REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee
(Summary Page)

RECEIVED
FEDERAL ELECTION
COMMISSION MAIL ROOM

Oct 15 4 00 PM '98

USE FEC MAILING LABEL OR TYPE OR PRINT

1. NAME OF COMMITTEE (in full)
National Association of Small Business Investment Companies Political Action Committee

ADDRESS (number and street) ☐ Check if different than previously reported
666 11th Street, NW, Suite 750
Washington, DC 20001

CITY, STATE and ZIP CODE
Washington, DC 20001

2. FEC IDENTIFICATION NUMBER
C00109991

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

4. TYPE OF REPORT

(a) ☐ April 15 Quarterly Report
☐ July 15 Quarterly Report
☒ October 15 Quarterly Report
☐ January 31 Year End Report
☐ July 31 Mid Year Report (Non-election Year Only)
☐ Termination Report

Monthly Report Due On:
☐ February 20 ☐ June 20 ☐ October 20
☐ March 20 ☐ July 20 ☐ November 20
☐ April 20 ☐ August 20 ☐ December 20
☐ May 20 ☐ September 20 ☐ January 31

☐ 12-Day Pre-Election Report for the _____ (Type of Election)
election on _____ in the State of _____

☐ 30-Day Post-Election Report following the General Election
on _____ in the State of _____

(b) Is this Report an Amendment? ☐ YES ☒ NO

SUMMARY	COLUMN A This Period	COLUMN B Calendar Year-to-Date
5. Covering Period 7/1/98 through 9/30/98		
6. (a) Cash on Hand January 1, 19 98		$6,381.03
(b) Cash on Hand at Beginning of Reporting Period	$ 3,981.03	
(c) Total Receipts (from Line 19)	$ 10,020.00	$ 46,620.00
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	$ 14,001.03	$ 53,001.03
7. Total Disbursements (from Line 30)	$ 9,000.00	$ 48,000.00
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	$ 5,001.03	$ 5,001.03
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	$	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	$	

For further information contact:
Federal Election Commission
999 E Street, NW
Washington, DC 20463
Toll Free 800-424-9530
Local 202-694-1100

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
Lee W. Mercer

Signature of Treasurer
Lee W Mercer

Date
10 October 1998

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

FEC FORM 3X
(revised 9/93)

FE8AN084

DETAILED SUMMARY PAGE
OF RECEIPTS AND DISBURSEMENTS
PAGE 2, FEC FORM 3X

(revised 1/1/91)

NAME OF COMMITTEE: National Association of Small Business Investment Companies Political Action Committee

REPORT COVERING PERIOD FROM 7/1/98 TO: 9/30/98

	COLUMN A Total This Period	COLUMN B Calendar Year	
I. Receipts			
11. Contributions (other than loans) From:			
a. Individual/Persons Other Than Political Committees	10,000.00	43,709.09	11(a)(i)
i. Itemized (use Schedule A)	20.00	1,910.91	11(a)(ii)
ii. Unitemized	10,020.00	45,620.00	11(a)(iii)
iii. Total (add i and ii) ➤			11(b)
b. Political Party Committees		1,500.00	11(c)
c. Other Political Committees (such as PACs)	10,020	47,120.00	11(d)
d. Total Contributions (add a iii, b and c) ➤			12
12. Transfers From Affiliated/Other Party Committees			13
13. All Loans Received			14
14. Loan Repayments Received			15
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.)		(500.00)	16
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees			17
17. Other Federal Receipts (Dividends, Interest, etc.)			18
18. Transfers from Nonfederal Account for Joint Activity	10,020.00	46,620.00	19
19. Total Receipts (add 11d, 12, 13, 14, 15, 16, 17, and 18) ➤	10,020.00	46,620.00	20
20. Total Federal Receipts (subtract line 18 from line 19) ➤			
II. Disbursements			
21. Operating Expenditures:			
a. Shared Federal/Non-Federal Activity (from Schedule H4)			21(a)(i)
i. Federal Share			21(a)(ii)
ii. Non-Federal Share			21(b)
b. Other Federal Operating Expenditures			21(c)
c. Total Operating Expenditures (add a i, a ii, and b) ➤			22
22. Transfers to Affiliated/Other Party Committees	9,000.00	48,000.00	23
23. Contributions to Federal Candidates/Committees and Other Political Committees			24
24. Independent Expenditures (use Schedule E)			25
25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F)			26
26. Loan Repayments Made			27
27. Loans Made			
28. Refunds of Contributions To:			28(a)
a. Individuals/Persons Other Than Political Committees			28(b)
b. Political Party Committees			28(c)
c. Other Political Committees (such as PACs)			28(d)
d. Total Contribution Refunds (add a, b and c) ➤			29
29. Other Disbursements	9,000.00	48,000.00	30
30. Total Disbursements (add 21c, 22, 23, 24, 25, 26, 27, 28d, and 29) ➤	9,000.00	48,000.00	31
31. Total Federal Disbursements (subtract line 21 a ii from line 30) ➤			
III. Net Contributions/Operating Expenditures			
32. Total Contributions (other than loans)(from line 11d)	10,020.00	47,120.00	32
33. Total Contribution Refunds (from line 28d)			33
34. Net Contributions (other than loans)(subtract line 33 from 32)	10,020.00	47,120.00	34
35. Total Federal Operating Expenditures (add 21 a i and 21 b) ➤			35
36. Offsets to Operating Expenditures (from line 15)			36
37. Net Operating Expenditures (subtract line 36 from 35) ➤			37

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SCHEDULE A **ITEMIZED RECEIPTS**

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

FOR LINE NUMBER 11a1

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)
National Association of Small Business Investment Companies Political Action Committee

Full Name, Mailing Address and ZIP Code	Name of Employer / Occupation	Date (month, day, year)	Amount of Each Receipt this Period
A. Daniel Tompkins, 20111 Stevens Creek Blvd., Cupertino, CA 95014	Novus Ventures / Investment Co. Exec.	7/20/98	$750.00
Receipt For: ☐ Primary ☐ General ☐ Other (specify): no restrictions	Aggregate Year-to-Date $ 750.00		
B. Shirley Cerrudo, 20111 Stevens Creek Blvd., Cupertino, CA 95014	Novus Ventures / Investment Co. Exec.	7/20/98	$750.00
Receipt For: ☐ Primary ☐ General ☐ Other (specify): no restrictions	Aggregate Year-to-Date $750.00		
C. Stephen Sangalis, 1125 17th Street, Denver, CO 80202	Rocky Mountain Capital Partners / Investment Co. Exec.	7/9/98	$250.00
Receipt For: ☐ Primary ☐ General ☐ Other (specify): no restrictions	Aggregate Year-to-Date $ 250.00		
D. Malcolm Nolan, 10 East 53rd Street, New York, NY 10022	Signal Capital LP / Investment Co. Investor	9/14/98	$1,000.00
Receipt For: ☐ Primary ☐ General ☐ Other (specify): no restrictions	Aggregate Year-to-Date $ 1,000.00		
E. Charles Lake, 10 East 53rd Street, New York, NY 10022	Signal Capital LP / Investment Co. Investor	9/14/98	$1,000.00
Receipt For: ☐ Primary ☐ General ☐ Other (specify): no restrictions	Aggregate Year-to-Date $ 1,000.00		
F. Alfred Pachala, 10 East 53rd St., New York, NY 10022	Signal Capital LP /	9/14/98	$1,000.00
Receipt For: ☐ Primary ☐ General ☐ Other (specify):	Aggregate Year-to-Date $		
G. Full Name, Mailing Address and ZIP Code	Name of Employer / Occupation	Date (month, day, year)	Amount of Each Receipt this Period
Receipt For: ☐ Primary ☐ General ☐ Other (specify):	Aggregate Year-to-Date $		

SUBTOTAL of Receipts This Page (optional) 4,750.00

TOTAL This Period (last page this line number only) 10,000.00

FE8N054

SCHEDULE A **ITEMIZED RECEIPTS**

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

PAGE 1 OF 2

FOR LINE NUMBER 11 a 1

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)
National Association of Small Business Investment Companies Political Action Committee

Full Name, Mailing Address and ZIP Code	Name of Employer / Occupation / Aggregate Year-to-Date	Date (month, day, year)	Amount of Each Receipt this Period
A. Eugene Fischer Dain Bosworth Plaza 60 S.6th St. Minneapolis, MN 55402 Receipt For: ☐ Primary ☐ General ☐ Other (specify): no restrictions	Capstone Ventures Occupation: Investment Co. Exec. Aggregate Year-to-Date > $ 1,000.00	7/28/98	$1,000.00
B. Brian Johnson Dain Bosworth Plaza 60 S. 6th st. Minneapolis, MN 55402 Receipt For: ☐ Primary ☐ General ☐ Other (specify): no restrictions	Capstone Ventures Occupation: Investment Co. Exec. Aggregate Year-to-Date > $ 1,000.00	7/28/98	$1,000.00
C. Barbara Santry Dain Bosworth Plaza 60 S. 6th St. Minneapolis, MN 55402 Receipt For: ☐ Primary ☐ General ☐ Other (specify): no restrictions	Capstone Ventures Occupation: Investment Co. Exec. Aggregate Year-to-Date > $ 1,000.00	7/28/98	$1,000.00
D. Mort Cohen 1801 East 9th St. Cleveland, OH 44114 Receipt For: ☐ Primary ☐ General ☐ Other (specify): no restrictions	Clarion Capital Occupation: Investment Co. Exec. Aggregate Year-to-Date > $ 500.00	8/6/98	$500.00
E. Keith Fox 10 East 53rd St. New York, NY 10022 Receipt For: ☐ Primary ☐ General ☐ Other (specify): no restrictions	Exeter Ventures Occupation: Investment Co. Exec. Aggregate Year-to-Date > $ 1,000.00	7/20/98	$500.00
F. Keith Fox 10 East 53rd St. New York, NY 10022 Receipt For: ☐ Primary ☐ General ☐ Other (specify): no restrictions	Exeter Ventures Occupation: Investment Co. Exec. Aggregate Year-to-Date > $ 1,250.00	9/14/98	$250.00
G. Frank Kline 11726 San Vicente Blvd. Los ANgeles, CA 90049 Receipt For: ☐ Primary ☐ General ☐ Other (specify): no restrictions	Kline Hawkes CA, SBIC Occupation: Investment Co. Exec. Aggregate Year-to-Date > $ 1,000.00	9/14/98	$1,000.00

SUBTOTAL of Receipts This Page (optional) 5,250.00

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

FEB/98/06

SCHEDULE B **ITEMIZED DISBURSEMENTS**

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

PAGE 1 OF 1

FOR LINE NUMBER 23

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)

National Association of Small Business Investment Companies Political Action Committee

Full Name, Mailing Address and ZIP Code	Purpose of Disbursement / Disbursement for	Date (month, day, year)	Amount of Each Disbursement This Period
A. Missourians for Kit Bond 507 Capitol Court Washington, DC 20002	Senate-MO [X] Primary [ ] General [ ] Other (specify)	7/23/98	1,000.00
B. Re-Elect Nydia Velazquez to Congress 516 45th Brooklyn, NY	House-NY-12 [X] Primary [ ] General [ ] Other (specify)	7/28/98	$2,000.00
C. Combest Congressional Committee 383 South Pickett Street Alexandria, VA 22304	House-TX-19 [X] Primary [ ] General [ ] Other (specify)	7/28/98	$1,000.00
D. Friends of Michael Forbes P.O. Box 505 Farmingville Long Island NY 11738	House-NY-01 [ ] Primary [X] General [ ] Other (specify)	8/24/98	$2,000.00
E. Missourians for Kit Bond 507 Capitol Court Washington, DC 20002	Senate-MO [X] Primary [ ] General [ ] Other (specify)	8/25/98	1,000.00
F. The Judd Gregg Committee P.O. Box 1812 Concord, NH	Senate-NH [ ] Primary [XX] General [ ] Other (specify)	9/24/98	$1500.00
G. The Billy Tauzin Committee P.O. Box 1407 Thibodeax, LA 70302	House-LA-03 [ ] Primary [XX] General [ ] Other (specify)	9/1/98	500.00
H.	Purpose of Disbursement [ ] Primary [ ] General [ ] Other (specify)	Date (month, day, year)	Amount of Each Disbursement This Period
I.	Purpose of Disbursement [ ] Primary [ ] General [ ] Other (specify)	Date (month, day, year)	Amount of Each Disbursement This Period

SUBTOTAL of Disbursements This Page (optional)	9,000.00
TOTAL This Period (last page this line number only)	9,000.00

FE8AN084

KIT BOND

U.S. SENATE

507 Capitol Court NE, #100 • Washington, DC 20002
(202) 546-0900

August 4, 1998

Mr. Lee Mercer
National Assn. of Small Business Investment
Companies Political Action Committee
666 - 11th Street NW, #750
Washington, DC 20001

(202)628-5080

Dear Lee:

Thank you for your recent contribution to Senator Kit Bond's campaign committee. We are greatly appreciative of your generous support.

Our records indicate that we have received the following contributions from National Assn. of Small Business Investment Companies Political Action Committee for the 1998 cycle:

98G	2/9/98	#1185(S)	$500	98G	3/4/98	#91	$1500
98P	12/4/95	#1041	$1000	98P	1/13/97	#1184	$1500
98P	2/11/97	#1119	$1000	98P	5/1/97	#1135	$1000
98P	2/9/98	#1185(S)	$500	98P	6/12/98	W/N	$1000
98P	7/22/98	#1020	$1000				

In accordance with FEC regulations, we have applied the first $5000 to the primary election and simply need to roll-over $2000 to the general election. In order to move the money we need your written authorization.

For your convenience, I have attached a sample redesignation letter which you may simply sign and fax back to me at 202/546-1814. Please contact me at 202/546-0900 if you have any questions.

Lee, thanks again for your support and friendship. Thanks too for your understanding and cooperation in this matter.

Sincerely,

Lisa Reynolds
Missourians for Kit Bond

August 4, 1998

Missourians for Kit Bond
507 Capitol Court NE, Suite #100
Washington, DC 20002

Fax Number: 202/546-1814

To Whom it May Concern:

I hereby authorize the Missourians for Kit Bond Committee to redesignate check number 1020 in the amount of $1000, dated 7/22/98 and the Warner Nickles contribution in the amount of $1000 dated 6/12/98 from National Assn. of Small Business Investment Companies Political Action Committee to the 1998 general election.

Sincerely,

Authorized Representative
National Assn. of Small Business Investment
Companies Political Action Committee

NASBIC

America's Small Business Partners

Political Action Committee

August 25, 1998

Missourians for Kit Bond
507 Capitol Court NE, Suite 100
Washington, DC 20002

To Whom It May Concern:

I hereby authorize the Missourians for Kit Bond Committee to redesignate check number 1194 dated June 9, 1998, in the amount of $1,000.00 from the National Association of Small Business Investment Companies Political Action Committee ("NASBIC PAC") to the 1998 general election.

Sincerely,

Jeanette Paschal
Secretary
NASBIC PAC

NASBIC PAC
National Association of Small Business Investment Companies Political Action Committee
666 11th Street • N.W. • Suite 750 • Washington, • DC 20001
Tel: 202.628.5055 • Fax 202.628.5080
http://www.nasbic.org
E-mail: jpaschal@nasbic.org

THE JUDD GREGG COMMITTEE

September 23, 1998

National Association of Small Business
Investment Companies PAC
Attn: Jeannette Paschal
666 11th Street, NW, Suite 750
Washington, DC 20036

Re: The Judd Gregg Committee

Dear Ms Paschal:

As discussed with Carol yesterday, listed below are the contributions from your Political Action Committee and their specific designations toward the 1998 Elections:

Date of Deposit	Amount of Contribution	Election
2-7-97	$ 1000.00	P
6-3-97	500.00	P
6-9-97 (Warner/Nickles)	1000.00	P
10-27-97 (Redesignation)	1000.00	G
3-20-98	2000.00	P
5-26-98	500.00	P
5-26-98	500.00	G
6-12-98 (Warner/Nickles)	2000.00	G

If you need anything further, please let me know.

Thank you again for your support of Senator Gregg.

Very truly yours,

Francis L. Cramer
Fiscal Agent

FLC:cac

P.O. BOX 1812 CONCORD, NEW HAMPSHIRE 03302-1812

Paid for by the Judd Gregg Committee - Fiscal Agent, Francis Cramer

Federal Election Commission

ENVELOPE REPLACEMENT PAGE FOR INCOMING DOCUMENTS

The Commission has added this page to the end of this filing to indicate how it was received.

☑	Hand Delivered	Date of Receipt 10/15/98
☐	First Class Mail	POSTMARKED
☐	Registered/Certified Mail	POSTMARKED
☐	No Postmark	
☐	Postmark Illegible	
☐	Received from the House office of Records and Registration	Date of Receipt
☐	Received from the Senate Office of Public Records	Date of Receipt
☐	Other (Specify):	Postmarked _____ and/or Date of Receipt
☐	Electronic Filing	

PREPARER

10/15/98
DATE PREPARED

(4/98)