

## FEDERAL ELECTION COMMISSION

# INSTRUCTIONS FOR FEC FORM 3L

This form implements disclosure requirements set forth in 2 U.S.C. 434(i) and 11 CFR 104.22.

### Who Must File

Form 3L is filed by authorized committees of federal candidates, political party committees and Leadership PACs (collectively “reporting committees”) that receive certain bundled contributions from lobbyists/registrants and lobbyist/registrant PACs.

**Note:** Political committees (except for principal campaign committees of Senate candidates and other political committees that support or oppose only Senate candidates) must file reports in an electronic format if they have either received contributions or made expenditures in excess of \$50,000 during a calendar year, or if they have reason to expect that they will exceed either of those thresholds during the calendar year.

A committee is considered to have reason to expect it will exceed the electronic filing threshold for the following two calendar years after the calendar year in which it exceeds \$50,000 in contributions or expenditures.

A new committee with no previous contributions or expenditures is considered to have reason to expect it will exceed the electronic filing threshold if it exceeds \$12,500 in contributions or expenditures during the first quarter of the calendar year, or \$25,000 in contributions or expenditures in the first half of the calendar year.

If the committee has exceeded or expects to exceed this level of activity, **DO NOT FILE THIS FORM ON PAPER.** Instead, you must file this form in an electronic format.

Contact the FEC for more information on filing electronically.

### When to File

Reporting committees generally file FEC Form 3L according to their regular quarterly or monthly schedule. Reports filed in January and July also cover the semi-annual period. A reporting committee must file FEC Form 3L for a covered period if within that covered period it receives two or more bundled contributions forwarded by, or credited to, a lobbyist/registrant or lobbyist/registrant PAC, and the contributions aggregate in excess of the reporting threshold. For calendar year 2009 that threshold is \$16,000, per lobbyist/registrant or lobbyist/registrant PAC, per covered period.

**Authorized Committees of House and Senate Candidates:** A House or Senate campaign committee with bundled contributions in excess of the reporting threshold during the covered period files FEC Form 3L at the same time as its FEC Form 3.

In any calendar year in which there is a “regular” November general election for which the candidate is seeking nomination for election or election, the reporting deadlines for an authorized committee’s covered periods are as follows:

- Reports for the quarterly covered periods are filed no later than April 15, July 15, October 15 of that election year and January 31 of the following calendar year. These reports are required if the committee receives bundled contributions in excess of the reporting threshold during the quarter. Quarterly reports filed on July 15 and January 31 must also disclose total reportable bundled contributions for the semi-annual covered periods of January 1 through June 30, and July 1 through December 31, respectively. A quarterly report need not be filed if a Pre-Election report is filed during the period beginning on

the 5th day and ending on the 15th day after the close of the calendar quarter.

- Reports for the 12-Day Pre-Election covered period include activity from the day after the closing date of the last report filed through the 20th day before the election and are filed no later than the 12th day before any primary or general election in which the candidate seeks election. These reports are required if the committee receives bundled contributions in excess of the reporting threshold during the pre-election covered period. A 12-Day Pre-Election report sent by certified or registered mail must be mailed no later than the 15th day before the election.

- Reports for the 30-Day Post-General Election covered period include activity from the day after the closing date of the last report filed through the 20th day after the election and are filed no later than 30 days after the general election. These reports are required if the committee receives bundled contributions in excess of the reporting threshold during the post-election covered period.

In any other calendar year, reports for the quarterly covered periods are filed no later than April 15, July 15, October 15 of that calendar year and January 31 of the following calendar year. These reports are required if the committee receives bundled contributions in excess of the reporting threshold during the quarter. Quarterly reports filed on July 15 and January 31 must also disclose total reportable bundled contributions for the semi-annual covered periods of January 1 through June 30, and July 1 through December 31, respectively.

**Political Party Committees and Leadership PACs:** A party committee or Leadership PAC with bundled contributions in excess of the reporting threshold during a covered period

files FEC Form 3L at the same time as its FEC Form 3X. However, reporting committees that file Form 3X on a monthly basis may choose to follow a quarterly schedule for filing Form 3L.

*(A) Quarterly/Semi-annual Schedule.* In any calendar year in which there is a “regular” November general election, the reporting deadlines for a political party committee or Leadership PAC’s covered periods are as follows:

- Reports for the quarterly covered periods are filed no later than April 15, July 15, October 15 of that election year and January 31 of the following calendar year. These reports are required if the reporting committee receives bundled contributions in excess of the reporting threshold during the quarter. Quarterly reports filed on July 15 and January 31 must also disclose total reportable bundled contributions for the semi-annual covered periods of January 1 through June 30, and July 1 through December 31, respectively. A quarterly report need not be filed if a Pre-Election report is filed during the period beginning on the 5th day and ending on the 15th day after the close of the calendar quarter.
- Pre-Election reports include activity from the day after the closing date of the last report filed through the 20th day before the election and are filed no later than the 12th day before any primary or general election. These reports are required if the committee receives bundled contributions in excess of the reporting threshold during the covered period. A 12-Day Pre-Election report sent by certified or registered mail must be mailed no later than the 15th day before the election.
- A 30-Day Post-General Election Report includes activity from the day after the closing date of the last report filed through the 20th day after the election and must be filed no later than 30 days after the general election. These reports are required if the reporting committee receives

bundled contributions in excess of the reporting threshold for the post-election covered period.

In any other calendar year, the following reports are required if the reporting committee receives bundled contributions in excess of the reporting threshold during the covered period:

- A Mid-Year Report must be filed no later than July 31 of that non-election year and disclose total reportable bundled contributions for the covered period beginning January 1 and ending June 30.
- A Year-End Report must be filed no later than January 31 of the following calendar year and disclose total reportable bundled contributions for the covered period beginning July 1 and ending December 31.

*(B) Monthly Schedule.* Reports for the monthly covered periods must be filed no later than 20 days after the last day of the month. These reports are required if the reporting committee receives bundled contributions in excess of the reporting threshold during the month. Monthly reports filed on July 20 and January 31 must also disclose total reportable bundled contributions for the semi-annual covered periods of January 1 through June 30, and July 1 through December 31, respectively. In lieu of the Monthly reports due in November and December for a year in which there is a “regular” November general election, a 12-Day Pre-General Election Report must be filed if the reporting committee receives bundled contributions in excess of the reporting threshold during the pre-election covered period (i.e., from the day after the closing date of the last report filed through the 20th day before the election). A 30-Day Post-General Election Report must be filed if the reporting committee receives bundled contributions in excess of the reporting threshold during the post-general election covered period (i.e., from the day after the closing date of the last report filed through the 20th day after the election). A Year-End Report must be filed no later than January 31 of the

following calendar year if the reporting committee receives bundled contributions in excess of the reporting threshold during the covered period beginning the day after the closing date of the Post-General Election Report through December 31.

**Authorized Committees of Presidential Candidates:** A Presidential campaign committee with bundled contributions in excess of the reporting threshold during the covered period files FEC Form 3L at the same time as its FEC Form 3P. However, reporting committees that file Form 3P on a monthly basis may choose to follow a quarterly schedule for filing Form 3L.

*(A) Quarterly Schedule.* The reporting deadlines for a Presidential committee’s quarterly covered periods are as follows:

- Reports for the quarterly covered periods are filed no later than April 15, July 15, October 15 of that calendar year and January 31 of the following calendar year. These reports are required if the committee receives bundled contributions in excess of the reporting threshold during the quarter. Quarterly reports filed on July 15 and January 31 must also disclose total reportable bundled contributions for the semi-annual covered periods of January 1 through June 30, and July 1 through December 31, respectively. A quarterly report need not be filed if a Pre-Election report is required to be filed during the period beginning on the 5th day and ending on the 15th day after the close of the calendar quarter.
- Reports for the 12-Day Pre-Election covered period include activity from the day after the closing date of the last report filed through the 20th day before the election and are filed no later than the 12th day before any primary or general election in which the candidate seeks election. These reports are required if the committee receives bundled contributions in excess of the reporting threshold during the pre-election covered period. A 12-Day Pre-Election report sent by certified or registered

mail must be mailed no later than the 15th day before the election.

- Reports for the 30-Day Post-General Election covered period include activity from the day after the closing date of the last report filed through the 20th day after the election and are filed no later than 30 days after the general election. These reports are required if the committee receives bundled contributions in excess of the reporting threshold during the post-election covered period.

In any other calendar year, reports for the quarterly covered periods are filed no later than April 15, July 15, October 15 of that calendar year, and January 31 of the following calendar year. These reports are required if the committee receives bundled contributions in excess of the reporting threshold during the quarter. Quarterly reports filed on July 15 and January 31 must also disclose total reportable bundled contributions for the semi-annual covered periods of January 1 through June 30, and July 1 through December 31, respectively.

*(B) Monthly Schedule.* Reports for the monthly covered periods must be filed no later than 20 days after the last day of the month. These reports are required if the reporting committee receives bundled contributions in excess of the reporting threshold during the month. Monthly reports filed on July 20 and January 31 must also disclose total reportable bundled contributions for the semi-annual covered periods of January 1 through June 30, and July 1 through December 31, respectively. In lieu of the Monthly reports due in November and December for a year in which there is a “regular” November general election, a 12-Day Pre-General Election Report must be filed if the reporting committee receives bundled contributions in excess of the reporting threshold during the pre-election covered period (i.e., from the day after the closing date of the last report filed through the 20th day before the election). A 30-Day Post-General Election Report must be filed if the reporting committee receives bundled contributions in excess of the report-

ing threshold during the post-election covered period (i.e., from the day after the closing date of the last report filed through the 20th day after the election). A Year-End Report must be filed no later than January 31 of the following calendar year if the reporting committee received bundled contributions in excess of the reporting threshold during the covered period that runs from the day after the closing date of the Post-General Election Report through December 31.

**Overlapping Covered Periods:** An FEC Form 3L filed in July or January may cover more than one covered period. As such, reporting committees must calculate the total amount of bundled contributions received for each covered period to determine whether a Form 3L is necessary. If, for example, a reporting committee receives bundled contributions exceeding the reporting threshold for the January 1 through June 30 semi-annual covered period, then the reporting committee must file Form 3L in July and report information about those contributions, even if the reporting committee did not receive bundled contributions exceeding the reporting threshold for the committee’s quarterly, monthly, pre- or post-election covered period.

**Timely Filed:** A document is timely filed upon delivery to the appropriate office (see “Where to File”) by the close of the prescribed filing deadline or upon deposit as registered or certified mail in an established U.S. Post Office and postmarked no later than midnight of the day the report is due, except that a Pre-Election report so mailed must be postmarked no later than midnight of the 15th day before the date of the election. Reports and statements sent by first class mail must be received by the appropriate office by the close of business of the prescribed filing deadline to be timely filed. Reports filed electronically must be received and validated by the Commission’s computer system on or before 11:59 p.m. Eastern Standard/Daylight Savings Time on the prescribed filing deadline in order to be timely filed.

**Changing Filing Frequency:** A reporting committee may elect to change the frequency of its reporting on FEC Form 3L to quarterly from monthly, or vice versa. A reporting committee may change its filing frequency only after notifying the Commission in writing of its intention at the time it is scheduled to submit a report under its current filing frequency. The reporting committee will then be required to file the next required report under its new filing frequency. A reporting committee may change its filing frequency no more than once per calendar year.

### Where to File

An original report and any amendments to an original report must be filed as follows:

- Political party committees, Leadership PACs and the principal campaign committee of a candidate for the Presidency or the House of Representatives file with the Federal Election Commission, 999 E Street, NW, Washington, DC 20463. Other authorized committees of the candidate file with the principal campaign committee.
- Committees supporting/opposing only Senate candidates, including the principal campaign committee of a candidate for the Senate, file with the Secretary of the Senate, Office of Public Records, 232 Hart Senate Office Building, Washington, DC 20510-7116. Mail addressed to the Secretary of the Senate should read: “Office of Public Records, P.O. Box 2517, Alexandria, VA 22301-0517.” Other authorized committees of the candidate file with the principal campaign committee.

A copy of each report need only be filed with the Secretary of State (or appropriate State officer) of the state in which nomination or election is sought if that state has not qualified for the Commission’s state filing waiver. A list of qualified states is available from the Federal Election Commission.

**Line-by-Line Instructions**

LINE 1. Enter the complete name and mailing address of the reporting committee.

LINE 2. Enter the FEC Identification Number assigned to the reporting committee.

LINE 3. If this is an original report, check the “NEW” box. If this is an amendment to a previous report, check the “AMENDED” box.

LINE 4. Authorized committees of House and Senate candidates enter the state and district (as necessary) in which the candidate is running for office. Presidential campaigns, Leadership PACs and political party committees should leave this line blank.

LINE 5. Check the appropriate box. If the report is a 12-Day Pre-Election or 30-Day Post-General Election Report, supply the type of election (primary, general, convention, special or runoff), the date of the election and the state in which the election is held. If the Pre- or Post-Election Report is due in July or January and your July 15 Quarterly or Year-End Report has been waived, check the box to indicate that this report also covers the semi-annual covered period.

LINE 6. Enter the coverage dates (month/day/year) for this report. If this report is being filed in July or January, you may need to enter the dates for the quarterly, monthly, pre- or post-election covered period on 6(a) and/or check the January 1 – June 30 or July 1 – December 31 box on 6(b), as appropriate.

LINE 7. Enter the total amount of bundled contributions received in each covered period identified in Line 6. Reports filed in July and January may include activity from two covered periods—(1) the committee’s regular quarterly or monthly reporting period, the pre-election covered period, or the post-election covered period; and (2) the semi-annual covered period. In box 7(a), enter the total amount of bundled contributions received during the quarterly, monthly, pre-election,

or post-election covered period, if applicable. In box 7(b), enter the total amount of bundled contributions for the January – June or July – December semi-annual period, if applicable.

## INSTRUCTIONS FOR SCHEDULE A (FEC FORM 3L)

### Reportable Bundled Contributions Forwarded by or Credited to Lobbyists/ Registrants and Lobbyist/ Registrant PACs

For each lobbyist/registrant or lobbyist/registrant PAC that forwards, or is credited with raising more than \$16,000 in bundled contributions during the covered period, the reporting committee must provide the bundler's name, address and the aggregate amount of contributions bundled during the covered period.<sup>1</sup> On reports filed in July and January, use the "Reportable Bundled Contributions during the Semi-annual Covered Period" box to disclose aggregate amounts for the January 1-June 30 or July 1-December 31 covered period, as appropriate. On other reports, disclose the aggregate amount for each lobbyist/registrant or lobbyist/registrant PAC in the "Reportable Bundled Contributions during the Quarterly/Monthly/Pre-Election or Post-Election Covered Period" box. If the lobbyist/registrant is an individual, the reporting committee must also identify his/her employer. When disclosing bundled contributions forwarded by, or credited to, a lobbyist/registrant PAC, the reporting committee should enter the lobbyist/registrant PAC's FEC Identification Number. (This number is readily available from the Commission's web site or its Public

Disclosure Division.) Do not abbreviate committee names.

The Total reported amounts (the last line on Schedule A) should be transferred to the comparable spaces on Line 7, Total Reportable Bundled Contributions by Lobbyists/Registrants and Lobbyist/Registrant PACs. **Do not subtract the Total Refunds This Period disclosed on Schedule B (if any).**

**Memo Text:** A committee may, if it chooses, attach a cover letter or memo text to provide any additional information supporting or explaining the entries on Form 3L

<sup>1</sup> The Commission notes that the reporting requirements of Form 3L operate independently of the prohibitions in the Federal Election Campaign Act of 1971, as amended, and Commission regulations on certain entities making and facilitating contributions and acting as conduits or intermediaries. A registrant that is a corporation, for example, would be prohibited from facilitating the making of contributions by persons outside of the corporation's restricted class. But if a reporting committee nonetheless credits the corporation for having raised contributions received by that reporting committee, and the amount of contributions exceeds the reporting threshold in a covered period, information about the corporate registrant must be reported

## INSTRUCTIONS FOR SCHEDULE B (FEC FORM 3L)

### Refunds of Bundled Contributions Forwarded by or Credited to Lobbyists/Registrants and Lobbyist/Registrant PACs

Reporting committees use Schedule B of Form 3L solely to disclose refunds of bundled contributions raised by a lobbyist/registrant or lobbyist/registrant PAC.

#### Returned vs. Refunded Contributions

If a bundled contribution is not deposited and is instead returned, then it does not aggregate toward the reporting threshold for disclosure of bundled contributions and it does not need to be reported on FEC Form 3L. By contrast, bundled contributions that are received, deposited and later refunded do aggregate toward the reporting threshold for the covered period in which they were received, and must be reported if the reporting threshold is exceeded for that covered period.

#### Reporting Refunds

When the receipt of the bundled contribution is reported on Form 3L, then the refund of the bundled contribution should also be reported on Form 3L for the covered period in which the refund occurred.

For each refund issued during the covered period, provide the full name and mailing address of the lobbyist/registrant or lobbyist/registrant PAC that forwarded, or was credited with raising, the contribution and the amount. (Report the refund to the contributor on Schedule B of Form 3, 3P or 3X, as appropriate.) On reports filed in July and January, use the Refunds of Bundled Contributions during the Semi-annual Covered Period box to disclose aggregate amounts for the January 1-June 30 or July 1-December 31 covered period, as appropriate.

The Form 3L disclosure threshold for 2009 is \$16,000 per covered period. Once a reporting committee's bundled contributions from a lobbyist/registrant or lobbyist/registrant PAC exceed that threshold, the committee must file Form 3L for that covered period, regardless of any refunds it may have made. For example, on August 20, 2009, a lobbyist forwards \$17,000 in bundled contributions to a reporting committee that files quarterly. The committee deposits the checks, but refunds all of the contributions a week later. On September 15, the same lobbyist forwards an additional \$15,000 in bundled contributions. Since total bundled contributions attributed to the lobbyist on August 20 exceeded the \$16,000 disclosure threshold, the committee must report all bundled contributions from that lobbyist during that quarterly covered period. As such, on Schedule A, the committee lists \$32,000 (\$17,000 + \$15,000) on Schedule A as the Reportable Bundled Contributions during the Quarterly/Monthly/Pre-Election or Post-Election Covered Period on its October 15 Form 3L. The \$17,000 refund would appear in the Refunds of Bundled Contributions during the Quarterly/Monthly/Pre-Election or Post-Election Covered Period on Schedule B of that report.

On November 2, the same lobbyist forwards an additional \$10,000 in bundled contributions, but does nothing more for the balance of the year. Based on that activity alone, the committee would not need to file a Form 3L for the fourth quarter. However, the committee must file a Year-End Report because its reportable bundled contributions for the overlapping semi-annual period (i.e., from July 1 through December 31) exceed the reporting threshold. On Form 3L Schedule A, the committee lists \$42,000 (\$17,000 + \$15,000 + \$10,000) as the Reportable Bundled Contributions during the Semi-annual Covered Period. On Schedule B, the \$17,000 refund would appear in the Refunds of Bundled Contributions during the Semi-annual Covered Period. Since

the total fourth quarter bundled contributions attributed to the lobbyist did not exceed \$16,000, the committee may enter \$0 on Schedule A as the Reportable Bundled Contributions during the Quarterly/Monthly/Pre-Election or Post-Election Covered Period or leave that box blank.

The amount refunded, as reported on Schedule B of Form 3L will not affect the total amount of bundled contributions received by the reporting committee, as reported on Schedule A of Form 3L or in Box 7 on page 1 of Form 3L.