



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

THIS IS THE BEGINNING OF MUR # 3353

DATE FILMED 3/13/92 CAMERA NO. 3

CAMERAMAN J. M. H.

REPORTS ANALYSIS REFERRAL

TO

OFFICE OF GENERAL COUNSEL

DATE: 16 May 1991

ANALYST: ROBIN KELLY

I. COMMITTEE: Richard E. Neal for Congress Committee
(C00226522)
Michael Hall, Treasurer
76 Magnolia Terrace
Springfield, MA 01108

II. RELEVANT STATUTE: 2 U.S.C. §434(a)(6)
11 CFR §104.5(f)

III. BACKGROUND:

Failure to File Forty-Eight Hour Notifications

The Richard E. Neal for Congress Committee ("the Committee") has failed to file the required Forty-Eight (48) Hour Notifications ("48-Hour Notices") for nine (9) contributions totaling \$24,400 received prior to the 1990 General Election.

The candidate was involved in the 1990 General Election held on November 6, 1990. Prior Notice was sent to the Committee on October 1, 1990 (Attachment 2). The Notice includes a section titled "Last-Minute Contributions". This section reads "Committees must also file special notices if contributions of \$1,000 or more are received during the period October 18 through November 3, 1990. The notices must reach the appropriate Federal and State offices within 48 hours of the committee's receipt of the contribution."

Schedule A of the 1990 30 Day Post-General Report indicates that the Committee failed to file nine (9) 48-Hour Notices for contributions received during the aforementioned period (Attachment 3). The following is a list of the contributions for which no 48-Hour Notices were filed:

<u>Contributor Name</u>	<u>Date</u>	<u>Amount</u>
UAW V CAP	11/02/90	\$5,000
Carpenters Legislative Improvement Committee	10/24/90	\$1,000

**RICHARD E. NEAL FOR CONGRESS
COMMITTEE
REPORTS ANALYSIS OGC REFERRAL
PAGE 2**

<u>Contributor Name</u>	<u>Date</u>	<u>Amount</u>
National Association of Life Underwriters PAC	11/02/90	\$2,500
Nat. Committee to Preserve Social Security PAC	10/29/90	\$2,500
Nat. Education Assn. PAC	11/02/90	\$2,500
United Steelworkers PAC	10/24/90	\$2,500
Letter Carriers AFL-CIO Political Education Fund	11/02/90	\$1,900
Drive Political Fund	11/02/90	\$5,000
Laborers Political League	10/24/90	\$1,500

On March 5, 1991, a Request for Additional Information ("RFAI") was sent to the Committee (Attachment 4). The RFAI notes on an informational basis that the Committee may have failed to file one or more of the required 48-Hour Notices for "last minute" contributions of \$1,000 or more. The notice requests the Committee to review their procedures for checking contributions received during the aforementioned time period. In addition, the notice states that although the Commission may take legal steps, any response would be taken into consideration.

As of this date, the Committee has failed to respond.

IV. OTHER PENDING MATTERS INITIATED BY RAD:

None.

FEDERAL ELECTION COMMISSION

DATE 8MAY91

1989-1990

CANDIDATE INDEX OF SUPPORTING DOCUMENTS - (E)

PAGE 3

CANDIDATE/COMMITTEE/DOCUMENT	RECEIPTS		DISBURSEMENTS		# OF PAGES	MICROFILM LOCATION
	OFFICE SOUGHT	PARTY	PRIMARY	GENERAL		
TYPE OF FILE						

NEAL, RICHARD E	HOUSE 02 DEMOCRATIC PARTY			MASSACHUSETTS	1990 ELECTION	ID# HEMA02041
1. STATEMENT OF CANDIDATE						
1990 STATEMENT OF CANDIDATE					31JAN90	1 90HSE/388/2284
2. PRINCIPAL CAMPAIGN COMMITTEE						
RICHARD E NEAL FOR CONGRESS COMMITTEE					ID #C00226522	HOUSE
1989 MID-YEAR REPORT		15,584		65,170	1JAN89 -30JUN89	13 89HSE/383/1824
MID-YEAR REPORT - AMENDMENT		-		-	1JAN89 -30JUN89	1 89HSE/385/4466
REQUEST FOR ADDITIONAL INFORMATION					1JAN89 -30JUN89	4 89FEC/610/2963
REQUEST FOR ADDITIONAL INFORMATION 2ND					1JAN89 -30JUN89	5 89FEC/613/0563
YEAR-END		63,708		54,766	1JUL89 -31DEC89	33 90HSE/389/0788
YEAR-END - AMENDMENT		-		-	1JUL89 -31DEC89	3 90HSE/393/2807
REQUEST FOR ADDITIONAL INFORMATION					1JUL89 -31DEC89	1 90FEC/629/5207
REQUEST FOR ADDITIONAL INFORMATION 2ND					1JUL89 -31DEC89	2 90FEC/631/4367
1990 APRIL QUARTERLY		9,401		41,119	1JAN90 -31MAR90	12 90HSE/396/1562
JULY QUARTERLY		124,724		107,549	1APR90 -30JUN90	125 90HSE/404/2253
JULY QUARTERLY - AMENDMENT		-		-	1APR90 -30JUN90	6 90HSE/418/0048
REQUEST FOR ADDITIONAL INFORMATION					1APR90 -30JUN90	3 90FEC/657/4468
REQUEST FOR ADDITIONAL INFORMATION 2ND					1APR90 -30JUN90	6 90FEC/669/2486
PRE-PRIMARY		141,206		143,336	1JUL90 -29AUG90	21 90HSE/407/2954
PRE-PRIMARY - AMENDMENT		-		-	1JUL90 -29AUG90	10 90HSE/418/0054
REQUEST FOR ADDITIONAL INFORMATION					1JUL90 -29AUG90	2 90FEC/657/4472
REQUEST FOR ADDITIONAL INFORMATION 2ND					1JUL90 -29AUG90	6 90FEC/669/2492
OCTOBER QUARTERLY			52,486	56,097	30AUG90 -30SEP90	14 90HSE/413/0333
1 ST LETTER INFORMATIONAL NOTICE					30AUG90 -30SEP90	1 91FEC/688/2160
PRE-GENERAL			6,336	25,487	1OCT90 -17OCT90	7 90HSE/416/4473
NOTICE OF FAILURE TO FILE					1OCT90 -17OCT90	1 90FEC/670/0737
REQUEST FOR ADDITIONAL INFORMATION					1OCT90 -17OCT90	1 91FEC/689/2725
REQUEST FOR ADDITIONAL INFORMATION 2ND					1OCT90 -17OCT90	2 91FEC/691/3385
POST-GENERAL			42,528	2,931	18OCT90 -26NOV90	9 90HSE/419/2821
REQUEST FOR ADDITIONAL INFORMATION					18OCT90 -26NOV90	2 91FEC/689/2720
REQUEST FOR ADDITIONAL INFORMATION 2ND					18OCT90 -26NOV90	3 91FEC/691/3387
YEAR-END			6,572	37,890	27NOV90 -31DEC90	9 91HSE/426/1079
REQUEST FOR ADDITIONAL INFORMATION					27NOV90 -31DEC90	1 91FEC/689/2727
REQUEST FOR ADDITIONAL INFORMATION 2ND					27NOV90 -31DEC90	2 91FEC/691/3390
TOTAL		354,607	108,149	411,940	122,465	305 TOTAL PAGES
3. AUTHORIZED COMMITTEES						
4. JOINT FUNDRAISING COMMITTEES AUTHORIZED BY THE CAMPAIGN						

-All reports have been reviewed.

-Debts owed to the Committee as of 12/31/90: \$0

-Debts owed by the Committee as of 12/31/90: \$58,683

-Cash-on-hand as of 12/31/90: \$12,496

GENERAL ELECTION REPORT NOTICE

Attachment 2
Page 1 of 2

FEDERAL ELECTION COMMISSION

CONGRESSIONAL CANDIDATES

October 1, 1990

Report	Reporting Period	Reg./Cert. Mailing Date*	Filing Date
Pre-General	10/01/90**-10/17/90	10/22/90	10/25/90
Post-General	10/18/90 - 11/26/90	12/06/90	12/06/90

WHO MUST FILE

All 1990 general election principal campaign committees must file the pre- and post-general election reports.

WHO NEED NOT FILE

Principal campaign committees of candidates not active in the 1990 elections (i.e., committees active in past or future elections) and 1990 campaign committees not participating in the general election do not file the pre- and post-general reports.

WHAT MUST BE REPORTED

All financial activity (not previously reported) that occurred during the reporting period.

REPORTING FORMS

Candidate committees use FORM 3 (enclosed). If the campaign has more than one authorized committee, the principal campaign committee must also file a consolidated report on FORM 3Z.

WHERE TO FILE

Consult the instructions on the back of the FORM 3 Summary Page. Note State filing requirements also.

LAST-MINUTE CONTRIBUTIONS

Committees must also file special notices if contributions of \$1,000 or more are received during the period of October 18 through November 3, 1990. The notices must reach the appropriate Federal and State offices within 48 hours of the committee's receipt of the contributions.

*Reports sent by registered or certified mail must be postmarked by the mailing date. Otherwise, they must be received by the filing date.

**The period begins with the close of the last report filed by the committee. If the committee has filed no previous reports, the period begins with the date of the committee's first activity.

CONGRESSIONAL CANDIDATES

GENERAL ELECTION

LABEL

Committees should affix the peel-off label from the envelope to Line 1 of the report. Correction should be made on the label.

COMPLIANCE

TREASURERS OF POLITICAL COMMITTEES ARE RESPONSIBLE FOR FILING ALL REPORTS ON TIME. FAILURE TO DO SO IS SUBJECT TO ENFORCEMENT ACTION. COMMITTEES FILING ILLEGIBLE REPORTS OR USING NON-FEC FORMS WILL BE REQUIRED TO REFILE.

FOR INFORMATION, Call: 202/376-3120 or 800/424-9530

SCHEDULE A

ITEMIZED RECEIPTS

1990 - 30 Day Post-General Report

Use separate schedule for each category of the Detailed Summary Page

PAGE 1 OF 5
FOR LINE NUMBER 11 (c)

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (in Full)

THE RICHARD E. NEAL FOR CONGRESS COMMITTEE

A. Full Name, Mailing Address and ZIP Code .AN V CAP 5000 E. Jefferson Denver CO 80214	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 7/24/90	Amount of Each Receipt this Period 500.00
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			
B. Full Name, Mailing Address and ZIP Code American Horse Council, Inc. 1700 K Street NW Suite 300 Washington DC 20006	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 7/24/90	Amount of Each Receipt this Period 500.00
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			
C. Full Name, Mailing Address and ZIP Code Coca-Cola Company Committee for Good P.O. Box 734 Atlanta GA 30301	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 7/24/90	Amount of Each Receipt this Period 500.00
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			
D. Full Name, Mailing Address and ZIP Code 112025 1126 16th Street NW Washington DC 20036	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 7/24/90	Amount of Each Receipt this Period 500.00
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			
E. Full Name, Mailing Address and ZIP Code 1102A Effective Legislation Committee	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 7/24/90	Amount of Each Receipt this Period 500.00
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			
F. Full Name, Mailing Address and ZIP Code 337 America For Election Fund P.O. Box 5700 San Francisco CA 94137	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 7/24/90	Amount of Each Receipt this Period 500.00
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			
G. Full Name, Mailing Address and ZIP Code 301.ersakers-Blacksmiths LEAP 753 State Avenue #555 Kansas City KS 66101	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 7/24/90	Amount of Each Receipt this Period 500.00
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			

SUBTOTAL of Receipts This Page (optional)

6900

TOTAL This Period (fill page this line number only)

SCHEDULE A

ITEMIZED RECEIPTS

1990 - 30 Day Post-General Report

Use separate schedule for each category of the Detailed Summary Page

PAGE **2** OF **5**
FOR LINE NUMBER **11 (c)**

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to obtain contributions from such contributors.

NAME OF COMMITTEE IN FULL

THE RICHARD E. NEAL FOR CONGRESS COMMITTEE

A. Full Name, Mailing Address and ZIP Code Carpenters Legislative Improvement Comm. 10 Constitution Avenue NE Washington DC 20001 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Occupation Aggregate Year-to-Date > \$	Date (month, day, year) .0/24/90	Amount of Each Receipt this Period 1,000.00
B. Full Name, Mailing Address and ZIP Code American Medical PAC 110 Vermont Avenue NE Washington DC 20005 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period 200.00
C. Full Name, Mailing Address and ZIP Code 1804 of Boston PAC P.O. Box 2013 Boston MA 02106-2016 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period 500.00
D. Full Name, Mailing Address and ZIP Code 2300 PAC 3900 Wisconsin Avenue NW Washington DC 20016 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period 500.00
E. Full Name, Mailing Address and ZIP Code 2100/400 Star PAC 50 Kennedy Plaza Providence RI 02903 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period 500.00
F. Full Name, Mailing Address and ZIP Code 3000 PAC 1750 K Street NW Washington DC 20006 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period 500.00
G. Full Name, Mailing Address and ZIP Code ARSAC PAC 350 Potomac Church Road 20705 PA 17011 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period 500.00

SUBTOTAL of Receipts This Page (optional)

TOTAL This Period (fill page and line number only)

4300

9001419325

SCHEDULE A

ITEMIZED RECEIPTS

1990 30 Day Post-General Report

Use separate schedule for each category of the Detailed Summary Page

PAGE 3 OF 5
FOR LINE NUMBER 11 (c)

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE ON FILE

THE RICHARD E. NEAL FOR CONGRESS COMMITTEE

A. Full Name, Mailing Address and ZIP Code Innocent Bankers PAC One Thomas Circle NW Suite 950 Washington DC 20005-1802 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 07/24/90	Amount of Each Receipt this Period 250.00
B. Full Name, Mailing Address and ZIP Code Innocent Bankers PAC One Thomas Circle NW Suite 950 Washington DC 20005-1802 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 07/24/90	Amount of Each Receipt this Period 250.00
C. Full Name, Mailing Address and ZIP Code Innocent Bankers PAC One Thomas Circle NW Suite 950 Washington DC 20005-1802 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 07/24/90	Amount of Each Receipt this Period 250.00
D. Full Name, Mailing Address and ZIP Code Innocent Bankers PAC One Thomas Circle NW Suite 950 Washington DC 20005-1802 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 07/26/90	Amount of Each Receipt this Period 2500.00
E. Full Name, Mailing Address and ZIP Code National Association of Life Underwriters PAC 921 E Street NW Washington DC 20001 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer National Association of Life Underwriters PAC Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 07/02/90	Amount of Each Receipt this Period 2500.00
F. Full Name, Mailing Address and ZIP Code Nat. Committee to Preserve Social Security PAC 2000 K Street NW Suite 200 Washington DC 20006 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Nat. Committee to Preserve Social Security PAC Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 07/24/90	Amount of Each Receipt this Period 2500.00
G. Full Name, Mailing Address and ZIP Code Nat. Education Assn PAC 2000 K Street NW Suite 200 Washington DC 20006 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer Nat. Education Assn PAC Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 07/02/90	Amount of Each Receipt this Period 2500.00

SUBTOTAL of Receipts This Page (optional)

13750

TOTAL This Period (list page this line number only)

SCHEDULE A ITEMIZED RECEIPTS
1990 - 30 Day Post-General Report

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

PAGE 415
FOR LINE NUMBER 11 (c)

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NAME OF COMMITTEE (in Full)

THE RICHARD E. NEAL FOR CONGRESS COMMITTEE

A. Full Name, Mailing Address and ZIP Code 1P-7 PAC 100 Vermont Avenue NW Suite 300 Washington DC 20005-3570 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (Specify):	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 11/26/90	Amount of Each Receipt this Period 1000.00
B. Full Name, Mailing Address and ZIP Code Professional Insurance Agents PAC 400 North Washington Street Alexandria VA 22314 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (Specify):	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 10/24/90	Amount of Each Receipt this Period 500.00
C. Full Name, Mailing Address and ZIP Code 18V-NEAL PAC 14 Spring Street Lexington MA 02173 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (Specify):	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 11/26/90	Amount of Each Receipt this Period 1000.00
D. Full Name, Mailing Address and ZIP Code Little Industry PAC 1325 L Street NW Suite 705 Washington DC 20036 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (Specify):	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 11/02/90	Amount of Each Receipt this Period 500.00
E. Full Name, Mailing Address and ZIP Code 118. Telephone Association PAC 900 9th Street NW Suite 800 Washington DC 20006-2102 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (Specify):	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 11/26/90	Amount of Each Receipt this Period 500.00
F. Full Name, Mailing Address and ZIP Code 11200 S. 44th Street PAC 400 Washington Street Auburn MA 01501 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (Specify):	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 10/24/90	Amount of Each Receipt this Period 2500.00
G. Full Name, Mailing Address and ZIP Code 1PS PAC Greenwood Office Park #3 Greenwood CO 80624 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (Specify):	Name of Employer Occupation Aggregate Year-to-Date > 8	Date (month, day, year) 11/02/90	Amount of Each Receipt this Period 1000.00

SUBTOTAL of Receipts This Page (optional)

6100 -

TOTAL This Period (fill in only the number only)

SCHEDULE A

ITEMIZED RECEIPTS

1990 - 30 Day Post-General Report

Use separate schedule
for each category of the
Detailed Summary PagePAGE 5 OF 5
FOR LINE NUMBER
11 (c)

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (in Full)

THE RICHARD E. NEAL FOR CONGRESS COMMITTEE

A. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
VZa PAC 200 Maryland Avenue NW Suite 506 Washington DC 20002-5799		11/26/90	500.00
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation		
	Aggregate Year-to-Date > 8		
B. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Letter Carriers AFL-CIO Political League 100 Indiana Avenue NW Washington DC 20002	in func	11/02/90	1,500.00
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation		
	Aggregate Year-to-Date > 8		
C. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Transportation Education League 14500 Detroit Avenue Cleveland OH 44107		10/24/90	500.00
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation		
	Aggregate Year-to-Date > 8		
D. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Five Politics, Inc 25 Louisiana Avenue NW Washington DC 20002		11/02/90	500.00
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation		
	Aggregate Year-to-Date > 8		
E. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Workers' Political League 305 16th Street NW Washington DC 20005		10/24/90	1,500.00
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation		
	Aggregate Year-to-Date > 8		
F. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation		
	Aggregate Year-to-Date > 8		
G. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation		
	Aggregate Year-to-Date > 8		

SUBTOTAL of Receipts This Page (optional)

9400

TOTAL This Period (fill in the number only)

40450



FEDERAL ELECTION COMMISSION
WASHINGTON, DC 20463

RQ-2

MAR 5 1991

Michael Hall, Treasurer
Richard E. Neal for Congress
Committee
76 Magnolia Terrace
Springfield, MA 01108

Identification Number: C00226522

Reference: 30 Day Post-General Report (10/18/90-11/26/90)

Dear Mr. Hall:

This letter is prompted by the Commission's preliminary review of the report(s) referenced above. The review raised questions concerning certain information contained in the report(s). An itemization follows:

-Schedule A of your report discloses contributions from political committees but fails to include the aggregate year-to-date totals. Please amend your report to include the missing information for each of these entries. (11 CFR §104.3(a)(4)(iii)) In addition when submitting a new Schedule A for Line 11(c), please make sure the Schedule has a darker print.

-Schedule A of your report indicates that your committee may have failed to file one or more of the required 48 hour notices regarding "last minute" contributions received by your committee after the close of books for the 12 Day Pre-General report. A principal campaign committee must notify the Commission, in writing, within 48 hours of any contribution of \$1,000 or more received between two and twenty days before an election. These contributions are then reported on the next report required to be filed by the committee. To ensure that the Commission is notified of last minute contributions of \$1,000 or more to your campaign, it is recommended that you review your procedures for checking contributions received during the aforementioned time period. Although the Commission may take legal action, any response you wish to make concerning this matter will be taken into consideration. (11 CFR §104.5(f))

2K

A written response or an amendment to your original report(s) correcting the above problem(s) should be filed with the Clerk of

21036392720

the House of Representatives, 1036 Longworth House Office Building, Washington, DC 20515 within fifteen (15) days of the date of this letter. If you need assistance, please feel free to contact me on our toll-free number, (800) 424-9530. My local number is (202) 376-2480.

Sincerely,

Robin Kelly

Robin Kelly
Reports Analyst
Reports Analysis Division

21 J 3 6 3 2 2 7 2 1

91 JUN 26 PM 4:37

FEDERAL ELECTION COMMISSION
999 E Street, N.W.
Washington, D.C. 20463

SENSITIVE

FIRST GENERAL COUNSEL'S REPORT

' RAD Referral # 91L-53
Staff Member: Gary Veron

SOURCE: I N T E R N A L L Y G E N E R A T E D

RESPONDENTS: Richard E. Neal for Congress Committee
and Michael Hall, as treasurer

RELEVANT STATUTES: 2 U.S.C. § 434(a)(6)
11 C.F.R. § 104.5(f)

INTERNAL REPORTS CHECKED: Disclosure Reports
Referral Material

FEDERAL AGENCIES CHECKED: None

I. GENERATION OF MATTER

The Office of the General Counsel received a referral from the Reports Analysis Division on May 17, 1991. Attachment 1. The basis of the referral is the failure of the Richard E. Neal for Congress Committee and Michael Hall, as treasurer (the "Committee"), to timely file forty-eight hour notifications ("48 Hour Notices") for nine (9) contributions totaling \$24,400. The candidate, Richard E. Neal, was unopposed in the November 6, 1990 General Election for the U.S. House of Representatives from the Second Congressional District of Massachusetts. According to the Election Division of the Massachusetts Secretary of the Commonwealth's office, Mr. Neal's name did appear on the general election ballot.

II. FACTUAL AND LEGAL ANALYSIS

For the Factual and Legal Analysis, see Attachment 2.

III. DISCUSSION OF CONCILIATION AND CIVIL PENALTY

3. Approve the attached Factual and Legal Analysis and conciliation agreement, and the appropriate letter.

Lawrence M. Noble
General Counsel

June 26, 1991
Date

BY: Lois G. Lerner
Lois G. Lerner
Associate General Counsel

Attachments

1. Referral Materials
2. Factual and Legal Analysis
3. Proposed Agreement

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of

Richard E. Neal for Congress Committee
and Michael Hall, as treasurer.

(MUR)
3353
)
) RAD Referral 91L-53
)
)

CERTIFICATION

I, Marjorie W. Emmons, Secretary of the Federal Election Commission, do hereby certify that on July 1, 1991, the Commission decided by a vote of 6-0 to take the following actions in RAD Referral 91L-53:

1. Open a MUR.
2. Find reason to believe the Richard E. Neal for Congress Committee and Michael Hall, as treasurer, violated 2 U.S.C. § 434(a) (6), and enter into conciliation prior to a finding of probable cause to believe.
3. Approve the Factual and Legal Analysis and conciliation agreement, and the appropriate letter, as recommended in the General Counsel's Report dated June 26, 1991.

Commissioners Aikens, Elliott, Josefiak, McDonald, McGarry, and Thomas voted affirmatively for the decision.

Attest:

July 1, 1991
Date

Delores Harris
for Marjorie W. Emmons
Secretary of the Commission

Received in the Secretariat: Wednesday, June 26, 1991 4:37 p.m.
Circulated to the Commission: Thursday, June 27, 1991 11:00 a.m.
Deadline for vote: Monday, July 1, 1991 11:00 a.m.

dh



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

July 15, 1991

Michael Hall, Treasurer
Richard E. Neal for Congress Committee
76 Magnolia Terrace
Springfield, MA 01108

RE: MUR 3353
Richard E. Neal for Congress
Committee and Michael Hall,
as treasurer

Dear Mr. Hall:

On July 1, 1991, the Federal Election Commission found that there is reason to believe the Richard E. Neal for Congress Committee (the "Committee") and you, as treasurer, violated 2 U.S.C. § 434(a)(6), a provision of the Federal Election Campaign Act of 1971, as amended (the "Act"). The Factual and Legal Analysis, which formed a basis for the Commission's finding, is attached for your information.

Under the Act, you have an opportunity to demonstrate that no action should be taken against the Committee and you, as treasurer. You may submit any factual or legal materials that you believe are relevant to the Commission's consideration of this matter. Please submit such materials to the General Counsel's Office within 15 days of your receipt of this letter. Where appropriate, statements should be submitted under oath.

In the absence of any additional information demonstrating that no further action should be taken against the Committee and you, as treasurer, the Commission may find probable cause to believe that a violation has occurred and proceed with conciliation.

In order to expedite the resolution of this matter, the Commission has also decided to offer to enter into negotiations directed towards reaching a conciliation agreement in settlement of this matter prior to a finding of probable cause to believe. Enclosed is a conciliation agreement that the Commission has approved.

Michael Hall
MUR 3353
Page 2

If you are interested in expediting the resolution of this matter by pursuing preprobable cause conciliation and if you agree with the provisions of the enclosed agreement, please sign and return the agreement, along with the civil penalty, to the Commission. In light of the fact that conciliation negotiations, prior to a finding of probable cause to believe, are limited to a maximum of 30 days, you should respond to this notification as soon as possible.

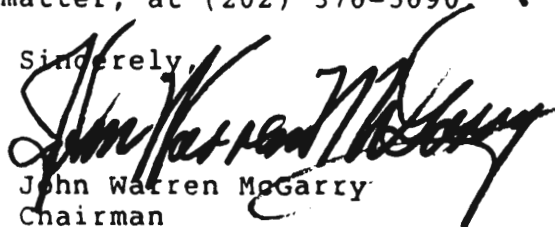
Requests for extensions of time will not be routinely granted. Requests must be made in writing at least five days prior to the due date of the response and specific good cause must be demonstrated. In addition, the Office of the General Counsel ordinarily will not give extensions beyond 20 days.

If you intend to be represented by counsel in this matter, please advise the Commission by completing the enclosed form stating the name, address, and telephone number of such counsel, and authorizing such counsel to receive any notifications and other communications from the Commission.

This matter will remain confidential in accordance with 2 U.S.C. §§ 437g(a)(4)(B) and 437g(a)(12)(A), unless you notify the Commission in writing that you wish the investigation to be made public.

For your information, we have attached a brief description of the Commission's procedures for handling possible violations of the Act. If you have any questions, please contact Gary Veron, the staff member assigned to this matter, at (202) 376-5690.

Sincerely,



John Warren McGarry
Chairman

Enclosures

Factual and Legal Analysis
Procedures
Designation of Counsel Form
Conciliation Agreement

FEDERAL ELECTION COMMISSION

FACTUAL AND LEGAL ANALYSIS

RESPONDENTS: Richard E. Neal for Congress
Committee and Michael Hall,
as treasurer

MUR: 3353

FACTUAL AND LEGAL ANALYSIS

The Federal Election Campaign Act of 1971, as amended (the "Act"), requires principal campaign committees of candidates for Federal office to notify either the Secretary of the Senate, the Clerk of the U.S. House of Representatives or the Commission, as appropriate, and the Secretary of State, in writing, of each contribution totaling \$1,000 or more received by any authorized committee of the candidate after the 20th day but more than 48 hours before any election. 2 U.S.C. § 434(a)(6)(A). The Act further requires this notification to be made within 48 hours after the receipt of the contribution and to include the name of the candidate and the office sought by the candidate, identification of the contributor, the date of receipt and the amount of the contribution. Id. The notification of these contributions shall be in addition to all other reporting requirements. 2 U.S.C. § 434(a)(6)(B).

Pursuant to 2 U.S.C. § 431(8)(A)(i), a "contribution" is defined as any gift, subscription, loan, advance, or deposit of money or anything of value made by any person for the purpose of influencing any Federal election. The Act defines a "person" as an individual, partnership, committee, association, corporation, labor organization, or any other organization or group of persons. 2 U.S.C. § 431(11).

Richard E. Neal was a candidate for the U.S. House of Representatives from the state of Massachusetts in the November 6, 1990 General Election. According to its Statement of Organization, the Richard E. Neal for Congress Committee is the authorized principal campaign committee of Richard E. Neal. Michael Hall is the treasurer of the Richard E. Neal for Congress Committee.

The General Election was held on November 6, 1990. Pursuant to 2 U.S.C. § 434(a)(6)(A), the Committee was required to notify the Clerk of the U.S. House of Representatives, in writing, of all contributions of \$1,000 or more received from October 18, 1990 through November 3, 1990 within 48 hours of their receipt.

On October 1, 1990, the Committee was reminded by the Commission, in writing, that the receipt of contributions of \$1,000 or more must be reported within 48 hours if received during the period of October 18, 1990 through November 3, 1990. The notice further stated that these notifications must reach the appropriate Federal and state offices within 48 hours of the Committee's receipt.

The Committee received nine (9) contributions during the period prior to the General Election that required written notifications. The contributions were received as follows:

<u>Contributor's Name</u>	<u>Date</u>	<u>Amount</u>
Carpenters Legislative Improvement Committee	10/24/90	\$ 1,000
Laborers Political League	10/24/90	\$ 1,500
United Steelworkers PAC	10/24/90	\$ 2,500
Nat. Committee to Preserve Social Security PAC	10/29/90	\$ 2,500
Drive Political Fund	11/02/90	\$ 5,000
Letter Carriers AFL-CIO Political Education Fund	11/02/90	\$ 1,900
National Association of Life Underwriters PAC	11/02/90	\$ 2,500
Nat. Education Assn. PAC	11/02/90	\$ 2,500
UAW V CAP	11/02/90	\$ 5,000
TOTAL		\$24,400

None of these contributions was reported until the Committee filed its 1990 30 Day Post-General Election Report, which was not received by the Clerk of the U.S. House of Representatives until December 7, 1990.

It thus appears that the Committee may have violated 2 U.S.C. § 434(a)(6) by failing to disclose nine (9) contributions of \$1,000 or more received before the general election within 48 hours of their receipt. Therefore, there is reason to believe that the Richard E. Neal for Congress Committee and Michael Hall, as treasurer, violated 2 U.S.C. § 434(a)(6).



FEDERAL ELECTION COMMISSION
WASHINGTON DC 20463

August 14, 1991

CERTIFIED MAIL
RETURN RECEIPT REQUESTED

Michael Hall, Treasurer
Richard E. Neal for Congress
Committee
76 Magnolia Terrace
Springfield, MA 01108

RE: MUR 3353
Richard E. Neal for Congress
Committee and Michael Hall,
as treasurer

Dear Mr. Hall:

On July 15, 1991, you were notified that the Federal Election Commission determined to enter into negotiations directed toward reaching a conciliation agreement in settlement of this matter prior to a finding of probable cause to believe. On that same date you were sent a conciliation agreement offered by the Commission in settlement of this matter.

Please note that conciliation negotiations entered into prior to a finding of probable cause to believe are limited to a maximum of 30 days. To date, you have not responded to the proposed agreement. The 30 day period for negotiations will soon expire. Unless we receive a response from you within five days, this Office will consider these negotiations terminated and will proceed to the next stage of the enforcement process.

Should you have any questions, please contact Tamara Kapper, the staff member assigned to this matter, at (202) 376-5690.

Sincerely,

Lawrence M. Noble
General Counsel

A handwritten signature in dark ink, appearing to read "Robert W. Bonham III".

BY: Robert W. Bonham III
Assistant General Counsel



06-C 2331

RECEIVED
FEDERAL ELECTION COMMISSION

91 AUG 28 PM 2:22

August 21, 1991

Federal Election Commission

RE: M.U.R. 3353

Richard E. Neal for Congress Committee
and Michael Hall, its Treasurer

Please be advised that the Richard E. Neal for Congress Committee and Michael Hall as Treasurer request the opportunity to pursue pre-probable cause conciliation in the above named case.

On July 1, 1991, the Federal Election Commission found reason to believe that the Richard E. Neal For Congress Committee and Michael Hall as Treasurer violated 2 U.S.C., Section 434 (a)(6), a provision of the Federal Election Campaign Act of 1971.

On or about March 5, 1991, the Richard E. Neal for Congress Committee was notified by the Federal Election Commission that the Committee may have failed to file one or more of the required 48 hour notices regarding "last minute" contributions received by the Committee after the close of books for the twelve day pre-general election report.

This letter recommended that the Committee and its Treasurer review procedures for contributions received during the aforementioned time period. This notice went on to say that although "The Commission may take legal action, any response you may wish to make concerning this matter will be taken into consideration". In response to this notice, the Richard E. Neal for Congress Committee through its Treasurer, Michael Hall, notified the Federal Election Commission that he had reviewed these procedures and indicated that the 48 hour rule would be adhered to in any future reports.

On or about August 12, 1991, Michael Hall received a telephone call from the Federal Election Commission requesting a response to a letter dated July 15, 1991 regarding the alleged violations. Mr. Hall indicated that he had not received this notice and Ms. Kapper FAXed a copy of this notice to his attention.

Mr. Hall has had an opportunity to review this letter and the enclosed conciliation agreement and after such review, the Committee through its Treasurer, Michael Hall, requests the opportunity to enter into pre-probable cause conciliation.

91 AUG 29 AM 10:48

RECEIVED
FEDERAL ELECTION COMMISSION

Federal Election Commission
August 21, 1991
Page Two

The Committee recognizes the fact that (9) checks were received between October 24, 1990 and November 2, 1990 which were not reported to the Federal Election Commission until the Committee filed its 1990 30 day post-general election report.

Congressman Neal first ran for election to the House of Representatives in 1988. In that campaign, he faced no primary opposition but did have an opponent in the general election. It is our position that all campaign finance reporting was done properly for that election.

In 1990, the entire thrust of the Congressman's re-election effort centered on the primary campaign. The Congressman had no opposition in the general election in November. I believe that the campaign met the Federal Election Commission requirements with respect to all reporting deadlines for the primary. The fact that there was no contested general election caused Mr. Hall and the Richard E. Neal Campaign Committee to assume that no report of such contributions received just prior to the general election would have to be made until the 30 day post-general election report.

Obviously, had there been any intentional effort to fail to timely report contributions, that would have occurred during the dates just prior to the primary and not during the time period preceding the November election when the Congressman was unopposed. Furthermore, the response by Mr. Hall to the March 5th notice concerning an apparent violation of the 48 hour rule is a clear indication that the Committee would take immediate steps to see that such a violation would not occur in the future.

The Richard E. Neal Committee and its Treasurer, Michael Hall, agree that there may have been an inadvertent technical violation of the letter of this law but contend that there was no violation of the spirit of this law. It is the contention of the Committee that when notified of this possible violation, immediate action was taken to correct any future problem. Again, I would point out that this is only the second Congressional campaign that this Committee has been involved in. The Committee is making concerted efforts to fully understand and comply with all campaign finance requirements. It is the Committee's further contention that the lack of an opponent in the general election caused the Committee and its Treasurer to assume that such a 48 hour notice was unnecessary.

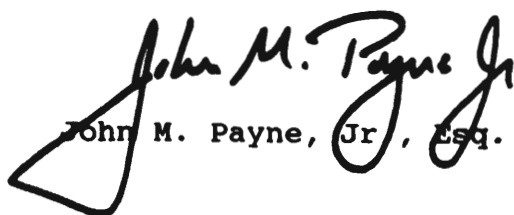
The Committee would respectfully suggest that in our view the nature of the violations is completely technical. We would therefore ask that the Commission take this matter under Federal

Election Commission
August 21, 1991
Page Three

advisement

If the Commission requires any additional information or has any questions that I may assist them with, please do not hesitate to contact me at the address and phone number provided on the Designation of Attorney form submitted with this letter.

Sincerely,


John M. Payne, Jr., Esq.

STATEMENT OF DESIGNATION OF COUNSEL

MUR

3353

NAME OF COUNSEL: John M. Payne, Jr.

ADDRESS: Kelly, Pessolano & Withers, P.C.


1500 Main Street, Suite 2500

Springfield, MA 01115-5389

TELEPHONE: 413/781-4700

The above-named individual is hereby designated as my counsel and is authorized to receive any notifications and other communications from the Commission and to act on my behalf before the Commission.

Aug 22, 1991
Date


Signature

Richard E. Neal
Member of Congress

RESPONDENT'S NAME: Richard E. Neal

ADDRESS: 1550 Main Street

Federal Building, Room 309

Springfield, MA 01103

HOME PHONE: 413/739-8258

BUSINESS PHONE: 413/785-0325

KELLY, PESSOLANO & WITHERS, P.C.

Attorneys at Law

Suite 2500 Baybank Tower

1500 Main Street

Post Office Box 15389

Springfield, Massachusetts 01115-5389

Telephone (413) 781-4700

FAX (413) 739-1441

Joseph P. Pessolano*

George F. Kelly*

Kevin D. Withers

John M. Payne, Jr.

Neil C. Darragh

*Also Admitted in New York

92 FEB 18 PM 1:49

William G. White
Of Counsel To The Firm

February 14, 1992

Teresa A. Hennessy,
Assistant General Counsel
Federal Election Commission
Washington, D.C. 20463

RE: MUR 3353

**Richard E. Neal for Congress Committee and
Michael Hall as Treasurer**


Dear Attorney Hennessy:

Enclosed please find the executed Conciliation Agreement between the Commission and the Richard E. Neal for Congress Committee.

If you have any questions, please do not hesitate to contact

I will await hearing from you with respect to the Commission's decision and would obviously appreciate receiving a copy of the fully executed agreement for my files.

Sincerely,


John M. Payne, Jr.

JMP:sjl
Enclosures

RECEIVED
FEDERAL ELECTION COMMISSION
92 FEB 18 PM 3:47

RECEIVED
F.E.C.
OCT 17 1977

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of)

Richard E. Neal for Congress)
Committee and Michael Hall,)
as treasurer)

MUR 3353

SENSITIVE

GENERAL COUNSEL'S REPORT

I. BACKGROUND

Attached is a conciliation agreement which has been signed by John M. Payne, counsel for the Respondents. A check in payment of the \$2,000 civil penalty has not been received.

II. RECOMMENDATIONS

1. Accept the attached conciliation agreement with Richard E. Neal for Congress Committee and Michael Hall, as treasurer.

2. Close the file.
3. Approve the appropriate letter.

Lawrence M. Noble
General Counsel

Date 2/20/92

BY:


Lois G. Lerner
Associate General Counsel

Attachment

1. Conciliation Agreement

Staff Assigned: Tamara Kapper

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of)
)
Richard E. Neal for Congress) MUR 3353
Committee and Michael Hall,)
as treasurer.)

CERTIFICATION

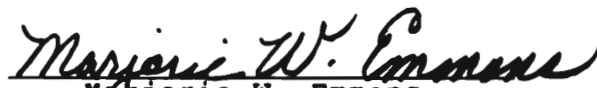
I, Marjorie W. Emmons, Secretary of the Federal Election Commission, do hereby certify that on February 25, 1992, the Commission decided by a vote of 6-0 to take the following actions in MUR 3353:

1. Accept the conciliation agreement with Richard E. Neal for Congress Committee and Michael Hall, as treasurer, as recommended in the General Counsel's Report dated February 20, 1992.
2. Close the file.
3. Approve the appropriate letter, as recommended in the General Counsel's Report dated February 20, 1992.

Commissioners Aikens, Elliott, McDonald, McGarry, Potter and Thomas voted affirmatively for the decision.

Attest:

2-26-92
Date


Marjorie W. Emmons
Secretary of the Commission

Received in the Secretariat:	Friday, Feb. 21, 1992 10:18 a.m.
Circulated to the Commission:	Friday, Feb. 21, 1992 12:00 p.m.
Deadline for vote:	Tuesday, Feb. 25, 1992 4:00 p.m.

dr



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

RECEIVED

March 2, 1992

John M. Payne, Jr., Esq.
Kelly, Pessolano & Withers, P.C.
1500 Main Street, Suite 2500
Springfield, MA 01115-5389

RE: MUR 3353
Richard E. Neal for Congress
Committee and Michael Hall,
as treasurer

Dear Mr. Payne:

On February 25, 1992, the Federal Election Commission accepted the signed conciliation agreement submitted on your clients' behalf in settlement of a violation of 2 U.S.C. § 434(a)(6), a provision of the Federal Election Campaign Act of 1971, as amended. Accordingly, the file has been closed in this matter.

This matter will become a part of the public record within 30 days. If you wish to submit any factual or legal materials to appear on the public record, please do so within ten days. Such materials should be sent to the Office of the General Counsel. Please be advised that information derived in connection with any conciliation attempt will not become public without the written consent of the respondent and the Commission. See 2 U.S.C. § 437g(a)(4)(B). The enclosed conciliation agreement, however, will become a part of the public record.

Enclosed you will find a copy of the fully executed conciliation agreement for your files. Please note that the civil penalty is due within 30 days of the conciliation agreement's effective date. If you have any questions, please contact me at (202) 219-3400.

Sincerely,

Mary P. Mastrobattista

Mary P. Mastrobattista
Attorney

Enclosure
Conciliation Agreement

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of)
Richard E. Neal for Congress) MUR 3353
Committee and Michael Hall,)
as treasurer)

CONCILIATION AGREEMENT

This matter was initiated by the Federal Election Commission ("Commission") pursuant to information ascertained in the normal course of carrying out its supervisory responsibilities. The Commission found reason to believe that the Richard E. Neal for Congress Committee and Michael Hall, as treasurer ("Respondents"), violated 2 U.S.C. § 434(a)(6).

NOW, THEREFORE, the Commission and the Respondents, having participated in informal methods of conciliation, prior to a finding of probable cause to believe, do hereby agree as follows:

I. The Commission has jurisdiction over the Respondents and the subject matter of this proceeding, and this agreement has the effect of an agreement entered pursuant to 2 U.S.C. § 437g(a)(4)(A)(i).

II. Respondents have had a reasonable opportunity to demonstrate that no action should be taken in this matter.

III. Respondents enter voluntarily into this agreement with the Commission.

IV. The pertinent facts in this matter are as follows:

1. Richard E. Neal was a candidate for the U.S. House of Representatives in the November 6, 1990 General Election in the state of Massachusetts. The Richard E. Neal for Congress Committee is the authorized principal campaign committee for Mr. Neal's 1990 congressional campaign.

2. Michael Hall is the treasurer of the Richard E. Neal for Congress Committee.

3. The Federal Election Campaign Act of 1971, as amended (the "Act"), requires principal campaign committees of candidates for Federal office to notify either the Clerk of the House, the Secretary of the U.S. Senate, or the Commission, as appropriate, and the Secretary of State, in writing, of any contribution totaling \$1,000 or more received by any authorized committee of the candidate after the 20th day but more than 48 hours before any election. 2 U.S.C. § 434(a)(6)(A). The Act further requires this notification to be made within 48 hours after the receipt of the contribution and to include the name of the candidate and the office sought by the candidate, identification of the contributor, the date of receipt and the amount of the contribution. Id. The notification of the contribution pursuant to 2 U.S.C. § 434(a)(6)(A) shall be in addition to all other reporting requirements. 2 U.S.C. § 434(a)(6)(B).

4. Pursuant to 2 U.S.C. § 431(8)(A)(i), a "contribution" is defined as any gift, subscription, loan, advance, or deposit of money or anything of value made by any person for the purpose of influencing any election for Federal office.

5. The Act defines a "person" as an individual, partnership, committee, association, corporation, labor organization, or any other organization or group of persons. 2 U.S.C. § 431(11).

6. Pursuant to 2 U.S.C. § 431(13), the "identification" of an individual includes disclosing the name, mailing address, and occupation of each individual, as well as the name of their employer, and in case of any other person, the full name and mailing address.

7. Respondents received nine (9) contributions totaling \$24,400 which were received after the 20th day but more than 48 hours before the general election.

8. On their 1990 30 Day Post-General Election Report, Respondents disclosed the receipt of a \$1,000 contribution from the Carpenters Legislative Improvement Committee on October 24, 1990. Respondents were required to file a 48 Hour Notice for this contribution no later than October 26, 1990.

9. On their 1990 30 Day Post-General Election Report, Respondents disclosed the receipt of a \$1,500 contribution from the Laborers Political League on October 24, 1990. Respondents were required to file a 48 Hour Notice for this contribution no later than October 26, 1990.

10. On their 1990 30 Day Post-General Election Report, Respondents disclosed the receipt of a \$2,500 contribution from the United Steelworkers PAC on October 24, 1990. Respondents were required to file a 48 Hour Notice for this contribution no later than October 26, 1990.

11. On their 1990 30 Day Post-General Election Report, Respondents disclosed the receipt of a \$2,500 contribution from the National Committee to Preserve Social Security PAC on October 29, 1990. Respondents were required to file a 48 Hour Notice for this contribution no later than October 31, 1990.

12. On their 1990 30 Day Post-General Election Report, Respondents disclosed the receipt of a \$5,000 contribution from the Drive Political Fund on November 2, 1990. Respondents were required to file a 48 Hour Notice for this contribution no later than November 4, 1990.

13. On their 1990 30 Day Post-General Election Report, Respondents disclosed the receipt of a \$1,900

contribution from the Letter Carriers AFL-CIO Political Education Fund on November 2, 1990. Respondents were required to file a 48 Hour Notice for this contribution no later than November 4, 1990.

14. On their 1990 30 Day Post-General Election Report, Respondents disclosed the receipt of a \$2,500 contribution from the National Association of Life Underwriters PAC on November 2, 1990. Respondents were required to file a 48 Hour Notice for this contribution no later than November 4, 1990.

15. On their 1990 30 Day Post-General Election Report, Respondents disclosed the receipt of a \$2,500 contribution from the National Education Association PAC on November 2, 1990. Respondents were required to file a 48 Hour Notice for this contribution no later than November 4, 1990.

16. On their 1990 30 Day Post-General Election Report, Respondents disclosed the receipt of a \$5,000 contribution from UAW V CAP on November 2, 1990. Respondents were required to file a 48 Hour Notice for this contribution no later than November 4, 1990.

17. None of the contributions listed in subparagraphs 8-16 above was disclosed until Respondents filed their 1990 30 Day Post-General Election Report, which was not received by the Clerk of the House of Representatives until December 7, 1990.

18. Respondents contend that, as a result of the candidate facing no opposition in the 1990 General Election, they did not realize that they were still required to file 48 Hour Notices for any contributions totaling \$1,000 or more received after the 20th day, but more than 48 hours before the General Election.

V. Respondents failed to file 48 Hour Notices for the above nine (9) contributions in violation of 2 U.S.C. § 434(a)(6). Respondents contend the violation was not knowing and willful.

VI. Respondents will pay a civil penalty to the Federal Election Commission in the amount of two thousand dollars (\$2,000), pursuant to 2 U.S.C. § 437g(a)(5)(A).

VII. The Commission, on request of anyone filing a complaint under 2 U.S.C. § 437(g)(a)(1) concerning the matters at issue herein or on its own motion, may review compliance with this agreement. If the Commission believes that this agreement or any requirement thereof has been violated, it may institute a civil action for relief in the United States District Court for the District of Columbia.

VIII. This agreement shall become effective as of the date that all parties hereto have executed same and the Commission has approved the entire agreement.

IX. Respondents shall have no more than 30 days from the date this agreement becomes effective to comply with and implement the requirement contained in this agreement and to so notify the Commission.

X. This Conciliation Agreement constitutes the entire agreement between the parties on the matters raised herein, and no other statement, promise, or agreement, either written or oral, made by either party or by agents of either party, that is not contained in this written agreement shall be enforceable.

FOR THE COMMISSION:

Lawrence M. Noble
General Counsel

BY:

Lois G. Lerner
Lois G. Lerner
Associate General Counsel

2/28/92
Date

FOR THE RESPONDENTS:

John M. Payne Jr.
(Name)
(Position) *Attorney for the*
Richard E. Neel Committee

2/14/92
Date



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

THIS IS THE END OF MUR # 3353

DATE FILMED 3/13/92 CAMERA NO. 2

CAMERAMAN Tom



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

THE FOLLOWING DOCUMENTATION IS ADDED TO

THE PUBLIC RECORD IN CLOSED MUR 3357.

4/30/92

2040903048



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

CLOSED

March 19, 1992

TWO WAY MEMORANDUM

TO: Virginia Whitted
OGC, Docket

FROM: Philomena Brooks
Accounting Technician

SUBJECT: Account Determination for Funds Received

We recently received a check from The Richard
E. Neal for Congress Ctr., check number 1027, dated
March 14, 1992, and in the amount of \$ 2,000.00.
Attached is a copy of the check and any correspondence that
was forwarded. Please indicate below the account into which
it should be deposited, and the MUR number and name.

No Correspondence

TO: Philomena Brooks
Accounting Technician

FROM: Virginia Whitted
OGC, Docket

In reference to the above check in the amount of \$ 2000.00, the MUR number is 3353 and in the name of _____ . The account into which it should be deposited is indicated below:

Budget Clearing Account (OGC), 95F3875.16

xx Civil Penalties Account, 95-1099.160

Other: _____

Virginia R. Mitchell
Signature

April 1, 1992
Date

THE RICHARD E. NEAL
FOR CONGRESS COMMITTEE
MICHAEL F. HALL, TREASURER
76 MAGNOLIA TERRACE
SPRINGFIELD, MA 01108

1027

63-000/118
BRANCH 61

MARCH 14 19 92

PAY
TO THE
ORDER OF

FEDERAL ELECTION COMMISSION

\$ 2000⁰⁰

TWO THOUSAND

00/100

DOLLARS

Multibank West

First Agricultural Bank
Springfield, Massachusetts 01101

FOR

MUR 3353

Michael F. Hall

⑈001027⑈ ⑆011802695⑆ 410 100266⑈

2040903050