



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

THIS IS THE BEGINNING OF MUR # 3275

DATE FILMED 8/22/91 CAMERA NO. 4

CAMERAMAN AS

91040860002



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

4 February 1991

MEMORANDUM

TO: LAWRENCE M. NOBLE
GENERAL COUNSEL

THROUGH: JOHN C. SURINA
STAFF DIRECTOR

FROM: JOHN D. GIBSON
ASSISTANT STAFF DIRECTOR
REPORTS ANALYSIS DIVISION

SUBJECT: REFERRAL OF MONTHLY UNAUTHORIZED COMMITTEES
FOR FAILING TO FILE THE 1990 12 DAY PRE-GENERAL
REPORT BY ELECTION DAY

Attached is a listing of thirty-five (35) monthly unauthorized committees which failed to file the 1990 12 Day Pre-General Report by Election Day, November 6, 1990.

For your information, each committee was sent Prior Notice of the due date of the report on October 1, 1990 (Attachment 36). Twenty-nine (29) of the committees were sent Non-Filer Notices on November 15, 1990 (Attachment 37). Six (6) of the committees

were not sent Non-Filer Notices because their 12 Day Pre-General Reports were filed by November 15, 1990.

If you have any questions, please contact Lisa Stolaruk at 376-2480.

Attachment

21040860003

C00181826

Aetna Life and Casualty Company Political
Action Committee

91NF-17

91040860004

91040860005

AETNA LIFE AND CASUALTY COMPANY POLITICAL ACTION COMMITTEE

(Attachment 1a - 1e)

ANALYST: Eric S. Brown

CONVERSATION WITH: Jonathan Topodas

COMMITTEE: Aetna Life and Casualty Company Political Action Committee

DATE: 11/16/90

SUBJECT(S): The committee's Pre-General Report (10/1/90-10/17/90)

Mr. Topodas called me and stated that the committee had yet to file the Pre-General Report. He explained that the committee recently changed its filing frequency from Quarterly to Monthly and erroneously believed that a November Monthly report would satisfy the Commission. I informed him that a Pre-General Report covering 10/1/90 - 10/17/90 must be filed immediately and it will be considered a late report. He said he would send it certified mail today. Mr. Topodas also asked about the penalties for filing a late report. I said that any penalty will be considered after our review of that report.

91040360007

Law & Public Affairs
131 Farmington Avenue
Hartford, CT 06186

Jonathan M. Topodas
Counsel
Law Department
303-273-RM13

9:12.20 PM 3:54

November 16, 1990

Reports Analysis Division
Federal Elections Commission
1325 K Street, N.W.
Washington, DC 20463

Attn: Mr. Eric S. Brown

Dear Mr. Brown:

RE: COO 181826 ("AETNA PAC")

Enclosed with this letter you will find the
Pre-Election Report (for the period 10/1/90 through
10/17/90) which should have been filed on 10/25/90.

I only today uncovered our oversight in not filing the
Pre-Election Report on time. Because Aetna PAC
switched earlier this year to monthly filing status,
we unfortunately got "caught up" in the routine of
filing the 20th of each month and failed to handle the
Pre-Election Report as required.

We are truly sorry (and embarrassed) for this
oversight and hope the Commission can accept this
apology. As the record will show, we have a history
of timely filing and the enclosed late filing is the
first (and last!) of the election cycle.

Thank you for your considerations.

Sincerely,

Jonathan M. Topodas

Jonathan M. Topodas
Counsel
ggb

Enclosure

91040360008
111525

REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee
(Summary Page)

USE PRE-PAID MAILING LABEL OR POSTAGE ON FRONT

TYPE ON FRONT

1. NAME OF COMMITTEE (Print)

Aetna Life and Casualty Company
Political Action Committee

ADDRESS (Number and street)

☐ Check if different than previously reported

151 Farmington Avenue

CITY, STATE and ZIP CODE

Hartford, CT 06156

2. FEC IDENTIFICATION NUMBER

C00181826

3. ☐ This committee qualified as a multicandidate committee DURING THIS Reporting Period on (date)

4. TYPE OF REPORT

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

Monthly Report Due On:

<input type="checkbox"/> February 20	<input type="checkbox"/> June 20	<input type="checkbox"/> October 20
<input type="checkbox"/> March 20	<input type="checkbox"/> July 20	<input type="checkbox"/> November 20
<input type="checkbox"/> April 20	<input type="checkbox"/> August 20	<input type="checkbox"/> December 20
<input type="checkbox"/> May 20	<input type="checkbox"/> September 20	<input type="checkbox"/> January 21

☒ Twelfth day report preceding General (Type of Election)

election on 11/6/90 in the State of

☐ Thirtieth day report following the General Election on in the State of(b) Is this Report an Amendment? ☐ YES ☒ NO

SUMMARY

	5. Covering Period	COLUMN A This Period	COLUMN B Calendar Year-to-Date
	10/01/90 through 10/17/90		
6 (a)	Cash on Hand January 1, 1990		\$ 37,014.39
(b)	Cash on Hand at Beginning of Reporting Period	\$ 22,111.58	
(c)	Total Receipts (from Line 18)	\$ 9,492.73	\$ 151,350.92
(d)	Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	\$ 25,604.31	\$ 188,365.31
7	Total Disbursements (from Line 28)	\$ 6,800.00	\$ 169,561.00
8	Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	\$ 18,804.31	\$ 18,804.31
9	Debits and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	\$ 0.00	
10	Debits and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	\$ 0.00	

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete

Type or Print Name of Treasurer

Timothy A. Holt

Signature of Treasurer

Timothy A. Holt

Date

November 16, 1990

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

FEC FORM 3X

(revised 4/87)

Law & Public Affairs
151 Farmington Avenue
Hartford, CT 06155

Jonathan M. Topodas
Counsel
Law Department
202-573-5300

90NC:27 PH12:07

November 26, 1990

John D. Gibson
Assistant Staff Director
Reports Analysis Division
Federal Election Commission
999 E Street, NW
Washington, DC 20463



Dear Mr. Gibson:

I received today your letter of November 15 (enclosed) reminding me of my tardiness in filing the Pre-General Report.

As noted in the enclosed Aetna PAC letter of November 16, when we uncovered our oversight we immediately filed the Report explaining our error.

We are truly sorry for this late filing and hope our filing practices in the past will serve us well as you consider this matter.

Sincerely,

A handwritten signature in cursive script, appearing to read "Jonathan M. Topodas".

Jonathan M. Topodas
Counsel
ggb

Enclosures

210335/13133

GENERAL ELECTION REPORT NOTICE

ATTACHMENT 36
(Page 1 of 2)

FEDERAL ELECTION COMMISSION

PARTIES AND PACs

October 1, 1990

I. ALL MONTHLY FILERS

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

II. QUARTERLY FILERS THAT MAKE GENERAL ELECTION CONTRIBUTIONS OR EXPENDITURES FROM OCTOBER 1 THROUGH OCTOBER 17***

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

III. QUARTERLY FILERS WHICH DO NOT MAKE GENERAL ELECTION CONTRIBUTIONS OR EXPENDITURES FROM OCTOBER 1 THROUGH OCTOBER 17***

REPORT	REPORTING PERIOD	REG./CERT. MAILING DATE*	FILING DATE
Post-General	10/01/90**-11/26/90	12/06/90	12/06/90

WHO MUST FILE

Party committees and PACs (nonconnected committees and separate segregated funds) must follow the above charts in order to determine whether they must file the pre-general election report. All party committees and PACs, regardless of financial activity, must file the post-general election report.

WHAT MUST BE REPORTED

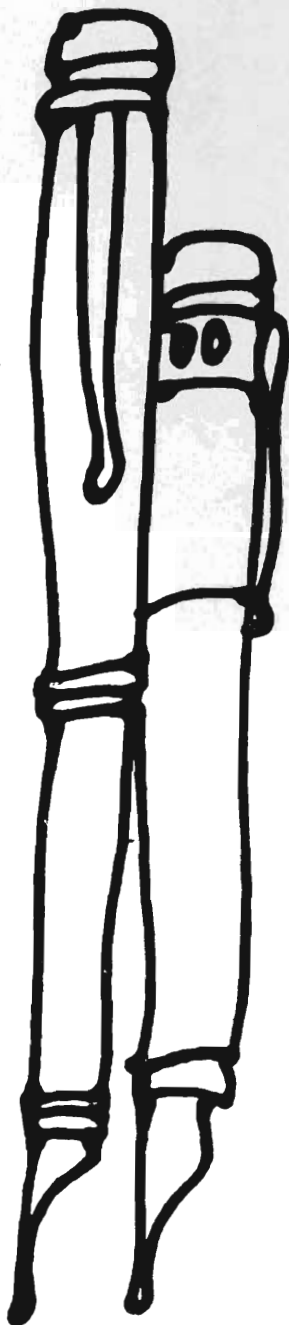
All financial activity (not previously reported) that occurred during the reporting period.

*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.

***Committees that made general election contributions or expenditures prior to October 1 which have not been previously reported must also follow the Chart II reporting requirements.

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PARTIES AND PACs

GENERAL ELECTION

REPORTING FORMS

Party committees and PACs use Form 3X (enclosed).

WHERE TO FILE

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

LABEL

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

LAST-MINUTE INDEPENDENT EXPENDITURES

Any PAC which makes any independent expenditures aggregating \$1,000 or more during the period beginning October 18 and ending November 4 must report them within 24 hours. Call the FEC for more information.

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

91040860012



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

RQ-7

November 15, 1990

**TREASURER
COMMITTEE
STREET
CITY, STATE ZIP**

Identification Number: ID NUMBER

Reference: 12 Day Pre-General Report (10/1/90-10/17/90)

Dear TREASURER:

It has come to the attention of the Federal Election Commission ("the Commission") that your committee may be in violation of 2 U.S.C. §434(a) for failing to file the above referenced Report of Receipts and Disbursements. You were previously notified of the due date for this report.

It is important that you file this report immediately with the Federal Election Commission, 999 E Street, NW, Washington, DC 20463 (or with the Clerk of the House or the Secretary of the Senate, as appropriate). A copy of the report or its relevant portions should also be filed with the Secretary of State or equivalent state officer (see 11 CFR §§108.2, 108.3, 108.4).

Although the Commission may initiate an audit or legal enforcement action concerning this matter, your prompt response and a letter of explanation will be taken into consideration.

If you have any questions, please contact **ANALYST** on our toll-free number (800) 424-9530. Our local number is (202) 376-2480.

Sincerely,

John D. Gibson
Assistant Staff Director
Reports Analysis Division

21040360013

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

FIRST GENERAL COUNSEL'S REPORT

SENSITIVE

RAD Referral: 91NF 17 - 51
Staff Member: Noriega E. James

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

RESPONDENTS: Aetna Life and Casualty Company Political
Action Committee and Timothy A. Holt, as
treasurer (91NF-17)

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RELEVANT STATUTES: 434(a)(4)(B)
INTERNAL REPORTS CHECKED: Referral Materials
FEDERAL AGENCIES CHECKED: None

I. GENERATION OF MATTER

The Reports Analysis Division ("RAD") referred the above thirty-five (35) committees and their treasurers to the Office of the General Counsel on February 5, 1991. The basis of the attached RAD referral is the committees' failure to file the

1990 12 Day Pre-General Report in a timely manner, in violation of 2 U.S.C. § 434(a)(4)(B).

II. FACTUAL AND LEGAL ANALYSIS

The Federal Election Campaign Act of 1971, as amended ("the Act"), provides that all unauthorized political committees that file monthly reports, shall file a pre-general election report in lieu of filing the report otherwise due in November of any year in which a regularly scheduled general election is held. 2 U.S.C. § 434(a)(4)(B). According to Section 434(a)(2)(A)(i) the pre-election report must be filed no later than the 12th day before any election, and should be complete as of the 20th day before the election.

With regard to the 1990 general election, unauthorized committees were required to file a 12 Day Pre-General Election Report, covering the pre-election period of October 1 through October 17, by October 25, 1990. The committees referred by RAD failed to file the 1990 Pre-General Report or a report covering the pre-election period by the required deadline. However, seven of the committees filed 1990 November Monthly Reports with coverage dates of October 1 through 31, 1990. These reports

91040360017

were received after the due date for the 12 Day Pre-General Report.

On October 1, 1990, prior notification was sent to all unauthorized committees which specifically informed monthly filers of the requirement to file a 12 Day Pre-General Report by October 25, 1990 (Attachment 1, pages 177 - 178). Each committee which failed to submit either a 12 Day Pre-General Report or a November Monthly Report was sent a Non-Filer Notice on November 15, 1990 (Attachment 1, page 179).

Accordingly, the Office of the General Counsel recommends that the Commission open Matters Under Review and find reason to believe that 34 of the 35 previously referenced committees and their treasurers (See Recommendation I) violated 2 U.S.C. § 434(a)(4)(B) by failing to file timely the 1990 12 Day Pre-General Report.

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III. DISCUSSION OF CONCILIATION AND CIVIL PENALTY

This Office also recommends that the Commission offer to enter into conciliation with the respondents prior to a finding of probable cause to believe.

91040860019

PAGES 7 THROUGH 27 DO NOT PERTAIN TO THESE RESPONDENTS.

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IV. RECOMMENDATIONS

1. Open Matters Under Review, find reason to believe that the following committees and their treasurer violated 2 U.S.C. § 434(a)(4)(B) and enter into conciliation prior to a finding of probable cause to believe:

- A. Aetna Life and Casualty Company Political Action Committee and Timothy A. Holt, as treasurer (91NF-17)

B.

C.

D.

E.

F.

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H.

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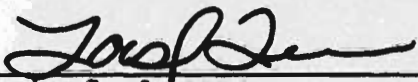
HH.

2.

3. Approve the attached Factual and Legal Analyses and proposed conciliation agreements and the appropriate letters.

Lawrence M. Noble
General Counsel

Date 5/2/91

BY: 
Lois G. Lerner
Associate General Counsel

Attachments:

1. RAD Referral
2. Factual and Legal Analysis (34)
3. Conciliation Agreement (34)

21040860024

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of)
)
Thirty-five (35) Committees and) RAD Referrals
) #91NF 17-51
their treasurers)

CERTIFICATION

I, Marjorie W. Emmons, do hereby certify that
the Commission took the following actions with respect
to the above-captioned referrals:

1. Decided by a vote of 6-0 to

a) Open Matters Under Review, find reason
to believe that the following committees
and their treasurer violated 2 U.S.C.
§ 434(a)(4)(B) and enter into concili-
ation prior to a finding of probable
cause to believe:

A. Aetna Life and Casualty Company
Political Action Committee and
Timothy A. Holt, as treasurer
(91NF-17)

B.

C.

(continued)

91040860025

Federal Election Commission
Certification: RAD 91NF 17-51
May 14, 1991

Page 2

D.

E.

F.

G.

H.

I.

J.

K.

(continued)

91040860026

Federation Election Commission
Certification: RAD 91NF 17-51
May 14, 1991

Page 3

L.

M.

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S.

(continued)

91040860027

Federal Election Commission
Certification: RAD 91NF 17-51
May 14, 1991

Page 4

T.

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AA.

(continued)

91040360028

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GG.

b)

- c) Approve the Factual and Legal Analyses
and proposed conciliation agreements
and the appropriate letters as
recommended in the General Counsel's
Report dated May 2, 1991.**

(continued)

91040860029

Federal Election Commission
Certification: RAD 91NF 17-51
May 14, 1991

Page 6

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

Attest:

5-17-91
Date

Marjorie W. Emmons
Marjorie W. Emmons
Secretary of the Commission

21040860030



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

May 28, 1991

Timothy A. Holt, Treasurer
Aetna Life and Casualty Company
Political Action Committee
c/o Willard P. Yeats
151 Farmington Avenue
Hartford, CT 06156

RE: MUR 3275
Aetna Life and Casualty Company
Political Action Committee and
Timothy A. Holt, as treasurer

Dear Mr. Holt:

On May 14, 1991, the Federal Election Commission found that there is reason to believe Aetna Life and Casualty Company Political Action Committee ("Committee") and you, as treasurer, violated 2 U.S.C. § 434(a)(4)(B), 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.

91040360031

Timothy A. Holt, Treasurer
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 Lawrence D. Parrish, the attorney assigned to this matter, at (202) 376-8200.

Sincerely,

Joan D. Aikens

Joan D. Aikens
Vice Chairman

Enclosures

Factual and Legal Analysis
Procedures
Designation of Counsel Form
Conciliation Agreement

21040360032

FEDERAL ELECTION COMMISSION
FACTUAL AND LEGAL ANALYSIS

MUR: 3275

RESPONDENTS: Aetna Life and Casualty Company Political Action Committee and Timothy A. Holt, as treasurer

21040360033
The Federal Election Campaign Act of 1971, as amended ("the Act"), provides that all unauthorized political committees that file monthly reports, shall file a pre-general election report in lieu of filing the report otherwise due in November of any year in which a regularly scheduled general election is held. 2 U.S.C. § 434(a)(4)(B). According to Section 434(a)(2)(A)(i) the pre-election report must be filed no later than the 12th day before any election, and should be complete as of the 20th day before the election.

With regard to the 1990 general election, unauthorized committees were required to file a 12 Day Pre-General Election Report, covering the pre-election period of October 1 through October 17, by October 25, 1990. The above referenced committee failed to file the 1990 Pre-General Report or a report covering the pre-election period by the required deadline. Therefore, there is reason to believe the Aetna Life and Casualty Company Political Action Committee and Timothy A. Holt, as treasurer, violated 2 U.S.C. § 434(a)(4)(B) by failing to timely file the 1990 12 Day Pre-General Report.



Public Affairs Division
151 Farmington Avenue
Hartford, CT 06156

Jonathan M. Topodas
Counsel
Government Relations, RE4C
203-273-8383

06C 1543

91 JUN 14 AM 10:30 91 JUN 14 PM 3:21

RECEIVED
FEDERAL ELECTION COMMISSION
PUBLIC AFFAIRS DIVISION

June 13, 1991

Lawrence D. Parrish, Esq.
Federal Election Commission
999 E. Street NW
Washington, DC 20463

Dear Mr. Parrish:

RE: MUR 3275

On behalf of Aetna Life and Casualty Company Political Action Committee ("Aetna PAC") I am writing to request that no further action be taken in this matter.

The matter in question relates to the filing by Aetna PAC of the 12 Day Pre-General Election Report (10/1/90 through 10/17/90) due on October 25, 1990. The actual filing by Aetna PAC for this period was made on November 16, 1990.

As noted in our November 16, 1990 letter to the Commission, upon discovering our oversight with respect to this filing, we immediately submitted the appropriate material. As explained in our November 16, 1990 letter, our otherwise very efficient computer system did not pick up the October 25, 1990 deadline. (When we switched to monthly filing status earlier in 1990, we inadvertently failed to program in the Pre-General Report; consequently, we "missed" the October 25, 1990 deadline). As noted, upon realizing our oversight we immediately filed the completed form and called the Commission to discuss the matter.

Over the years of our PAC's existence we have worked hard to understand the law and to honor our responsibilities. I believe our record speaks well of our efforts and compliance. We have worked well with the Commission staff to make our filings (which are computerized) conform to the format requested by staff.

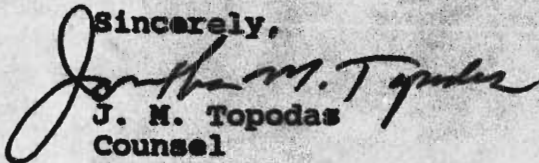
The tardiness of this one filing was clearly not the by-product of a disregard of the rules; simply put, it was a technical oversight that was immediately corrected. And we have taken steps necessary to insure that this will not occur again.

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Page 2
Mr. Parrish
June 13, 1991

We are hopeful and respectfully request that, in consideration of our timely past filing practices, our good intentions and our corrective measures, you will grant this request for no further action.

Sincerely,


J. M. Topodas
Counsel
Aetna PAC

21040860035

Law & Public Affairs
151 Farmington Avenue
Hartford, CT 06156

Jonathan M. Topodas
Counsel
Law Department
203-273-8383

November 26, 1990

John D. Gibson
Assistant Staff Director
Reports Analysis Division
Federal Election Commission
999 E Street, NW
Washington, DC 20463

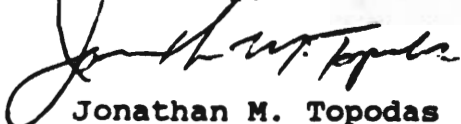
Dear Mr. Gibson:

I received today your letter of November 15 (enclosed) reminding me of my tardiness in filing the Pre-General Report.

As noted in the enclosed Aetna PAC letter of November 16, when we uncovered our oversight we immediately filed the Report explaining our error.

We are truly sorry for this late filing and hope our filing practices in the past will serve us well as you consider this matter.

Sincerely,



Jonathan M. Topodas
Counsel
ggb

Enclosures

2104036036



November 16, 1990

Reports Analysis Division
Federal Elections Commission
1325 K Street, N.W.
Washington, DC 20463

Attn: Mr. Eric S. Brown

Dear Mr. Brown:

RE: COO 181826 ("AETNA PAC")

Enclosed with this letter you will find the
Pre-Election Report (for the period 10/1/90 through
10/17/90) which should have been filed on 10/25/90.

I only today uncovered our oversight in not filing the
Pre-Election Report on time. Because Aetna PAC
switched earlier this year to monthly filing status,
we unfortunately got "caught up" in the routine of
filing the 20th of each month and failed to handle the
Pre-Election Report as required.

We are truly sorry (and embarrassed) for this
oversight and hope the Commission can accept this
apology. As the record will show, we have a history
of timely filing and the enclosed late filing is the
first (and last!) of the election cycle.

Thank you for your considerations.

Sincerely,

Jonathan M. Topodas

Jonathan M. Topodas
Counsel
ggb

Enclosure

Aetna

2104036J037

Aetna

Public Affairs Division
151 Farmington Avenue
Hartford, CT 06156

ABC 1954
Jonathan M. Topodas
Counsel
Government Relations, RE4C
203-273-8383

July 18, 1991

Lawrence D. Parrish, Esq.
Federal Election Commission
999 E Street, N.W.
Washington, D.C. 20463

RE: MUR 3275

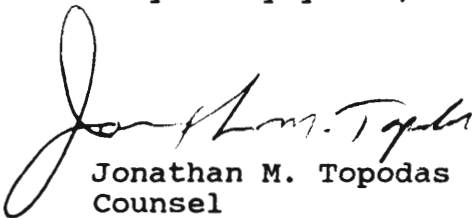
Dear Mr. Parrish:

Enclosed please find a signed Conciliation Agreement
relating to this matter.

As well I have enclosed a check in the amount of
\$400.00.

I trust this fully attends to this issue.

Very truly yours,


Jonathan M. Topodas
Counsel

JMT:ek

RECEIVED
FEDERAL ELECTION COMMISSION
91 JUL 23 PM 3:37

RECEIVED
FEDERAL ELECTION COMMISSION
OFFICE SERVICES BRANCH
91 JUL 22 AM 11:31

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91 JUL 31 PM 4:20

BEFORE THE FEDERAL ELECTION COMMISSION

SENSITIVE

In the Matter of)

) MUR 3275

Aetna Life and Casualty)
Company Political Action)
Committee and Timothy A.)
Holt, as treasurer)

GENERAL COUNSEL'S REPORT

I. BACKGROUND

Attached is a conciliation agreement which has been signed
by Jonathan M. Topodas, counsel for the Respondents.

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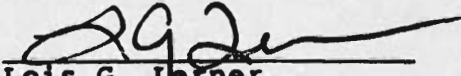
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II. RECOMMENDATIONS

1. Accept the attached conciliation agreement with Aetna Life and Casualty Company Political Action Committee and Timothy A. Holt, as treasurer.
2. Close the file.
3. Approve the appropriate letters.

Lawrence M. Noble
General Counsel

Date 7/30/91

BY: 
Lois G. Lerner
Associate General Counsel

Attachments

1. Conciliation Agreement
2. Copy of civil penalty check

Staff Assigned: Lawrence D. Parrish

91040860041

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of)

Aetna Life and Casualty)
Company Political Action)
Committee and Timothy A.)
Holt, as treasurer.)

MUR 3275

CERTIFICATION

I, Marjorie W. Emmons, Secretary of the Federal Election Commission, do hereby certify that on August 5, 1991 the Commission decided by a vote of 5-0 to take the following actions in MUR 3275:

1. Accept the conciliation agreement with Aetna Life and Casualty Company Political Action Committee and Timothy A. Holt, as treasurer, as recommended in the General Counsel's Report dated July 30, 1991.
2. Close the file.
3. Approve the appropriate letters, as recommended in the General Counsel's Report dated July 30, 1991.

Commissioners Aikens, Elliott, Josefiak, McGarry, and Thomas voted affirmatively for the decision; Commissioner McDonald did not cast a vote.

Attest:

8-5-91
Date

Marjorie W. Emmons
Marjorie W. Emmons
Secretary of the Commission

Received in the Secretariat: Wed., July 31, 1991 4:20 p.m.
Circulated to the Commission: Thurs., August 1, 1991 11:00 a.m.
Deadline for vote: Mon., August 5, 1991 11:00 a.m.

dr

91040860042



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

August 12, 1991

Jonathan M. Topodas, Esquire
Aetna Life and Casualty Company
Public Affairs Division
Government Relations, RE4C
151 Farmington Avenue
Hartford, CT 06156

RE: MUR 3275
Aetna Life and Casualty Company
Political Action Committee and
Timothy A. Holt, as treasurer

Dear Mr. Topodas:

On August 5, 1991, the Federal Election Commission accepted the signed conciliation agreement and civil penalty submitted on behalf of Aetna Life and Casualty Company Political Action Committee and Timothy A. Holt, as treasurer, in settlement of a violation of 2 U.S.C. § 434(a)(4)(B), 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. If you have any questions, please contact Lawrence D. Parrish, the attorney staff member assigned to this matter, at (202) 376-8200.

Sincerely,

Lawrence M. Noble
General Counsel

BY: Lois G. Lerner
Associate General Counsel

Enclosure
Conciliation Agreement

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MAILED

BEFORE THE FEDERAL ELECTION COMMISSION

In the Matter of)

)

Aetna Life and Casualty Company) MUR 3275

Political Action Committee and)
Timothy A. Holt, as treasurer)

CONCILIATION AGREEMENT

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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 Aetna Life and Casualty Company Political Action Committee and Timothy A. Holt, as treasurer, ("Respondents") violated 2 U.S.C. § 434(a) (4) (B).

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. Aetna Life and Casualty Company Political Action Committee is a political committee within the meaning of 2 U.S.C. § 431(4).

2. Timothy A. Holt is the treasurer of Aetna Life and Casualty Company Political Action Committee.

3. Section 434(a) (4) (B), of the Federal Election Campaign Act of 1971, as amended ("the Act"), provides that all unauthorized political committees, that file monthly reports, shall file a pre-general election report in lieu of filing the report otherwise due in November of any year in which a regularly scheduled general election is held. According to section 434(a) (2) (A) (i) the pre-election report must be filed no later than the 12th day before any election, and should be complete as of the 20th day before the election.

4. Respondents were required to file the 12 Day Pre-General Election Report, covering the pre-election period of October 1 through October 17, by October 25, 1990. Respondents failed to file the 1990 12 Day Pre-General Report or a report covering the pre-election period until November 20, 1990, 26 days late, disclosing \$3,492 in receipts and \$6,800 in disbursements for the relevant reporting period.

5. Respondents contend that corrective actions have been taken and controls have been implemented (e.g., re-format of reporting deadline tracking system) to insure that future

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reports will be filed on a timely basis.

V. Respondents failed to file the 1990 12 day Pre-General Report in a timely fashion in violation of 2 U.S.C. § 434(a) (4) (B). Respondents maintain that this was not a knowing and willful violation.

VI. Respondents will pay a civil penalty to the Federal Election Commission in the amount of Four Hundred Dollars (\$400), 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. § 437g(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

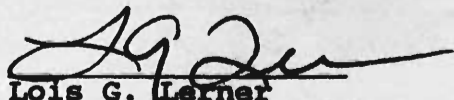
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or oral, made by either party or by agents of either party,
that is not contained in this written agreement shall be
enforceable.

FOR THE COMMISSION:

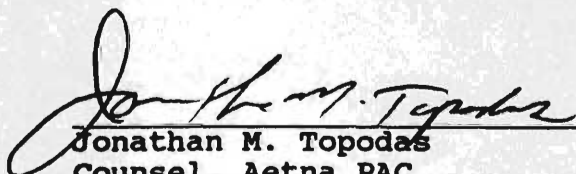
Lawrence M. Noble
General Counsel

BY:


Lois G. Lerner
Associate General Counsel

8/9/91
Date

FOR THE RESPONDENTS:


Jonathan M. Topodas
Counsel, Aetna PAC

July 16, 1991
Date

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FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

THIS IS THE END OF MUR # 3875

DATE FILMED 8/22/91 CAMERA NO. 4

CAMERAMAN AS

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