

Agenda

Item #10



STATE OF MAINE
COMMISSION ON GOVERNMENTAL ETHICS
AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE
04333-0135

To: Commissioners

From: Jonathan Wayne, Executive Director
Benjamin Dyer, Political Committee and Lobbyist Registrar

Date: August 15, 2014

Re: Request for Waiver of Late-Filing Penalty by the Senate Democratic Campaign Committee PAC

All political action committees are required to file campaign finance reports by the deadlines set in statute. Beyond simply filing the report by the deadline, a timely-filed campaign finance report must substantially conform to the disclosure requirements of Maine Election Law. This includes accurately reporting contributions received during the reporting period. The Senate Democratic Campaign Committee PAC (the PAC) filed its 2014 April Quarterly report by the April 10, 2014 deadline, but the report did not include a substantial amount of the contributions received during the reporting period.

LEGAL REQUIREMENTS

PACs are required to file campaign finance reports according to a schedule set by statute. (21-A M.R.S.A. §1059(2)) The 2014 April Quarterly report was due on April 10, 2014. A campaign finance report is not considered filed on time unless it substantially conforms to the disclosure requirements of Chapter 13, Subchapter 4. (21-A M.R.S.A. §1062-A(2)) If a PAC is late in filing a campaign finance report, the amount of the preliminary penalty is set by a formula which takes into consideration the amount of the contributions or expenditures in the report (whichever is greater), the number of prior violations within

a two-year period, and the number of days the report is late. (21-A M.R.S.A. § 1062-A(3)) PACs may request a full or partial waiver of the penalty. Maximum penalties for PACs are \$10,000, except if the financial activity reported late exceeds \$50,000, the maximum penalty is 1/5 of the amount reported late. (21-A M.R.S.A. §1062-A(4))

DISCUSSION

On Thursday, July 29, 2014, a representative of the PAC contacted the Commission staff. He said that he had discovered errors in the PAC's reporting of contributions during the April Quarterly reporting period, and that he wanted to discuss how to make corrections. The PAC provided the Commission staff with an email detailing the missing or erroneously entered contributions.

During the reporting period, the PAC actually received a total of \$71,737 in contributions, but originally reported receiving \$50,127, a difference of \$21,610. The reporting errors are as follows:

- On January 6, 2014, the PAC received four checks from Fairpoint Communications of \$500, \$500, \$500, and \$200. Only one of the \$500 contributions was reported, leaving \$1,200 undisclosed.
- On January 10, 2014, the PAC received, but did not report, a \$18,000 check from Anne PAC and a \$2,000 check from the John Tuttle for Leadership PAC.
- On February 27, 2014, the PAC erroneously reported a \$250 contribution from an individual as a \$300 contribution.
- On March 31, 2014, the PAC received a total of \$460 in online contributions from individuals which it did not report.

Based on the statutory formula for calculating late-filed report penalties, the preliminary penalty amount, which equals the statutory maximum, 1/5th of financial activity, is calculated as follows:

Filing	Due Date	Financial Activity	Penalty Rate	Days Late	Calculated Penalty	Statutory Maximum Preliminary Penalty
2014 April Quarterly Report	4/10/2014	\$71,737	1%	110	\$78,910.70	\$14,347.40

In its request for a waiver, the PAC acknowledged that the incomplete reporting was the result of human error. It states generally that it has tightened its bookkeeping processes to prevent future errors. The PAC apparently discovered its reported cash balance was incorrect because it recently retained a new treasurer.

The PAC argues that the preliminary penalty of \$14,347.40 is disproportionate to the harm to the public. The public was not deprived of information concerning funds used for the primary election. The PAC argues that the two larger contributions that were omitted (totaling \$20,000) were disclosed by the PACs that made the donations, which reduced the harm to the public. With regard to the contributions from Fairpoint Communications, the PAC notes that the donor was identified in connection with one of contributions that was reported, although it admits that the total contribution from the donor was inaccurate.

STAFF RECOMMENDATION

The timely filing of accurate campaign finance reports is the bedrock of Maine's campaign finance disclosure system. Violations of these reporting requirements can be serious because the public is denied information it needs to determine who is financing campaign activity in Maine and the connections among entities that money creates. In this case, over \$21,000 in contributions were not reported as required by statute.

Additionally, this PAC is a sophisticated actor in the Maine political process, and should have the controls in place to prevent these kinds of oversights from occurring.

This case also contains several mitigating factors which suggest that a reduction in the preliminary penalty would be appropriate. First, regarding the two largest unreported contributions, although the PAC did not report the \$20,000 in contributions, the contributing PACs both timely reported making the contributions, minimizing the harm to the public. Also, it was the PAC which brought these errors to the attention of the Commission staff, accepted responsibility for the reporting errors, suggesting that it has taken steps to prevent this situation from happening in the future, and made the corrections necessary to provide the proper disclosure. Finally, the PAC has had no reporting violations since 2004. Weighing these factors, the staff recommends that the Commission find that, because the report was substantially out of compliance with reporting requirements, the PAC failed to timely file the 2014 April Quarterly Report and assess a penalty of \$500 for the late report.

Thank you for your consideration of this memo.

BERNSTEIN SHUR

COUNSELORS AT LAW

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bernsteinshur.com

100 Middle Street
PO Box 9729
Portland, Maine 04104-5029

Katherine R. Knox
(207) 228-7229 direct
kknox@bernsteinshur.com

August 8, 2014

Jonathan Wayne
Executive Director
Maine Commission on Governmental Ethics and Election Practices
135 State House Station
Augusta, ME 04333-0135

RE: Senate Democratic Campaign Committee – Penalty Waiver Request

Dear Mr. Wayne:

On behalf of my client, the Senate Democratic Campaign Committee PAC (SDCC or PAC), and pursuant to 21-A M.R.S.A. § 1062-A(5), I write to request a waiver of the preliminary penalties issued by the Commission staff for incomplete/late filing of the 2014 April Quarterly Report. While the SDCC takes full responsibility for the filing errors, the mistakes outlined below were inadvertent and the result of simple human error. The ultimate harm to the public was minimal and the SDCC self-reported to the Commission staff as soon as the errors were discovered.

FACTUAL SUMMARY

In July 2014, shortly after filing the 42-Day Post-Primary Report, the PAC, which recently retained a new Treasurer, checked its reported balance and realized that it was too low. The PAC proceeded to examine its records and determined that the errors were located in the 2014 April Quarterly Report. It then recognized omissions on the contribution side.

Upon realizing these issues, a representative of the PAC immediately contacted Ethics Commission PAC registrar Ben Dyer, and laid out the factual information of the errors. On August 4th, the PAC received a preliminary determination letter for its April 2014 Quarterly Report. It is from this determination that the PAC now requests a substantial waiver of the fine.

REPORT ERRORS

The internal audit of the SDCC revealed 4 sources of contribution reporting errors in the PACs 2014 April Quarterly Report.

- 1) **January 6**: The SDCC deposited 4 checks from the same contributor in the amounts of \$500, \$500, \$500, and \$200. However, only one contribution for \$500 was reported, meaning that \$1200 was unreported. All 4 of these checks were received at once, which is unusual, and likely contributed to the confusion. The SDCC takes full responsibility for the error, but also argues that public harm was minimal. The contributor was disclosed properly as having contributed to the SDCC – it was simply the amount of the contribution which was inaccurate.
- 2) **January 10**: The SDCC deposited 2 checks for a total of \$20,000, and the PAC representative who made the deposit forgot to send a copy to the PAC Treasurer, leaving it unreported. The amounts of the 2 checks were \$18,000 and \$2,000 respectively from two other PACs. The contributions were reported correctly on both of their quarterly reports. Again, the SDCC takes full responsibility for the lapse, but argues that the public harm was minimal especially given that both contributors reported the contributions in a timely manner.
- 3) **February 27**: The SDCC incorrectly reported a contribution in the amount of \$300: It actually should be been \$250.
- 4) **March 31**: On March 31 a number of individuals made online contributions for a total of \$460. The amount was actually credited to our account from the online payment processor on 4/2. For some reason, that direct debit was not noticed. In this report, while examining the bank statements, the PAC simply did not notice the four contributions. The SDCC takes full responsibility for the error.

For all of the above instances, the PAC takes responsibility for not noticing the problem sooner, and not going back and amending its prior reports to reflect these contributions. The mistakes stem from simple human error, and the PAC has since tightened up its bookkeeping process to prevent future errors of this nature from occurring. When the errors were discovered, the PAC immediately reported them because it is the intention of all PAC officers to comply with Maine's election laws and work with the Ethics Commission to ensure compliance. We are confident that our new processes/procedures will prevent future oversights.

Though the SDCC takes full responsibility for the errors, it also believes that a fine of \$14,347.40 is vastly disproportionate to the mistakes and omissions made. None of the above errors impacted the outcome of an election and did not involve spending in the primary election cycle or missed IE or 24 hour reports. The SDCC strongly believes that

August 8, 2014
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the harm suffered to the public is not commensurate with this fine. Accordingly, the SDCC requests that this Commission significantly reduce the preliminary penalty amount to reflect the relative severity of the violations.

Sincerely,

Katherine R. Knox



STATE OF MAINE
COMMISSION ON GOVERNMENTAL ETHICS
AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE
04333-0135

August 4, 2014

Philip Bartlett II
Senate Democratic Campaign Committee PAC
PO Box 2207
Augusta, ME 04338

Re: Late Filing of 2014 April Quarterly Report

Dear Mr. Bartlett:

The Commission staff has made a preliminary determination that the Senate Democratic Campaign Committee PAC (the PAC) was late in filing its 2014 April Quarterly campaign finance report. The Commission staff considers the report late as a result of substantial non-conformity with disclosure requirements. Under the Commission's statutes, the late filing of a report triggers an enforcement process. (21-A M.R.S.A. § 1062-A(3)). Based on the amount of financial activity in the report, the number of calendar days the report was late, and the PAC's history of violations, the commission staff has determined that a penalty of \$14,347.40 is owed. (Please see attached penalty matrix for the calculation).

The PAC may make a written request that the Commission waive the violation or penalty in whole or in part. Any request for a waiver must be made within 14 calendar days of your receipt of this notice. The request must be in writing and contain a full explanation of the reasons the PAC filed late. Upon receiving your request, the Commission staff will schedule your appeal for an upcoming Commission meeting.

The Commission may waive the penalty if it determines that the report was late due to mitigating circumstances, which are defined as (1) a valid emergency; (2) an error made by the Commission staff; or (3) relevant evidence that the PAC made a bona fide effort to file the report on time. Also, the Commission may waive the penalty if it is disproportionate to the level of experience of the person filing the report or the harm suffered by the public from the late disclosure.

Please call me at (207) 287-4179 or send me an email at benjamin.p.dyer@maine.gov if you have questions.

Sincerely,

A handwritten signature in cursive script that reads 'Benjamin P. Dyer'.

Benjamin P. Dyer
Political Committee and Lobbyist Registrar

Payment Receipt

Mail payment to:

The Maine Ethics Commission
135 State House Station
Augusta, ME 04333

Make checks payable to: "Treasurer, State of Maine."

Philip Bartlett II
Senate Democratic Campaign Committee PAC
PO Box 2207
Augusta, ME 04338

Violation: Late 2014 April Quarterly Report
Amount Due: \$14,347.40

Committee Name: Senate Democratic Campaign Committee
PAC

Report Title: 2014 April Quarterly
Due Date: April 10, 2014

Previous Violation(s): N/A

Filed Date: July 29, 2014

The penalty for late filing of a required report is a percentage of the total contributions or expenditures for the filing period, whichever is greater, multiplied by the number of calendar days the report is filed late, as follows:

For the first violation, 1%

For the second violation, 3%

For the third and each subsequent violation, 5%

A penalty begins to accrue at 11:59 p.m. on the day the report is due.

Penalty Example:		Your Penalty is calculated as follows:	
The treasurer files the PAC's report two (2) days late. The PAC has not had any previous late violations this biennium. The PAC reports a total of \$2,500 in contributions and \$1,500 in expenditures for the filing period. The penalty is		Contributions / Expenditures:	\$71,737.00
\$2,500	Greater amount of the total contributions received or expenditures made during the filing period	X	
		Percent Prescribed:	1%
X .01	Percent prescribed for first violation		\$717.37
\$25.00	One percent of total contributions	X	
		Number of days late:	110
X 2	Number of calendar days late	Total penalty accrued:	\$78,910.70
\$50.00	Total Penalty	Statutory Maximum:	\$14,347.40

Any penalty of less than \$10 is waived.

Violations accumulate on reports with filing deadlines in a 2-year period that begins on January 1st of each even-numbered year. Waiver of a penalty does not nullify the finding of a violation.

A required report that is sent by certified or registered United States mail and postmarked at least 2 days before the deadline is not subject to penalty.

MAXIMUM PENALTIES

21-A M.R.S.A. Section 1062-A(3)

\$10,000 for Pre- and Post-Election Reports, Quarterly Reports and 24-Hour Reports, except that if the financial activity reported late exceeds \$50,000, the maximum penalty is one-fifth of the amount reported late.

Maine Revised Statutes
Title 21-A: ELECTIONS

Chapter 13: CAMPAIGN REPORTS AND FINANCES

§1059. REPORT; FILING REQUIREMENTS

Committees required to register under section 1052-A, 1053-B or 1056-B shall file an initial campaign finance report at the time of registration and thereafter shall file reports in compliance with this section. All reports must be filed by 11:59 p.m. on the day of the filing deadline, except that reports submitted to a municipal clerk must be filed by the close of business on the day of the filing deadline. [2013, c. 334, §27 (AMD) .]

1. Contents; quarterly reports and election year reports.

[2007, c. 443, Pt. A, §35 (RP) .]

→ 2. Reporting schedule. Committees shall file reports according to the following schedule.

A. All committees shall file quarterly reports:

- (1) On January 15th, and the report must be complete as of December 31st;
- (2) On April 10th, and the report must be complete as of March 31st;
- (3) On July 15th, and the report must be complete as of June 30th; and
- (4) On October 5th, and the report must be complete as of September 30th. [2011, c. 691, Pt. A, §19 (RPR) .]

B. General and primary election reports must be filed:

- (1) On the 11th day before the date on which the election is held and must be complete as of the 14th day before that date; and
- (2) On the 42nd day after the date on which the election is held and must be complete as of the 35th day after that date. [2007, c. 443, Pt. A, §35 (AMD) .]

C. Preelection and post-election reports for special elections or ballot measure campaigns must be filed:

- (1) On the 11th day before the date on which the election is held and must be complete as of the 14th day before that date; and
- (2) On the 42nd day after the date on which the election is held and must be complete as of the 35th day after that date. [2011, c. 389, §45 (AMD) .]

D. A committee that files an election report under paragraph B or C is not required to file a quarterly report when the deadline for that quarterly report falls within 10 days of the filing deadline established in paragraph B or C. [1991, c. 839, §29 (RPR) .]

E. A committee shall report any single contribution of \$5,000 or more received or single expenditure of \$1,000 or more made after the 14th day before the election and more than 24 hours before 5:00 p.m. on the day of the election within 24 hours of that contribution or expenditure. The treasurer is not required to include in this report expenditures for overhead expenses or compensation paid to an employee or other member of the campaign staff who has received payments at regular intervals that have been disclosed in previously filed campaign finance reports. As used in this paragraph, "overhead expenses" includes, but is not limited to, rent, utility payments, taxes, insurance premiums or similar administrative expenses. [2013, c. 334, §28 (AMD) .]

[2013, c. 334, §28 (AMD) .]

**Maine Revised Statutes
Title 21-A: ELECTIONS**

Chapter 13: CAMPAIGN REPORTS AND FINANCES

§1062-A. FAILURE TO FILE ON TIME

1. **Registration.** A political action committee required to register under section 1052-A or 1053-B or a ballot question committee required to register under section 1056-B that fails to do so or that fails to provide the information required by the commission for registration may be assessed a fine of no more than \$2,500. In assessing a fine, the commission shall consider, among other things, whether the violation was intentional, the amount of campaign and financial activity that occurred before the committee registered, whether the committee intended to conceal its campaign or financial activity and the level of experience of the committee's volunteers and staff.

[2013, c. 334, §30 (AMD) .]

→ 2. **Campaign finance reports.** A campaign finance report is not timely filed unless a properly signed or electronically submitted copy of the report, substantially conforming to the disclosure requirements of this subchapter, is received by the commission by 11:59 p.m. on the date it is due. Except as provided in subsection 6, the commission shall determine whether a required report satisfies the requirements for timely filing. The commission may waive a penalty in whole or in part if it is disproportionate to the level of experience of the person filing the report or to the harm suffered by the public from the late disclosure. The commission may waive the penalty in whole or in part if the commission determines the failure to file a timely report was due to mitigating circumstances. For purposes of this section, "mitigating circumstances" means:

A. A valid emergency of the committee treasurer determined by the commission, in the interest of the sound administration of justice, to warrant the waiver of the penalty in whole or in part; [1999, c. 729, §9 (AMD) .]

B. An error by the commission staff; or [1999, c. 729, §9 (AMD) .]

C. Other circumstances determined by the commission that warrant mitigation of the penalty, based upon relevant evidence presented that a bona fide effort was made to file the report in accordance with the statutory requirements, including, but not limited to, unexplained delays in postal service or interruptions in Internet service. [2007, c. 443, Pt. A, §38 (AMD) .]

[2009, c. 190, Pt. A, §29 (AMD) .]

→ 3. **Basis for penalties.** The penalty for late filing of a report required under this subchapter is a percentage of the total contributions or expenditures for the filing period, whichever is greater, multiplied by the number of calendar days late, as follows:

A. For the first violation, 1%; [1995, c. 483, §21 (NEW) .]

B. For the 2nd violation, 3%; and [1995, c. 483, §21 (NEW) .]

C. For the 3rd and subsequent violations, 5%. [1995, c. 483, §21 (NEW) .]

Any penalty of less than \$10 is waived.

Violations accumulate on reports with filing deadlines in a 2-year period that begins on January 1st of each even-numbered calendar year. Waiver of a penalty does not nullify the finding of a violation.

A report required to be filed under this subchapter that is sent by certified or registered United States mail and postmarked at least 2 days before the deadline is not subject to penalty.

A required report may be provisionally filed by transmission of a facsimile copy of the duly executed report to the commission, as long as an original of the same report is received by the commission within 5 calendar days thereafter.

[2007, c. 443, Pt. A, §39 (AMD) .]

→ 4. **Maximum penalties.** The maximum penalty under this subchapter is \$10,000 for reports required under section 1056-B or section 1059, except that if the financial activity reported late exceeds \$50,000, the maximum penalty is 1/5 of the amount reported late.

[2011, c. 389, §49 (AMD) .]

5. **Request for a commission determination.** If the commission staff finds that a political action committee has failed to file a report required under this subchapter, the commission staff shall mail a notice to the treasurer of the political action committee within 3 business days following the filing deadline informing the treasurer that a report was not received. If a political action committee files a report required under this subchapter late, a notice of preliminary penalty must be forwarded to the treasurer of the political action committee whose report is not received by 11:59 p.m. on the deadline date, informing the treasurer of the commission staff finding of violation and preliminary penalty calculated under subsection 3 and providing the treasurer with an opportunity to request a determination by the commission. A request for determination must be made within 14 calendar days of receipt of the commission's notice. A principal officer or treasurer requesting a determination may either appear in person or designate a representative to appear on the principal officer's or treasurer's behalf or submit a sworn statement explaining the mitigating circumstances for consideration by the commission. A final determination by the commission may be appealed to the Superior Court in accordance with Title 5, chapter 375, subchapter 7 and the Maine Rules of Civil Procedure, Rule 80C.

[2013, c. 334, §31 (AMD) .]

6. **Final notice of penalty.** After a commission meeting, notice of the final determination of the commission and the penalty, if any, imposed pursuant to this subchapter must be sent to the principal officer and the treasurer of the political action committee.

If a determination is not requested, the preliminary penalty calculated by the commission staff is final. The commission staff shall mail final notice of the penalty to the principal officer and to the treasurer of the political action committee. A detailed summary of all notices must be provided to the commission.

[2009, c. 302, §9 (AMD) .]

7. **List of late-filing committees.** The commission shall prepare a list of the names of political action committees that are late in filing a report required under section 1059, subsection 2, paragraph B, subparagraph (1) or section 1059, subsection 2, paragraph C or D within 30 days of the date of the election and shall make that list available for public inspection.

[2007, c. 443, Pt. A, §41 (AMD) .]

8. **Failure to file.** A person who fails to file a report as required by this subchapter within 30 days of the filing deadline is guilty of a Class E crime, except that, if a penalty pursuant to subsection 8-A is assessed and collected by the commission, the State may not prosecute a violation under this subsection.

[2003, c. 628, Pt. A, §8 (AMD) .]

8-A. Penalties for failure to file report. The commission may assess a civil penalty for failure to file a report required by this subchapter. The maximum penalty for failure to file a report required under section 1056-B or section 1059 is \$10,000.

[2009, c. 190, Pt. A, §31 (AMD) .]

9. Enforcement. A penalty assessed pursuant to this section that has not been paid in full within 30 days after issuance of a notice of the final determination may be enforced in accordance with section 1004-B.

[2009, c. 302, §10 (RPR) .]

SECTION HISTORY

1995, c. 483, §21 (NEW). 1999, c. 426, §34 (AMD). 1999, c. 729, §9 (AMD). 2003, c. 628, §§A7-9 (AMD). 2007, c. 443, Pt. A, §§38-41 (AMD). 2009, c. 190, Pt. A, §§28-31 (AMD). 2009, c. 302, §§8-10 (AMD). 2011, c. 389, §49 (AMD). 2013, c. 334, §§30, 31 (AMD).

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Amended

Commission on Governmental Ethics and Election Practices
 Mail: 135 State House Station, Augusta, Maine 04333
 Office: 45 Memorial Circle, Augusta, Maine
 Website: www.maine.gov/ethics
 Phone: 207-287-4179
 Fax: 207-287-6775



2014 CAMPAIGN FINANCE REPORT
FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER	
SENATE DEMOCRATIC CAMPAIGN COMMITTEE P.O. BOX 2207 AUGUSTA, ME 04338 PHONE: (207) 590-8366 EMAIL: SDCCME@GMAIL.COM		PHILIP BARTLETT II P.O. BOX 2207 AUGUSTA, ME 04338 PHONE: (207) 839-7827 EMAIL: PHIL@PHILBARTLETT.COM	
REPORT	DUE DATE	REPORTING PERIOD	
APRIL QUARTERLY	04/10/2014	01/01/2014 - 03/31/2014	

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$71,737.00	\$71,737.00
2. OTHER CASH RECEIPTS (INTEREST, ETC.)	\$0.00	\$0.00
3. LOANS (SCHEDULE C)	\$0.00	\$0.00
4. TOTAL RECEIPTS (LINE 1 + 2 + 3)	\$71,737.00	\$71,737.00
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$0.00	\$0.00
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$24,280.08	\$24,280.08
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$24,280.08	\$24,280.08
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$75,027.10	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$71,737.00	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$24,280.08	
12. CASH BALANCE AT END OF PERIOD	\$122,484.02	
OTHER ACTIVITY		
13. IN-KIND CONTRIBUTIONS (SCHEDULE A-1)	\$0.00	\$0.00
14. TOTAL LOAN BALANCE AT END OF PERIOD (SCHEDULE C)	\$0.00	
15. TOTAL UNPAID DEBTS AT END OF PERIOD (SCHEDULE D)	\$0.00	

I, PHILIP BARTLETT II, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: PHILIP BARTLETT II
 REPORT FILED ON: 04/10/2014
 LAST MODIFIED: 08/06/2014
 PRINTED: 08/13/2014
 COMMITTEE ID: 711

**SCHEDULE A
CASH CONTRIBUTIONS**

- For contributors who gave more than \$50, the names, address, occupation, and employer must be reported. If "information requested" is listed instead of occupation and employer, the candidate is waiting to receive that information.
- Cash contributions of \$50 or less can be added together and reported as a lump sum.
- Contributor Types

1 = Individual

2 = Candidate/ Spouse/ Domestic Partner

3 = Commercial Source

4 = Nonprofit Organization

5 = Political Action Committee

6 = Political Party Committee

7 = Ballot Question Committee

8 = Other Candidate/ Candidate Committee

9 = Candidate / Candidate Committee

10 = General Treasury Transfer

11 = Transfer from Previous Campaign

12 = Contributors giving \$50 or less

13 = Contributors giving \$100 or less

14 = Contributors giving \$200 or less

15 = MCEA Payment

16 = Financial Institution

DATE RECEIVED	CONTRIBUTOR	OCCUPATION AND EMPLOYER	TYPE	AMOUNT
1/2/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$180.00
1/2/2014	ROBERTA DE ARAUJO 77 MACKWORTH ST PORTLAND, ME 04103	JOHNSON AND WEBBERT LLC DESCRIPTION: Attorney/Legal	1	\$75.00
1/2/2014	RONALD KREISMAN 77 MACKWORTH ST PORTLAND, ME 04103	SELF DESCRIPTION: Attorney/Legal	1	\$75.00
1/2/2014	CATHERINE NEWELL PO BOX 187 GREENWOOD, ME 04255	MAINE ADULT EDUCATION ASSN DESCRIPTION: Teacher/Education	1	\$100.00
1/2/2014	PEGGY SCHAFFER PO BOX 71 VASSALBORO, ME 04989	NONE DESCRIPTION: Not Currently Employed	1	\$100.00
1/6/2014	ACLI POLITICAL ACTIVITY FUND 101 CONSTITUTION AVE NW WASHINGTON, DC 20001		3	\$500.00
1/6/2014	American Chemistry Company NE 700 Second St Washington, DC 20002	DESCRIPTION: Unknown	3	\$250.00
1/6/2014	Cianbro One Cianbro Square Pittsfield, ME 04967	DESCRIPTION: Unknown	3	\$500.00
1/6/2014	CITIZENS FOR JUSTICE IN MAINE, INC. P.O. BOX 438 PO Box 438 AUGUSTA, ME 04332-0438		5	\$500.00
1/6/2014	FAIRPOINT COMMUNICATIONS ., ME 99999	DESCRIPTION: Unknown	3	\$500.00
1/6/2014	FAIRPOINT COMMUNICATIONS 1 DAVIS FARM RD PORTLAND, ME 04103		3	\$500.00

1/6/2014	FAIRPOINT COMMUNICATIONS 1 DAVIS FARM RD PORTLAND, ME 04103		3	\$200.00
1/6/2014	FAIRPOINT COMMUNICATIONS 1 DAVIS FARM RD PORTLAND, ME 04103		3	\$500.00
1/6/2014	GO MAINE PAC 114 JOHNSON RD GORHAM, ME 04038		5	\$100.00
1/6/2014	JANE HURD 66 COMMERCIAL ST BOOTHBY HARBOR, ME 04538	RETIRED DESCRIPTION: Retired	1	\$100.00
1/6/2014	MAINE BANKERS ASSOCIATION POLITICAL ACTION COMMITTEE 489 CONGRESS STREET, SUITE 300 PORTLAND, ME 04101		5	\$2,500.00
1/6/2014	MAINE DENTAL PAC P.O. BOX 215 MANCHESTER, ME 04351		5	\$500.00
1/6/2014	MCTEAGUE, HIGBEEM CASE, COHEN, WHITNEY & TOKER 4 UNION PARK TOPSHAM, ME 04086	DESCRIPTION: Unknown	3	\$500.00
1/6/2014	NESTLE WATERS NORTH AMERICA PAC 777 WEST PUTNAM GREENWICH, CT 06836		5	\$1,500.00
1/7/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$170.00
1/7/2014	ABC PAC PO BOX 169 AUGUSTA, ME 04330		5	\$500.00
1/7/2014	AFLAC INCORPORATED 1932 WYNNTON RD COLUMBUS, GA 31999		3	\$500.00
1/7/2014	ANTHEM BLUE CROSS BLUE SHIELD PO BOX CINCINNATI, OH 45206	DESCRIPTION: Unknown	3	\$6,500.00
1/7/2014	B & B DENTAL MANAGEMENT LLC 12 STILLWATER AVE BANGOR, ME 04401		3	\$100.00
1/7/2014	BUILD MAINE PAC 188 WHITTEN ROAD AUGUSTA, ME 04330		5	\$6,500.00
1/7/2014	DBA FOR THE WIN PAC 1 KELSEY ST WATERVILLE, ME 04901		5	\$3,500.00
1/7/2014	EATON & PEABODY 77 SEWALL ST AUGUSTA, ME 04330		3	\$250.00
1/7/2014	Friends of Maine Hospitals 33 Fuller Rd Augusta, ME 04330	DESCRIPTION: Unknown	3	\$500.00
1/7/2014	Government Strategies PO box 29 Portland, ME 04112	DESCRIPTION: Unknown	3	\$100.00
1/7/2014	IFA 1501 K STREET, NW WASHINGTON, DC 20005		3	\$500.00
1/7/2014	Maine Aquaculture Assn PO Box 148 Hallowell, ME 04347	DESCRIPTION: Unknown	3	\$250.00

1/7/2014	MAINE ASSOCIATION OF REALTORS PAC 19 COMMUNITY DRIVE AUGUSTA, ME 04330		5	\$1,500.00
1/7/2014	Maine Beverage Assn 77 Water St Hallowell, ME 04347	DESCRIPTION: Unknown	3	\$250.00
1/7/2014	Maine Chiropractic Assn. PO Box 4000 Brewer, , ME 04412	DESCRIPTION: Unknown	3	\$1,000.00
1/7/2014	Maine Credit Union League PO Box 1236 Portland, ME 04104	DESCRIPTION: Unknown	3	\$1,000.00
1/7/2014	MAINE HEALTH CARE ASSOCIATION 317 STATE STREET AUGUSTA, ME 04330		5	\$500.00
1/7/2014	MAINE LICENSED DENTURIST ASSN PO BOX 1024 WINDHAM, ME 04062		3	\$100.00
1/7/2014	MARTIN FISHER CONTRIBUTION ACCT 61 FRANKLIN ST BOSTON, MA 02110		5	\$500.00
1/7/2014	MEA Fund in Support of Public Education 35 Community Dr Augusta, ME 04330	DESCRIPTION: Unknown	5	\$500.00
1/7/2014	MED MARIJUANA CAREGIVERS OF ME PO BOX 683 AUGUSTA, ME 04332		3	\$500.00
1/7/2014	MYPAC MYLAN INC. PAC 700V 6V TH ST NW WASHINGTON, ME 20001		5	\$500.00
1/7/2014	Oxford Casino 152 Main Street Oxford, ME 04270	DESCRIPTION: Unknown	3	\$250.00
1/7/2014	PretiFlaherty PO Box 9546 Portland, ME 04112	DESCRIPTION: Unknown	3	\$500.00
1/8/2014	EDP RENEWABLES NORTH AMERICA PAC 808 TRAVIS ST HOUSTON, TX 77002		5	\$500.00
1/8/2014	FEDERAL DISTRIBUTORS PO BOX 2007 LEWISTON, ME 04241		3	\$250.00
1/8/2014	MAINE STATE COPE ACCT PO BOX 2669 BANGOR, ME 04402		3	\$250.00
1/10/2014	Anne PAC 31 Higgins St. Portland, ME 04103		5	\$18,000.00
1/10/2014	JOHN TUTTLE FOR LEADERSHIP 176 COTTAGE ST. SANFORD, ME 04073		5	\$2,000.00
1/14/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$100.00
1/14/2014	THE DAWN HILL PAC P.O. BOX 701 CAPE NEDDICK, ME 03902		5	\$7,000.00
1/15/2014	Prescott, Jamieson, Nelso & Murphy LLC PO Box 1190 Saco, ME 04072	DESCRIPTION: Unknown	3	\$250.00

1/21/2014	Stephanie Cotsirios 96 Winterhaven Sr Orono, ME 04473		1	\$250.00
		DESCRIPTION: requested		
1/21/2014	MAURIE HILL PO BOX 1485 STANDISH, ME 04084	RETIRED	1	\$100.00
		DESCRIPTION: Retired		
1/22/2014	ROY GEDAT 111 MAIN ST NORWAY, ME 04268	HALCYON HOME CARE	1	\$150.00
		DESCRIPTION: OWNER		
1/22/2014	WILLIAM HALL 317 PLEASANT AVE PEAKS ISLAND, ME 04108	MARTINS POINT HEALTH CARE	1	\$250.00
		DESCRIPTION: MARKETING		
1/23/2014	GANVILLE BOWIE 35 SUMMER ST KENNEBUNK, ME 04043	RETIRED	1	\$250.00
		DESCRIPTION: Retired		
1/28/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$25.00
1/28/2014	PAUL ARANSON 4 MINUTEMAN DR SACARBOROUGH, ME 04074	SELF	1	\$100.00
		DESCRIPTION: Attorney/Legal		
1/28/2014	THOMAS CARPER 17 HIGH RD CORNISH, ME 04020	RETIRED	1	\$300.00
		DESCRIPTION: Retired		
1/28/2014	DONALD GEAN PO BOX 91 ALFRED, ME 04002	YORK CTY SHELTER PROGRAM	1	\$250.00
		DESCRIPTION: EXECUTIVE DIRECTOR		
1/28/2014	Roger Pomerleau 584 Leighton Road Augusta, ME 04330	NRF Distributors	1	\$250.00
		DESCRIPTION: Executive VP		
1/30/2014	JULIANA L'HEUREUX 1 TURKEY RUN TOPSHAM, ME 04086	SELF	1	\$100.00
		DESCRIPTION: WRITER		
1/30/2014	LAW OFFICE OF JOSEPH BALDACCI PO BOX 1423 BANGOR, ME 04402		3	\$500.00
2/4/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$25.00
2/4/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$50.00
2/4/2014	Edwin Pert 131 Webber Rd Georgetown, ME 04548	none	1	\$125.00
		DESCRIPTION: retired		
2/5/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$293.00
2/5/2014	Elizabeth Whitman 48 Pitt St Portland, ME 04103		1	\$100.00
		DESCRIPTION: Community organizer		
2/6/2014	ROGER LEE 26 PARK ST BELFAST, ME 04915	FISH & RICHARDSON	1	\$200.00
		DESCRIPTION: Attorney/Legal		

2/6/2014	John Morris 222 Storer Mountain Rd Waldoboro, ME 04572	self DESCRIPTION: Architect	1	\$250.00
2/11/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$50.00
2/11/2014	DENISE TEPLER 13 HOMEPLACE TOPSHAM, ME 04086	SELF DESCRIPTION: Teacher/Education	1	\$250.00
2/11/2014	J RODNEY VOISINE 114 OLD OCEAN HOUSE RD CAPE ELIZABETH, ME 04107	ANESTHESIA ASSOCIATES DESCRIPTION: Healthcare/Medical	1	\$250.00
2/12/2014	PAMELA LORD PO BOX 17887 PORTLAND, ME 04112	. DESCRIPTION: Unknown	1	\$100.00
2/12/2014	Frank O'Hara 19 Union St Hallowell, ME 04347	Decisions Inc DESCRIPTION: Planning Consultant	1	\$100.00
2/13/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$24.00
2/19/2014	BECKY BARTOVICS 273 N SHORE RD NO HAVEN, ME 04853	SELF DESCRIPTION: Environmental Services	1	\$100.00
2/19/2014	Bruce Buxton 67 Beacon St Portland, ME 04103	self DESCRIPTION: Fine Arts Appraiser	1	\$250.00
2/19/2014	PETER DAIGLE PO BOX9715-133 PORTLAND, ME 04104	CITY OF PORTLAND DESCRIPTION: Firefighters/Paramedics	1	\$150.00
2/22/2014	POLA BUCKLEY 71 CENTRAL ST HALLOWELL, ME 04347	STATE OF ME DESCRIPTION: Financial/Investment	1	\$300.00
2/24/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$25.00
2/25/2014	Neira Douglass 465 West Auburn Road Auburn, ME 04210	requested DESCRIPTION: requested	1	\$250.00
2/25/2014	CLAUDIA KING 160 WOODVILLE RD FALMOUTH, ME 04105	NONE DESCRIPTION: VOLUNTEER	1	\$500.00
2/26/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$50.00
2/27/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$50.00
2/27/2014	LESLIE MANNING 50 WASHINGTON ST BATH, ME 04530	. DESCRIPTION: Unknown	1	\$300.00
2/27/2014	LESLIE MANNING 50 WASHINGTON ST BATH, ME 04530	. DESCRIPTION: Unknown Offset due to update of filed item	1	(\$300.00)

2/27/2014	LESLIE MANNING 50 WASHINGTON ST BATH, ME 04530	DESCRIPTION: Unknown	1	\$250.00
3/3/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$35.00
3/4/2014	JOSEPH HANSLIP PO BOX 187 GREENWOOD, ME 04255	RETIRED DESCRIPTION: Retired	1	\$500.00
3/4/2014	MARY MCGREGOR 36 BOWDOIN ST PORTLAND, ME 04102	RETIRED DESCRIPTION: Retired	1	\$250.00
3/12/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$50.00
3/26/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$50.00
3/26/2014	Edwin Pert 131 Webber Rd Georgetown, ME 04548	none DESCRIPTION: retired	1	\$125.00
3/31/2014	CONTRIBUTORS GIVING \$50 OR LESS		12	\$310.00
3/31/2014	Elizabeth Whitman 48 Pitt St Portland, ME 04103	DESCRIPTION: Community organizer	1	\$150.00
TOTAL CASH CONTRIBUTIONS				\$71,737.00

**SCHEDULE B-1
OPERATING EXPENDITURES**

EXPENDITURES TYPES	
CNS Campaign consultants	POL Polling and survey research
CON Contribution to other candidate, party, committee	POS Postage for U.S. Mail and mail box fees
EQP Equipment (office machines, furniture, cell phones, etc.)	PRO Other professional services
FND Fundraising events	PRT Print media ads only (newspapers, magazines, etc.)
FOD Food for campaign events, volunteers	RAD Radio ads, production costs
LIT Print and graphics (flyers, signs, palmcards, t-shirts, etc.)	SAL Campaign workers' salaries and personnel costs
MHS Mail house (all services purchased)	TRV Travel (fuel, mileage, lodging, etc.)
OFF Office rent, utilities, phone and internet services, supplies	TVN TV or cable ads, production costs
OTH Other	WEB Website design, registration, hosting, maintenance, etc.
PHO Phone banks, automated telephone calls	

DATE OF EXPENDITURE	PAYEE	REMARK	TYPE	AMOUNT
1/2/2014	First Data Merchant Services PO Box 407066 Ft. Lauderdale, FL 33340	CREDIT CARD PROCESSING FEE	PRO	\$80.34
1/6/2014	FEDEX 50 MONUMENT SQUARE PORTLAND, ME 04101	REIMBURSEMENT TO MARC MALON	LIT	\$73.84
1/6/2014	GAGLIANOS RESTAURANT WATER ST AUGUSTA, ME 04330	REIMBURSEMENT TO MARC MALON	FND	\$200.00
1/6/2014	GAGLIANOS RESTAURANT WATER ST AUGUSTA, ME 04330	EVENT	FND	\$830.25
1/7/2014	Dale Rand Printing 104 Washington Ave Portland, ME 04101	PRINTING	LIT	\$84.40
1/29/2014	NGP Van 1101 15th St NW Ste 500 Washington, DC 20005	POLLING RECORDS	POL	\$60.00
2/2/2014	First Data Merchant Services PO Box 407066 Ft. Lauderdale, FL 33340	CREDIT CARD PROCESSING FEE	PRO	\$92.04
2/6/2014	ACTBlue Technical Services PO Box 3822110 Cambridge, MA 02238	PROCESSING FEE	PRO	\$9.88
2/11/2014	BAGEL MAINEA 190 WESTERN AVE AUGUSTA, ME 04330	REIMBURSEMENT TO MARC MALON	FOD	\$10.71
2/11/2014	WALGREENS 403 WATER ST AUGUSTA, ME 04330	REIMBURSEMENT TO MARC MALON	FOD	\$13.73
2/13/2014	RIVERFRONT BARBEQUE 300 WATER ST AUGUSTA, ME 04330	MTG REIMBURSEMENT TO MARC MALON	FOD	\$21.26
2/24/2014	ACTBlue Technical Services PO Box 3822110 Cambridge, MA 02238	PROCESSING FEE	PRO	\$0.99

2/25/2014	MAINE DEMOCRATIC STATE COMMITTEE 320 WATER ST, 3RD FLR P.O. BOX 5258 AUGUSTA, ME 04332	CONTRIBUTION	CON	\$20,000.00
2/25/2014	Staples 201 Mariner Way Biddeford, ME 04405	REIMBURSEMENT TO MARC MALON	OFF	\$58.30
2/25/2014	US Postal Service Western Ave Augusta, ME 04330	REIMBURSEMENT TO MARC MALON	POS	\$49.00
3/9/2014	BURT'S SECURITY CENTER 49 WATER ST HALLOWELL, ME 04347	REIMBURSEMENT TO MARC MALON FOR KEY	PRO	\$4.22
3/9/2014	Staples 14 Crossing Way Augusta, ME 04330	REIMBURSEMENT TO MARC MALON	OFF	\$69.94
3/11/2014	Amy Cookson 17 Butters Hill Terrace Winthrop, ME 04364	MILEAGE REIMBURSEMENT	TRV	\$32.12
3/16/2014	ALICE'S RESTAURANT 101 NORTH ST SKOWHEGAN, ME 04976	REIMBURSEMENT TO MARC MALON	FOD	\$12.47
3/16/2014	DANIELLE CHRISSMAN 114 WASHINGTON ST BIDDEFORD, ME 04005	REIMBURSEMENT FOR MILEAGE	TRV	\$147.44
3/16/2014	CLOUD 9 WESTERN AVE AUGUSTA, ME 04330	REIMBURSEMENT TO MARC MALON	FOD	\$23.17
3/16/2014	Marc Malon 567 Pool St Biddeford, ME 04405	MILEAGE REIMBURSEMENT	TRV	\$86.24
3/16/2014	TIM HORTONS 4V LUNT RD NEWPORT, ME 99999	REIMBURSEMENT TO MARC MALON	FOD	\$5.79
3/16/2014	US AIRWAYS ME 99999	REIMBURSEMENT TO MARC MALON	TRV	\$220.00
3/23/2014	NGP Van 1101 15th St NW Ste 500 Washington, DC 20005	QUARTERLY FEE FOR 1/14 AND 04/14	POL	\$1,920.00
3/30/2014	DANIELLE CHRISSMAN 114 WASHINGTON ST BIDDEFORD, ME 04005	MILEAGE REIMBURSEMENT	TRV	\$49.02
3/30/2014	CITY OF PORTLAND PORTLAND, ME 04101	PHOTOCOPIES-SEARCH REIMBURSEMENT TO DANIELLE CHRISSMAN	OFF	\$13.00
3/30/2014	Staples 14 Crossing Way Augusta, ME 04330	REIMBURSEMENT TO MARC MALON	OFF	\$111.93
TOTAL OPERATING EXPENDITURES				\$24,280.08