



Final Audit Report of the Commission on Roraback for Congress

(October 26, 2011 – December 31, 2012)

Why the Audit Was Done

Federal law permits the Commission to conduct audits and field investigations of any political committee that is required to file reports under the Federal Election Campaign Act (the Act). The Commission generally conducts such audits when a committee appears not to have met the threshold requirements for substantial compliance with the Act.^{1 2} The audit determines whether the committee complied with the limitations, prohibitions and disclosure requirements of the Act.

About the Campaign (p. 2)

Roraback for Congress is the principal campaign committee for Andrew Roraback, Republican candidate for the U.S. House of Representatives from the state of Connecticut, 5th District, and is headquartered in Torrington, Connecticut. For more information, see the Campaign Organization Chart, p. 2.

Financial Activity (p. 2)

• Receipts	
○ Contributions from Individuals	\$ 1,276,713
○ Contributions from Political Committees	276,795
○ Loan from the Candidate	25,000
Total Receipts	\$ 1,578,508
• Disbursements	
○ Operating Expenditures	\$ 1,566,575
○ Contribution Refunds	350
○ Other Disbursements	7,529
Total Disbursements	\$ 1,574,454

Commission Finding (p. 3)

Based upon a limited examination of the statements and reports filed, and the records presented by Roraback for Congress, no material non-compliance was discovered.

¹ 52 U.S.C. §30111(b).

² On September 1, 2014, the Federal Election Campaign Act of 1971, as amended ("the Act"), was transferred from Title 2 of the United States Code to the new Title 52 of the United States Code.

Final Audit Report of the Commission on Roraback for Congress

(October 26, 2011 - December 31, 2012)



Table of Contents

Page

Part I. Background

Authority for Audit

1

Scope of Audit

1

Part II. Overview of Campaign

Campaign Organization

2

Overview of Financial Activity

2

Part III. Commission Finding

3

Part I

Background

Authority for Audit

This report is based on an audit of Roraback for Congress (RFC), undertaken by the Audit Division of the Federal Election Commission (the Commission) in accordance with the Federal Election Campaign Act of 1971, as amended (the Act). The Audit Division conducted the audit pursuant to 52 U.S.C. §30111(b) (formerly 2 U.S.C. §438(b)), which permits the Commission to conduct audits and field investigations of any political committee that is required to file a report under 52 U.S.C. §30104 (formerly 2 U.S.C. §434). Prior to conducting any audit under this subsection, the Commission must perform an internal review of reports filed by selected committees to determine if the reports filed by a particular committee meet the threshold requirements for substantial compliance with the Act. 52 U.S.C. §30111(b) (formerly 2 U.S.C. §438(b)).

Scope of Audit

Following Commission-approved procedures, the Audit staff evaluated various risk factors and as a result, this audit examined:

1. the receipt of excessive contributions and loans;
2. the receipt of contributions from prohibited sources;
3. the disclosure of contributions received;
4. the disclosure of individual contributors' occupation and name of employer;
5. the consistency between reported figures and bank records;
6. the completeness of records; and
7. other campaign operations necessary to the review.

Part II

Overview of Campaign

Campaign Organization

Important Dates	
• Date of Registration	October 26, 2011
• Audit Coverage	October 26, 2011 – December 31, 2012
Headquarters	Torrington, Connecticut
Bank Information	
• Bank Depositories	One
• Bank Accounts	One (checking)
Treasurer	
• Treasurer When Audit Was Conducted	Anna-Elysapeth McGuire
• Treasurer During Period Covered by Audit	Anna-Elysapeth McGuire
Management Information	
• Attended Commission Campaign Finance Seminar	No
• Who Handled Accounting and Recordkeeping Tasks	Paid Staff

Overview of Financial Activity (Audited Amounts)

Cash-on-hand @ October 26, 2011	\$ 0
Receipts	
○ Contributions from Individuals	1,276,713
○ Contributions from Political Committees	276,795
○ Loan from the Candidate	25,000
Total Receipts	\$ 1,578,508
Disbursements	
○ Operating Expenditures	1,566,575
○ Contribution Refunds	350
○ Other Disbursements	7,529
Total Disbursements	\$ 1,574,454
Cash-on-hand @ December 31, 2012	\$ 4,054

Part III

Commission Finding

Based upon a limited examination of the statements and reports filed, and the records presented by Roraback for Congress, no material non-compliance was discovered.