

November 6, 2013

OFFICE OF THE DIRECTOR

OCF Entrance Conferences conducted on October 17, 2013 for new candidates and committees registered to participate in the 2014 Election Cycle. Eleven (11) newly registered Principal Campaign Committees participated.

PUBLIC INFORMATION AND RECORDS MANAGEMENT DIVISION

The following is an accounting of PIRMs production stats:

October 2013:

CITIZEN SERVICE PROGRAMS

October 1, 2013 Report of Receipts and Expenditures

Total number of Required Filers.....	13
Total number of Timely Filers.....	13
Total number of Late Filers.....	0
Total number of Extensions Filers.....	0
Total number of Failures to File.....	0
Total number of OGC Referrals.....	0
Total number of Electronic Filings.....	13
Total number of Certified E-Filings.....	13

SENATOR/REP. STATEHOOD FUNDS

October 1, 2013 Report of Receipts and Expenditures

Total number of Required Filers.....	2*
Total number of Timely Filers.....	2
Total number of Extensions.....	0
Total number of Late Filers.....	0
Total number of Failures to File.....	0
Total number of OGC Referrals.....	0

Total number of Electronic Filings.....	2
Total number of Certified E-Filings.....	2

*Mike Panetta filed a Termination Report.....08/07/2013

PRINCIPAL CAMPAIGN COMMITTEES & POLITICAL ACTION COMMITTEES

October 10, 2013 Report of Receipts and Expenditures

Total number of Required Filers.....	79 (21PCCs - 58PACs)
Total number of Timely Filers.....	69 (19PCCs - 50PACs)*
Total number of Extensions.....	0 (0PCCs - 0PACs)
Total number of Late Filers.....	6 (1PCCs - 5PACs)
Total number of Failures to File.....	4 (1PCCs - 3PACs)
Total number of OGC Referrals.....	10 (2PCCs - 8PACs)

<i>Total number of Electronic Filings.....</i>	<i>56 (17PCCs - 39PACs)</i>
<i>Total number of Certified E-Filings.....</i>	<i>52 (17PCCs - 35PACs)</i>

**One (1) PCC filing was a Termination Report. Eight (8) PAC Reports were Notification of Non-Support.*

New Candidates and Committees registered for 2014 Election

October 2013

Darrel Thompson/Darrell Thompson for Ward 6 (City Council).....	10/1/2013
Charles Allen/Charles Allen for Ward 6 (City Council).....	10/11/2013
Kenyan McDuffie/Kenyan McDuffie 2014 (City Council, Ward 5).....	10/25/2013

REPORTS ANALYSIS AND AUDIT DIVISION

The following is an accounting of RAAD's production stats:
October 2013:

Reviews Completed - 60

Political Action Committees (includes amended filings).....	41
Constituent Service Funds	13
US Senator/Representative.....	1
Principal Campaign Committees (includes amended	8
Exploratory Committees.....	1
Twenty-Four Hour Pre-Election	0
Independent Expenditures.....	0
Initiative/Referendum Committees.....	0
Audit Letters (RFAI) Sent.....	32
Follow-up letters sent.....	0

Case(s) Resolved.....	9
Cases Referred to the Office of the General Counsel (Per Final Audit – Our Ward 5 & WDC Association of Realtors).....	2.
Cases Referred for Contributions with Same Address and Similar Signatures.....	0
Cases Terminated.....	0
Hearings Attended	0
Outreach Education Seminars Attended	1
Outside Seminars Attended.....	0

Full Field Audit – Investigative Audit

- 1) **Gray For Mayor – The final audit report was completed in draft on May 15, 2012; however, at the request of the U.S. Attorney’s Office, additional information may be necessary. The Final Audit Report has not been released for public dissemination.**
- 2) **Our Ward 5 CSF – The Final Audit Report was issued on October 10, 2013.**

Full Field Audit – Newly Elected Official

- 1) **Bonds for Council – The audit fieldwork is complete. The Audit staff is in the process of writing the Preliminary Audit Report**
- 2) **Mendelson for Chairman – The audit fieldwork is complete. The Audit staff is in the process of writing the Preliminary Audit Report**

Periodic Random Audits – PACs and Continuing Committees

- 1) **Ward 7 Democratic Committee – The Final Audit Report was issued on October 31, 2013.**
- 2) **Ward 3 Democratic Committee – The Final Audit Report was issued on October 2, 2013.**
- 3) **Washington DC Association of Realtors – The Final Audit Report was issued on October 9, 2013.**
- 4) **Mara 2013 – The audit fieldwork is complete.**
- 5) **Committee to Elect Perry Redd – The Statement of Findings was issued on October 28, 2013.**
- 6) **Elissa 2013 – The Statement of Findings was issued on October 28, 2013.**

Periodic Random Audits – October 1, 2013 filings – Citizen-Service Programs

- 1) **Phil’s Fund for Citizen-Service – The Audit Notification letter was issued on October 1, 2013.**
- 2) **Citizens Outreach Fund (Bonds) – The Audit Notification letter was issued on October 1, 2013. The audit records were received on October 29, 2013.**

OFFICE OF THE GENERAL COUNSEL

2013 MONTHLY IN-TAKE/OUTPUT REPORT

OFFICE OF GENERAL COUNSEL

	July	August	September	October	November	December	
Opinion Request Received				0			
Opinion Request Completed				0			
Complaints Received				0			
Internal Queries				0			
Preliminary Investigations Initiated				0			
Preliminary Investigations Orders Issued				0			
Full Investigations				0			

Initiated							
Full Investigations Orders Issued				1*			
Informal Hearings Referred				15			
Informal Hearings Completed				7			
Informal Hearings Orders Issued				24**			
Petitions for Enforcement Referrals to BOE				0			

*This figure represents an order arising from a referral from the Audit Division in which a fine of \$6,230.00 was imposed. ** This figure represents 17 orders in which no fines were imposed, 2 Failure To Timely File orders in which \$3,600.00 in fines were imposed, 1 RFAI order in which \$2,000.00 in fines were imposed and 4 ANC orders in which \$2,740.00 in fines were imposed.

1. Actual Matters referred

PIRM

PCC	3
PAC's	8
ANC's	0
Constituent Services	0
Statehood Fund	0

RAAD

PCC	2
PAC's	1
Constituent Services	1
Statehood Fund	0
2. Notices of Hearings	12
First Notices	8
Second Notices	4
3. Notices and Orders Vacated	5
4. Hearings Conducted	7
5. Orders which imposed fines	8
6. Fines imposed	\$14,570.00
7. Fines collected	\$491.33 (1) \$200.00 Ward 4 Democrats (2) \$50.00 Ron Moten for Ward 7 (3) \$75.00 Committee to Elect Kathy Henderson (4) \$166.33 Paterson for Ward 8
8. Investigations completed Orders issued	1
9. Petitions for Enforcement	0
10. Outstanding Fines	14 Cases (Fines due in the total sum of \$15,000).

LIST OF OPEN OCF INVESTIGATIONS

November 6, 2013

OCF FI 2011-103 Complainant: Internally Generated March 15, 2011
Respondent: Sulaimon Brown for Mayor
Principal Campaign Committee
Infraction: Reporting Violations
Status: This matter was referred to the Audit
Division for a Full Field Audit.
Issuance of the Final Audit Report contingent upon
coordination with another enforcement agency.

OCF FI 2011-104 Complainant: Internally Generated March 15, 2011
Respondent: Gray for Mayor
Principal Campaign Committee
Infraction: Reporting Violations
Status: This matter was referred to the Audit
Division for a Full Field Audit.
Issuance of the Final Audit Report contingent upon
coordination with another enforcement agency.

OCF FI 2012-124 Complainant: Anthony Green, November 16, 2012
Respondent: Gaston 2012
Infraction: Reporting Violations
Status: Final Audit issued August 27, 2013.
Order Issued November 4, 2013

OCF FI 2013-013

Complainant: Internally Generated June 24, 2013

Respondent: Lee Calhoun

Infraction: Campaign contribution violations

Status: Pending

OCF FI 2013-014

Complainant: Internally Generated June 24, 2013

Respondent: Stanley Straughter

Infraction: Campaign contribution violations

Status: Pending

OCF PI 2013-019

Complainant: Internally Generated September 16, 2013

Respondent: Frank Sewell

Infraction: Failure to comply with OCF registration requirements and failure to properly identify campaign literature.

Second Hearing October 28, 2013. FTA

INTERPRETATIVE OPINIONS

November 6, 2013

NONE

(All Interpretative Opinions are on-line@ www.ocf.dc.gov)

SHOW CAUSE PROCEEDINGS

November 6, 2013

OCF 13R-021 Complainant: Internally Generated
Respondent: Washington DC Association Realtors
Infraction: Non-Compliance Audit
Originated: October 9, 2013
Status: Hearing conducted October 30, 2013

OCF 13R-022 Complainant: Councilmember Kenyan McDuffie
Respondent: Ward 5 Constituent Service Program
Infraction: Non-Compliance Audit
Originated: October 15, 2013
Status: Hearing conducted October 30, 2013