MEMORANDUM

TO: Commission Secretary

FROM: Lisa J. Stevenson  
Deputy General Counsel

Adav Noti  
Acting Associate General Counsel

Robert M. Knop  
Assistant General Counsel

Cheryl A.F. Hemstreet  
Attorney

DATE: November 21, 2013

SUBJECT: Draft Interpretive Rule Regarding Date of Political Party Nominations of Candidates for Special Primary Elections in New York

The Commission is considering the topic of whether the date of the primary in a special election held pursuant to New York Election Law is the date on which the party committee votes for its nominee, or the date on which the party committee files the certification of nomination with the appropriate board of elections.

The attached draft of an interpretive rule on this topic is being made public in order to invite and facilitate public comment. Any comments on the draft should reference Agenda Document 13-48 and must be received by 12:00 p.m. on December 4, 2013. All comments should be addressed to the Commission Secretary, 999 E Street NW., Washington, DC 20463, via: 202-208-3333 (fax) or secretary@fec.gov.

Attachment
November 20, 2013

MEMORANDUM

TO: The Commission

FROM: Lisa J. Stevenson
Deputy General Counsel

Adav Noti
Acting Associate General Counsel

Robert M. Knop
Assistant General Counsel

Cheryl Hemsley
Attorney

SUBJECT: Draft Interpretive Rule Regarding Date of Political Party Nominations of Candidates for Special Primary Elections in New York

Attached is a draft Notice of Interpretive Rule Regarding Date of Political Party Nominations of Candidates for Special Primary Elections in New York. We request that this draft be placed on the agenda for November 21, 2013.

Attachment
FEDERAL ELECTION COMMISSION

[Notice 2013-XX]

Date of Political Party Nominations of Candidates for Special Primary Elections in New York

AGENCY: Federal Election Commission.

ACTION: Notice of interpretive rule.

SUMMARY: The Federal Election Commission is clarifying its interpretation of its rules for determining the date of a special primary election as those rules apply to nominations conducted under New York statutes that provide for a candidate to be nominated for a special election by a vote of a state or county party committee.

DATES: [Insert date of publication in FEDERAL REGISTER]

FOR FURTHER INFORMATION CONTACT: Robert M. Knop, Assistant General Counsel, or Cheryl A.F. Hemsley, Attorney, 999 E Street NW., Washington, DC 20463, (202) 694-1650 or (800) 424-9530.

SUPPLEMENTARY INFORMATION:

This Notice clarifies that, for purposes of the Federal Election Campaign Act of 1971, as amended (the “Act”), and Commission regulations, the date of a special primary election under New York law is the date on which the political party committee votes to nominate the party’s candidate for the special general election, not the date on which the certification of that vote is filed. Because the Act and Commission regulations provide for separate contribution limits for each “election,” the Commission issues this clarification to assist candidates and their authorized committees in distinguishing

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1 See 2 U.S.C. 441a(a)(1)(A); 11 CFR 110.1(b)(1), 110.2(b)(1).
contributions for special primary elections in New York from contributions for special
general elections.

The Act provides that an "election" includes "a general, special, primary, or
runoff election . . . [or] a convention or caucus of a political party which has authority to
nominate a candidate." 2 U.S.C. 431(1)(A), (B). Commission regulations define a
"primary election" as an "election which is held prior to a general election, as a direct
result of which candidates are nominated, in accordance with applicable State law, for
election to Federal office in a subsequent election." 11 CFR 100.2(c)(1).2 A "special
election" is an election to fill a vacancy in a Federal office and may be a primary,
general, or runoff election. 11 CFR 100.2(f). Under the Act and Commission regulations,
therefore, a special primary election is an election, convention, or caucus with the
authority to nominate candidates in accordance with applicable state law for a subsequent
general election that is held to fill a vacancy in a Federal office.

New York election law generally provides that "[p]arty nominations for an office
to be filled at a special election shall be made in the manner prescribed by the rules of the
party." N.Y. Elec. Law 6-114. New York Democratic and Republican State party
committee rules provide that the county committees within a vacant congressional district
nominate candidates for a special election to the U.S. House of Representatives, and that
the state committees nominate candidates for a special election to the U.S. Senate. See
Party Rules New York State Democratic Committee, Art. VI, Sec. 2 (2012); Rules of the
New York Republican State Committee, Art. VII, Rule 1 (June 9, 2011). Similarly, when

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1 Because the date of a special primary election for an independent or minor-party candidate is governed
by different regulatory criteria, see 11 CFR 100.2(c)(4), this Notice encompasses only nominations by a
major political party, which is a party whose candidate for President received at least 25 percent of the
popular vote in the preceding presidential election. 26 USC 9002(6).
a vacancy in an elected office occurs too late for candidates to participate in a regularly
scheduled primary, New York election law requires a party to nominate its candidate by a
vote of the appropriate state or county party committee. See N.Y. Elec. Law 6-116.

After a party committee votes to nominate a candidate, a "certificate of nomination shall
be filed" with the appropriate election board certifying the committee's vote. Id.; see also
id. 6-144, 6-156. Failure to file this certification is "a fatal defect" in the nomination. Id.

Sections 6-114 and 6-116 vest special election nominating authority in the party
committees, either directly or by operation of state party rules. Under these provisions,
therefore, candidates are placed on the general election ballot "in accordance with
applicable state law" as "a direct result" of the relevant party committee vote. See 11
CFR 100.2(c)(1). Accordingly, the party committee vote is a "primary election" within
the meaning of the Act and Commission regulations. See Advisory Opinion 2004-20
(Farrell for Congress) (determining that party convention constituted primary election
where convention's endorsement of only one candidate caused candidate to be placed
directly on general election ballot); Advisory Opinion 1992-25 (Owens for Senate
Committee) (concluding that party convention constituted primary election where
candidate would be placed directly on general election ballot if candidate received at least
70% of votes at convention). The subsequent filing of a certification formalizes the
nomination, but such a filing is not the primary election itself. See FEC v. Citizens for
Senator Wofford, No. 1:CV-94-2057, slip op. at 8-10 (M.D. Pa. Sept. 27, 1995) (holding
that state party convention constituted "primary election" under Act and Commission
regulations even though state law required party to file subsequent certificate of
nomination with state).

For the foregoing reasons, the Commission issues this interpretive rule to clarify
that the date of a special primary election held pursuant to N.Y. Elec. Law 6-114 or 6-116
is the date of the party committee’s nomination vote. To the extent that other states’
nominating procedures for special elections are materially indistinguishable from those of
New York, the Commission anticipates that this interpretation would apply to such other
states as well.

This interpretive rule clarifies the Commission’s interpretation of existing
statutory and regulatory provisions and therefore does not constitute an agency action
subject to notice and comment requirements or a delayed effective date under the
Flexibility Act, which apply when notice and comment are required by the
Administrative Procedure Act or another statute, do not apply. See 5 U.S.C. 603(a). The
Commission is not required to submit this interpretive rule for congressional review. See

On behalf of the Commission,

Ellen L. Weintraub
Chair
Federal Election Commission

DATED: 
BILLING CODE: 6715-01-P