AUTHORIZED COMMITTEE OF A CANDIDATE
FOR THE OFFICE OF PRESIDENT OR VICE PRESIDENT

Office Use Only

1. NAME OF COMMITTEE (in full, type or print)

Example: If typing, type over the lines.

12FE4M5

ADDRESS (number and street)

☐ Check if different
than previously
reported. (ACC)

CITY

STATE

ZIP CODE

2. FEC IDENTIFICATION NUMBER

C

3. THIS REPORT IS FOR Primary

☐

or General

☐

4. TYPE OF REPORT (Choose One)

Check here if this is a Termination Report (TER)

☐

Quarterly Reports:

Monthly Reports:

☐ April 15 (Q1) ☐ October 15 (Q3)
☐ July 15 (Q2) ☐ January 31 Year-End Report (YE)

☐ Feb 20 (M2) ☐ May 20 (M5) ☐ Aug 20 (M8) ☐ Nov 20 (M11)
☐ Mar 20 (M3) ☐ Jun 20 (M6) ☐ Sep 20 (M9) ☐ Dec 20 (M12)
☐ Apr 20 (M4) ☐ Jul 20 (M7) ☐ Oct 20 (M10) ☐ Jan 31 (YE)

☐ Thirtieth day report following the General Election
on ☐ / ☐ / ☐

☐ Twelfth day report preceding ☐ election
on ☐ / ☐ / ☐ in the State of ☐

Is this Report an Amendment?

☐ yes ☐ no

5. Covering Period

☐ / ☐ / ☐ through

through

☐ / ☐ / ☐

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

Type or Print Name of Treasurer

Signature of Treasurer

Date

☐ / ☐ / ☐

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C. §437g.
All previous versions of this form are obsolete and should no longer be used.

Office
Use
Only

Report Covering the Period:

From:

To:

The image shows three examples of the 'MIMIC' font. The first example shows the word 'MIMIC' in a bold, blocky, sans-serif typeface. The second example shows the word 'DIED' in the same font. The third example shows the word 'YYYY' in the same font. The font is described as a 'bold, blocky, sans-serif typeface' and is available in '12 point' and '14 point' sizes.

6. CASH ON HAND AT BEGINNING OF REPORTING PERIOD

7. TOTAL RECEIPTS THIS PERIOD

(From Line 22, Column A, Page 3)

8. SUBTOTAL

(Lines 6 and 7)

9. TOTAL DISBURSEMENTS THIS PERIOD

(From Line 30, Column A, Page 2).

10. CASH ON HAND AT CLOSE OF THE REPORTING PERIOD

(Subtract Line 9 from 8....



11. DEBTS AND OBLIGATIONS OWED TO THE COMMITTEE

(Itemize All on Schedule C-P or Schedule D-P).

12. DEBTS AND OBLIGATIONS OWED BY THE COMMITTEE

(Itemize All on Schedule C-P or Schedule D-P).

Figure 1: A schematic diagram of a rectangular structure with various labeled components. The top edge is labeled with 'A', 'B', 'C', 'D', 'E', 'F', 'G', 'H', 'I', 'J', 'K', 'L', 'M', 'N', 'O', 'P', 'Q', 'R', 'S', 'T', 'U', 'V', 'W', 'X', 'Y', 'Z'. The bottom edge is labeled with '1', '2', '3', '4', '5', '6', '7', '8', '9', '10', '11', '12', '13', '14', '15', '16', '17', '18', '19', '20', '21', '22', '23', '24', '25', '26', '27', '28', '29', '30', '31', '32', '33', '34', '35', '36', '37', '38', '39', '40', '41', '42', '43', '44', '45', '46', '47', '48', '49', '50', '51', '52', '53', '54', '55', '56', '57', '58', '59', '60', '61', '62', '63', '64', '65', '66', '67', '68', '69', '70', '71', '72', '73', '74', '75', '76', '77', '78', '79', '80', '81', '82', '83', '84', '85', '86', '87', '88', '89', '90', '91', '92', '93', '94', '95', '96', '97', '98', '99', '100'. The left edge is labeled with '1', '2', '3', '4', '5', '6', '7', '8', '9', '10', '11', '12', '13', '14', '15', '16', '17', '18', '19', '20', '21', '22', '23', '24', '25', '26', '27', '28', '29', '30', '31', '32', '33', '34', '35', '36', '37', '38', '39', '40', '41', '42', '43', '44', '45', '46', '47', '48', '49', '50', '51', '52', '53', '54', '55', '56', '57', '58', '59', '60', '61', '62', '63', '64', '65', '66', '67', '68', '69', '70', '71', '72', '73', '74', '75', '76', '77', '78', '79', '80', '81', '82', '83', '84', '85', '86', '87', '88', '89', '90', '91', '92', '93', '94', '95', '96', '97', '98', '99', '100'. The diagram shows a rectangular frame with internal horizontal and vertical lines, and various labels indicating specific points or regions.

13. EXPENDITURES SUBJECT TO LIMITATION

Figure 1 shows a schematic diagram of a rectangular structure, possibly a building or a container, with a grid of points. The top edge is labeled with points 1 through 10. The bottom edge is labeled with points 1 through 10. The left edge is labeled with points 1 through 10. The right edge is labeled with points 1 through 10. The interior points are labeled with letters A through Z. The diagram is enclosed in a rectangular frame with a double-line border.

14. NET CONTRIBUTIONS (Other than Loans)

(Subtract Line 28d, Column B from 17e, Column B, Page 2)

15. NET OPERATING EXPENDITURES

(Subtract Line 20a, Column B from 23, Column B, Page 2).

DETAILED SUMMARY PAGE of Receipts

FEC Form 3P (Rev. 03/2011)

Page 3

NAME OF COMMITTEE (in Full)

Report Covering the Period:

From:

M M / D D / Y Y Y Y

To:

M M / D D / Y Y Y Y

I. RECEIPTS

COLUMN A Total This Period

COLUMN B Election Cycle-to-Date

16. FEDERAL FUNDS (Itemize on Schedule A-P)		
17. CONTRIBUTIONS (other than loans) FROM:		
(a) Individuals/Persons Other Than Political Committees		
(i) itemized		
(ii) unitemized		
(iii) Total contributions		
(b) Political Party Committees		
(c) Other Political Committees		
(d) The Candidate		
(e) TOTAL CONTRIBUTIONS (other than loans) (Add 17(a), 17(b), 17(c) and 17(d))		
18. TRANSFERS FROM OTHER AUTHORIZED COMMITTEES		
19. LOANS RECEIVED:		
(a) Loans Received From or Guaranteed by Candidate		
(b) Other Loans		
(c) TOTAL LOANS (Add 19(a) and 19(b))		
20. OFFSETS TO EXPENDITURES (Refunds, Rebates, etc.):		
(a) Operating		
(b) Fundraising		
(c) Legal and Accounting		
(d) TOTAL OFFSETS TO EXPENDITURES (Add 20(a), 20(b) and 20(c))		
21. OTHER RECEIPTS (Dividends, Interest, etc.)		
22. TOTAL RECEIPTS (Add 16, 17(e), 18, 19(c), 20(d) and 21)		

DETAILED SUMMARY PAGE of Disbursements and Contributed Items

NAME OF COMMITTEE (in Full)

Report Covering the Period:

From:

M	M	/	D	D	/	Y	Y	Y	Y
---	---	---	---	---	---	---	---	---	---

To:

M	M	/	D	D	/	Y	Y	Y	Y
---	---	---	---	---	---	---	---	---	---

II. DISBURSEMENTS
COLUMN A
Total This Period

COLUMN B
Election Cycle-to-Date

23. OPERATING EXPENDITURES.....		
24. TRANSFERS TO OTHER AUTHORIZED COMMITTEES		
25. FUNDRAISING DISBURSEMENTS.....		
26. EXEMPT LEGAL AND ACCOUNTING DISBURSEMENTS.....		
27. LOAN REPAYMENTS MADE:		
(a) Repayments of Loans made or Guaranteed by Candidate.....		
(b) Other Repayments		
(c) TOTAL LOAN REPAYMENTS MADE (Add 27(a) and 27(b)).....		
28. REFUNDS OF CONTRIBUTIONS TO:		
(a) Individuals/Persons Other Than Political Committees.....		
(b) Political Party Committees.....		
(c) Other Political Committees		
(d) TOTAL CONTRIBUTION REFUNDS (Add 28(a), 28(b) and 28(c))		
29. OTHER DISBURSEMENTS		
30. TOTAL DISBURSEMENTS (Add 23, 24, 25, 26, 27(c), 28(d) and 29)		

III. CONTRIBUTED ITEMS
(Stock, Art Objects, Etc.)

31. ITEMS ON HAND TO BE LIQUIDATED (Attach List)		
---	--	--

**ALLOCATION OF PRIMARY EXPENDITURES
BY STATE FOR
A PRESIDENTIAL CANDIDATE**
(Used Only by Primary Committees Receiving
or Expecting To Receive Federal Funds)

Office Use Only

1. NAME OF COMMITTEE (in full, type or print)

2. FEC IDENTIFICATION NUMBER

C

ADDRESS (number and street)

CITY

STATE

ZIP CODE

3. NAME OF CANDIDATE

ALLOCATION BY STATE

STATE	ALLOCATION This Period	TOTAL ALLOCATION To Date
Alabama		
Alaska		
Arizona		
Arkansas		
California		
Colorado		
Connecticut		
Delaware		
District of Columbia		
Florida		
Georgia		
Hawaii		
Idaho		
Illinois		

STATE	ALLOCATION This Period	TOTAL ALLOCATION To Date
Indiana		
Iowa		
Kansas		
Kentucky		
Louisiana		
Maine		
Maryland		
Massachusetts		
Michigan		
Minnesota		
Mississippi		
Missouri		
Montana		
Nebraska		
Nevada		
New Hampshire		
New Jersey		
New Mexico		
New York		
North Carolina		
North Dakota		
Ohio		
Oklahoma		
Oregon		
Pennsylvania		

STATE	ALLOCATION This Period	TOTAL ALLOCATION To Date
Rhode Island		
South Carolina		
South Dakota		
Tennessee		
Texas		
Utah		
Vermont		
Virginia		
Washington		
West Virginia		
Wisconsin		
Wyoming		
Puerto Rico		
Guam		
Virgin Islands		
TOTALS		

INSTRUCTIONS

(Calculated from FEC Form 3P, page 2. This worksheet must be retained to support, in part, the amount reported on Line 13.)

FEC Form 3P, Worksheet, is for use by a candidate or the principal authorized committee of a candidate, to track expenditures subject to limitation during the primary campaign (2 U.S.C. § 441a(b)(1)(A)). As soon as possible after the beginning of the calendar year, the Commission will publish the adjusted limits to be used during the election cycle. The 20% fundraising exemption will be based on the published overall expenditure limitation.

Line A - From FEC Form 3P, page 2, enter the calendar year-to-date total for operating expenditures.

Line B - Enter the calendar year-to-date total of offsets to operating expenditures.

Line C - Subtract Line B from Line A.

Line D - If reports were filed in a prior year(s), from the year end report(s), enter the calendar year-to-date total for operating expenditures.

Line E - From the year-end report(s) for the prior year(s), enter the calendar year-to-date total for offsets to operating expenditures.

Line F - Subtract Line E from Line D.

Line G - From FEC Form 3P, page 2, enter the calendar year-to-date total for fundraising disbursements.

Line H - Enter the calendar year-to-date total for offsets to fundraising disbursements.

Line I - Subtract Line H from Line G to obtain the net fundraising disbursements for the current year.

Line J - If reports were filed in a prior year(s), enter the calendar year-to-date total for fundraising disbursements from the year-end report(s).

Line K - If offsets to fundraising disbursements were received in a prior year(s), enter the calendar year-to-date total from the year-end report(s).

Line L - Subtract Line K from Line J.

Line M - Add Line I and Line L.

Line N - Enter 20% of the overall expenditure limit as published by the FEC.

Line O - Subtract Line N from Line M. If the result is less than zero, enter -0-. If greater than zero, enter the amount.

Line P - Add Line C, Line F, and Line O to obtain the total of operating expenditures made by the Committee subject to 2 U.S.C. § 441a(b)(1)(A) limitation. The total reflected on Line P, "Total Expenditures Subject to limitation," is carried forward to FEC Form 3P, Page 1, Line 13.

If the candidate has authorized other political committees, the principal campaign committee must first consolidate the calendar year-to-date receipt and disbursement activity on FEC Form 3P, page 4 (Consolidated Report of Receipts and Disbursements). FEC Form 3P, Worksheet, is completed using the appropriate column totals from the current and previous calendar year (if any) consolidation reports.

SCHEDULE A-P **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE OF

☐ 16	☐ 17a	☐ 17b	☐ 17c	☐ 17d	☐ 18
☐ 19a	☐ 19b	☐ 20a	☐ 20b	☐ 20c	☐ 21

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

NAME OF COMMITTEE (In Full)

A. Full Name (Last, First, Middle Initial)

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Election Cycle-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

B. Full Name (Last, First, Middle Initial)

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Election Cycle-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

C. Full Name (Last, First, Middle Initial)

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Election Cycle-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

Subtotal Of Receipts This Page (optional).....

Total This Period (last page this line number only)

SCHEDULE B-P **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE OF

☐ 23 ☐ 24 ☐ 25 ☐ 26 ☐ 27a
☐ 27b ☐ 28a ☐ 28b ☐ 28c ☐ 29

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

NAME OF COMMITTEE (In Full)

Full Name (Last, First, Middle Initial)

A.

Mailing Address

City

State

Zip Code

Purpose of Disbursement

Candidate Name

Category/
Type

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For:

☐ Primary ☐ General
☐ Other (specify) ▼

State:

District:

Date of Disbursement

M M / D D / Y Y Y Y Y Y

Amount of Each Disbursement this Period

Full Name (Last, First, Middle Initial)

B.

Mailing Address

City

State

Zip Code

Purpose of Disbursement

Candidate Name

Category/
Type

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For:

☐ Primary ☐ General
☐ Other (specify) ▼

State:

District:

Date of Disbursement

M M / D D / Y Y Y Y Y Y

Amount of Each Disbursement this Period

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City

State

Zip Code

Purpose of Disbursement

Candidate Name

Category/
Type

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For:

☐ Primary ☐ General
☐ Other (specify) ▼

State:

District:

Date of Disbursement

M M / D D / Y Y Y Y Y Y

Amount of Each Disbursement this Period

Subtotal Of Receipts This Page (optional)

Total This Period (last page this line number only)

**SCHEDULE C-P
LOANS**

Use separate schedule(s) for each category of
the Detailed Summary Page

PAGE OF

FOR LINE NUMBER: ☐ 19a ☐ 19b
(check only one)

NAME OF COMMITTEE (In Full)

LOAN SOURCE Full Name (Last, First, Middle Initial)

Election:

☐ Primary
☐ General
☐ Other (specify) ▼

Mailing Address

City

State

ZIP Code

Original Amount of Loan

Cumulative Payment To Date

Balance Outstanding at Close of This Period

TERMS

Date Incurred

Date Due

Interest Rate

Secured:

M M /

D D /

Y Y Y Y Y

M M /

D D /

Y Y Y Y Y

% (apr)

☐ Yes ☐ No

List All Endorsers or Guarantors (if any) to Loan Source

1. Full Name (Last, First, Middle Initial)

Name of Employer

Mailing Address

Occupation

City

State

ZIP Code

Amount
Guaranteed
Outstanding:

2. Full Name (Last, First, Middle Initial)

Name of Employer

Mailing Address

Occupation

City

State

ZIP Code

Amount
Guaranteed
Outstanding:

3. Full Name (Last, First, Middle Initial)

Name of Employer

Mailing Address

Occupation

City

State

ZIP Code

Amount
Guaranteed
Outstanding:

4. Full Name (Last, First, Middle Initial)

Name of Employer

Mailing Address

Occupation

City

State

ZIP Code

Amount
Guaranteed
Outstanding:

Subtotal Of Receipts This Page (optional).....▶

Total This Period (last page this line number only).....▶

Carry outstanding balance only to LINE 3, Schedule D, for this line. If no Schedule D, carry forward to appropriate line of Summary.

**LOANS AND LINES OF CREDIT FROM
LENDING INSTITUTIONS**

Supplementary from Information
found on Page ___ of Schedule C-P

NAME OF COMMITTEE (in full, type or print)

FEC IDENTIFICATION NUMBER

C

FULL NAME, MAILING ADDRESS AND ZIP CODE OF LENDING INSTITUTION (LENDER)

CITY

STATE

ZIP CODE

AMOUNT OF LOAN

INTEREST RATE (APR)

%

DATE INCURRED OR ESTABLISHED

DATE DUE

A. Has loan been restructured?

☐

No

☐

Yes

If yes, date originally incurred:

B. If line of credit:

Amount of this draw

Total outstanding balance

C. Are other parties secondarily liable for the debt incurred?

☐

No

☐

Yes

(Endorsers and guarantors must be reported on Schedule C-P)

D. Are ANY of the following pledged as collateral for the loan: real estate, personal property, goods, negotiable instruments, certificates of deposit, chattel papers, stocks, accounts receivable, cash on deposit, or other similar traditional collateral?

☐

No

☐

Yes

If yes, specify:

What is the value of this collateral:

Does the lender have a
perfected security interest in it?

☐

No

☐

Yes

E. Are any future contributions or future receipts of interest income,
or future receipts of public financing pledged as collateral for this loan?

☐

No

☐

Yes

If yes, specify:

What is the estimated value?

A depository account must be established pursuant to

11 CFR 100.7(b)(11)(i)(B) and 100.8(b)(12)(i)(B). Date account established:

Location of account:

Date debtor authorized the Secretary of the U.S. Treasury to make
direct deposits of public financing payments to the depository account:

F. If neither of the types of collateral described above was pledged for this loan, or if the amount pledged does not equal or exceed the loan amount, state the basis upon which this loan was made and demonstrate that it assures repayment.

G. Type or Print Name of Committee Treasurer

Signature of Treasurer _____

Date

MM	DD	YYYY
----	----	------

H. Attach a signed copy of the loan agreement.

I. TO BE SIGNED BY THE LENDING INSTITUTION:

1. To the best of this institution's knowledge, the terms of the loan and other information regarding the extension of the loan are accurate as stated above.
2. The loan was made on terms and conditions (including interest rate) no more favorable at the time that those imposed for similar extensions of credit to other borrowers of comparable credit worthiness.
3. This institution is aware of the requirement that a loan must be made on a basis which assures repayment, and has complied with the requirements set forth in 11 CFR 100.7(b)(11) and 100.8(b)(12) in making this loan.

Type or Print Name of Authorized Representative

Title

Signature of Authorized Representative

Date

MM	DD	YYYY
----	----	------

DEBTS AND OBLIGATIONS (Excluding Loans)

FOR LINE NUMBER:
(check only one)

11
12

FEC Schedule D-P (Form 3P) (Revised 03/2011)

**FEC
FORM 3**

**REPORT OF RECEIPTS
AND DISBURSEMENTS**
For An Authorized Committee

Office Use Only

1. NAME OF
COMMITTEE (in full)

TYPE OR PRINT ▼

Example: If typing, type
over the lines.

12FE4M5

ADDRESS (number and street)



Check if different
than previously
reported. (ACC)

2. FEC IDENTIFICATION NUMBER ▼

CITY ▲

STATE ▲

ZIP CODE ▲

STATE ▼ DISTRICT

C

3. IS THIS
REPORT



NEW
(N)

OR



AMENDED
(A)

4. TYPE OF REPORT (Choose One)

(a) Quarterly Reports:



April 15 Quarterly Report (Q1)



July 15 Quarterly Report (Q2)



October 15 Quarterly Report (Q3)



January 31 Year-End Report (YE)



Termination Report (TER)

(b) 12-Day PRE-Election Report for the:



Primary (12P)



General (12G)



Runoff (12R)



Convention (12C)



Special (12S)

Election on

M M / D D / Y Y Y Y

In the
State of

(c) 30-Day POST-Election Report for the:



General (30G)



Runoff (30R)



Special (30S)

Election on

M M / D D / Y Y Y Y

in the
State of

5. Covering Period

M M / D D / Y Y Y Y

through

M M / D D / Y Y Y Y

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

Type or Print Name of Treasurer

Signature of Treasurer

Date

M M / D D / Y Y Y Y

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

Office
Use
Only

FEC FORM 3
(Revised 02/2003)

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3 (Revised 02/2003)

Page 4

II. DISBURSEMENTS

COLUMN A
Total This Period

COLUMN B
Election Cycle-to-Date

17. OPERATING EXPENDITURES.....		
18. TRANSFERS TO OTHER AUTHORIZED COMMITTEES		
19. LOAN REPAYMENTS:		
(a) Of Loans Made or Guaranteed by the Candidate.....		
(b) Of All Other Loans		
(c) TOTAL LOAN REPAYMENTS (add Lines 19(a) and (b)).....		
20. REFUNDS OF CONTRIBUTIONS TO:		
(a) Individuals/Persons Other Than Political Committees		
(b) Political Party Committees.....		
(c) Other Political Committees (such as PACs)		
(d) TOTAL CONTRIBUTION REFUNDS (add Lines 20(a), (b), and (c)).....		
21. OTHER DISBURSEMENTS		
22. TOTAL DISBURSEMENTS (add Lines 17, 18, 19(c), 20(d), and 21) ►		

III. CASH SUMMARY

23. CASH ON HAND AT BEGINNING OF REPORTING PERIOD.....	
24. TOTAL RECEIPTS THIS PERIOD (from Line 16, page 3).....	
25. SUBTOTAL (add Line 23 and Line 24).....	
26. TOTAL DISBURSEMENTS THIS PERIOD (from Line 22).....	
27. CASH ON HAND AT CLOSE OF REPORTING PERIOD (subtract Line 26 from Line 25).....	

SCHEDULE A (FEC Form 3)
ITEMIZED RECEIPTS

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE OF

☐ 11a ☐ 11b ☐ 11c ☐ 11d
☐ 12 ☐ 13a ☐ 13b ☐ 14 ☐ 15

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

NAME OF COMMITTEE (In Full)

Full Name (Last, First, Middle Initial)

A. Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Election Cycle-to-Date

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

Full Name (Last, First, Middle Initial)

B. Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Election Cycle-to-Date

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

Full Name (Last, First, Middle Initial)

C. Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Election Cycle-to-Date

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional).....

TOTAL This Period (last page this line number only).....

**SCHEDULE B (FEC Form 3)
ITEMIZED DISBURSEMENTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE OF

☐ 17 ☐ 18 ☐ 19a ☐ 19b
☐ 20a ☐ 20b ☐ 20c ☐ 21

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

NAME OF COMMITTEE (In Full)

Full Name (Last, First, Middle Initial)

A.

Mailing Address

City State Zip Code

Purpose of Disbursement

Candidate Name

Category/
Type

Office Sought: ☐ House
☐ Senate
☐ President

Disbursement For: ☐ Primary ☐ General
☐ Other (specify)

State: District:

Full Name (Last, First, Middle Initial)

Date of Disbursement

M M / D D / Y Y Y Y Y Y

Amount of Each Disbursement this Period

B.

Mailing Address

City State Zip Code

Purpose of Disbursement

Candidate Name

Category/
Type

Office Sought: ☐ House
☐ Senate
☐ President

Disbursement For: ☐ Primary ☐ General
☐ Other (specify)

State: District:

Full Name (Last, First, Middle Initial)

Date of Disbursement

M M / D D / Y Y Y Y Y Y

Amount of Each Disbursement this Period

C.

Mailing Address

City State Zip Code

Purpose of Disbursement

Candidate Name

Category/
Type

Office Sought: ☐ House
☐ Senate
☐ President

Disbursement For: ☐ Primary ☐ General
☐ Other (specify)

State: District:

Date of Disbursement

M M / D D / Y Y Y Y Y Y

Amount of Each Disbursement this Period

SUBTOTAL of Disbursements This Page (optional).....

TOTAL This Period (last page this line number only).....

SCHEDULE C-1 (FEC Form 3)

LOANS AND LINES OF CREDIT FROM LENDING INSTITUTIONS

Federal Election Commission, Washington, D.C. 20463

Supplementary for
Information found on
Page ____ of Schedule C

NAME OF COMMITTEE (In Full)		FEC IDENTIFICATION NUMBER	
		C	
LENDING INSTITUTION (LENDER) Full Name		Amount of Loan 	Interest Rate (APR) %
Mailing Address		Date Incurred or Established M M D D Y Y Y Y Y Y	
City State Zip Code		Date Due M M D D Y Y Y Y Y Y	
A. Has loan been restructured? ☐ No ☐ Yes If yes, date originally incurred M M / D D / Y Y Y Y Y Y			
B. If line of credit, Amount of this Draw:		Total Outstanding Balance:	
C. Are other parties secondarily liable for the debt incurred? ☐ No ☐ Yes (Endorsers and guarantors must be reported on Schedule C.)			
D. Are any of the following pledged as collateral for the loan: real estate, personal property, goods, negotiable instruments, certificates of deposit, chattel papers, stocks, accounts receivable, cash on deposit, or other similar traditional collateral? ☐ No ☐ Yes If yes, specify: _____		What is the value of this collateral? Does the lender have a perfected security interest in it? ☐ No ☐ Yes	
E. Are any future contributions or future receipts of interest income, pledged as collateral for the loan? ☐ No ☐ Yes If yes, specify: _____		What is the estimated value? 	
A depository account must be established pursuant to 11 CFR 100.82(e)(2) and 100.142(e)(2). Date account established: M M D D Y Y Y Y Y Y		Location of account: Address: City, State, Zip: _____	
F. If neither of the types of collateral described above was pledged for this loan, or if the amount pledged does not equal or exceed the loan amount, state the basis upon which this loan was made and the basis on which it assures repayment.			
G. COMMITTEE TREASURER Typed Name Signature		DATE M M D D Y Y Y Y Y Y	
H. Attach a signed copy of the loan agreement.			
I. TO BE SIGNED BY THE LENDING INSTITUTION: I. To the best of this institution's knowledge, the terms of the loan and other information regarding the extension of the loan are accurate as stated above. II. The loan was made on terms and conditions (including interest rate) no more favorable at the time than those imposed for similar extensions of credit to other borrowers of comparable credit worthiness. III. This institution is aware of the requirement that a loan must be made on a basis which assures repayment, and has complied with the requirements set forth at 11 CFR 100.82 and 100.142 in making this loan.			
AUTHORIZED REPRESENTATIVE Typed Name Signature		DATE M M D D Y Y Y Y Y Y	
		Title	

SCHEDULE D (FEC Form 3)
DEBTS AND OBLIGATIONS
Excluding Loans

(Use separate
 schedule(s)
 for each
 numbered line)

PAGE OF
 FOR LINE NUMBER:
 (check only one) ☐ 9 ☐ 10

NAME OF COMMITTEE (In Full)

A. Full Name (Last, First, Middle Initial) of Debtor or Creditor

Nature of Debt (Purpose):

Mailing Address

City

State

Zip Code

Outstanding Balance Beginning This Period

Amount Incurred This Period

Payment This Period

Outstanding Balance at Close of This Period

B. Full Name (Last, First, Middle Initial) of Debtor or Creditor

Nature of Debt (Purpose):

Mailing Address

City

State

Zip Code

Outstanding Balance Beginning This Period

Amount Incurred This Period

Payment This Period

Outstanding Balance at Close of This Period

C. Full Name (Last, First, Middle Initial) of Debtor or Creditor

Nature of Debt (Purpose):

Mailing Address

City

State

Zip Code

Outstanding Balance Beginning This Period

Amount Incurred This Period

Payment This Period

Outstanding Balance at Close of This Period

1) SUBTOTALS This Period This Page (optional)

2) TOTALS This Period (last page this line number only)

3) TOTAL OUTSTANDING LOANS from Schedule C (last page only)

4) ADD 2) and 3) and carry forward to appropriate line of Summary Page (last page only)

FEC FORM 3Z (File with Form 3)
CONSOLIDATION REPORT OF RECEIPTS AND DISBURSEMENTS

(To Be Used By A Principal Campaign Committee)

Name of Principal Campaign Committee (In Full)		Report Covering Period:				
		From:		To:		
		M M M D D D Y Y Y Y Y Y Y Y		M M M D D D Y Y Y Y Y Y Y Y		
Committee Name		(a) Line No. 11(a) Total Contributions From Indiv./Persons Other Than Political Committees		(b) Line No. 11(b) Total Contributions From Political Party Committees		
A						
B	Column Total Last Page Only.....					
	(c) Line No. 11(c) Total Contributions From Other Political Committees	(d) Line No. 11(d) Total Contributions From The Candidate	(e) Line No. 11(e) Total Contributions	(f) Line No. 12 Total Transfers From Other Authorized Committees	(g) Line No. 13(a) Total Loans Made or Guaranteed by the Candidate	(h) Line No. 13(b) Total All Other Loans
A						
B						
	(i) Line No. 13(c) Total Loans	(j) Line No. 14 Total Offsets to Operating Expenditures	(k) Line No. 15 Total Other Receipts	(l) Line No. 16 Total Receipts	(m) Line No. 17 Total Operating Expenditures	(n) Line No. 18 Total Transfers to Other Authorized Committees
A						
B						
	(o) Line No. 19(a) Total Loan Repayments of Loans Made or Guaranteed by The Can- didate	(p) Line No. 19(b) Total Loan Repayments of All Other Loans	(q) Line No. 19(c) Total Loan Repayments	(r) Line No. 20(a) Total Contribution Refunds to Individuals/Persons	(s) Line No. 20(b) Total Contribution Refunds to Political Party Committees	(t) Line No. 20(c) Total Contribution Refunds to Other Political Committees
A						
B						
	(u) Line No. 20(d) Total Contribution Refunds	(v) Line No. 21 Total Other Disbursements	(w) Line No. 22 Total Disbursements	(x) Line No. 23 Cash on Hand Beginning of Reporting Period	(y) Line No. 27 Cash on Hand Close of Reporting Period	(z) Line No. 9 Debts & Obligations Owed TO the Committee
A						
B						
	(aa) Line No. 10 Debts & Obligations Owed BY the Committee	(bb) Line No. 6(c) Net Contributions	(cc) Line No. 7(c) Net Operating Expenditures			
A						
B						

FEC
FORM 3XREPORT OF RECEIPTS
AND DISBURSEMENTS
For Other Than An Authorized Committee

Office Use Only

1. NAME OF
COMMITTEE (in full)

TYPE OR PRINT ▼

Example: If typing, type
over the lines.

12FE4M5

ADDRESS (number and street)

Check if different
than previously
reported. (ACC)

2. FEC IDENTIFICATION NUMBER ▼

CITY ▲

STATE ▲

ZIP CODE ▲

C

3. IS THIS
REPORTNEW
(N)

OR

AMENDED
(A)

4. TYPE OF REPORT

(Choose One)

(a) Quarterly Reports:

April 15
Quarterly Report (Q1)July 15
Quarterly Report (Q2)October 15
Quarterly Report (Q3)January 31
Year-End Report (YE)July 31 Mid-Year
Report (Non-election
Year Only) (MY)Termination Report
(TER)(b) Monthly
Report
Due On:

Feb 20 (M2)



May 20 (M5)



Aug 20 (M8)

Nov 20 (M11)
(Non-Election
Year Only)

Mar 20 (M3)



Jun 20 (M6)



Sep 20 (M9)

Dec 20 (M12)
(Non-Election
Year Only)

Apr 20 (M4)



Jul 20 (M7)



Oct 20 (M10)



Jan 31 (YE)

(c) 12-Day
PRE-Election
Report for the:

Primary (12P)



General (12G)



Runoff (12R)



Convention (12C)



Special (12S)

Election on

M M /

D D /

Y Y Y Y Y Y

in the
State of

M M

(d) 30-Day
POST-Election
Report for the:

General (30G)



Runoff (30R)



Special (30S)

Election on

M M /

D D /

Y Y Y Y Y Y

in the
State of

M M

5. Covering Period

M M /

D D /

Y Y Y Y Y Y

through

M M /

D D /

Y Y Y Y Y Y

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

Type or Print Name of Treasurer

Signature of Treasurer

Date

M M /

D D /

Y Y Y Y Y Y

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

Office
Use
OnlyFEC FORM 3X
Rev. 12/2004

SUMMARY PAGE
OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

Page 2

Write or Type Committee Name

Report Covering the Period:

From:

MM / DD / YYYY

To:

MM / DD / YYYY

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1,		
(b) Cash on Hand at Beginning of Reporting Period.....		
(c) Total Receipts (from Line 19)		
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)		
7. Total Disbursements (from Line 31)		
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))		
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)		
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)		



This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission
999 E Street, NW
Washington, DC 20463

Toll Free 800-424-9530
Local 202-694-1100

DETAILED SUMMARY PAGE
of Receipts

FEC Form 3X (Rev. 06/2004)

Page 3

Write or Type Committee Name

Report Covering the Period: From:

MM / DD / YYYY

To:

MM / DD / YYYY

I. Receipts

COLUMN A
Total This Period

COLUMN B
Calendar Year-to-Date

11. Contributions (other than loans) From:

- (a) Individuals/Persons Other Than Political Committees
(i) Itemized (use Schedule A).....

(ii) Unitemized

(iii) TOTAL (add Lines 11(a)(i) and (ii)).....▶

(b) Political Party Committees

(c) Other Political Committees (such as PACs).....

(d) Total Contributions (add Lines 11(a)(iii), (b), and (c)) (Carry Totals to Line 33, page 5).....▶

12. Transfers From Affiliated/Other Party Committees.....

13. All Loans Received

14. Loan Repayments Received.....

15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5).....

16. Refunds of Contributions Made to Federal Candidates and Other Political Committees.....

17. Other Federal Receipts (Dividends, Interest, etc.).....

18. Transfers from Non-Federal and Levin Funds

(a) Non-Federal Account (from Schedule H3).....

(b) Levin Funds (from Schedule H5)

(c) Total Transfers (add 18(a) and 18(b))..

19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c)).....▶

20. Total Federal Receipts (subtract Line 18(c) from Line 19).....▶

DETAILED SUMMARY PAGE of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share		
(ii) Non-Federal Share.....		
(b) Other Federal Operating Expenditures		
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))		
22. Transfers to Affiliated/Other Party Committees.....		
23. Contributions to Federal Candidates/Committees and Other Political Committees.....		
24. Independent Expenditures (use Schedule E)		
25. Coordinated Party Expenditures (2 U.S.C. §441a(d)) (use Schedule F).....		
26. Loan Repayments Made.....		
27. Loans Made.....		
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees		
(b) Political Party Committees		
(c) Other Political Committees (such as PACs).....		
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)).....		
29. Other Disbursements		
30. Federal Election Activity (2 U.S.C. §431(20))		
(a) Allocated Federal Election Activity (from Schedule H6)		
(i) Federal Share		
(ii) "Levin" Share.....		
(b) Federal Election Activity Paid Entirely With Federal Funds		
(c) Total Federal Election Activity (add .. Lines 30(a)(i), 30(a)(ii) and 30(b))....		
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c))..		
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....		

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) (from Line 11(d), page 3)		
34. Total Contribution Refunds (from Line 28(d))		
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)		
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))		
37. Offsets to Operating Expenditures (from Line 15, page 3)		
38. Net Operating Expenditures (subtract Line 37 from Line 36)		

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:		PAGE		OF	
(check only one)					
☐ 11a	☐ 11b	☐ 11c	☐ 12	☐ 13	☐ 14
☐ 15	☐ 16	☐ 17			

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

NAME OF COMMITTEE (In Full)

Full Name (Last, First, Middle Initial)		Date of Receipt	
Mailing Address		/ /	
City	State	Zip Code	
FEC ID number of contributing federal political committee.		Amount of Each Receipt this Period	
Name of Employer	Occupation		
Receipt For:	Aggregate Year-to-Date ▼		
☐ Primary ☐ General			
☐ Other (specify) ▼			

Full Name (Last, First, Middle Initial)		Date of Receipt	
Mailing Address		/ /	
City	State	Zip Code	
FEC ID number of contributing federal political committee.		Amount of Each Receipt this Period	
Name of Employer	Occupation		
Receipt For:	Aggregate Year-to-Date ▼		
☐ Primary ☐ General			
☐ Other (specify) ▼			

Full Name (Last, First, Middle Initial)		Date of Receipt	
Mailing Address		/ /	
City	State	Zip Code	
FEC ID number of contributing federal political committee.		Amount of Each Receipt this Period	
Name of Employer	Occupation		
Receipt For:	Aggregate Year-to-Date ▼		
☐ Primary ☐ General			
☐ Other (specify) ▼			

SUBTOTAL of Receipts This Page (optional).....▶	
TOTAL This Period (last page this line number only).....▶	

SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE OF

☐ 21b ☐ 22 ☐ 23 ☐ 24 ☐ 25 ☐ 26
☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

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

NAME OF COMMITTEE (In Full)

Full Name (Last, First, Middle Initial)

A. Mailing Address City State Zip Code Purpose of Disbursement Candidate Name Office Sought: ☐ House ☐ Senate ☐ President State: District: Disbursement For: ☐ Primary ☐ General ☐ Other (specify) ▼	Date of Disbursement MM / DD / YYYY Amount of Each Disbursement this Period Category/Type
---	---

Full Name (Last, First, Middle Initial)

B. Mailing Address City State Zip Code Purpose of Disbursement Candidate Name Office Sought: ☐ House ☐ Senate ☐ President State: District: Disbursement For: ☐ Primary ☐ General ☐ Other (specify) ▼	Date of Disbursement MM / DD / YYYY Amount of Each Disbursement this Period Category/Type
---	---

Full Name (Last, First, Middle Initial)

C. Mailing Address City State Zip Code Purpose of Disbursement Candidate Name Office Sought: ☐ House ☐ Senate ☐ President State: District: Disbursement For: ☐ Primary ☐ General ☐ Other (specify) ▼	Date of Disbursement MM / DD / YYYY Amount of Each Disbursement this Period Category/Type
---	---

SUBTOTAL of Disbursements This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

SCHEDULE C (FEC Form 3X)
LOANS

Use separate schedule(s)
for each category of the
Detailed Summary Page

PAGE OF
FOR LINE 13 OF FORM 3X

NAME OF COMMITTEE (In Full)

LOAN SOURCE Full Name (Last, First, Middle Initial)

Election:

- ☐ Primary
☐ General
☐ Other (specify) ▼

Mailing Address

City State ZIP Code

Original Amount of Loan

Cumulative Payment To Date

Balance Outstanding at Close of This Period

TERMS

Date Incurred

Date Due

Interest Rate

Secured:

☐ M M M / ☐ D D D / ☐ Y Y Y Y Y Y Y Y ☐ M M M / ☐ D D D / ☐ Y Y Y Y Y Y Y Y ☐ % (apr) ☐ Yes ☐ No

List All Endorsers or Guarantors (if any) to Loan Source

1. Full Name (Last, First, Middle Initial)

Name of Employer

Mailing Address

Occupation

City State ZIP Code

Amount
Guaranteed
Outstanding:

2. Full Name (Last, First, Middle Initial)

Name of Employer

Mailing Address

Occupation

City State ZIP Code

Amount
Guaranteed
Outstanding:

3. Full Name (Last, First, Middle Initial)

Name of Employer

Mailing Address

Occupation

City State ZIP Code

Amount
Guaranteed
Outstanding:

4. Full Name (Last, First, Middle Initial)

Name of Employer

Mailing Address

Occupation

City State ZIP Code

Amount
Guaranteed
Outstanding:

SUBTOTALS This Period This Page (optional) ▶

TOTALS This Period (last page in this line only) ▶

Carry outstanding balance only to LINE 3, Schedule D, for this line. If no Schedule D, carry forward to appropriate line of Summary.

SCHEDULE C-1 (FEC Form 3X)

LOANS AND LINES OF CREDIT FROM LENDING INSTITUTIONS

Federal Election Commission, Washington, D.C. 20463

Supplementary for
Information found on
Page ____ of Schedule C

NAME OF COMMITTEE (In Full)		FEC IDENTIFICATION NUMBER C	
LENDING INSTITUTION (LENDER) Full Name	Amount of Loan 	Interest Rate (APR) %	
Mailing Address	Date Incurred or Established 		
City	State	Zip Code	Date Due
A. Has loan been restructured? ☐ No ☐ Yes If yes, date originally incurred			
B. If line of credit, Amount of this Draw:		Total Outstanding Balance:	
C. Are other parties secondarily liable for the debt incurred? ☐ No ☐ Yes (Endorsers and guarantors must be reported on Schedule C.)			
D. Are any of the following pledged as collateral for the loan: real estate, personal property, goods, negotiable instruments, certificates of deposit, chattel papers, stocks, accounts receivable, cash on deposit, or other similar traditional collateral? ☐ No ☐ Yes If yes, specify: _____		What is the value of this collateral? Does the lender have a perfected security interest in it? ☐ No ☐ Yes	
E. Are any future contributions or future receipts of interest income, pledged as collateral for the loan? ☐ No ☐ Yes If yes, specify: _____		What is the estimated value? 	
A depository account must be established pursuant to 11 CFR 100.82(e)(2) and 100.142(e)(2).			
Date account established: 		Location of account: Address: _____ City, State, Zip: _____	
F. If neither of the types of collateral described above was pledged for this loan, or if the amount pledged does not equal or exceed the loan amount, state the basis upon which this loan was made and the basis on which it assures repayment.			
G. COMMITTEE TREASURER Typed Name _____ Signature _____		DATE 	
H. Attach a signed copy of the loan agreement.			
I. TO BE SIGNED BY THE LENDING INSTITUTION: I. To the best of this institution's knowledge, the terms of the loan and other information regarding the extension of the loan are accurate as stated above. II. The loan was made on terms and conditions (including interest rate) no more favorable at the time than those imposed for similar extensions of credit to other borrowers of comparable credit worthiness. III. This institution is aware of the requirement that a loan must be made on a basis which assures repayment, and has complied with the requirements set forth at 11 CFR 100.82 and 100.142 in making this loan.			
AUTHORIZED REPRESENTATIVE Typed Name _____ Signature _____		DATE 	
Title _____			

SCHEDULE D (FEC Form 3X)
DEBTS AND OBLIGATIONS
Excluding Loans

(Use separate
 schedule(s)
 for each
 numbered line)

PAGE OF
 FOR LINE NUMBER:
 (check only one) ☐ 9
☐ 10

NAME OF COMMITTEE (In Full)			
A. Full Name (Last, First, Middle Initial) of Debtor or Creditor		Nature of Debt (Purpose):	
Mailing Address			
City	State		
Outstanding Balance Beginning This Period Amount Incurred This Period Payment This Period Outstanding Balance at Close of This Period 			
B. Full Name (Last, First, Middle Initial) of Debtor or Creditor		Nature of Debt (Purpose):	
Mailing Address			
City	State		
Outstanding Balance Beginning This Period Amount Incurred This Period Payment This Period Outstanding Balance at Close of This Period 			
C. Full Name (Last, First, Middle Initial) of Debtor or Creditor		Nature of Debt (Purpose):	
Mailing Address			
City	State		
Outstanding Balance Beginning This Period Amount Incurred This Period Payment This Period Outstanding Balance at Close of This Period 			
1) SUBTOTALS This Period This Page (optional).....			
2) TOTALS This Period (last page this line number only).....			
3) TOTAL OUTSTANDING LOANS from Schedule C (last page only)			
4) ADD 2) and 3) and carry forward to appropriate line of Summary Page (last page only) ▶			

SCHEDULE E (FEC Form 3X)
ITEMIZED INDEPENDENT EXPENDITURES

PAGE _____ OF _____
 FOR LINE 24 OF FORM 3X

NAME OF COMMITTEE (In Full)		FEC IDENTIFICATION NUMBER ▼ C	
Check if ☐ 24-hour report ☐ 48-hour report ☐ New report ☐ Amends report filed on M M M / D D D / Y Y Y Y Y Y Y Y			
Full Name of Payee		Date of Public Distribution/Dissemination M M M / D D D / Y Y Y Y Y Y Y Y	
Mailing Address		Amount 	
City	State	Zip Code	Date of Disbursement or Obligation M M M / D D D / Y Y Y Y Y Y Y Y
Purpose of Expenditure		Category/Type 	
Name of Federal Candidate		☐ Support ☐ Oppose Office Sought: ☐ House District: _____ ☐ President ☐ Senate State: _____	
Calendar Year-To-Date Per Election for Office Sought 		Disbursement For: ☐ Primary ☐ General ☐ Other (specify) ► _____	

Full Name of Payee		Date of Public Distribution/Dissemination M M M / D D D / Y Y Y Y Y Y Y Y	
Mailing Address		Amount 	
City	State	Zip Code	Date of Disbursement or Obligation M M M / D D D / Y Y Y Y Y Y Y Y
Purpose of Expenditure		Category/Type 	
Name of Federal Candidate		☐ Support ☐ Oppose Office Sought: ☐ House District: _____ ☐ President ☐ Senate State: _____	
Calendar Year-To-Date Per Election for Office Sought 		Disbursement For: ☐ Primary ☐ General ☐ Other (specify) ► _____	

(a) SUBTOTAL of Itemized Independent Expenditures.....	
(b) SUBTOTAL of Unitemized Independent Expenditures.....	
(c) TOTAL Independent Expenditures.....	

Under penalty of perjury I certify that the independent expenditures reported herein were not made in cooperation, consultation, or concert with, or at the request or suggestion of, any candidate or authorized committee or agent of either, or (if the reporting entity is not a political party committee) any political party committee or its agent.

Signature _____

Date

M M M

 /

D D D

 /

Y Y Y Y Y Y Y Y

SCHEDULE F (FEC Form 3X)

**ITEMIZED COORDINATED PARTY EXPENDITURES MADE BY
POLITICAL PARTY COMMITTEES OR DESIGNATED AGENT(S)
ON BEHALF OF CANDIDATES FOR FEDERAL OFFICE
(2 U.S.C. §441a(d))**

(To be used only by Political Committees in the General Election)

PAGE	OF
FOR LINE 25 OF FORM 3X	

NAME OF COMMITTEE (In Full)					
Has your committee been designated to make coordinated expenditures by a political party committee? ☐ YES ☐ NO If YES, name the designating committee:			Full Name of Subordinate Committee		
			Mailing Address		
			City	State	ZIP Code

Full Name (Last, First, Middle Initial) of Each Payee				Purpose of Expenditure		Category/ Type
Mailing Address				Date		
City		State		Zip Code		
Name of Federal Candidate Supported	Office Sought:	House Senate Presidential	State: _____ District: _____	Amount		
Aggregate General Election Expenditure for this Candidate ▶						

Full Name (Last, First, Middle Initial) of Each Payee				Purpose of Expenditure		Category/ Type
Mailing Address				Date		
City		State		Zip Code		
Name of Federal Candidate Supported	Office Sought:	House Senate Presidential	State: _____ District: _____	Amount		
Aggregate General Election Expenditure for this Candidate ▶						

Full Name (Last, First, Middle Initial) of Each Payee				Purpose of Expenditure		Category/ Type
Mailing Address				Date		
City		State		Zip Code		
Name of Federal Candidate Supported	Office Sought:	House Senate Presidential	State: _____ District: _____	Amount		
Aggregate General Election Expenditure for this Candidate ▶						

SUBTOTAL of Expenditures This Page (optional).....▶						
TOTAL This Period (last page this line number only).....▶						

SCHEDULE H1 (FEC Form 3X)

METHOD OF ALLOCATION FOR:

- **ALLOCATED FEDERAL AND NONFEDERAL ADMINISTRATIVE, GENERIC VOTER DRIVE AND EXEMPT ACTIVITY COSTS**
- **ALLOCATED FEDERAL AND LEVIN FUNDS FEDERAL ELECTION ACTIVITY EXPENSES** (State, District and Local Party Committees Only)
- **ALLOCATED PUBLIC COMMUNICATIONS THAT REFER TO ANY POLITICAL PARTY (BUT NOT A CANDIDATE)** (Separate Segregated Funds And Nonconnected Committees Only)

NAME OF COMMITTEE (In Full)

USE ONLY ONE SECTION, A or B

A. State and Local Party Committees

Fixed Percentage (select one)

- _____ Presidential-Only Election Year (28% Federal)
- _____ Presidential and Senate Election Year (36% Federal)
- _____ Senate-Only Election Year (21% Federal)
- _____ Non-Presidential and Non-Senate Election Year (15% Federal)

B. Separate Segregated Funds and Nonconnected Committees

Flat Minimum Federal Percentage

If the committee will allocate using the flat minimum percentage of 50% federal funds, check ☐

or

If the committee is spending more than 50% federal funds, indicate ratio below

Federal..... %

Nonfederal %

This ratio applies to (check all that apply):

Administrative ☐ Generic Voter Drive ☐ Public Communications Referencing Party Only ☐

SCHEDULE H2 (FEC Form 3X)

ALLOCATION RATIOS

PAGE OF

NAME OF COMMITTEE (In Full)

RATIOS FOR ALLOCABLE FUNDRAISING EVENTS AND DIRECT CANDIDATE SUPPORT ACTIVITIES APPEARING ON THIS REPORT.

Methods of allocation:

- I. FUNDRAISING activities are allocated using the "funds received method" where the federal proportion of expenses must equal the federal proportion of monies raised.
- II. Shared **DIRECT CANDIDATE SUPPORT** activities are allocated according to benefit expected to be derived, where the federal proportion of disbursements is based on the benefit derived by federal candidates from the activity. **For PACs Only:** Direct candidate support includes public communications or voter drives that refer to both federal and nonfederal candidates, regardless of whether there is a reference to a political party. Such expenses are allocated using a time/space method.

ACTIVITY OR EVENT IDENTIFIER ACTIVITY IS: ☐ Fundraising ☐ Direct Candidate Support CHECK IF THE RATIO IS: ☐ New ☐ Revised ☐ Same as Previously Reported	FEDERAL % %	NONFEDERAL % %
ACTIVITY OR EVENT IDENTIFIER ACTIVITY IS: ☐ Fundraising ☐ Direct Candidate Support CHECK IF THE RATIO IS: ☐ New ☐ Revised ☐ Same as Previously Reported	FEDERAL % %	NONFEDERAL % %
ACTIVITY OR EVENT IDENTIFIER ACTIVITY IS: ☐ Fundraising ☐ Direct Candidate Support CHECK IF THE RATIO IS: ☐ New ☐ Revised ☐ Same as Previously Reported	FEDERAL % %	NONFEDERAL % %
ACTIVITY OR EVENT IDENTIFIER ACTIVITY IS: ☐ Fundraising ☐ Direct Candidate Support CHECK IF THE RATIO IS: ☐ New ☐ Revised ☐ Same as Previously Reported	FEDERAL % %	NONFEDERAL % %
ACTIVITY OR EVENT IDENTIFIER ACTIVITY IS: ☐ Fundraising ☐ Direct Candidate Support CHECK IF THE RATIO IS: ☐ New ☐ Revised ☐ Same as Previously Reported	FEDERAL % %	NONFEDERAL % %
ACTIVITY OR EVENT IDENTIFIER ACTIVITY IS: ☐ Fundraising ☐ Direct Candidate Support CHECK IF THE RATIO IS: ☐ New ☐ Revised ☐ Same as Previously Reported	FEDERAL % %	NONFEDERAL % %

**SCHEDULE H3 (FEC Form 3X)
TRANSFERS FROM NONFEDERAL ACCOUNTS FOR
ALLOCATED FEDERAL / NONFEDERAL ACTIVITY**

PAGE	OF
FOR LINE 18a OF FORM 3X	

NAME OF COMMITTEE (In Full)

NAME OF ACCOUNT	DATE OF RECEIPT	TOTAL AMOUNT TRANSFERRED
	MM DD YYYY	

BREAKDOWN OF TRANSFER RECEIVED

i) Total Administrative	
ii) Generic Voter Drive	
iii) Exempt Activities	
iv) Direct Fundraising (List Activity or Event Identifier)	
a)	
b)	
c) Total Amount Transferred For Direct Fundraising	
v) Direct Candidate Support (List Activity or Event Identifier)	
a)	
b)	
c) Total Amount Transferred For Direct Candidate Support	
vi) Public Communications Referring Only to Party (Made by PAC)	

TOTALS FOR BREAKDOWN OF TRANSFER RECEIVED

TOTAL This Period (Administrative)	
TOTAL This Period (Generic Voter Drive)	
TOTAL This Period (Exempt Activities)	
TOTAL This Period (Direct Fundraising)	
TOTAL This Period (Direct Candidate Support)	
TOTAL This Period (Public Communications Referring Only to Party)	
TOTAL This Period (Total Amount Transferred)	

SCHEDULE L-A (FEC Form 3X)
ITEMIZED RECEIPTS OF LEVIN FUNDS

Use separate schedule(s)
for each category of the
Aggregation Page

PAGE OF

FOR LINE NUMBER:
(check only one)

☐ 1a ☐ 2

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

NAME OF COMMITTEE (In Full)

Full Name (Last, First, Middle Initial) / Full Organization Name

A.

Mailing Address

City

State

Zip Code

Name of Employer or Principal Place of Business

Occupation

Date of Receipt

MM / DD / YYYY

Amount of Each Receipt this Period

XXXXXXXXXXXXXXXXXXXX

Aggregate Year-to-Date

XXXXXXXXXXXXXXXXXXXX

Full Name (Last, First, Middle Initial) / Full Organization Name

B.

Mailing Address

City

State

Zip Code

Name of Employer or Principal Place of Business

Occupation

Date of Receipt

MM / DD / YYYY

Amount of Each Receipt this Period

XXXXXXXXXXXXXXXXXXXX

Aggregate Year-to-Date

XXXXXXXXXXXXXXXXXXXX

Full Name (Last, First, Middle Initial) / Full Organization Name

C.

Mailing Address

City

State

Zip Code

Name of Employer or Principal Place of Business

Occupation

Date of Receipt

MM / DD / YYYY

Amount of Each Receipt this Period

XXXXXXXXXXXXXXXXXXXX

Aggregate Year-to-Date

XXXXXXXXXXXXXXXXXXXX

Full Name (Last, First, Middle Initial) / Full Organization Name

D.

Mailing Address

City

State

Zip Code

Name of Employer or Principal Place of Business

Occupation

Date of Receipt

MM / DD / YYYY

Amount of Each Receipt this Period

XXXXXXXXXXXXXXXXXXXX

Aggregate Year-to-Date

XXXXXXXXXXXXXXXXXXXX

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

XXXXXXXXXXXXXXXXXXXX

XXXXXXXXXXXXXXXXXXXX

FEC FORM 5

REPORT OF INDEPENDENT EXPENDITURES MADE AND CONTRIBUTIONS RECEIVED

To Be Used by Persons (Other than Political Committees)

1. (a) Name of Individual, Organization or Corporation		3. FEC Identification Number C
(b) Address (number and street) ☐ check if different than previously reported		
(c) City, State and ZIP Code		
2. Occupation and Name of Employer (for Individual Filers Only)		

4. TYPE OF REPORT (check appropriate boxes):

(a) ☐ April 15 Quarterly Report

☐ July 15 Quarterly Report

☐ 24-Hour Report

☐ October 15 Quarterly Report

☐ 48-Hour Report

☐ January 31 Year-End Report

b) Is this Report an amendment? ☐ No ☐ Yes, it amends the report filed on

MM / DD / YYYY

5. COVERING PERIOD:

FROM

MM / DD / YYYY

THROUGH

MM / DD / YYYY

6. TOTAL CONTRIBUTIONS.....

7. TOTAL INDEPENDENT EXPENDITURES

Under penalty of perjury I certify that the independent expenditures reported herein were not made in cooperation, consultation, or concert with, or at the request or suggestion of, any candidate or authorized committee or agent of either, or any political party committee or its agent.

TYPE OR PRINT NAME OF PERSON COMPLETING FORM

SIGNATURE

DATE

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

For further information, contact: Federal Election Commission, 999 E Street, N.W., Washington, D.C. 20463 Toll Free 800-424-9530, Local 202-694-1100

SCHEDULE 5-A
ITEMIZED RECEIPTS

PAGE OF

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

NAME OF FILER (In Full)

A. Full Name (Last, First, Middle Initial)

Mailing Address

City

State

Zip Code

FEC ID number of contributing federal political committee.

C

Name of Employer

Occupation

Date of Receipt

MM / DD / YYYY

Amount of Each Receipt this Period

B. Full Name (Last, First, Middle Initial)

Mailing Address

City

State

Zip Code

FEC ID number of contributing federal political committee.

C

Name of Employer

Occupation

Date of Receipt

MM / DD / YYYY

Amount of Each Receipt this Period

C. Full Name (Last, First, Middle Initial)

Mailing Address

City

State

Zip Code

FEC ID number of contributing federal political committee.

C

Name of Employer

Occupation

Date of Receipt

MM / DD / YYYY

Amount of Each Receipt this Period

D. Full Name (Last, First, Middle Initial)

Mailing Address

City

State

Zip Code

FEC ID number of contributing federal political committee.

C

Name of Employer

Occupation

Date of Receipt

MM / DD / YYYY

Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional)

TOTAL This Period (last page carry total to Line 6)

SCHEDULE 5-E
ITEMIZED INDEPENDENT EXPENDITURES

PAGE _____ OF _____
 FOR LINE 7 OF FORM 5

NAME OF FILER (In Full)

Full Name (Last, First, Middle Initial) of Payee		Date of Public Distribution/Dissemination M M / D D / Y Y Y Y Y Y	
Mailing Address			
City	State		Zip Code
Purpose of Expenditure		Category/Type 	Office Sought: ☐ House State: _____ ☐ Senate District: _____ ☐ President Check One: ☐ Support ☐ Oppose
Name of Federal Candidate Supported or Opposed by Expenditure:			
Calendar Year-To-Date Per Election for Office Sought 			
Disbursement For: ☐ Primary ☐ General ☐ Other (specify) _____			

Full Name (Last, First, Middle Initial) of Payee		Date of Public Distribution/Dissemination M M / D D / Y Y Y Y Y Y	
Mailing Address			
City	State		Zip Code
Purpose of Expenditure		Category/Type 	Office Sought: ☐ House State: _____ ☐ Senate District: _____ ☐ President Check One: ☐ Support ☐ Oppose
Name of Federal Candidate Supported or Opposed by Expenditure:			
Calendar Year-To-Date Per Election for Office Sought 			
Disbursement For: ☐ Primary ☐ General ☐ Other (specify) _____			

Full Name (Last, First, Middle Initial) of Payee		Date of Public Distribution/Dissemination M M / D D / Y Y Y Y Y Y	
Mailing Address			
City	State		Zip Code
Purpose of Expenditure		Category/Type 	Office Sought: ☐ House State: _____ ☐ Senate District: _____ ☐ President Check One: ☐ Support ☐ Oppose
Name of Federal Candidate Supported or Opposed by Expenditure:			
Calendar Year-To-Date Per Election for Office Sought 			
Disbursement For: ☐ Primary ☐ General ☐ Other (specify) _____			

(a) SUBTOTAL of Itemized Independent Expenditures.....	
(b) SUBTOTAL of Unitemized Independent Expenditures	
(c) TOTAL Independent Expenditures..... (carry total from last page forward to Line 7)	

