



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

RQ-2

January 25, 2013

ANNA-ELYSAPETH MCGUIRE, TREASURER
RORABACK FOR CONGRESS
24 MASON STREET PO BOX 807
TORRINGTON, CT 06790

Response Due Date
03/01/2013

IDENTIFICATION NUMBER: C00504985

REFERENCE: AMENDED 30 DAY POST-GENERAL REPORT (10/18/2012 -
11/26/2012), RECEIVED 01/10/2013

Dear Treasurer:

This letter is prompted by the Commission's preliminary review of the report referenced above. This notice requests information essential to full public disclosure of your federal election campaign finances. **Failure to adequately respond by the response date noted above could result in an audit or enforcement action.** Additional information is needed for the following 7 item(s):

1. Schedule A of your report discloses one or more contributions that appear to exceed the limits set forth in the Act (see attached).

An authorized or principal campaign committee may not make a contribution(s) to a candidate for federal office in excess of \$2,000 per election. The term "contribution" includes any gift, subscription, loan, advance, or deposit of money or anything of value made by any person for the purpose of influencing any election for federal office. (2 U.S.C. § 441a(a) and (f); 11 CFR §§ 102.12(c) and 102.13(c))

If any apparently excessive contribution in question was incompletely or incorrectly disclosed, you must amend your original report with the clarifying information. If any contribution you received exceeds the limits, you may have to refund the excessive amount.

The funds can be retained if, within 60 days of receipt, the excessive amount was properly designated for a different election by obtaining signed written authorization from the contributor(s) pursuant to 11 CFR §§ 110.1(b)(5) and 110.2(b)(5). Any request from a donor for a refund must be honored.

If the foregoing conditions for redesignations were not met within 60 days of receipt, the excessive amount must be refunded. See 11 CFR § 103.3(b)(3).

RORABACK FOR CONGRESS

Page 2 of 6

Please inform the Commission of your corrective action immediately in writing and provide a photocopy of any refund checks and/or letters redesignating the contributions in question. Refunds are reported on Line 20(a), (b), or (c), as applicable, of the Detailed Summary Page and on a supporting Schedule B of the report covering the period in which they are made. Redesignations are reported as memo entries on Schedule A of the report covering the period in which the authorization for the redesignation is received. (11 CFR § 104.8(d) (2), (3) and (4))

Although the Commission may take further legal action concerning the acceptance of excessive contributions, your prompt action to refund or redesignate the excessive amount will be taken into consideration.

2. Schedule A of your report discloses one or more contributions received after the convention that are designated for the convention. These contributions may only be accepted to the extent that the committee has net debts outstanding from the convention. For more information on how to calculate net debts outstanding, please see page 25 of the Campaign Guide for Congressional Candidates and Committees, which is available online at <http://www.fec.gov/pdf/candgui.pdf>. (11 CFR § 110.1(b)(3)(i))

A contribution is considered made when the contributor relinquishes control over the contribution. A contributor shall be considered to have relinquished control over the contribution when it is delivered to the candidate, when it is delivered to an authorized committee of the candidate, or to an agent of an authorized committee of the candidate. A contribution that is mailed to any of the aforementioned recipients will be considered made on the date of the postmark. Envelopes should be retained for the committee's records. (11 CFR § 110.1(b)(6))

If any contribution in question was incompletely or incorrectly disclosed, you must amend your original report with the clarifying information.

If a contribution exceeds the amount of net debts outstanding from the convention, you may have to refund or redesignate the contribution.

The funds can be retained if, within 60 days of receipt, the excessive amount was properly redesignated for a different election. An excessive contribution is considered properly redesignated if (1) the committee obtains signed written documentation from the contributor(s) authorizing the redesignation of the contribution for another election provided that the new designation does not

RORABACK FOR CONGRESS

Page 3 of 6

exceed the limitations on contributions made with respect to that election, or (2) the committee redesignates by presumption the excessive portion of the contribution for another election provided that the new designation does not exceed the limitations on contributions made with respect to that election. In this case, the treasurer must notify the contributor of the redesignation in writing within 60 days of the treasurer's receipt of the contribution. The notification must give the contributor an opportunity to request a refund. (11 CFR § 110.1(b)(5)(ii)(B))

If the foregoing conditions for redesignations are not met within 60 days of receipt, the excessive amount must be refunded. See 11 CFR § 103.3(b)(3).

If you have not already done so, please inform the Commission of your corrective action immediately in writing and provide photocopies of any refund checks and/or letters redesignating the contributions in question. Refunds are reported on Line 20(a), (b) or (c), as applicable, of the Detailed Summary Page and on a supporting Schedule B of the report covering the period in which they are made. Redesignations are reported as memo entries on Schedule A of the report covering the period in which the authorization for the redesignation is received. (11 CFR § 104.8(d)(2), (3) and (4))

Although the Commission may take further legal action concerning the acceptance of excessive contributions, your prompt action to refund or redesignate the excessive amount will be taken into consideration.

3. Schedule A of your report discloses one or more contributions from an organization(s), which is not a political committee registered with the Commission (see attached). In order for your committee to accept contributions from unregistered organizations, your committee should take steps to ensure that the contributor(s) used permissible funds to make the contribution(s) to avoid violating 2 U.S.C. §§441a(f) and 441b or 11 CFR §102.5(b). Under 11 CFR §102.5(b), organizations which are not political committees under the Act and choose to contribute to federal committees must either: (1) establish a separate account which contains only those funds permitted under the Act, or (2) demonstrate through a reasonable accounting method that the organization has received sufficient funds subject to the limitations and prohibitions in order to make the contribution.

If any apparently prohibited contribution in question was incompletely or incorrectly disclosed, you should amend your original report with clarifying information. In addition, please clarify whether the contribution(s) received from the referenced organization(s) is permissible.

RORABACK FOR CONGRESS

Page 4 of 6

If you have received prohibited contributions, you must make a refund. (11 CFR § 103.3(b)(1)) The refund must be made within 30 days of the treasurer becoming aware of the illegality of the contribution. (11 CFR § 103.3(b)(2))

If you have not already done so, please inform the Commission of your corrective action immediately in writing and provide a photocopy of any refund checks. Refunds must be reported on a Schedule B supporting Line 20(b) of the report covering the period in which the refund was made. (11 CFR § 104.8(d)(4))

Although the Commission may take further legal action concerning the acceptance of prohibited contributions, your prompt action to refund the prohibited amount will be taken into consideration.

4. Schedule A supporting Line 11(c) of the Detailed Summary Page(s) of your combined 2012 reports discloses transfer(s) totaling \$6,115.81 from Young Guns 2012 Round 4, which is a joint fundraising committee affiliated with your committee. The sum of memo Schedule A is less than the total amount transferred. Please note that the sum of memo Schedule A supporting a transfer(s) from a joint fundraising committee should be greater than or equal to the amount of the transfer(s).

Each participating committee shall report its share for **net** proceeds received from the joint fundraising committee as a transfer-in on Schedule A. A memo Schedule A must be provided to itemize your committee's share of the **gross** contributions received through the joint fundraiser. The memo schedule should itemize each individual who has contributed an aggregate in excess of \$200 during the election cycle and provide the amount of unitemized contributions received. In addition, the memo schedule should itemize your committee's share of all contributions from political committees, regardless of amount. (11 CFR § 102.17(c)(8)(i)(B)) Please amend your report to include the missing Schedule A or provide an explanation for this apparent discrepancy.

5. Schedule A of your report indicates that your committee may have failed to file one or more of the required 48-hour notices regarding "last minute" contributions received by your committee after the close of books for the 12 Day Pre-General Report (see attached). A principal campaign committee must notify the Commission, in writing, within 48 hours of any contribution of \$1,000 or more received between two and twenty days before an election. These contributions are then reported on the next report required to be filed by the committee. To ensure that the Commission is notified of last minute

RORABACK FOR CONGRESS

Page 5 of 6

contributions of \$1,000 or more to your campaign, it is recommended that you review your procedures for checking contributions received during the aforementioned time period. The failure to file 48-hour notices may result in civil money penalties or legal enforcement action. If any contribution of \$1,000 or more was incorrectly reported, you must amend your original report with the clarifying information. (11 CFR § 104.5(f))

6. It appears that your committee may have filed duplicate 48-hour notices. Your committee filed two 48 hour notices for each of the attached contributions; however, these contributions are only disclosed once on Schedule A of your report. Please amend your report to include the additional contributions or provide an explanation of the apparent discrepancies. (11 CFR §104.3(a)(4)(i))

7. Your committee filed a 48-hour notice disclosing a "last minute" contribution from Anita Yarossi on 10/27/2012. This contribution does not appear on a Schedule A of this report. Please amend your report to include this contribution or provide an explanation of this apparent discrepancy. (11 CFR § 104.3(a)(4)(i))

Please note, you will not receive an additional notice from the Commission on this matter. Adequate responses must be received by the Commission on or before the due date noted above to be taken into consideration in determining whether audit action will be initiated. Failure to comply with the provisions of the Act may also result in an enforcement action against the committee. Any response submitted by your committee will be placed on the public record and will be considered by the Commission prior to taking enforcement action. **Requests for extensions of time in which to respond will not be considered.**

Electronic filers must file amendments (to include statements, designations and reports) in an electronic format and must submit an amended report in its entirety, rather than just those portions of the report that are being amended.

If you should have any questions regarding this matter or wish to verify the adequacy of your response, please contact me on our toll-free number (800) 424-9530 (at the prompt press 5 to reach the Reports Analysis Division) or my local number (202) 694-1171.

RORABACK FOR CONGRESS

Page 6 of 6

Sincerely,

A handwritten signature in black ink that reads "Kendra Hannan". The signature is written in a cursive style with a large initial 'K'.

Kendra Hannan
Sr. Campaign Finance & Reviewing Analyst
Reports Analysis Division

419

**Excessive, Prohibited, and Impermissible Contributions
Roraback for Congress (C00504985)**

Excessive Contributions from Committees

Contributor Name	Date	Amount	Election
Andy Harris for Congress	9/4/2012	\$1,000.00	G2012
Andy Harris for Congress	9/24/2012	\$1,000.00	G2012
Andy Harris for Congress	10/25/2012	\$1,000.00	G2012

Contributions from Unregistered Organizations

Contributor Name	Date	Amount	Election
North Canaan Republican Town Committee	11/5/2012	\$1,000.00	G2012

**Missing 48-Hour Notices
Roraback for Congress (C00504985)**

Contributor Name	Date	Amount	Election
American Medical Association PAC	10/27/2012	\$5,000.00	G2012
Pioneer Political Action Committee	11/2/2012	\$5,000.00	G2012

**Incorrectly Reported Receipts on 48-Hour Notices
Roraback for Congress (C00504985)**

Contributor Name	Date	Amount
Friedrich, Louis A	10/30/2012	\$2,095.00
Kline for Congress	10/31/2012	\$1,000.00
Stone, Mary R	10/31/2012	\$2,500.00
Stone, William	10/31/2012	\$2,500.00
Farmers Groups	11/1/2012	\$1,000.00
Miller, Barclay	11/1/2012	\$2,500.00
Miller, Prescott	11/1/2012	\$2,500.00
National Association Health Underwriters	11/1/2012	\$2,000.00
Rogers for Congress	11/1/2012	\$1,000.00
Title Industry Political Action Committee	11/1/2012	\$2,000.00