



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

To: Commissioners
From: Michael Dunn, Esq., Committee Registrar
Date: May 18, 2021
Re: Enhanced Compliance Review of Leadership PACs' 2020 Filings (Report 1 of 2)

This memo describes the procedures used in the post-election review of 2020 leadership PACs. The idea for the project originated in 2017 after the Commission completed the investigation of the Respect Maine PAC and considered news coverage of other leadership PACs. The Commission staff did not review leadership PACs in 2018 due to an extended budget crisis (resulting in litigation) and the introduction of a new electronic filing system that occupied far more staff time than was anticipated.

Genesis of Project

On August 30, 2017, the Commission staff reported back to the Commission concerning an investigation of Respect Maine PAC. The Commission determined that a State Senator had made unreported payments from his leadership PAC as loans to a family business, and assessed penalties totaling \$7,500 for the reporting violations. In 2019, the Commission staff presented an outline for a potential one-time review of leadership PACs to be conducted after the November 3, 2020 general election. The Commission directed staff to distribute a letter notifying leadership PACs of a more thorough review of their financial activities in 2020. We sent the mailing on October 9, 2019. At a meeting on November 18, 2020, the Commission authorized the staff to conduct an enhanced compliance review of the finances of leadership PACs with the understanding that the project was not intended to suggest any impropriety by the legislators that established the PACs.

Statutory Authority to Conduct Audits

The enhanced compliance reviews of 2020 leadership PACs were conducted pursuant to two provisions:

- Title 21-A, § 1003(1): “The commission may undertake audits and investigations to determine whether a person has violated this chapter [*i.e.*, the campaign finance reporting laws], chapter 14 [the Maine Clean Election Act], and the rules of the commission.”
- Title 1, § 1008(2): “The general duties of the commission shall be: ... [t]o administer and investigate any violations of those requirements of campaign reports and campaign financing, including the provisions of the Maine Clean Election Act and the Maine Clean Election Fund”

Currently, the Commission staff conducts compliance reviews of all campaign finance reports filed by PACs and ballot question committees. This review is administered by Michael Dunn, Esq. and Lorrie Brann. The Commission staff reviews the reports to make sure that each report appears complete and accurate on its face, all required details appear in the report, and no deficiencies or violations are apparent. The Commission staff follows up when documentation or additional information is needed.

Selection of PACs to be Reviewed

The term, leadership PAC, is not defined in Maine Election Law.¹ For purposes of this review, the Commission has defined leadership PAC to mean:

- A PAC registered in 2020;
- The Legislator is a principal officer or treasurer of the PAC, or one of the people primarily responsible for making decisions for the PAC; and
- The PAC reported raising or spending over \$5,000 in 2020.

Based on these criteria, fifteen (15) PACs were selected for review:

¹ At your December 18, 2020 meeting, the Commission approved a statutory definition for “leadership PAC” as part of a proposed agency bill now under consideration by the Maine Legislature.

Committees (and Associated Legislators)	2020 Contributions	2020 Expenditures
Aroostook PAC (John Martin)	\$6,400.00	\$2,686.00
Charlotte PAC (Charlotte Warren)	\$4,745.00	\$10,733.23
Committee for Peace and Justice (Michael Brennan)	\$8,755.00	\$4,755.19
Fecteau for Leadership (Ryan Fecteau)	\$31,876.00	\$46,557.56
Libby Leadership PAC (Nathan Libby)	\$23,750.00	\$15,283.90
Maine First PAC (Lawrence Lockman)	\$3,600.00	\$7,757.01
Maine Opportunity PAC (Andrew Gattine)	\$500.00	\$18,152.59
One Maine (Kathleen Dillingham)	\$55,428.00	\$30,468.71
PAC to the Future (Matt Moonen)	\$12,505.00	\$23,643.13
Prosperity for Maine's Future (Matthew Pouliot)	\$58,515.00	\$138,182.45
Revive Home Town Maine PAC (Joel Stetkis)	\$25,050.00	\$22,275.76
Shiretown PAC (Gregg Swallow)	\$5,789.00	\$4,932.67
Star City PAC (Trey Stewart)	\$10,450.00	\$28,589.66
Still Fed Up with Taxes (Jeffrey Timberlake)	\$92,063.20	\$136,585.77
Sunshine Hill (Stacey Guerin)	\$24,000.00	\$27,720.99

Review Procedures

On December 8, 2020, the Commission staff mailed each PAC a letter requesting the following documents:

- All 2020 bank statements for the PAC;
- Receipts/invoices for all expenditures over \$50 incurred during 2020;
- Documentation of any new loans or debts, or any payments thereof in 2020; and
- Records from ActBlue, Anedot, or similar fundraising service of contributions received in 2020.

All PACs were given a deadline of January 31, 2021.

Once these documents were received, the Commission staff began reviewing the documents and then comparing them to the PAC's campaign finance reports. The Commission staff would flag issues² found in the records for appropriate follow-up. On March 9, 2020¹, the Commission staff had completed its initial review and mailed

² The term "issue" here means that information provided raised questions for Commission staff. It does not mean that it was a violation, only that it warranted gathering further information.

specific follow-up questions to each PAC based on the issues that were flagged by the Commission staff. The PACs were to provide the additional information by March 23, 2021.

After reviewing the additional information, the Commission staff would mark each issue as either: (1) Resolved; (2) Exception; or (3) Potential Violation. A Resolved issue means the PAC provided sufficient information to show that the issue was reported appropriately. An Exception means the PAC has slightly deviated from the statutory requirements and no further action is warranted. A Potential Violation means the PAC has significantly deviated from the statutory requirements and the Commission staff recommends a finding of violation and potentially a civil penalty, if warranted.

On April 16, 2021, the Commission staff mailed the PACs individual reports for its Exceptions and Potential Violations. The Commission staff invited the PACs to submit any replies by May 7, 2021. Lastly, the Commission staff prepared a cover memo and materials for each PAC that documents the issues and any needed follow-ups.

The Commission staff focused on the following issues as part of their review:

- The transactions on the campaign finance reports were reported accurately and completely.
- No transactions have been omitted or duplicated.
- The PAC's actual bank balance can be reconciled with the PAC's reported balance.³
- All required records (receipts, invoices, bank statements, *etc.*) were maintained.
- There were no prohibited transactions (lobbyist contributions, self-enrichment).
- Any other issues that were apparent.

³ For each campaign finance report filed by a candidate or committee, the Commission's efilings system calculates a "cash balance at end of period" based on the transactions reported by the filer, and displays that balance in the financial activity summary on the cover page of the report.

Presented Committees

The Commission staff has concluded its review of ten of the fifteen PACs selected for review. The Commission staff intends to present the remaining five PACs during the July meeting as Part 2 of 2.

Conclusions

Attached to this memorandum is a chart that breaks down the exceptions and potential violations for each presented PAC. Also attached to this memorandum are the relevant laws that impact the analysis for the issues found in these ten committees.

The Commission staff is happy to answer questions that the Commission may have.

Thank you for your attention in this matter.

Title 21-A Maine Revised Statutes

§ 1003. Investigations by commission

1. Investigations. The commission may undertake audits and investigations to determine whether a person has violated this chapter, chapter 14 or the rules of the commission. For this purpose, the commission may subpoena witnesses and records whether located within or without the State and take evidence under oath. A person or entity that fails to obey the lawful subpoena of the commission or to testify before it under oath must be punished by the Superior Court for contempt upon application by the Attorney General on behalf of the commission. The Attorney General may apply on behalf of the commission to the Superior Court or to a court of another state to enforce compliance with a subpoena issued to a nonresident person. Service of any subpoena issued by the commission may be accomplished by:

- A.** Delivering a duly executed copy of the notice to the person to be served or to a partner or to any officer or agent authorized by appointment or by law to receive service of process on behalf of that person;
- B.** Delivering a duly executed copy of the notice to the principal place of business in this State of the person to be served; or
- C.** Mailing by registered or certified mail a duly executed copy of the notice, addressed to the person to be served, to the person's principal place of business.

2. Investigations requested. A person may apply in writing to the commission requesting an investigation as described in subsection 1. The commission shall review the application and shall make the investigation if the reasons stated for the request show sufficient grounds for believing that a violation may have occurred.

2-A. Repealed. Laws 2001, c. 535, § 1.

3. State Auditor. The State Auditor shall assist the commission in making investigations and in other phases of the commission's duties under this chapter, as requested by the commission, and has all necessary powers to carry out these responsibilities.

3-A. Confidential records. Investigative working papers of the commission are confidential, except that the commission may disclose them to the subject of the audit or investigation, other entities as necessary for the conduct of an audit or investigation and law enforcement and other agencies for purposes of reporting, investigating or prosecuting a criminal or civil violation. For purposes of this subsection, "investigative working papers" means documents, records and other printed or electronic information in the following limited categories that are acquired, prepared or maintained by the commission during the conduct of an audit, investigation or other enforcement matter:

- A.** Financial information not normally available to the public;
- B.** Information that, if disclosed, would reveal sensitive political or campaign information belonging to a party committee, political action committee, ballot question committee, candidate or candidate's political committee, or other person who is the subject of an audit,

investigation or other enforcement matter, even if the information is in the possession of a vendor or 3rd party;

C. Information or records subject to a privilege against discovery or use as evidence; and

D. Intra-agency or interagency communications related to an audit or investigation, including any record of an interview, meeting or examination.

The commission may disclose investigative working papers or discuss them at a public meeting, except for the information or records subject to a privilege against discovery or use as evidence, if the information or record is materially relevant to a memorandum or interim or final report by the commission staff or a decision by the commission concerning an audit, investigation or other enforcement matter. A memorandum or report on the audit or investigation prepared by staff for the commission may be disclosed at the time it is submitted to the commission, as long as the subject of the audit or investigation has an opportunity to review it first to identify material that the subject of the audit or investigation considers privileged or confidential under some other provision of law.

4. Attorney General. Upon the request of the commission, the Attorney General shall aid in any investigation, provide advice, examine any witnesses before the commission or otherwise assist the commission in the performance of its duties. The commission shall refer any apparent violations of this chapter to the Attorney General for prosecution.

§ 1004. Violations

The violation of any of the following subsections is a Class E crime.

1. Contributions and expenditures. A person, candidate, treasurer, political committee or political action committee may not knowingly make or accept any contribution or make any expenditure in violation of this chapter.

2. False statements. A person, candidate, treasurer or political action committee may not make a false statement in a report required by this chapter.

3. Contributions in another's name. A person may not knowingly:

A. Make a contribution in the name of another person;

B. Permit the person's name to be used to accomplish a contribution in violation of paragraph A; or

C. Accept a contribution made by one person in the name of another person.

4. Registration; political action committees. A political action committee or ballot question committee required to be registered under section 1052-A or 1056-B may not operate in this State unless it is so registered.

§ 1004-A. Penalties

The commission may assess the following penalties in addition to the other monetary sanctions authorized in this chapter.

- 1. Late campaign finance report.** A person that files a late campaign finance report containing no contributions or expenditures may be assessed a penalty of no more than \$100.
- 2. Contribution in excess of limitations.** A person that accepts or makes a contribution that exceeds the limitations set out in section 1015, subsections 1 and 2 may be assessed a penalty of no more than the amount by which the contribution exceeded the limitation.
- 3. Contribution in name of another person.** A person that makes a contribution in the name of another person, or that knowingly accepts a contribution made by one person in the name of another person, may be assessed a penalty not to exceed \$5,000.
- 4. Substantial misreporting.** A person that files a campaign finance report that substantially misreports contributions, expenditures or other campaign activity may be assessed a penalty not to exceed \$5,000.
- 5. Material false statements.** A person that makes a material false statement or that makes a statement that includes a material misrepresentation in a document that is required to be submitted to the commission, or that is submitted in response to a request by the commission, may be assessed a penalty not to exceed \$5,000.

When the commission has reason to believe that a violation has occurred, the commission shall provide written notice to the candidate, party committee, political action committee, committee treasurer or other respondent and shall afford them an opportunity to appear before the commission before assessing any penalty. In determining any penalty under subsections 3, 4 and 5, the commission shall consider, among other things, the level of intent to mislead, the penalty necessary to deter similar misconduct in the future and the harm suffered by the public from the incorrect disclosure. 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.

Penalties assessed pursuant to this section that have 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.

§ 1052-A. Registration

A political action committee shall register with the commission and amend its registration as required by this section. A registration is not timely filed unless it contains all the information required in this section.

1. Deadlines to file and amend registrations. A political action committee shall register and file amendments with the commission according to the following schedule.

A. A political action committee as defined under section 1052, subsection 5, paragraph A, subparagraph (1) or (4) that receives contributions or makes expenditures in the aggregate in excess of \$1,500 and a political action committee as defined under section 1052, subsection 5, paragraph A, subparagraph (5) that receives contributions or makes expenditures in the aggregate in excess of \$5,000 for the purpose of influencing the nomination or election of any candidate to political office shall register with the commission within 7 days of exceeding the applicable amount.

B. A political action committee shall amend the registration within 10 days of a change in the information that political action committees are required to disclose under this section.

C. A political action committee shall file an updated registration form between January 1st and March 1st of each year in which a general election is held. The commission may waive the updated registration requirement for a newly registered political action committee or other registered political action committee if the commission determines that the requirement would cause an administrative burden disproportionate to the public benefit of the updated information.

2. Disclosure of treasurer and officers. A political action committee must have a treasurer and a principal officer. The same individual may not serve in both positions. The political action committee's registration must contain the names and addresses of the following individuals:

A. The treasurer of the political action committee;

B. A principal officer of the political action committee;

C. Any other individuals who are primarily responsible for making decisions for the political action committee;

D. The individuals who are primarily responsible for raising contributions for the political action committee; and

E. The names of any other candidates or Legislators who have a significant role in fund-raising or decision-making for the political action committee.

3. Other disclosure requirements. A political action committee's registration must also include the following information:

A. A statement indicating the specific candidates, categories of candidates or campaigns that the political action committee expects to support or oppose;

B. If the political action committee is formed to influence the election of a single candidate, the name of that candidate;

C. The form or structure of the organization, such as a voluntary association, membership organization, corporation or any other structure by which the political action committee functions, and the date of origin or incorporation of the organization;

D. If the political action committee has been formed by one or more for-profit or nonprofit corporations or other organizations for the purpose of initiating or influencing a campaign, the names and addresses of the corporations or organizations;

E. The name of the account that the political action committee will use to deposit contributions and make expenditures pursuant to section 1054, and the name and address of the financial institution at which the account is established; and

F. Any additional information reasonably required by the commission to monitor the activities of political action committees in this State under this subchapter.

4. Acknowledgment of responsibilities. The treasurer, principal officer and any other individuals who are primarily responsible for making decisions for the political action committee shall submit a signed statement acknowledging their responsibilities on a form prescribed by the commission within 10 days of registering the political action committee. The

signed acknowledgment statement serves as notification of the responsibilities of the political action committee to comply with the financial reporting, record-keeping and other requirements of this chapter and the potential personal liability of the treasurer and principal officer for civil penalties assessed against the political action committee. The commission shall notify the political action committee of any individual who has failed to submit the acknowledgment statement. Failure to return the acknowledgment statement is a violation of this subchapter for which a fine of \$100 may be assessed against the political action committee. This section also applies to individuals named in an updated or amended registration required by this subsection who have not previously submitted an acknowledgment statement for the political action committee with the commission.

5. Resignation and removal. An individual who resigns as the treasurer, principal officer or primary decision maker of a political action committee shall submit a written resignation statement to the commission. An individual's resignation is not effective until the commission receives the written resignation statement from the individual. If an individual is involuntarily removed from the position of treasurer, principal officer or primary decision maker by the political action committee, the political action committee shall notify the commission in writing that the individual has been removed from the position. The commission may prescribe forms for these purposes.

§ 1054. Appointment of treasurer; depository

Any political action committee required to register under section 1052-A must appoint a treasurer before registering with the commission. A registered political action committee shall deposit all funds contributed to or received by the political action committee for the purpose of influencing a campaign in a single account in a financial institution and shall finance all of the political action committee's expenditures to influence the election through the account. If the political action committee was formed by another organization, that other organization may pay its employees for their campaign-related activities on behalf of the political action committee through its own treasury, rather than through the single account established by the political action committee and used for campaign expenditures.

§ 1054-A. Duties and liabilities of the treasurer, principal officer and primary decision maker of political action committees

1. Duties of the treasurer. The treasurer of the political action committee shall ensure that the political action committee files and amends the political action committee's registration, files complete and accurate financial reports with the commission and maintains the political action committee's records as required by this chapter and the commission's rules. The treasurer is responsible for the political action committee's performance of these duties regardless of whether the treasurer has delegated administrative tasks related to these duties to another individual.

2. Joint responsibilities of the treasurer and principal officer. The treasurer and the principal officer are jointly responsible for the political action committee's compliance with the requirements of this chapter and the commission's rules. The treasurer and principal officer are

responsible for accepting and responding to notices and correspondence from the commission on behalf of the political action committee.

3. Participation in spending decisions. An individual who is the treasurer, principal officer or primary decision maker of the political action committee and who has signed the acknowledgment statement required by section 1052-A, subsection 4 is deemed to have participated in the spending decisions of the political action committee until the commission receives the individual's resignation statement or a notice of the individual's involuntary removal from the political action committee.

4. Financial liability. The commission may hold the treasurer and principal officer jointly and severally liable with the political action committee for any fines assessed against the political action committee for violations of this chapter and chapter 14. In addition, the commission may assess all or part of a fine against any other agent of the political action committee who is directly responsible for a violation, including individuals who have resigned or have been removed involuntarily from the political action committee. In deciding whether to assess a penalty against a treasurer, principal officer or any other individual, the commission may consider, among other things, whether the individual had actual knowledge of the action that constituted the violation or had authorized that action and whether the violation was intentional or caused by an error by a vendor or someone outside the control of the political action committee.

§ 1054-B. Payments to Legislators by political action committees

If a Legislator is a principal officer or treasurer of a political action committee or is one of the individuals primarily responsible for raising contributions or making decisions for the political action committee, the political action committee may not compensate the Legislator for services provided to the political action committee. The political action committee may not make payments or distribute, loan, advance, deposit or gift money or anything of value to or compensate a business owned or operated by the Legislator. The political action committee may reimburse the Legislator for expenses incurred in the proper performance of the duties of the Legislator, for purchases made on behalf of the political action committee and for travel expenses associated with volunteering for the political action committee. Allowable reimbursement for expenses does not include payments from the political action committee that are determined by the commission to be for the purpose of personal financial enrichment of the Legislator. The funds of the political action committee may not be commingled with the personal funds of the Legislator or the funds of a business owned or operated by the Legislator.

§ 1059. Report; filing requirements

A committee required to register under section 1052-A, 1053-B or 1056-B shall file an initial campaign finance report within 7 days 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.

1. Deleted. Laws 2007, c. 443, § A-35.

2. Reporting schedule. A committee shall file reports according to the following schedule.

A. A committee 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.

B. During any year in which primary and general elections are held, a committee shall file primary and general election reports in addition to the reports required under paragraph A:

- (1) On the 11th day before the date on which the election is held, which 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, which must be complete as of the 35th day after that date.

A committee shall file primary and general election reports even if the committee did not engage in financial activity to influence the primary or general election.

C. In any election year other than a year described in paragraph B, if a committee has received contributions or made expenditures for the purpose of influencing a ballot question election, a special election or a municipal candidate or referendum election subject to Title 30-A, section 2502, the committee shall file preelection and post-election reports:

- (1) On the 11th day before the date on which the election is held, which 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, which must be complete as of the 35th day after that date.

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.

E. If a committee is required to file a report 11 days before an election pursuant to paragraph B or C, the 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.

3. Repealed. Laws 1989, c. 504, § 28

4. Repealed. Laws 1989, c. 504, § 28

5. Electronic filing. A committee shall file each report required by this section through an electronic filing system developed by the commission. The commission may make an exception to this electronic filing requirement if a committee submits a written request that

states that the committee lacks access to the technology or the technological ability to file reports electronically. The request for an exception must be submitted within 30 days of the registration of the committee. The commission shall grant all reasonable requests for exceptions.

§ 1060. Content of reports

The reports must contain the following information and any additional information required by the commission to monitor the activities of political action committees:

- 1. Identification of candidates.** The names of and offices sought by all candidates whom the political action committee supports, intends to support or seeks to defeat;
- 2. Identification of committees; parties.** The names of all political committees or party committees supported in any way by the political action committee;
- 3. Identification of referendum or initiated petition.** The referenda or initiated petitions that the political action committee supports or opposes;
- 4. Itemized expenditures.** An itemization of each expenditure made to initiate or influence any campaign, including the date, payee and purpose of the expenditure; the name of each candidate, campaign, political committee, political action committee or party committee supported or opposed; and each referendum or initiated petition supported or opposed by the expenditure. If expenditures were made to a person described in section 1012, subsection 3, paragraph A, subparagraph (4), the report must contain the name of the person; the amount spent by that person on behalf of the candidate, campaign, political committee, political action committee, party committee, referendum or initiated petition, including, but not limited to, expenditures made during the signature gathering phase; the reason for the expenditure; and the date of the expenditure. The commission may specify the categories of expenditures that are to be reported to enable the commission to closely monitor the activities of political action committees;
- 5. Aggregate expenditures.** An aggregation of expenditures and cumulative aggregation of expenditures to a candidate, campaign, political committee, political action committee, party committee, referendum or initiated petition;
- 6. Identification of contributions.** Names, occupations, places of business and mailing addresses of contributors who have given more than \$50 to the political action committee in the reporting period and the amount and date of each contribution, except that an organization qualifying as a political action committee under section 1052, subsection 5, paragraph A, subparagraph (5) is required to report only those contributions made to the organization for the purpose of influencing a ballot question or the nomination or election of a candidate to political office and all transfers to or funds used to support the political action committee from the general treasury of the organization; and
- 7. Other expenditures.** Operational expenses and other expenditures that are not made on behalf of a candidate, committee or campaign, except that an organization qualifying as a political action committee under section 1052, subsection 5, paragraph A, subparagraph (5) is required to report only those expenditures made for the purpose of influencing a campaign.

§ 1062-A. Failure to file on time

1. Registration. A political action committee required to register under section 1052-A, 1053-A or 1053-B or a ballot question committee required to register under section 1053-A or 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.

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;
- B.** An error by the commission staff; or
- 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.

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, 2%;
- B.** For the 2nd violation, 4%; and
- C.** For the 3rd and subsequent violations, 6%.

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.

4. Maximum penalties. The maximum penalty under this subchapter is \$10,000 for reports required under section 1053-A, 1056-B or 1059, except that if the dollar amount of the financial activity that was not timely filed or did not substantially conform to the reporting requirements of this subchapter exceeds \$50,000, the maximum penalty is 100% of the dollar amount of that financial activity.

5. Request for a commission determination. If the commission staff finds that a committee has failed to file a report required under this subchapter, the commission staff shall mail a notice to the treasurer of the committee within 3 business days following the filing deadline informing the treasurer that a report was not received. If a committee files a report required under this subchapter late, a notice of preliminary penalty must be forwarded to the treasurer of the 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.

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 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 committee. A detailed summary of all notices must be provided to the commission.

7. List of late-filing committees. The commission shall prepare a list of the names of 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.

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.

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 or the amount of financial activity not reported, whichever is greater.

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.



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

To: Commission
From: Michael Dunn, Esq., Political Committee Registrar
Date: May 19, 2021
Re: Leadership PAC Investigation – Aroostook PAC

On November 18, 2020, the Commission authorized an enhanced compliance review of fifteen (15) political action committees that, in 2020, were led by Legislators and raised or spent over \$5,000 in the year. The Commission staff sent the Aroostook PAC an initial request for records on 12/08/2020. ETH. 5-6. After review, the Commission staff sent a supplemental request for records on 03/09/2021, which were received on 03/23/2021. ETH. 7-8. On 04/16/2021, the Commission staff mailed its preliminary findings to the Aroostook PAC's officers requesting comment. ETH. 1-2. The Commission staff spoke with Mr. David Parent, the PAC's treasurer, who indicated he would not be submitting a response. Accordingly, the Commission staff found no potential violations and one exception. The Commission staff is recommending no further action regarding the Aroostook PAC.

LEGAL REQUIREMENTS

Transaction Codes. The Commission is required to adopt such procedures, rules and regulations as may appear necessary for the orderly, prompt, fair and efficient carrying out of its duties. 1 M.R.S. § 1003. Campaign finance reports must contain certain information required by statute and “any additional information required by the commission to monitor the activities of [PACs]”. 1 M.R.S. § 1060. The Commission is authorized to specify categories of expenditures to monitor the activities of PACs. Id. The Commission's online and paper reporting forms for all PACs and BQCs include categories for expenditure types. For instance, “POL” means “Polling and Survey Research” and “WEB” means “Website and Internet Costs.” The committee officers are required to file complete and accurate financial reports. 21-A M.R.S. § 1054-A.

Receipt Retention. The treasurer of a PAC shall retain a vendor invoice or receipt stating the particular goods or services purchased for every expenditure in excess of \$50 to initiate or influence a campaign. 21-A M.R.S. § 1057(2).

Reporting Expenditures. A PAC must report all expenditures to initiate or influence a campaign and include the payee, purpose, whether it was to support or oppose a candidate or referendum. 21-A M.R.S. § 1060(4). The PAC must also report operational expenditures that are not made for the purpose of influencing a campaign. 21-A M.R.S. § 1060(4).

ANALYSIS AND STAFF RECOMMENDATION

During the Commission staff's initial review of the Aroostook PAC's records, the Commission staff flagged three issues for further review:

1. The PAC provided a receipt dated 10/25/2021 from Channel X Radio Network for \$1,375, but there was no corresponding expenditure reported on the PAC's campaign finance reports.
2. On 10/07/2020, the PAC made an expenditure for the rental of a building from Mr. Jason Nadeau. The PAC did not receive a receipt and instead created a note-to-file that documented the transaction.
3. On 04/10/2020, the PAC listed the \$500 salary paid to Mr. Parent as OTH (Other) and not PER (Personnel).

Channel X Radio Network. A PAC must report all campaign related and operational expenditures. 21-A M.R.S. § 1060. Here, the PAC provided a receipt from Channel X Radio Network with two-line items, one for \$1,000 and one for \$1,375. The \$1,375 expenditure did not correspond to the bank statements nor the reported activity. When asked about this discrepancy, the PAC indicated that it was only responsible for the \$1,000 charge. ETH. 8. The PAC did not indicate who is responsible for the other \$1,375; however, it would be reasonable to infer that it was the responsibility of a candidate. ETH. 8. The \$1,000 charge is reflected in the PAC's bank statements and is reported on its campaign finance report. ETH. 13. As a result, the Commission staff considers this issue resolved.

Building Rental from Mr. Jason Nadeau. The treasurer of a PAC shall retain a vendor invoice or receipt stating the particular goods or services purchased for every expenditure in excess of \$50 to initiate or influence a campaign. 21-A M.R.S. § 1057(2). Here, the document provided by Mr. Parent is best described as a note to file in lieu of a receipt. ETH. 14. The PAC indicates that no receipt was provided by Mr. Nadeau and that therefore, they could not retain one as required by statute. ETH. 8. The Commission staff accepts this explanation. It does not appear that Mr. Nadeau rents this space out in normal course, but that it can be rented by groups that Mr. Nadeau supports. The Commission staff also notes that if a receipt were required, this would be the only missing receipt for the PAC in 2020. For these reasons, the Commission staff considers this issue resolved.

Improper Expenditure Code. As part of each PAC report, the PAC must categorize the type of transaction based on a series of codes established by the Commission. Here, the PAC indicated that salary paid to Mr. David Parent was “OTH” (Other) instead of “PER” (Personnel). All of the other information for this transaction was correctly disclosed. The Commission staff would note that the treasurer selects the code from a drop down in the Commission’s e-filing system. The OTH and PER codes are next to each other in the drop-down list, making it likely that this error occurred due to a mis-click by Mr. Parent. The Commission staff has amended the transaction:

DATE OF EXPENDITURE	PAYEE	REMARK	TYPE	AMOUNT
4/10/2020	David S Parent P.O. BOX 241 EAGLE LAKE, ME, 04739	Salary	OTH	\$500.00
4/10/2020	David S Parent P.O. BOX 241 EAGLE LAKE, ME, 04739	Salary	PER	\$500.00

The Commission staff views this as an exception. It is important that the transactions are correctly categorized because the expenditure type is a filter the public can use on the e-filing website to refine their search. This error, however, was clearly caused by an honest mistake and the public had access to the rest of the information. For these reasons, the Commission staff recommends that this error be treated as an exception. The Commission staff recommends no further action.

CONCLUSION

Based on the foregoing findings, the Commission staff recommends that no further action be taken regarding the Aroostook PAC. Thank you for your attention in this matter.



April 16, 2021

Mr. Gary Voisine
Aroostook PAC
15 West Market Street
Fort Kent, ME 4743

Mr. David Parent
Aroostook PAC
PO Box 241
Eagle Lake, ME 4739

Re: 2020 Compliance Review of Leadership PACs

Dear Mr. Voisine & Mr. Parent:

Thank you for providing the requested materials for the Aroostook PAC. I have concluded my review and made my preliminary findings, which are summarized in the enclosed memorandum and materials. Please review the enclosed materials carefully as they will be presented to the Commission.

The purpose of providing these materials to you is to invite you to comment on my preliminary findings. You may provide a written letter along with any supporting documentation that you believe is appropriate. If you believe that certain factual findings are inaccurate, you are welcome to submit information that disputes those findings. You may also wish to correct any errors that you agree with prior to the Commission meeting (if you do so, please let me know in a letter). Please submit any written comments no later than **May 7, 2021**.

After receiving your comments, the Commission staff will submit the enclosed materials, your comments, and, if necessary, a cover memorandum detailing any factual corrections/updates to the Commission. The Commission will consider the Commission staff's findings at the **May 26, 2021** meeting. If the staff's findings indicate that a potential violation was found, then the Committee is encouraged to participate in the meeting. If the findings show only exceptions, then the committee officers are invited to attend at their option. If you wish to attend the **May 26, 2021** meeting but it conflicts with your schedule, please let me know and the review of your PAC may be moved to a later date.

I am available to discuss this matter at any time if you have any questions regarding the enclosed materials or the overall process. Thank you for your attention in this matter.

Sincerely,

Michael J. Dunn

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar

Enclosures



To: Commissioners
From: Michael J. Dunn, Esq., Political Committee Registrar
Date: April 6, 2021
Re: Leadership PAC Review – Aroostook PAC

I. Overview of Findings

The Commission staff requested the Committee's records on 12/08/2020. Records were provided to the Commission staff on or about 01/31/2021. A request for additional records was mailed on 03/09/2021. The additional records were received on or about 03/23/2021. Upon completion of its review, the Commission staff has found no potential violations and one exception. The Commission staff recommends no further action.

II. History of Committee

Aroostook PAC registered as a political action committee on 10/04/2002. Representative John Martin was a Decision Maker for the PAC until about 03/14/2021. In 2020, Mr. David Parent served as the Treasurer, and Mr. Gary Voisine served as the Principal Officer. In 2020, the Committee raised \$6,400.00 and spent \$3,874.00.

III. Procedures

In the 12/08/2020 letter, the Commission staff requested the Committee produce the following 2020 records: (1) bank statements; (2) receipts/invoices for all expenditures over \$50; (3) documentation of any new loans or debts; and (4) records from ActBlue/Anedot or similar fundraising services.

After receiving those records, the Commission staff reviewed the provided records against the reported transactions for incorrect reporting. Specifically, the Commission staff reviewed the records for: omitted or duplicate transactions, failure to itemize contributions, prohibited payments, misuse of funds for personal enrichment in violation

of 21-A M.R.S. § 1054-B, failure to keep records, improper contributions and other errors.

During its review of Aroostook PAC, the Commission staff found that additional records would be required. On 03/09/2021, the Commission staff sent an email requesting the following:

- On the receipt dated 10/25/2020 from Channel X Radio Network there was a payment of \$1,375 that was not reported on the PAC's reports. Please indicate what services this payment was for and whether it was incurred by the PAC.
- On 10/07/2020, the committee made an expenditure for the rental of a building from Mr. Jason Nadeau. Please indicate who created the receipt provided to the Commission and whether the space is routinely rented to other organizations.

IV. Potential Violations

After reviewing the records provided on 01/31/2021 and the additional records provided on 03/23/2021, the Commission staff did not find any discrepancies that would rise to a potential violation of Title 21-A.

V. Exceptions

The Commission staff found one exception on the 11-Day Pre-General Report. The PAC reported paying Mr. Parent \$500 as a salary on 04/10/2020. The PAC listed the type of transaction as OTH (Other), but the correct expenditure type is PER (Personnel). The other information is correctly listed in the report.

VI. Conclusions and Recommendations

Based on the foregoing findings, the Commission staff does not recommend any further action regarding the Aroostook PAC.

Thank you for your attention in this matter.



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

December 8, 2020

Mr. Gary Voisine
Aroostook PAC
15 West Market Street
Fort Kent, ME 4743

Mr. David Parent
Aroostook PAC
PO Box 241
Eagle Lake, ME 4739

Re: 2020 Compliance Review of Leadership PACs

Dear Mr. Voisine & Mr. Parent:

On November 18, 2020, the members of the Ethics Commission directed the Commission staff to begin a compliance review of Leadership PACs that raised or spent more than \$5,000 in 2020. A Leadership PAC is, for purposes of these reviews, a PAC that had an officer that also served as a Legislator in 2020. Based on the Commission's records, the Aroostook PAC falls into the category for this compliance review.

Please be aware that all committees who meet the above criteria will be reviewed for compliance with PAC laws. By being selected there is no inference on the part of the Commission that any incorrect or improper reporting or activity has taken place. For each PAC reviewed, the Commission staff will prepare and submit to the Commission members a report with the results of the compliance review. You will have the opportunity to review the report and submit any comments that you feel are necessary prior to the Commission's consideration of the staff's report.

In order to facilitate this review, we would appreciate you forwarding copies of the following records:

- All 2020 bank statements for Aroostook PAC;
- Receipt and/or invoices for all expenditures over \$50 incurred during 2020;
- Documentation of any new loans or debts, or any payments thereof in 2020; and
- Records from ActBlue, Anedot, or similar fundraising service of contributions received in 2020.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

The records should be submitted as hard copies, but digital versions would be acceptable in the following formats: .pdf, excel, or .csv. Digital submissions should be sent via email to me (michael.dunn@maine.gov). Please provide the requested records no later than **January 31, 2021**.

Please do not hesitate to contact me if you have any questions regarding this matter.

Sincerely,

Michael J. Dunn

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar



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

March 9, 2021

Mr. Gary Voisine
Aroostook PAC
15 West Market Street
Fort Kent, ME 04743

Mr. David Parent
Aroostook PAC
PO Box 241
Eagle Lake, ME 04739

Re: Request for Additional Information – 2020 Compliance Review of Leadership PACs

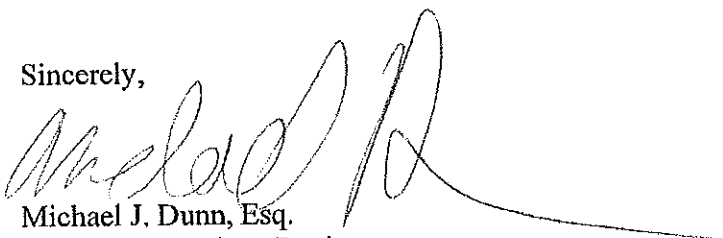
Dear Mr. Voisine & Mr. Parent:

Thank you for submitting the records that I requested in my December 8, 2020 letter. I have had an opportunity to review your submission and am writing with additional questions. Please submit your response at your earliest opportunity but no later than March 23, 2021. Please provide a letter answering the following:

- On the receipt dated 10/25/2020 from Channel X Radio Network there is a payment of \$1,375 that is not reported on the PAC's reports. Please indicate what services this payment was for and whether it was incurred by the PAC.
- On 10/07/2020, the committee made an expenditure for the rental of a building from Mr. Jason Nadeau. Please indicate who created the receipt provided to the Commission and whether the space is routinely rented to other organizations.

These requests are being made only to further assist in the Commission's review of the committee. There is no assertion of inaccurate reporting on the part of the Commission or staff. If you have any questions or concerns regarding these requests, I can be reached at (207) 287-4709 or Michael.Dunn@Maine.gov. Thank you for your attention in this matter.

Sincerely,



Michael J. Dunn, Esq.
Political Committee Registrar

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

Aroostook Pac
P.O. Box 235
Eagle Lake, ME 04739

To whom it may concern:

I am replying to your letter dated March 9, 2021 requesting additional information on two items.

Item #1: The payment for \$1375.00 was made by another entity and not Aroostook Pac. The PAC was only responsible for the \$1000.00 listed as the October 20, 2020 payment for their portion of radio advertisement. It was listed on the canceled check #207 that was also sent to the commission with the original information requested.

Item #2: The receipt from Mr. Jason Nadeau was filled out by myself after I received his information for billing. He had not sent the PAC a receipt and it was the only way to get the information from him in a timely manner. I am not sure if the space is rented to other organizations, but political committees have done so in past political elections.

I hope this answers the questions requested from Aroostook PAC.
Thank you.

David S Parent



Treasurer Aroostook PAC



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

2020 CAMPAIGN FINANCE REPORT
FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER	
AROOSTOOK PAC P.O. Box 235 Eagle Lake, ME 04739 PHONE:(207) 444-4511 EMAIL: DPARENT1999@YAHOO.COM		DAVID S PARENT P.O. BOX 241, 40 RED RIVER ROAD EAGLE LAKE, ME 04739 PHONE:(207) 444-4511 EMAIL: DPARENT1999@YAHOO.COM	
REPORT	DUE DATE	REPORTING PERIOD	
11-Day Pre-Primary Election Report	07/06/2020	04/01/2020 - 06/30/2020	

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$0.00	\$400.00
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)	\$0.00	\$400.00
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$0.00	\$0.00
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$500.00	\$500.00
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$500.00	\$500.00
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$4,507.19	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$0.00	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$500.00	
12. CASH BALANCE AT END OF PERIOD	\$4,007.19	
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, DAVID S. PARENT, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: DAVID S. PARENT
 REPORT FILED ON: 7/2/2020 10:57:57 AM
 LAST MODIFIED:
 COMMITTEE ID: 769

**SCHEDULE B-1
OPERATING EXPENDITURES**

EXPENDITURE TYPES				
APP	Apparel (t-shirts, hats, embroidery, etc.)	CON	Contribution to party committee, non-profit, other candidate, etc.	
EQP	Equipment of \$50 or more (computer, tablet, phone, furniture, etc.)	EVT	Campaign and fundraising events (venue or booth rental, entertainment, supplies, etc.)	
FOD	Food for campaign events or volunteers, catering	HRD	Hardware and small tools (hammer, nails, lumber, paint, etc.)	
LIT	Printed campaign materials (palmcards, signs, stickers, flyers, etc.)	MHS	Mail house and direct mail (design, printing, mailing, and postage all included)	
NEW	Newspaper and print media ads only	OFF	Office supplies, rent, utilities, internet service, phone minutes and data	
ONL	Social media and online advertising only	OTH	Other and fees (bank, contribution, and money order fees, etc.)	
PER	Personnel and campaign staff, consulting, and independent contractor costs	PHO	Phones (phone banking, robocalls and texts)	
POL	Polling and survey research	POS	Postage for U.S. Mail and mail box fees	
PRO	Professional services (graphic design, legal services, web design, etc.)	RAD	Radio ads, production costs	
TKT	Entrance cost to event (ban suppers, fairs, party events, etc.)	TRV	Travel (fuel, mileage, lodging, etc.)	
TVN	TV/cable ads, production, and media buyer costs only	WEB	Website and internet costs (website domain and registration, etc.)	
DATE OF EXPENDITURE	PAYEE	REMARK	TYPE	AMOUNT
4/10/2020	David S Parent P.O. BOX 241 EAGLE LAKE, ME, 04739	Salary	OTH	\$500.00
TOTAL OPERATING EXPENDITURES				\$500.00



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

2020 CAMPAIGN FINANCE REPORT

FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER	
AROOSTOOK PAC P.O. Box 235 Eagle Lake, ME 04739 PHONE:(207) 444-4511 EMAIL: DPARENT1999@YAHOO.COM		DAVID S PARENT P.O. BOX 241, 40 RED RIVER ROAD EAGLE LAKE, ME 04739 PHONE:(207) 444-4511 EMAIL: DPARENT1999@YAHOO.COM	
REPORT	DUE DATE	REPORTING PERIOD	
11-Day Pre-General Election Report	10/23/2020	10/01/2020 - 10/20/2020	

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$1,000.00	\$6,400.00
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)	\$1,000.00	\$6,400.00
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$0.00	\$0.00
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$2,076.00	\$2,686.00
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$2,076.00	\$2,686.00
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$8,897.19	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$1,000.00	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$2,076.00	
12. CASH BALANCE AT END OF PERIOD	\$7,821.19	
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, DAVID S. PARENT, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: DAVID S. PARENT
 REPORT FILED ON: 10/20/2020 6:33:27 PM
 LAST MODIFIED:
 COMMITTEE ID: 769

**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 | 9 = Candidate / Candidate Committee |
| 2 = Candidate/ Spouse/ Domestic Partner | 10 = General Treasury Transfer |
| 3 = Commercial Source | 11 = Transfer from Previous Campaign |
| 4 = Nonprofit Organization | 12 = Contributors giving \$50 or less |
| 5 = Political Action Committee | 13 = Contributors giving \$100 or less |
| 6 = Political Party Committee | 14 = Contributors giving \$200 or less |
| 7 = Ballot Question Committee | 15 = MCEA Payment |
| 8 = Other Candidate/ Candidate Committee | 16 = Financial Institution |

DATE RECEIVED	CONTRIBUTOR	EMPLOYER AND OCCUPATION	TYPE	AMOUNT
10/9/2020	CMP Employee PAC 83 EDISON DR AUGUSTA, ME, 04336	Contribution	5	\$1,000.00
TOTAL CASH CONTRIBUTIONS				\$1,000.00

**SCHEDULE B-1
OPERATING EXPENDITURES**

EXPENDITURE TYPES				
APP	Apparel (t-shirts, hats, embroidery, etc.)	CON	Contribution to party committee, non-profit, other candidate, etc.	
EQP	Equipment of \$50 or more (computer, tablet, phone, furniture, etc.)	EVT	Campaign and fundraising events (venue or booth rental, entertainment, supplies, etc.)	
FOD	Food for campaign events or volunteers, catering	HRD	Hardware and small tools (hammer, nails, lumber, paint, etc.)	
LIT	Printed campaign materials (palmcards, signs, stickers, flyers, etc.)	MHS	Mail house and direct mail (design, printing, mailing, and postage all included)	
NEW	Newspaper and print media ads only	OFF	Office supplies, rent, utilities, internet service, phone minutes and data	
ONL	Social media and online advertising only	OTH	Other and fees (bank, contribution, and money order fees, etc.)	
PER	Personnel and campaign staff, consulting, and independent contractor costs	PHO	Phones (phone banking, robocalls and texts)	
POL	Polling and survey research	POS	Postage for U.S. Mail and mail box fees	
PRO	Professional services (graphic design, legal services, web design, etc.)	RAD	Radio ads, production costs	
TKT	Entrance cost to event (bean suppers, fairs, party events, etc.)	TRV	Travel (fuel, mileage, lodging, etc.)	
TVN	TV/cable ads, production, and media buyer costs only	WEB	Website and internet costs (website domain and registration, etc.)	
DATE OF EXPENDITURE	PAYEE	REMARK	TYPE	AMOUNT
10/2/2020	EL Postmaster .Rt 11 .Eagle Lake, ME, 04739	Mailbox fee	POS	\$76.00
10/7/2020	Jason Nadeau MAIN STREET FORT KENT, ME, 04743	Rent	OFF	\$1,000.00
10/10/2020	Channel X Radio 152 East Green Ridge Road Caribou, ME, 04736	Radio Ads	RAD	\$1,000.00
TOTAL OPERATING EXPENDITURES				\$2,076.00

Jason Nadeau
342 W. Main street
Fort Kent, ME 04743

Re: Rental for building for campaign headquarters

Aroostook PAC

P.O. Box 235

Eagle Lake, ME 04739

Rental for building for 2020 campaign for \$1000.00.

pd/c/c# 206



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

To: Commission
From: Michael Dunn, Esq., Political Committee Registrar
Date: May 19, 2021
Re: Leadership PAC Investigation – Fecteau for Leadership PAC

On November 18, 2020, the Commission authorized an enhanced compliance review of fifteen (15) political action committees that, in 2020, were led by Legislators and raised or spent over \$5,000 in the year. The Commission staff sent the Fecteau for Leadership PAC an initial request for records on 12/08/2020. ETH. 6-7. After review, the Commission staff sent a supplemental request for records on 03/09/2021, which were received on 03/23/2021. ETH. 8-10. On 04/16/2021, the Commission staff mailed its preliminary findings of no potential violations and four exceptions to the Fecteau for Leadership PAC's officers requesting comment. ETH. 1-5. The Commission staff has not received a response to its proposed findings. The Commission staff is recommending no further action regarding the Fecteau for Leadership PAC.

LEGAL REQUIREMENTS

Receipt Retention. The treasurer of a PAC shall retain a vendor invoice or receipt stating the particular goods or services purchased for every expenditure in excess of \$50 to initiate or influence a campaign. 21-A M.R.S. § 1057(2).

Reporting Contributions. A PAC that receives more than \$50 in contributions from a person must itemize their contributions and include the person's name, occupation, place of business, and mailing address. 21-A M.R.S. § 1060(6).

Reporting Expenditures. A PAC must report all expenditures to initiate or influence a campaign and include the payee, purpose, and whether it was to support or oppose a candidate or referendum. 21-A M.R.S. § 1060(4). The PAC must also report operational expenditures that are not made for the purpose of influencing a campaign. 21-A M.R.S. § 1060(4).

Substantial Misreporting. A person that files a campaign finance report that substantially misreports contributions, expenditures, or other campaign activity may be assessed a penalty not to exceed \$5,000. 21-A M.R.S. § 1004-A(4).

ANALYSIS AND STAFF RECOMMENDATION

During the Commission staff’s initial review of the Fecteau for Leadership PAC’s records, the Commission staff flagged ten issues for further review:

1. Missing Receipts:
 - On 02/19/2020 to USPS for \$55
 - On 3/8/2020 to Target for \$63.28
 - On 7/23/2020 to USPS for \$82.50
 - On 10/22/2020 to Nocturnem Draft Haus for \$55.
2. Reported Payments that did not appear to correspond to bank records:
 - Convergence Targeted Communications on 10/10/2020
 - Convergence Targeted Communications on 10/17/2020
 - Convergence Targeted Communications on 10/22/2020
3. Unknown deposit of \$10,000 on 04/06/2020.
4. Unknown payments to a US Senate FCU Account.
5. Potential under-reporting of contributions deposited on 4/6/2020 by \$34,851.60.

Missing Receipts. The treasurer of a PAC shall retain a vendor invoice or receipt stating the particular goods or services purchased for every expenditure in excess of \$50 to initiate or influence a campaign. 21-A M.R.S. § 1057(2). Here, the PAC has failed to retain three¹ receipts:

Date	Vendor	Amount
02/19/2020	United States Postal Service	\$55.00
03/08/2020	Target	\$63.28
07/23/2020	United States Postal Service	\$82.50

¹ The PAC was able to obtain a 10/22/2020 receipt from Nocturnem Draft Haus, and the Commission staff considers that issue resolved.

The Commission staff considers each of these three missing receipts as individual exceptions. ETH. 3-5. In 2020, the PAC reported sixty transactions that required the retention of a receipt and is only missing three receipts. The value of the receipts is minimal in comparison to the PAC's financial activity (exceeding \$50,000) for the year. ETH. 25. For these reasons, the Commission staff recommends finding three exceptions, one for each missing receipt. The Commission staff recommends that no further action be taken against the PAC for these three exceptions.

Convergence Targeted Communications. A PAC must report all expenditures to initiate or influence a campaign and include the payee, purpose, whether it was to support or oppose a candidate or referendum. 21-A M.R.S. § 1060(4). The PAC must also report operational expenditures that are not made for the purpose of influencing a campaign. 21-A M.R.S. § 1060(4).

When the Commission staff reviewed the PAC's bank statements, the Commission staff could not locate three expenditures which the PAC reported making to Convergence Targeted Communications on 10/10/2020, 10/17/2020, and 10/22/2020. The Commission staff also noted in the bank statements payments by the PAC to an account at the U.S. Senate FCU during October 2020 that the PAC had not reported. The PAC clarified that the payments to the Senate FCU account *were* the payments to Convergence Targeted Communications. ETH. 9-10. This explanation is confirmed by the wiring instructions contained in the invoices from Convergence Targeted Communications that are enclosed for your reference. ETH. 19-23. The Commission staff considers this issue resolved and no further action is required.

Differing Contributions. A person that files a campaign finance report that substantially misreports contributions, expenditures, or other campaign activity may be assessed a penalty not to exceed \$5,000. 21-A M.R.S. § 1004-A(4). A PAC who receives more than \$50 in contributions from a person must itemize their contributions and include the person's name, occupation, place of business, and mailing address. 21-A M.R.S. § 1060(6).

Here, the Commission staff had an issue identifying contributions deposited on 04/06/2020 and noted that the PAC had deposited approximately \$35,000 more in

contributions than was reported. ETH. 8-10. The PAC indicated that this was due to contributions being reported in 2019 but deposited in 2020. ETH. 9-10. The PAC's year-end account balance matches² the PAC's year-end report balance, which suggests that the PAC's explanation is correct. ETH. 24-25. For these reasons, the Commission staff believes that this issue is resolved.

CONCLUSION

Based on the foregoing findings, the Commission staff recommends that no further action be taken regarding the Fecteau for Leadership PAC. Thank you for your attention in this matter.

² There is a minimal discrepancy of \$2.88. (As shown in the enclosed documents the PAC's final campaign finance report for 2020 calculates that the PAC has a cash balance on 12/31/2020 of \$20,923.36, but the bank statement for December 2020 shows an actual cash balance of \$20,920.48.) Commission staff believes that this is likely due to a missed bank fee. This would constitute an exception.



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

April 16, 2021

Rep. Ryan Fecteau
Fecteau for Leadership
11 Memorial Drive
Biddeford, ME 4005

Mr. Sean Smith
Fecteau for Leadership
PO Box 53
Bangor, ME 4402

Re: 2020 Compliance Review of Leadership PACs

Dear Rep. Fecteau & Mr. Smith:

Thank you for providing the requested materials for the Fecteau for Leadership. I have concluded my review and made my preliminary findings, which are summarized in the enclosed memorandum and materials. Please review the enclosed materials carefully as they will be presented to the Commission.

The purpose of providing these materials to you is to invite you to comment on my preliminary findings. You may provide a written letter along with any supporting documentation that you believe is appropriate. If you believe that certain factual findings are inaccurate, you are welcome to submit information that disputes those findings. You may also wish to correct any errors that you agree with prior to the Commission meeting (if you do so, please let me know in a letter). Please submit any written comments no later than **May 7, 2021**.

After receiving your comments, the Commission staff will submit the enclosed materials, your comments, and, if necessary, a cover memorandum detailing any factual corrections/updates to the Commission. The Commission will consider the Commission staff's findings at the **May 26, 2021** meeting. If the staff's findings indicate that a potential violation was found, then the Committee is encouraged to participate in the meeting. If the findings show only exceptions, then the committee officers are invited to attend at their option. If you wish to attend the **May 26, 2021** meeting but it conflicts with your schedule, please let me know and the review of your PAC may be moved to a later date.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

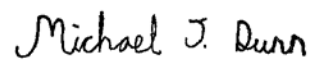
Fecteau for Leadership

Page 2

April 9, 2021

I am available to discuss this matter at any time if you have any questions regarding the enclosed materials or the overall process. Thank you for your attention in this matter.

Sincerely,

A handwritten signature in black ink that reads "Michael J. Dunn". The signature is written in a cursive, slightly slanted style.

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar

Enclosures



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

To: Commissioners
From: Michael J. Dunn, Esq., Political Committee Registrar
Date: April 6, 2021
Re: Leadership PAC Review – Fecteau for Leadership

I. Overview of Findings

The Commission staff requested the Committee's records on 12/08/2020. Records were provided to the Commission staff on or about 01/29/2021. A request for additional records was mailed on 03/09/2021. The additional records were received on or about 03/23/2021. Upon completion of its review, the Commission staff has found no potential violations but found three exceptions. The Commission staff recommends no further action.

II. History of Committee

Fecteau for Leadership registered as a political action committee on 08/01/2017. Speaker Ryan Fecteau is the principal officer and Mr. Sean Smith is the treasurer. In 2020, the Committee raised \$50,732.00 and spent \$53,472.18.

III. Procedures

In the 12/08/2020 letter, the Commission staff requested the Committee produce the following 2020 records: (1) bank statements; (2) receipts/invoices for all expenditures over \$50; (3) documentation of any new loans or debts; and (4) records from ActBlue/Anedot or similar fundraising services.

After receiving those records, the Commission staff reviewed the provided records against the reported transactions for incorrect reporting. Specifically, the Commission staff reviewed the records for: omitted or duplicate transactions, failure to itemize contributions, prohibited payments, misuse of funds for personal enrichment in violation

of 21-A M.R.S. § 1054-B, failure to keep records, improper contributions and other errors.

During its review of Fecteau for Leadership, the Commission staff found that additional records would be required. On 03/09/2021, the Commission staff sent an email requesting the following:

- Please provide the following missing receipts (if they are in your possession):
 - On 02/19/2020 to USPS for \$55
 - On 3/8/2020 to Target for \$63.28
 - On 7/23/2020 to USPS for \$82.50
 - On 10/22/2020 to Nocturnem Draft Haus for \$55.
- Please provide a letter indicating the dates of draft for the following transactions:
 - Payments to Convergence Targeted Communications on 10/10, 10/17, and 10/22.
- Please provide the check stubs for the deposit of \$10,000 on 04/06/2020.
- Please provide a letter detailing the cashflow related to your contribution to the US Senate FCU. Please indicate the source of these funds and the purpose of the transfer to the PAC and subsequent expenditure.
- The PAC reported \$34,851.6 less than what was deposited into the account. I suspect that this is partially related contributions reported in 2019 but deposited in 2020; I also suspect that this discrepancy relates, at least in part, to the transfer to the US Senate FCU. Please detail the reasons for this discrepancy and provide any supporting documents relevant to your explanation.

The Commission staff received the PAC's response on 03/23/2021.

IV. Potential Violations

After reviewing the records provided on 01/29/2021, and the additional records received on 03/23/2021, the Commission staff did not find any discrepancies that would rise to a potential violation of Title 21-A.

V. Exceptions

After reviewing the records provided on 01/21/2021 and the additional records provided on 03/23/2021, the Commission staff found the following discrepancies that constitute exceptions:

- On 02/19/2020, the PAC made an expenditure of \$55 to USPS for the purchase of stamps. The Committee did not retain a receipt.
- On 03/08/2020, the PAC made an expenditure of \$63.28 to Target for the purchase of printer ink. The Committee did not retain a receipt.
- Lastly, on 07/23/2020, the PAC made an expenditure of \$82.50 to USPS for the purchase of stamps. The Committee did not retain a receipt.

These expenditures were properly reported in the PAC's campaign finance reports.

VI. Conclusions and Recommendations

Based on the foregoing findings, the Commission staff does not recommend any further action regarding the Fecteau for Leadership Committee.

Thank you for your attention in this matter.



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

December 8, 2020

Rep. Ryan Fecteau
Fecteau for Leadership
11 Memorial Drive
Biddeford, ME 4005

Mr. Sean Smith
Fecteau for Leadership
PO Box 53
Bangor, ME 4402

Re: 2020 Compliance Review of Leadership PACs

Dear Rep. Fecteau & Mr. Smith:

On November 18, 2020, the members of the Ethics Commission directed the Commission staff to begin a compliance review of Leadership PACs that raised or spent more than \$5,000 in 2020. A Leadership PAC is, for purposes of these reviews, a PAC that had an officer that also served as a Legislator in 2020. Based on the Commission's records, the Fecteau for Leadership falls into the category for this compliance review.

Please be aware that all committees who meet the above criteria will be reviewed for compliance with PAC laws. By being selected there is no inference on the part of the Commission that any incorrect or improper reporting or activity has taken place. For each PAC reviewed, the Commission staff will prepare and submit to the Commission members a report with the results of the compliance review. You will have the opportunity to review the report and submit any comments that you feel are necessary prior to the Commission's consideration of the staff's report.

In order to facilitate this review, we would appreciate you forwarding copies of the following records:

- All 2020 bank statements for Fecteau for Leadership;
- Receipt and/or invoices for all expenditures over \$50 incurred during 2020;
- Documentation of any new loans or debts, or any payments thereof in 2020; and
- Records from ActBlue, Anedot, or similar fundraising service of contributions received in 2020.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

The records should be submitted as hard copies, but digital versions would be acceptable in the following formats: .pdf, excel, or .csv. Digital submissions should be sent via email to me (michael.dunn@maine.gov). Please provide the requested records no later than **January 31, 2021**.

Please do not hesitate to contact me if you have any questions regarding this matter.

Sincerely,

Michael J. Dunn

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar



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

March 9, 2021

Hon. Ryan Fecteau
Fecteau for Leadership
11 Memorial Dr.
Biddeford, ME 04005

Sean Smith
Fecteau for Leadership
PO Box 533
Bangor, ME 04402

Re: Request for Additional Information – 2020 Compliance Review of Leadership PACs

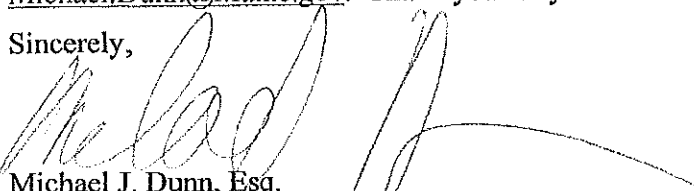
Dear Speaker Fecteau and Mr. Smith:

Thank you for submitting the records that I requested in my December 8, 2020 letter. I have had an opportunity to review your submission and am writing with additional questions. Please submit your response at your earliest opportunity but no later than March 23, 2021. Please provide the following requested documents and/or a letter answering the following:

- Please provide the following missing receipts (if they are in your possession):
 - On 02/19/2020 to USPS for \$55
 - On 3/8/2020 to Target for \$63.28
 - On 7/23/2020 to USPS for \$82.50
 - On 10/22/2020 to Nocturnem Draft Haus for \$55.
- Please provide a letter indicating the dates of draft for the following transactions:
 - Payments to Convergence Targeted Communications on 10/10, 10/17, and 10/22.
- Please provide the check stubs for the deposit of \$10,000 on 04/06/2020.
- Please provide a letter detailing the cashflow related to your contribution to the US Senate FCU. Please indicate the source of these funds and the purpose of the transfer to the PAC and subsequent expenditure.
- The PAC reported \$34,851.6 less than what was deposited into the account. I suspect that this is partially related contributions reported in 2019 but deposited in 2020; I also suspect that this discrepancy relates, at least in part, to the transfer to the US Senate FCU. Please detail the reasons for this discrepancy and provide any supporting documents relevant to your explanation.

These requests are being made only to further assist in the Commission's review of the committee. There is no assertion of inaccurate reporting on the part of the Commission or staff. If you have any questions or concerns regarding these requests, I can be reached at (207) 287-4709 or Michael.Dunn@Maine.gov. Thank you for your attention in this matter.

Sincerely,


Michael J. Dunn, Esq.
Political Committee Registrar

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

3/23/21

Michael Dunn
Political Committee and Lobbyist Registrar
135 State House Station
Augusta, ME 04333

Dear Mr. Dunn,

I am responding to your March 9 letter requesting additional information re: the Fecteau Leadership PAC audit.

In terms of the missing receipts, we tried very hard to obtain duplicates of the four receipts, but we could only obtain one. Explanations of the other three are below.

- 2/19/20 to USPS for \$55 – We contacted the USPS to obtain a duplicate of this receipt, but unfortunately they reported that they cannot provide receipts older than 60 days. This purchase was for stamps.
- 3/8/20 to Target for \$63.28 – We contacted Target but they reported they could not provide duplicate receipts. This purchase was for printer ink.
- 7/23/20 to USPS for \$82.50 – We contacted the USPS to obtain a duplicate of this receipt, but unfortunately they reported that they cannot provide receipts older than 60 days. This purchase was for stamps.
- 10/22/20 to Nocturnem Draft Haus for \$55 – The owner of Nocturnem Draft Haus provided us with an internal image of the transaction (please see attached).

In addressing your questions re: the transactions to Convergence Targeted Communications and the cash flow to the U.S. Senate Federal Credit Union, these transactions are related. The payments to Convergence Targeted Communications on 10/10, 10/17, and 10/22 were independent expenditures (as detailed on three separate filed IE reports). We paid the vendor (Convergence Targeted Communications) through a wire transfer to the vendor's bank located at the U.S. Senate Federal Credit Union. The wire transfer occurred on 10/21/20.

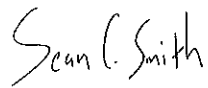
In terms of the \$10,000 deposit on 4/6/20, this was actually not a deposit. This was a transaction addressing a missing certified check made out to the Maine House Democratic Campaign Committee. The initial certified check was lost in the mail, and in order for the bank to reissue the funds, the bank canceled the initial certified check, redeposited the money into the account (which accounts for the deposit which you are referencing) and reissued a new certified check for the same amount.

In terms of the PAC reporting \$34,851.60 less than what was deposited in 2020, we believe this is due to a combination of contributions that were reported in 2019 and deposited in 2020, and a number of transactions on the bank statements that are listed as "deposits" but actually are not. For example, the \$1,000.00 transaction on 1/10/20 was actually a contribution reported in 2019.

Also, the 4/6/20 transaction of \$10,000, the 10/19/20 transaction of \$4,150.97, and the 10/21/20 transaction of \$4,228.44 were not deposits but transactions addressing missing checks, with the bank redepositing money that had already been deposited and reported. Further, the cash-on-hand reported on the 2021 January Quarterly Report directly reflects (to the penny) the cash-on-hand in the bank account at the end of 2020. If further analysis is needed, please let us know and we can attempt to request more detailed records from the bank, but we believe this explains any discrepancies.

If we can be of any further assistance or provide any further explanations, please do not hesitate to contact us.

Sincerely,

A handwritten signature in black ink that reads "Sean C. Smith". The signature is written in a cursive style with a large initial 'S'.

Sean Smith
Treasurer



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

2020 CAMPAIGN FINANCE REPORT
FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER	
Fecteau for Leadership 11 Memorial Drive Biddeford, ME 04005 PHONE: (207) 289-4478 EMAIL: 57fecteau@cua.edu		Sean Smith P.O. Box 53 Bangor, ME 04402 PHONE: EMAIL: seanchristophersmith@gmail.com	
REPORT	DUE DATE	REPORTING PERIOD	
April Quarterly	04/10/2020	01/01/2020 - 03/31/2020	

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$3,021.00	\$3,021.00
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)	\$3,021.00	\$3,021.00
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$0.00	\$0.00
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$4,958.52	\$4,958.52
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$4,958.52	\$4,958.52
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$23,663.54	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$3,021.00	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$4,958.52	
12. CASH BALANCE AT END OF PERIOD	\$21,726.02	
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, Sean Smith, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: Michael Dunn on behalf of Sean Smith
 REPORT FILED ON: 4/9/2020 1:42:06 PM
 LAST MODIFIED:
 COMMITTEE ID: 5643

**SCHEDULE B-1
OPERATING EXPENDITURES**

EXPENDITURE TYPES				
APP	Apparel (t-shirts, hats, embroidery, etc.)	CON	Contribution to party committee, non-profit, other candidate, etc.	
EQP	Equipment of \$50 or more (computer, tablet, phone, furniture, etc.)	EVT	Campaign and fundraising events (venue or booth rental, entertainment, supplies, etc.)	
FOD	Food for campaign events or volunteers, catering	HRD	Hardware and small tools (hammer, nails, lumber, paint, etc.)	
LIT	Printed campaign materials (palmcards, signs, stickers, flyers, etc.)	MHS	Mail house and direct mail (design, printing, mailing, and postage all included)	
NEW	Newspaper and print media ads only	OFF	Office supplies, rent, utilities, internet service, phone minutes and data	
ONL	Social media and online advertising only	OTH	Other and fees (bank, contribution, and money order fees, etc.)	
PER	Personnel and campaign staff, consulting, and independent contractor costs	PHO	Phones (phone banking, robocalls and texts)	
POL	Polling and survey research	POS	Postage for U.S. Mail and mail box fees	
PRO	Professional services (graphic design, legal services, web design, etc.)	RAD	Radio ads, production costs	
TKT	Entrance cost to event (bean suppers, fairs, party events, etc.)	TRV	Travel (fuel, mileage, lodging, etc.)	
TVN	TV/cable ads, production, and media buyer costs only	WEB	Website and internet costs (website domain and registration, etc.)	
DATE OF EXPENDITURE	PAYEE	REMARK	TYPE	AMOUNT
1/10/2020	Elements 265 MAIN ST BIDDEFORD, ME, 04005	Lunch meeting	FOD	\$10.03
1/12/2020	ACTBLUE MAINE 366 Summer Street SOMERVILLE, MA, 02144	Fee for processing online donations	OTH	\$19.79
1/14/2020	GODADDY 14455 N HAYDEN RD SCOTTSDALE, AZ, 85260	Website hosting fee	WEB	\$20.00
1/17/2020	Bard Coffee 185 Middle St Portland, ME, 04101	Coffee meeting	FOD	\$8.25
1/17/2020	Genevieve L. McDonald 129 N Main St Stonington, ME, 04681	Contribution to the candidate	CON	\$400.00
1/17/2020	Kyle R. Bailey 114 Johnson Road Gorham, ME, 04038	Contribution to the candidate	CON	\$200.00
1/18/2020	Shell Oil 665 ELM ST BIDDEFORD, ME, 04005	Travel to meeting in Portland	TRV	\$16.25
1/18/2020	Maine Families for Vaccines PAC PO Box 11284 Portland, ME, 04104	Contribution to the PAC	CON	\$500.00
1/19/2020	ACTBLUE MAINE 366 Summer Street SOMERVILLE, MA, 02144	Fee for processing online contributions	OTH	\$23.34
1/24/2020	7-ELEVEN 66 Alfred St Biddeford, ME, 04005	Travel to lunch meeting in Portland	TRV	\$16.00

1/26/2020	ACTBLUE MAINE 366 Summer Street SOMERVILLE, MA, 02144	Fee for processing online contributions	OTH	\$20.74
2/1/2020	Penobscot County Democratic Committee P.O. Box 2685 Bangor, ME, 04402-2685	Sponsorship of the committee's annual fundraiser	CON	\$1,000.00
2/5/2020	Frannie Peabody Center 30 Danforth St #311 Portland, ME, 04101	Contribution to the organization's annual fundraiser	FND	\$100.00
2/10/2020	Canva 110 Kippax St Surry Hills NSW 2010, Australia See Address Line 2, ME, 00000	Thank you postcard printing	LIT	\$60.00
2/11/2020	JetBlue 27-01 QUEENS PLAZA N LONG ISLAND CITY, NY, 11101	Flight to DLCC Conference	TRV	\$123.41
2/11/2020	JetBlue 27-01 QUEENS PLAZA N LONG ISLAND CITY, NY, 11101	Flight to DLCC Conference - Flight cancelled due to Covid-19, received credit for future travel	TRV	\$123.41
2/11/2020	Delta Airlines P.O. BOX 20706 ATLANTA, GA, 30320	Travel from DLCC Conference	TRV	\$87.40
2/11/2020	Delta Airlines P.O. BOX 20706 ATLANTA, GA, 30320	Travel from DLCC Conference - Flight cancelled due to Covid-19, received credit for future travel	TRV	\$87.40
2/11/2020	EQUALITYMAINE FOUNDATION 511 CONGRESS ST PORTLAND, ME, 04101	Sponsorship of the organization's annual gala	FND	\$600.00
2/14/2020	GODADDY 14455 N HAYDEN RD SCOTTSDALE, AZ, 85260	Website hosting fee	WEB	\$20.00
2/17/2020	W. Edward Crockett 128 Bramblewood Drive Portland, ME, 04103	Donation to candidate's campaign	CON	\$250.00
2/19/2020	United States Postal Service 100 ALFRED ST BIDDEFORD, ME, 04005	Stamps for thank you postcards to contributors	POS	\$55.00
2/22/2020	Tim Horton's 394 Wilson St Brewer, ME, 04412	Breakfast en route to campaign activity	FOD	\$7.16
2/22/2020	Circle K 513 ALFRED ST BIDDEFORD, ME, 04005	Round trip mileage to Brewer for canvass	TRV	\$29.31
2/23/2020	ACTBLUE MAINE 366 Summer Street SOMERVILLE, MA, 02144	Fee for processing online contribution	OTH	\$0.12
2/25/2020	Southwest Airlines 2702 Love Field Dr Dallas, TX, 75235	Travel to NCSL conference on redistricting	TRV	\$155.98

Missing Receipt

2/25/2020	Southwest Airlines 2702 Love Field Dr Dallas, TX, 75235	Travel to NCSL conference on redistricting - Flight cancelled due to Covid-19, received credit for future travel	TRV	\$155.98
2/25/2020	JetBlue 27-01 QUEENS PLAZA N LONG ISLAND CITY, NY, 11101	Travel to NCSL conference on redistricting	TRV	\$640.20
2/25/2020	JetBlue 27-01 QUEENS PLAZA N LONG ISLAND CITY, NY, 11101	Travel to NCSL conference on redistricting - Flight cancelled due to Covid-19, received credit for future travel	TRV	\$640.20
2/25/2020	JetBlue 27-01 QUEENS PLAZA N LONG ISLAND CITY, NY, 11101	Travel fee for flight to NCSL conference on redistricting	TRV	\$17.00
2/28/2020	Homewood Suites by Hilton Augusta 377 WESTERN AVE AUGUSTA, ME, 04330	Overnight stay in Augusta for morning event	TRV	\$138.05
2/28/2020	YORK COUNTY DEMOCRATIC COMMITTEE 114 BROADWAY YORK, ME, 03909	Sponsorship of annual fundraiser	CON	\$120.00
2/29/2020	Residence Inn by Marriott Bangor 22 BASS PARK BLVD BANGOR, ME, 04401	Overnight stay in Bangor for event	TRV	\$140.61
2/29/2020	Circle K 53 Main St Orono, ME, 04473	Travel to Orono for event	TRV	\$20.42
3/1/2020	ACTBLUE MAINE 366 Summer Street SOMERVILLE, MA, 02144	Fee for processing online contribution	OTH	\$3.95
3/4/2020	Cumberland Farms 535 Main St Saco, ME, 04072	Return travel from Orono to Biddeford	TRV	\$22.00
3/8/2020	TARGET 430 MARINER WAY BIDDEFORD, ME, 04005	Ink for printer	OFF	\$63.28
3/8/2020	Circle K 513 ALFRED ST BIDDEFORD, ME, 04005	Travel to events in Kittery, Sanford and Biddeford	TRV	\$21.19
3/11/2020	Quiero Cafe 8 Pepperell Square Saco, ME, 04072	Lunch meeting	FOD	\$25.92
3/11/2020	Pine Tree Legal Assistance Inc. 88 Federal St Portland, ME, 04101	Contribution for annual fundraiser	OTH	\$20.00
3/14/2020	GODADDY 14455 N HAYDEN RD SCOTTSDALE, AZ, 85260	Website hosting fee	WEB	\$20.00
3/22/2020	ACTBLUE MAINE 366 Summer Street SOMERVILLE, MA, 02144	Fee for processing online donation	OTH	\$0.12

Missing Receipt

3/23/2020	JetBlue 27-01 QUEENS PLAZA N LONG ISLAND CITY, NY, 11101	Returned Expenditure Conference / flights cancelled due to COVID-19	TRV	(\$17.00)
3/24/2020	Southwest Airlines 2702 Love Field Dr Dallas, TX, 75235	Returned Expenditure Conference cancelled due to COVID-19. Airline provided a \$155.98 credit due to non-refundable flight.	TRV	(\$155.98) DELETED 04/09/2020
3/24/2020	JetBlue 27-01 QUEENS PLAZA N LONG ISLAND CITY, NY, 11101	Returned Expenditure Conference cancelled due to COVID-19 (Airline issued a 640.20 credit due to non-refundable flight)	TRV	(\$640.20) DELETED 04/09/2020
3/26/2020	JetBlue 27-01 QUEENS PLAZA N LONG ISLAND CITY, NY, 11101	Returned Expenditure DLCC conference rescheduled. Airline offered a \$123.41 credit due to non-refundable flight.	TRV	(\$123.41) DELETED 04/09/2020
3/26/2020	Delta Airlines P.O. BOX 20706 ATLANTA, GA, 30320	Returned Expenditure DLCC Conference reschedule due to COVID-19. Airline offered \$87.40 credit due to non-refundable flight.	TRV	(\$87.40) DELETED 04/09/2020
TOTAL OPERATING EXPENDITURES				\$4,958.52



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

2020 CAMPAIGN FINANCE REPORT
FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER
Fecteau for Leadership 11 Memorial Drive Biddeford, ME 04005 PHONE: (207) 289-4478 EMAIL: 57fecteau@cua.edu		Sean Smith P.O. Box 53 Bangor, ME 04402 PHONE: EMAIL: seanchristophersmith@gmail.com
REPORT	DUE DATE	REPORTING PERIOD
42-Day Post-Primary Election Report	08/25/2020	07/01/2020 - 08/18/2020

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$5,708.00	\$8,738.00
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)	\$5,708.00	\$8,738.00
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$1,200.00	\$2,150.00
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$526.62	\$20,604.00
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$1,726.62	\$22,754.00
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$5,666.16	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$5,708.00	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$1,726.62	
12. CASH BALANCE AT END OF PERIOD	\$9,647.54	
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, Sean Smith, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: Michael Dunn on behalf of Sean Smith
 REPORT FILED ON: 8/25/2020 7:24:45 PM
 LAST MODIFIED: 9/10/2020 1:06:28 PM
 COMMITTEE ID: 5643

**SCHEDULE B-1
OPERATING EXPENDITURES**

EXPENDITURE TYPES				
APP	Apparel (t-shirts, hats, embroidery, etc.)	CON	Contribution to party committee, non-profit, other candidate, etc.	
EQP	Equipment of \$50 or more (computer, tablet, phone, furniture, etc.)	EVT	Campaign and fundraising events (venue or booth rental, entertainment, supplies, etc.)	
FOD	Food for campaign events or volunteers, catering	HRD	Hardware and small tools (hammer, nails, lumber, paint, etc.)	
LIT	Printed campaign materials (palmcards, signs, stickers, flyers, etc.)	MHS	Mail house and direct mail (design, printing, mailing, and postage all included)	
NEW	Newspaper and print media ads only	OFF	Office supplies, rent, utilities, internet service, phone minutes and data	
ONL	Social media and online advertising only	OTH	Other and fees (bank, contribution, and money order fees, etc.)	
PER	Personnel and campaign staff, consulting, and independent contractor costs	PHO	Phones (phone banking, robocalls and texts)	
POL	Polling and survey research	POS	Postage for U.S. Mail and mail box fees	
PRO	Professional services (graphic design, legal services, web design, etc.)	RAD	Radio ads, production costs	
TKT	Entrance cost to event (bean suppers, fairs, party events, etc.)	TRV	Travel (fuel, mileage, lodging, etc.)	
TVN	TV/cable ads, production, and media buyer costs only	WEB	Website and internet costs (website domain and registration, etc.)	

DATE OF EXPENDITURE	PAYEE	REMARK	TYPE	AMOUNT
7/13/2020	Miss Portland Diner 140 MARGINAL WAY PORTLAND, ME, 04101	Socially distant lunch meeting	FOD	\$40.00
7/5/2020	ACTBLUE MAINE 366 Summer Street SOMERVILLE, MA, 02144	Fee for processing online contributions	OTH	\$7.90
7/14/2020	GODADDY 14455 N HAYDEN RD SCOTTSDALE, AZ, 85260	Fee for hosting website	WEB	\$20.00
7/19/2020	ACTBLUE MAINE 366 Summer Street SOMERVILLE, MA, 02144	Fee for processing online donations	OTH	\$0.12
7/23/2020	Staples 201 MARINER WAY BIDDEFORD, ME, 04005	Printer ink and envelope purchase	OFF	\$105.93
7/23/2020	United States Postal Service 100 ALFRED ST BIDDEFORD, ME, 04005	Postage for letters	POS	\$82.50
7/24/2020	Staples 201 MARINER WAY BIDDEFORD, ME, 04005	Printer ink purchase	OFF	\$35.85
8/2/2020	ACTBLUE MAINE 366 Summer Street SOMERVILLE, MA, 02144	Fee for processing online donations	OTH	\$108.78
8/9/2020	ACTBLUE MAINE 366 Summer Street SOMERVILLE, MA, 02144	Fee for processing online contributions	OTH	\$12.93
8/13/2020	PEOPLESCHOICE CREDIT UNION 369 ELM STREET BIDDEFORD, ME, 04005	Fee for cutting a bank check	OTH	\$5.00

Missing Receipts

8/13/2020	United States Postal Service 100 ALFRED ST BIDDEFORD, ME, 04005	Stamps for thank you mailing	POS	\$55.00
8/14/2020	GODADDY 14455 N HAYDEN RD SCOTTSDALE, AZ, 85260	Fee for hosting website	WEB	\$20.00
8/16/2020	ACTBLUE MAINE 366 Summer Street SOMERVILLE, MA, 02144	Fee for processing online donations	OTH	\$32.61
TOTAL OPERATING EXPENDITURES				\$526.62



Invoice Date:	9/24
Invoice #:	2020-07-18
Client Code:	[REDACTED]

Billed To:	Pay To:
Facteau Leadership PAC	Convergence Targeted Communications Attn: Chris Cooper 1221 Connecticut Ave NW, Suite 300 Washington, DC 20036

Category	Description	Amount
Direct Mail Income	MHI2001-Production PCS-6, 123 @ 0.44 ea.	\$2,694.12
Direct Mail Postage	MHI2001-Postage PCS-6, 123 @ 0.23 ea.	\$1,412.50
Client Shipping	MHI2001-Shipping	\$44.35
TOTAL:		\$4,150.97
DATE DUE:		<i>Upon Receipt</i>

Wiring instructions:

Bank: United States Senate Federal Credit Union
 Address: 2750 Eisenhower Avenue
 City: Alexandria, VA 22314
 Routing Number: [REDACTED]
 Account Number: [REDACTED]
 Account Name: Convergence Targeted Communications

Make checks payable to:
 "Convergence Targeted Communications"

Invoice is due upon receipt



CONVERGENCE
TARGETED COMMUNICATIONS

Invoice Date:	10/12/2020
Invoice #:	2020-10-05
Client Code:	██████████

Billed To:	Pay To:
Facteau Leadership PAC	Convergence Targeted Communications Attn: Chris Cooper 1221 Connecticut Ave NW, Suite 300 Washington, DC 20036

Category	Description	Amount
Direct Mail Income	MHI2003-F-Production <i>PCS-10,108 @ 0.44 ea.</i>	\$4,447.52
Direct Mail Postage	MHI2003-F-Postage <i>PCS-10,108 @ 0.23 ea.</i>	\$2,331.32
Client Shipping	MHI2003-F-Shipping	\$147.15
TOTAL:		\$6,925.99
DATE DUE:		<i>Upon Receipt</i>

Wiring instructions:

Bank: United States Senate Federal Credit Union
 Address: 2750 Eisenhower Avenue
 City: Alexandria, VA 22314
 Routing Number: ██████████
 Account Number: ██████████
 Account Name: Convergence Targeted Communications

Make checks payable to:

"Convergence Targeted Communications"

Invoice is due upon receipt

Convergence Targeted Communications | convergencetargeted.com



CONVERGENCE
TARGETED COMMUNICATIONS

Invoice Date:	10/12/2020
Invoice #:	2020-08-05
Client Code:	██████████

Billed To:	Pay To:
Facteau Leadership PAC	Convergence Targeted Communications Attn: Chris Cooper 1221 Connecticut Ave NW, Suite 300 Washington, DC 20036

Category	Description	Amount
Direct Mail Income	MHI2002-F-Production PCS-6, 123 @ 0.44 ea.	\$2,694.12
Direct Mail Postage	MHI2002-F-Postage PCS-6, 123 @ 0.23 ea.	\$1,412.49
Client Shipping	MHI2002-F-Shipping	\$121.83
TOTAL:		\$4,228.44
DATE DUE:		<i>Upon Receipt</i>

Wiring instructions:

Bank: United States Senate Federal Credit Union
 Address: 2750 Eisenhower Avenue
 City: Alexandria, VA 22314
 Routing Number : ██████████
 Account Number: ██████████
 Account Name: Convergence Targeted Communications

Make checks payable to:

"Convergence Targeted Communications"

Invoice is due upon receipt



CONVERGENCE
TARGETED COMMUNICATIONS

Invoice Date:	10/19/2020
Invoice #:	2020-10-69
Client Code:	██████████

Billed To:	Pay To:
Fecteau Leadership PAC	Convergence Targeted Communications Attn: Chris Cooper 1221 Connecticut Ave NW, Suite 300 Washington, DC 20036

Category	Description	Amount
Direct Mail Income	MHI2004 Production 8,981 pcs @ .44 ea.	\$3,951.64
Direct Mail Postage	MHI2004 Postage 8,981 pcs @ ~.23 ea.	\$2,071.54
Client Shipping	MHI2004 Shipping	\$176.09
TOTAL:		\$6,199.27
DATE DUE:		<i>Upon Receipt</i>

Wiring instructions:

Bank: United States Senate Federal Credit Union

Address: 2750 Eisenhower Avenue

City: Alexandria, VA 22314

Routing Number : ██████████

Account Number: ██████████

Account Name: Convergence Targeted Communications

Make checks payable to:

"Convergence Targeted Communications"

Invoice is due upon receipt

Convergence Targeted Communications | convergencetargeted.com



CONVERGENCE
TARGETED COMMUNICATIONS

Invoice Date:	10/22/2020
Invoice #:	2020-10-100
Client Code:	██████████

Billed To:	Pay To:
Fecteau Leadership PAC	Convergence Targeted Communications Attn: Chris Cooper 1221 Connecticut Ave NW, Suite 300 Washington, DC 20036

Category	Description	Amount
Direct Mail Income	MHI2006-F Production 7,444 pcs @ .44 ea.	\$3,275.36
Direct Mail Postage	MHI2006-F Postage 7,444 pcs @ ~ .23 ea.	\$1,717.36
Client Shipping	MHI2006-F Shipping	\$177.60
TOTAL:		\$5,170.32
DATE DUE:		<i>Upon Receipt</i>

Wiring instructions:

Bank: United States Senate Federal Credit Union
Address: 2750 Eisenhower Avenue
City: Alexandria, VA 22314
Routing Number: ██████████
Account Number: ██████████

Account Name: Convergence Targeted Communications

Make checks payable to:

"Convergence Targeted Communications"

Invoice is due upon receipt

Convergence Targeted Communications | convergencetargeted.com

SEND PeoplesChoice Credit Union
 INQUIRIES 23 Industrial Park Road
 TO Saco, Maine 04072
 (207) 282-4156



ACCOUNT NUMBER [REDACTED]
STATEMENT PERIOD 12/01/2020 12/31/2020
Page 5

RYAN M FECTEAU
 [REDACTED]

ATTENTION MEMBERS WITH IRA ACCOUNTS:
 Your year-end IRA statement balance is
 being furnished to the Internal Revenue
 Service as your IRA fair market value.

 Have you heard of our new SpendShield
 Checking? No monthly fees, Lowest
 overdraft fees in Maine-Only \$16.95!
 Find out more on our website:
<https://www.peopleschoicecreditunion.com>

Posting Date	ID # / Eff. Date	Transaction Description	Payments Credits or Debits	FINANCE CHARGE	Fees or Charges	Transaction Amount	Balance
12/01	ID 73	SPENDSHIELD CHECKING	Previous Balance				13587.59
		Joint Owner: DBA FECTEAU FOR LEADERSHIP					
12/11		Deposit by Check				3002.88	16590.47
12/14		Recurring Withdrawal Debit Card				-19.99	16570.48
		12/13 028648	4816 DNH*GODADDY.COM 480-5058855 AZ				
12/15		Deposit by Check				4750.00	21320.48
12/17		Withdrawal Debit Card				-400.00	20920.48
		12/16 082575	8651 ACTBLUE*CRAIG.HICKM actbluecc.com MA				
12/31		New Balance					20920.48
		Dividends Earned Year to Date				0.00	
		Withdrawals and Other Charges					
Date	Amount	Description	Date	Amount	Description		
12/14	19.99	Withdrawal Debit Card	12/17	400.00	Withdrawal Debit Card		
2 Withdrawals or Other Charges for 419.99							
		Deposits and Other Credits					
Date	Amount	Description	Date	Amount	Description		
12/11	3002.88	Deposit by Check	12/15	4750.00	Deposit by Check		

NOTICE: See reverse side for important information concerning your rights and disclosure information.



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

2021 CAMPAIGN FINANCE REPORT

FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER	
Fecteau for Leadership 11 Memorial Drive Biddeford, ME 04005 PHONE:(207) 289-4478 EMAIL: 57fecteau@cua.edu		Sean Smith P.O. Box 53 Bangor, ME 04402 PHONE: EMAIL: seanchristophersmith@gmail.com	
REPORT	DUE DATE	REPORTING PERIOD	
January Quarterly	01/15/2021	12/09/2020 - 12/31/2020	

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$3.00	\$50,732.00
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)	\$3.00	\$50,732.00
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$400.00	\$30,824.99
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$20.11	\$22,647.19
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$420.11	\$53,472.18
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$21,340.47	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$3.00	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$420.11	
12. CASH BALANCE AT END OF PERIOD	\$20,923.36	
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, RYAN MICHAEL FECTEAU, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: RYAN MICHAEL FECTEAU
 REPORT FILED ON: 1/6/2021 11:31:25 AM
 LAST MODIFIED:
 COMMITTEE ID: 5643



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

To: Commission
From: Michael Dunn, Esq., Political Committee Registrar
Date: May 19, 2021
Re: Leadership PAC Investigation – Libby Leadership PAC

On November 18, 2020, the Commission authorized an enhanced compliance review of fifteen (15) political action committees that, in 2020, were led by Legislators and raised or spent over \$5,000 in the year. The Commission staff sent the Libby Leadership PAC an initial request for records on 12/08/2020. ETH. 5-6. On 04/16/2021, the Commission staff mailed its preliminary findings to the Libby Leadership PAC's officers requesting comment. ETH. 1-4. The Commission staff did not receive a response. Accordingly, the Commission staff found no potential violations and one exception. The Commission staff is recommending no further action regarding the Libby Leadership PAC.

LEGAL REQUIREMENTS

Reporting Contributions. A PAC who receives more than \$50 in contributions from a person must itemize their contributions and include the person's name, occupation, place of business, and mailing address. 21-A M.R.S. § 1060(6). Contributions of \$50 or less can be reported as unitemized contributions. Id.

ANALYSIS AND STAFF RECOMMENDATION

Failure to Report Contribution. A PAC must report all contributions received for the purpose of initiating or influencing a campaign. 21-A M.R.S. § 1060(6). The PAC terminated on 01/07/2021. ETH. 8-9. In order to terminate, the PAC transferred its surplus funds to other organizations, but the PAC had \$25 more than what was reported, requiring a Commission staff adjustment for the PAC to terminate. The source of this discrepancy was a \$25 deposit into the committee's savings account by Senator Nathan Libby when the PAC was formed in 2015 but that deposit was never reported. ETH. 7.

The Commission staff entered the \$25 adjustment to terminate the PAC. This adjustment is below the \$1,000 threshold set by the Commission to allow the Commission staff to

automatically enter the adjustment without reporting to the Commission. The Commission staff entered this as an adjustment rather than amending the 2015 initial campaign finance report because the Commission's e-filing system would then amend all subsequent reports, potentially making the PAC's reporting more confusing for the general public.

Due to the small amount of the discrepancy and that its source was readily identified by the PAC, the Commission staff views this as an exception and recommends no further action.

CONCLUSION

Based on the foregoing findings, the Commission staff recommends that no further action be taken regarding the Libby Leadership PAC. Thank you for your attention in this matter.



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

April 16, 2021

Senator Nathan Libby
Libby Leadership PAC
44 Robinson Gardens
Lewiston, ME 4240

Ms. Kristine Kittredge
Libby Leadership PAC
126 Webber Avenue
Lewiston, ME 4240

Re: 2020 Compliance Review of Leadership PACs

Dear Senator Libby & Ms. Kittredge:

Thank you for providing the requested materials for the Libby Leadership PAC. I have concluded my review and made my preliminary findings, which are summarized in the enclosed memorandum and materials. Please review the enclosed materials carefully as they will be presented to the Commission.

The purpose of providing these materials to you is to invite you to comment on my preliminary findings. You may provide a written letter along with any supporting documentation that you believe is appropriate. If you believe that certain factual findings are inaccurate, you are welcome to submit information that disputes those findings. You may also wish to correct any errors that you agree with prior to the Commission meeting (if you do so, please let me know in a letter). Please submit any written comments no later than **May 7, 2021**.

After receiving your comments, the Commission staff will submit the enclosed materials, your comments, and, if necessary, a cover memorandum detailing any factual corrections/updates to the Commission. The Commission will consider the Commission staff's findings at the **May 26, 2021** meeting. If the staff's findings indicate that a potential violation was found, then the Committee is encouraged to participate in the meeting. If the findings show only exceptions, then the committee officers are invited to attend at their option. If you wish to attend the **May 26, 2021** meeting but it conflicts with your schedule, please let me know and the review of your PAC may be moved to a later date.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

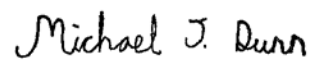
Libby Leadership PAC

Page 2

April 9, 2021

I am available to discuss this matter at any time if you have any questions regarding the enclosed materials or the overall process. Thank you for your attention in this matter.

Sincerely,

A handwritten signature in cursive script that reads "Michael J. Dunn".

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar

Enclosures



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

To: Commissioners
From: Michael J. Dunn, Esq., Political Committee Registrar
Date: April 7, 2021
Re: Leadership PAC Review – Libby Leadership PAC

I. Overview of Findings

The Commission staff requested the Committee's records on 12/08/2020. Records were provided to the Commission staff on or about 01/11/2021. Upon completion of its review, the Commission staff has found no potential violations but found one exception. The Commission staff recommends no further action.

II. History of Committee

Libby Leadership PAC registered as a political action committee on 08/14/2015. Senator Nathan Libby was the Principal Officer, and Ms. Kristine Kittridge was the Treasurer. On 01/11/2021, the Committee was terminated by Sen. Libby. In 2020, the Committee raised \$32,350 and spent \$22,183.90.

III. Procedures

In the 12/08/2020 letter, the Commission staff requested that the Committee produce the following 2020 records: (1) bank statements; (2) receipts/invoices for all expenditures over \$50; (3) documentation of any new loans or debts; and (4) records from ActBlue/Anedot or similar fundraising services.

After receiving those records, the Commission staff reviewed the provided records against the reported transactions for incorrect reporting. Specifically, the Commission staff reviewed the records for: omitted or duplicate transactions, failure to itemize contributions, prohibited payments, misuse of funds for personal enrichment in violation of 21-A M.R.S. § 1054-B, failure to keep records, improper contributions and other errors.

IV. Potential Violations

After reviewing the records provided on 01/11/2021, the Commission staff did not find any discrepancies that would rise to a potential violation of Title 21-A.

V. Exceptions

After reviewing the records provided on 01/11/2021, the Commission staff found one discrepancy that constitutes an exception:

On 08/6/2015, Sen. Libby opened the bank account for the PAC. He deposited \$175 into the Committee's checking account and an additional \$25 into the Committee's savings account. Sen. Libby did not report the \$25 that was deposited into the savings account. When the Commission staff spoke with Sen. Libby, he indicated that the \$25 was to keep the bank account open but that no other money was ever deposited into the savings account. When Sen. Libby closed the account, he donated the surplus (including the \$25) to another political committee. In January 2021, the Commission staff entered an adjustment of the \$25 to allow the Committee to terminate.¹ Commission staff does not believe that the omitted \$25 would make the Initial Campaign Finance Report substantially non-conforming.

VI. Conclusions and Recommendations

Based on the foregoing findings, the Commission staff does not recommend any further action regarding the Libby Leadership PAC.

Thank you for your attention in this matter.

¹ Staff did not amend the Initial Finance Report because that would trigger the 34 other campaign finance reports to be amended.



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

December 8, 2020

Senator Nathan Libby
Libby Leadership PAC
44 Robinson Gardens
Lewiston, ME 4240

Ms. Kristine Kittredge
Libby Leadership PAC
126 Webber Avenue
Lewiston, ME 4240

Re: 2020 Compliance Review of Leadership PACs

Dear Senator Libby & Ms. Kittredge:

On November 18, 2020, the members of the Ethics Commission directed the Commission staff to begin a compliance review of Leadership PACs that raised or spent more than \$5,000 in 2020. A Leadership PAC is, for purposes of these reviews, a PAC that had an officer that also served as a Legislator in 2020. Based on the Commission's records, the Libby Leadership PAC falls into the category for this compliance review.

Please be aware that all committees who meet the above criteria will be reviewed for compliance with PAC laws. By being selected there is no inference on the part of the Commission that any incorrect or improper reporting or activity has taken place. For each PAC reviewed, the Commission staff will prepare and submit to the Commission members a report with the results of the compliance review. You will have the opportunity to review the report and submit any comments that you feel are necessary prior to the Commission's consideration of the staff's report.

In order to facilitate this review, we would appreciate you forwarding copies of the following records:

- All 2020 bank statements for Libby Leadership PAC;
- Receipt and/or invoices for all expenditures over \$50 incurred during 2020;
- Documentation of any new loans or debts, or any payments thereof in 2020; and
- Records from ActBlue, Anedot, or similar fundraising service of contributions received in 2020.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

The records should be submitted as hard copies, but digital versions would be acceptable in the following formats: .pdf, excel, or .csv. Digital submissions should be sent via email to me (michael.dunn@maine.gov). Please provide the requested records no later than **January 31, 2021**.

Please do not hesitate to contact me if you have any questions regarding this matter.

Sincerely,

Michael J. Dunn

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar

SEND
INQUIRIES
TO

DIRIGO FCU
PO BOX 741
LEWISTON, ME 04243-0741
(207) 784-5435

ACCOUNT NUMBER
[REDACTED]
STATEMENT PERIOD
12/01/20 12/31/20
Page 1



NATHAN LIBBY
[REDACTED]

ATTENTION MEMBERS WITH IRA ACCOUNTS:
Your year-end IRA statement balance is
being furnished to the Internal Revenue
Service as your IRA fair market value.
Dirigo FCU's Privacy Notice is available
to view on our website at
www.dirigofcu.com. Please call
1-800-281-5435 for any questions.

Posting Date	ID # / Eff. Date	Transaction Description	Payment Credits or Debits	Interest Charge	Fees or Charges	Transaction Amount	Balance Subject to Interest Rate
12/01	ID: 00	SHARE Previous Balance					25.00
		Joint Owners: DBA LIBBY LEADERSHIP PAC KRISTEN S CLOUTIER					
12/31		New Balance					25.00 *
		Dividends Earned Year to Date	0.00				
12/01	ID: 71	SHARE DRAFT Previous Balance					515.49
		Joint Owner: KRISTEN S CLOUTIER					
12/16		Deposit by Check				13500.00	14015.49
12/23		Draft 564				-400.00	13615.49
12/31		New Balance					13615.49
		Dividends Earned Year to Date	0.00				
		Drafts Cleared					
Number	Amount	Number	Amount	Number	Amount	Amount	
564	400.00						
		Deposits and Other Credits					
Date	Amount	Description	Date	Amount	Description		
12/16	13500.00	Deposit by Check					
Total Dividends Earned Year to Date						0.00	

Account Balance Summary		Balance	Total Loans	Balance
Total Shares		Balance		
SHARE		25.00		
SHARE DRAFT		13615.49		

		13640.49		

* Not Reported in Initial Finance Report

NOTICE: See reverse side for important information concerning your rights and disclosure information.

Dunn, Michael

From: Dunn, Michael
Sent: Monday, January 11, 2021 10:50 AM
To: 'Nate Libby'
Cc: Kristine Kittridge
Subject: RE: Closing Libby Leadership PAC
Attachments: 2021_06dbdcfa-8862-462a-9fb3-5eb0c9616ad8.pdf

Hi Nate:

Thank you for updating me on the \$25. I've entered a staff adjustment and closed the committee effective today. No further reports are due. Please let me know if you have any questions.

Thanks,

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar
Maine Ethics Commission
135 State House Station
Augusta, Maine 04333
Phone: (207) 287-4179 Fax: (207) 287-6775

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From: Nate Libby <nathan.libby@gmail.com>
Sent: Sunday, January 10, 2021 11:35 AM
To: Dunn, Michael <Michael.Dunn@maine.gov>
Cc: Kristine Kittridge <kristine.kittridge@gmail.com>
Subject: Closing Libby Leadership PAC

EXTERNAL: This email originated from outside of the State of Maine Mail System. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Michael

As I am completing my last term in the Legislature, I have closed Libby Leadership PAC effective 1/7/21.

The ending checking account balance was \$13,615.49. The "share balance" required to open/maintain an account was \$25.00. The combined amount, less the \$1.00 fee for a certified check, was made payable and sent to the Maine Senate Democratic Campaign Committee on 1/7/21 as a contribution.

Copies of the final partial statement and final contribution are attached.

Can you advise on what I need to do from a filing perspective to close everything out?

Thank you,

Nate Libby



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

To: Commission
From: Michael Dunn, Esq., Political Committee Registrar
Date: May 19, 2021
Re: Leadership PAC Investigation – Maine First PAC

On November 18, 2020, the Commission authorized an enhanced compliance review of fifteen (15) political action committees that, in 2020, were led by Legislators and raised or spent over \$5,000 in the year. The Commission staff sent the Maine First PAC an initial request for records on 12/08/2020. ETH. 5-6. On 04/16/2021, the Commission staff mailed its preliminary findings to the Maine First PAC's officers requesting comment. ETH. 1-4. The Commission staff did not receive a response. Accordingly, the Commission staff found no potential violations and one exception. The Commission staff is recommending no further action regarding the Maine First PAC.

LEGAL REQUIREMENTS

Incorrect Account Balance. A PAC shall deposit all funds contributed to or received by the PAC for the purpose of influencing a campaign in a single account. 21-A. M.R.S. § 1054. The PAC shall also finance all expenditures to influence the election through the account. Id. All other expenditures made by the PAC must also be reported. 21-A M.R.S. § 1060(7). Accordingly, the account balance calculated in the PAC's campaign finance reports should equal the committee's bank account balance.

ANALYSIS AND STAFF RECOMMENDATION

Incorrect Account Balance. The PAC's bank account balance on 12/31/2020 was \$243.76, but its report balance was \$243.75. ETH. 7-8. This one-cent discrepancy was present throughout 2020. The Commission staff entered a staff adjustment to correct the balance. ETH. 9. The Commission staff's opinion is that this discrepancy constitutes an exception. Commission staff recommends no further action.

CONCLUSION

Based on the foregoing findings, the Commission staff recommends that no further action be taken regarding the Maine First PAC. Thank you for your attention in this matter.



April 16, 2021

Rep. Lawrence Lockman
Maine First PAC
PO Box 623
Brewer, ME 4412

Mr. Mark Chellis
Maine First PAC
16 Elm Street West
Hampden, ME 4444

Re: 2020 Compliance Review of Leadership PACs

Dear Rep. Lockman & Mr. Chellis:

Thank you for providing the requested materials for the Maine First PAC. I have concluded my review and made my preliminary findings, which are summarized in the enclosed memorandum and materials. Please review the enclosed materials carefully as they will be presented to the Commission.

The purpose of providing these materials to you is to invite you to comment on my preliminary findings. You may provide a written letter along with any supporting documentation that you believe is appropriate. If you believe that certain factual findings are inaccurate, you are welcome to submit information that disputes those findings. You may also wish to correct any errors that you agree with prior to the Commission meeting (if you do so, please let me know in a letter). Please submit any written comments no later than **May 7, 2021**.

After receiving your comments, the Commission staff will submit the enclosed materials, your comments, and, if necessary, a cover memorandum detailing any factual corrections/updates to the Commission. The Commission will consider the Commission staff's findings at the **May 26, 2021** meeting. If the staff's findings indicate that a potential violation was found, then the Committee is encouraged to participate in the meeting. If the findings show only exceptions, then the committee officers are invited to attend at their option. If you wish to attend the **May 26, 2021** meeting but it conflicts with your schedule, please let me know and the review of your PAC may be moved to a later date.

I am available to discuss this matter at any time if you have any questions regarding the enclosed materials or the overall process. Thank you for your attention in this matter.

Sincerely,

Michael J. Dunn

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar

Enclosures



To: Commissioners
From: Michael J. Dunn, Esq., Political Committee Registrar
Date: April 10, 2021
Re: Leadership PAC Review – Maine First PAC

I. Overview of Findings

The Commission staff requested the Committee's records on 12/08/2020. The PAC provided the requested records prior to 01/31/2020. Upon completion of its review, the Commission staff has found no potential violations; but found one exception. The Commission staff recommends no further action.

II. History of Committee

Maine First PAC registered as a political action committee on 02/20/2018. Former Representative Lawrence Lockman is the Principal Officer, and Mr. Mark Chellis is the Treasurer. In 2020, the Committee raised \$3,600.00 and spent \$7,757.01.

III. Procedures

In the 12/08/2020 letter, the Commission staff requested the Committee produce the following 2020 records: (1) bank statements; (2) receipts/invoices for all expenditures over \$50; (3) documentation of any new loans or debts; and (4) records from ActBlue/Anedot or similar fundraising services.

After receiving those records, the Commission staff reviewed the provided records against the reported transactions for incorrect reporting. Specifically, staff reviewed the records for: omitted or duplicate transactions, failure to itemize contributions, prohibited payments, misuse of funds for personal enrichment in violation of 21-A M.R.S. § 1054-B, failure to keep records, improper contributions and other errors.

IV. Potential Violations

After reviewing the records provided, the Commission staff did not find any discrepancies that would rise to a potential violation of Title 21-A.

V. Exceptions

After reviewing the records provided, the Commission staff found one discrepancy that constitutes an exception. The PAC's 2020 December reported balance was \$243.75 but the bank balance was \$243.76. This one cent discrepancy was consistent throughout 2020. The Commission staff recommends entering a staff adjustment to correct this discrepancy.

VI. Conclusions and Recommendations

Based on the foregoing findings, the Commission staff recommends no further action. The Commission staff will enter an adjustment to correct the one cent discrepancy.

Thank you for your attention in this matter.



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

December 8, 2020

Rep. Lawrence Lockman
Maine First PAC
PO Box 623
Brewer, ME 4412

Mr. Mark Chellis
Maine First PAC
16 Elm Street West
Hampden, ME 4444

Re: 2020 Compliance Review of Leadership PACs

Dear Rep. Lockman & Mr. Chellis:

On November 18, 2020, the members of the Ethics Commission directed the Commission staff to begin a compliance review of Leadership PACs that raised or spent more than \$5,000 in 2020. A Leadership PAC is, for purposes of these reviews, a PAC that had an officer that also served as a Legislator in 2020. Based on the Commission's records, the Maine First PAC falls into the category for this compliance review.

Please be aware that all committees who meet the above criteria will be reviewed for compliance with PAC laws. By being selected there is no inference on the part of the Commission that any incorrect or improper reporting or activity has taken place. For each PAC reviewed, the Commission staff will prepare and submit to the Commission members a report with the results of the compliance review. You will have the opportunity to review the report and submit any comments that you feel are necessary prior to the Commission's consideration of the staff's report.

In order to facilitate this review, we would appreciate you forwarding copies of the following records:

- All 2020 bank statements for Maine First PAC;
- Receipt and/or invoices for all expenditures over \$50 incurred during 2020;
- Documentation of any new loans or debts, or any payments thereof in 2020; and
- Records from ActBlue, Anedot, or similar fundraising service of contributions received in 2020.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

The records should be submitted as hard copies, but digital versions would be acceptable in the following formats: .pdf, excel, or .csv. Digital submissions should be sent via email to me (michael.dunn@maine.gov). Please provide the requested records no later than **January 31, 2021**.

Please do not hesitate to contact me if you have any questions regarding this matter.

Sincerely,

Michael J. Dunn

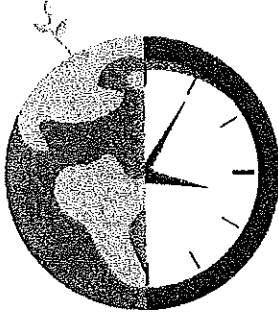
Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar



Maine First PAC
 [REDACTED]

Summary of Accounts		
Account Number	Type of Account	Current Balance
[REDACTED]	Business Promise Checking	\$243.76

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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



2021 CAMPAIGN FINANCE REPORT
FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER	
Maine First PAC PO Box 623 Brewer, ME 04412 PHONE: (207) 460-6518 EMAIL: larrylockman22@gmail.com		Mark William Chellis 16 Elm St West Hampden, ME 04444 PHONE: EMAIL: mwc.efscpa@gmail.com	
REPORT	DUE DATE	REPORTING PERIOD	
January Quarterly	01/15/2021	12/09/2020 - 12/31/2020	

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$0.00	\$3,600.00
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)	\$0.00	\$3,600.00
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$0.00	\$5,207.01
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$0.00	\$2,550.00
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$0.00	\$7,757.01
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$243.75	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$0.00	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$0.00	
12. CASH BALANCE AT END OF PERIOD	\$243.75	
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, Mark William Chellis, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: Mark William Chellis
 REPORT FILED ON: 1/8/2021 1:32:06 PM
 LAST MODIFIED:
 COMMITTEE ID: 5985



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

2021 CAMPAIGN FINANCE REPORT

FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER	
Maine First PAC PO Box 623 Brewer, ME 04412 PHONE:(207) 460-6518 EMAIL: larrylockman22@gmail.com		Mark William Chellis 16 Elm St West Hampden, ME 04444 PHONE: EMAIL: mwc.efscpa@gmail.com	
REPORT	DUE DATE	REPORTING PERIOD	
January Quarterly	01/15/2021	12/09/2020 - 12/31/2020	

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$0.00	\$3,600.00
2. OTHER CASH RECEIPTS (INTEREST, ETC.)	\$0.01	\$0.01
3. LOANS (SCHEDULE C)	\$0.00	\$0.00
4. TOTAL RECEIPTS (LINE 1 + 2 + 3)	\$0.01	\$3,600.01
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$0.00	\$5,207.01
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$0.00	\$2,550.00
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$0.00	\$7,757.01
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$243.75	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$0.01	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$0.00	
12. CASH BALANCE AT END OF PERIOD	\$243.76	
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, Mark William Chellis, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: Michael Dunn on behalf of Mark William Chellis
 REPORT FILED ON: 1/8/2021 1:32:06 PM
 LAST MODIFIED: 5/13/2021 9:33:55 AM
 COMMITTEE ID: 5985



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

To: Commission
From: Michael Dunn, Esq., Political Committee Registrar
Date: May 19, 2021
Re: Leadership PAC Investigation – Maine Opportunity PAC

On November 18, 2020, the Commission authorized an enhanced compliance review of fifteen (15) political action committees that, in 2020, were led by Legislators and raised or spent over \$5,000 in the year. The Commission staff sent the Maine Opportunity PAC an initial request for records on 12/08/2020. ETH. 5-6. After review, the Commission staff sent a supplemental request for records on 03/09/2021, which were received on 03/23/2021. ETH. 7-8. On 04/16/2021, the Commission staff mailed its preliminary findings to the Maine Opportunity PAC's officers requesting comment. ETH. 1-4. The Commission staff has not received a response. The Commission staff found no potential violations and one exception. The Commission staff is recommending that the PAC reconcile its account balances but that no further action be taken by the Commission.

LEGAL REQUIREMENTS

Incorrect Account Balance. All PACs shall deposit all funds contributed to or received by the PAC for the purpose of influencing a campaign in a single account. 21-A M.R.S. § 1054. The PAC shall also finance all expenditures to influence the election through the account. *Id.* All other expenditures made by the PAC must also be reported. 21-A M.R.S. § 1060(7). Accordingly, the account balance calculated in the PAC's campaign finance reports should equal the committee's bank account balance.

Receipt Retention. The treasurer of a PAC shall retain a vendor invoice or receipt stating the particular goods or services purchased for every expenditure in excess of \$50 to initiate or influence a campaign. 21-A M.R.S. § 1057(2).

ANALYSIS AND STAFF RECOMMENDATION

During the Commission staff's initial review of the Maine Opportunity PAC's records, the Commission staff flagged two issues for further review:

1. The PAC's reported balance on 12/31/2020 is \$1,864.03 but the bank balance is \$1,974.04, a discrepancy of \$110.01.
2. On 06/11/2020, the PAC paid Ms. Kerri Withee \$400 for her work as a consultant. The payment was made by withdrawing cash from an ATM and purchasing a money order.

Incorrect Account Balance. The PAC's reported balance on 12/31/2020 is \$1,864.03 but the bank balance is \$1,974.04, a discrepancy of \$110.01. The Commission staff will work with the PAC's treasurer to resolve the discrepancy in normal course. The Commission staff suspects this is the result of minor errors or potentially uncashed expenditures. After attempting to reconcile the account, the Commission staff will enter an adjustment for the discrepancy. The Commission staff views this as an exception because the two balances should match to confirm accurate and complete reporting.

Payment to Ms. Withee. In reviewing the PAC's bank records, the Commission staff flagged a cash withdrawal as unusual activity. ETH. 9. When asked about the withdrawal, the PAC indicated that it was to purchase a money order to pay Ms. Withee for various services for the PAC. ETH. 8. At the time, the PAC did not have any checks for the account. Ms. Withee did not provide a receipt for her services. ETH. 8.

The Commission staff considers this issue resolved. Ideally, a leadership PAC will not withdraw cash for payments of vendors because payments by cash or money order do not result in an audit trail that verifies the recipient of the funds, but it is not a violation to withdraw cash for payment of a vendor. The transaction to Ms. Withee was reported and the Commission staff considers the issue resolved.

CONCLUSION

Based on the foregoing findings, the Commission staff recommends that no further action be taken regarding the Maine Opportunity PAC, apart from reconciling the account in normal course. Thank you for your attention in this matter.



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

April 16, 2021

Rep. Andrew Gattine
Maine Opportunity PAC
529 Stroudwater Street
Westbrook, ME 4092

Mr. Sean Smith
Maine Opportunity PAC
PO Box 53
Bangor, ME 4402

Re: 2020 Compliance Review of Leadership PACs

Dear Rep. Gattine & Mr. Smith:

Thank you for providing the requested materials for the Maine Opportunity PAC. I have concluded my review and made my preliminary findings, which are summarized in the enclosed memorandum and materials. Please review the enclosed materials carefully as they will be presented to the Commission.

The purpose of providing these materials to you is to invite you to comment on my preliminary findings. You may provide a written letter along with any supporting documentation that you believe is appropriate. If you believe that certain factual findings are inaccurate, you are welcome to submit information that disputes those findings. You may also wish to correct any errors that you agree with prior to the Commission meeting (if you do so, please let me know in a letter). Please submit any written comments no later than **May 7, 2021**.

After receiving your comments, the Commission staff will submit the enclosed materials, your comments, and, if necessary, a cover memorandum detailing any factual corrections/updates to the Commission. The Commission will consider the Commission staff's findings at the **May 26, 2021** meeting. If the staff's findings indicate that a potential violation was found, then the Committee is encouraged to participate in the meeting. If the findings show only exceptions, then the committee officers are invited to attend at their option. If you wish to attend the **May 26, 2021** meeting but it conflicts with your schedule, please let me know and the review of your PAC may be moved to a later date.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

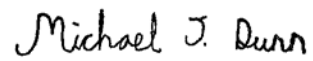
Maine Opportunity PAC

Page 2

April 9, 2021

I am available to discuss this matter at any time if you have any questions regarding the enclosed materials or the overall process. Thank you for your attention in this matter.

Sincerely,

A handwritten signature in cursive script that reads "Michael J. Dunn".

Michael J. Dunn, Esq.

Political Committee and Lobbyist Registrar

Enclosures



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

To: Commissioners
From: Michael J. Dunn, Esq., Political Committee Registrar
Date: April 10, 2021
Re: Leadership PAC Review – Maine Opportunity PAC

I. Overview of Findings

The Commission staff requested the Committee's records on 12/08/2020. Records were provided to the Commission staff on or about 01/31/2021. A request for additional records was mailed on 03/09/2021. The additional records were received on or about 03/23/2021. Upon completion of its review, the Commission staff found no potential violations, but found one exception. The Commission staff recommends the account be reconciled and no further action be taken.

II. History of Committee

Maine Opportunity PAC registered as a political action committee on 02/20/2018. Former Representative Andrew Gattine is the principal officer and Mr. Sean Smith is the treasurer. In 2020, the Committee raised \$500.00 and spent \$18,152.59.

III. Procedures

In the 12/08/2020 letter, the Commission staff requested the Committee produce the following 2020 records: (1) bank statements; (2) receipts/invoices for all expenditures over \$50; (3) documentation of any new loans or debts; and (4) records from ActBlue/Anedot or similar fundraising services.

After receiving those records, the Commission staff reviewed the provided records against the reported transactions for incorrect reporting. Specifically, the Commission staff reviewed the records for: omitted or duplicate transactions, failure to itemize contributions, prohibited payments, misuse of funds for personal enrichment in violation

of 21-A M.R.S. § 1054-B, failure to keep records, improper contributions and other errors.

During its review of the Maine Opportunity PAC, the Commission staff found that additional records would be required. On 03/09/2021, the Commission staff sent an email requesting the following:

- On 6/11/2020 Kerri Withee was paid \$400 as a consultant. Why was she paid in cash? Did she provide a receipt/invoice for her services?

The Commission staff received the PAC's response on 03/23/2021.

IV. Potential Violations

After reviewing the records provided on 01/31/2021 and 03/23/2021, the Commission staff did not find any discrepancies that would rise to a potential violation of Title 21-A.

V. Exceptions

After reviewing the records provided on 01/31/2021 and 03/23/2021, the Commission staff found one discrepancy that constitutes an exception:

- The PAC's reported balance as of 12/31/2020 is \$1,864.03 but the bank balance is \$1,974.04, a discrepancy of \$110.01. The Commission staff is unable to reconcile that discrepancy. This does not mean that a violation occurred; the most likely reason is that an expenditure was reported but the payment was not deposited. The Commission staff recommends that the treasurer review past filings in an attempt to reconcile the account. If the treasurer is unable to locate the cause of the discrepancy, then the Commission staff would enter a staff adjustment.

VI. Conclusions and Recommendations

Based on the foregoing findings, the Commission staff recommends no further action be taken against this PAC. The Commission staff will work with the treasurer to resolve the account discrepancy.

Thank you for your attention in this matter.



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

December 8, 2020

Rep. Andrew Gattine
Maine Opportunity PAC
529 Stroudwater Street
Westbrook, ME 4092

Mr. Sean Smith
Maine Opportunity PAC
PO Box 53
Bangor, ME 4402

Re: 2020 Compliance Review of Leadership PACs

Dear Rep. Gattine & Mr. Smith:

On November 18, 2020, the members of the Ethics Commission directed the Commission staff to begin a compliance review of Leadership PACs that raised or spent more than \$5,000 in 2020. A Leadership PAC is, for purposes of these reviews, a PAC that had an officer that also served as a Legislator in 2020. Based on the Commission's records, the Maine Opportunity PAC falls into the category for this compliance review.

Please be aware that all committees who meet the above criteria will be reviewed for compliance with PAC laws. By being selected there is no inference on the part of the Commission that any incorrect or improper reporting or activity has taken place. For each PAC reviewed, the Commission staff will prepare and submit to the Commission members a report with the results of the compliance review. You will have the opportunity to review the report and submit any comments that you feel are necessary prior to the Commission's consideration of the staff's report.

In order to facilitate this review, we would appreciate you forwarding copies of the following records:

- All 2020 bank statements for Maine Opportunity PAC;
- Receipt and/or invoices for all expenditures over \$50 incurred during 2020;
- Documentation of any new loans or debts, or any payments thereof in 2020; and
- Records from ActBlue, Anedot, or similar fundraising service of contributions received in 2020.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

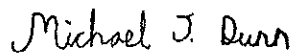
PHONE: (207) 287-4179

FAX: (207) 287-6775

The records should be submitted as hard copies, but digital versions would be acceptable in the following formats: .pdf, excel, or .csv. Digital submissions should be sent via email to me (michael.dunn@maine.gov). Please provide the requested records no later than **January 31, 2021**.

Please do not hesitate to contact me if you have any questions regarding this matter.

Sincerely,

A handwritten signature in black ink that reads "Michael J. Dunn". The signature is written in a cursive style with a clear, legible font.

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar



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

March 9, 2021

Rep. Andrew Gattine
Maine Opportunity PAC
529 Stroudwater Street
Westbrook, ME 4092

Mr. Sean Smith
Maine Opportunity PAC
PO Box 53
Bangor, ME 4402

Re: Request for Additional Information – 2020 Compliance Review of Leadership PACs

Dear Rep. Gattine & Mr. Smith:

Thank you for submitting the records that I requested in my December 8, 2020 letter. I have had an opportunity to review your submission and am writing with additional questions. Please submit your response at your earliest opportunity but no later than March 23, 2021. Please provide more information regarding the following:

- On 6/11/2020 Kerri Withee was paid \$400 as a consultant. Why was she paid in cash? Did she provide a receipt/invoice for her services?

These requests are being made only to further assist in the Commission's review of the committee. There is no assertion of inaccurate reporting on the part of the Commission or staff. If you have any questions or concerns regarding these requests, I can be reached at (207) 287-4709 or Michael.Dunn@Maine.gov. Thank you for your attention in this matter.

Sincerely,

A handwritten signature in black ink, appearing to read 'Michael J. Dunn', with a long horizontal flourish extending to the right.

Michael J. Dunn, Esq.
Political Committee Registrar

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

3/23/21

Michael Dunn
Political Committee and Lobbyist Registrar
135 State House Station
Augusta, ME 04333

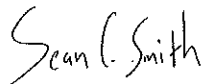
Dear Mr. Dunn,

I am responding to your March 9 letter requesting additional information re: the Maine Opportunity PAC audit.

On 6/11/20, Kerri Withee was paid \$400 as a consultant. She was paid with a money order. Mr. Gattine did not have any checks associated with the account, and so he used his debit card to withdraw \$400 on June 11 and then turned the cash into a money order, so that there would be a receipt for the transaction. Ms. Withee did not provide a receipt for her services, as she was just providing some short-term, administrative, data entry, PAC-related services. We would be happy to ask her for one, if one is required.

If we can be of any further assistance or provide any further explanations, please do not hesitate to contact us.

Sincerely,

A handwritten signature in cursive script that reads "Sean C. Smith".

Sean Smith
Treasurer

PO BOX 5659
AUGUSTA, ME 04332-5659
(800) 540-8707 / (207) 623-1851
www.maine.statecu.org

ANDREW M GATTINE
[REDACTED]



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Membership Account Number [REDACTED]	Statement Period 6/1/20 - 6/30/20
--	---

Total Shares	Balance
BUSINESS SAVINGS	5.00
BASIC BUSINESS CHECKING	18,374.04
	<u>18,379.04</u>

Statement Detail	
BUSINESS SAVINGS - 00	
Beginning Balance:	5.00
Ending Balance:	5.00
Dividends Earned YTD:	0.00

BASIC BUSINESS CHECKING - 71	
Beginning Balance:	19,597.54
Ending Balance:	18,374.04
Dividends Earned YTD:	0.00

Effective Date	Transaction Date	Description	Amount	Balance
		Beginning Balance		19,597.54
6/11/20	6/11/20	Withdrawal at ATM #001452 ATM INFINITY FCU 202 LARRABEE ROAD WESTBROOK ME	-400.00	19,197.54
6/30/20	6/30/20	Withdrawal Debit Card PAYPAL *JNUTTING202 402-935-7733 CA 06292020 080830 4829	-823.50	18,374.04



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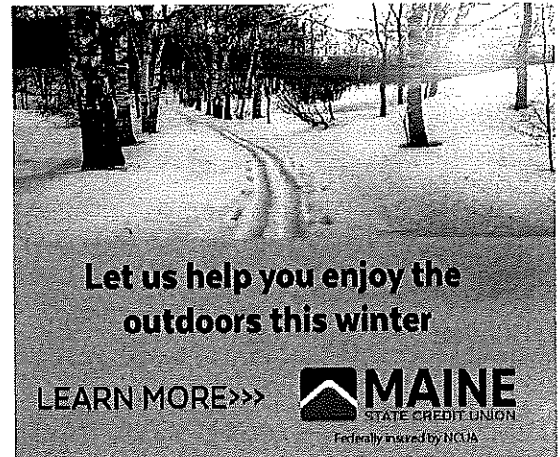
Account Number: [REDACTED]
Statement Period: 6/1/20 to 6/30/20
Page: 2 of 2

Year-To-Date At-A-Glance	
Total Dividends Earned YTD Year to Date	0.00



PO BOX 5659
 AUGUSTA, ME 04332-5659
 (800) 540-8707 / (207) 623-1851
 www.maine.statecu.org

ANDREW M GATTINE
 [REDACTED]



Membership Account Number [REDACTED]	Statement Period 12/1/20 - 12/31/20
--	---

Total Shares	Balance
SIGNATURE BUSINESS SAVINGS	5.00
BASIC BUSINESS CHECKING	1,974.04
	<u>1,979.04</u>

Statement Detail	
SIGNATURE BUSINESS SAVINGS - 00	
Beginning Balance:	5.00
Ending Balance:	5.00
Dividends Earned YTD:	0.00
BASIC BUSINESS CHECKING - 71	
Beginning Balance:	1,974.04
Ending Balance:	1,974.04
Dividends Earned YTD:	0.00
Year-To-Date At-A-Glance	
Total Dividends Earned YTD Year to Date	0.00

WITHHOLDING NOTICE
 FORM 2317

Payments from your IRA are subject to federal income tax withholding, unless you elect no withholding.

You may change your withholding election at any time prior to your receipt of a payment. To change your withholding election, complete the appropriate form provided by your credit union.

Withholding from IRA payments, when combined with other withholding, MAY relieve you from payment of estimated income taxes. However, your withholding election does not affect the amount of income tax you pay.

You may incur penalties under the estimated tax rules if your withholding and estimated tax payments are insufficient. If you have any questions please contact us at (800) 540-8707.

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



2021 CAMPAIGN FINANCE REPORT
FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER	
Maine Opportunity PAC 529 STROUDWATER STREET WESTBROOK, ME 04092 PHONE: (207) 409-3477 EMAIL: dgattine@gmail.com		Sean Smith P.O. Box 53 Bangor, ME 04402 PHONE: EMAIL: seanchristophersmith@gmail.com	
REPORT	DUE DATE	REPORTING PERIOD	
January Quarterly	01/15/2021	12/09/2020 - 12/31/2020	

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$0.00	\$500.00
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)	\$0.00	\$500.00
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$0.00	\$0.00
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$0.00	\$18,152.59
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$0.00	\$18,152.59
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$1,864.03	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$0.00	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$0.00	
12. CASH BALANCE AT END OF PERIOD	\$1,864.03	
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, Sean Smith, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: Sean Smith
 REPORT FILED ON: 1/15/2021 12:00:52 PM
 LAST MODIFIED:
 COMMITTEE ID: 6000

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



2020 CAMPAIGN FINANCE REPORT
FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER	
Maine Opportunity PAC 529 STROUDWATER STREET WESTBROOK, ME 04092 PHONE:(207) 409-3477 EMAIL: dgattine@gmail.com		Sean Smith P.O. Box 53 Bangor, ME 04402 PHONE: EMAIL: seanchristophersmith@gmail.com	
REPORT	DUE DATE	REPORTING PERIOD	
11-Day Pre-Primary Election Report	07/06/2020	04/01/2020 - 06/30/2020	

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$0.00	\$500.00
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)	\$0.00	\$500.00
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$0.00	\$0.00
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$1,623.50	\$1,752.59
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$1,623.50	\$1,752.59
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$19,887.53	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$0.00	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$1,623.50	
12. CASH BALANCE AT END OF PERIOD	\$18,264.03	
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, Sean Smith, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: Sean Smith
 REPORT FILED ON: 7/6/2020 8:39:40 PM
 LAST MODIFIED:
 COMMITTEE ID: 6000

**SCHEDULE B-1
OPERATING EXPENDITURES**

EXPENDITURE TYPES				
APP	Apparel (t-shirts, hats, embroidery, etc.)	CON	Contribution to party committee, non-profit, other candidate, etc.	
EQP	Equipment of \$50 or more (computer, tablet, phone, furniture, etc.)	EVT	Campaign and fundraising events (venue or booth rental, entertainment, supplies, etc.)	
FOD	Food for campaign events or volunteers, catering	HRD	Hardware and small tools (hammer, nails, lumber, paint, etc.)	
LIT	Printed campaign materials (palmcards, signs, stickers, flyers, etc.)	MHS	Mail house and direct mail (design, printing, mailing, and postage all included)	
NEW	Newspaper and print media ads only	OFF	Office supplies, rent, utilities, internet service, phone minutes and data	
ONL	Social media and online advertising only	OTH	Other and fees (bank, contribution, and money order fees, etc.)	
PER	Personnel and campaign staff, consulting, and independent contractor costs	PHO	Phones (phone banking, robocalls and texts)	
POL	Polling and survey research	POS	Postage for U.S. Mail and mail box fees	
PRO	Professional services (graphic design, legal services, web design, etc.)	RAD	Radio ads, production costs	
TKT	Entrance cost to event (bean suppers, fairs, party events, etc.)	TRV	Travel (fuel, mileage, lodging, etc.)	
TVN	TV/cable ads, production, and media buyer costs only	WEB	Website and internet costs (website domain and registration, etc.)	
DATE OF EXPENDITURE	PAYEE	REMARK	TYPE	AMOUNT
5/29/2020	W. Edward Crockett 128 Bramblewood Drive Portland, ME, 04103	Contribution	CON	\$400.00
6/11/2020	Kerri Withee 641 Hallowell Litchfield Road West Gardiner, ME, 04345	Consulting	PER	\$400.00
6/30/2020	PayPal 2211 North First Street San Jose, CA, 95131	Processing Fee	OTH	\$23.50
6/30/2020	John M. Nutting 334 Campbell Road Leeds, ME, 04263	Contribution	CON	\$800.00
TOTAL OPERATING EXPENDITURES				\$1,623.50

Missing Receipt



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

To: Commission
From: Michael Dunn, Esq., Political Committee Registrar
Date: May 19, 2021
Re: Leadership PAC Investigation – PAC to the Future

On November 18, 2020, the Commission authorized an enhanced compliance review of fifteen (15) political action committees that, in 2020, were led by Legislators and raised or spent over \$5,000 in the year. The Commission staff sent PAC to the Future an initial request for records on 12/08/2020. ETH. 5-6. After review, the Commission staff sent a supplemental request for records on 03/09/2021, which were received on 03/23/2021. ETH. 7. On 04/16/2021, the Commission staff mailed its preliminary findings to the PAC to the Future's officers requesting comment. ETH. 1-4. The Commission staff has not received a response. The Commission staff found no potential violations and no exceptions. The Commission staff is recommending that no further action be taken by the Commission.

LEGAL REQUIREMENTS

Registration. A PAC shall register with the Commission within seven days of raising or spending more than \$1,500. 21-A M.R.S. § 1052-A(1). A PAC shall amend its registration within 10 days of a change in the information that PACs are required to disclose under this section. Id. Failure to register or amend timely may result in a fine of no more than \$2,500. 21-A M.R.S. § 1062-A(1). The Commission shall consider, whether the violation was intentional, the amount of financial activity, whether the committee intended to conceal its activity, and the level of experience of the staff. Id.

Reporting Expenditures. A PAC must report all expenditures to initiate or influence a campaign and include the payee, purpose, whether it was to support or oppose a candidate or referendum. 21-A M.R.S. § 1060(4). The PAC must also report operational expenditures that are not made for the purpose of influencing a campaign. 21-A M.R.S. § 1060(4).

ANALYSIS AND STAFF RECOMMENDATION

During the Commission staff's initial review of the PAC to the Future's records, the Commission staff flagged two issues for further review:

1. The PAC did not provide its December bank statement.
2. The PAC reported a \$20,000 expenditure to the House Democratic Campaign Committee on 11/01/2020, but the bank records showed a withdrawal of \$21,605.50.

Missing December Bank Statement. On 12/08/2020, the Commission staff requested all 2020 bank statements for the PAC's account. The PAC provided its records from 01/01/2020 through 11/30/2020. During the Commission staff's follow-up on 03/09/2021, the PAC responded that Rep. Moonen was in the process of transferring control of the PAC to others, that the committee's old account was closed, and that the forwarding balance had not been deposited into the new account. ETH. 8. The Commission staff accepts this explanation and considers this issue resolved.

Reporting Discrepancy. On 11/01/2020, the PAC's bank records show a withdrawal of \$21,605.50 but the PAC only reported a \$20,000 expenditure on that day. The PAC responded that the additional withdrawal was due to changing the PAC's bank account and that the \$1,605.50 (minus a \$4 bank fee) was deposited into a new account. ETH. 8. The Commission staff accepts this explanation and considers this issue resolved.

CONCLUSION

Based on the foregoing findings, the Commission staff recommends that no further action be taken regarding the PAC to the Future. Thank you for your attention in this matter.



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

April 16, 2021

Mr. Sean Smith
PAC to the Future
PO Box 53
Bangor, ME 4402

Ms. Jenna Howard
PAC to the Future
15 Stetson Court, Apt. 3
Portland, ME 4101

Re: 2020 Compliance Review of Leadership PACs

Dear Mr. Smith & Ms. Howard:

Thank you for providing the requested materials for the PAC to the Future. I have concluded my review and made my preliminary findings, which are summarized in the enclosed memorandum and materials. Please review the enclosed materials carefully as they will be presented to the Commission.

The purpose of providing these materials to you is to invite you to comment on my preliminary findings. You may provide a written letter along with any supporting documentation that you believe is appropriate. If you believe that certain factual findings are inaccurate, you are welcome to submit information that disputes those findings. You may also wish to correct any errors that you agree with prior to the Commission meeting (if you do so, please let me know in a letter). Please submit any written comments no later than **May 7, 2021**.

After receiving your comments, the Commission staff will submit the enclosed materials, your comments, and, if necessary, a cover memorandum detailing any factual corrections/updates to the Commission. The Commission will consider the Commission staff's findings at the **May 26, 2021** meeting. If the staff's findings indicate that a potential violation was found, then the Committee is encouraged to participate in the meeting. If the findings show only exceptions, then the committee officers are invited to attend at their option. If you wish to attend the **May 26, 2021** meeting but it conflicts with your schedule, please let me know and the review of your PAC may be moved to a later date.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

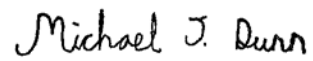
PAC to the Future

Page 2

April 9, 2021

I am available to discuss this matter at any time if you have any questions regarding the enclosed materials or the overall process. Thank you for your attention in this matter.

Sincerely,

A handwritten signature in cursive script that reads "Michael J. Dunn".

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar

Enclosures



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

To: Commissioners
From: Michael J. Dunn, Esq., Political Committee Registrar
Date: April 6, 2021
Re: Leadership PAC Review – PAC to the Future

I. Overview of Findings

The Commission staff requested the Committee's records on 12/08/2020. Records were provided to the Commission staff on or about 01/31/2021. A request for additional records was mailed on 03/09/2021. The additional records were received on or about 03/23/2021. Upon completion of its review, the Commission staff has found no potential violations and no exceptions. The Commission staff recommends no further action.

II. History of Committee

PAC to the Future registered as a political action committee on 08/17/2018. Former Representative Matthew Moonen was the principal officer of the PAC until 11/13/2020 when Mr. Sean Smith became the principal officer. Mr. Jeremy Kennedy was the treasurer of the PAC until 11/13/2020 when Ms. Jenna Howard became the treasurer. In 2020, the Committee raised \$15,505.00 and spent \$50,113.33.

III. Procedures

In the 12/08/2020 letter, the Commission staff requested the Committee produce the following 2020 records: (1) bank statements; (2) receipts/invoices for all expenditures over \$50; (3) documentation of any new loans or debts; and (4) records from ActBlue/Anedot or similar fundraising services.

After receiving those records, the Commission staff reviewed the provided records against the reported transactions for incorrect reporting. Specifically, the Commission staff reviewed the records for: omitted or duplicate transactions, failure to itemize contributions, prohibited payments, misuse of funds for personal enrichment in violation

of 21-A M.R.S. § 1054-B, failure to keep records, improper contributions and other errors.

During its review of PAC to the Future, the Commission staff found that additional records would be required. On 03/09/2021, staff sent an email requesting the following:

- The 08/22/2020 receipt for \$109.84 in ActBlue fees was cutoff in transmission. Please provide a new copy of this receipt.
- The December bank statement was omitted from your submission. Please provide a copy of that statement for the account.
- On 11/01/2020 there was a withdrawal of \$21,605.5 but the PAC reported an expenditure of \$20,000. What is the cause of the \$1,605.5 discrepancy?

The Commission staff received the PAC's response on 03/23/2021.

IV. Potential Violations

After reviewing the records provided on 01/31/2021 and 03/23/2021, the Commission staff did not find any discrepancies that would rise to a potential violation of Title 21-A.

V. Exceptions

After reviewing the records provided on 01/31/2021 and 03/23/2021, the Commission staff did not find any discrepancies that would be considered exceptions of Title 21-A.

VI. Conclusions and Recommendations

Based on the foregoing findings, the Commission staff does not recommend any further action regarding PAC to the Future.

Thank you for your attention in this matter.



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

December 8, 2020

Mr. Sean Smith
PAC to the Future
PO Box 53
Bangor, ME 4402

Ms. Jenna Howard
PAC to the Future
15 Stetson Court, Apt. 3
Portland, ME 4101

Re: 2020 Compliance Review of Leadership PACs

Dear Mr. Smith & Ms. Howard:

On November 18, 2020, the members of the Ethics Commission directed the Commission staff to begin a compliance review of Leadership PACs that raised or spent more than \$5,000 in 2020. A Leadership PAC is, for purposes of these reviews, a PAC that had an officer that also served as a Legislator in 2020. Based on the Commission's records, the PAC to the Future falls into the category for this compliance review.

Please be aware that all committees who meet the above criteria will be reviewed for compliance with PAC laws. By being selected there is no inference on the part of the Commission that any incorrect or improper reporting or activity has taken place. For each PAC reviewed, the Commission staff will prepare and submit to the Commission members a report with the results of the compliance review. You will have the opportunity to review the report and submit any comments that you feel are necessary prior to the Commission's consideration of the staff's report.

In order to facilitate this review, we would appreciate you forwarding copies of the following records:

- All 2020 bank statements for PAC to the Future;
- Receipt and/or invoices for all expenditures over \$50 incurred during 2020;
- Documentation of any new loans or debts, or any payments thereof in 2020; and
- Records from ActBlue, Anedot, or similar fundraising service of contributions received in 2020.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

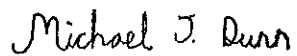
PHONE: (207) 287-4179

FAX: (207) 287-6775

The records should be submitted as hard copies, but digital versions would be acceptable in the following formats: .pdf, excel, or .csv. Digital submissions should be sent via email to me (michael.dunn@maine.gov). Please provide the requested records no later than **January 31, 2021**.

Please do not hesitate to contact me if you have any questions regarding this matter.

Sincerely,

A handwritten signature in cursive script that reads "Michael J. Dunn".

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar



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

March 9, 2021

Sean Smith
PAC to the Future
52 Montgomery St.
Bangor, ME 04401

Jenna Howard
PAC to the Future
15 Stetson Court, Apt. 3
Portland, ME 04101

Re: Request for Additional Information – 2020 Compliance Review of Leadership PACs

Dear Mr. Smith & Ms. Howard

Thank you for submitting the records that I requested in my December 8, 2020 letter. I have had an opportunity to review your submission and am writing with additional questions. Please submit your response at your earliest opportunity but no later than March 23, 2021. Please provide a letter and/or requested documents answering the following:

- The 08/22/2020 receipt for \$109.84 in ActBlue fees was cutoff in transmission. Please provide a new copy of this receipt.
- The December bank statement was omitted from your submission. Please provide a copy of that statement for the account.
- On 11/01/2020 there was a withdrawal of \$21,605.5 but the PAC reported an expenditure of \$20,000. What is the cause of the \$1,605.5 discrepancy?

These requests are being made only to further assist in the Commission's review of the committee. There is no assertion of inaccurate reporting on the part of the Commission or staff. If you have any questions or concerns regarding these requests, I can be reached at (207) 287-4709 or Michael.Dunn@Maine.gov. Thank you for your attention in this matter.

Sincerely,

Michael J. Dunn, Esq.
Political Committee Registrar

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

3/23/21

Michael Dunn
Political Committee and Lobbyist Registrar
135 State House Station
Augusta, ME 04333

Dear Mr. Dunn,

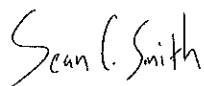
I am responding to your March 9 letter requesting additional information re: the PAC to the Future PAC audit.

The 8/2/20 receipt for \$109.84 from ActBlue is attached again.

The December bank statement was omitted because it does not exist. At the beginning of November, Mr. Moonen was in the process of transferring the PAC out of his name. On 11/1/20 Mr. Moonen closed out the PAC's bank account with (1) a \$20,000 contribution to the House Democratic Campaign Committee, (2) a certified check for \$1,601.50 as a forwarding balance for the PAC (to be deposited in a new bank account), and (3) a \$4.00 bank fee. The forwarding balance had not been deposited into a new bank account yet in December, and therefore there was not a statement.

If we can be of any further assistance or provide any further explanations, please do not hesitate to contact us.

Sincerely,



Sean Smith
Treasurer



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

To: Commission
From: Michael Dunn, Esq., Political Committee Registrar
Date: May 19, 2021
Re: Leadership PAC Investigation – Prosperity for Maine’s Future PAC

On November 18, 2020, the Commission authorized an enhanced compliance review of fifteen (15) political action committees that, in 2020, were led by Legislators and raised or spent over \$5,000 in the year. The Commission staff sent the Prosperity for Maine’s Future PAC an initial request for records on 12/08/2020. ETH. 5-6. On 04/16/2021, the Commission staff mailed its preliminary findings to the Prosperity for Maine’s Future PAC’s officers requesting comment. ETH. 1-4. The Commission staff did not receive a response. Accordingly, the Commission staff found no potential violations and one exception. The Commission staff is recommending no further action regarding the Prosperity for Maine’s Future PAC.

LEGAL REQUIREMENTS

Receipt Retention. The treasurer of a PAC shall retain a vendor invoice or receipt stating the particular goods or services purchased for every expenditure in excess of \$50 to initiate or influence a campaign. 21-A M.R.S. § 1057(2).

Reporting Contributions. A PAC who receives more than \$50 in contributions from a person must itemize their contributions and include the person’s name, occupation, place of business, and mailing address. 21-A M.R.S. § 1060(6). All contributions under \$50 may be reported as unitemized contributions by the PAC. Id.

Reporting Expenditures. A PAC must report all expenditures to initiate or influence a campaign and include the payee, purpose, whether it was to support or oppose a candidate or referendum. 21-A M.R.S. § 1060(4). The PAC must also report operational expenditures that are not made for the purpose of influencing a campaign. 21-A M.R.S. § 1060(4). If an expenditure is made by a vendor, the PAC must report the expenditure as if the PAC had directly made the expenditure itself. 94-270 C.M.R. Ch. 1 §7(1)(A).

ANALYSIS AND STAFF RECOMMENDATION

During the Commission staff's initial review of the Prosperity for Maine's Future PAC's records, the Commission staff flagged four issues for further review:

1. A missing receipt for USPS, dated 10/21/2020, totaling \$315.
2. A reported contribution of \$25 from Ms. Krysta West that was not deposited.
3. A missing receipt for Red Maverick Media, dated 10/06/2020, totaling \$200.
4. The PAC provided a receipt dated 08/31/2020 from Walmart totaling \$195.77 that did not correspond to the bank records.

Missing Receipts. A PAC is required to maintain a receipt for all good or services that exceed \$50. 21-A M.R.S § 1057(2). In 2020, the PAC reported thirty-three transactions that required retaining a receipt from a vendor. The PAC failed to retain only one receipt from USPS, dated 10/21/2020, totaling \$315. ETH. 12. The Commission staff considers this missing receipt to be an exception and recommends no further action.

Another issue was the potentially missing receipt for Red Maverick Media, dated 10/06/2020, totaling \$200. The PAC responded that the receipt was attached to the first set of materials provided to the Commission staff. ETH. 8. After review, the Commission staff notes that the original transmission of the receipt was very small and heavily pixilated so the Commission staff could not identify the document. The Commission staff considers this issue resolved and recommends no further action.

Unreported Contribution. A PAC must report all contributions that it receives for purposes of initiating or influencing a campaign. 21-A M.R.S. § 1054-A. As part of the review, the Commission staff compared each PAC's bank balance against its reported balance to identify any discrepancies. Here, the Commission staff compared the balances as of 03/31/2020 and staff noted a \$25 discrepancy, which was attributed to a contribution from Ms. Krysta West. The PAC indicated that the contribution was accidentally placed in the wrong account and that it was corrected on 07/08/2020 (after the dates the Commission staff used to compare the balances). ETH. 8. After a second comparison from December 2020, the Commission staff reconciled the discrepancy. The Commission staff considers this issue resolved and recommends no further action.

Vendor Expenditures. When a vendor makes an expenditure that is going to be reimbursed by the PAC, the PAC must report that expenditure as if the PAC had made it directly. 94-270 C.M.R. Ch. 1 §7(1)(A). The Commission staff had inquired about a Wal-Mart receipt totaling \$195.77 that was supplied as part of the investigation, but that the Commission staff could not match to a reported expenditure. The PAC indicated the receipt was provided as part of a reimbursement to a vendor, which was reported as one lump-sum. This mistake is very common in PAC reporting. The Commission staff considers it an issue that has been resolved after amending the affected report. The Commission staff recommends no further action on this issue.

CONCLUSION

Based on the foregoing findings, the Commission staff recommends that no further action be taken regarding the Prosperity for Maine's Future PAC. Thank you for your attention in this matter.



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

April 16, 2021

Senator Matthew Pouliot
Prosperity for Maine's Future
14 North Street Place
Augusta, ME 4330

Ms. Emily Roderick
Prosperity for Maine's Future
4 Zarella Lane
Readfield, ME 4355

Re: 2020 Compliance Review of Leadership PACs

Dear Senator Pouliot & Ms. Roderick:

Thank you for providing the requested materials for the Prosperity for Maine's Future. I have concluded my review and made my preliminary findings, which are summarized in the enclosed memorandum and materials. Please review the enclosed materials carefully as they will be presented to the Commission.

The purpose of providing these materials to you is to invite you to comment on my preliminary findings. You may provide a written letter along with any supporting documentation that you believe is appropriate. If you believe that certain factual findings are inaccurate, you are welcome to submit information that disputes those findings. You may also wish to correct any errors that you agree with prior to the Commission meeting (if you do so, please let me know in a letter). Please submit any written comments no later than **May 7, 2021**.

After receiving your comments, the Commission staff will submit the enclosed materials, your comments, and, if necessary, a cover memorandum detailing any factual corrections/updates to the Commission. The Commission will consider the Commission staff's findings at the **May 26, 2021** meeting. If the staff's findings indicate that a potential violation was found, then the Committee is encouraged to participate in the meeting. If the findings show only exceptions, then the committee officers are invited to attend at their option. If you wish to attend the **May 26, 2021** meeting but it conflicts with your schedule, please let me know and the review of your PAC may be moved to a later date.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

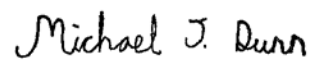
Prosperity for Maine's Future

Page 2

April 9, 2021

I am available to discuss this matter at any time if you have any questions regarding the enclosed materials or the overall process. Thank you for your attention in this matter.

Sincerely,

A handwritten signature in cursive script that reads "Michael J. Dunn".

Michael J. Dunn, Esq.

Political Committee and Lobbyist Registrar

Enclosures



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

To: Commissioners

From: Michael J. Dunn, Esq., Political Committee Registrar

Date: April 6, 2021

Re: Leadership PAC Review – Prosperity for Maine’s Future PAC

I. Overview of Findings

The Commission staff requested the Committee’s records on 12/08/2020. Records were provided to the Commission staff on or about 01/29/2021. A request for additional records was mailed on 03/09/2021. The additional records were received on or about 03/22/2021. Upon completion of its review, the Commission staff has found no potential violations, but found one exception. The Commission staff recommends no further action.

II. History of Committee

Prosperity for Maine’s Future PAC registered as a political action committee on 09/25/2013. Senator Matthew Pouliot is the Principal Officer, and Ms. Emily Roderick is the Treasurer. In 2020, the Committee raised \$65,515.00 and spent \$149,078.11.

III. Procedures

In the 12/08/2020 letter, the Commission staff requested the Committee produce the following 2020 records: (1) bank statements; (2) all receipts/invoices for all expenditures over \$50; (3) documentation of any new loans or debts; and (4) records from ActBlue/Anedot or similar fundraising services.

After receiving those records, the Commission staff reviewed the provided records against the reported transactions for incorrect reporting. Specifically, the Commission staff reviewed the records for: omitted or duplicate transactions, failure to itemize contributions, prohibited payments, misuse of funds for personal enrichment in violation

of 21-A M.R.S. § 1054-B, failure to keep records, improper contributions and other errors.

During its review of Prosperity for Maine's Future PAC, the Commission staff found that additional records would be required. On 03/09/2021, the Commission staff sent an email requesting the following:

- On 01/07/2020, the PAC reported receiving a \$25 contribution from Ms. Krysta West. Was this deposited, and if so when?
- On 10/06/2020, the PAC reported an expenditure to Red Maverick Media for \$200. Please provide the receipt for this transaction.
- The PAC provided a receipt dated 08/31/2020 from Walmart for \$195.77. This transaction was not reported and does not appear to have been withdrawn from the PAC account. Is this receipt related to the PAC?

The Commission staff received the PAC's response on 03/22/2021.

IV. Potential Violations

After reviewing the records provided on 01/29/2021 and 3/22/2021, the Commission staff did not find any discrepancies that would rise to a potential violation of Title 21-A.

V. Exceptions

After reviewing the records provided on 01/21/2021 and the additional records provided on 03/11/2021, the Commission staff found the following discrepancies that constitute an exception:

- On 10/21/2020, the PAC spent \$315 at USPS for a mailing. The PAC failed to obtain a receipt for that transaction.

VI. Conclusions and Recommendations

Based on the foregoing findings, the Commission staff recommends no further action be taken. Thank you for your attention in this matter.



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

December 8, 2020

Senator Matthew Pouliot
Prosperity for Maine's Future
14 North Street Place
Augusta, ME 4330

Ms. Emily Roderick
Prosperity for Maine's Future
4 Zarella Lane
Readfield, ME 4355

Re: 2020 Compliance Review of Leadership PACs

Dear Senator Pouliot & Ms. Roderick:

On November 18, 2020, the members of the Ethics Commission directed the Commission staff to begin a compliance review of Leadership PACs that raised or spent more than \$5,000 in 2020. A Leadership PAC is, for purposes of these reviews, a PAC that had an officer that also served as a Legislator in 2020. Based on the Commission's records, the Prosperity for Maine's Future falls into the category for this compliance review.

Please be aware that all committees who meet the above criteria will be reviewed for compliance with PAC laws. By being selected there is no inference on the part of the Commission that any incorrect or improper reporting or activity has taken place. For each PAC reviewed, the Commission staff will prepare and submit to the Commission members a report with the results of the compliance review. You will have the opportunity to review the report and submit any comments that you feel are necessary prior to the Commission's consideration of the staff's report.

In order to facilitate this review, we would appreciate you forwarding copies of the following records:

- All 2020 bank statements for Prosperity for Maine's Future;
- Receipt and/or invoices for all expenditures over \$50 incurred during 2020;
- Documentation of any new loans or debts, or any payments thereof in 2020; and
- Records from ActBlue, Anedot, or similar fundraising service of contributions received in 2020.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

The records should be submitted as hard copies, but digital versions would be acceptable in the following formats: .pdf, excel, or .csv. Digital submissions should be sent via email to me (michael.dunn@maine.gov). Please provide the requested records no later than **January 31, 2021**.

Please do not hesitate to contact me if you have any questions regarding this matter.

Sincerely,

Michael J. Dunn

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar



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

March 9, 2021

Hon. Matthew Gary Pouliot
Prosperity for Maine's Future
14 North St. Place
Augusta, ME 04330

Emily Roderick
Prosperity for Maine's Future
4 Zarella Lane
Readfield, ME 04355

Re: Request for Additional Information – 2020 Compliance Review of Leadership PACs

Dear Sen. Pouliot & Ms. Roderick:

Thank you for submitting the records that I requested in my December 8, 2020 letter. I have had an opportunity to review your submission and am writing with additional questions. Please submit your response at your earliest opportunity but no later than March 23, 2021. Please provide a letter and/or requested documents answering the following:

- On 01/07/2020, the PAC reported receiving a \$25 contribution from Ms. Krysta West. Was this deposited, and if so when?
- On 10/06/2020, the PAC reported an expenditure to Red Maverick Media for \$200. Please provide the receipt for this transaction.
- The PAC provided a receipt dated 08/31/2020 from Walmart for \$195.77. This transaction was not reported and does not appear to have been withdrawn from the PAC account. Is this receipt related to the PAC?

These requests are being made only to further assist in the Commission's review of the committee. There is no assertion of inaccurate reporting on the part of the Commission or staff. If you have any questions or concerns regarding these requests, I can be reached at (207) 287-4709 or Michael.Dunn@Maine.gov. Thank you for your attention in this matter.

Sincerely,

Michael J. Dunn, Esq.
Political Committee Registrar

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

March 22, 2021

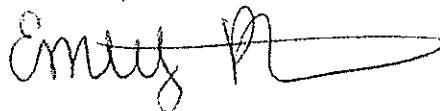
Dear Mr. Dunn and the Maine Ethics Commission,

Attached with this letter are the items requested in a letter on March 9, 2021. I will address each item requested below:

1. \$25 dollar contribution from Krysta West. This donation was deposited into the wrong account, after a call with Maine Ethics staff it was decided that we should deposit the money into the correct account using a check and in the memo state why. The transaction register and a copy of the check are attached to this to show that it was deposited on July 8, 2020. We were further instructed to amend the reports to reflect the donation when it was made and because it was an error by the financial institution there would be no penalties.
2. \$200 dollar invoice from Red Maverick Media from 10/06/2020. I have attached the original invoice that should be documented with the audit materials. It is exceedingly difficult to read and ridiculously small. I have obtained an original copy of the invoice and included that.
3. An invoice from Anna Zmistowski is included with the audit materials, the date of the invoice should be 8/3/2020. The Wal-Mart receipt should have been stapled to that invoice, as the receipt was provided to Prosperity for Maine's Future, we decided to include it to be transparent in the audit process. I am including a copy of the cancelled check for this invoice made out to Anna Zmistowski, the memo line reads, "Gas cards (7x100) and Supplies". The Wal-Mart receipt is the supplies referenced.

If Maine Ethics Commission has any further questions, please let us know.

Sincerely,

A handwritten signature in black ink, appearing to read "Emily Roderick", with a long horizontal flourish extending to the right.

Emily Roderick, Treasurer

Prosperity for Maine's Future PAC



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

2020 CAMPAIGN FINANCE REPORT

FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER	
PROSPERITY FOR MAINE'S FUTURE P.O. BOX 5224 AUGUSTA, ME 04332 PHONE:(207) 441-9418 EMAIL: POULIOT123@GMAIL.COM		Mrs. Emily Roderick 4 ZARELLA LANE READFIELD, ME 04355 PHONE: EMAIL: emroderick1@gmail.com	
REPORT	DUE DATE	REPORTING PERIOD	
42-Day Post-General Election Report	12/15/2020	10/21/2020 - 12/08/2020	

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$7,000.00	\$65,515.00
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)	\$7,000.00	\$65,515.00
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$1,019.53	\$24,234.53
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$8,276.13	\$123,243.58
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$9,295.66	\$147,478.11
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$4,241.96	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$7,000.00	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$9,295.66	
12. CASH BALANCE AT END OF PERIOD	\$1,946.30	
OTHER ACTIVITY		
13. IN-KIND CONTRIBUTIONS (SCHEDULE A-1)	\$0.00	\$2,506.12
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, Emily Roderick, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: Emily Roderick
 REPORT FILED ON: 12/15/2020 9:55:32 AM
 LAST MODIFIED:
 COMMITTEE ID: 4284

**SCHEDULE B-1
OPERATING EXPENDITURES**

EXPENDITURE TYPES				
APP	Apparel (t-shirts, hats, embroidery, etc.)	CON	Contribution to party committee, non-profit, other candidate, etc.	
EQP	Equipment of \$50 or more (computer, tablet, phone, furniture, etc.)	EVT	Campaign and fundraising events (venue or booth rental, entertainment, supplies, etc.)	
FOD	Food for campaign events or volunteers, catering	HRD	Hardware and small tools (hammer, nails, lumber, paint, etc.)	
LIT	Printed campaign materials (palmcards, signs, stickers, flyers, etc.)	MHS	Mail house and direct mail (design, printing, mailing, and postage all included)	
NEW	Newspaper and print media ads only	OFF	Office supplies, rent, utilities, internet service, phone minutes and data	
ONL	Social media and online advertising only	OTH	Other and fees (bank, contribution, and money order fees, etc.)	
PER	Personnel and campaign staff, consulting, and independent contractor costs	PHO	Phones (phone banking, robocalls and texts)	
POL	Polling and survey research	POS	Postage for U.S. Mail and mail box fees	
PRO	Professional services (graphic design, legal services, web design, etc.)	RAD	Radio ads, production costs	
TKT	Entrance cost to event (bean suppers, fairs, party events, etc.)	TRV	Travel (fuel, mileage, lodging, etc.)	
TVN	TV/cable ads, production, and media buyer costs only	WEB	Website and internet costs (website domain and registration, etc.)	

DATE OF EXPENDITURE	PAYEE	REMARK	TYPE	AMOUNT
10/21/2020	United States Postal Service 295 Water St Augusta, ME, 04330	Postage	POS	\$315.00
10/23/2020	STILL FED UP WITH TAXES 580 East Hebron Road Turner, ME, 04282	Donation	CON	\$2,500.00
10/27/2020	Anna Zmistowski 56 Parlin RD Phillips, ME, 04966	Gas Reimbursement	TRV	\$600.00
11/19/2020	The Sedgley Place 54 Sedgley RD Greene, ME, 04236	Reimbursement to PAC Officer on 12/15/2020	FOD	\$1,022.72
11/19/2020	Anna Zmistowski 56 Parlin RD Phillips, ME, 04966	Mileage	TRV	\$405.69
11/25/2020	Dylan Richmond 166 Smith Farm RD Mason Township, ME, 04217	Intern Bonus	PER	\$500.00
11/25/2020	Nick Brown 577 Lower Dedham RD Dedham, ME, 04429	Intern Bonus	PER	\$500.00
11/25/2020	Anna Zmistowski 56 Parlin RD Phillips, ME, 04966	Intern Bonus	PER	\$500.00
11/25/2020	Bailey Patenaude 22 Ward RD Topsham, ME, 04086	Intern Bonus	PER	\$500.00
11/25/2020	Miqueias Biasuz 139 Fieldstone DR Augusta, ME, 04330	Intern Bonus	PER	\$500.00

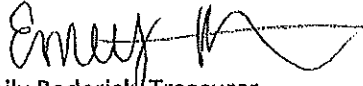
Missing Receipt

11/30/2020	OPA 139 Main ST Waterville, ME, 04901	Intern Dinner	FOD	\$432.72
11/30/2020	David Ballard 111 South St Farmington, ME, 04938	Intern Bonus	PER	\$500.00
TOTAL OPERATING EXPENDITURES				\$8,276.13

Dear Maine Ethics Commission,

I am writing to let you know that there is a purchase on October 21, 2020 of \$315 dollars from the Augusta Post Office. This receipt is not included with these documents as it was lost. I spoke with the postal employee, who checked the records and unfortunately the United State Post Office only keeps receipts on file for 60 days.

Respectfully,


Emily Roderick, Treasurer



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

To: Commission
From: Michael Dunn, Esq., Political Committee Registrar
Date: May 19, 2021
Re: Leadership PAC Investigation – Revive Hometown Maine PAC

On November 18, 2020, the Commission authorized an enhanced compliance review of fifteen (15) political action committees that, in 2020, were led by Legislators and raised or spent over \$5,000 in the year. The Commission staff sent the Revive Hometown Maine PAC an initial request for records on 12/08/2020. ETH. 5-6. After review, the Commission staff sent a supplemental request for records on 03/09/2021. ETH. 7. On April 2, 2021, the Commission staff emailed a follow-up reminder. ETH. 8. The Commission staff did not receive a response from Revive Hometown Maine PAC.

On 04/16/2021, the Commission staff mailed its preliminary findings to the Revive Hometown Maine PAC's officers requesting comment. ETH. 1-4. The Commission staff has not received a response. The Commission staff found no potential violations and three exceptions. The Commission staff is recommending that no further action be taken by the Commission.

LEGAL REQUIREMENTS

Reporting Expenditures. A PAC must report each expenditure made to initiate or influence any campaign and include the payee. 21-A M.R.S § 1060. An Independent Expenditure Report must also include the name of each payee. 21-A M.R.S. § 1019-B.

Debts. The placement of an order for a good or service; the signing of a contract for a good or service; the acceptance of the delivery of a good or the performance of a service by a vendor; or a promise or agreement that a payment will be made in exchange for a good or service are considered debts if they are incurred prior to payment for the goods or services is made. 94-270 C.M.R. Ch. 1 § 7(3). If the debt or obligation occurs in the same report period as the payment for that debt or obligation, the person filing the report shall report only the payment and not the debt or obligation. Id.

Responsiveness. On November 18, 2020, the Commission indicated that if a PAC was non-responsive to document requests that the Commission may consider the issue and take further action to compel the investigation under 21-A M.R.S. § 1003(1).

ANALYSIS AND STAFF RECOMMENDATION

During the Commission staff's review of the Revive Hometown Maine PAC's records, the Commission staff flagged three issues for further review:

1. On 10/09/2020, the PAC paid for independent expenditures to support Katrina Smith and Amanda Noelle Collamore, totaling \$1,084 between them. The candidates were listed as the payees, instead of Spectrum Marketing Company. The PAC attempted to correct this error on 12/14/2020 but was apparently unable to do so and did not contact the Commission staff for assistance.
2. The PAC entered a debt item for 09/23/2020 to USPS and reported a debt payment on 10/30/2020. The receipt provided shows the payment was made on 09/23/2020. Accordingly, this should have been entered as an expenditure and not a debt.
3. The PAC failed to respond to the Commission staff's supplemental request on 03/09/2021, which requested receipts for a 10/9/2020 payment of \$300 made by the PAC to Amanda Collamore and a 10/9/2020 payment of \$734 made by the PAC to Katrina Smith. The Commission staff emailed a follow-up on 04/02/2021. As of the date of this Memorandum, no response has been received. Because the PAC has not provided receipts for these two transactions, the Commission staff assumes the PAC did not obtain these two receipts.

Incorrect Payees. On 10/09/2020, the PAC made expenditures to Spectrum Marketing Company for \$1,084 to support the campaigns of Amanda Collamore and Katrina Smith. The report, however, show the payees as Amanda Collamore and Katrina Smith, in violation of the requirement that the payee be disclosed. 21-A M.R.S. § 1060; ETH. 13. The Commission staff requested a response from the PAC on 03/09/2021 but no response was received from the PAC.

The Commission staff considers this an exception. The Commission staff believes this was an honest error without intent to deceive the public regarding who was contracted for

the reported services. For this reason, the Commission staff considers this an exception and recommends no further action.

Incorrect Debt. On 09/23/2020, the PAC reported a debt to USPS and reported a payment of that debt on 10/30/2020. The PAC's records show that the PAC paid USPS on 09/23/2020 for the services that it reported as a debt. The Commission staff does not know why the PAC entered this transaction in this manner. The Commission staff doubts there was an intent to deceive the public. For these reasons, the Commission staff recommends that this is an exception and that no further action be taken by the Commission.

Failure to Respond. On 03/09/2021, the Commission staff requested receipts from the PAC regarding the expenditures to support Amanda Collamore and Katrina Smith. ETH. 7. The PAC did not respond to this request. After additional review, the Commission staff determined that the PAC had provided the receipt in response to the 12/08/2020 request but it was from the Spectrum Marketing Company. The Commission staff does not believe that any additional information is necessary at this time. The Commission staff recommends that this be treated as an exception and that no further action be taken by the Commission.

CONCLUSION

Based on the foregoing findings, the Commission staff recommends that no further action be taken regarding the Revive Hometown Maine PAC. Thank you for your attention in this matter.



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

April 16, 2021

Rep. Joel Stetkis
Revive Home Town Maine PAC
PO Box 336
Canaan, ME 4924

Mr. Scott Seekins
Revive Home Town Maine PAC
43 Corinna Road
St. Albans, ME 4924

Re: 2020 Compliance Review of Leadership PACs

Dear Rep. Stetkis & Mr. Seekins:

Thank you for providing the requested materials for the Revive Home Town Maine PAC. I have concluded my review and made my preliminary findings, which are summarized in the enclosed memorandum and materials. Please review the enclosed materials carefully as they will be presented to the Commission.

The purpose of providing these materials to you is to invite you to comment on my preliminary findings. You may provide a written letter along with any supporting documentation that you believe is appropriate. If you believe that certain factual findings are inaccurate, you are welcome to submit information that disputes those findings. You may also wish to correct any errors that you agree with prior to the Commission meeting (if you do so, please let me know in a letter). Please submit any written comments no later than **May 7, 2021**.

After receiving your comments, the Commission staff will submit the enclosed materials, your comments, and, if necessary, a cover memorandum detailing any factual corrections/updates to the Commission. The Commission will consider the Commission staff's findings at the **May 26, 2021** meeting. If the staff's findings indicate that a potential violation was found, then the Committee is encouraged to participate in the meeting. If the findings show only exceptions, then the committee officers are invited to attend at their option. If you wish to attend the **May 26, 2021** meeting but it conflicts with your schedule, please let me know and the review of your PAC may be moved to a later date.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

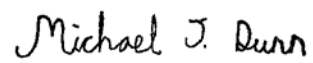
Revive Home Town Maine PAC

Page 2

April 9, 2021

I am available to discuss this matter at any time if you have any questions regarding the enclosed materials or the overall process. Thank you for your attention in this matter.

Sincerely,

A handwritten signature in cursive script that reads "Michael J. Dunn".

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar

Enclosures



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

To: Commissioners
From: Michael J. Dunn, Esq., Political Committee Registrar
Date: April 7, 2021
Re: Leadership PAC Review – Revive Hometown Maine PAC

I. Overview of Findings

The Commission staff requested the Committee's records on 12/08/2020. The PAC provided the requested records on or about 01/12/2020. The Commission staff requested additional records on 03/09/2021, no response has been received by the Committee. Upon completion of its review, the Commission staff has found no potential violations, but found three exceptions. The Commission staff recommends no further action.

II. History of Committee

Revive Hometown Maine PAC registered as a political action committee on 10/17/2017. Representative Joel Stetkis is the principal officer, and Mr. Scott Seekins is the treasurer. In 2020, the Committee raised \$36,050.00 and spent \$31,998.31.

III. Procedures

In the 12/08/2020 letter, the Commission staff requested the Committee produce the following 2020 records: (1) bank statements; (2) receipts/invoices for all expenditures over \$50; (3) documentation of any new loans or debts; and (4) records from ActBlue/Anedot or similar fundraising services.

After receiving those records, the Commission staff reviewed the provided records against the reported transactions for incorrect reporting. Specifically, the Commission staff reviewed the records for: omitted or duplicate transactions, failure to itemize contributions, prohibited payments, misuse of funds for personal enrichment in violation of 21-A M.R.S. § 1054-B, failure to keep records, improper contributions and other errors.

IV. Potential Violations

After reviewing the records provided, the Commission staff did not find any discrepancies that would rise to a potential violation of Title 21-A.

V. Exceptions

After reviewing the records provided, the Commission staff found the following discrepancies that constitute exceptions:

- On 10/09/2020, the PAC paid for independent expenditures to support Katrina Smith and Amanda Noelle Collamore, totaling \$1,084 between them. The candidates were listed as the payees, instead of Spectrum Marketing Company. The PAC attempted to correct this error on 12/14/2020 but was apparently unable to do so and did not contact the Commission staff for assistance.
- The PAC entered a debt item for 09/23/2020 to the USPS and reported a debt payment on 10/30/2020. The receipt provided shows the payment was made on 09/23/2020. Accordingly, this should have been entered as an expenditure and not a debt.
- The PAC failed to respond to the staff's supplemental request on 03/09/2021, which requested receipts for a 10/9/2020 payment of \$300 made by the PAC to Amanda Collamore and a 10/9/2020 payment of \$734 made by the PAC to Katrina Smith. Commission staff emailed a follow-up on 04/02/2021. As of the date of this Memorandum, no response has been received. Because the PAC has not provided receipts for these two transactions, the Commission staff assumes the PAC did not obtain these two receipts.

VI. Conclusions and Recommendations

Based on the foregoing findings, the Commission staff recommends no further action be taken against this PAC. The Commission staff will assist the PAC in making the necessary corrections to their reports.

Thank you for your attention in this matter.



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

December 8, 2020

Rep. Joel Stetkis
Revive Home Town Maine PAC
PO Box 336
Canaan, ME 4924

Mr. Scott Seekins
Revive Home Town Maine PAC
43 Corinna Road
St. Albans, ME 4924

Re: 2020 Compliance Review of Leadership PACs

Dear Rep. Stetkis & Mr. Seekins:

On November 18, 2020, the members of the Ethics Commission directed the Commission staff to begin a compliance review of Leadership PACs that raised or spent more than \$5,000 in 2020. A Leadership PAC is, for purposes of these reviews, a PAC that had an officer that also served as a Legislator in 2020. Based on the Commission's records, the Revive Home Town Maine PAC falls into the category for this compliance review.

Please be aware that all committees who meet the above criteria will be reviewed for compliance with PAC laws. By being selected there is no inference on the part of the Commission that any incorrect or improper reporting or activity has taken place. For each PAC reviewed, the Commission staff will prepare and submit to the Commission members a report with the results of the compliance review. You will have the opportunity to review the report and submit any comments that you feel are necessary prior to the Commission's consideration of the staff's report.

In order to facilitate this review, we would appreciate you forwarding copies of the following records:

- All 2020 bank statements for Revive Home Town Maine PAC;
- Receipt and/or invoices for all expenditures over \$50 incurred during 2020;
- Documentation of any new loans or debts, or any payments thereof in 2020; and
- Records from ActBlue, Anedot, or similar fundraising service of contributions received in 2020.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

The records should be submitted as hard copies, but digital versions would be acceptable in the following formats: .pdf, excel, or .csv. Digital submissions should be sent via email to me (michael.dunn@maine.gov). Please provide the requested records no later than **January 31, 2021**.

Please do not hesitate to contact me if you have any questions regarding this matter.

Sincerely,

Michael J. Dunn

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar



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

March 9, 2021

Hon. Joel Stetkis
Revive Home Town Maine PAC
PO Box 336
Canaan, ME 04924

Scott Seekins
Revive Home Town Maine PAC
43 Corinna Rd.
St. Albans, ME 04924

Re: Request for Additional Information – 2020 Compliance Review of Leadership PACs

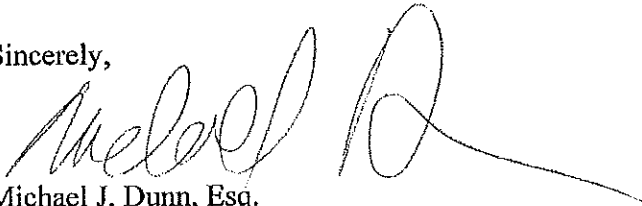
Dear Rep. Stetkis & Mr. Seekins

Thank you for submitting the records that I requested in my December 8, 2020 letter. I have had an opportunity to review your submission and am writing with additional questions. Please submit your response at your earliest opportunity but no later than March 23, 2021. Please provide a letter and/or requested documents answering the following:

- On 10/9/2020 the PAC reported an expenditure of \$300 to Amanda Collamore. Please provide a copy of that receipt.
- On 10/9/2020 the PAC reported an expenditure of \$734 to Katrina Smith. Please provide a copy of that receipt.

These requests are being made only to further assist in the Commission's review of the committee. There is no assertion of inaccurate reporting on the part of the Commission or staff. If you have any questions or concerns regarding these requests, I can be reached at (207) 287-4709 or Michael.Dunn@Maine.gov. Thank you for your attention in this matter.

Sincerely,


Michael J. Dunn, Esq.
Political Committee Registrar

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

ETH. 7

Dunn, Michael

From: Dunn, Michael
Sent: Friday, April 2, 2021 11:22 AM
To: 'Revivepac@outlook.com'; 'hiscott@tds.net'
Subject: FW: Leadership PAC Review - Request for Additional Information
Attachments: Revive Hometown Maine PAC.pdf

Good Morning:

I don't believe that I've received a response regarding the below request.

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar
Maine Ethics Commission
135 State House Station
Augusta, Maine 04333
Phone: (207) 287-4179 Fax: (207) 287-6775

Confidentiality Notice | This e-mail message, including any attachments, has been sent from the Commission on Governmental Ethics and is for the sole use of the intended recipient(s). If you are not the intended recipient, you are asked not to distribute this message. If you are not the intended recipient, please delete it and contact the sender by reply e-mail. Thank you.

From: Brann, Lorrie J <Lorrie.J.Brann@maine.gov> **On Behalf Of** Dunn, Michael
Sent: Tuesday, March 9, 2021 9:12 AM
To: Revivepac@outlook.com; hiscott@tds.net
Cc: Dunn, Michael <Michael.Dunn@maine.gov>
Subject: Leadership PAC Review - Request for Additional Information

Good morning Representative Stetkis and Mr. Seekins:

Thank you for submitting the requested information. Attached is a letter that requests for additional information. The letter has also been mailed to you.

Please do not hesitate to contact me if you have any questions regarding the attached letter.

Sincerely,

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar
Maine Ethics Commission
135 State House Station
Augusta, Maine 04333
Phone: (207) 287-4179 Fax: (207) 287-6775

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



2020 CAMPAIGN FINANCE REPORT
FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER	
Revive Home Town Maine PAC P.O. Box 336 Canaan, ME 04924 PHONE: (207) 399-7801 EMAIL: Revivepac@outlook.com		Mr. Scott Seekins 43 Corinna Rd St. Albans, ME 04924 PHONE: EMAIL: hiscott@tds.net	
REPORT	DUE DATE	REPORTING PERIOD	
October Quarterly Report	10/05/2020	08/19/2020 - 09/30/2020	

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$12,750.00	\$15,350.00
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)	\$12,750.00	\$15,350.00
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$5,775.54	\$5,775.54
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$2,165.00	\$5,015.00
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$7,940.54	\$10,790.54
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$4,260.02	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$12,750.00	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$7,940.54	
12. CASH BALANCE AT END OF PERIOD	\$9,069.48	
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)	\$165.00	

I, Joel R Stetkis, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: Joel R Stetkis
 REPORT FILED ON: 10/7/2020 9:33:38 AM
 LAST MODIFIED: 12/10/2020 7:02:11 PM
 COMMITTEE ID: 5686

**SCHEDULE B-1
OPERATING EXPENDITURES**

EXPENDITURE TYPES				
APP	Apparel (t-shirts, hats, embroidery, etc.)	CON	Contribution to party committee, non-profit, other candidate, etc.	
EQP	Equipment of \$50 or more (computer, tablet, phone, furniture, etc.)	EVT	Campaign and fundraising events (venue or booth rental, entertainment, supplies, etc.)	
FOD	Food for campaign events or volunteers, catering	HRD	Hardware and small tools (hammer, nails, lumber, paint, etc.)	
LIT	Printed campaign materials (palmcards, signs, stickers, flyers, etc.)	MHS	Mail house and direct mail (design, printing, mailing, and postage all included)	
NEW	Newspaper and print media ads only	OFF	Office supplies, rent, utilities, internet service, phone minutes and data	
ONL	Social media and online advertising only	OTH	Other and fees (bank, contribution, and money order fees, etc.)	
PER	Personnel and campaign staff, consulting, and independent contractor costs	PHO	Phones (phone banking, robocalls and texts)	
POL	Polling and survey research	POS	Postage for U.S. Mail and mail box fees	
PRO	Professional services (graphic design, legal services, web design, etc.)	RAD	Radio ads, production costs	
TKT	Entrance cost to event (bean suppers, fairs, party events, etc.)	TRV	Travel (fuel, mileage, lodging, etc.)	
TVN	TV/cable ads, production, and media buyer costs only	WEB	Website and internet costs (website domain and registration, etc.)	
DATE OF EXPENDITURE	PAYEE	REMARK	TYPE	AMOUNT
9/14/2020	WOMEN'S LEADERSHIP FUND PO Box 166 Warren, ME, 04864	Contribution	CON	\$2,000.00
9/23/2020	US Post office MAIN STREET CANAAN, ME, 04924	POSTAGE for fundraising cards	POS	\$165.00
TOTAL OPERATING EXPENDITURES				\$2,165.00

**SCHEDULE D
UNPAID DEBTS AND OBLIGATIONS**

- A debt or obligation is incurred if a committee places an order for a good or service without making a payment; makes a promise or agreement to pay for a good or service; signs a contract for a good or service; or receives delivery of a good or service for which the committee has not paid.
- This schedule is a list of all debts and obligations of the committee as of the end of this reporting period.

DATE OF OBLIGATION	CREDITOR	DESCRIPTION	AMOUNT
9/23/2020	US Post office MAIN STREET CANAAN, ME, 04924	Postage for U.S. Mail and mail box fees Postage	\$165.00
TOTAL UNPAID DEBTS AND OBLIGATIONS			\$165.00

Should not be a debt

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



2020 CAMPAIGN FINANCE REPORT

FOR POLITICAL ACTION COMMITTEES

COMMITTEE		TREASURER	
Revive Home Town Maine PAC P.O. Box 336 Canaan, ME 04924 PHONE: (207) 399-7801 EMAIL: Revivepac@outlook.com		Mr. Scott Seekins 43 Corinna Rd St. Albans, ME 04924 PHONE: EMAIL: hiscott@tds.net	
REPORT	DUE DATE	REPORTING PERIOD	
11-Day Pre-General Election Report	10/23/2020	10/01/2020 - 10/20/2020	

FINANCIAL ACTIVITY SUMMARY

RECEIPTS	TOTAL FOR PERIOD	TOTAL FOR YEAR
1. CASH CONTRIBUTIONS (SCHEDULE A)	\$10,700.00	\$26,050.00
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)	\$10,700.00	\$26,050.00
EXPENDITURES		
5. EXPENDITURES TO SUPPORT OR OPPOSE (SCHEDULE B)	\$13,700.27	\$19,475.81
6. OPERATING EXPENDITURES (SCHEDULE B-1)	\$0.00	\$5,015.00
7. LOAN REPAYMENTS (SCHEDULE C)	\$0.00	\$0.00
8. TOTAL PAYMENTS (LINE 5 + 6 + 7)	\$13,700.27	\$24,490.81
CASH SUMMARY		
9. CASH BALANCE AT BEGINNING OF PERIOD	\$9,069.48	
10. PLUS TOTAL RECEIPTS THIS PERIOD (LINE 4)	\$10,700.00	
11. MINUS TOTAL PAYMENTS THIS PERIOD (LINE 8)	\$13,700.27	
12. CASH BALANCE AT END OF PERIOD	\$6,069.21	
OTHER ACTIVITY		
13. IN-KIND CONTRIBUTIONS (SCHEDULE A-1)	\$151.67	\$151.67
14. TOTAL LOAN BALANCE AT END OF PERIOD (SCHEDULE C)	\$0.00	
15. TOTAL UNPAID DEBTS AT END OF PERIOD (SCHEDULE D)	\$185.00	

I, Joel R Stetkis, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE, AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

REPORT FILED BY: Joel R Stetkis
 REPORT FILED ON: 10/21/2020 4:28:48 PM
 LAST MODIFIED: 12/14/2020 5:36:46 AM
 COMMITTEE ID: 5686

**SCHEDULE B
EXPENDITURES TO SUPPORT OR OPPOSE**

EXPENDITURE TYPES				
APP	Apparel (t-shirts, hats, embroidery, etc.)	CON	Contribution to party committee, non-profit, other candidate, etc.	
EQP	Equipment of \$50 or more (computer, tablet, phone, furniture, etc.)	EVT	Campaign and fundraising events (venue or booth rental, entertainment, supplies, etc.)	
FOD	Food for campaign events or volunteers, catering	HRD	Hardware and small tools (hammer, nails, lumber, paint, etc.)	
LIT	Printed campaign materials (palmcards, signs, stickers, flyers, etc.)	MHS	Mail house and direct mail (design, printing, mailing, and postage all included)	
NEW	Newspaper and print media ads only	OFF	Office supplies, rent, utilities, internet service, phone minutes and data	
ONL	Social media and online advertising only	OTH	Other and fees (bank, contribution, and money order fees, etc.)	
PER	Personnel and campaign staff, consulting, and independent contractor costs	PHO	Phones (phone banking, robocalls and texts)	
POL	Polling and survey research	POS	Postage for U.S. Mail and mail box fees	
PRO	Professional services (graphic design, legal services, web design, etc.)	RAD	Radio ads, production costs	
TKT	Entrance cost to event (bean suppers, fairs, party events, etc.)	TRV	Travel (fuel, mileage, lodging, etc.)	
TVN	TV/cable ads, production, and media buyer costs only	WEB	Website and internet costs (website domain and registration, etc.)	

DATE OF EXPENDITURE	PAYEE	REMARK	TYPE	AMOUNT
10/9/2020	Amanda Noelle Collamore 173 Library Street Pittsfield, ME, 04967	Campaign materials PAYMENT OF \$325.00 TO SUPPORT: Amanda Noelle Collamore Jurisdiction: State. Party: Republican. Office: Representative. ELECTION YEAR: 2020.	LIT	\$325.00
10/9/2020	Amanda Noelle Collamore 173 Library Street Pittsfield, ME, 04967	Campaign materials PAYMENT OF \$350.00 TO SUPPORT: Amanda Noelle Collamore Jurisdiction: State. Party: Republican. Office: Representative. ELECTION YEAR: 2020.	LIT	\$350.00
10/9/2020	Katrina J. Smith 627 Chisholm Pond Road Palermo, ME, 04354	campaign materials PAYMENT OF \$709.00 TO SUPPORT: Katrina J. Smith Jurisdiction: State. Party: Republican. Office: Representative. ELECTION YEAR: 2020.	LIT	\$709.00
10/9/2020	Katrina J. Smith 627 Chisholm Pond Road Palermo, ME, 04354	campaign materials PAYMENT OF \$734.00 TO SUPPORT: Katrina J. Smith Jurisdiction: State. Party: Republican. Office: Representative. ELECTION YEAR: 2020.	LIT	\$734.00
10/11/2020	Town Square Media 551 Main street Pesque Isle, ME, 04769	Campaign ad PAYMENT OF \$4,800.00 TO OPPOSE: Troy D. Jackson Jurisdiction: State. Party: Democratic. Office: Senator. ELECTION YEAR: 2020.	RAD	\$4,800.00

Incorrect Payee

Incorrect Payee

10/12/2020	The Rolling Thunder Express 134A MAIN STREET NEWPORT, ME, 04953	Newspaper insert PAYMENT OF \$143.00 TO SUPPORT: Amanda Noelle Collamore Jurisdiction: State. Party: Republican. Office: Representative. ELECTION YEAR: 2020.	NEW	\$143.00
10/17/2020	SPECTRUM MARKETING COMPANIES, INC. 95 EDDY RD SUITE 101 MANCHESTER, NH, 03102	mail PAYMENT OF \$1,116.80 TO SUPPORT: H. Sawin Millett Jurisdiction: State. Party: Republican. Office: Representative. ELECTION YEAR: 2020.	MHS	\$1,116.80
10/17/2020	SPECTRUM MARKETING- COMPANIES, INC. 95 EDDY RD- SUITE 101- MANCHESTER, NH, 03102	mail PAYMENT OF \$1,343.61 TO SUPPORT: Daniel J. Newman Jurisdiction: State. Party: Republican. Office: Representative. ELECTION YEAR: 2020.-	MHS	\$1,343.64
10/17/2020	SPECTRUM MARKETING- COMPANIES, INC. 95 EDDY RD- SUITE 101- MANCHESTER, NH, 03102	mail PAYMENT OF \$1,343.56 TO SUPPORT: Daniel J. Newman Jurisdiction: State. Party: Republican. Office: Representative. ELECTION YEAR: 2020.-	MHS	\$1,343.66
10/17/2020	SPECTRUM MARKETING COMPANIES, INC. 95 EDDY RD SUITE 101 MANCHESTER, NH, 03102	mail PAYMENT OF \$1,343.66 TO SUPPORT: Daniel J. Newman Jurisdiction: State. Party: Republican. Office: Representative. ELECTION YEAR: 2020.	MHS	\$1,343.66
10/17/2020	SPECTRUM MARKETING COMPANIES, INC. 95 EDDY RD SUITE 101 MANCHESTER, NH, 03102	mail PAYMENT OF \$1,352.50 TO SUPPORT: Katrina J. Smith Jurisdiction: State. Party: Republican. Office: Representative. ELECTION YEAR: 2020.	MHS	\$1,352.50
10/17/2020	SPECTRUM MARKETING COMPANIES, INC. 95 EDDY RD SUITE 101 MANCHESTER, NH, 03102	mail PAYMENT OF \$1,111.80 TO SUPPORT: Josanne Dolloff Jurisdiction: State. Party: Republican. Office: Representative. ELECTION YEAR: 2020.	MHS	\$1,111.80
10/17/2020	SPECTRUM MARKETING COMPANIES, INC. 95 EDDY RD SUITE 101 MANCHESTER, NH, 03102	mail PAYMENT OF \$1,546.51 TO SUPPORT: Frances Head Jurisdiction: State. Party: Republican. Office: Representative. ELECTION YEAR: 2020.	MHS	\$1,546.51

10/18/2020	ChannelXRadio 152 East Greenridge Road Caribou, ME, 04736	Radio ad PAYMENT OF \$902.00 TO OPPOSE: Troy D. Jackson Jurisdiction: State. Party: Democratic. Office: Senator. ELECTION YEAR: 2020.	RAD	\$902.00
10/19/2020	WKTJ radio PO BOX 590 Farmington, ME, 04938	radio ad PAYMENT OF \$300.00 TO SUPPORT: Lance E. Harvell Jurisdiction: County. Party: Republican. Office: County Commissioner. ELECTION YEAR: 2020.	RAD	\$300.00
TOTAL EXPENDITURES TO SUPPORT OR OPPOSE:				\$13,700.27



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

To: Commission
From: Michael Dunn, Esq., Political Committee Registrar
Date: May 19, 2021
Re: Leadership PAC Investigation – Still Fed up with Taxes PAC

On November 18, 2020, the Commission authorized an enhanced compliance review of fifteen (15) political action committees that, in 2020, were led by Legislators and raised or spent over \$5,000 in the year. The Commission staff sent the Still Fed up with Taxes PAC an initial request for records on 12/08/2020. ETH. 5-6. After review, the Commission staff sent a supplemental request for records on 03/09/2021, which were received on 03/12/2021. ETH. 7-9. On 04/12/2021, the Commission staff mailed its preliminary findings of no potential violations and no exceptions to the Still Fed up with Taxes PAC's officers requesting comment. ETH. 1-4. The Commission staff has not received a response to its proposed findings. The Commission staff is recommending no further action regarding the Still Fed up with Taxes PAC.

LEGAL REQUIREMENTS

Receipt Retention. The treasurer of a PAC shall retain a vendor invoice or receipt stating the particular goods or services purchased for every expenditure in excess of \$50 to initiate or influence a campaign. 21-A M.R.S. § 1057(2).

Reporting Contributions. A PAC who receives more than \$50 in contributions from a person must itemize their contributions and include the person's name, occupation, place of business, and mailing address. 21-A M.R.S. § 1060(6).

Reporting Expenditures. A PAC must report all expenditures to initiate or influence a campaign and include the payee, purpose, whether it was to support or oppose a candidate or referendum. 21-A M.R.S. § 1060(4). The PAC must also report operational expenditures that are not made for the purpose of influencing a campaign. 21-A M.R.S. § 1060(4).

ANALYSIS AND STAFF RECOMMENDATION

During the Commission staff's initial review of the Still Fed up with Taxes PAC's records, the Commission staff flagged three issues for further review:

1. On 08/27/2020, the PAC spent \$126 at Turner Fuel Up. The Commission staff requested the receipt for this expenditure.
2. The Commission staff requested a Deposit Detail Summary for 2020.
3. The Commission staff requested additional information regarding an entry in the PAC bank statements for an 08/26/2020 payment of \$454.10 to the PAC treasurer, Ms. Michelle Brown.

Missing Receipt. In the initial materials provided in January 2021, the receipt for \$126 to Turner Fuel Up was omitted from the PAC's materials. After making a supplemental request, the PAC provided that receipt. ETH. 9. The Commission staff considers this issue resolved.

Deposit Detail Summary. In a few instances of reviewing the leadership PACs, the Commission staff felt that additional information regarding the contributions and their deposit dates was required to accurately review the files. After reviewing the additional information from the PAC, the Commission staff was able match all deposits to their reported contributions. The Commission staff considers this issue resolved.

Payment to Ms. Brown. The Commission staff requested information concerning a payment by the PAC of \$454.10 to Ms. Michelle Brown in the bank records. The PAC clarified that Ms. Brown had made a purchase at Office Depot in the amount of \$454.10 and was later reimbursed by the PAC. The PAC correctly reported the payee for this expenditure as Office Depot. The Commission staff considers this issue resolved.

CONCLUSION

Based on the foregoing findings and recommendations, the Commission staff recommends that no further action be taken regarding the Still Fed up with Taxes PAC. Thank you for your attention in this matter.



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

April 16, 2021

Senator Jeffrey Timberlake
Still Fed Up with Taxes
284 Ricker Hill Road
Turner, ME 4282

Ms. Michelle Brown
Still Fed Up with Taxes
580 E. Hebron Road
Turner, ME 4282

Re: 2020 Compliance Review of Leadership PACs

Dear Senator Timberlake & Ms. Brown:

Thank you for providing the requested materials for the Still Fed Up with Taxes. I have concluded my review and made my preliminary findings, which are summarized in the enclosed memorandum and materials. Please review the enclosed materials carefully as they will be presented to the Commission.

The purpose of providing these materials to you is to invite you to comment on my preliminary findings. You may provide a written letter along with any supporting documentation that you believe is appropriate. If you believe that certain factual findings are inaccurate, you are welcome to submit information that disputes those findings. You may also wish to correct any errors that you agree with prior to the Commission meeting (if you do so, please let me know in a letter). Please submit any written comments no later than **May 7, 2021**.

After receiving your comments, the Commission staff will submit the enclosed materials, your comments, and, if necessary, a cover memorandum detailing any factual corrections/updates to the Commission. The Commission will consider the Commission staff's findings at the **May 26, 2021** meeting. If the staff's findings indicate that a potential violation was found, then the Committee is encouraged to participate in the meeting. If the findings show only exceptions, then the committee officers are invited to attend at their option. If you wish to attend the **May 26, 2021** meeting but it conflicts with your schedule, please let me know and the review of your PAC may be moved to a later date.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

Still Fed Up with Taxes

Page 2

April 9, 2021

I am available to discuss this matter at any time if you have any questions regarding the enclosed materials or the overall process. Thank you for your attention in this matter.

Sincerely,

Michael J. Dunn

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar

Enclosures



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

To: Commissioners
From: Michael J. Dunn, Esq., Political Committee Registrar
Date: April 7, 2021
Re: Leadership PAC Review – Still Fed Up With Taxes

I. Overview of Findings

The Commission staff requested the Committee's records on 12/08/2020. Records were provided to the Commission staff on or about 01/21/2021. A request for additional records was mailed on 03/09/2021. The additional records were received on or about 03/11/2021. Upon completion of its review, the Commission staff has found no potential violations and no exceptions. The Commission staff recommends no further action.

II. History of Committee

Still Fed Up With Taxes registered as a political action committee on 06/24/2009. Senator Jeffrey Timberlake became the Principal Officer on 01/13/2012. Ms. Michelle Brown was the treasurer of record for 2020. In 2020, the Committee raised \$109,313.20 and spent \$152,774.33.

III. Procedures

In the 12/08/2020 letter, the Commission staff requested the Committee produce the following 2020 records: (1) bank statements; (2) all receipts/invoices for all expenditures over \$50; (3) documentation of any new loans or debts; and (4) records from ActBlue/Anedot or similar fundraising services.

After receiving those records, the Commission staff reviewed the provided records against the reported transactions for incorrect reporting. Specifically, the Commission staff reviewed the records for: omitted or duplicate transactions, failure to itemize contributions, prohibited payments, misuse of funds for personal enrichment in violation

of 21-A M.R.S. § 1054-B, failure to keep records, improper contributions and other errors.

During its review of Still Fed Up With Taxes, the Commission staff found that additional records would be required. On 03/09/2021, staff sent an email request for:

- (1) an 08/27/2020 receipt to Turner Fuel Up for \$126;
- (2) a Deposit Detail Summary; and
- (3) more information regarding a cash withdrawal by Ms. Brown.

The additional records were provided on 03/11/2021.

IV. Potential Violations

After reviewing the records provided on 01/21/2021 and the additional records provided on 03/11/2021, the Commission staff did not find any discrepancies that would rise to a potential violation of Title 21-A.

V. Exception

After reviewing the records provided on 01/21/2021 and the additional records provided on 03/11/2021, the Commission staff did not find any discrepancies that would be considered an exception of Title 21-A.

VI. Conclusions and Recommendations

Based on the foregoing findings, the Commission staff does not recommend any further action regarding Still Fed Up With Taxes.

Thank you for your attention in this matter.



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

December 8, 2020

Senator Jeffrey Timberlake
Still Fed Up with Taxes
284 Ricker Hill Road
Turner, ME 4282

Ms. Michelle Brown
Still Fed Up with Taxes
580 E. Hebron Road
Turner, ME 4282

Re: 2020 Compliance Review of Leadership PACs

Dear Senator Timberlake & Ms. Brown:

On November 18, 2020, the members of the Ethics Commission directed the Commission staff to begin a compliance review of Leadership PACs that raised or spent more than \$5,000 in 2020. A Leadership PAC is, for purposes of these reviews, a PAC that had an officer that also served as a Legislator in 2020. Based on the Commission's records, the Still Fed Up with Taxes falls into the category for this compliance review.

Please be aware that all committees who meet the above criteria will be reviewed for compliance with PAC laws. By being selected there is no inference on the part of the Commission that any incorrect or improper reporting or activity has taken place. For each PAC reviewed, the Commission staff will prepare and submit to the Commission members a report with the results of the compliance review. You will have the opportunity to review the report and submit any comments that you feel are necessary prior to the Commission's consideration of the staff's report.

In order to facilitate this review, we would appreciate you forwarding copies of the following records:

- All 2020 bank statements for Still Fed Up with Taxes;
- Receipt and/or invoices for all expenditures over \$50 incurred during 2020;
- Documentation of any new loans or debts, or any payments thereof in 2020; and
- Records from ActBlue, Anedot, or similar fundraising service of contributions received in 2020.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

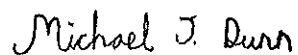
PHONE: (207) 287-4179

FAX: (207) 287-6775

The records should be submitted as hard copies, but digital versions would be acceptable in the following formats: .pdf, excel, or .csv. Digital submissions should be sent via email to me (michael.dunn@maine.gov). Please provide the requested records no later than **January 31, 2021**.

Please do not hesitate to contact me if you have any questions regarding this matter.

Sincerely,

A handwritten signature in cursive script that reads "Michael J. Dunn".

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar



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

March 9, 2021

Hon. Jeffrey Timberlake
Still Fed Up with Taxes
284 Ricker Hill Road
Turner, ME 04282

Ms. Michelle Brown
Still Fed Up with Taxes
580 E. Hebron Road
Turner, ME 04282

Re: Request for Additional Information – 2020 Compliance Review of Leadership PACs


Dear Sen. Timberlake & Ms. Brown:

Thank you for submitting the records that I requested in my December 8, 2020 letter. I have had an opportunity to review your submission and am writing with additional questions. Please submit your response at your earliest opportunity but no later than March 23, 2021. Please provide more information regarding the following:

- On August 27, 2020, the Committee reported a \$126 expenditure to Turner Fuel Up. Please provide the receipt for this transaction.
- Please provide the deposit slips and copies of the deposited checks for 2020. Alternatively, you may prepare a list of each contribution and its deposit date for 2020 in a spreadsheet format.
- On 08/25/2020, there was a withdrawal to Ms. Brown, totaling \$454.10. Please indicate the purpose of that withdrawal; if it was a reimbursement, what transactions were being reimbursed?

These requests are being made only to further assist in the Commission's review of the committee. There is no assertion of inaccurate reporting on the part of the Commission or staff. If you have any questions or concerns regarding these requests, I can be reached at (207) 287-4709 or Michael.Dunn@Maine.gov. Thank you for your attention in this matter.

Sincerely,


Michael J. Dunn, Esq.
Political Committee Registrar

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

**SCHEDULE B-1
OPERATING EXPENDITURES**

EXPENDITURE TYPES				
APP	Apparel (t-shirts, hats, embroidery, etc.)	CON	Contribution to party committee, non-profit, other candidate, etc.	
EQP	Equipment of \$50 or more (computer, tablet, phone, furniture, etc.)	EVT	Campaign and fundraising events (venue or booth rental, entertainment, supplies, etc.)	
FOD	Food for campaign events or volunteers, catering	HRD	Hardware and small tools (hammer, nails, lumber, paint, etc.)	
LIT	Printed campaign materials (palmcards, signs, stickers, flyers, etc.)	MHS	Mail house and direct mail (design, printing, mailing, and postage all included)	
NEW	Newspaper and print media ads only	OFF	Office supplies, rent, utilities, internet service, phone minutes and data	
ONL	Social media and online advertising only	OTH	Other and fees (bank, contribution, and money order fees, etc.)	
PER	Personnel and campaign staff, consulting, and independent contractor costs	PHO	Phones (phone banking, robocalls and texts)	
POL	Polling and survey research	POS	Postage for U.S. Mail and mail box fees	
PRO	Professional services (graphic design, legal services, web design, etc.)	RAD	Radio ads, production costs	
TKT	Entrance cost to event (bean suppers, fairs, party events, etc.)	TRV	Travel (fuel, mileage, lodging, etc.)	
TVN	TV/cable ads, production, and media buyer costs only	WEB	Website and internet costs (website domain and registration, etc.)	
DATE OF EXPENDITURE	PAYEE	REMARK	TYPE	AMOUNT
7/16/2020	OFFICE DEPOT -ONLINE 3300 NORTH MILITARY TRAIL BOCA RATON, FL, 33496	OFFICE SUPPLIES-REM TO MICHELLE BROWN	OFF	\$454.10
7/16/2020	AARON KREGENOW 16 COLUMBIA ST AUGUSTA, ME, 04330	REM TO AARON FOR TRAVEL EXPENSE	TRV	\$126.68
8/11/2020	RICKER HILL FARM RICKER HILL RD TURNER, ME, 04282	8/11 FUNDRAISER FOOD AND DRINKS	FOD	\$270.86
8/11/2020	FOODCITY TURNER RT 4 TURNNER, ME, 04282	8/11 FUNDRAISER FOOD AND DRINKS	FOD	\$70.15
TOTAL OPERATING EXPENDITURES				\$921.79



FUEL UP LLC

[FOLLOW](#)

[1355 AUBURN RD STE 11](#)
[TURNER, ME 04282](#)
[+1 207-513-2189](#)

Subtotal


\$126.00

Total \$ **126**⁰⁰

PAYMENT ID: QZN6PMBXC5Z5A
Cashier: Employee

[Show Details](#)

DATE
August 26, 2020
6:43 am

US DEBIT

9551





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

To: Commission
From: Michael Dunn, Esq., Political Committee Registrar
Date: May 19, 2021
Re: Leadership PAC Investigation – Sunshine Hill PAC

On November 18, 2020, the Commission authorized an enhanced compliance review of fifteen (15) political action committees that, in 2020, were led by Legislators and raised or spent over \$5,000 in the year. The Commission staff sent the Sunshine Hill PAC an initial request for records on 12/08/2020. ETH. 5-6. On 03/09/2021, the Commission staff requested a missing page from the 2020 October bank statement, which was provided on or before March 23, 2021. ETH. 8. On 04/16/2021, the Commission staff mailed its preliminary findings to the Sunshine Hill PAC's officers requesting comment. ETH. 1-4. The Commission staff did not receive a response. Accordingly, the Commission staff found no potential violations and no exceptions. The Commission staff is recommending no further action regarding the Sunshine Hill PAC.

ANALYSIS AND STAFF RECOMMENDATION

Apart from the omitted page from the 2020 October bank statement, the Commission staff flagged no issues for further review on this PAC. Accordingly, the Commission staff recommends that the Commission find no potential violations or exceptions. The Commission staff recommends that the Commission take no further action regarding this PAC.

CONCLUSION

Based on the foregoing findings, the Commission staff recommends that no further action be taken regarding the Sunshine Hill PAC. Thank you for your attention in this matter.



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

April 16, 2021

Rep. Stacey Guerin
Sunshine Hill
79 Phillips Road
Glenburn, ME 4401

Ms. Heather Priest
Sunshine Hill
PO Box 1
Augusta, ME 4332

Re: 2020 Compliance Review of Leadership PACs

Dear Rep. Guerin & Ms. Priest:

Thank you for providing the requested materials for the Sunshine Hill. I have concluded my review and made my preliminary findings, which are summarized in the enclosed memorandum and materials. Please review the enclosed materials carefully as they will be presented to the Commission.

The purpose of providing these materials to you is to invite you to comment on my preliminary findings. You may provide a written letter along with any supporting documentation that you believe is appropriate. If you believe that certain factual findings are inaccurate, you are welcome to submit information that disputes those findings. You may also wish to correct any errors that you agree with prior to the Commission meeting (if you do so, please let me know in a letter). Please submit any written comments no later than **May 7, 2021**.

After receiving your comments, the Commission staff will submit the enclosed materials, your comments, and, if necessary, a cover memorandum detailing any factual corrections/updates to the Commission. The Commission will consider the Commission staff's findings at the **May 26, 2021** meeting. If the staff's findings indicate that a potential violation was found, then the Committee is encouraged to participate in the meeting. If the findings show only exceptions, then the committee officers are invited to attend at their option. If you wish to attend the **May 26, 2021** meeting but it conflicts with your schedule, please let me know and the review of your PAC may be moved to a later date.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

Sunshine Hill

Page 2

April 9, 2021

I am available to discuss this matter at any time if you have any questions regarding the enclosed materials or the overall process. Thank you for your attention in this matter.

Sincerely,

Michael J. Dunn

Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar

Enclosures



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

To: Commissioners
From: Michael J. Dunn, Esq., Political Committee Registrar
Date: April 7, 2021
Re: Leadership PAC Review – Sunshine Hill PAC

I. Overview of Findings

The Commission staff requested the Committee's records on 12/08/2020. Records were provided to the Commission staff on or about 01/29/2021. A request for additional records was mailed on 03/09/2021. The additional records were received on or about 03/23/2021. Upon completion of its review, the Commission staff has found no potential violations and no exceptions. The Commission staff recommends no further action.

II. History of Committee

Sunshine Hill PAC registered as a political action committee on 07/16/2013. Senator Stacey Guerin is the Principal Officer, and Ms. Heather Priest is the Treasurer. In 2020, the Committee raised \$25,500.00 and spent \$33,610.09.

III. Procedures

In the 12/08/2020 letter, the Commission staff requested the Committee produce the following 2020 records: (1) bank statements; (2) all receipts/invoices for all expenditures over \$50; (3) documentation of any new loans or debts; and (4) records from ActBlue/Anedot or similar fundraising services.

After receiving those records, the Commission staff reviewed the provided records against the reported transactions for incorrect reporting. Specifically, staff reviewed the records for: omitted or duplicate transactions, failure to itemize contributions, prohibited payments, misuse of funds for personal enrichment in violation of 21-A M.R.S. § 1054-B failure to keep records, improper contributions and other errors.

On 03/09/2021, the Commission staff requested the second page of the October 2020 bank statement that was omitted in the original submission.

The omitted bank record has been received by staff.

IV. Potential Violations

After reviewing the records provided, the Commission staff did not find any discrepancies that would rise to a potential violation of Title 21-A.

V. Exceptions

After reviewing the records provided, the Commission staff did not find any discrepancies that would be considered exceptions of Title 21-A.

VI. Conclusions and Recommendations

Based on the foregoing findings, Commission staff does not recommend any further action regarding the Sunshine Hill PAC.

Thank you for your attention in this matter.



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

December 8, 2020

Rep. Stacey Guerin
Sunshine Hill
79 Phillips Road
Glenburn, ME 4401

Ms. Heather Priest
Sunshine Hill
PO Box 1
Augusta, ME 4332

Re: 2020 Compliance Review of Leadership PACs

Dear Rep. Guerin & Ms. Priest:

On November 18, 2020, the members of the Ethics Commission directed the Commission staff to begin a compliance review of Leadership PACs that raised or spent more than \$5,000 in 2020. A Leadership PAC is, for purposes of these reviews, a PAC that had an officer that also served as a Legislator in 2020. Based on the Commission's records, the Sunshine Hill falls into the category for this compliance review.

Please be aware that all committees who meet the above criteria will be reviewed for compliance with PAC laws. By being selected there is no inference on the part of the Commission that any incorrect or improper reporting or activity has taken place. For each PAC reviewed, the Commission staff will prepare and submit to the Commission members a report with the results of the compliance review. You will have the opportunity to review the report and submit any comments that you feel are necessary prior to the Commission's consideration of the staff's report.

In order to facilitate this review, we would appreciate you forwarding copies of the following records:

- All 2020 bank statements for Sunshine Hill;
- Receipt and/or invoices for all expenditures over \$50 incurred during 2020;
- Documentation of any new loans or debts, or any payments thereof in 2020; and
- Records from ActBlue, Anedot, or similar fundraising service of contributions received in 2020.

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
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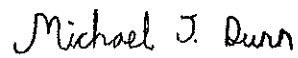
PHONE: (207) 287-4179

FAX: (207) 287-6775

The records should be submitted as hard copies, but digital versions would be acceptable in the following formats: .pdf, excel, or .csv. Digital submissions should be sent via email to me (michael.dunn@maine.gov). Please provide the requested records no later than **January 31, 2021**.

Please do not hesitate to contact me if you have any questions regarding this matter.

Sincerely,



Michael J. Dunn, Esq.
Political Committee and Lobbyist Registrar

**Sunshine Hill PAC
PO Box 1
Augusta, Maine 04332**

January 29, 2021

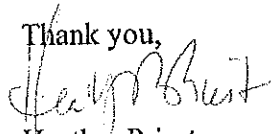
Mr. Michael J. Dunn, Esq., Political Committee & Lobbyist Registrar
Maine Commission on Governmental Ethics and Elections Practices
135 State House Station
Augusta, Maine 04333-0135

Dear Mr. Dunn:

As requested in your letter of December 8, 2020, enclosed you will find all 2020 bank statements as well as receipts and/or invoices for all expenditures over \$50 incurred during 2020 for the Sunshine Hill PAC. There is no documentation of any new loans or debts or any payments thereof; and there are no records from ActBlue, AneDot or similar fundraising services of contributions received in 2020.

Please do not hesitate to contact me should you have any questions or need additional information.

Thank you,



Heather Priest
Treasurer

cc: The Hon. Stacey Guerin



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

March 9, 2021

Hon. Stacey Guerin
Sunshine Hill
79 Phillips Road
Glenburn, ME 04401

Heather Priest
Sunshine Hill
PO Box 1
Augusta, ME 04332

Re: Request for Additional Information – 2020 Compliance Review of Leadership PACs

Dear Sen. Guerin & Ms. Priest:

Thank you for submitting the records that I requested in my December 8, 2020 letter. I have had an opportunity to review your submission and am writing with an additional question. Please submit your response at your earliest opportunity but no later than March 23, 2021. Please provide more information:

- Please provide the second page of the October 2020 bank statement that shows the debits on the account.

This request is being made only to further assist in the Commission's review of the committee. There is no assertion of inaccurate reporting on the part of the Commission or staff. If you have any questions or concerns regarding this request, I can be reached at (207) 287-4709 or Michael.Dunn@Maine.gov. Thank you for your attention in this matter.

Sincerely,

Michael J. Dunn, Esq.
Political Committee Registrar

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