

January 8, 2014

OFFICE OF THE DIRECTOR

December 20, 2013 Testimony of Cecily E. Collier-Montgomery before Councilmember Vincent B. Orange, Sr., Chair, Committee on Business, Consumer, and Regulatory Affairs, on OCF Agency Compliance with the Small Business Enterprise Utilization Requirements for Fiscal Years 2012 and 2013.

PUBLIC INFORMATION AND RECORDS MANAGEMENT DIVISION

The following is an accounting of PIRMs production stats:
December 2013

PRINCIPAL CAMPAIGN COMMITTEES & POLITICAL ACTION COMMITTEES

December 10, 2013 Report of Receipts and Expenditures

Total number of required filers.....	90(41PCCs - 49PACs)
Total number of timely filers.....	84(38PCCs – 46PACs)*
Total number of Extensions.....	0(0PCCs – 0PACs)
Total number of Late filers.....	0(0PCCs – 0PACs)
Total number of FTF.....	6(3PCCs – 3PACs)
Total number of OGC referrals.....	6(3PCCs – 3PACs)
<i>Total number of Electronic Filings.....</i>	<i>70(32PCCs – 38PACs)</i>
<i>Total number of Certified E-Filings.....</i>	<i>65(30PCCs – 35PACs)</i>

**Two (2) PCC filings were termination reports.*

New Candidates and Committees Registered for the 2014 Election Cycle

December 2013

Nate Bennett Fleming/Fleming 2014 (At-Large, City Council).....	12/2/2013
Josh Hart (Ward 6, Democratic State Committee).....	12/2/2013
Lynn French (Ward 1, Democratic State Committee).....	12/2/2013
MaryEva Candon (Democratic National Committeewoman).....	12/2/2013
Jacqueline Manning/Jacqueline Manning for Ward 5 Council (City Council, Ward 5)...	12/2/2013
Anita Shelton (Democratic National Committeewoman).....	12/3/2013
Ryan Sabot (Ward 3, City Council).....	12/3/2013
Juan Thompson (Democratic National Committeeman).....	12/4/2013
Ben Foshager (Mayor).....	12/6/2013
Frederick Sterner (Mayor).....	12/6/2013

Aaron McCormick (Alternate Committeeman, Democratic State Committee).....	12/9/2013
James Caviness (Mayor).....	12/9/2013
Vincent Gray/Gray 2014 (Mayor).....	12/9/2013
Anthony Muhammad (Ward 8, Democratic State Cmte.).....	12/11/2013
Patrick Kennedy (Ward 2, Democratic State Cmte.).....	12/11/2013
Charles Wilson (Ward 8, Democratic State Cmte.).....	12/12/2013
Lenwood Johnson (At-Large, Democratic State Cmte.).....	12/12/2013
Carlos Allen/Carlos Allen For Mayor.....	12/12/2013
Mary Cuthbert (Ward 8, Democratic State Cmte.).....	12/13/2013
Ann Loikow (Ward 3, Democratic State Cmte.).....	12/13/2013
Hugh Allen (Ward 3, Democratic State Cmte.).....	12/13/2013
Jim Graham/Jim Graham 2014 (Ward 1, City Council).....	12/13/2013
Deborah Shore (Ward 3, Democratic State Cmte.).....	12/13/2013
Robert Brandon (Ward 3, Democratic State Cmte.).....	12/13/2013
Barrie Dancker (At-Large, Democratic State Cmte.).....	12/13/2013
Pranav Badhwar (Ward 6, City Council).....	12/16/2013
Theodora Brown (Ward 5, Democratic State Cmte.).....	12/16/2013
Julia Lara (Ward 4, Democratic State Cmte.).....	12/17/2013
Grace Lewis (Ward 5, Democratic State Cmte.).....	12/17/2013
Alexa Wertman (Ward 2, Democratic State Cmte.).....	12/18/2013
Sherri Kimbel (Ward 2, Democratic State Cmte.).....	12/18/2013
Gregory Cendan (At-Large, Democratic State Cmte.).....	12/19/2013
Joan Shipps (At-Large, Democratic State Cmte.).....	12/19/2013
Nicole Witenstein (Ward 1, Democratic State Cmte.).....	12/20/2013
Alexandra Beninda (At-Large, Democratic State Cmte.).....	12/20/2013
D. Morris Michael (At-Large, Democratic State Cmte.).....	12/20/2013
Edgardo Guerrero (At-Large, Democratic State Cmte.).....	12/20/2013
Michael Panetta (Democratic National Committeeman).....	12/20/2013
Diallo Brooks (At-Large, Democratic State Cmte.).....	12/20/2013
Bill O'Field (Ward 1, Democratic State Cmte.).....	12/20/2013
Romaine Thomas (Ward 5, Democratic State Cmte.).....	12/20/2013
Kent Boese (Ward 1, Democratic State Cmte.).....	12/20/2013
Jessica Pierce (Ward 4, Democratic State Cmte.).....	12/20/2013
Victoria Leonard (At-Large, Democratic State Cmte.).....	12/23/2013
W. Philip Thomas (Ward 3, Democratic State Cmte.).....	12/23/2013
Nicholas Lephram (Ward 1, Democratic State Cmte.).....	12/23/2013
Christine Warnke (At-Large, Democratic State Cmte.).....	12/23/2013
Estell Lloyd (Democratic National Committeewoman).....	12/23/2013
Patricia Elwood (Alternate Democratic National Committeewoman).....	12/23/2013
Ronnie Edwards (Alternate Democratic National Committeeman).....	12/23/2013
Donald Dinan (At-Large, Democratic National Cmte.).....	12/24/2013
Faith (Mayor).....	12/26/2013
Dorida White (At-Large, Democratic State Cmte.).....	12/26/2013
Villareal Johnson (At-Large, Democratic State Cmte.).....	12/26/2013
Winifred Carson Smith (Alternate Democratic Nat'l Committeewoman).....	12/26/2013
Douglas Foster (At-Large, Democratic State Cmte.).....	12/26/2013

Roxana Olivas (At-Large, Democratic State Cmte.).....	12/26/2013
Paul Hines (Ward 5, City Council).....	12/27/2013
Veronica Davis (At-Large, Democratic State Cmte.).....	12/27/2013
Damian Bascom (At-Large, Democratic State Cmte.).....	12/27/2013
Ronald Collins (Ward-6, Democratic State Cmte.).....	12/30/2013
David Meadows (Ward 6, Democratic State Cmte.).....	12/30/2013
Sheila White (Ward 6, Democratic State Cmte.).....	12/30/2013
Alicia Swanson Canty (At-Large, Democratic State Cmte.).....	12/30/2013
Aimee Occhetti (Ward 6, Democratic State Cmte.).....	12/30/2013
Jasmine Harris (At-Large, Democratic State Cmte.).....	12/30/2013
Frederick Allen (Ward 5, Democratic State Cmte.).....	12/31/2013
Denise Lopez (At-Large, Democratic State Cmte.).....	12/31/2013
MaryEva Candon (Democratic National Committeewoman).....	12/31/2013

Referrals to OGC

*December 17, 2013**

PCCs

Michael Green Mayoral Cmte.
Michael Green, Treasurer

Bruce Majors, Libertarian for Mayor (Late filed on 12/24/31)
Bruce Majors, Treasurer

Sewell for Mayor 2014
Otis Sution, Treasurer

PACs

DC Dealers
James Jackson, Treasurer

Libertarian Party of DC
Sarah Harvard, Treasurer

Youth Action PAC
Gabrielle Moise

**All referrals are for failure to file or timely file the December 10th R&E Report. Youth Action was also referred for failing to file a completed Statement of Organization.*

REPORTS ANALYSIS AND AUDIT DIVISION

The following is an accounting of RAAD’s production stats:
December 2013

Reviews Completed – 88

Political Action Committees (includes amended filings).....	49
Constituent Service Funds	0
US Senator/Representative.....	1
Principal Campaign Committees (includes amended filings).....	35
Exploratory Committees (Graham and Shallal).....	2
Independent Expenditures.....	0
Twenty-four Hour Pre- Election Reports.....	0
Initiative/Referendum Committees.....	0
Attorney General (Zukerberg).....	1
Audit Letters (RFAI) Sent.....	36
Follow-up letters sent.....	0
Case(s) Resolved.....	12
Cases Referred to the Office of General Counsel (Perry Redd 2013)	1
Cases Referred for Contributions with Same Address and Similar Signatures.....	0
Cases Terminated	0
Webinars Attended – Institute of Internal Auditors.....	4
Hearings Attended (Perry Redd).....	1
Outreach Education Seminars Attended – Institute of Internal Auditors.	1
Outside Seminars Attended	0

Full Field Audits

Investigative Audits

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.

Newly Elected Official

1. **Bonds for Council** - The Preliminary Audit Report (PAR) was issued on November 27, 2013. The Committee response was due on December 27, 2013. The Committee requested an extension on December 9, 2013 to respond to the PAR. The Director granted the response until January 10, 2014.
2. **Mendelson for Chairman** - The Preliminary Audit Report was issued on November 21, 2013. The Final Audit Report is complete and being reviewed by the Audit Manager

Periodic Random Audits – Political Action Committees and Continuing Committees

1. **Mara 2013** - The Statement of Findings was issued on November 21, 2013. After additional information was provided, a Revised Statement of Finding was issued on December 20, 2013.
2. **Committee to Elect Perry Redd** - The Final Audit Report was issued on December 9, 2013.
3. **Elissa 2013** – The Final Audit Report was issued on December 20, 2013.

Periodic Random Audits – October 10, 2013 filings – Candidates Registered for the 2014 Election Cycle

1. **Brianne for DC** - The Audit Notification letter was issued on December 4, 2013. The audit fieldwork is in progress.
2. **Reta Jo Lewis for Mayor** – The Audit Notification letter was issued on December 4, 2013. The audit fieldwork is in progress.

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 Initiated						1	
Full Investigations Orders Issued						0	
Informal Hearings Referred						9	
Informal Hearings Completed						1	
Informal Hearings Orders Issued						4*	
Petitions for Enforcement Referrals to BOE						0	

*This figure represents 1 Failure to Timely File order in which no fine was imposed, 1 Failure to Timely File order in which a fine of \$1,700. was imposed and 2 RFAI orders in which fines totaling \$2,200.00 were imposed.

Board Statistics for December, 2013

Board Meeting January 8, 2014

1. Actual Matters referred

PIRM

PCC	3
PAC's	4
ANC's	0
Constituent Services	0
Statehood Fund	0

RAAD

PCC	1
PAC's	0
Constituent Services	1
Statehood Fund	0

2. Notices of Hearings	13
First Notices	9
Second Notices	4
3. Notices and Orders Vacated	1
4. Hearings Conducted	1
5. Orders which imposed fines	3
6. Fines imposed	\$3,900.00

7. Fines collected	\$200.00
	(1) \$200.00 Committee to Re-Elect Yvette Alexander
8. Investigations completed Orders issued	0
9. Petitions for Enforcement	0
10. Outstanding Fines	0

LIST OF OPEN OCF INVESTIGATIONS

January 8, 2014

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 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.

Status: Order issued December 5, 2013

INTERPRETATIVE OPINIONS

January 8, 2014

NONE

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

SHOW CAUSE PROCEEDINGS

January 8, 2014

NONE