

## ***H. File Submission, Uploading the Report and Error Messages***

### **File Submission**

When all transactions have been entered for a report, and the deadline for reporting is imminent, the final details must be collected in order to file electronically. There are several different ways a user may file, and with detailed information following.

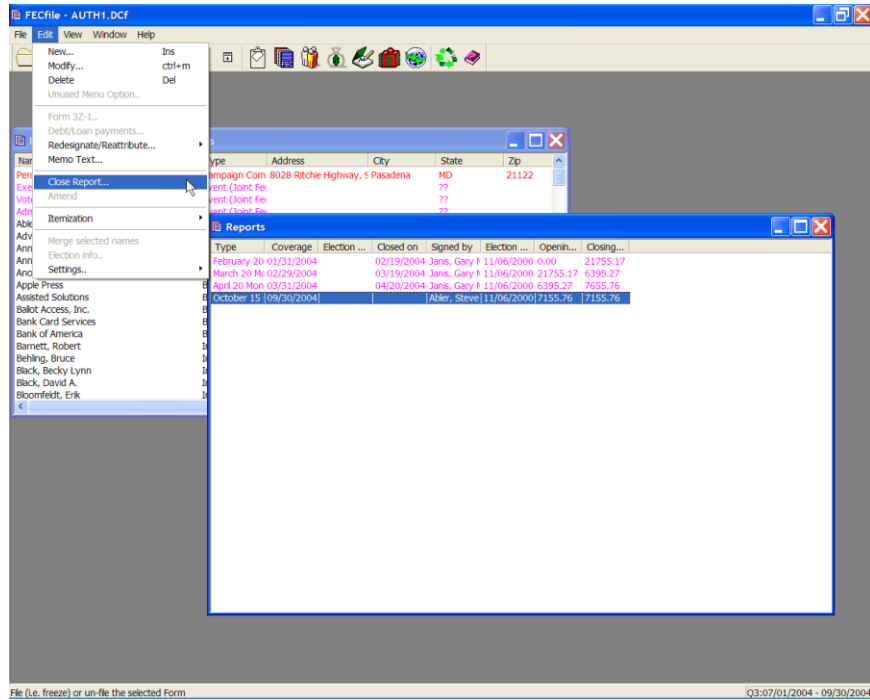
### **Filing Requirements**

- ✓ **The user must have an FEC electronic filing password.** This is REQUIRED. They must contact the FEC electronic filing office if they do not have a password, or if it has been forgotten.

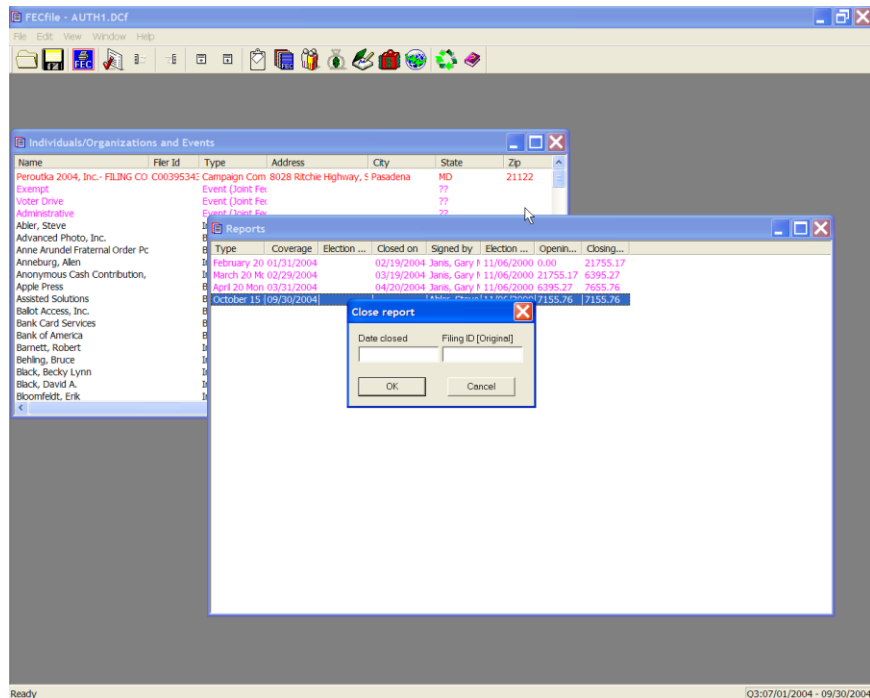
**The user must have a modem and phone line connection for dial up, or a network connection to the Internet. (When no other option is available, filing on diskette or CD is an option). The report must pass validation.**

### **Signing and Dating the Report**

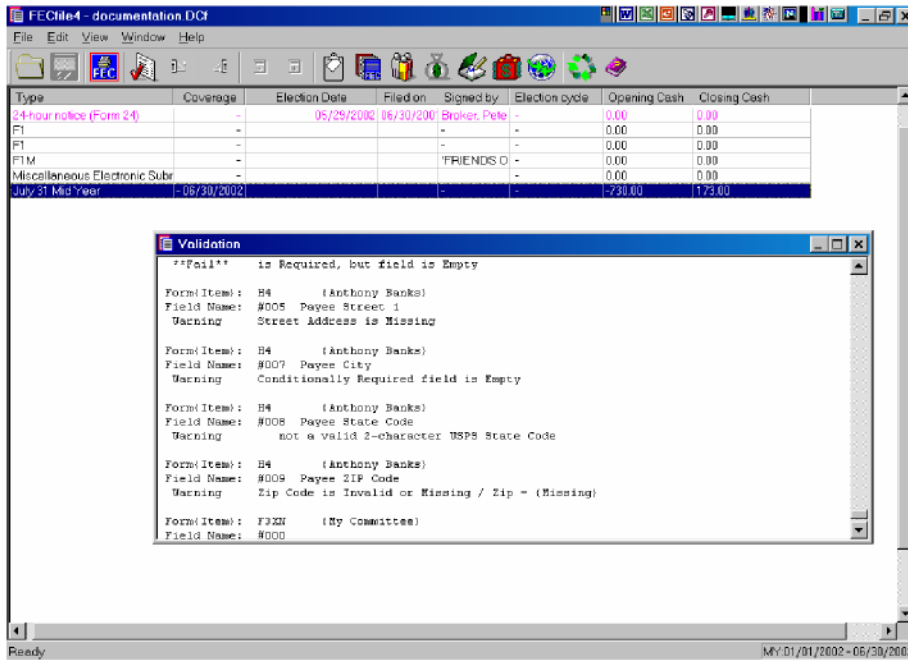
If the report is not properly signed and dated, the validator will note that the information is missing and generate Level 12 (serious level) errors, and uploading will not be possible. If the report is not ready to actually upload, but want to validate it, the user may want to leave the report date blank.



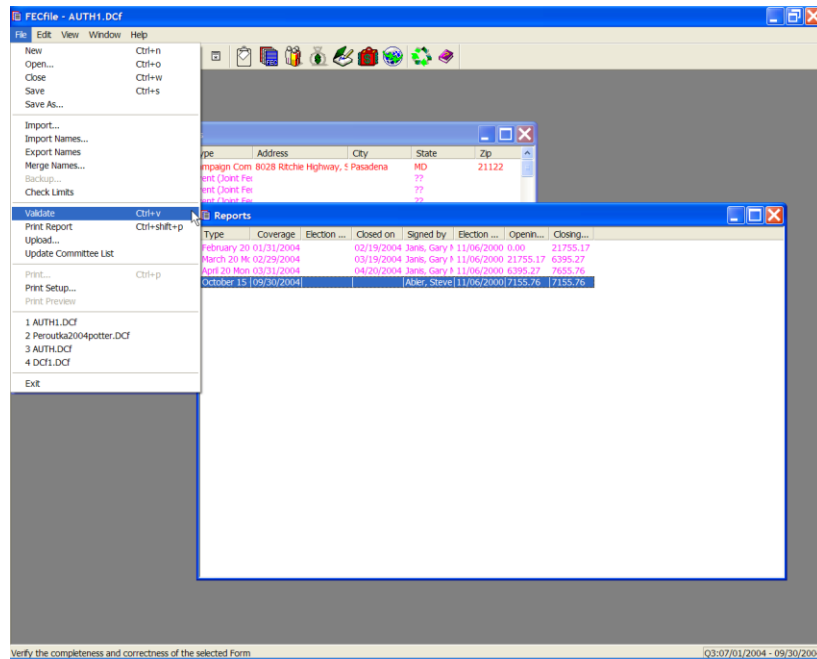
- ✓ To sign the report, double click on the report type in the Reports Window. This will open the report information window. The Treasurer must be selected in the 'Signed by' field. Date the report, select **Close Report** from the edit menu or right click on the report to close in the **Reports window**. This can only be done with the Reports View active.



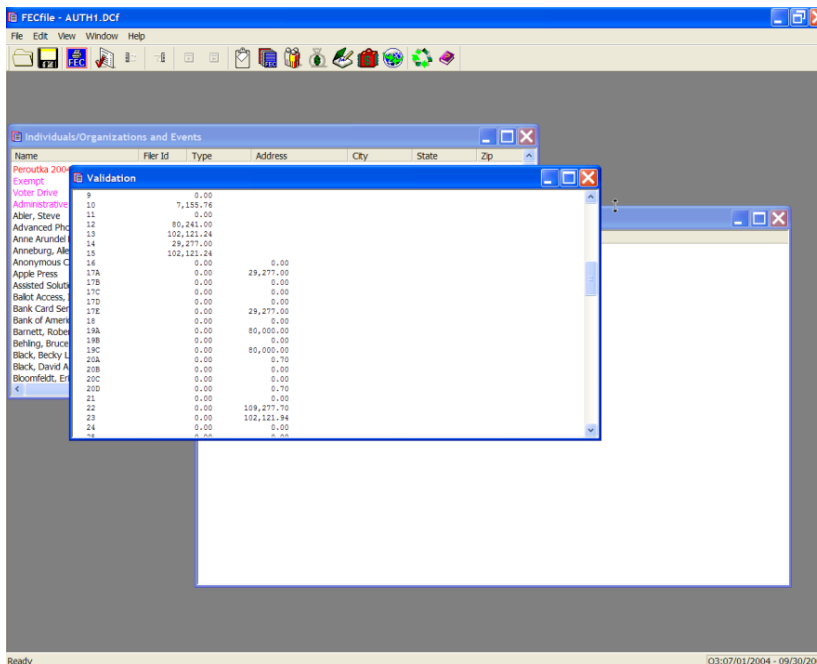
- ✓ Enter the actual date the report will be filed in the **Date closed** field. The **Time field** will be automatically populated.
- ✓ The **Filing ID** is only used for amendments, and should be blank for new reports. For amended reports, the filing number of the report being amended should already be displayed.



# Validation

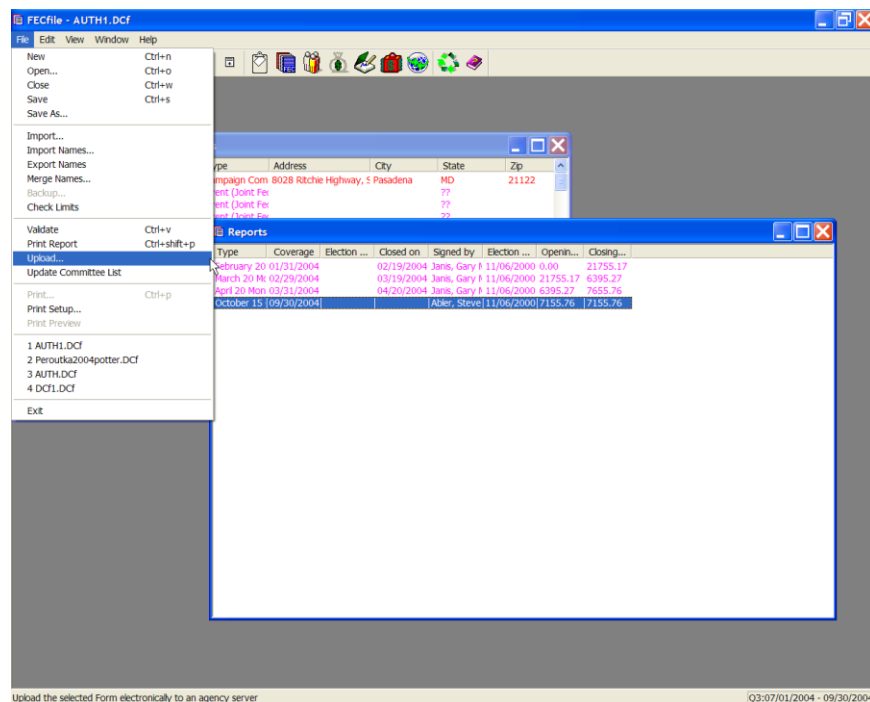


The validation process identifies errors and omissions in the report. It does not evaluate the filing for correct reporting practices, but sends an alert for missing information, such as employers and occupations, or failure to designate a signatory for the report.



- ✓ To validate the report, select **validate** from the File menu or click on the **Validator** button on the toolbar. Once the errors reported by the **Validator** have been resolved, the application is prepared to close and upload the report.

## Uploading the Report Via TCP/IP/Internet



To begin the upload process:

- ✓ Choose Upload from the File menu, or click on the Upload button on the tool bar.
  - The upload process automatically runs the validator.
  - If errors are found that are level 8 or higher, the user will not be allowed to upload the report.
  - If errors are found that are below level 8, a warning message appears on the screen that notifies the user of the errors and asks if the user wishes to continue. It is advisable to correct as many of the errors as possible before filing.
  -

If no errors are found, or the user indicates that they wish to file the report with errors, the Upload Settings screen appears.

- ✓ The Password is required and must be obtained from the FEC electronic filing office.
- ✓ The ID is the committee ID which should be reflected, based upon the Lookup file installed. However, if not, enter the digit committee ID (starting with "C00").
- ✓ A Fax number and/or Email address is required. This will permit the user to receive confirmation that the report has been received by the FEC. If the user enters both, they will receive both a fax and an email. The TCP/IP option sends the report to the Commission via the Internet. This is the simplest way to send the report if connected to the Internet and no security measures are in place that would prevent the user from uploading via the Internet. The configure tab has information the software uses to communicate with the FEC electronic filing system. The **TCP/IP** host name should be [disclose.nictusa.com](http://disclose.nictusa.com) (all lower case), and the Agency ID should be **FEC** (all upper case). The software defaults to these settings. If settings are changed, they must be reset to the defaults in order to upload the report properly. XXXX Add NEW SELECTION SHOWING DUAL EMAIL AND ADD TEXT TO EXPLAIN

**Settings**

Upload | Configure

Filer information

Password

ID C00395343

Fax

e-mail

Filing Method

TCP/IP  SSL  Dialup  A:  B:  Other

File it to the test server [ will not be received by the agency ]

This filing amends

OK Cancel Help

**Settings**

Upload | Configure

Proxy server information

Server IP

Proxy user ID

Password

Port 80

COM port 2

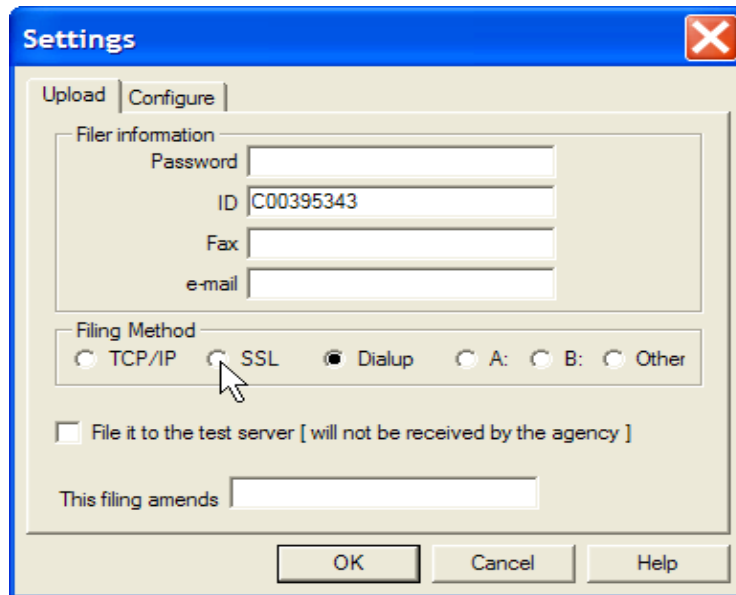
Baud rate 19200

TCP/IP hostname disclose.nictusa.com

Agency ID FEC

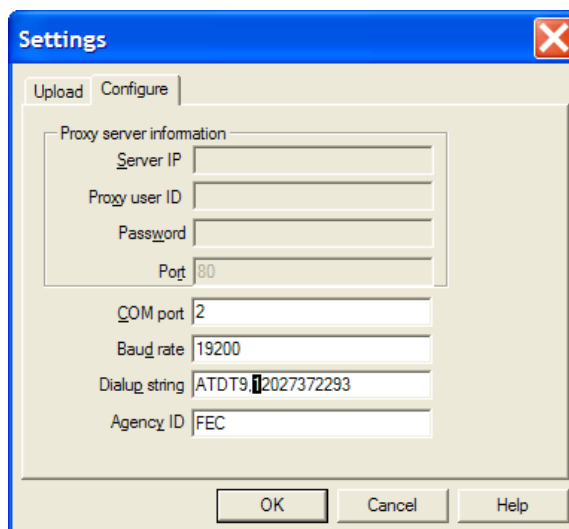
OK Cancel Help

## Dialup Option



The screenshot shows the 'Settings' dialog box with the 'Configure' tab selected. The 'Filer information' section contains text boxes for Password, ID (C00395343), Fax, and e-mail. The 'Filing Method' section has radio buttons for TCP/IP, SSL, Dialup (selected), A, B, and Other. There is a checkbox for 'File it to the test server [ will not be received by the agency ]' and a text box for 'This filing amends'. Buttons for OK, Cancel, and Help are at the bottom.

The Dialup option utilizes a direct modem-to-modem communication between the users computer and the FEC electronic filing system. It is slightly less convenient than TCP/IP because it requires some special information on the configuration tab that may not be readily available, as seen below. This option can be used for filers who have no Internet connection or those who have special firewall or proxy server restrictions against uploading files via the Internet.

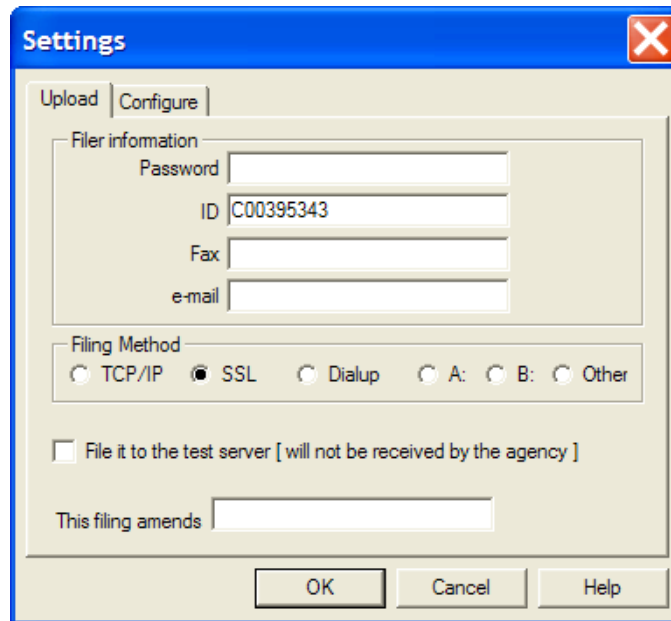


The screenshot shows the 'Settings' dialog box with the 'Configure' tab selected. The 'Proxy server information' section contains text boxes for Server IP, Proxy user ID, Password, Port (80), COM port (2), Baud rate (19200), Dialup string (ATDT9, 2027372293), and Agency ID (FEC). Buttons for OK, Cancel, and Help are at the bottom.



**NOTE:** The Dialup string shown includes a “9,” in the setup string. If you are dialing from a location that requires a nine or other access number to obtain an outside line, you must include it at the start of the dialup string. The comma provides for a pause to allow the system to obtain dial tone. If you do not have to dial a special access code from the line you use to dial up, you can omit the “9,”

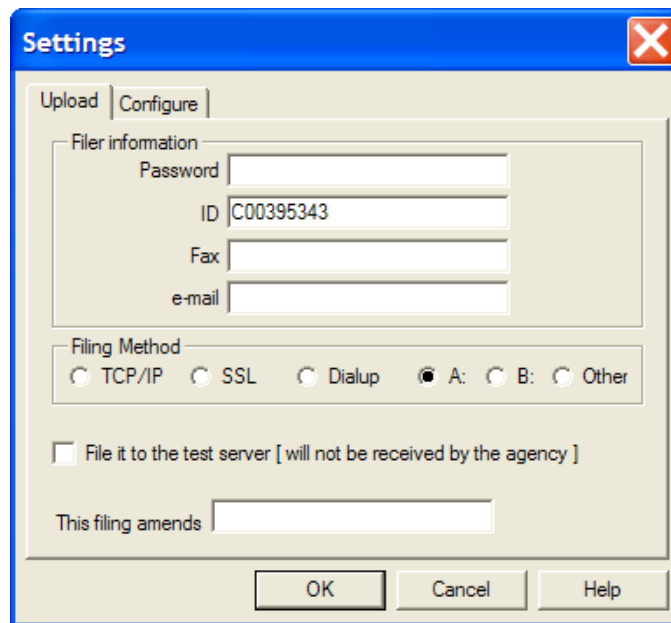
## SSL



The screenshot shows a 'Settings' dialog box with two tabs: 'Upload' and 'Configure'. The 'Configure' tab is active. It contains several input fields and a radio button group. The 'Filer information' section has fields for 'Password', 'ID' (containing 'C00395343'), 'Fax', and 'e-mail'. The 'Filing Method' section has radio buttons for 'TCP/IP', 'SSL' (which is selected), 'Dialup', 'A:', 'B:', and 'Other'. Below this is a checkbox labeled 'File it to the test server [ will not be received by the agency ]'. At the bottom, there is a field labeled 'This filing amends' and three buttons: 'OK', 'Cancel', and 'Help'.

This option also sends the user's report to the Commission via the Internet. The SSL option allows users that are behind a firewall or proxy server to file their report securely. They may need assistance from their network administrator in order to use this option. The configure tab has information the software uses to communicate with the FEC electronic filing system. The https host name should be [https://webforms.nictusa.com/cgi-bin/disclose\\_ssl/upload](https://webforms.nictusa.com/cgi-bin/disclose_ssl/upload) (all lower case), and the *Agency ID* should be FEC (all upper case). The software defaults to these settings. If they are changed, they must be reset to the defaults in order to upload the report. The user's Network administrator can supply them the proxy server information.

## Diskette (A: or B:)



The screenshot shows a 'Settings' dialog box with a blue title bar and a close button (X) in the top right corner. The dialog has two tabs: 'Upload' and 'Configure', with 'Configure' selected. The 'Filer information' section contains four text input fields: 'Password', 'ID' (with the value 'C00395343'), 'Fax', and 'e-mail'. The 'Filing Method' section has six radio buttons: 'TCP/IP', 'SSL', 'Dialup', 'A:' (which is selected), 'B:', and 'Other'. Below this is an unchecked checkbox labeled 'File it to the test server [ will not be received by the agency ]'. At the bottom of the dialog is a text input field labeled 'This filing amends' which is currently empty. At the very bottom are three buttons: 'OK', 'Cancel', and 'Help'.

If, for whatever reason, the Internet or a phone line is not available, the report may be submitted on diskette. The filing must be submitted on a single 3.5" 1.44MB diskette and may contain only one report and no other files; the only exception to this is, (on the same diskette), a second file containing a digitized copy of the signed summary page. PLEASE READ the following instructions and NOTES completely before you begin:

1. Insert a blank diskette 3.5". 1.44 MB diskette in the diskette drive and from the "Settings" screen select option A: or B: from the "Filing Method", whichever corresponds to the floppy disk drive of the computer. If the diskette is not blank, the upload of the file will fail.
2. Select "OK".
  - The report will now be uploaded to the diskette. Check your diskette to verify that the file on the diskette has a ".fec" file extension. Any other format will be rejected (**including .dcf**)
  - Be sure to label your diskette with:
    - Your email address (so a filing receipt can be sent to you)
    - Your committee ID number (C00123456)
    - Your report type (Year-End 2004)
  - The Diskette must be mailed along with a **signed**

paper hard copy of the report signature page (report cover page), (page 1 of the report, not the complete report), to the FEC. Diskette filings require an actual Report Cover page and signature, as there is no way to transmit the password via diskette. The mailing address is:

**Electronic Filing Office  
Federal Election Commission  
999 E Street, NW  
Washington, DC 20463**

**NOTE: Diskette filings are subject to the same deadlines as paper filings! Diskette filings mailed to the FEC without a signed report cover page will be rejected! The printed Report Cover Page MUST be exactly the same as the one in the filing (i.e., printed from the submitted filing and signed) Each diskette may contain only one report and may contain no other files. The only exception to this rule, is a second file containing a digitized copy of the signed summary page. Outside of that scenario, each diskette should contain only one file, to be successfully accepted.**

**Please include with your diskette your email address or fax number so that you will receive a filing confirmation receipt.**

## Other (For Writeable Media)

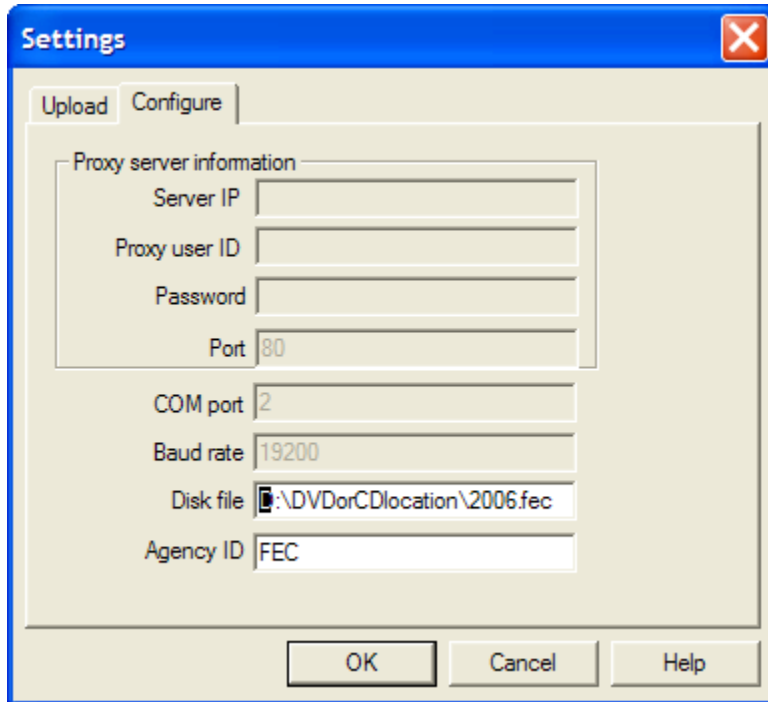
The screenshot shows a 'Settings' dialog box with a blue title bar and a close button. It has two tabs: 'Upload' and 'Configure'. The 'Configure' tab is selected. The dialog contains the following fields:

- Proxy server information** (group box):
  - Server IP: [ ]
  - Proxy user ID: [ ]
  - Password: [ ]
  - Port: 80
- COM port: 2
- Baud rate: 19200
- Disk file: \\.\D\DVDorCDlocation\2006.fec
- Agency ID: FEC

At the bottom of the dialog are three buttons: 'OK', 'Cancel', and 'Help'.

The other option allows the user to specify a specific directory on their computer to create a copy of the report by entering in the complete path and file name with '.fec' as the extension in the 'disk file' field of configuration section of the upload utility. Notice that this will direct the file to any writeable media on your system

## CD



Use the “Other filing method” to facilitate submission on a CD. Note that you will have to create the .fec file on your hard drive, or other writeable media, and use a CD creation utility to “burn” the file onto the CD.

If, for whatever reason, the Internet or a phone line is not available, the report may be submitted on a compact disk (CD). The filing must be submitted on a single CD and may contain only one report and no other files; the only exception to this is, (on the same CD), a second file containing a digitized copy of the signed summary page. PLEASE READ the following instructions and NOTES completely before you begin:

1. Insert a blank CD. In the “Upload Settings” screen select “Other” from the Filing Method.
2. Click on the Configuration Screen, and select a writeable media to send your report to (Such as a hard drive) .
3. Select “OK”.
  - The report will now be uploaded to the writeable media/location you selected. Check the file to verify that the file created has a “.fec” file extension. Any other format will be rejected (**including .dcf**)
  - Then, use whatever CD creation utilities you prefer, to “burn”

the file onto your blank CD. Re-verify that the file on the CD has a “.fec” file extension. Any other format will be rejected (**including .dcf**)

- Be sure to clearly and legibly label your CD with:
  - Your email address (so a filing receipt can be sent to you)
  - Your committee ID number (C00123456)
  - Your report type (Year-End 2004)
  
- The CD must be mailed along with a **signed** paper hard copy of the report signature page (report cover page), (page 1 of the report, not the complete report), to the FEC. As with Diskette filings, CD filings require an actual Report Cover page and signature, as there is no way to transmit the password via CD. The mailing address is:

**Electronic Filing Office  
Federal Election Commission  
999 E Street, NW  
Washington, DC 20463**

**NOTE: CD filings are subject to the same deadlines as paper filings! CD filings mailed to the FEC without a signed report cover page will be rejected! The printed Report Cover Page MUST be exactly the same as the one in the filing (i.e., printed from the submitted filing and signed) Each CD may contain only one report and may contain no other files. The only exception to this rule, is a second file containing a digitized copy of the signed summary page. Outside of that scenario, each CD should contain only one file, to be successfully accepted.**

**Please include with your CD your email address or fax number so that you will receive a filing confirmation receipt.**

## Additional Upload Instructions, Settings and Features

### Filing to a Test Server

Test reports can be filed using **Dialup, TCP/IP or SSL**. The test-filing server is a duplicate of the actual server. The purpose of test filing is to verify that the user can use the chosen method to file the actual report.

**TEST FILING WILL SIMULATE THE LIVE FILING ENVIRONMENT. FILING A TEST REPORT IS FOR DIAGNOSTIC PURPOSES ONLY. TEST FILING OF REPORTS WILL NOT FULFILL THE FILING REQUIREMENTS IN ANY CASE. THE FEDERAL ELECTION COMMISSION WILL NOT SEE REPORTS FILED TO THE TEST SERVER. THE TEST REPORT WILL EVENTUALLY BE DELETED FROM THE TEST SERVER.**

Additional information about filing test reports is available from technical support.

### Proxy Server information

Allows the user to configure FECLoad to file reports through a proxy server. The user's network administrator can supply the *server id, proxy user id, and password*.

### COM Port

The *Com port* setting defaults to port 2. This is the most common port used by modems. If the user's modem does not use com port 2, they may change it to the correct com port.



## Baud Rate

The default *Baud rate* is 1 200. This is an indication of the speed with which the modem transfers data. It can be set to match the connection speed but not set higher.

## Dialup String

The *Dialup string* is a series of letters followed by a phone number. This information is passed to the user's modem to enable it to connect with the FEC modem pool.

## Agency ID

This information is used to direct the filing to the proper part of the electronic filing system. The default entry is FEC. There is no need to edit this entry.

## During The Filing Process

When OK is selected, the file is uploaded to the FEC electronic filing server. On the screen a series of messages appears detailing what is occurring. If at any point during the process, something is found to be incorrect, the process will be terminated and the word *FAILED* will appear at the bottom of the screen.

### The most common failures are:

- incorrect passwords (The password *IS* case sensitive) and
- uploading without first connecting to the Internet (TCP/IP only). If the
- upload process generates a *FAILED* message at any point, call Tech
- Support.

If the password is correct, and there are no other reasons to reject the file (the Validator usually eliminates most other problems), the last line of the message is Succeeded. At this point the user is notified that the file has been received by the FEC.

This does not mean that the file has been  
accepted!

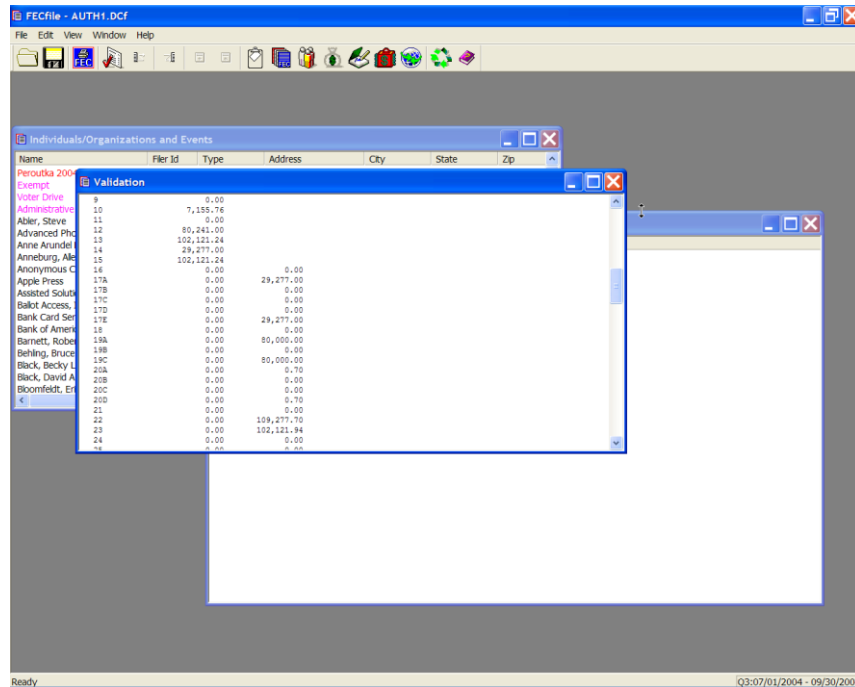
If the file is accepted, the user receives a fax or email within a few minutes notifying them that the filing was accepted. If they do not receive this notification, they should call the electronic filing office immediately.

When the user receives notification they will recognize it as the same printout that the validator provided. It should in fact be nearly identical. The MD5 Checksum number should match exactly.

**Example:**

The only difference between this notification and the one printed from the validator is the addition of a block of information about filing date and time and a Filing ID number. This number is assigned when the report is received and it is important. If it is found that the report must be amended, the user must provide the Filing ID of the original report. The Filing Id is automatically saved inside the user's file, after they upload. They may look up the Filing Id by activating the Reports View, Selecting Edit, and clicking Unclose Report. There is a field that will hold the Filing Id of the report.

**NOTE: The Faxed or emailed receipt is the official receipt and should be kept just as the user would keep a certified mail receipt. This is proof that they filed the report.**



## Interpreting Validation Error Codes/Description Of The Validator Program

A committee will receive two types of validation error codes when mistakes are made or omissions are present in the report, Error and Warning.

The Error message will not allow the committee to file the report, automatically until the errors are corrected.

The Warning message will only cause a report to fail if the committee has 32,000 errors, or more.

### The Error indicator will look like the following in the Validator printout:

Form{Item}: SB23

Field Name: #002 FEC Committee ID Number

\*Error\* is Required, but the field is Empty

Form{Item}: identifies the schedule and line on which the Error entry occurs. In this case the error occurs on Schedule B supporting Line 23 of the Summary Page.

Field Name: identifies the aspect of the transaction that is in error.

**\*Error\* identifies the failure. In this example the committee's identification number was not supplied.**

**The Warning indicator will look like the following in the Validator printout:**

Form{Item}: SA11A1 {Smith,John} Field Name:

Field Name: #17 Contributor ZIP Code

Warning Zip Code is Invalid or Missing / Zip = {Missing}

Form{Item}: identifies the schedule and line on which the Warning entry occurs. In this case the Warning occurs on Schedule A supporting Line 11(a) of the Summary Page.

Field Name: identifies the aspect of the transaction that is in error.

“Warning” identifies the warning. In this example, the zip code is missing.

## Other Errors

### **“FEC Committee ID Number Is Required, But Field Is Empty” Error**

When a committee finishes their report, they must run the Validator program. Committees may then receive the following error message: **“FEC Committee ID Number is required, but field is empty.”** This will prevent the committee from uploading its report. The problem can be fixed by the following steps:

Instruct the committee to open FECFile (but not any particular report), click View and highlight Individuals/Organizations.

Double-click on the entry that displays its own committee (this entry will appear in red).

Instruct the committee to input their FEC identification number directly under FEC ID and click OK.

This will correct the error message listed above and allow the committee to file their report, assuming no other serious problems exist in the report.

# Validator Error and Warning Messages Defined

## Error Messages

- 1. HDR record must be First in File** -- Usually means that the file is not in the proper format. Often it is a version 2 file being validated with a version 3 Validator. It is usually a private vendor's software, not an FECFile problem.
- 2. "Cover" (e.g. F3A, F3XN, ...) must be 2<sup>nd</sup> in File** -- Usually means that the file is not in the proper format. Often it is a version 2 file being validated with a version 3 Validator. It is usually a private vendor's software, not a FECFile problem.
- 3. Filing must be an "FEC" Type of filing** -- Indicates the user is submitting a report that is not in the ".fec" format.
- 4. Filing FORMAT must be FEC Version 6.1** -- Indicates the user is using an old version of FECFile. The Committee will need to download a copy of the latest version of the software from the FEC's web page (<http://www.fec.gov/electfil/electron.html>).
- 5. Amended filing must have an ID of the "Original"** -- An amended report is given a code once filed at the FEC. In order to amend the report the Committee must use this number. It can be found on the Raw Data Page (<http://herndon2.sdrdc.com/cgibin/dcdev/>) and should be entered in the following format: FEC-12345.
- 6. Amended filing must have an "Amended Number"** -- Each amendment is numbered beginning with 1. If the same report is amended a second time, the amended number is 2. etc.
- 7. Header (HDR) inconsistent with Orig/Amend status** -- The Header indicates that the file has been amended but the form name of the report (F3N, F3A, F3XN, F3XA etc) does not.
- 8. Unrecognized form Type / Record Ignored** -- The first field in a transaction indicates form type (F3X, SA11AI, SB17, etc.). This message indicates the use of an improper form type.
- 9. Schedule does not belong with Form \_\_\_\_\_** -- Indicates the user is attempting to file an invalid schedule with a particular form.
- 10. Validation Terminated! – over 32,000 Problems Found!** -- If 32,000 messages for problems are found in a single filing, the validation routine will stop checking any further. This situation should never come close to happening, but the stop processing step is taken to prevent run-away error messaging on huge filings.
- 11. ID # \_\_\_\_\_ NOT Correct FEC ID# Format** -- Indicates that the Committee is using a number that is not in the FEC ID format (C00XXXXX).
- 12. ID # \_\_\_\_\_ NOT SAME AS Cover Page ID# \_\_\_\_\_** -- Each transaction

carries the committee ID and it must match the committee ID on the Cover Page of the report.

- 13. Report Type is Missing or Invalid** -- Indicates the user has either failed to enter the report type or is using a report type inconsistent with FEC report types.
- 14. {field} exceeds maximum length of \_\_\_\_\_** -- Indicates the user has exceeded the maximum number of characters in a particular field.
- 15. {field} is Required, but field is Empty** -- Indicates the user has failed to enter information in a particular field.
- 16. Multi-Form Filings are NOT Allowed** -- Each filing must consist of a single form (Form 3X, Form 1, Form 6, etc...). The files cannot be bundled into one filing.
- 17. Extraneous data follows last field** -- Indicates a technical problem where software is adding extra delimited fields following the last one defined for the format of that record.
- 18. Invalid double-quote surround text field** – This message is given if a text field begins with a double-quote (“) but does not end with a double-quote character.
- 19. Embedded double-quotes (“) are not allowed** -- Double quotes are typically used by standardized export routines in many kinds of software. In previous “comma-delimited” versions of the FEC filing format, it was necessary to surround text that contained a comma with double-quotes so the comma would not be confused with a true comma delimiter. In the interest of keeping processing simple, double-quotes were only to be used to surround text in a field – never to occur within the text. For example an address coded as “123 “K” Street” is not acceptable – however, “123 ‘K’ Street” is OK.
- 20. Illegal character(s) found in text field** -- All characters found on a computer keyboard are acceptable in text fields. Additionally, foreign language characters defined in the ASCII character set are also acceptable.
- 21. Illegal character(s) found in text line # \_\_\_\_\_** -- As with delimited text fields, only keyboard and foreign language characters are allowed in the text of an F99 filing. This message helps the user locate the line of text with the problem character by indicating the line of text the offending character appears on. {This message pertains only to F99 filings.}
- 22. Body of text exceeds maximum of 20,000 characters** -- The body of text included in an F99 filing is limited to 20,000 characters (including spaces).
- 23. Leading Blanks {e.g. “ Text”} not allowed** -- Data cannot begin with blanks. As an example, [“123 White Street ”] is OK, but [“ 123 White Street”] is not.
- 24. Bad Date \_\_\_\_\_ not YYYYMMDD format** -- Indicates the user has enter the date in an improper format.
- 25. Not a Real Date or Outside 1960-2099** -- Indicates that the user has entered an invalid date or a date that does not fall between 1 60 and 20 .

- 26. Invalid Amount format:** \_\_\_\_\_ -- Indicates the amount is something other than numbers and decimals. Dollar signs and commas are not allowed.
- 27. Non-numeric data in Numeric Field** -- Indicates characters that are other than numbers entered into a field that should contain only numbers.
- 28. \_\_\_\_ is an Invalid Year (CCYY) Format** -- Indicates the user has entered the year in an incorrect format. Year should be coded Century+Year as in 2008 for example.
- 29. Wrong Report Type with this Form** -- Many filings have a “Report Type” on their cover page, but different filings have different sets of valid report type codes. If a Report Type (that may be perfectly OK to use on one kind of filing) is used with a filing that does not include the value in its set of valid choices, this error message will occur.
- 30. District “\_\_\_” is not 2-digit Numeric format** -- Indicates the user has failed to enter the Congressional District as two digits. Note that districts 1 – 9 must be coded 01 – 09.
- 31. Tran ID is NOT UNIQUE - This one is same as other(s)** -- Each transaction in an electronic filing (and all of its amendments) must have a unique transaction id.
- 32. No Match Found for Back-Reference to Schedule/Tran ID** – A transaction’s cross or back reference to a related transaction (e.g. a Schedule B transaction that’s related to a Schedule A transaction) is erroneous. The transaction and/or its Transaction ID is not actually included in this filing, so the cross reference is incomplete.
- 33. No Schedules have been provided with Filing \_\_\_\_\_** -- If any F24, F5 – F10, or F13 filing has no accompanying schedule, the filing will be rejected by the FEC.

***The next set of messages pertain to specific filings and schedules.***

- 34. Schedule H1 contains Redundant Sections** -- Schedule H1 has Section A and Section B. Only one of them is to be used.
- 35. Invalid Rate format:** \_\_\_\_\_ -- Percentage rates below 100% are coded to 4 decimal places. For example: 25% is coded .2500 and 12-1/2% is coded .1250. 100% is coded 1.000
- 36. Admin H3 Reference TranID should match the TranID** -- The Back Reference Tran ID (field #4) of any H3 record should reference the Tran ID (field #3) of the Administrative (AD) H3 record. Note that the Back Reference Tran ID of an AD record should refer to itself (i.e. the field #3 Tran ID).
- 37. Activity {\_\_} Invalid – OK Vals: [AD|GV|DF|DC|EA|PC]** -- There are 6 valid codes that can be used to identify a type of activity described on an H3 record.
- 38. Database Account # does not link to any Schedule L {or I}** -- Schedules A and B are used to itemize details in Schedules I and L. When so used, they must indicate to which Schedule I or Schedule L they are supplying supporting detail.
- 39. F3Z-1 Report Type [\_\_] is invalid (use J30 or D31)** -- F3Z-1 filings are for either

June 30<sup>th</sup> (J30) or December 31<sup>st</sup> (D31).

**40. 24/48-hour code must be “24” or “48” not “\_\_”** – F5 filings are designated as either 24-hour reports or 48-hour reports.

**41. C7 committees only file F7 reports** – C7 type committees file no reports with the FEC other than their own special F7 reports. Should a C7 committee attempt to file any other report, it will be rejected by the FEC.

**42a. An FEC “C9xxxxxxx” ID must be used to file Form 5** -- (see 42c below)

**42b. An FEC “C7xxxxxxx” ID must be used to file Form 7** -- (see 42c below)

**42c. An FEC “C3xxxxxxx” ID must be used to file Form 9** -- Form 5's are filed by “C9” committees; Form 7's are filed by “C7” committees; and Form 9's are filed by “C3” committees. When a type of committee files a report that does not pertain to that committee, any attempt to electronically file the wrong report will be rejected by the FEC.

**43. Filing must have [BEGINTEXT] followed by text** -- F99 filings differ from the formats of all other “delimited” electronic files. The free-form text is bracketed by special [BEGINTEXT] and [ENDTEXT] records.

**44. Text is NOT bracketed by [BEGINTEXT] & [ENDTEXT]** -- F99 filings differ from the formats of all other “delimited” electronic files. The free-form text is bracketed by special [BEGINTEXT] and [ENDTEXT] records.

## Warning Messages

**1. Entity Type [\_\_\_] is not an acceptable value** -- Entity codes used by the FEC to identify types of committee are: IND, CAN {an individual or candidate}; CCM, COM {a Candidate Committee or a [non-Candidate] Committee}; ORG, PAC {an Organization or PAC}; or a PTY {Political Party}. Not all entity type codes are valid with an Entity in every Form or Schedule.

**2. Conditionally Required field is empty** -- Indicates the user has failed to enter data in a particular field when circumstances (because of values of related data) require it.

**3. \_\_{date}\_\_ is outside of range of 1960 – 2099** -- Although the date may be coded correctly and represents a valid date in the calendar, FEC filings must use “current” dates after 1960 through 2099.

**4a. Subtotal {\_\_\_\_\_} not supported by other lines** -- Summary amount should be the total of other lines on the summary, but is not (total contributions do not match all the contribution lines added together).

**4b. Subtotal {\_\_\_\_\_} not support by Schedule \_\_\_\_** -- Summary Page amount does not match the aggregate total from all non-memo transactions in the supporting schedule.

**4c. FYI → {\_\_\_\_\_} accumulated on Schedule \_\_\_\_** -- If warning number 4b



appears, this error is provided for the user's information.

**5a. Election Code invalid: \_\_\_ {description}** -- Indicates that the user has failed to adequately indicate an election (primary, general, special or runoff) towards which a contribution was made.

**5b. Election Code missing: \_\_\_ {description}** -- Indicates that the user has failed to indicate an election (primary, general, special or runoff) towards which a contribution was made.

**6. Street Address is Missing** -- Indicates the street address for a particular entry is missing.

**7. Single-line Address NOT in 1<sup>st</sup> delimited field** -- Indicates that the user has entered a one-line address in the second address field.

**8. \_\_\_ not a valid 2-character USPS State Code** -- Indicates that the user has failed to enter the two digit state code.

**9. Zip Code is invalid or Missing / Zip = \_\_\_\_\_** -- Indicates the user has failed to supply the zip code or has supplied too few or too many digits.

**10. Invalid Area Code/Phone Number \_\_\_\_\_** -- Indicates the user has entered a phone number containing too few or too many numbers.

**11. Office Code “\_” Invalid (Valid Codes: H, S, P)** -- Indicates that the user has entered an office code that does not fit the format of H (House), S (Senate), or P (President).

**12. Committee Type “\_” is Invalid for this Form** -- Indicates that the user has entered an invalid committee type on Form 1, 1M or 4.

**13. Organization Type “\_” is Invalid for this Form** -- Indicates that the user has entered an invalid organization type on Form 1 or 7.

**14. \_\_\_ not a valid 3-character Party Code** -- Indicates that the user has entered a code on Form 1 that does not correspond to a recognized political party.

**15. \_\_\_ not a valid Party Type (NAT, STA, SUB)** -- Indicates that the user has entered a code on Form 1 that does not fit the party type and format of NAT (National), STA (State), or SUB (Local).

**16. \_\_\_ not a Valid Itemized Transaction** -- A Schedule B Expenditure Transaction Code is not one recognized by the FEC {refer to list of allowable Expenditure Transaction codes in the format documentation}.

**17. \_\_\_ not a Valid 3-digit itemized Category Code** -- A Schedule B Expenditure Category Code is not one recognized by the FEC {refer to list of allowable Expenditure Category codes in the format documentation}.

**18. Value “\_” is Invalid for this Yes/No field** -- Indicates that the user has entered something other than “yes” or “no” in a field that requires one of those responses.

**19. Value “\_\_” is Invalid for “Checkbox=X” field** -- Indicates that the user has entered something other than a check in the checkbox.

**20. Superfluous Data in field not used with this Filing** -- Sometimes, use of certain data fields in a given schedule are inappropriate, either because of the type of filing, or because of the values of other fields in the schedule deem the field unnecessary. For example: Schedule A's “Increased Limit” check-box (field #25) only pertains to Form 3 filings; if used, the field is superfluous on Form 3X and 3P filings.

**21. Invalid reference to Summary Page Receipts Line#** -- Schedules such as A, B and C have Record Types that include the summary page line# the schedule supports. For example Form 3 can have Schedules: SA11A; SA11B; SA11C; SA11D; SA12; SA13A; SA13B; SA14 and SA15. (Form 3X has a different set of summary page line numbers.) This message occurs when a Schedule has the wrong line# for the type of filing in the Record Type field (field #1).

*The next set of messages pertain to specific filings and schedules.*

**22. Choose one or more “Ratios Apply...” checkboxes** – If committee uses Section B on Schedule H1, one or more of the three checkboxes under the “This ratio applies to” heading must contain an “X”.

**23. Choose either flat or specified allocation ratios** – If committee uses Section B on Schedule H1, either the checkbox indicating “a flat minimum of 50% federal funds” must have an “X”, OR the percentage rates for federal and nonfederal funds must be specified.

**24. Federal/Nonfederal Percents not = 100%** -- If the percentage rates for federal and nonfederal funds are specified (on Schedule H1 or H2), their sum must = 1.000 (100%).

**25. Ratio Code “\_\_” Invalid (Valid Codes: N, R, S)** -- indicates that the user has entered a ratio code that does not fit the format to indicate if it is: N (New); R (Revised); or S (Same).

**26. Some H3 Transfer \$ Aggregates not equal Dollar Total** – Sum of all Schedule H3 Breakdowns of Transfer Amounts must equal the sum of all H3 Total Transferred Amounts.

**27. H5 Transfer Total not equal sum of Dollar Breakdowns** – The sums of each Schedule H5 itemization of the “Breakdowns of this Transfer” must equal the “Total Amount Transferred”.

**28. Select only one checkbox among this group** – On Schedules H4 and H6, one (and only one), Type of Activity/Event checkbox should be marked with an “X”. (More than one found.)

**29. Choose one (1) Activity/Event allocation code** -- On Schedules H4 and H6, one (and only one), Type of Activity/Event checkbox should be marked with an “X”. (None found.)

**30. Total Amt not equal sum of Federal & NonFed Shares** – Schedule H4's aggregate sum of Federal and Nonfederal amounts is not equal to the Total Amount for the itemization.

- 31. Total Amount not equal sum of Federal & Levin Shares** -- Schedule H6's aggregate sum of Federal and Levin amounts is not equal to the Total Amount for the itemization.
- 32. Sup/Opp Code “ \_\_\_ ” Invalid (Valid Codes: S, O)** -- Indicates that the user has entered a code that does not fit the format of S (Support) or O (Oppose) on Schedule E.
- 33. Communication Code “ \_\_\_ ” Invalid. (Valid: DM, TP, TM, O)** -- Indicates that a Form 7 (Report of Communication Costs) does not disclose the code for the type of communication in the category of DM (Direct Mail), TP (Telephone), TM (Telegram), or O (Other).
- 34. Communication Target “ \_ ” Invalid. (Valid: E, S, M)** -- Indicates that a Form 7 (Report of Communication Costs) does not disclose the correct code for the class of recipient, in the category of E (Executive/Administrative Personnel), S (Stockholders), or M (Members).
- 35. \_\_\_ Invalid Creditor (ICV,UCV,CAN,EMP,OTH)** – The type of creditor code that identifies the creditor on a Form 8; Part II (F82) or a Part III (F83) is not one of the values recognized by the FEC.
- 36. Cycle Total not = {Prev Aggregate + Report Total}** – On a Form 10 filing, the sum of the “Previous Aggregate Expenditures” and the “Total Expenditure this Notice” must equal the amount specified for the “Total Expenditures Election Cycle to Date” aggregate.
- 37. Net Donations not equal sum of Receipts – Refunds** – On a Form 13 filing, the sum of the amount specified for “Net Donations” is not equal to “Receipts” minus “Refunds”.
- 38. F99 filing categorization code {\_\_\_} is not valid** – An F99 filing must be identified as being a “MSI” (Disavowal Response), a “MSM” (Filing Frequency Change Notice), or a “MST” (Miscellaneous Report).
- 39. Duplicate Accounts on two or more Schedule L {or I} found** – Schedules I and L are identified by an Account Name and a 9-character Account ID (the ID is not on the paper form, but is part of the layout formats for SI and SL records). The Account ID coded on each Schedule I (SI) record and each Schedule L (SL) record must be unique.
- 40. F3Z Primary Committee Name Not Equal F3 Filer Name** – Form F3Z's (consolidation report) filer name must be the same as the committee name given on the Form 3.
- 41. F3Z Coverage Date Not Equal F3 Coverage Date** – Form F3Z's (consolidation report) coverage date must be the same as the coverage date given on the Form 3.
- 42. Valid F3Z filing has 1 PCC, 1+ Auth & 1 Totals Form** – When a consolidation report accompanies an F3 filing, there must be one F3Z record for the Principal Candidate Committee (PCC), one or more records for each Authorized Candidate Committee, and one F3ZT (Totals) record.

## Error Codes

There is a long list of possible error codes that can be displayed in the validator (see above Errors and Warnings). Most of these do not apply to FECFile, but are necessary to provide information to other programmers who support electronic filing. To correct an error, go to the transaction indicated by the error message, and make the necessary changes.

The Validator screen indicates if an error is a “Warning” or if it is a “Fail” error. A typical Validation error will appear like this:

### Example 1:

Form (Item): SE24 (Johnson, Dave)

Field Name: #015 Payee City

Warning Conditionally Required Field is Empty

To understand what information this error is providing us, we begin by looking at the *Form (Item)*. This information helps you identify where the problematic transaction is located. In our example, the *Form (Item)* is SE24, which stands for Schedule E Line 24. The name on this particular line item will read Dave Johnson. We need to look for a Schedule E transaction with the name Dave Johnson.

The second step is to look at the *Field Name*. The *Field Name* tells us what part of the transaction is in error. In this case the *Field Name* reads, “Payee City” which tells us that there is an error in the field where the city is entered in for Dave Johnson’s address.

The third step is to look at what the Warning description. In our example, the Warning reads, “Conditionally Required field is empty.” This means we did not fill in the name of the city that Dave Johnson lives in, and we should go back and enter it now.

### Example 2:

Form (Item): F3XN

Field Name: #22 Treasurer’s Signature Date

\*Error\* is required but field is empty

*First*, we look at the *Form (Item)*, which reads Form 3X (The N=New Filing). Form 3X refers to the cover page of the 3X filing. **Note: This would read ‘F3N (Form 3) if we were a Candidate Committee.** We know the error is not related to a particular transaction, but to field #22 in the cover page of the report itself.

*Secondly*, we look at the Field Name, which reads “Treasurer’s Signature Date.” This refers to the date we “Closed” the report as we prepared to upload it. We reach the “Closed Date” screen, by right clicking on the *Reports View* and selecting *Close*.

*Thirdly*, we see that we received an “\*Error\*” message and that our description reads, “Is required but field is empty” which tells us we need to go back and enter in the date we closed the report.

The difference between a *Warning* and an *\*Error\** message is that reports containing only warnings may still be uploaded, while a report with an *\*Error\** message cannot be uploaded.